



Town of Pilot Mountain  
Town Hall 124 West Main Street Pilot Mountain, NC 27041  
Monday, June 10, 2019, 7:00 PM

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## **BOARD OF COMMISSIONERS REGULAR MEETING AGENDA**

### **Call to Order/Moment of Silence/Pledge of Allegiance**

### **Adoption of Agenda**

#### **Public Hearings**

1. Public Hearing on FY 2020 Budget
2. Public Hearing on text amendment to Unified Development Ordinance
3. Second required public hearing on potential CDBG grant application.

### **Public Comment**

*Anyone may speak on any issue. Before speaking, please state your name and address. Please limit comments to three minutes.*

### **Consent Agenda**

4. Approval of Minutes

### **Board & Committee Reports**

#### **Unfinished Business**

5. FY 2020 Budget Ordinance
6. FY 2020 Fee Schedule

#### **New Business**

7. Local Government Records Retention Schedule
8. CDBG Grant Application
9. FY 2019 Budget Amendment 5
10. UDO Text Amendment-Accessory Structures
11. WWTP and Pump Station Project Engineer Selection

### **Administrative Reports**

12. Staff Reports

### **Mayor and Commissioners Comments**

**Closed Session Pursuant to NCGS 143-318 (a)(3)-Attorney/Client Privilege and NCGS 143-318(a)(6)**

### **Other Business**

### **Adjourn**



## **Pilot Mountain CDBG-NR Second Public Hearing Meeting Script**

**June 10<sup>th</sup>, 2019**

### **Town of Pilot Mountain**

This public hearing on June 10<sup>th</sup>, 2019, will provide an explanation and description of the FY2019 North Carolina Department of Commerce Community Development Block – Neighborhood Revitalization Program.

We are present to discuss the purpose of the public hearing for the Town of Pilot Mountain's CDBG-Neighborhood Revitalization Program funding application. The purpose of the public hearing is to obtain citizen's views and to allow response from the public to funding proposals and answer any questions posed by citizens. This public hearing will cover the Town's community development needs, development of the proposed activities, and a review of program compliance before the submission of the Town's CDBG-NRP funding application to the state of the North Carolina.

The Town of Pilot Mountain proposes to request funding from NC Department of Commerce CDBG Neighborhood Revitalization Program for the Town of Pilot Mountain's Community Development Neighborhood Housing Improvements Project. The purpose of the CDBG NRP grant program is:

- To benefit a residential area where at least 51% of the beneficiaries are low to moderate income as defined by the United States Department of Housing and Urban Development.
- To perform eligible activities.
- To minimize displacement, and
- Provide displacement assistance as necessary.

For the fiscal year of 2019 the CDBG NRP funding available is expected to be \$10,000,000. The maximum available grant is \$750,000. Applications for funding will be received July 17<sup>th</sup>, 2019.

The CDBG program is able to fund a wide variety of community development activities. The Neighborhood Revitalization (NR) category is designed to provide grants to local units of government for housing, housing related activities, and public facilities that support housing activities for low-to moderate-income persons.

The range of housing activities covered by the CDBG-NRP funds for the Neighborhood Revitalization includes:

- Rehabilitation, including substantial rehabilitation and reconstruction, disposition, acquisition, demolition, clearance, relocation, and emergency repair.

The Town of Pilot Mountain is seeking an amount in CDBG-NRP funds not to exceed \$750,000 for the Town of Pilot Mountain's Community Development Neighborhood Improvements Project. The purpose of the Town's request is to assist low to moderate income homeowners in the following areas

to make critical home repairs: Howard Street, Academy Street, Joyce Drive, Depot Street, Lovell Berry Lane, Thompson Drive, and Dodson Street.

A total of 100% of the CDBG NRP funding will be used to benefit Low to Moderate Income (LMI) people.

The Town of Pilot Mountain will appoint a Housing Selection Committee to advise Town staff on the selection and prioritization of homes to be assisted. The Housing Selection Committee comprised of voting members provides the citizen participation opportunity for residents to contribute to the Town housing and neighborhood improvement plans.

The Town also plans to use a portion of the CDBG-NR funds to aid in the creation of a passive park at Howard and Depot Street. This activity will include the acquisition of land and park implementation.

If Town of Pilot Mountain is awarded a CDBG - NRP grant, it will be required to adhere to federal procurement requirements and other federal regulations which include:

- American with Disabilities Act/Section 504 Survey
- Davis-Bacon & Related Labor Acts
- Adoption/Submittal of a Citizen's Participation Plan
- Adoption/Submittal of an Equal Opportunity Plan
- Adoption/Submittal of a Fair Housing Plan
- Adoption/Submittal of a Language Access Plan
- Adoption/Submittal of a Relocation Assistance Plan
- Adoption/Submittal of a Section 3 Plan
- Excess Force Provision

The State of North Carolina requires that the if the Town of Pilot Mountain receives CDBG grant funding that the Town will certify that they will comply with the requirements of the general displacement and relocation policy for CDBG grant funding. This policy assists low to moderate income people with costs associated with relocation or displacement, should such relocation become necessary due to the project activities. CDBG funds can be used for those costs, if necessary. No displacement and/or relocation will occur as a result of the proposed CDBG grant activities.

In the past, the Town of Pilot Mountain has applied for and received the following completed CDBG projects:

- List Name of Projects and Outcomes/outputs of the projects:

|  |
|--|
|  |
|  |

The Town of Pilot Mountain will submit its CDBG-NRP application on July 17, 2019. Additional information is available from the Town Clerk. Should you have any complaints or grievances



regarding the subject public hearing, they should be addressed to the addressed to the Town within 10 business days and a written response to the written complaints and/or grievances will be sent by the Town within 10 business days, where practicable.

We open the floor for comments and questions about the CDBG program, and about the proposed project.

**Town of Pilot Mountain  
Board of Commissioners Meeting  
Monday, May 13, 2019  
Regular Meeting 7:00 PM**

**Members Present:** Mayor Evan Cockerham, Commissioner Donna Kiger, Commissioner Scott Needham.

**Staff Present:** Town Manager, Michael Boaz, Town Attorney, Ed Woltz and Town Clerk, Holly Utt

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**Call to order/Moment of Silence/Pledge of Allegiance – 7:00 PM**

Mayor Cockerham called the meeting to order at 7:00 PM. All in attendance observed a moment of silence and recited the pledge of allegiance.

**Adoption of Agenda**

Commissioner Kiger made a motion to adopt the agenda as presented and it was unanimous.

**Public Hearings**

**Unified Development Ordinance Text Amendment**

Mr. Boaz explained that the amendment to the UDO would change the standards regarding commercial farming operations in business districts. The Planning Board has reviewed the language and recommended, unanimously, for Board of Commissioner approval.

Mayor Cockerham opened the public hearing. There was no one present to speak. Mayor Cockerham closed the public hearing.

**CDBG Potential Grant Application**

Mayor Cockerham opened the hearing. Mr. Boaz explained that Community Development Block Grant, (CDBG), is money that the state of NC receives from the federal government which is distributed to two state agencies, the NC Department of Commerce and NC Department of Environmental Quality. The programs are used for non-entitlement communities for housing and community development projects. The grant that the town intends to apply for is a CDBG Neighborhood Program. This involves housing restoration and repair and other projects like storm water, sidewalks and parks. The town can apply for up to \$750K with no match. The purpose of this public hearing is to receive comments from the public about the potential application. There will be another public hearing at the next meeting to give specifics on the project area. The projects must meet one of three objectives: (1) benefiting low-and-moderate income (LMI) persons; (2) preventing or eliminating slum or blight; and (3) meeting other community development needs that are deemed to be urgent because of existing conditions that pose a serious and immediate threat to the health and welfare of the community, and other financial resources are not available to meet the need. No one was present to speak at the hearing. Mayor Cockerham closed the public hearing.

**Public Comment**

Rachael Brooks, 635 Gilley Road, was present to address the Board. She asked that the Flinchum room stay in Pilot Mountain. It is part of the town's cultural heritage and belongs in Pilot Mountain. Mayor Cockerham stated that one of the challenges is the space that is needed to put it on display.

Michelle Fallin spoke on behalf of the Pilot Mountain Civic Club. She wanted to say publicly how proud she was of the town, the Mayor, Town Manager, Pilot Mountain Police Department and the Public Works Department for all their hard work during the 38<sup>th</sup> annual Mayfest. The event was a success and they could not have done it without everyone's help. She noted that the Civic Club uses the money raised to give back to the community. Mayor Cockerham thanked Ms. Fallin and the Civic Club.

### **Consent Agenda**

- April 8, 2019 Regular Meeting Minutes
- Resolution R2018/19-12 Opposing Billboard Legislation

Commissioner Needham made a motion to approve and adopt the consent agenda and the items there upon and it was unanimous.

### **ABC Board Report**

Bill Hancock stated that the ABC sales were up by 32% over April 2018. Total sales for the month was \$104,397 compared to \$77,213 in the previous year.

### **Old Business**

#### **UDO Text Amendment: Commercial Growing Operations**

Commissioner Kiger made a motion to approve the UDO text amendment and it was unanimous.

### **Strategic Plan Review and Approval**

Mr. Boaz presented a strategic plan from facilitator Chris Aycock. The plan was presented for approval. Mayor Cockerham read the goals to the public. Commissioner Needham made a motion to formally adopt the 2019-2022 Strategic Plan and it was unanimous.

### **New Business**

#### **2019-2020 Budget Presentation**

Mr. Boaz presented a draft copy of the 2019-2020 budget for review. A special meeting will be held on Thursday, May 23, 2019 at 9:00 AM for a more in depth review and discussion of the proposed budget.

### **Administrative Reports**

#### **Town Manager's Report**

- Food Truck Festival – June 22, 2019 from 11am until 7pm. Main Street will close around 7:30 am and re-open after the event has cleared.
- On Saturday, June 10, 2019, dinosaurs will invade downtown and that evening the Movies on Main will be showing Jurassic Park.
- The town has been awarded a grant for \$13,350 from the NC Main Street Center. The idea behind the grant is to hire an architect who will create façade designs for five buildings in downtown. The grant also funds awarding \$2,000 to each of those five buildings to help implement the plan. That, combined with the town funds for façade grant will make each of the buildings eligible for \$2,800 towards their project. They are working on a process in how the buildings will be selected.

- The town has received from the Government Finance Officers Association (NCGFOA) notice that the town has been awarded a certificate of Achievement of Excellence for Financial Reporting. This is the first time the town has ever received this award.

#### **Financial Report**

- The general fund is on track. There will be fund balance transferred to the capital project for street paving as planned. The water/sewer fund is doing well and staff is working very hard to control expenditures and do everything they can to collect what is due. Repairs to pump stations have had a significant impact on expenditures.

#### **Departmental Reports**

#### **Mayor and Commissioners Comments**

**Mayor Cockerham:** Congratulated and thanked Mr. Boaz for the award received from the NCGFOA. This also shows the folks at the state level that the town is responsible with funds that are awarded and granted to the town.

**Commissioner Kiger:** Thanked the Police Department and Public Works for all the work they have done at the events. She also likes the brush schedule that was included in the utility bills.

**Commissioner Needham:** He is glad the sidewalks are being repaired on Depot and Butler Streets. He reminded everyone that Star Wars would be shown at Movies on Main for May 18<sup>th</sup>.

#### **Other Business**

No other business to discuss

#### **Adjourn or Recess**

Commissioner Kiger made a motion to adjourn and it was unanimous.

Respectfully Submitted:

Attest:

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Holly Utt  
Town Clerk

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Evan Cockerham  
Mayor

**Town of Pilot Mountain  
Board of Commissioners Meeting  
Thursday, May 9, 2019  
Special Meeting 4:30 PM**

**Members Present:** Mayor Evan Cockerham, Commissioner Donna Kiger, Commissioner Scott Needham and Commissioner Hilda Willis.

**Staff Present:** Town Manager, Michael Boaz and Town Clerk, Holly Utt

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Mayor Cockerham called the special meeting to order.

Commissioner Needham made a motion to adopt the Resolution of Commitment to the Downtown Associate Community Program and it was unanimous.

Commissioner Kiger made a motion to adjourn and it was unanimous.

Respectfully Submitted:

Attest:

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Holly Utt  
Town Clerk

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Evan Cockerham  
Mayor

**Town of Pilot Mountain, North Carolina**  
**Annual Budget for FY 2019 – 2020**

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**Budget Ordinance**

BE IT ORDAINED by the Board of Commissioners of the Town of Pilot Mountain, North Carolina that the following anticipated fund revenues and departmental expenditures, together with certain fees and schedules, and with certain restrictions and authorizations, are hereby appropriated and approved for the operation of the Town government and its activities for the fiscal year beginning July 1, 2019 and ending June 30, 2020.

**Summary**

|                      | Estimated Revenues | Fund Balance<br>Appropriations | Appropriation |
|----------------------|--------------------|--------------------------------|---------------|
| General Fund         | \$1,683,040        | \$20,000                       | \$1,703,040   |
| Enterprise Fund      | \$895,750          | \$10,730                       | \$906,480     |
| Capital Reserve Fund | \$54,990           | \$0                            | \$54,990      |
| Total:               | \$2,633,780        | \$30,730                       | \$2,664,510   |

**Section 1: General Fund**

The following list of approved revenues and authorized expenditures listed in this ordinance are hereby appropriated for the operation and activity of the General Fund for the fiscal year 2019-2020 in accordance with the chart of accounts for the Town of Pilot Mountain.

**General Fund Revenues**

|                                     |                    |
|-------------------------------------|--------------------|
| Ad Valorem Taxes                    | \$782,000          |
| Tax Penalties & Interest            | \$2,500            |
| Motor Vehicle Taxes                 | \$62,590           |
| Interest On Investment              | \$5,550            |
| Miscellaneous                       | \$1,500            |
| Sale Of Fixed Assets                | \$1,500            |
| Utility Franchise Tax               | \$106,020          |
| Solid Waste Disposal Tax            | \$1,050            |
| Powell Bill Allocation              | \$43,420           |
| Local Option Sales Tax              | \$469,790          |
| Beer & Wine Tax Distribution        | \$6,800            |
| Planning/Zoning Fees                | \$2,000            |
| Court Costs Fees & Charges          | \$200              |
| Solid Waste Collection Fee          | \$69,840           |
| Cemetery - Sale of Lot              | \$5,000            |
| ABC Store Profit Sharing            | \$50,000           |
| Renal/Lease Income                  | \$28,200           |
| Reimbursement for Services          | \$15,000           |
| Grants                              | \$10,000           |
| Other Revenues                      | \$20,080           |
| Encumbered Fund Balance             | \$20,000           |
| Encumbered Powell Bill Fund Balance | \$0                |
| <b>Total General Fund Revenues</b>  | <b>\$1,703,040</b> |

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**General Fund Expenditures**

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|                                 |                    |
|---------------------------------|--------------------|
| General Government              | \$337,040          |
| Planning & Economic Development | \$173,310          |
| Public Safety                   | \$721,630          |
| Environmental Protection        | \$215,490          |
| Transportation                  | \$147,830          |
| Culture & Recreation            | \$58,120           |
| Debt Service                    | \$49,620           |
| <b>Total Expenditures</b>       | <b>\$1,703,040</b> |

## Section 2: Enterprise Fund

The following list of approved revenues and authorized expenditures listed in this ordinance are hereby appropriated for the operation and activity of the Enterprise Fund for the fiscal year 2019-2020 in accordance with the chart of accounts for the Town of Pilot Mountain.

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**Enterprise Fund Revenues**

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|                                        |                  |
|----------------------------------------|------------------|
| Interest On Investment                 | \$0              |
| Charges Utilities Water                | \$495,000        |
| Charges Utilities Sewer                | \$375,000        |
| Delinquent Fees                        | \$8,500          |
| Late Fee                               | \$12,000         |
| Returned Check Fee                     | \$500            |
| Service Initiation Fee                 | \$2,200          |
| Tap Fees - Water                       | \$0              |
| Miscellaneous Revenue                  | \$300            |
| Bulk Sale of Water                     | \$2,000          |
| Bad Debts                              | \$250            |
| Appropriated Retained Earnings         | \$10,730         |
| <b>Total Water/Sewer Fund Revenues</b> | <b>\$906,480</b> |

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**Enterprise Fund Expenditures**

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|                           |                  |
|---------------------------|------------------|
| Water & Sewer Operations  | \$906,480        |
| <b>Total Expenditures</b> | <b>\$906,480</b> |

## Section 3: Capital Reserve Fund

The following list of approved revenues and authorized expenditures listed in this ordinance are hereby appropriated for the operation and activity of the Capital Reserve Fund for the fiscal year 2019-2020 in accordance with the chart of accounts for the Town of Pilot Mountain.

**Capital Reserve Fund Revenues**

|                               |                    |
|-------------------------------|--------------------|
| Infrastructure Investment Fee | \$54,990           |
| Transfer from W/S Fund        | \$0                |
| Fund Balance Appropriated     | \$0                |
|                               | <b>\$54,990.00</b> |

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**Capital Reserve Fund Expenditures**

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|                             |                 |
|-----------------------------|-----------------|
| Transfer to Capital Project | \$54,990        |
| <b>Total Expenditures</b>   | <b>\$54,990</b> |

**Section 4: Levy of Taxes**

There is hereby levied a tax at the rate of fifty-seven cents (\$0.57) per one hundred dollars (\$100) valuation of property as listed for taxes as of January 1, 2018, for the purpose of raising the revenue listed Ad Valorem Taxes 2019-2020 in the General Fund Section 1 of this ordinance. This rate is based on a valuation of property for purposes of taxation of \$134,224,032 and an estimated rate of collection of 99.11%.

**Section 5: Special Authorization of the Budget Officer**

a) The Budget Officer shall be authorized to reallocate amounts between the functional areas listed above without limitation and without a report required.

b) The Budget Officer shall be authorized to execute transfers for contingency appropriations, not to exceed \$5,000. Notification of all such transfers shall be made to the Town Board at its next meeting following the transfer.

**Section 6: Utilization of the Budget Ordinance**

This ordinance shall be the basis of the financial plan for the Town of Pilot Mountain municipal government during the 2018-2019 fiscal year. The Budget Officer shall administer the Annual Operating Budget and ensure the staff and elected officials are provided with guidance and sufficient details to implement their appropriate portion of the budget.

**Section 7. Copies of this Budget Ordinance**

Copies of this Budget Ordinance shall be furnished to the Clerk, Board of Commissioners, Budget Officer and Department Heads to be kept on file by them for their direction in the disbursement of funds.

Adopted this 10th day of June, 2019.

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Evan J Cockerham, Mayor

Attest:

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Holly Utt, Town Clerk





TOWN OF PILOT MOUNTAIN  
BOARD OF COMMISSIONERS MEETING

|                                                                                                                                                                                                                                                                                                                                            |                                                                |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------|
| FY 2020 Budget Ordinance                                                                                                                                                                                                                                                                                                                   |                                                                |
| <b><u>Background Information:</u></b>                                                                                                                                                                                                                                                                                                      |                                                                |
| Following our workshop on May 23, I prepared the attached budget ordinance for Fiscal Year 2020. The budget is balanced as required by the NC Local Government Budget and Fiscal Control Act. It maintains the existing tax rate of \$.57 per \$100 in valuation. It does include an increase to the garbage fee and the water/sewer bill. |                                                                |
| <b><u>Staff Recommendation:</u></b>                                                                                                                                                                                                                                                                                                        | Staff recommends that the Board adopt the budget as presented. |
| <b><u>Possible Board of Commissioner Actions</u></b>                                                                                                                                                                                                                                                                                       |                                                                |
| <ul style="list-style-type: none"><li>• Adopt the budget as presented</li><li>• Make changes to the budget and adopt</li><li>• Table</li><li>• Take no action</li></ul>                                                                                                                                                                    |                                                                |
| <b><u>Attachments</u></b>                                                                                                                                                                                                                                                                                                                  |                                                                |
| <ul style="list-style-type: none"><li>• FY 2020 Budget Ordinance</li></ul>                                                                                                                                                                                                                                                                 |                                                                |

**Town of Pilot Mountain, North Carolina**  
**FY 2018 - 2019 Fee Schedule**

**Administration**

|                           |                        |
|---------------------------|------------------------|
| Copies (Black & White)    | \$0.10 per page        |
| Copies (Color)            | \$0.30 per page        |
| Thumb Drive               | At cost                |
| Returned Check/Bank Draft | \$30.00 per occurrence |
| Notary Fee                | \$5.00                 |

**Police**

|                 |                      |
|-----------------|----------------------|
| Police Reports  | \$5.00               |
| Finger Printing | \$15.00 Resident     |
|                 | \$25.00 Non Resident |

**Code Enforcement**

|                             |                   |
|-----------------------------|-------------------|
| Administrative Fee          | \$250.00          |
| Lot Clearing and Mowing*    | \$95.00 per hour  |
| Bushhog & Tractor Required* | \$175.00 per hour |
| Other Nuisance Abatement*   | \$75.00 per hour  |

\* Charges in addition to administrative fee

**Solid Waste Fees**

|                                                        |                         |
|--------------------------------------------------------|-------------------------|
| Monthly Garbage/Recycling Service                      | \$10.43 cart/month      |
| 8 yard Commercial Dumpster (services once weekly)      | \$99.80 month           |
| 8 yard Commercial Dumpster (services every other week) | \$49.91 month           |
| Bulk Item Pickup                                       | \$45.00 + landfill fees |

**Cemetery**

|                                    |            |
|------------------------------------|------------|
| Per Plot (in town resident)        | \$950.00   |
| Per Plot (out of town resident)    | \$1,500.00 |
| Marking Fee (Business Hours)       | \$100.00   |
| Marking Fee (After Business Hours) | \$150.00   |

**Planning & Zoning Fees**

*NOTE: All plan review fees include two reviews of plan submittals. If additional reviews are necessary, an additional plan review fee will be assessed per review.*

**Maps**

|                        |                                  |
|------------------------|----------------------------------|
| 8.5" x 11" & 8.5 x 14" | \$0.50                           |
| 11" x 17"              | \$1.00                           |
| Custom Work            | Cost determined based on request |

**Applications for Board Review**

|                                       |          |
|---------------------------------------|----------|
| Amendment to Conditional District     | \$275.00 |
| Appeal                                | \$550.00 |
| Conditional Use Permit                | \$550.00 |
| Conditional District Rezoning         | \$550.00 |
| General Rezoning                      | \$550.00 |
| Street, Alley or Right of Way closing | \$550.00 |
| Ordinance Text Amendment              | \$550.00 |
| Variance                              | \$650.00 |
| Voluntary Annexation                  | \$300.00 |

**Permits**

|                                                 |                          |
|-------------------------------------------------|--------------------------|
| Single Family Residential                       | \$30.00                  |
| Two-Family Residential                          | \$30.00                  |
| Manufactured Home                               | \$30.00                  |
| Multi-Family Residential (Five units or less)   | \$100.00                 |
| Multi-Family Residential (More than five units) | \$100 plus \$10 per unit |
| Commercial                                      | \$100 plus \$10 per acre |
| Industrial                                      | \$100 plus \$10 per acre |

**Additions/Accessory Structures/Uplifts Zoning Permits**

|             |         |
|-------------|---------|
| Residential | \$30.00 |
| Commercial  | \$50.00 |
| Industrial  | \$50.00 |

**Sign Permits**

|                         |           |
|-------------------------|-----------|
| Change of Panel         | No Charge |
| Temporary Sign/Banner   | \$15.00   |
| On-Premise Attached     | \$30.00   |
| On-Premise Freestanding | \$30.00   |

**Miscellaneous**

|                                                 |                       |
|-------------------------------------------------|-----------------------|
| Change of Use Permit                            | \$30.00               |
| Co-Location Permit (Telecommunications Tower)   | \$50.00               |
| Demolition Permit                               | \$30.00               |
| Home Occupation Permit                          | \$30.00               |
| Re-advertising fee (due to action by applicant) | Cost of advertisement |
| Temporary Use Permit                            | \$75.00               |
| Zoning Verification Letter                      | 20                    |

**Site Plan and Plat Review**

|                                                             |                          |
|-------------------------------------------------------------|--------------------------|
| Site Plan Review Fee                                        | \$ 300.00                |
| Exemption/Recombination Plat                                | \$ 10.00                 |
| Minor Subdivision Plat Review Fee                           | \$75.00 plus \$5 per lot |
| Preliminary Major Subdivision Plat Review Fee (1-24 lots)   | \$ 450.00                |
| Preliminary Major Subdivision Plat Review Fee (25-100 lots) | \$ 1,300.00              |
| Final Major Subdivision Plat Review Fee                     | \$ 175.00                |

**Engineering Plan Review and Construction Administration Fees**

*Plan Review*

|                                                           |                                    |
|-----------------------------------------------------------|------------------------------------|
| Roadway (public and/or private)                           | \$0.95 per LF of Street Centerline |
| Parking/Loading areas (including access)                  | \$0.04 per square foot             |
| Storm Drainage                                            | \$1.00 per LF of Street Centerline |
| Water Lines                                               | \$0.75 per LF of pipe              |
| Sewer Lines                                               | \$0.75 per LF of pipe              |
| Stormwater Quality and/or Stormwater Detention Facilities | \$1,700.00 each                    |

*Construction Administration*

|                                                           |                                    |
|-----------------------------------------------------------|------------------------------------|
| Roadway (public and/or private)                           | \$1.05 per LF of Street Centerline |
| Storm Drainage                                            | \$1.00 per LF of Street Centerline |
| Water Lines                                               | \$0.75 per LF of pipe              |
| Sewer Lines                                               | \$0.75 per LF of pipe              |
| Stormwater Quality and/or Stormwater Detention Facilities | \$2,000.00 each                    |

*Construction Plans Review Fee (for Consultant Review Only) - \$50 processing fee plus hourly rate for consultant review services times the number of review hours*

|                                                     |                                      |
|-----------------------------------------------------|--------------------------------------|
| Street Naming Signs (Collected at preliminary plat) |                                      |
| 2 bladed street naming signs                        | \$100.00 includes posts and hardware |
| 4 bladed street naming signs                        | \$150.00 includes posts and hardware |

**Facility Rental**

**Administration Building Basement**

|                                      |                                      |
|--------------------------------------|--------------------------------------|
| Resident                             | \$50.00 + \$25.00 Refundable Deposit |
| Non Resident                         | \$75.00 + \$25.00 Refundable Deposit |
| Non-Profit, Civic, or Community      | \$15.00                              |
| Organization Meeting(4 hour maximum) |                                      |

**Pilot Center**

|              |                                        |
|--------------|----------------------------------------|
| Resident     | \$225.00 + \$150.00 Refundable Deposit |
| Non Resident | \$375.00 + \$150.00 Refundable Deposit |

*Available for use by non-profit organizations, community groups, and civic organizations for the purpose of holding meetings. Any fundraising activity or activity resulting in fees or admission charged does not qualify for this purpose. Qualifying groups are determined on a case by case basis.*

## Public Utilities

|                                      | Water Rates                        |                   | Sewer Rates                        |                                |
|--------------------------------------|------------------------------------|-------------------|------------------------------------|--------------------------------|
|                                      | Base Rate (includes 1,000 gallons) | Per 1,000 gallons | Base Rate (includes 1,000 gallons) | Per 1,000 up to 10,000 gallons |
| <b>Inside Town Limits</b>            | \$16.00                            | \$6.10            | \$16.00                            | \$6.10                         |
| <b>Outside Town Limits</b>           | \$32.00                            | \$12.20           | \$32.00                            | \$12.20                        |
| <b>Infrastructure Investment Fee</b> |                                    | \$2.50            |                                    | \$2.50                         |

| Tap Fees | Water       | Inside Town Limits | Out of Town Limits |
|----------|-------------|--------------------|--------------------|
|          | Meter Size  | Amount             | Amount             |
|          | 3/4" tap    | \$1,200.00         | \$1,320.00         |
|          | 1" tap      | \$1,500.00         | \$1,650.00         |
|          | 1.5" tap    | \$1,750.00         | \$1,925.00         |
|          | Over 1.5"   | Cost + 15%         | Cost + 15%         |
|          | Sewer       | Inside Town Limits | Out of Town Limits |
|          | Meter Size  | Amount             | Amount             |
|          | 4" tap      | \$975.00           | \$1,075.00         |
|          | 6" tap      | \$1,400.00         | \$1,540.00         |
|          | Over 4" tap | Cost + 15%         | Cost + 15%         |

### Other Utility Fees

|                                    |                 |
|------------------------------------|-----------------|
| Utility Deposit - Residential      | \$125.00        |
| Utility Deposit - Commercial       | \$250.00        |
| Exclusion of S.S. Deposit          | \$250.00        |
| Service Initiation                 | \$25.00         |
| After Hours Reconnect              | \$50.00         |
| After Business Hours Appointment   | \$50.00         |
| Meter Replacement Fees             | At cost         |
| Temporary Service Fee              | \$10.00 + usage |
| Road Boring/Cut Fee                | \$250.00        |
| Any Contracted Boring/Installation | Cost            |

### Penalty Fees

|                 |         |
|-----------------|---------|
| Late Fee        | \$10.00 |
| Delinquency Fee | \$40.00 |

### Tampering Fees

|             |                  |
|-------------|------------------|
| 1st Offense | \$200.00 + Costs |
| 2nd Offense | \$400.00 + Costs |
| 3rd offense | \$800.00 + Costs |

### Solid Waste



TOWN OF PILOT MOUNTAIN  
BOARD OF COMMISSIONERS MEETING

|                                                                                                                                                                                                                                                                                                                                                                                                               |                                                      |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------|
| FY 2020 Fee Schedule                                                                                                                                                                                                                                                                                                                                                                                          |                                                      |
| <b><u>Background Information:</u></b>                                                                                                                                                                                                                                                                                                                                                                         |                                                      |
| I have made changes to the fee schedule based on the changes to the garbage and w/s rates that we talked about during the budget workshop. The garbage fee has increased by 2.5% to 10.69 per month. The minimum water/sewer rate has increased by \$2 (\$1 each for water and sewer) and the volumetric rate has increased to \$6.10 per 1000 gallons. This volumetric rate applies to both water and sewer. |                                                      |
| <b><u>Staff Recommendation:</u></b>                                                                                                                                                                                                                                                                                                                                                                           | Staff recommends that the Board adopt this schedule. |
| <b><u>Possible Board of Commissioner Actions</u></b>                                                                                                                                                                                                                                                                                                                                                          |                                                      |
| <ul style="list-style-type: none"><li>• Adopt the schedule as presented</li><li>• Take no action</li></ul>                                                                                                                                                                                                                                                                                                    |                                                      |
| <b><u>Attachments</u></b>                                                                                                                                                                                                                                                                                                                                                                                     |                                                      |
| <ul style="list-style-type: none"><li>• FY 2020 Fee Schedule</li></ul>                                                                                                                                                                                                                                                                                                                                        |                                                      |

# RECORDS RETENTION AND DISPOSITION SCHEDULE

## GENERAL RECORDS SCHEDULE FOR LOCAL GOVERNMENT AGENCIES



Issued By:



NC DEPARTMENT OF  
NATURAL AND CULTURAL RESOURCES

North Carolina Department of Natural and Cultural Resources  
Division of Archives and Records  
Government Records Section

March 1, 2019

## CONTENTS

|                                                                                               |     |
|-----------------------------------------------------------------------------------------------|-----|
| <a href="#">Approval</a> .....                                                                | i   |
| <b>Front Matter</b>                                                                           |     |
| <a href="#">Executive Summary</a> .....                                                       | ii  |
| <a href="#">Managing Public Records in North Carolina</a> .....                               | iii |
| <a href="#">Audits, Litigation, and Other Official Actions</a> .....                          | vi  |
| <a href="#">Transitory Records</a> .....                                                      | vii |
| <a href="#">Legend for Records Schedule</a> .....                                             | ix  |
| <b>Records Retention and Disposition Schedule</b>                                             |     |
| <a href="#">Standard 1: Administration and Management Records</a> .....                       | 1   |
| <a href="#">Standard 2: Budget, Fiscal, and Payroll Records</a> .....                         | 18  |
| <a href="#">Standard 3: Geographic Information Systems Records</a> .....                      | 30  |
| <a href="#">Standard 4: Information Technology Records</a> .....                              | 37  |
| <a href="#">Standard 5: Legal Records</a> .....                                               | 43  |
| <a href="#">Standard 6: Personnel Records</a> .....                                           | 50  |
| <a href="#">Standard 7: Public Relations Records</a> .....                                    | 67  |
| <a href="#">Standard 8: Risk Management Records</a> .....                                     | 71  |
| <a href="#">Standard 9: Workforce Development Records</a> .....                               | 75  |
| <b>Appendix</b>                                                                               |     |
| <a href="#">Destruction of Public Records</a> .....                                           | 76  |
| <a href="#">Sample Destructions Log</a> .....                                                 | 77  |
| <a href="#">Electronic Records: E-mail, Born Digital Records, and Digital Imaging</a> .....   | 78  |
| <a href="#">Geospatial Records</a> .....                                                      | 80  |
| <a href="#">Microfilm</a> .....                                                               | 82  |
| <a href="#">Disaster Assistance</a> .....                                                     | 84  |
| <a href="#">Staff Training</a> .....                                                          | 85  |
| Request Forms                                                                                 |     |
| <a href="#">Request for Change in Records Schedule</a> .....                                  | 86  |
| <a href="#">Request for Disposal of Unscheduled Records</a> .....                             | 87  |
| <a href="#">Request for Disposal of Original Records Duplicated by Electronic Means</a> ..... | 88  |
| <a href="#">File Plan</a> .....                                                               | 89  |
| <a href="#">Index</a> .....                                                                   | 90  |

## 2019 Local Government Agencies General Records Retention and Disposition Schedule

The records retention and disposition schedule and retention periods governing the records series listed herein are hereby approved. In accordance with the provisions of Chapters 121 and 132 of the *General Statutes of North Carolina*, it is agreed that the records do not and will not have further use or value for official business, research, or reference purposes after the respective retention periods specified herein and are authorized to be destroyed or otherwise disposed of by the agency or official having custody of them without further reference to or approval of either party to this agreement. The local government agency agrees to comply with 07 NCAC 04M .0510 when deciding on a method of destruction. Confidential records will be destroyed in such a manner that the records cannot be practicably read or reconstructed. However, records subject to audit or those legally required for ongoing official proceedings must be retained until released from such audits or official proceedings, notwithstanding the instructions of this schedule. **Public records, including electronic records, not listed in this schedule are not authorized to be destroyed.**

All local government agencies and the Department of Natural and Cultural Resources agree that certain records series possess only brief administrative, fiscal, legal, research, and reference value. These records series have been designated by retention periods that allow these records to be destroyed when "*reference value ends*." All local government agencies hereby agree that they will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction "*destroy when reference value ends*." If a local government agency does not establish internal policies and retention periods, the local government agency is not complying with the provisions of this retention schedule and is not authorized by the Department of Natural and Cultural Resources to destroy the records with the disposition instruction "*destroy when reference value ends*."

All local government agencies and the Department of Natural and Cultural Resources concur that the long-term and/or permanent preservation of electronic records requires additional commitment and active management by the agency. Agencies agree to comply with all policies, standards, and best practices published by the Department of Natural and Cultural Resources regarding the creation and management of electronic records.

It is further agreed that these records may not be destroyed prior to the time periods stated; however, for sufficient reason they may be retained for longer periods. This schedule supersedes the general standards in all previous local government retention and disposition schedules and is to remain in effect from the date of approval until it is reviewed and updated.

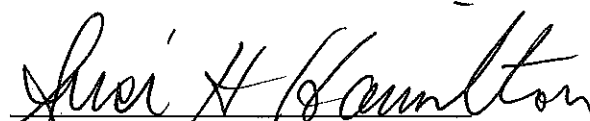
### APPROVAL RECOMMENDED

\_\_\_\_\_  
Municipal/County Clerk or Manager  
Title: \_\_\_\_\_

  
Sarah E. Koonts, Director  
Division of Archives and Records

### APPROVED

\_\_\_\_\_  
Head of Governing Body  
Title: \_\_\_\_\_

  
Susi H. Hamilton, Secretary  
Department of Natural and Cultural  
Resources

Municipality/County: \_\_\_\_\_

## EXECUTIVE SUMMARY

- ✓ According to G.S. § 121-5(b) and G.S. § 132-3, you may destroy public records only with the consent of the Department of Natural and Cultural Resources (DNCR). The State Archives of North Carolina is the division of DNCR charged with administering a records management program. This schedule is the primary way the State Archives of North Carolina gives its consent. Without approving this schedule, your agency is obligated to obtain the State Archives of North Carolina's permission to destroy *any* record, no matter how insignificant.
- ✓ Each records series listed on this schedule has specific disposition instructions that will indicate how long the series must be kept in your office. In some cases, the disposition instructions are simply "retain in office permanently," which means that those records must be kept in your office forever. In other cases, the retention period may be "destroy in office when reference value ends." An agency may have reference copies of materials, meaning "a copy of a record distributed to make recipients aware of the content but not directing the recipient to take any action on the matter" (from Richard Pearce-Moses, *A Glossary of Archival and Records Terminology*). Your agency must establish and enforce internal policies by setting minimum retention periods for the records that the State Archives of North Carolina has scheduled with the disposition instructions, "destroy when reference value ends."
- ✓ E-mail is a record as defined by G.S. § 121-5 and G.S. § 132. It is the content of the e-mail that is critical when determining the retention period of a particular e-mail, including attachments, not the media in which the record was created. It is important for all agency employees and officials to determine the appropriate records series for specific e-mails and retain them according to the disposition instructions.
- ✓ The State Archives of North Carolina recommends that all agency employees and officials view the tutorials that are available online through the State Archives website in order to familiarize themselves with records management principles and practices. The State Archives of North Carolina's online tutorials include topics such as records management and scanning guidelines.
- ✓ The State Archives of North Carolina provides microfilming services for the minutes of major decision-making boards and commissions. Once those records are filmed, we will store the silver halide negative (original) in our security vault. There is a nominal fee for filming and duplicating film. Contact the Records Management Analyst in charge of microfilm coordination for the most current information.



## MANAGING PUBLIC RECORDS IN NORTH CAROLINA

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### ***Q. What is this “records retention and disposition schedule”?***

- A.** This document is a tool for the employees of local government agencies across North Carolina to use when managing the records in their offices. It lists records commonly found in agency offices and gives an assessment of their value by indicating how long those records should be retained. This schedule is also an agreement between your agency and the State Archives of North Carolina.

This schedule serves as the inventory and schedule that the State Archives of North Carolina is directed by G.S. § 121-5(c) and G.S. § 132-8 to provide. It supersedes all previous editions, including all amendments.

---

### ***Q. How do I get this schedule approved?***

- A.** This schedule must be approved by your governing body for use in your agency. That approval should be made in a regular meeting and recorded as an action in the minutes. It may be done as part of the consent agenda, by resolution, or other action.
- 

### ***Q. Am I required to have all the records listed on this schedule?***

- A.** No, this is not a list of records you must have in your office.
- 

### ***Q. What is “reference value”?***

- A.** Items containing “reference value” in the disposition instructions are generally records that hold limited value, which is typically restricted to those documenting routine operations within the office. A minimum retention period should be established by the office for any items containing the phrase “destroy in office when reference value ends” in the disposition instructions.
- 

### ***Q. Do the standards correspond to the organizational structure of my agency?***

- A.** Records series are grouped into standards to make it easier for users to locate records and their disposition instructions. You may find that the groupings reflect the organizational structure of your agency, or you may find that records are located in various standards depending on the content of the record. The intent of the schedule’s organization is to provide an easy reference guide for the records created in your agency.
- 

### ***Q. What if I cannot find some of my records on this schedule?***

- A.** Sometimes the records are listed in a different standard than how you organize them in your office. Be sure to check the Index and utilize the search function on the PDF version of the schedule to facilitate the location of records series. If you still cannot locate your records on the schedule, contact a Records Management Analyst. We will work with you to amend this records schedule so that you may destroy records appropriately.
- 

### ***Q. What are public records?***

- A.** The *General Statutes of North Carolina*, Chapter 132, provides this definition of public records:
- “Public record” or “public records” shall mean all documents, papers, letters, maps, books, photographs, films, sound recordings, magnetic or other tapes, electronic data-processing records, artifacts, or other documentary material, regardless of physical form or characteristics, made or received pursuant to law or ordinance in connection with the transaction of public business by any agency of North Carolina government or its subdivisions. Agency of North Carolina government or its subdivisions shall mean and include every public office, public officer or official (State or local, elected or appointed), institution, board, commission, bureau, council, department, authority or other unit of government of the State or of any county, unit, special district or other political subdivision of government.

---

**Q. Is any person allowed to see my records?**

**A.** Yes, except as restricted by specific provisions in state or federal law. G.S. § 132-6 instructs:

“Every custodian of public records shall permit any record in the custodian’s custody to be inspected and examined at reasonable times and under reasonable supervision by any person, and shall, as promptly as possible, furnish copies thereof upon payment of any fees as may be prescribed by law. ... No person requesting to inspect and examine public records, or to obtain copies thereof, shall be required to disclose the purpose or motive for the request.”

---

**Q. What about my confidential records?**

**A.** Not all government records are open to public inspection. Exceptions to the access requirements in G.S. § 132-6 and the definition of public records in G.S. § 132-1 are found throughout the General Statutes. You must be able to cite a specific provision in the General Statutes or federal law when you restrict or deny access to a particular record.

---

**Q. Am I required to make available to the public copies of drafts that have not been approved?**

**A.** Yes, even if a report, permit, or other record has not been finalized, it is still a public record subject to request. Any record that is not confidential by law must be provided when a request is received, whether it is “finished” or not.

---

**Q. What do I do with permanent records?**

**A.** Permanent records should be maintained in the office that created the records, forever.

The Department of Natural and Cultural Resources (DNCR) is charged by the General Assembly with the administration of a records management program (N.C.G.S. §121-4 (2) and §132-8.1) and the maintenance of “a program for the selection and preservation of public records considered **essential** to the operation of government and to the **protection of the rights and interests of persons**” (§132-8.2). Permanent records with these characteristics require preservation duplicates that are human-readable (paper or microfilm). Some examples of these characteristics include:

- Affect multiple people, without regard to relation
- Have significance over a long span of time
- Document governance
- Document citizenship

Examples of records with these characteristics:

- Minutes of governing bodies at the state and local levels are the basic evidence of our system of governance, and are routinely provided for the public to read.
  - Records, such as deeds and tax scrolls, about land document changes in ownership and condition. Counties maintain offices expressly for the purpose of making those records available to the public. Other records in local and state governments document potential public health hazards, such as hazardous materials spills.
  - Adoptions, marriages, and divorces document changes in familial relationships and document citizenship. Though adoptions are confidential (not available for public inspection), they document citizenship and changes in inheritance and familial succession.
  - Court records, such as wills, estates, and capital cases, affect people within and across family groups, are made available for public inspection, and often involve transactions related to the examples above.
- See the Human-Readable Preservation Duplicates policy issued by the North Carolina Department of Natural and Cultural Resources (<https://archives.ncdcr.gov/documents/human-readable-preservation-duplicates>) and check with a records analyst to determine whether your permanent records require a preservation duplicate.

---

***Q. What is historical value?***

- A.** Historical records document significant events, actions, decisions, conditions, relationships, and similar developments. These records have administrative, legal, fiscal, or evidential importance for the government or its citizens. Call a Records Management Analyst for further assistance in assessing historical value.

---

***Q. What if I do not have any records?***

- A.** Nearly every position in government generates, receives, or uses records. Computer files of any kind, including drafts and e-mail, are public records. Even if your records are not the official or final version, your records are public records. Not all records have high historical, legal, or fiscal value, but they all must be destroyed in accordance with the provisions of the appropriate records schedule.

---

***Q. May I store our unused records in the basement, attic, shed, etc.?***

- A.** Public records are public property. Though we encourage agencies to find places to store records that do not take up too much valuable office space, the selected space should be dry, secure, and free from pests and mold. Your office must ensure that records stored away from your main office area are well protected from natural and man-made problems while remaining readily available to your staff and the public.

---

***Q. Our old records are stored in the attic, basement, or off-site building, etc. Are we required to provide public access to these records?***

- A.** Yes, as long as the records are not confidential by law. You should also be aware that confidentiality can expire.

---

***Q. Aren't all our old records at the State Archives of North Carolina?***

- A.** Probably not. The State Archives of North Carolina collects only very specific types of records from local government offices. Contact a Records Management Analyst for more information about which records are held or can be transferred to the State Archives of North Carolina for permanent preservation.

---

***Q. I found some really old records. What should I do with them?***

- A.** Call a Records Management Analyst. We will help you examine the records and assess their historical value.

---

***Q. Can I give my old records to the historical society or public library?***

- A.** Before you offer any record to a historical society, public library, or any other entity, you must contact a Records Management Analyst. Permanent records must be kept either in your offices or at the State Archives of North Carolina.

---

***Q. Whom can I call with questions?***

- A.** If you are located west of Statesville, call our Western Office in Asheville at (828) 296-7230 extension 224. If you are east of Statesville, all the way to the coast, call our Raleigh office at (919) 814-6900.

## AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION

---

***Q. Why is there an asterisk in the disposition instructions of so many items on this schedule?***

***A. No record involved in a pending or ongoing audit, legal, or other official action may be destroyed before that audit or action is resolved.***

A legal hold or litigation hold means that records that are the subject of the legal hold or litigation hold must be preserved and thus must not be destroyed until officially released from the hold. A legal hold or litigation hold is placed when either an official discovery order is served on the agency requesting the production of the records in question (for a litigation, regulatory investigation, audit, open records request, etc.) or litigation is pending and the agency is thus on notice to preserve all potentially relevant records. You must also ensure that for a claim or litigation that appears to be reasonably foreseeable or anticipated but not yet initiated, any records (in paper or electronic formats) relevant to such a claim or litigation are preserved and not destroyed until released by your General Counsel. The records in question must not be destroyed until the completion of the action and the resolution of all issues that arise from it regardless of the retention period set forth in this schedule.

We have used an asterisk (\*) in the disposition instructions to mark records series that are commonly audited, litigated, or may be subject to other official actions. However, any record has this potential. Records custodians are responsible for being aware of potential actions, and for preventing the destruction of any record that is, or may be reasonably expected to become, involved in an audit, legal, or other official action.

Records used during routine audits may be destroyed when the governing body accepts the audit, if the records have completed the retention period listed in this schedule. If time remains in the retention period, the records must be maintained for the remainder of the period. The auditor's working papers must be kept according to the schedule. (See **AUDITS: PERFORMANCE**, page 2, item 8, and **AUDITS: FINANCIAL**, page 19, item 6.) Should a dispute arise over an audit, the records that were audited should be retained until that dispute is resolved.

The attorney representing the agency should inform records custodians when legal matters are concluded and records will no longer be needed. Following the conclusion of any legal action, the records may be destroyed if they have met the retention period in the schedule. Otherwise, they should be kept for the remaining time period.

## TRANSITORY RECORDS

Transitory records are defined as “record[s] that [have] little or no documentary or evidential value and that need not be set aside for future use.”<sup>1</sup>

According to North Carolina General Statutes § 121 and § 132, every document, paper, letter, map, book, photograph, film, sound recording, magnetic or other tape, electronic data processing record, artifact, or other documentary material, regardless of physical form or characteristics, made or received in connection with the transaction of public business by any state, county, municipal agency, or other political subdivision of government is considered a public record and may not be disposed of, erased, or destroyed without specific approval from the Department of Natural and Cultural Resources.

The Department of Natural and Cultural Resources recognizes that some records may have little or no long-term documentary or evidential value to the creating agency. These records are often called “transitory records.” The following questions and answers discuss types of transitory records commonly created in state government. They may be disposed of according to the guidance below. However, all public employees should be familiar with the General Schedule for State Agency Records, their office’s Program Records Retention and Disposition Schedule, and any other applicable guidelines for their office. If any of these documents require a different retention period for these records, follow the longer of the two retention periods. When in doubt about whether a record is transitory, or whether it has special significance or importance, retain the record in question and seek guidance from the analyst assigned to your agency.

---

### ***Q. What do I do with routing slips, fax cover sheets, “while you were out” slips, memory aids, etc.?***

- A.** Routing slips and transmittal sheets adding no information to that contained in the transmitted material have minimal value after the material has been successfully transmitted. These records may be destroyed or otherwise disposed of after receipt of the material has been confirmed.

Similarly, “while you were out” slips, memory aids, and other records requesting follow-up actions (including voicemails) have minimal value once the official action these records are supporting has been completed and documented. Unless they are listed on the General Schedule for State Agency Records or your office’s Program Records Retention and Disposition Schedule, these records may be destroyed or otherwise disposed of once the action has been resolved.

---

### ***Q. What about research materials, drafts, and other working papers used to create a final, official record?***

- A.** Drafts and working papers are materials, including notes and calculations, gathered or created to assist in the creation of another record. All drafts and working papers are public records subject to all provisions of General Statute § 132, but many of them have minimal value after the final version of the record has been approved, and may be destroyed after final approval, if they are no longer necessary to support the analysis or conclusions of the official record. Drafts and working documents which may be destroyed after final approval include:

- Drafts and working papers for internal and external policies
- Drafts and working papers for internal administrative reports, such as daily and monthly activity reports
- Drafts and working papers for internal, non-policy-level documents, such as informal workflows and manuals; and

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<sup>1</sup> A Glossary of Archival and Records Terminology, Richard Pearce-Moses (2005)

- Drafts and working papers for presentations, workshops, and other explanations of agency policy that are already formally documented.

---

***Q. What if I have forms designed and used solely to create, update, or modify records in an electronic medium?***

- A.** If these records are not required for audit or legal purposes, they may be destroyed in office after completion of data entry and after all verification and quality control procedures. However, if the forms contain any analog components that are necessary to validate the information contained on them (e.g. a signature or notary's seal), they should be retained according to the disposition instructions for the records series encompassing the forms' function.

See also the State Archives of North Carolina's guidance on digital signatures found at:

<https://archives.ncdcr.gov/documents/digital-signature-policy-guidelines>

## LEGEND FOR RECORDS SCHEDULE

This records retention and disposition schedule applies to records in all media, unless otherwise specified.



– symbol designating that one or more records in this series may be confidential or may include confidential information.

**Item #** – an identifying number assigned to each records series for ease of reference.

**Series** – “a group of similar records that are . . . related as the result of being created, received, or used in the same activity.” (From Richard Pearce-Moses, *A Glossary of Archival and Records Terminology*). Series in this schedule are based on common functions in government offices.

**Records Series Title** – a short identification of the records in a series, based on their common function.

**Series Description** – a longer description of the records in a series, often including the types of records that can frequently be found in that series. This information is included underneath the Records Series Title.

**Disposition Instructions** – instructions dictating the length of time a series must be retained and how the office should dispose of those records after that time.

**Citation** – a listing of references to statutes, laws, and codes related to the records series. Citations can include:

- Authority: governing the creation of records
- Confidentiality: limiting access to public records
- Retention: setting a retention period

Throughout this schedule, items that cross-reference other items within this schedule are indicated with bold, uppercase letters. If you hover your cursor over one of these items, you will see the hand tool that will enable you to click on the item to follow the link to that location.

### **AUDITS: PERFORMANCE**

Records concerning internal and external audits conducted to assess the function of government programs. Includes reports, working papers, corrective measures, and other related records.

See also **AUDITS: FINANCIAL**, page 20, item 6.

Sample records series title and description with cross-reference included

***No destruction of records may take place if litigation or audits are pending or reasonably anticipated.  
See also AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS, page vi.***

**STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS**

Official records pertaining to the authority, operating philosophy, methods, primary functions, and routine office administration of local agencies.

| ITEM # | STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS                                                                                                                                                                                                                                                        |                                                                                                                                                                                                              |                              |
|--------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------|
|        | RECORDS SERIES TITLE                                                                                                                                                                                                                                                                                     | DISPOSITION INSTRUCTIONS                                                                                                                                                                                     | CITATION                     |
| 1.     | <b>ABSTRACTS OF MUNICIPAL ELECTIONS</b><br>Copies of abstracts prepared by the County Board of Elections and forwarded to the municipal clerk.                                                                                                                                                           | Destroy in office when reference value ends. <sup>†</sup><br>Agency Policy: Destroy in office after _____<br><i>Retention Note: Official record maintained permanently by the County Board of Elections.</i> | Authority:<br>G.S. § 163-300 |
| 2.     | <b>ACCREDITATION RECORDS</b><br>Records documenting accreditations and certifications received by the agency. Includes applications, final reports, and other related records.                                                                                                                           | Destroy in office 5 years after superseded or obsolete.                                                                                                                                                      | Authority:<br>10A NCAC 48B   |
| 3.     | <b>ADMINISTRATIVE DIRECTIVES, REGULATIONS, AND RULES</b>                                                                                                                                                                                                                                                 | a) Retain in office official copy permanently.<br>b) Destroy in office remaining records after 3 years.                                                                                                      |                              |
| 4.     | <b>AGENDA AND MEETING PACKETS</b><br>Includes agendas and copies of supporting documentation submitted and discussed during meetings of public bodies. Also includes documentation of outside meetings attended by agency personnel.<br><br>See also <b>MINUTES OF PUBLIC BODIES</b> , page 11, item 42. | a) Retain in office records with historical value permanently.<br>b) Destroy in office remaining records when reference value ends. <sup>†</sup><br>Agency Policy: Destroy in office after _____             |                              |

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page vi.

<sup>†</sup> See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.



| ITEM # | STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS                                                                                                                                                                                                                                    |                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                |
|--------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------|
|        | RECORDS SERIES TITLE                                                                                                                                                                                                                                                                 | DISPOSITION INSTRUCTIONS                                                                                                                                                                                                                                                                                                                                                                                                                      | CITATION                       |
| 5.     | <b>APPLICATIONS FOR APPOINTMENT</b><br>Applications and related records received from individuals applying for appointments to serve on public boards, commissions, councils, and committees.                                                                                        | a) Destroy in office records concerning appointed individuals 1 year after expiration of term.<br>b) Destroy in office remaining records when reference value ends. <sup>†</sup><br>Agency Policy: Destroy in office after _____                                                                                                                                                                                                              |                                |
| 6.     | <b>APPOINTMENT REPORTS</b><br>Includes annual appointment reports filed with the NC Department of the Secretary of State.                                                                                                                                                            | Destroy in office after 2 years.                                                                                                                                                                                                                                                                                                                                                                                                              | Authority:<br>G.S. § 143-157.1 |
| 7.     | <b>AUDIO AND VIDEO RECORDINGS OF MEETINGS</b><br><br>See also <b>MINUTES OF PUBLIC BODIES</b> , page 11, item 42.                                                                                                                                                                    | Destroy in office after approval of official written minutes.<br><i>NOTE: If these serve as the official minutes, as allowed by G.S. § 143-318.10(e), their retention should be permanent. These disposition instructions apply to recordings produced solely for the purpose of generating official written minutes.</i>                                                                                                                     |                                |
| 8.     | <b>AUDITS: PERFORMANCE</b><br>Records concerning internal and external audits conducted to assess the function of government programs. Includes reports, working papers, corrective measures, and other related records.<br><br>See also <b>AUDITS: FINANCIAL</b> , page 19, item 6. | a) Retain in office permanently reports related to internal compliance or operational audits, hazardous material, or those that document a significant change in agency practices.<br>b) Destroy in office remaining audit reports after 10 years.<br>c) Destroy in office documentation of corrective measures 2 years after their implementation.<br>d) Destroy in office working papers and remaining records when superseded or obsolete. |                                |

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page vi.

<sup>†</sup> See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.

| ITEM #                                                                                  | STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS                                                                                                                                                                                                        |                                                                                                                                                                                                                                                                                                                              |                                    |
|-----------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------|
|                                                                                         | RECORDS SERIES TITLE                                                                                                                                                                                                                                     | DISPOSITION INSTRUCTIONS                                                                                                                                                                                                                                                                                                     | CITATION                           |
| 9.<br> | <b>BLUEPRINTS AND SPECIFICATIONS</b><br>Blueprints and specifications of agency owned buildings and facilities. Includes as-built plans and related records concerning approved changes.                                                                 | a) Transfer as-built drawings to new owner when agency relinquishes ownership of building or facility.<br>b) Retain in office as-built drawings for life of structure and then destroy.<br>c) Destroy in office blueprints, floorplans, and other preliminary design and construction documents when superseded or obsolete. | Confidentiality:<br>G.S. § 132-1.7 |
| 10.                                                                                     | <b>BONDS</b><br>Records documenting written guarantees from a third party, including bid bonds, payment bonds, performance bonds, and surety bonds.<br><br>See also <b>BIDS FOR PURCHASE</b> , page 20, item 10, and <b>PROJECTS</b> , page 14, item 53. | Destroy in office 5 years after expiration or cancellation.                                                                                                                                                                                                                                                                  |                                    |
| 11.                                                                                     | <b>BULLETINS</b><br>Internal information sharing materials that circulate information within the agency. Also includes memoranda and newsletters.                                                                                                        | Destroy in office when superseded or obsolete.                                                                                                                                                                                                                                                                               |                                    |
| 12.                                                                                     | <b>BUSINESS CERTIFICATION RECORDS</b><br>Applications and supporting documentation submitted by businesses to be certified as a Small Business Enterprise (SBE) or other classification.                                                                 | a) Destroy in office all documentation 3 years after most recent recertification.<br>b) If certification was never issued, destroy in office all documentation when reference value ends. <sup>†</sup><br>Agency Policy: Destroy in office after _____                                                                       |                                    |
| 13.                                                                                     | <b>BUSINESS DEVELOPMENT SUBJECT FILE</b>                                                                                                                                                                                                                 | Destroy in office after 3 years.                                                                                                                                                                                                                                                                                             |                                    |
| 14.                                                                                     | <b>CALENDARS OF EVENTS AND APPOINTMENTS</b>                                                                                                                                                                                                              | Destroy in office when superseded or obsolete.                                                                                                                                                                                                                                                                               |                                    |

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| ITEM # | STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                                                                                                                                                                                                                                                                                           |                            |
|--------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------|
|        | RECORDS SERIES TITLE                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | DISPOSITION INSTRUCTIONS                                                                                                                                                                                                                                                                  | CITATION                   |
| 15.    | <b>CENSUS PROJECT RECORDS</b><br>Records created to assist the U.S. Census Bureau with the decennial census.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | Destroy in office when reference value ends. <sup>†</sup><br>Agency Policy: Destroy in office after _____                                                                                                                                                                                 |                            |
| 16.    | <b>CHARTER RECORDS</b><br>Charter and charter proceedings related to adoption, amendment and/or repeal.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | Retain in office permanently.                                                                                                                                                                                                                                                             |                            |
| 17.    | <b>CITIZEN COMMENTS, COMPLAINTS, PETITIONS, AND SERVICE REQUESTS</b><br>Records concerning objections, dissatisfaction, or disagreements with actions or positions taken or not taken by the agency. Includes comments and petitions submitted by citizens requesting action as well as routine requests for service. Also includes requests for reasonable accommodation under Title II of the Americans with Disabilities Act, including survey of agency buildings to determine accessibility to the physically handicapped, federal regulations, proposals for implementing the act, correspondence (including e-mail), resolutions, and solutions to access problems.<br><br>See also <b>CIVIL RIGHTS RECORDS</b> , page 44, item 5. | a) Transfer records as applicable to <b>LITIGATION CASE RECORDS</b> , page 47, item 17.<br>b) Destroy in office comments, informal complaints, petitions, and requests 1 year after resolution.*<br>c) Destroy in office accommodation requests and complaints 2 years after resolution.* | Authority:<br>42 USC 12132 |
| 18.    | <b>CITIZEN REBATE PROGRAM RECORDS</b><br>Applications, receipts, and related records concerning rebate programs sponsored by the agency. These records document programs and incentivized actions that citizens may opt into.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | a) Destroy in office financial records 3 years after approval.*<br>b) Destroy in office applications 1 year after approval.<br>c) Destroy in office denied applications when reference value ends. <sup>†</sup><br>Agency Policy: Destroy in office after _____                           |                            |

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<sup>†</sup> See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.

| ITEM # | STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS                                                                                                                                                                                                                                                                                                                |                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                            |
|--------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------|
|        | RECORDS SERIES TITLE                                                                                                                                                                                                                                                                                                                                             | DISPOSITION INSTRUCTIONS                                                                                                                                                                                                                                                                                                                                                                                                               | CITATION                                                                   |
| 19.    | <b>CITIZEN SURVEYS</b><br>Surveys and related records addressing agency services, policies, and other concerns.                                                                                                                                                                                                                                                  | Destroy in office when reference value ends. <sup>†</sup><br>Agency Policy: Destroy in office after _____                                                                                                                                                                                                                                                                                                                              |                                                                            |
| 20.    | <b>COLLECTED DATA</b><br>Information and statistics compiled and analyzed for research purposes or to support the functions of the agency.                                                                                                                                                                                                                       | Destroy in office when superseded or obsolete.                                                                                                                                                                                                                                                                                                                                                                                         | If data contains confidential information, abide by relevant restrictions. |
| 21.    | <b>COMPREHENSIVE PLAN</b><br>Long-range plan outlining policies, guidelines, and plans for future development of the agency. Includes official copy of comprehensive plan and all background surveys, studies, reports, and draft versions of plans. Also includes strategic plans and business plans, as well as goals and objectives.                          | a) Retain in office comprehensive plans and strategic plans permanently.<br>b) Destroy in office background surveys, studies, reports, and drafts 5 years after adoption of plan.<br>c) Destroy in office business plans 2 years after execution of plan.<br>d) Destroy in office goals and mission statements when superseded or obsolete.                                                                                            |                                                                            |
| 22.    | <b>CORRESPONDENCE AND MEMORANDA</b><br>Administrative and management correspondence/memoranda (including e-mail) written or received by the office concerning agency authority, operating philosophy, purpose, methods, and any other function.<br><br>For information on handling e-mail and text or instant messages, see <b>ELECTRONIC RECORDS</b> , page 78. | a) Transfer correspondence (including e-mail) with historical value to <b>HISTORY RECORDS</b> , page 8, item 32, after 3 years.<br>b) Destroy routine administrative correspondence and memoranda after 1 year.<br>c) Destroy in office remaining records after 3 years.<br><br><i>Retention Note: The correspondence (including e-mail) of the most senior administrator has historical value and should be retained permanently.</i> |                                                                            |

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| ITEM # | STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS                                                                                                                                                                                                                                                                                                                |                                                                                                                                                                                                                                                                                                               |          |
|--------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|
|        | RECORDS SERIES TITLE                                                                                                                                                                                                                                                                                                                                             | DISPOSITION INSTRUCTIONS                                                                                                                                                                                                                                                                                      | CITATION |
| 23.    | <b>CUSTOMER CALL CENTER RECORDINGS</b><br>Recordings of calls to customer service centers made for quality assurance and training purposes.                                                                                                                                                                                                                      | Destroy in office after 30 days.                                                                                                                                                                                                                                                                              |          |
| 24.    | <b>EQUIPMENT AND VEHICLE MAINTENANCE, REPAIR, AND INSPECTION RECORDS</b><br>Records concerning the maintenance, repair, routine testing, and inspection of agency owned equipment and vehicles. Also includes warranties.<br><br>See also <b>GRANTS</b> , page 8, item 31, and <b>SYSTEM MAINTENANCE RECORDS: HARDWARE REPAIR OR SERVICE</b> , page 40, item 15. | a) Destroy in office records documenting routine inspections, janitorial cleaning, and routine maintenance of equipment and vehicles after 1 year.*<br>b) Destroy in office records documenting all other maintenance and repairs after 3 years.*<br>c) Destroy in office warranties 1 year after expiration. |          |
| 25.    | <b>EQUIPMENT AND VEHICLE REFERENCE RECORDS</b><br>Includes operation, specification, and technical manuals. Also includes brochures, bulletins, and related documentation.                                                                                                                                                                                       | Destroy in office when superseded or obsolete.                                                                                                                                                                                                                                                                |          |
| 26.    | <b>EQUIPMENT, FACILITY, AND VEHICLE USAGE RECORDS</b><br>Records documenting the assignment, request, and usage of agency assets. Also includes mileage and checkout logs, fuel consumption reports, reservation requests, authorizations, utility usage logs, and similar records.                                                                              | a) Destroy in office after 3 years if records are used for allocating costs or determining payment under rental or lease agreements.*<br>b) Destroy in office remaining records after 1 year.                                                                                                                 |          |

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| ITEM # | STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS                                                                                                                                                                                                                                                                                                                                                                            |                                                                                                                                                                                                                                                                                                                         |          |
|--------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|
|        | RECORDS SERIES TITLE                                                                                                                                                                                                                                                                                                                                                                                                         | DISPOSITION INSTRUCTIONS                                                                                                                                                                                                                                                                                                | CITATION |
| 27.    | <b>FACILITY MAINTENANCE, REPAIR, AND INSPECTION RECORDS</b><br>Records documenting maintenance, repair, and inspection of agency-owned facilities.<br><br>See also <b>CONTRACTS, LEASES, AND AGREEMENTS</b> , page 45, item 8.                                                                                                                                                                                               | a) Destroy in office records documenting routine inspections, janitorial cleaning, environmental monitoring, and routine maintenance of facilities after 1 year.<br><br>b) Destroy in office records documenting system repair and improvement (including plumbing, electrical, fire, and other systems) after 3 years. |          |
| 28.    | <b>FORMS AND TEMPLATES</b><br>Blank forms, templates, and letterhead used to create agency records.                                                                                                                                                                                                                                                                                                                          | Destroy in office when superseded or obsolete.                                                                                                                                                                                                                                                                          |          |
| 29.    | <b>GOVERNING AND ADVISORY BODY MEMBER FILES</b><br>Records concerning members of public boards, commissions, councils, and committees. Includes codes of conduct, ethics statements, agreements, notices of resignation, and other related records. Also includes biographical information and waivers.<br><br>See also <b>APPLICATIONS FOR APPOINTMENT</b> , page 2, item 5, and <b>OATHS OF OFFICE</b> , page 47, item 18. | a) Retain in office records with historical value permanently.<br><br>b) Destroy in office 1 year after superseded or obsolete waivers from board members choosing not to receive stipend/per diem payments.<br><br>c) Destroy in office remaining records 1 year after service ends.                                   |          |
| 30.    | <b>GRANT PROPOSALS</b><br>Proposals submitted for grants, including applications, correspondence (including e-mail), and other related records.                                                                                                                                                                                                                                                                              | a) Transfer records concerning approved grants to <b>GRANTS</b> , page 8, item 31.<br><br>b) Destroy in office rejected or withdrawn grant proposals when reference value ends. <sup>†</sup><br><br>Agency Policy: Destroy in office after _____                                                                        |          |

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<sup>†</sup> See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.

| ITEM # | STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS                                                                                                                                                                                                                                                                                                                                                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                                                  |
|--------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------|
|        | RECORDS SERIES TITLE                                                                                                                                                                                                                                                                                                                                                                                       | DISPOSITION INSTRUCTIONS                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | CITATION                                         |
| 31.    | <b>GRANTS</b><br>Records concerning approved federal, state, and private grants. File includes applications, reports, records of equipment purchased with grant funds, and all relevant programmatic records. Also includes documentation about grants issued by the agency along with research records generated as part of a grant project.<br><br>See also <b>GRANTS: FINANCIAL</b> , page 24, item 27. | a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.<br><br>b) Destroy in office records of state and private grants 5 years after final financial report is filed.*<br><br>c) Destroy in office records of other federal grants 3 years after final financial report is filed.<br><br>d) Destroy in office records not relating to a specific grant after 1 year.<br><br><i>Retention Note: According to 2 CFR 200.333(c), records for real property and equipment acquired with Federal funds must be retained for 3 years after disposition of the property/equipment.</i> | Retention:<br>09 NCAC 03M .0703<br>2 CFR 200.333 |
| 32.    | <b>HISTORY RECORDS (AGENCY AND EMPLOYEES)</b><br>Records concerning the history of the agency and its employees. Includes published and unpublished histories, biographical data, photographs, newspaper clippings, and other related records.                                                                                                                                                             | a) Retain in office records with historical value permanently.<br><br>b) Destroy in office remaining records when reference value ends.†<br><br>Agency Policy: Destroy in office after _____                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                                  |
| 33.    | <b>IMPROPER CONDUCT INVESTIGATIONS</b><br>Records concerning investigations triggered by questions about ethics or conduct within an agency, such as whistleblower reports or allegations of fraud. Includes complaints, reports, investigations, and other related records. Also includes records from an ombuds office.                                                                                  | Destroy in office 3 years after resolution.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                  |

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| ITEM # | STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS                                                                                                                                                                                                                                                                   |                                                                                                                                                                                                            |          |
|--------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|
|        | RECORDS SERIES TITLE                                                                                                                                                                                                                                                                                                | DISPOSITION INSTRUCTIONS                                                                                                                                                                                   | CITATION |
| 34.    | <b>INDICES</b><br>Listings of where specific information can be found.                                                                                                                                                                                                                                              | Destroy in office when superseded or obsolete.                                                                                                                                                             |          |
| 35.    | <b>INTERAGENCY PROGRAMS</b><br>Records of programs involving more than one government agency. Includes resource materials, program information, and other related records.                                                                                                                                          | Destroy in office when reference value ends.†<br>Agency Policy: Destroy in office after _____                                                                                                              |          |
| 36.    | <b>INVENTORIES</b><br>Inventories describing the type of property (including equipment and facilities other and fixed assets), its location, and related information. Also includes inventory control and usage records, such as requisitions/draw tickets, mileage logs, request forms, and other related records. | a) Destroy in office lists of properties, facilities, fixed assets, supplies, and surplus property when superseded or obsolete.<br>b) Destroy in office inventory control and usage records after 3 years. |          |
| 37.    | <b>LEGISLATION AND REGULATORY RECORDS</b><br>Notices and copies of proposed or adopted state or federal legislation or regulations affecting the agency.                                                                                                                                                            | Destroy in office when reference value ends.†<br>Agency Policy: Destroy in office after _____                                                                                                              |          |
| 38.    | <b>LOGISTICS MATERIALS</b><br>Records concerning scheduled plans of agency personnel. Includes routine notices, task lists, and arrangements.                                                                                                                                                                       | Destroy in office after 1 year.                                                                                                                                                                            |          |
| 39.    | <b>MAIL: UNDELIVERABLE/RETURNED</b><br>Outgoing agency mail returned by the post office for any reason, including insufficient postage, incorrect address, forwarding order expired, etc. Also includes outgoing e-mail returned for any reason.                                                                    | Destroy in office after 30 days.                                                                                                                                                                           |          |

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† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.



| ITEM #                                                                                   | STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS                                                                                                                                                                                                  |                                                                                                                                                                                                    |                                                        |
|------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------|
|                                                                                          | RECORDS SERIES TITLE                                                                                                                                                                                                                               | DISPOSITION INSTRUCTIONS                                                                                                                                                                           | CITATION                                               |
| 40.<br> | <b>MAILING AND DISTRIBUTION RECORDS</b><br>Includes mailing and meeting notification lists, e-mail distribution lists, Sunshine Lists, and related documentation of transactions with the U.S. Postal Service, state courier, or private carriers. | a) Destroy in office Sunshine Lists when superseded or obsolete.<br>b) Destroy in office remaining records when reference value ends. <sup>†</sup><br>Agency Policy: Destroy in office after _____ | Confidentiality:<br>G.S. § 132-1.12<br>G.S. § 132-1.13 |
| 41.                                                                                      | <b>MEMBERSHIP RECORDS</b><br>Records concerning associations, organizations, groups, etc., with which the agency is involved. Includes records concerning memberships or registrations on behalf of the agency or agency personnel.                | Destroy in office when superseded or obsolete.                                                                                                                                                     |                                                        |

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| ITEM # | STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                 |
|--------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------|
|        | RECORDS SERIES TITLE                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | DISPOSITION INSTRUCTIONS                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | CITATION                        |
| 42.    | <b>MINUTES OF PUBLIC BODIES</b><br>Includes minutes of the governing board and all subsidiary and advisory boards. Subsidiary boards are defined as boards that exercise or are authorized to exercise legislative, policy-making, quasi-judicial, or administrative functions. Also includes minutes of subcommittees of the governing board and its subsidiary and advisory boards.<br><br>See the <b>MICROFILM</b> section on page 82 for instructions on microfilming.<br><br>See also <b>AGENDA AND MEETING PACKETS</b> , page 1, item 4, and <b>AUDIO AND VIDEO RECORDINGS OF MEETINGS</b> , page 2, item 7. If there are other boards in the operational standard(s) or if the Workforce Development standard is included, add references to those boards here. | a) Retain in office permanently official minutes of the governing board and its subsidiary boards as well as all attachments necessary to understand the body's actions.<br><br>b) The official minutes of advisory boards may be destroyed only upon approval by the State Archives of North Carolina. The State Archives reserves the right to designate the minutes of any advisory board as permanent.<br><br>c) Destroy in office minutes of committees or subcommittees when reference value ends, if the minutes or actions and decisions of the committee are entered as part of the minutes of the parent board. If minutes or actions and decisions of the committee or subcommittee in question are not entered as part of the minutes of the parent board, the State Archives reserves the right to designate the minutes as permanent.†<br><br>Agency Policy: Destroy in office after _____ | Authority:<br>G.S. § 143-318.10 |
| 43.    | <b>MINUTES (STAFF MEETINGS)</b><br>Minutes of staff meetings, including all referenced and attached documentation.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | a) Retain in office records with historical value permanently.<br>b) Destroy in office remaining records after 1 year.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                 |
| 44.    | <b>MISCELLANEOUS (NON-BUILDING) APPLICATIONS, LICENSES, AND PERMITS</b><br>Includes, but not limited to, applications and permits regarding burning, special events, and landscape establishment.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | a) Destroy in office 1 year after expiration of license/permit.<br>b) Destroy in office applications for which a license/permit was never issued when reference value ends.†<br><br>Agency Policy: Destroy in office after _____                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | Authority:<br>G.S. § 66-77      |

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| ITEM # | STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS                                                                                                                                                                                                                                                                                                                        |                                                                                                                                                                                                                                                                                                                                                                      |                                    |
|--------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------|
|        | RECORDS SERIES TITLE                                                                                                                                                                                                                                                                                                                                                     | DISPOSITION INSTRUCTIONS                                                                                                                                                                                                                                                                                                                                             | CITATION                           |
| 45.    | <b>NOTICES OF PUBLIC MEETINGS</b><br>Includes notices and regular meeting schedules.<br><br>See also <b>AFFIDAVITS OF PUBLICATION</b> , page 43, item 1, and <b>PUBLICITY RECORDS</b> , page 69, item 12.                                                                                                                                                                | Destroy in office after 1 year.                                                                                                                                                                                                                                                                                                                                      |                                    |
| 46.    |  <b>OFFICE SECURITY RECORDS</b><br>Records concerning the security of agency offices, facilities, vehicles, equipment, and personnel. Includes visitors' register; security, employee, or contractor access to facilities or resources; and surveillance system reports and recordings. | a) If the recording becomes evidence in a personnel investigation or lawsuit, transfer to <b>DISCIPLINARY ACTIONS</b> , page 54, item 12, or <b>LITIGATION CASE RECORDS</b> , page 47, item 17.<br>b) Destroy in office recordings not required to support known investigations or litigation after 30 days.<br>c) Destroy in office remaining records after 1 year. | Confidentiality:<br>G.S. § 132-1.7 |
| 47.    | <b>ORDINANCES</b><br>Includes code of ordinances.<br><br>See the <b>MICROFILM</b> section on page 82 for instructions on microfilming.                                                                                                                                                                                                                                   | a) Retain in office official copy permanently.<br>b) Destroy in office ordinance development records when ordinance is no longer in effect.<br>c) Destroy in office additional copies (including tabled or failed ordinances) when reference value ends.†<br>Agency Policy: Destroy in office after _____                                                            |                                    |
| 48.    | <b>PEST CONTROL</b><br>Records concerning pest abatement or eradication programs overseen by the agency.                                                                                                                                                                                                                                                                 | Destroy in office after 3 years.*                                                                                                                                                                                                                                                                                                                                    |                                    |

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| ITEM # | STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                                                                                                                                                                                           |                                                                                                |
|--------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------|
|        | RECORDS SERIES TITLE                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | DISPOSITION INSTRUCTIONS                                                                                                                                                                  | CITATION                                                                                       |
| 49.    | <b>POLICIES AND PROCEDURES</b><br>Records documenting the formulation, planning, and adoption of policies, procedures, and functions of the agency and its departments. File also includes organizational charts, reorganization studies, and similar records describing the arrangement and administrative structure of the agency.<br><br>See also <b>CIVIL RIGHTS RECORDS</b> , page 44, item 5, <b>POLICIES AND PROCEDURES (PERSONNEL)</b> , page 62, item 31, and <b>ELECTRONIC RECORDS POLICIES AND PROCEDURES</b> , page 38, item 7. | a) Retain in office records with historical value permanently.<br>b) Destroy in office remaining records when superseded or obsolete.                                                     |                                                                                                |
| 50.    | <b>POLL LIST/REGISTRATION LIST/ROSTER/ AUTHORIZATION TO VOTE (ATV)</b><br>Lists documenting registered electors and votes cast prior to County Board of Elections taking over municipal elections. Includes electronic or paper ATV related records such as ATV books, forms, unused stickers, lists, registers, indexes, or similar records used to verify persons are registered voters at each polling location.                                                                                                                         | Contact State Archives of North Carolina prior to destroying old poll books and voter registration books.                                                                                 | Authority:<br>G.S. § 163 Art. 15A<br>G.S. § 163-166.7<br>08 NCAC 10B .0103<br>52 USC Chap. 205 |
| 51.    | <b>PRICE QUOTATIONS</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | Destroy in office when reference value ends.†<br>Agency Policy: Destroy in office after _____.                                                                                            |                                                                                                |
| 52.    | <b>PROCLAMATIONS AND ORDERS</b><br>Proclamations and orders issued by the governing board.                                                                                                                                                                                                                                                                                                                                                                                                                                                  | a) Retain in office records with historical value permanently.<br>b) Destroy in office remaining records when reference value ends.†<br><br>Agency Policy: Destroy in office after _____. |                                                                                                |

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page vi.

† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.

| ITEM # | STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS                                                                                                                                                                                                                                                          |                                                                                                                                                                   |          |
|--------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|
|        | RECORDS SERIES TITLE                                                                                                                                                                                                                                                                                       | DISPOSITION INSTRUCTIONS                                                                                                                                          | CITATION |
| 53.    | <b>PROJECTS</b><br>Includes project correspondence (including e-mail), feasibility studies, final reports, specifications, assessments, notices to proceed, cost estimates, change orders, statements of work, and similar documentation.<br><br>See also <b>PROJECT DOCUMENTATION</b> , page 39, item 11. | a) Retain in office records with historical value permanently.<br>b) Destroy in office remaining records 3 years after completion of project.                     |          |
| 54.    | <b>PROPERTY MANAGEMENT RECORDS</b><br>Includes appraisals of the financial valuation of agency-owned property as well as surveys, plats, and maps.                                                                                                                                                         | Destroy in office when superseded or obsolete.                                                                                                                    |          |
| 55.    | <b>RATE AND FEE SCHEDULES</b><br>Records relating to rates, fees, and regulations concerning agency services.                                                                                                                                                                                              | Destroy in office when superseded or obsolete.                                                                                                                    |          |
| 56.    | <b>RECORDS MANAGEMENT</b><br>Includes correspondence (including e-mail) with state and/or federal agencies with regards to records retention. Also includes records disposition documentation, file plans, and copies of records retention and disposition schedules.                                      | a) Retain in office documentation concerning the final disposition of records permanently.<br>b) Destroy in office remaining records when superseded or obsolete. |          |

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| ITEM # | STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |          |
|--------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|
|        | RECORDS SERIES TITLE                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | DISPOSITION INSTRUCTIONS                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | CITATION |
| 57.    | <b>REFERENCE (READING) FILE</b><br>Subject files containing informational copies of records organized by areas of interest. Also includes materials that have no regulatory authority for the recipient and are received from outside the agency or from other units within the agency as well as reference copies of documents where another individual or agency is responsible for maintaining the record copy.                                                                                          | Destroy in office when reference value ends.†<br>Agency Policy: Destroy in office after _____                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |          |
| 58.    | <b>REPORTS AND STUDIES</b><br>Records concerning the performance of a department, program, or project, as well as those created for planning purposes. Includes all annual, sub-annual, or irregularly prepared research studies, reports, and studies generated by an agency or prepared by consultants hired by the agency. Also includes reports required to be submitted to the agency.<br><br>See also <b>CIVIL RIGHTS RECORDS</b> , page 44, item 5, and <b>COMPREHENSIVE PLAN</b> , page 5, item 21. | a) Retain in office permanently 1 copy of all annual and biennial reports written by the agency.<br>b) Retain in office permanently reports and studies prepared by request of an agency's governing body or a court.<br>c) Destroy in office after 3 years reports prepared monthly, bimonthly, or semi-annually.<br>d) Destroy in office after 1 year activity reports concerning workload measurements, time studies, number of jobs completed, etc., prepared on a daily or other periodic basis.<br>e) Destroy in office when superseded or obsolete reports required to be submitted to the agency.<br>f) Destroy in office remaining reports and studies when reference value ends.†<br>Agency Policy: Destroy in office after _____.<br><br><i>Retention Note: Reports and studies listed elsewhere in this schedule should be retained the specified period of time.</i> |          |

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| ITEM # | STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS                                                                                                                                                                       |                                                                                                                                                                                                                                                                                                                                                                                         |          |
|--------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|
|        | RECORDS SERIES TITLE                                                                                                                                                                                                    | DISPOSITION INSTRUCTIONS                                                                                                                                                                                                                                                                                                                                                                | CITATION |
| 59.    | <b>REQUESTS FOR INFORMATION</b><br>Requests received and responses issued by the agency.<br><br>See also <b>PUBLIC RECORDS REQUESTS</b> , page 69, item 11.                                                             | Destroy in office after 1 year after resolution.                                                                                                                                                                                                                                                                                                                                        |          |
| 60.    | <b>REQUESTS FOR PROPOSALS (RFP)</b><br>Proposals submitted by vendors in response to requests from agency.<br><br>See also <b>BIDS FOR PURCHASE</b> , page 20, item 10, and <b>PRICE QUOTATIONS</b> , page 13, item 51. | Destroy in office when reference value ends. <sup>†</sup><br>Agency Policy: Destroy in office after _____                                                                                                                                                                                                                                                                               |          |
| 61.    | <b>RESOLUTIONS</b><br>File consists of resolutions indicating date, issues or policy involved, and appropriate signatures.<br><br>See the <b>MICROFILM</b> section on page 82 for instructions on microfilming.         | a) Retain in office permanently one copy of final resolution.<br>b) Retain in office permanently resolution development records with historical value.<br>c) Destroy in office additional copies of resolutions (including those tabled or failed) along with all remaining development records when reference value ends. <sup>†</sup><br>Agency Policy: Destroy in office after _____ |          |
| 62.    | <b>SURPLUS PROPERTY</b><br>Inventories and reports of agency property to be surplussed.                                                                                                                                 | Destroy in office 3 years after disposition of property.*                                                                                                                                                                                                                                                                                                                               |          |
| 63.    | <b>TRACKING MATERIALS</b><br>Records intended to verify the receipt of information, such as certified mail receipts.                                                                                                    | Destroy in office when reference value ends. <sup>†</sup><br>Agency Policy: Destroy in office after _____                                                                                                                                                                                                                                                                               |          |

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<sup>†</sup> See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.

| ITEM # | STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS                                                                                                                                                                  |                                                                                                                                                                                                                                                                                                                                      |          |
|--------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|
|        | RECORDS SERIES TITLE                                                                                                                                                                                               | DISPOSITION INSTRUCTIONS                                                                                                                                                                                                                                                                                                             | CITATION |
| 64.    | <b>TRAVEL REQUESTS</b><br>Requests and authorizations for travel. Includes forms and itineraries.<br><br>See also <b>TRAVEL REIMBURSEMENTS</b> , page 28, item 45, and <b>PRICE QUOTATIONS</b> , page 13, item 51. | Destroy in office after 1 year.*                                                                                                                                                                                                                                                                                                     |          |
| 65.    | <b>VEHICLE REGISTRATION CARDS</b><br>North Carolina registration cards for vehicles in the agency fleet.<br><br>See also <b>VEHICLE TITLES</b> , page 49, item 23.                                                 | Destroy in office when superseded.                                                                                                                                                                                                                                                                                                   |          |
| 66.    | <b>WORK ORDERS</b><br>Includes date and location of work, cost of materials used and labor, type of work performed, and other related records regarding the repairs of equipment, facilities, and vehicles.        | a) Destroy in office 1 year after work is completed.*<br>b) If this is the only record documenting completed work, follow disposition instructions for <b>FACILITY MAINTENANCE, REPAIR, AND INSPECTION RECORDS</b> , page 7, item 27, or <b>EQUIPMENT AND VEHICLE MAINTENANCE, REPAIR, AND INSPECTION RECORDS</b> , page 6, item 24. |          |

1

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**STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS**

Records created and accumulated concerning the managerial control, budgeting, disbursement, collection, and accounting of the agency.

*Note: Per 26 CFR 1.148-5(d)(6)(iii)(E), all records necessary to support the tax-exempt status of an agency debt issue must be retained for the life of the debt plus 3 years.*

| ITEM # | STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS                                                                                                                                                                                                                                      |                                                                             |          |
|--------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------|----------|
|        | RECORDS SERIES TITLE                                                                                                                                                                                                                                                                 | DISPOSITION INSTRUCTIONS                                                    | CITATION |
| 1.     | <b>ACCOUNTS PAYABLE</b><br>Records concerning the status of accounts in which the agency owes money to firms or individuals. Includes invoices, reimbursements, receipts or bills of sale, check registers, and subsidiary registers. Also includes stop payment notices.            | Destroy in office 3 years after payment.*                                   |          |
| 2.     | <b>ACCOUNTS RECEIVABLE</b><br>Records concerning receivables owed and collected. Includes billing statements, records of payment received, remittances, subsidiary registers, overpayment or refund records, deposits, fines and fees assessed, and collection of past due accounts. | Destroy in office 3 years after collection.*                                |          |
| 3.     | <b>ACCOUNTS UNCOLLECTABLE</b><br>Records of accounts deemed uncollectable, including returned checks, write-off authorizations, and other related records.                                                                                                                           | Destroy in office 3 years after account is determined to be uncollectable.* |          |

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| ITEM # | STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS                                                                                                                                                  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                              |
|--------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------|
|        | RECORDS SERIES TITLE                                                                                                                                                                             | DISPOSITION INSTRUCTIONS                                                                                                                                                                                                                                                                                                                                                                                                                                              | CITATION                     |
| 4.     | <b>ANNUAL BUDGET</b><br>Annual budget and budget message submitted to governing board for approval.<br><br>See also <b>BUDGET REPORTS</b> , page 21, item 16.                                    | a) Retain in office records with historical value permanently.<br>b) Destroy in office remaining records after 3 years.<br><br><i>Retention Note: Annual budgets should be entered into the minutes of the governing board.</i>                                                                                                                                                                                                                                       | Authority:<br>G.S. § 159-11  |
| 5.     | <b>ARBITRAGE RECORDS</b><br>Records concerning arbitrage rebate calculations and funds rebated.                                                                                                  | Destroy in office 3 years after final redemption date of the bonds and after all related debts and obligations have been satisfied.*                                                                                                                                                                                                                                                                                                                                  | Authority:<br>26 CFR 1.148-3 |
| 6.     | <b>AUDITS: FINANCIAL</b><br>Records concerning internal and external audits. Includes reports, working papers, and related records.<br><br>See also <b>AUDITS: PERFORMANCE</b> , page 2, item 8. | a) Retain in office reports permanently final reports related to internal compliance or operational audits or those that document a significant change in agency practices or have significant administrative value.<br>b) Destroy in office after 10 years final reports related to internal accounting systems and controls and those with limited administrative value.<br>c) Destroy in office working papers and remaining records when superseded or obsolete.* | Authority:<br>G.S. § 159-34  |
| 7.     | <b>AUTHORIZATION FORMS</b><br>Authorization to purchase materials.                                                                                                                               | Destroy in office after 3 years.*                                                                                                                                                                                                                                                                                                                                                                                                                                     |                              |
| 8.     | <b>BANK STATEMENTS AND RECONCILIATIONS</b><br>Includes bank statements, canceled checks, deposit slips, and reconciliation reports.                                                              | Destroy in office after 3 years.*                                                                                                                                                                                                                                                                                                                                                                                                                                     |                              |

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† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.

| ITEM # | STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS                                                                                                                                                                                                                                                                                                         |                                                                                                                                                                                  |                                    |
|--------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------|
|        | RECORDS SERIES TITLE                                                                                                                                                                                                                                                                                                                                    | DISPOSITION INSTRUCTIONS                                                                                                                                                         | CITATION                           |
| 9.     | <b>BIDS FOR DISPOSAL OF PROPERTY</b><br>Records concerning the disposal of surplus property. Includes information about various disposition procedures used, such as sealed bids and public auction.<br><br>See also <b>ACCOUNTS RECEIVABLE</b> , page 18, item 2.                                                                                      | Destroy in office all records after the disposition of property has been recorded in governing board's minutes.*                                                                 | Authority:<br>G.S. § 153A-176      |
| 10.    | <b>BIDS FOR PURCHASE</b><br>Records documenting quotes to supply products and services. Includes advertisements, tabulations, awards letters, records of bids, good faith effort documentation, and related records concerning accepted and rejected bids.                                                                                              | a) Transfer records to <b>CONTRACTS, LEASES, AND AGREEMENTS</b> , page 45, item 8 when bid is approved.<br>b) Destroy in office bid records not awarded or opened after 1 year.* | Authority:<br>G.S. § 143 Article 8 |
| 11.    | <b>BOND CLOSING RECORDS</b><br>Includes applications, agreements, tax records, contracts, official statements, legal opinions, rating letters, public hearing bonds, title insurance, deeds of trust, and other related records concerning bonds issued by the agency. Also includes records concerning expenditure and/or investment of bond proceeds. | Destroy in office 3 years after entire issuance has been satisfied.*                                                                                                             | Authority:<br>G.S. § 159 Article 7 |
| 12.    | <b>BOND REGISTER</b><br>Records of all bonds, notes, and coupons issued by the agency detailing the purpose of issuance, the date of issue, serial numbers (if any), denomination, maturity date, and total principal amount.                                                                                                                           | Retain in office permanently.                                                                                                                                                    | Authority:<br>G.S. § 159-130       |
| 13.    | <b>BONDS, NOTES, AND COUPONS</b>                                                                                                                                                                                                                                                                                                                        | Destroy in office 1 year from date of payment.                                                                                                                                   | Authority:<br>G.S. § 159-139       |

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| ITEM # | STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS                                                                                                                                                                                    |                                                                                                                                                                                           |                                                                                 |
|--------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------|
|        | RECORDS SERIES TITLE                                                                                                                                                                                                               | DISPOSITION INSTRUCTIONS                                                                                                                                                                  | CITATION                                                                        |
| 14.    | <b>BUDGET ADMINISTRATION RECORDS</b><br>Records of budget administration. Includes research, correspondence, and other related records.                                                                                            | Destroy in office after 2 years.*                                                                                                                                                         |                                                                                 |
| 15.    | <b>BUDGET EXECUTION RECORDS</b><br>Records of authorizations to move funds between budget codes.                                                                                                                                   | Destroy in office when released from audits.                                                                                                                                              |                                                                                 |
| 16.    | <b>BUDGET REPORTS</b><br>Includes daily detail reports and monthly budget reports. Also includes contract budget and expenditure reports and summaries of tax allocations.<br><br>See also <b>ANNUAL BUDGET</b> , page 19, item 4. | a) Destroy in office daily detail reports after 1 year.*<br>b) Destroy in office remaining reports after 3 years.*                                                                        |                                                                                 |
| 17.    | <b>BUDGET REQUESTS AND WORKING PAPERS</b><br>Includes budget requests, cost estimates, expenditures, program requests, salary and wage lists, correspondence (including e-mail), and related records.                              | Destroy in office after 3 years.*                                                                                                                                                         | Authority:<br>G.S. § 159-10                                                     |
| 18.    | <b>BUDGET RESOLUTIONS AND ORDINANCES</b><br>Includes project ordinances, budget resolutions, and amendments.<br><br>See also <b>MINUTES OF PUBLIC BODIES</b> , page 11, item 42.                                                   | a) Retain official copies in the minutes of the governing board.<br>b) Destroy in office remaining copies when reference value ends.†<br><br>Agency Policy: Destroy in office after _____ | Authority:<br>G.S. § 159-8<br>G.S. § 159-13<br>G.S. § 159-13.2<br>G.S. § 159-15 |

2

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| ITEM #                                                                                   | STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS                                                                                                                                                                                                                                        |                                                                                                                                                                        |                                                                  |
|------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
|                                                                                          | RECORDS SERIES TITLE                                                                                                                                                                                                                                                                   | DISPOSITION INSTRUCTIONS                                                                                                                                               | CITATION                                                         |
| 19.                                                                                      | <b>COST ALLOCATION PLANS</b><br>Accounting report that calculates and spreads agency-wide indirect costs to departments and funds that receive a service from other departments.                                                                                                       | Destroy in office after 3 years.*                                                                                                                                      |                                                                  |
| 20.<br> | <b>CREDIT/DEBIT/PROCUREMENT CARD RECORDS</b><br>Records of assignation of agency credit cards and purchasing cards along with authorization logs.                                                                                                                                      | Destroy in office when superseded or obsolete.*                                                                                                                        | Confidentiality:<br>G.S. § 132-1.2(2)                            |
| 21.                                                                                      | <b>DONATIONS AND SOLICITATIONS</b><br>Records concerning requests made to agency by outside organizations. Includes applications and other related records.<br><br>See also <b>FUND DRIVE AND EVENT RECORDS</b> , page 68, item 6.                                                     | a) Destroy in office records supporting approved donations 1 year after payment.<br>b) Destroy in office rejected applications after 30 days.                          |                                                                  |
| 22.<br> | <b>ELECTRONIC FUNDS TRANSFERS (EFT)</b><br>Includes forms authorizing electronic transfer of monies via wire transfer or automated clearing house (ACH) as well as ACH bank reports.                                                                                                   | Destroy in office when superseded or obsolete.                                                                                                                         | Confidentiality:<br>G.S. § 14-113.20                             |
| 23.                                                                                      | <b>ESCHEATS AND UNCLAIMED PROPERTY</b><br>Records containing information required to be included in holder reports submitted to the State Treasurer's office.<br><br>For more information, see the State Treasurer's memo, " <a href="#">Annual Reporting of Unclaimed Property</a> ." | a) Destroy in office after 10 years if report was filed prior to July 16, 2012.*<br>b) Destroy in office after 5 years if report was filed on or after July 16, 2012.* | Authority:<br>G.S. § 116B-60<br><br>Retention:<br>G.S. § 116B-73 |

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| ITEM # | STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS                                                                                                                                                                                                                               |                                                                                                                                                                                                                                                                                                                       |          |
|--------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|
|        | RECORDS SERIES TITLE                                                                                                                                                                                                                                                          | DISPOSITION INSTRUCTIONS                                                                                                                                                                                                                                                                                              | CITATION |
| 24.    | FINANCIAL JOURNALS AND LEDGERS                                                                                                                                                                                                                                                | a) Destroy in office year-end summaries of receipts and disbursements after 3 years.*<br>b) Destroy in office daily, monthly, or quarterly transaction detail journals and ledgers after 1 year.*                                                                                                                     |          |
| 25.    | FINANCIAL REPORTS                                                                                                                                                                                                                                                             | a) Destroy in office annual financial reports or other reports generated to inform decision-making after 3 years.*<br>b) Destroy monthly or quarterly reports generated for operational purposes after 1 year.<br>c) Destroy logs and distribution reports generated to track transactions when released from audits. |          |
| 26.    | <b>GOVERNMENT EMPLOYEES RETIREMENT SYSTEM MONTHLY REPORTS</b><br>Reports produced by the North Carolina Department of State Treasurer regarding the Teachers' and State Employees' Retirement System (TSERS) and the Local Governmental Employees' Retirement System (LGERS). | Destroy in office when reference value ends.†<br>Agency Policy: Destroy in office after _____                                                                                                                                                                                                                         |          |

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| ITEM # | STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS                                                                                                                                                                                                                                                                                                                                   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                  |
|--------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------|
|        | RECORDS SERIES TITLE                                                                                                                                                                                                                                                                                                                                                              | DISPOSITION INSTRUCTIONS                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | CITATION                                         |
| 27.    | <b>GRANTS: FINANCIAL</b><br>Records concerning approved federal, state, and private grants received or issued by the agency. Includes all relevant accounting, purchasing, payroll, and other financial records.<br><br>See also <b>GRANTS</b> , page 8, item 31.                                                                                                                 | a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.<br><br>b) Destroy in office records of state and private grants 5 years after final financial report is filed.*<br><br>c) Destroy in office records of other federal grants 3 years after final financial report is filed.<br><br>d) Destroy in office records not relating to a specific grant or to grants not funded after 1 year.<br><br><i>Retention Note: According to 2 CFR 200.333(c), records for real property and equipment acquired with Federal funds must be retained for 3 years after disposition of the property/equipment.</i> | Retention:<br>09 NCAC 03M .0703<br>2 CFR 200.333 |
| 28.    | <b>INVESTMENTS</b><br>Includes fund information, portfolio listings and reports, balance sheets, exchange or consent instructions, broker confirmations, notices, and other documentation related to agency investments. Also includes transaction schedules for projecting revenue on investments as well as performance investment reports issued by broker or investment firm. | a) Destroy in office transaction schedules after 2 years.*<br><br>b) Destroy in office performance investment reports when reference value ends.<br><br>c) Destroy in office all remaining records after 3 years.*                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | Authority:<br>G.S. § 159-30                      |

2

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| ITEM #                                                                                   | STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS                                                                                                                                                                                                                                                                                                                                                                                                             |                                                                                                                                                                                    |                                                                                                                                                                                                                                                                               |
|------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                                                                                          | RECORDS SERIES TITLE                                                                                                                                                                                                                                                                                                                                                                                                                                        | DISPOSITION INSTRUCTIONS                                                                                                                                                           | CITATION                                                                                                                                                                                                                                                                      |
| 29.                                                                                      | <b>LOAN RECORDS</b><br>Records concerning loans received by the agency. Includes documentation of intent to proceed, loan agreements, promissory notes, letters of credit, statements, notices of principal and interest due, and other related records.                                                                                                                                                                                                    | Destroy in office 5 years after satisfaction or cancellation of loan.*                                                                                                             |                                                                                                                                                                                                                                                                               |
| 30.                                                                                      | <b>LOCAL GOVERNMENT COMMISSION FINANCIAL STATEMENTS</b>                                                                                                                                                                                                                                                                                                                                                                                                     | Destroy in office after 3 years.*                                                                                                                                                  | Authority:<br>G.S. § 159-33                                                                                                                                                                                                                                                   |
| 31.                                                                                      | <b>LONGEVITY PAY</b>                                                                                                                                                                                                                                                                                                                                                                                                                                        | Destroy in office after 3 years.*                                                                                                                                                  |                                                                                                                                                                                                                                                                               |
| 32.<br> | <b>PAYMENT CARD DATA</b><br>Records created in association with payment card transactions entered by third parties for the purchase of goods or services from the agency.                                                                                                                                                                                                                                                                                   | Destroy in office after processed.*                                                                                                                                                | Confidentiality:<br>G.S. § 132-1.2(2)<br>G.S. § 132-1.10(b)(5)                                                                                                                                                                                                                |
| 33.<br> | <b>PAYROLL AND EARNINGS RECORDS</b><br>Records containing information such as the name, Social Security number, number of hours worked, compensation rate, deductions, and total wages paid each employee per payroll period. Also includes individual and group employee earnings records and payroll registers showing earnings and deductions for each pay period.<br><br>See also <b>TIME SHEETS, CARDS, AND ATTENDANCE RECORDS</b> , page 28, item 44. | a) Destroy in office 30 years from date of separation records necessary for retirement or similar benefits verification.<br>b) Destroy in office remaining records after 3 years.* | Authority:<br>29 CFR 516.30(a)<br><br>Confidentiality:<br>G.S. § 132-1.10<br>G.S. § 115C Art. 21A<br>G.S. § 122C-158<br>G.S. § 130A-45.9<br>G.S. § 153A-98<br>G.S. § 160-168<br>G.S. § 161E-257.2<br>G.S. § 162A-6.1<br><br>Retention:<br>29 CFR 516.5(a)<br>29 CFR 1627.3(a) |

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page vi.

† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.



| ITEM #                                                                                   | STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS                                                                                                                                                                                                                                                      |                                                                                                                                                                                                                                                                                                                                                      |                                                                                                                                                                                                                           |
|------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                                                                                          | RECORDS SERIES TITLE                                                                                                                                                                                                                                                                                 | DISPOSITION INSTRUCTIONS                                                                                                                                                                                                                                                                                                                             | CITATION                                                                                                                                                                                                                  |
| 34.<br> | <b>PAYROLL DEDUCTION RECORDS</b><br>Records used to start, modify, or stop all voluntary or required deductions from payroll. Includes tax withholding (NC-4, W-4), savings plans, insurance, association dues, orders of garnishment, etc. Used as proof the employee approved of the deduction(s). | a) Destroy in office tax withholding forms 4 years after termination of deduction.*<br>b) Destroy in office authorizations for deductions for retirement contributions, bank payments, savings plans, insurance, and dues 2 years after termination of deduction.<br>c) Destroy in office remaining records 3 years after termination of deduction.* | Confidentiality:<br>G.S. § 115C Art. 21A<br>G.S. § 122C-158<br>G.S. § 130A-45.9<br>G.S. § 153A-98<br>G.S. § 160-168<br>G.S. § 161E-257.2<br>G.S. § 162A-6.1<br><br>Retention:<br>IRS Publication 15<br>29 CFR 516.6(c)(1) |
| 35.                                                                                      | <b>POWELL BILL RECORDS</b><br>Records include certified statements, expenditures reports, information sheets, financial statements submitted to the North Carolina Department of Transportation, and all other related records.                                                                      | Destroy in office after 3 years.                                                                                                                                                                                                                                                                                                                     |                                                                                                                                                                                                                           |
| 36.                                                                                      | <b>PURCHASE ORDERS</b><br>Records, forms, packing slips, and attached documents concerning purchased supplies, equipment, and services.<br><br>See also <b>GRANTS: FINANCIAL</b> , page 24, item 27.                                                                                                 | Destroy in office after 3 years.*<br><i>Retention Note: Packing slips may be destroyed upon verification of items received if they are not the only record of the purchase of the item.</i>                                                                                                                                                          |                                                                                                                                                                                                                           |
| 37.                                                                                      | <b>QUALIFIED PRODUCTS LISTS (QPL)</b><br>Records identifying products approved for purchase by the agency.                                                                                                                                                                                           | Destroy in office 3 years after superseded or obsolete.*                                                                                                                                                                                                                                                                                             |                                                                                                                                                                                                                           |

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page vi.

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| ITEM # | STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS                                                                                                                                                                                                         |                                                                                                                                                                                                                                                                     |          |
|--------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|
|        | RECORDS SERIES TITLE                                                                                                                                                                                                                                    | DISPOSITION INSTRUCTIONS                                                                                                                                                                                                                                            | CITATION |
| 38.    | <b>REQUISITIONS</b><br>Requests for payment or to acquire goods or services.<br><br>See also <b>INVENTORIES</b> , page 9, item 36.                                                                                                                      | Destroy in office after 1 year.*                                                                                                                                                                                                                                    |          |
| 39.    | <b>SCHOLARSHIP RECORDS</b><br>Records concerning scholarships awarded by the agency. Includes applications, award letters, conditions and stipulations, agreements and contracts, disbursement statements, progress reports, and other related records. | a) Destroy in office after 3 years records documenting the awarding of scholarships.<br><br>b) Destroy in office 1 year after notification of applicant records concerning applications that are denied by the agency or awards that are declined by the recipient. |          |
| 40.    | <b>SHIFT PREMIUM PAY</b><br>Authorizations and other related records concerning employees receiving shift premium pay.                                                                                                                                  | Destroy in office after 3 years.*                                                                                                                                                                                                                                   |          |
| 41.    | <b>STATEMENTS OF BACK PAY</b><br>Forms used to determine the gross pay an employee would have earned during a specified period for back pay in a grievance decision, settlement agreement, or other order.                                              | Destroy in office 3 years after payment.*                                                                                                                                                                                                                           |          |

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page vi.

† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.

| ITEM #                                                                                   | STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS                                                                                                                                                                                     |                                                                    |                                                                                                                                                                                                                        |
|------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                                                                                          | RECORDS SERIES TITLE                                                                                                                                                                                                                | DISPOSITION INSTRUCTIONS                                           | CITATION                                                                                                                                                                                                               |
| 42.<br> | <b>TAX FORMS</b><br>Tax information returns generated by the agency (e.g., 1098, 1099, W-2, W-3) to be reported to the Internal Revenue Service and furnished to the other party to the transaction.                                | Destroy in office 4 years after submitted to taxpayer and/or IRS.* | Confidentiality:<br>G.S. § 132-1.10<br>G.S. § 115C Art. 21A<br>G.S. § 122C-158<br>G.S. § 130A-45.9<br>G.S. § 153A-98<br>G.S. § 160-168<br>G.S. § 161E-257.2<br>G.S. § 162A-6.1<br><br>Retention:<br>IRS Publication 15 |
| 43.                                                                                      | <b>TAX RETURNS</b><br>Tax returns filed by the agency.                                                                                                                                                                              | Destroy in office 6 years after filed.*                            |                                                                                                                                                                                                                        |
| 44.                                                                                      | <b>TIME SHEETS, CARDS, AND ATTENDANCE RECORDS</b><br>Records documenting the work hours and attendance of employees.<br><br>See also <b>PAYROLL AND EARNINGS RECORDS</b> , page 25, item 33.                                        | Destroy in office after 2 years.*                                  | Retention:<br>29 CFR 516.6(a)(1)                                                                                                                                                                                       |
| 45.                                                                                      | <b>TRAVEL REIMBURSEMENTS</b><br>Includes requests and authorizations for reimbursement for travel and related expenses.<br><br>See also <b>GRANTS: FINANCIAL</b> , page 24, item 27, and <b>TRAVEL REQUESTS</b> , page 17, item 64. | Destroy in office after 3 years.*                                  |                                                                                                                                                                                                                        |

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page vi.

† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.

| ITEM #                                                                                   | STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS                                                                                                                                                             |                                                |          |
|------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------|----------|
|                                                                                          | RECORDS SERIES TITLE                                                                                                                                                                                        | DISPOSITION INSTRUCTIONS                       | CITATION |
| 46.<br> | <b>VENDORS</b><br>Files maintained on specific vendors authorized or debarred from doing business with the agency. Includes name and address, correspondence (including e-mail), and other related records. | Destroy in office when superseded or obsolete. |          |

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**STANDARD 3: GEOGRAPHIC INFORMATION SYSTEM (GIS) RECORDS**

Official records received and created by agency geographic information system programs. See G.S. § 132-10 for information about providing public access to GIS databases.

| ITEM # | STANDARD 3: GEOGRAPHIC INFORMATION SYSTEM (GIS) RECORDS                                                                                                                                                                                                                                                                                                                                                                                                    |                                                                                                                                                                                                                                                                                                                                                                                                      |          |
|--------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|
|        | RECORDS SERIES TITLE                                                                                                                                                                                                                                                                                                                                                                                                                                       | DISPOSITION INSTRUCTIONS                                                                                                                                                                                                                                                                                                                                                                             | CITATION |
| 1.     | <b>GEOGRAPHIC INFORMATION SYSTEM (GIS) CORE DATA</b><br>Geo-referenced data and metadata to facilitate the management, manipulation, analysis, modeling, representation, and spatial analysis of complex problems regarding planning and management of resources.                                                                                                                                                                                          | Retain in office parcel, boundary, zoning, and orthoimagery layers (with accompanying data sets) permanently.<br><br><i>Retention Note: Other datasets should be kept according to standards and procedures set by the North Carolina Geographic Information Coordinating Council (<a href="http://www.ncgicc.com/">http://www.ncgicc.com/</a>).</i><br><i>See also GEOSPATIAL RECORDS, page 80.</i> |          |
| 2.     | <b>GEOGRAPHIC INFORMATION SYSTEM (GIS) DATA DOCUMENTATION (METADATA)</b><br>Records created during development or modification of an automated system which are necessary to access, retrieve, manipulate, and interpret data in that system; and records that explain the meaning, purpose, structure, local relationships, and origin of the data elements. Includes data element dictionaries, file layout, codebooks and tables, and definition files. | Destroy in office when the system is discontinued or when system data has been transferred to a new operating environment (platform).                                                                                                                                                                                                                                                                |          |
| 3.     | <b>GEOGRAPHIC INFORMATION SYSTEM (GIS) INTERNAL STANDARDS AND PROCEDURES</b><br>Includes requirements that are intended to make hardware, software, and data compatible and that cover data capture, accuracy, sources, base categories, output, and data element dictionaries.                                                                                                                                                                            | Retain in office permanently.                                                                                                                                                                                                                                                                                                                                                                        |          |

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page vi.

† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.

| ITEM # | STANDARD 3: GEOGRAPHIC INFORMATION SYSTEM (GIS) RECORDS                                                                                                                               |                                                                                                                                                                                                                                                                    |          |
|--------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|
|        | RECORDS SERIES TITLE                                                                                                                                                                  | DISPOSITION INSTRUCTIONS                                                                                                                                                                                                                                           | CITATION |
| 4.     | <b>GEOGRAPHIC INFORMATION SYSTEM (GIS) MONITORING RECORDS</b><br>Includes system security, quality assurance, transaction tracking, and other related activity monitoring records.    | Destroy in office after 1 year.                                                                                                                                                                                                                                    |          |
| 5.     | <b>GEOGRAPHIC INFORMATION SYSTEM (GIS) OPERATIONAL RECORDS</b><br>Includes user guides, system flowcharts, job or workflow records, system specifications, and similar documentation. | Destroy in office when the system is discontinued or when system data has been transferred to a new operating environment (platform).                                                                                                                              |          |
| 6.     | <b>GEOGRAPHIC INFORMATION SYSTEM (GIS) PROJECT RECORDS</b>                                                                                                                            | a) Retain in office GIS datasets and accompanying documentation (metadata) with historical and/or legal value permanently.<br><br>b) Destroy in office remaining items when reference value ends. <sup>†</sup><br><br>Agency Policy: Destroy in office after _____ |          |

3

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page vi.

<sup>†</sup> See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.

| ITEM # | STANDARD 3: GEOGRAPHIC INFORMATION SYSTEM (GIS) RECORDS                              |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |          |
|--------|--------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|
|        | RECORDS SERIES TITLE                                                                 | DISPOSITION INSTRUCTIONS                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | CITATION |
| 7.     | <b>LAYERS: ADDRESS POINTS</b><br><br>See also <b>GEOSPATIAL RECORDS</b> , page 80.   | Paper: Retain in office permanently.<br><br>GIS dataset: Create a snapshot of dataset annually. To maintain permanently,<br><br><i>Either:</i> Transfer snapshot to NCOneMap according to established procedures, complying with standards and procedures adopted by the <a href="#">North Carolina Geographic Information Coordinating Council</a> .<br><br><i>Or:</i> If retained in office, your agency must comply with standards (for metadata, file naming, data sharing, and long term preservation) and procedures adopted by the <a href="#">North Carolina Geographic Information Coordinating Council</a> . |          |
| 8.     | <b>LAYERS: CORPORATE LIMITS</b><br><br>See also <b>GEOSPATIAL RECORDS</b> , page 80. | Paper: Retain in office permanently.<br><br>GIS dataset: Create a snapshot of dataset annually. To maintain permanently,<br><br><i>Either:</i> Transfer snapshot to NCOneMap according to established procedures, complying with standards and procedures adopted by the <a href="#">North Carolina Geographic Information Coordinating Council</a> .<br><br><i>Or:</i> If retained in office, your agency must comply with standards (for metadata, file naming, data sharing, and long term preservation) and procedures adopted by the <a href="#">North Carolina Geographic Information Coordinating Council</a> . |          |

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page vi.

† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.

| ITEM # | STANDARD 3: GEOGRAPHIC INFORMATION SYSTEM (GIS) RECORDS                                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |          |
|--------|----------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|
|        | RECORDS SERIES TITLE                                                                               | DISPOSITION INSTRUCTIONS                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | CITATION |
| 9.     | <b>LAYERS: EXTRATERRITORIAL JURISDICTIONS</b><br><br>See also <b>GEOSPATIAL RECORDS</b> , page 80. | Paper: Retain in office permanently.<br><br>GIS dataset: Create a snapshot of dataset annually. To maintain permanently,<br><br><i>Either:</i> Transfer snapshot to NCOneMap according to established procedures, complying with standards and procedures adopted by the <a href="#">North Carolina Geographic Information Coordinating Council</a> .<br><br><i>Or:</i> If retained in office, your agency must comply with standards (for metadata, file naming, data sharing, and long term preservation) and procedures adopted by the <a href="#">North Carolina Geographic Information Coordinating Council</a> . |          |
| 10.    | <b>LAYERS: ORTHOIMAGERY</b><br><br>See also <b>GEOSPATIAL RECORDS</b> , page 80.                   | Create a snapshot of dataset when created. To maintain permanently,<br><br><i>Either:</i> Transfer snapshot to NCOneMap according to established procedures, complying with standards and procedures adopted by the <a href="#">North Carolina Geographic Information Coordinating Council</a> .<br><br><i>Or:</i> If retained in office, your agency must comply with standards (for metadata, file naming, data sharing, and long term preservation) and procedures adopted by the <a href="#">North Carolina Geographic Information Coordinating Council</a> .                                                      |          |

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page vi.

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| ITEM # | STANDARD 3: GEOGRAPHIC INFORMATION SYSTEM (GIS) RECORDS                                                                                                                                                                                     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |          |
|--------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|
|        | RECORDS SERIES TITLE                                                                                                                                                                                                                        | DISPOSITION INSTRUCTIONS                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | CITATION |
| 11.    | <b>LAYERS: STREET CENTERLINE</b><br><br>See also <b>GEOSPATIAL RECORDS</b> , page 80.                                                                                                                                                       | Paper: Retain in office permanently.<br><br>GIS dataset: Create a snapshot of dataset annually. To maintain permanently,<br><br><i>Either:</i> Transfer snapshot to NCOneMap according to established procedures, complying with standards and procedures adopted by the <a href="#">North Carolina Geographic Information Coordinating Council</a> .<br><br><i>Or:</i> If retained in office, your agency must comply with standards (for metadata, file naming, data sharing, and long term preservation) and procedures adopted by the <a href="#">North Carolina Geographic Information Coordinating Council</a> . |          |
| 12.    | <b>MAPPING PROJECT RECORDS</b><br>Includes contract maps and all deliverable products for aerial photography, orthophotography, cartographic, cadastral, and digital mapping projects.<br><br>See also <b>GEOSPATIAL RECORDS</b> , page 80. | Paper: Retain in office permanently.<br><br>GIS dataset: Create a snapshot of dataset annually. To maintain permanently,<br><br><i>Either:</i> Transfer snapshot to NCOneMap according to established procedures, complying with standards and procedures adopted by the <a href="#">North Carolina Geographic Information Coordinating Council</a> .<br><br><i>Or:</i> If retained in office, your agency must comply with standards (for metadata, file naming, data sharing, and long term preservation) and procedures adopted by the <a href="#">North Carolina Geographic Information Coordinating Council</a> . |          |

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page vi.

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| ITEM # | STANDARD 3: GEOGRAPHIC INFORMATION SYSTEM (GIS) RECORDS                                                                                                                                                                                                                                                         |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |          |
|--------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|
|        | RECORDS SERIES TITLE                                                                                                                                                                                                                                                                                            | DISPOSITION INSTRUCTIONS                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | CITATION |
| 13.    | <b>MAPS: PARCEL</b><br>Maps, including cadastral maps, and surveys of boundaries and measurements of each parcel, and information about encroachments, right-of-ways, and structures.<br><br>See also <b>GEOSPATIAL RECORDS</b> , page 80, and <b>PROPERTY MANAGEMENT RECORDS</b> , page 14, item 54.           | Paper: Destroy in office upon State Archives approval.<br><br>GIS dataset: Create a snapshot of dataset quarterly. To maintain permanently,<br><br><i>Either:</i> Transfer snapshot to NCOneMap according to established procedures, complying with standards and procedures adopted by the <a href="#">North Carolina Geographic Information Coordinating Council</a> .<br><br><i>Or:</i> If retained in office, your agency must comply with standards (for metadata, file naming, data sharing, and long term preservation) and procedures adopted by the <a href="#">North Carolina Geographic Information Coordinating Council</a> . |          |
| 14.    | <b>MAPS: PARKS</b><br>Includes park boundaries, facilities, landscaping, topography, and other pertinent information. Also includes maps and drawings stored and generated by Geographic Information System (GIS) and computer-aided design (CAD) systems.<br><br>See also <b>GEOSPATIAL RECORDS</b> , page 80. | Paper: Retain in office permanently.<br><br>GIS dataset: Create a snapshot of dataset annually. To maintain permanently,<br><br><i>Either:</i> Transfer snapshot to NCOneMap according to established procedures, complying with standards and procedures adopted by the <a href="#">North Carolina Geographic Information Coordinating Council</a> .<br><br><i>Or:</i> If retained in office permanently, your agency must comply with standards (for metadata, file naming, data sharing, and long term preservation) and procedures adopted by the <a href="#">North Carolina Geographic Information Coordinating Council</a> .        |          |

3

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page vi.

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| ITEM # | STANDARD 3: GEOGRAPHIC INFORMATION SYSTEM (GIS) RECORDS                                                                            |                                                                                                                                                                                                                                                                                     |          |
|--------|------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|
|        | RECORDS SERIES TITLE                                                                                                               | DISPOSITION INSTRUCTIONS                                                                                                                                                                                                                                                            | CITATION |
| 15.    | <b>MAPS: ALL OTHER</b><br>Includes field maps, soil, topographic, sales, subdivision plats, right-of-way, sectional, highway, etc. | a) Retain in office maps, including GIS datasets and accompanying documentation (metadata), with historical and/or legal value permanently.<br><br>b) Destroy in office remaining items when reference value ends. <sup>†</sup><br><br>Agency Policy: Destroy in office after _____ |          |

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page vi.

<sup>†</sup> See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.

**STANDARD 4: INFORMATION TECHNOLOGY (IT) RECORDS**

Information technology encompasses all activities undertaken by agency to design, develop, and operate electronic information systems. This section covers records for which Information Technology personnel are responsible, including administrative records and those used to process data and monitor and control operations.

*Note: Administration, use, and retention of records concerning computer and information security should comply with applicable provisions of G.S. § 132-6.1 on the confidentiality of records regarding "hardware or software security, passwords, or security standards, procedures, processes, configurations, software, and codes." (G.S. § 132-6.1 (c))*

| ITEM #                                                                                  | STANDARD 4: INFORMATION TECHNOLOGY RECORDS                                                                                                                                                                                                                           |                                                                                                                                       |                                       |
|-----------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------|
|                                                                                         | RECORDS SERIES TITLE                                                                                                                                                                                                                                                 | DISPOSITION INSTRUCTIONS                                                                                                              | CITATION                              |
| 1.<br> | <b>AUDITS: IT SYSTEMS</b><br>Records documenting user actions affecting the contents of monitored systems. Also includes fixity checks and other periodic tests of data validity.                                                                                    | a) Destroy in office after 1 year fixity check documentation.<br>b) Destroy in office remaining records after disposition of record.* | Confidentiality:<br>G.S. § 132-6.1(c) |
| 2.                                                                                      | <b>COMPUTER AND NETWORK USAGE RECORDS</b><br>Records documenting usage of electronic devices and networks. Includes login files, system usage files, individual program usage files, and records of use of the Internet by employees.                                | Destroy in office after 1 year.                                                                                                       |                                       |
| 3.                                                                                      | <b>DATA DOCUMENTATION RECORDS</b><br>Records concerning data in automated systems. Includes data element dictionary, file layout, code book or table, entity relationships tables, and other records related to the structure, management, and organization of data. | Destroy in office 3 years after system is discontinued and/or replaced.                                                               |                                       |

4

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| ITEM # | STANDARD 4: INFORMATION TECHNOLOGY RECORDS                                                                                                                                                                                                                                              |                                                                                                                                                                                                      |                                                                                        |
|--------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------|
|        | RECORDS SERIES TITLE                                                                                                                                                                                                                                                                    | DISPOSITION INSTRUCTIONS                                                                                                                                                                             | CITATION                                                                               |
| 4.     | <b>DATA MIGRATION RECORDS</b><br>Technical records documenting data migrations.<br><br><i>Note: The data itself is subject to the disposition instructions indicated for its relevant records series; these are merely records about migrating said data.</i>                           | Destroy in office 1 year after completion of data migration.                                                                                                                                         |                                                                                        |
| 5.     | <b>DATA WAREHOUSES</b><br>Federated data gathered by the agency from other sources for the purposes of comparison and distribution.                                                                                                                                                     | Destroy in office when superseded or obsolete.                                                                                                                                                       | Maintain confidentiality consistent with any restrictions placed on the data provider. |
| 6.     | <b>DIGITIZATION AND SCANNING RECORDS</b><br>Records concerning data entry and imaging operations. Includes quality control records.<br><br>See <b>Request for Disposal of Original Records Duplicated by Electronic Means</b> , page 88.                                                | Destroy in office 10 days after digitization.<br><br><i>Note: The digital surrogate becomes the record copy and must be retained according to the disposition instructions for that record type.</i> |                                                                                        |
| 7.     |  <b>ELECTRONIC RECORDS POLICIES AND PROCEDURES</b><br>Includes procedural manuals as well as an Electronic Records and Imaging Policy and a Security Backup Policy.                                   | Destroy in office 3 years after superseded or obsolete.                                                                                                                                              | Confidentiality:<br>G.S. § 132-1.7(b)<br>G.S. § 132-6.1(c)                             |
| 8.     | <b>INFORMATION TECHNOLOGY ASSISTANCE RECORDS</b><br>Records documenting troubleshooting and problem-solving assistance provided by agency information systems personnel to users of the systems. Includes help desk assistance requests, resolution records, and related documentation. | Destroy in office 1 year after work is completed.                                                                                                                                                    |                                                                                        |

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page vi.

† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.

| ITEM #                                                                                   | STANDARD 4: INFORMATION TECHNOLOGY RECORDS                                                                                                                                                                                                                                     |                                                                                                                                                                                                                                                                                                                                                                                                                               |                                       |
|------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------|
|                                                                                          | RECORDS SERIES TITLE                                                                                                                                                                                                                                                           | DISPOSITION INSTRUCTIONS                                                                                                                                                                                                                                                                                                                                                                                                      | CITATION                              |
| 9.<br>  | <b>NETWORK AND SYSTEM SECURITY RECORDS</b><br>Records documenting the security of network and system. Includes records concerning firewalls, anti-virus programs, and intruder scanning logs.                                                                                  | a) Destroy in office finalized cyber incident reports 5 years after resolution.<br>b) Destroy in office after 2 years records documenting incidents involving unauthorized attempted entry or probes on data processing systems, IT systems, telecommunications networks, and electronic security systems.<br>c) Destroy in office after 1 year records concerning firewalls, anti-virus programs, and other related records. | Confidentiality:<br>G.S. § 132-6.1(c) |
| 10.<br> | <b>NETWORK DIAGRAMS</b><br>Records documenting the logical and physical relationships of network components for purposes of organization, deployment, troubleshooting, monitoring of access, and management of day-to-day operations.                                          | Destroy in office when superseded or obsolete.                                                                                                                                                                                                                                                                                                                                                                                | Confidentiality:<br>G.S. § 132-6.1(c) |
| 11.                                                                                      | <b>PROJECT DOCUMENTATION</b><br>Records created to design, develop, control, or monitor a specific project or group of IT projects. Includes statements of work, assessments, maintenance agreements, and testing records.<br><br>See also <b>PROJECTS</b> , page 14, item 53. | a) Retain in office permanently records with historical value.<br>b) Destroy in office remaining records 3 years after completion of project.                                                                                                                                                                                                                                                                                 |                                       |

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page vi.

† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.

| ITEM # | STANDARD 4: INFORMATION TECHNOLOGY RECORDS                                                                                                                                                                                                                                                                                                                                                                                                              |                                                                                                                                                                                                                                    |                                                            |
|--------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------|
|        | RECORDS SERIES TITLE                                                                                                                                                                                                                                                                                                                                                                                                                                    | DISPOSITION INSTRUCTIONS                                                                                                                                                                                                           | CITATION                                                   |
| 12.    | <b>SOFTWARE LICENSE AND COPYRIGHT PROVISIONS RECORDS</b><br>Records documenting compliance with agency software license and copyright provisions. Includes software licenses, correspondence (including e-mail), and related documentation.                                                                                                                                                                                                             | Destroy in office 1 year after software is superseded or obsolete.                                                                                                                                                                 |                                                            |
| 13.    | <b>SYSTEM ACCESS RECORDS</b><br>Records documenting access requests and authorizations, system access logs, and other related records.                                                                                                                                                                                                                                                                                                                  | Destroy in office 1 year after superseded or obsolete.                                                                                                                                                                             |                                                            |
| 14.    |  <b>SYSTEM DOCUMENTATION RECORDS</b><br>Records documenting operating systems, application programs, structure and form of datasets, system structure, and system-to-system communication. Includes system overviews, dataset inventories, server name, IP address, purpose of the system, vendor-supplied documentation, installed software, and current source code. | Destroy in office 3 years after superseded or obsolete.                                                                                                                                                                            | Confidentiality:<br>G.S. § 132-1.1(g)<br>G.S. § 132-6.1(c) |
| 15.    | <b>SYSTEM MAINTENANCE RECORDS: HARDWARE REPAIR OR SERVICE</b><br>Records documenting inspections, maintenance, and repairs of agency computer systems that are owned or leased. Includes computer equipment inventories and service records.<br><br>See also <b>EQUIPMENT AND VEHICLE MAINTENANCE, REPAIR, AND INSPECTION RECORDS</b> , page 6, item 24.                                                                                                | a) Destroy in office records documenting routine inspections and maintenance of equipment after 1 year.<br>b) Destroy records documenting all other equipment maintenance and repairs upon the final disposition of the equipment. |                                                            |

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† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.

| ITEM # | STANDARD 4: INFORMATION TECHNOLOGY RECORDS                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                                                                                                                                                                 |          |
|--------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|
|        | RECORDS SERIES TITLE                                                                                                                                                                                                                                                                                                                                                                                                                                                     | DISPOSITION INSTRUCTIONS                                                                                                                                                                        | CITATION |
| 16.    | <b>SYSTEM MAINTENANCE RECORDS: RECORDS BACKUPS</b><br>Records documenting regular or essential system backups. Includes backup tape inventories, relevant correspondence (including e-mail), and related documentation.<br><br>See Also: <a href="#">Security Backup Files as Public Records in North Carolina: Guidelines for the Recycling, Destruction, Erasure, and Re-use of Security Backup Files</a> , available on the State Archives of North Carolina website. | Destroy in office in accordance with your office's established, regular backup plan and procedures. <sup>†</sup><br><br>Agency Policy: Destroy in office after _____                            |          |
| 17.    | <b>TECHNICAL PROGRAM DOCUMENTATION</b><br>Records concerning program code, program flowcharts, program maintenance logs, systems change notices, and other related records that document modifications to computer programs.                                                                                                                                                                                                                                             | Destroy in office 1 year after superseded or obsolete.                                                                                                                                          |          |
| 18.    | <b>VOICE OVER INTERNET PROTOCOL (VoIP) RECORDS</b><br>Records concerning line registrations, calls logs, and voicemail records.                                                                                                                                                                                                                                                                                                                                          | a) Destroy in office records concerning line registration when superseded or obsolete.<br>b) Destroy in office call logs after 1 year.<br>c) Destroy in office voicemail records after 30 days. |          |

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<sup>†</sup> See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.



| ITEM # | STANDARD 4: INFORMATION TECHNOLOGY RECORDS                                                                                                                                                                                                                                                                                                                                                                                 |                                                |          |
|--------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------|----------|
|        | RECORDS SERIES TITLE                                                                                                                                                                                                                                                                                                                                                                                                       | DISPOSITION INSTRUCTIONS                       | CITATION |
| 19.    | <b>WEB MANAGEMENT AND OPERATIONS RECORDS: STRUCTURE</b><br>Site maps that show the directory structure into which content pages are organized, and commercial, off-the-shelf software configuration or content management system files used to operate the site and establish its look and feel. Includes server environment configuration specifications.<br><br>See also <b>WEBSITE (ELECTRONIC)</b> , page 70, item 15. | Destroy in office when superseded or obsolete. |          |

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† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.

**STANDARD 5: LEGAL RECORDS**

Official documentation created or accumulated to substantiate the rights, obligations, or interests of the agency or their individual employees or clients. Please note the confidentiality that G.S. § 132-1.1(a) confers to communications by legal counsel expires three years after receipt of such communication.

| ITEM # | STANDARD 5: LEGAL RECORDS                                                                                                                                                                                                                                           |                                                                                                                                                                                                          |                            |
|--------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------|
|        | RECORDS SERIES TITLE                                                                                                                                                                                                                                                | DISPOSITION INSTRUCTIONS                                                                                                                                                                                 | CITATION                   |
| 1.     | <b>AFFIDAVITS OF PUBLICATION</b><br>Proof of publication provided by newspapers regarding publication of ordinances, public hearings, bid solicitations, payment of bills, public sales, etc.<br><br>See also <b>NOTICES OF PUBLIC MEETINGS</b> , page 12, item 45. | a) Retain in office permanently if record provides sole evidence of publication.<br><br>b) Destroy in office remaining records after 3 years.*                                                           | Authority:<br>G.S. § 1-600 |
| 2.     | <b>ANNEXATION RECORDS</b><br>Records concerning annexation of property into the city. Includes petitions, reports, correspondence, including email, maps, ordinances, and public hearings.                                                                          | Retain in office permanently.<br><br><i>Retention Note: Annexation maps and ordinances must be filed with the County Register of Deeds office. G.S. §160A-29, G.S. §160A-58.61 and G.S. §160A-58.90.</i> |                            |
| 3.     | <b>AUTHENTICATIONS</b><br>Certificates of authentication issued by the agency.                                                                                                                                                                                      | Retain in office permanently.                                                                                                                                                                            |                            |

5

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| ITEM # | STANDARD 5: LEGAL RECORDS                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                                                                                     |
|--------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------|
|        | RECORDS SERIES TITLE                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | DISPOSITION INSTRUCTIONS                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | CITATION                                                                                                            |
| 4.     | <b>CIVIL RIGHTS CASE RECORDS</b><br>Records concerning discrimination complaints by employees or former employees and requests for reasonable accommodation. Includes equal opportunity (EO) complaints.<br><br>See also <b>PERSONNEL RECORDS (OFFICIAL COPY)</b> , page 61, item 29.                                                                                                                                                                                                                                                                                                                                                                                                                           | Destroy in office 1 year after final disposition of the charge or the action.*<br><br><i>Retention Note: 29 CFR 1602.14 defines final disposition of the charge or the action as "the date of expiration of the statutory period within which the aggrieved person may bring an action in a U.S. District Court or, where an action is brought against an employer either by the aggrieved person, the Commission, or by the Attorney General, the date on which such litigation is terminated."</i> | Retention:<br>29 CFR 1602.14<br>29 CFR 1602.31                                                                      |
| 5.     | <b>CIVIL RIGHTS RECORDS</b><br>Records concerning documentation of personnel policies and procedures to comply with the Age Discrimination in Employment Act (ADEA), the Americans with Disabilities Act (ADA), the Equal Pay Act, the Genetic Information Nondiscrimination Act (GINA), Section 504 of the 1973 Rehabilitation Act, and the 1964 Civil Rights Act. Includes reports required by the Equal Employment Opportunity (EEO) Commission and affirmative action plans.<br><br>See also <b>CITIZEN COMMENTS, COMPLAINTS, PETITIONS, AND SERVICE REQUESTS</b> , page 4, item 17, <b>CIVIL RIGHTS CASE RECORDS</b> , page 44, item 4, and <b>POLICIES AND PROCEDURES (PERSONNEL)</b> , page 62, item 31. | Destroy in office 3 years after superseded or obsolete.                                                                                                                                                                                                                                                                                                                                                                                                                                              | Authority:<br>29 CFR 1602.1<br>29 CFR 1602.7<br>29 CFR 1608.4<br><br>Retention:<br>29 CFR 1602.30<br>29 CFR 1602.32 |

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| ITEM # | STANDARD 5: LEGAL RECORDS                                                                                                                                                                                                                                                                                                                                                                                              |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                                    |
|--------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------|
|        | RECORDS SERIES TITLE                                                                                                                                                                                                                                                                                                                                                                                                   | DISPOSITION INSTRUCTIONS                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | CITATION                                                                           |
| 6.     | <b>CONDEMNATION RECORDS</b><br>Settled and pending condemnation cases.<br><br>See also <b>ACCOUNTS PAYABLE</b> , page 18, item 1 for disposition of financial records.                                                                                                                                                                                                                                                 | Retain in office permanently.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                                    |
| 7.     | <b>CONFLICT OF INTEREST AND CONFLICT OF COMMITMENT DISCLOSURE STATEMENTS</b><br>Completed by the elected agency officials as well as designated staff members in order to disclose an official's status or ownership interests.                                                                                                                                                                                        | Destroy in office 1 year after completion of term or separation.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                                                    |
| 8.     | <b>CONTRACTS, LEASES, AND AGREEMENTS</b><br>Contracts and agreements for construction, equipment, property, supplies, special programs, and projects. Includes franchise agreements, hold harmless agreements, good faith effort documentation, contractor compliance monitoring, leases, and memoranda of understanding.<br><br>See also <b>SOFTWARE LICENSE AND COPYRIGHT PROVISIONS RECORDS</b> , page 40, item 12. | a) Retain in office contracts and agreements with historical value permanently.<br>b) Destroy in office sealed contract records 10 years after expiration of contract.*<br>c) Destroy in office capital improvement contracts and business associate agreements 6 years after completion, termination, or expiration.*<br>d) Destroy in office records documenting restrictions and compliance with license and copyright provisions for products and services purchased by the agency 1 year after superseded or obsolete.*<br>e) Destroy in office all other contracts and agreements 3 years after completion, termination, or expiration.* | Retention:<br>G.S. § 1-47(2)<br>G.S. § 1-50(a)(5)<br>45 CFR 164.316<br>G.S. § 1-52 |

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| ITEM #                                                                                     | STANDARD 5: LEGAL RECORDS                                                                                                                                               |                                                                                                                                                                                                                                                                                     |                                       |
|--------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------|
|                                                                                            | RECORDS SERIES TITLE                                                                                                                                                    | DISPOSITION INSTRUCTIONS                                                                                                                                                                                                                                                            | CITATION                              |
| 9.                                                                                         | <b>DECLARATORY RULINGS</b><br>Records concerning declaratory rulings issued by the agency to interpret statutes or rules as applied to a specified set of facts.        | Retain in office permanently.                                                                                                                                                                                                                                                       |                                       |
| 10.                                                                                        | <b>DELEGATION OF AUTHORITY RECORDS</b><br>Records documenting delegations of power to authorize agency business. Includes signature authorities and powers of attorney. | Destroy in office 1 year after superseded or obsolete.                                                                                                                                                                                                                              |                                       |
| 11.                                                                                        | <b>EASEMENTS AND RIGHT-OF-WAY AGREEMENTS</b><br>Granted to the agency.<br><br>See also <b>ACCOUNTS PAYABLE</b> , page 18, item 1 for disposition of financial records.  | Destroy in office 10 years after expiration of agreement.                                                                                                                                                                                                                           |                                       |
| 12.                                                                                        | <b>ENCROACHMENTS</b><br>Records concerning agreements granted by or to the agency. Also includes maps or drawings detailing construction plans attached to agreements.  | a) Retain in office permanently records concerning agreements granted by outside entities to the agency.<br>b) Destroy in office when superseded or obsolete records concerning agreements granted to utilities, businesses, and private citizens to encroach upon agency property. |                                       |
| 13.                                                                                        | <b>LAND OWNERSHIP RECORDS</b><br>Includes deeds and titles.                                                                                                             | Destroy in office 1 year after agency relinquishes ownership of land.*                                                                                                                                                                                                              |                                       |
| 14.<br> | <b>LEGAL CORRESPONDENCE</b><br>Correspondence (including e-mail) and related records concerning legal matters not related to specific legal cases or official opinions. | Destroy in office after 5 years.<br>For information on handling e-mail, see <b>ELECTRONIC RECORDS</b> , page 78.                                                                                                                                                                    | Confidentiality:<br>G.S. § 132-1.1(a) |

5

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| ITEM # | STANDARD 5: LEGAL RECORDS                                                                                                                                                                                                                                                                                                                                                  |                                                                                                                                                                                                                                                                                                                 |                                                                    |
|--------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------|
|        | RECORDS SERIES TITLE                                                                                                                                                                                                                                                                                                                                                       | DISPOSITION INSTRUCTIONS                                                                                                                                                                                                                                                                                        | CITATION                                                           |
| 15.    | <b>LEGAL OPINIONS</b><br>Formal legal opinions written by counsel in response to requests concerning the governance and administration of the agency.                                                                                                                                                                                                                      | Retain in office permanently.                                                                                                                                                                                                                                                                                   |                                                                    |
| 16.    |  <b>LEGAL REVIEW RECORDS</b><br>Includes legal reviews of by-laws and charges to boards and commissions, conflicts of interest, and all other agency matters as requested.<br><br>See also <b>LEGAL OPINIONS</b> , page 47, item 15.                                                      | a) Retain in office records with historical value permanently.<br>b) Destroy in office remaining records after expiration of relevant statute of limitations.                                                                                                                                                   | Confidentiality:<br>G.S. § 132-1.1(a)                              |
| 17.    |  <b>LITIGATION CASE RECORDS</b><br>Civil suits to which the agency is a party. Includes affidavits, agreements, appeals, bills, briefs, citations, commitments, complaints, discharges, motions, notices, pleas, releases, statements, testimony, verdicts, waivers, warrants, and writs. | a) Retain in office cases having precedential or historical value permanently.<br>b) Destroy in office adjudicated cases 6 years after final disposition.<br>c) Destroy in office non-adjudicated cases (out-of-court claims) 6 years after final disposition or expiration of relevant statute of limitations. | Confidentiality:<br>G.S. § 132-1.1(a)<br>G.S. § 132-1.9            |
| 18.    | <b>OATHS OF OFFICE</b><br><br>See also <b>GOVERNING AND ADVISORY BODY MEMBER FILES</b> , page 7, item 29.                                                                                                                                                                                                                                                                  | Transfer official copy of oath of office to the Clerk to the Board.<br><br><i>Retention Note: The Clerk to the Board should present a copy of the oaths of elected officials to the Clerk of Superior Court for recording. The Clerk to the Board maintains the original oaths.</i>                             | Authority:<br>G.S. § 153A-26<br><br>Retention:<br>G.S. § 7A-103(2) |

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| ITEM # | STANDARD 5: LEGAL RECORDS                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                                                                                                                                                                                                                                                                                                |                            |
|--------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------|
|        | RECORDS SERIES TITLE                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | DISPOSITION INSTRUCTIONS                                                                                                                                                                                                                                                                       | CITATION                   |
| 19.    | <b>PERMISSIONS</b><br>Records conferring legal permission. Includes copyright permission requests and requests for permission to publish intellectual property or holdings of the agency. Also includes copyrights, patents, and trademarks held by the agency.                                                                                                                                                                                                                                                                                                                                                                       | a) Retain in office permanently records conferring perpetual legal permission as well as records documenting copyrights, patents, and trademarks held by the agency.<br>b) Destroy in office 3 years after expiration records concerning one-time copyright permissions granted by the agency. |                            |
| 20.    | <b>PRE-TRIAL RELEASE PROGRAM RECORDS</b><br>Records documenting supervision for defendants who do not pose a risk to the community as they await trial.                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | Destroy in office 3 years after trial.                                                                                                                                                                                                                                                         |                            |
| 21.    | <b>REASONABLE ACCOMMODATIONS</b><br>Records concerning agency efforts to provide reasonable accommodations to the general public under Title II of the Americans with Disabilities Act, Housing and Urban Development Act, 1973 Rehabilitation Act, and Title VII of the Civil Rights Act of 1964. Includes constituent requests, survey of agency buildings to determine accessibility to the physically handicapped, proposals for implementation, and resolutions.<br><br>See also <b>CITIZEN COMMENTS, COMPLAINTS, PETITIONS, AND SERVICE REQUESTS</b> , page 4, item 17, and <b>CIVIL RIGHTS CASE RECORDS</b> , page 44, item 4. | Destroy in office after 2 years.*                                                                                                                                                                                                                                                              | Authority:<br>42 USC 12132 |

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| ITEM # | STANDARD 5: LEGAL RECORDS                                                                                                                                                                                        |                                                                                                                     |                            |
|--------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------|----------------------------|
|        | RECORDS SERIES TITLE                                                                                                                                                                                             | DISPOSITION INSTRUCTIONS                                                                                            | CITATION                   |
| 22.    | <b>RELEASE FORMS</b><br>Records documenting consent and waiving the individual's right to hold the agency responsible for injuries or damages occurring while voluntarily participating in events or activities. | Destroy in office 5 years after termination of release/waiver.                                                      |                            |
| 23.    | <b>VEHICLE TITLES</b><br>Titles of agency owned vehicles.                                                                                                                                                        | Dispose of in accordance with Division of Motor Vehicles procedures for title transfer upon disposition of vehicle. | Authority:<br>G.S. § 20-72 |

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**STANDARD 6: PERSONNEL RECORDS**

Official records and materials created and accumulated incidental to the employment, qualifications, training, and pay status of agency employees. Comply with applicable provisions of G.S. § 115C Article 21A (LEAs), G.S. § 122C-158 (area authorities), G.S. § 130A-45.9 (public health authorities), G.S. § 153A-98 (county), G.S. § 160A-168 (municipal), G.S. § 161E-257.2 (public hospitals), and G.S. § 162A-6.1 (water and sewer authorities) regarding confidentiality of personnel records.

| ITEM # | STANDARD 6: PERSONNEL RECORDS                                                                                                                                                                                                                                              |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                                                                                                                             |
|--------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------|
|        | RECORDS SERIES TITLE                                                                                                                                                                                                                                                       | DISPOSITION INSTRUCTIONS                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | CITATION                                                                                                                                                    |
| 1.     | <b>ABOLISHED POSITIONS</b>                                                                                                                                                                                                                                                 | Destroy in office after 1 year.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                                                                                                                             |
| 2.     |  <b>ADMINISTRATIVE INVESTIGATIONS</b><br>Records concerning the investigation of conduct problems among agency personnel.<br><br>See also <b>DISCIPLINARY ACTIONS</b> , page 54, item 12. | a) Destroy in office after 3 years records concerning complaints against agency personnel that are resolved without an internal investigation.<br><br>b) Destroy in office after 5 years records concerning complaints lodged against agency personnel that are exonerated. Destroy in office 5 years after final disposition or expiration of relevant statute of limitations complaints lodged against agency personnel that are settled out-of-court.<br><br>c) Transfer investigation reports, disciplinary actions, and other related internal affairs case records to <b>PERSONNEL RECORDS (OFFICIAL COPY)</b> , page 61, item 29. | Confidentiality:<br>G.S. § 115C Art. 21A<br>G.S. § 122C-158<br>G.S. § 130A-45.9<br>G.S. § 153A-98<br>G.S. § 160-168<br>G.S. § 161E-257.2<br>G.S. § 162A-6.1 |

6

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page vi.

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| ITEM #                                                                                  | STANDARD 6: PERSONNEL RECORDS                                                                                                                                                                                                                                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                                                                                                                                                 |
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|                                                                                         | RECORDS SERIES TITLE                                                                                                                                                                                                                                                     | DISPOSITION INSTRUCTIONS                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | CITATION                                                                                                                                                                                        |
| 3.<br> | <b>APPLICATIONS FOR EMPLOYMENT</b><br>Records submitted by job applicants for vacant positions or by current employees for promotion, transfer, or training opportunities. Includes applications, transcripts, resumes, letters of reference, and other related records. | a) Transfer applications, resumes, transcripts, and similar records as applicable to <b>PERSONNEL RECORDS (OFFICIAL COPY)</b> , page 61, item 29.<br>b) Destroy in office after 2 years unsolicited application materials from individuals hired.<br>c) Destroy in office records concerning individuals not hired 2 years after date of receipt, if no charge of discrimination has been filed. If charge has been filed, destroy in office 1 year after resolution of charge.*<br>d) Destroy in office 2 years after receipt unsolicited applications/resumes and those received after posted closing dates. | Confidentiality:<br>G.S. § 115C Art. 21A<br>G.S. § 122C-158<br>G.S. § 130A-45.9<br>G.S. § 153A-98<br>G.S. § 160-168<br>G.S. § 161E-257.2<br>G.S. § 162A-6.1<br><br>Retention:<br>29 CFR 1602.31 |
| 4.                                                                                      | <b>APPRENTICESHIP PROGRAM RECORDS</b><br>Records concerning registered apprenticeship programs. Includes applications and selection materials as well as aggregated data. Also includes apprenticeship affirmative action plans.                                         | Destroy in office 5 years after the making of the record or the personnel action involved, whichever occurs later.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | Authority:<br>29 CFR 30.4(a)<br>29 CFR 1602.20<br><br>Retention:<br>29 CFR 30.12(d)<br>29 CFR 1602.21                                                                                           |

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page vi.

† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.

| ITEM #                                                                                  | STANDARD 6: PERSONNEL RECORDS                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                                                                                                                                                                                                                            |
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|                                                                                         | RECORDS SERIES TITLE                                                                                                                                                                                                                                                                                                                                                                                                                                         | DISPOSITION INSTRUCTIONS                                                                                                                                                                                                                                                                                                                                                                                                                              | CITATION                                                                                                                                                                                                                   |
| 5.<br> | <b>APTITUDE AND SKILLS TESTING RECORDS</b><br>Records concerning aptitude and skills tests required of job applicants or of current employees to qualify for promotion or transfer. Includes civil service examinations.<br><br>See also <b>EMPLOYMENT SELECTION RECORDS</b> , page 56, item 17.                                                                                                                                                             | Destroy in office after 2 years.                                                                                                                                                                                                                                                                                                                                                                                                                      | Confidentiality:<br>G.S. § 115C Art. 21A<br>G.S. § 122C-158<br>G.S. § 130A-45.9<br>G.S. § 153A-98<br>G.S. § 160-168<br>G.S. § 161E-257.2<br>G.S. § 162A-6.1<br><br>Retention:<br>29 CFR 1602.31<br>29 CFR 1627.3(b)(1)(iv) |
| 6.                                                                                      | <b>ASBESTOS TRAINING</b><br>Records concerning training programs about the proper management of asbestos.<br><br>See also <b>BLOODBORNE PATHOGEN TRAINING</b> , page 53, item 8, and <b>HAZARDOUS MATERIALS TRAINING RECORDS</b> , page 58, item 21.                                                                                                                                                                                                         | a) Destroy in office employee-specific records 1 year after separation.<br><br>b) Destroy in office remaining records when superseded or obsolete.                                                                                                                                                                                                                                                                                                    | Retention:<br>29 CFR<br>1910.1001(m)(4)                                                                                                                                                                                    |
| 7.                                                                                      | <b>BENEFITS RECORDS</b><br>Records concerning life, health, accident, and disability insurance plans as well as seniority and merit systems. Includes records concerning systems in which employees can select fringe benefits from a cafeteria plan, including flexible spending plans. File also includes notifications, election and claim forms, rejection letters, and other records related to COBRA (Consolidated Omnibus Budget Reconciliation Act). | a) Destroy in office approved claims forms after 2 years.*<br>b) Destroy in office rejected requests 6 months after decision.<br>c) Destroy in office notifications to employees or dependents informing them of their rights to continue insurance coverage after termination or during disability or family leave 3 years after employee returns or eligibility expires.<br>d) Destroy in office remaining records 1 year after plan is terminated. | Retention:<br>29 CFR 1627.3(b)(2)                                                                                                                                                                                          |

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| ITEM # | STANDARD 6: PERSONNEL RECORDS                                                                                                                                                                                                                                                                                                             |                                                                                                                                                                                              |                                                                                                                                                                                                 |
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|        | RECORDS SERIES TITLE                                                                                                                                                                                                                                                                                                                      | DISPOSITION INSTRUCTIONS                                                                                                                                                                     | CITATION                                                                                                                                                                                        |
| 8.     | <b>BLOODBORNE PATHOGEN TRAINING</b><br>Includes records showing date of training, sessions, contents or summaries of sessions, names of employees attending, and names and qualifications of instructors.<br><br>See also <b>ASBESTOS TRAINING</b> , page 52, item 6, and <b>HAZARDOUS MATERIALS TRAINING RECORDS</b> , page 58, item 21. | Destroy in office after 3 years.                                                                                                                                                             | Retention:<br>29 CFR<br>1910.1030(h)(2)(ii)                                                                                                                                                     |
| 9.     |  <b>CERTIFICATION AND QUALIFICATION RECORDS</b><br>Records concerning certification or qualification as required for employment, continued employment, or promotion.<br><br>See also <b>APPLICATIONS FOR EMPLOYMENT</b> , page 51, item 3.               | a) Destroy in office certificates 5 years after date of separation.<br><br>b) Destroy in office instructional materials, assessments, and other related records when superseded or obsolete. | Confidentiality:<br>G.S. § 115C Art. 21A<br>G.S. § 122C-158<br>G.S. § 130A-45.9<br>G.S. § 153A-98<br>G.S. § 160-168<br>G.S. § 161E-257.2<br>G.S. § 162A-6.1<br><br>Retention:<br>29 CFR 1602.31 |
| 10.    | <b>DIRECTORIES, ROSTERS, OR INDICES</b><br>Includes records listing employees, their job titles, work locations, phone numbers, e-mail addresses, and similar information.                                                                                                                                                                | Destroy in office when superseded or obsolete.                                                                                                                                               |                                                                                                                                                                                                 |

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† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.

| ITEM # | STANDARD 6: PERSONNEL RECORDS                                                                                                                                                                                                                                                                                                                                   |                                                                                                                                                                                                                                    |                                                                                                                                                                                                                                                                                   |
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|        | RECORDS SERIES TITLE                                                                                                                                                                                                                                                                                                                                            | DISPOSITION INSTRUCTIONS                                                                                                                                                                                                           | CITATION                                                                                                                                                                                                                                                                          |
| 11.    | <b>DISABILITY SALARY CONTINUATION CLAIMS</b><br>Forms used by disabled employees to apply for salary continuation benefits. Also include short-term disability claims forms and other related records.                                                                                                                                                          | a) Transfer original forms to Local Government Employees' Retirement System (LGERS) or Teachers' and State Employees' Retirement System (TSERS) for action when received.<br>b) Destroy in office remaining records after 3 years. |                                                                                                                                                                                                                                                                                   |
| 12.    | <b>DISCIPLINARY ACTIONS</b><br>Correspondence (including e-mail) and other records concerning disciplinary actions taken against employees by personnel or supervisory staff, including records documenting terminations. Includes records created by civil service boards when considering, or reconsidering on appeal, an adverse action against an employee. | a) Transfer records as applicable to <b>PERSONNEL RECORDS (OFFICIAL COPY)</b> , page 61, item 29.<br>b) Destroy in office all remaining records 2 years after resolution of all actions.                                           | Authority:<br>G.S. § 115C Art. 21A<br>G.S. § 122C-158<br>G.S. § 130A-45.9<br>G.S. § 153A-98<br>G.S. § 160-168<br>G.S. § 161E-257.2<br>G.S. § 162A-6.1<br><br>Retention:<br>29 CFR 1602.31<br><br>Subject to the public information provision delineated in the above authorities. |
| 13.    | <b>DUAL EMPLOYMENT</b><br>Records concerning employees' requests and authorizations to accept employment with another local government agency.                                                                                                                                                                                                                  | a) Destroy in office approved requests and related records 1 year after employee terminates additional employment.<br>b) Destroy in office denied requests and related records after 6 months.                                     |                                                                                                                                                                                                                                                                                   |

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† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.

| ITEM #                                                                                     | STANDARD 6: PERSONNEL RECORDS                                                                                                                                                                                                                 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                                                                                                                                                    |
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|                                                                                            | RECORDS SERIES TITLE                                                                                                                                                                                                                          | DISPOSITION INSTRUCTIONS                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | CITATION                                                                                                                                                                                           |
| 14.<br>   | <b>EDUCATIONAL LEAVE AND REIMBURSEMENT</b><br>Includes records requesting educational leave and tuition assistance, reimbursements, and other related records.<br><br>See also <b>LEAVE RECORDS</b> , page 58, item 24.                       | a) Transfer records documenting approved leave requests to <b>PERSONNEL RECORDS (OFFICIAL COPY)</b> , page 61, item 29.<br>b) Destroy in office records concerning denied requests 6 months after denial.* Destroy in office records concerning approved tuition reimbursements 3 years after reimbursement.*                                                                                                                                                                                                                          | Confidentiality:<br>G.S. § 115C Art. 21A<br>G.S. § 122C-158<br>G.S. § 130A-45.9<br>G.S. § 153A-98<br>G.S. § 160-168<br>G.S. § 161E-257.2<br>G.S. § 162A-6.1                                        |
| 15.<br>   | <b>ELIGIBILITY RECORDS</b><br>Includes the I-9 forms, employment authorization documents filed with the U.S. Department of Labor, petitions filed by the agency, E-Verify documentation, and Selective Service Registration compliance forms. | a) I-9 forms have mandatory retention throughout the duration of an individual's employment. After separation, destroy records in office 3 years from date of hire or 1 year from separation, whichever occurs later.<br>b) Destroy in office after 5 years employment authorization documents filed with the U.S. Department of Labor.<br>c) Destroy in office immigrant or nonimmigrant petitions filed by the agency 3 years after employee separation.<br>d) Destroy in office remaining records 1 year after employee separation. | Confidentiality:<br>G.S. § 115C Art. 21A<br>G.S. § 122C-158<br>G.S. § 130A-45.9<br>G.S. § 153A-98<br>G.S. § 160-168<br>G.S. § 161E-257.2<br>G.S. § 162A-6.1<br><br>Retention:<br>8 USC 1324a(b)(3) |
| 16.<br> | <b>EMPLOYEE ASSISTANCE PROGRAMS</b><br>Records documenting assistance and counseling opportunities. Includes requests for information, referrals, forms, releases, correspondence, and other related records.                                 | Destroy in office after 3 years.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | Confidentiality:<br>G.S. § 115C Art. 21A<br>G.S. § 122C-158<br>G.S. § 130A-45.9<br>G.S. § 153A-98<br>G.S. § 160-168<br>G.S. § 161E-257.2<br>G.S. § 162A-6.1                                        |

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† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.

| ITEM #                                                                                   | STANDARD 6: PERSONNEL RECORDS                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                                                                                                                                                          |                                                                                                                                                                                                                        |
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|                                                                                          | RECORDS SERIES TITLE                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | DISPOSITION INSTRUCTIONS                                                                                                                                 | CITATION                                                                                                                                                                                                               |
| 17.<br> | <b>EMPLOYMENT SELECTION RECORDS</b><br>Records concerning the selection of applicants for vacant positions or of current employees for promotion, transfer, or training opportunities. Includes interview documentation, rosters, eligibility lists, test ranking sheets, justification statements, background and criminal history checks, and similar records.<br><br>See also <b>APPLICATIONS FOR EMPLOYMENT</b> , page 51, item 3, and <b>APTITUDE AND SKILLS TESTING RECORDS</b> , page 52, item 5. | a) Destroy in office background and criminal history checks after 5 years.<br><br>b) Destroy in office remaining records 2 years after hiring decision.* | Confidentiality:<br>G.S. § 115C Art. 21A<br>G.S. § 122C-158<br>G.S. § 130A-45.9<br>G.S. § 153A-98<br>G.S. § 160-168<br>G.S. § 161E-257.2<br>G.S. § 162A-6.1<br><br>Retention:<br>29 CFR 1602.31<br>29 CFR 1627.3(b)(1) |
| 18.<br> | <b>EXIT INTERVIEW RECORDS</b><br>Includes feedback from employees planning to separate from the agency.                                                                                                                                                                                                                                                                                                                                                                                                  | Destroy in office after 1 year.                                                                                                                          | Confidentiality:<br>G.S. § 115C Art. 21A<br>G.S. § 122C-158<br>G.S. § 130A-45.9<br>G.S. § 153A-98<br>G.S. § 160-168<br>G.S. § 161E-257.2<br>G.S. § 162A-6.1                                                            |

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| ITEM #                                                                                   | STANDARD 6: PERSONNEL RECORDS                                                                                                                                                                                                                                                                                    |                                              |                                                                                                                                                                                                                                        |
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|                                                                                          | RECORDS SERIES TITLE                                                                                                                                                                                                                                                                                             | DISPOSITION INSTRUCTIONS                     | CITATION                                                                                                                                                                                                                               |
| 19.<br> | <b>FAMILY MEDICAL LEAVE ACT (FMLA) RECORDS</b><br>Records concerning leave taken, premium payments, employer notice, medical examinations considered in connection with personnel action, disputes with employees over FMLA, and other related records.<br><br>See also <b>LEAVE RECORDS</b> , page 58, item 24. | Destroy in office 3 years after leave ends.* | Authority:<br>29 CFR 825.110<br><br>Confidentiality:<br>G.S. § 115C Art. 21A<br>G.S. § 122C-158<br>G.S. § 130A-45.9<br>G.S. § 153A-98<br>G.S. § 160-168<br>G.S. § 161E-257.2<br>G.S. § 162A-6.1<br><br>Retention:<br>29 CFR 825.500(b) |
| 20.<br> | <b>GRIEVANCES</b><br>Includes initial complaint by employee, investigation, action, summary, and disposition.<br><br>See also <b>DISCIPLINARY ACTIONS</b> , page 54, item 12, and <b>PERSONNEL RECORDS (OFFICIAL COPY)</b> , page 61, item 29.                                                                   | Destroy in office after 2 years.*            | Confidentiality:<br>G.S. § 115C Art. 21A<br>G.S. § 122C-158<br>G.S. § 130A-45.9<br>G.S. § 153A-98<br>G.S. § 160-168<br>G.S. § 161E-257.2<br>G.S. § 162A-6.1                                                                            |

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| ITEM # | STANDARD 6: PERSONNEL RECORDS                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                                                                                                                                |                                                                                                                                                             |
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|        | RECORDS SERIES TITLE                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | DISPOSITION INSTRUCTIONS                                                                                                                                       | CITATION                                                                                                                                                    |
| 21.    | <b>HAZARDOUS MATERIALS TRAINING RECORDS</b><br>Includes records showing date of training, sessions, contents or summaries of sessions, names of employees attending, and names and qualifications of instructors.<br><br>See also <b>ASBESTOS TRAINING</b> , page 52, item 6, and <b>BLOODBORNE PATHOGEN TRAINING</b> , page 53, item 8.                                                                                                                                                           | Destroy in office after 5 years.                                                                                                                               | Authority:<br>29 CFR<br>1910.120(p)(8)(iii)<br>10A NCAC 15                                                                                                  |
| 22.    | <b>INTERNSHIP PROGRAM</b><br>Records concerning interns and students who work for the agency.                                                                                                                                                                                                                                                                                                                                                                                                      | Destroy in office after 2 years.                                                                                                                               |                                                                                                                                                             |
| 23.    | <b>LAW ENFORCEMENT TRAINING</b><br>Records concerning internal training for law enforcement personnel.                                                                                                                                                                                                                                                                                                                                                                                             | Retain in office permanently.                                                                                                                                  |                                                                                                                                                             |
| 24.    |  <b>LEAVE RECORDS</b><br>Records concerning employee leave, including requests for and approval of sick, vacation, overtime, buy-back, shared, donated, etc. Also includes records documenting leave without pay.<br><br>See also <b>EDUCATIONAL LEAVE AND REIMBURSEMENT</b> , page 55, item 14, <b>FAMILY MEDICAL LEAVE ACT (FMLA) RECORDS</b> , page 57, item 19, and <b>MILITARY LEAVE</b> , page 59, item 26. | a) Destroy in office denied requests after 6 months.<br>b) Destroy in office approved requests 3 years after return of employee or termination of employment.* | Confidentiality:<br>G.S. § 115C Art. 21A<br>G.S. § 122C-158<br>G.S. § 130A-45.9<br>G.S. § 153A-98<br>G.S. § 160-168<br>G.S. § 161E-257.2<br>G.S. § 162A-6.1 |

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| ITEM # | STANDARD 6: PERSONNEL RECORDS                                                                                                                                                                                                                                                                                                                                     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                                                                                                                                                                           |
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|        | RECORDS SERIES TITLE                                                                                                                                                                                                                                                                                                                                              | DISPOSITION INSTRUCTIONS                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | CITATION                                                                                                                                                                                                  |
| 25.    | <b>MEDICAL RECORDS</b><br> Records concerning asbestos, toxic substances, and bloodborne pathogen exposure; medical examinations required by state or federal law; and records of injury or illness. (Does not include worker's compensation or health insurance claim records.) | a) Destroy in office exposure records 30 years after date of exposure.*<br>b) Destroy in office records pertaining to first-aid job-related illness and injury after 5 years.<br>c) Provide medical records to employees who have worked for less than 1 year at time of separation.<br>d) Destroy in office after 1 year records concerning physical examinations or health certificates.<br>e) Destroy in office remaining records 30 years after employee separation.<br><br><i>Retention Note: Records must be maintained separately from an employee's personnel jacket. If part of a worker's compensation claim, follow disposition for <b>WORKERS' COMPENSATION PROGRAM CLAIMS</b>, page 66, item 50.</i> | Authority:<br>29 CFR 1910.1020(e)<br><br>Confidentiality:<br>29 CFR 1630.14(c)(1)<br>29 CFR 1910.1030(h)(1)(iii)<br><br>Retention:<br>29 CFR 1627.3(b)(1)(v)<br>29 CFR 1910.1020(d)<br>42 USC 12112(d)(3) |
| 26.    | <b>MILITARY LEAVE</b><br>Records concerning military leave, as established by the Uniformed Services Employment and Reemployment Rights Act (USERRA).<br><br>See also <b>LEAVE RECORDS</b> , page 58, item 24.                                                                                                                                                    | Destroy in office 3 years after leave ends or employee separates from agency.*                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | Authority:<br>5 CFR 1208                                                                                                                                                                                  |

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| ITEM #                                                                                   | STANDARD 6: PERSONNEL RECORDS                                                                                                                                                                                                           |                                                                                  |                                                                                                                                                                                                       |
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|                                                                                          | RECORDS SERIES TITLE                                                                                                                                                                                                                    | DISPOSITION INSTRUCTIONS                                                         | CITATION                                                                                                                                                                                              |
| 27.<br> | <b>PERFORMANCE REVIEWS</b><br>Information used to establish employees' goals and primary tasks. Records used to evaluate each employee's work performance.<br><br>See also <b>PERSONNEL RECORDS (OFFICIAL COPY)</b> , page 61, item 29. | Destroy in office after 3 years.                                                 | Confidentiality (applies only to performance evaluations):<br>G.S. § 115C Art. 21A<br>G.S. § 122C-158<br>G.S. § 130A-45.9<br>G.S. § 153A-98<br>G.S. § 160-168<br>G.S. § 161E-257.2<br>G.S. § 162A-6.1 |
| 28.                                                                                      | <b>PERSONNEL ACTION NOTICES</b><br>Records used to create or change information in the personnel records of individual employees concerning such issues as hiring, termination, transfer, pay grade, and position or job title.         | Transfer records to <b>PERSONNEL RECORDS (OFFICIAL COPY)</b> , page 61, item 29. | Subject to the public information provision delineated in relevant General Statutes.                                                                                                                  |

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| ITEM #                                                                                    | STANDARD 6: PERSONNEL RECORDS                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                                                                                                                           |
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|                                                                                           | RECORDS SERIES TITLE                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | DISPOSITION INSTRUCTIONS                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | CITATION                                                                                                                                                                  |
| 29.<br>  | <b>PERSONNEL RECORDS (OFFICIAL COPY)</b><br>Official copy of personnel file maintained on each permanent and temporary agency employee. Includes basic employee information and records and forms relating to the selection or non-selection, promotion, transfer, leave, salary, suspension, and termination of employment.<br><br>Note: For agencies responsible for maintaining personnel files for criminal justice officers, please consult 12 NCAC 09C .0307 for the mandatory records of certification that must be housed in the personnel file.<br><br>See also <b>MEDICAL RECORDS</b> , page 59, item 25. | a) Destroy in office after 30 years from date of separation information needed to document: date and amount of each increase or decrease in salary with that agency; date and type of each promotion, demotion, transfer, suspension, separation, or other change in position classification with that agency; date and general description of the reasons for each promotion with that agency; date and type of each dismissal, suspension, or demotion for disciplinary reasons taken by the agency; and, if the disciplinary action was a dismissal, a copy of the written notice of the final decision of the agency setting forth the specific acts or omissions that are the basis of the dismissal.<br><br>b) Destroy in office information necessary to verify benefits 30 years after date of separation.<br><br>c) Destroy in office remaining records when individual retention periods are reached as noted in individual items in the Records Retention and Disposition Schedule. | Authority/<br>Confidentiality:<br>G.S. § 115C Art. 21A<br>G.S. § 122C-158<br>G.S. § 130A-45.9<br>G.S. § 153A-98<br>G.S. § 160-168<br>G.S. § 161E-257.2<br>G.S. § 162A-6.1 |
| 30.<br> | <b>PERSONNEL RECORDS (SUPERVISOR COPY)</b><br>Personnel jacket that is often maintained by supervisors.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | a) Transfer records as applicable to <b>PERSONNEL RECORDS (OFFICIAL COPY)</b> , page 61, item 29.<br><br>b) Destroy in office remaining records when reference value ends. <sup>†</sup><br><br>Agency Policy: Destroy in office after _____                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | Confidentiality:<br>G.S. § 115C Art. 21A<br>G.S. § 122C-158<br>G.S. § 130A-45.9<br>G.S. § 153A-98<br>G.S. § 160-168<br>G.S. § 161E-257.2<br>G.S. § 162A-6.1               |

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page vi.

<sup>†</sup> See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.

| ITEM # | STANDARD 6: PERSONNEL RECORDS                                                                                                                                                                                                                                                                                                                                                   |                                                                                                                                                           |                                                                                                                                                                                                |
|--------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|        | RECORDS SERIES TITLE                                                                                                                                                                                                                                                                                                                                                            | DISPOSITION INSTRUCTIONS                                                                                                                                  | CITATION                                                                                                                                                                                       |
| 31.    | <b>POLICIES AND PROCEDURES (PERSONNEL)</b>                                                                                                                                                                                                                                                                                                                                      | a) Retain in office internal agency personnel policies and procedures permanently.<br>b) Destroy in office remaining records when superseded or obsolete. |                                                                                                                                                                                                |
| 32.    |  <b>POLYGRAPH RECORDS</b><br>Includes statements informing employee of the time, place, and reasons for the test; copy of notice sent to examiner identifying employee to be tested; and copies of opinions, reports, or similar records generated by the examiner and provided to the agency. | Destroy in office 3 years from the date the test was given, or from the date the test was requested if no examination was given.                          | Confidentiality:<br>G.S. § 115C Art. 21A<br>G.S. § 122C-158<br>G.S. § 130A-45.9<br>G.S. § 153A-98<br>G.S. § 160-168<br>G.S. § 161E-257.2<br>G.S. § 162A-6.1<br><br>Retention:<br>29 CFR 801.30 |
| 33.    | <b>POSITION CLASSIFICATION, CONTROL, AND HISTORY</b><br>Records concerning personnel actions and position control, status of each established permanent, temporary full-time, or part-time position, and other related topics. Also includes listings providing classification, titles, and position numbers.<br><br>See also <b>POSITION DESCRIPTIONS</b> , page 62, item 34.  | a) Retain in office records with historical value permanently.<br>b) Destroy in office remaining records when superseded or obsolete.                     |                                                                                                                                                                                                |
| 34.    | <b>POSITION DESCRIPTIONS</b><br>Includes information on job title, grade, duties, agency assigned, and responsibilities.                                                                                                                                                                                                                                                        | Destroy in office 2 years after superseded.                                                                                                               | Retention:<br>29 CFR 1620.32                                                                                                                                                                   |

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† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.

| ITEM #                                                                                    | STANDARD 6: PERSONNEL RECORDS                                                                                                                           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                                                                                                                                                             |
|-------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                                                                                           | RECORDS SERIES TITLE                                                                                                                                    | DISPOSITION INSTRUCTIONS                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | CITATION                                                                                                                                                    |
| 35.                                                                                       | <b>POSITION EVALUATIONS</b><br>Forms used to evaluate the primary purpose of a position.                                                                | Destroy in office after 1 year.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                                                                                                                                                             |
| 36.                                                                                       | <b>RECRUITMENT RECORDS</b><br>Includes ads and notices of overtime, promotion, and training. Also includes employment listings.                         | Destroy in office 1 year from date of record.                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | Retention:<br>29 CFR 1627.3(b)                                                                                                                              |
| 37.                                                                                       | <b>RETIREMENT RECORDS</b><br>Includes plans and related records outlining the terms of employee pension and other deferred compensation plans.          | a) Destroy in office records documenting deferred compensation 3 years after payment.*<br>b) Destroy in office descriptive information about retirements plans 1 year after plan is terminated.<br>c) Destroy in office records concerning employer-sponsored retirement plans 7 years after payment.*<br>d) Transfer Local Governmental Employees' Retirement System (LGERS) forms to Department of State Treasurer.<br>e) Transfer applicable records to <b>PERSONNEL RECORDS (OFFICIAL COPY)</b> , page 61, item 29. | Retention:<br>29 CFR 1627.3(b)(2)                                                                                                                           |
| 38.<br> | <b>SEASONAL AND CONTRACT WORKER RECORDS</b><br>Records concerning seasonal or contractual employees who are not provided with or eligible for benefits. | Destroy in office 5 years after date of separation.                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | Confidentiality:<br>G.S. § 115C Art. 21A<br>G.S. § 122C-158<br>G.S. § 130A-45.9<br>G.S. § 153A-98<br>G.S. § 160-168<br>G.S. § 161E-257.2<br>G.S. § 162A-6.1 |

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page vi.

† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.

| ITEM # | STANDARD 6: PERSONNEL RECORDS                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                                                                                                                                                                                                                              |                                       |
|--------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------|
|        | RECORDS SERIES TITLE                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | DISPOSITION INSTRUCTIONS                                                                                                                                                                                                                                     | CITATION                              |
| 39.    | <b>SECONDARY EMPLOYMENT</b><br>Records concerning employees' requests and authorizations to accept employment with a private entity.                                                                                                                                                                                                                                                                                                                                                                                                                        | a) Destroy in office approved requests and related records 1 year after employee terminates outside employment.<br>b) Destroy in office denied requests and related records after 6 months.                                                                  |                                       |
| 40.    | <b>SERVICE AWARDS AND COMMENDATIONS</b><br>Includes award and selection committee reports, nominations, selection criteria, and similar administrative records relating to employee recognition or incentive programs.<br><br>See also <b>PERSONNEL RECORDS (OFFICIAL COPY)</b> , page 61, item 29.                                                                                                                                                                                                                                                         | Destroy in office 2 years from date of record creation or the personnel action involved.                                                                                                                                                                     |                                       |
| 41.    | <b>SUGGESTIONS AND SURVEYS</b><br>Recommendations and feedback submitted by agency employees.                                                                                                                                                                                                                                                                                                                                                                                                                                                               | Destroy in office after 1 year.                                                                                                                                                                                                                              |                                       |
| 42.    | <b>TRAINING AND EDUCATIONAL RECORDS</b><br>Includes employee-specific records (certificates, transcripts, test scores, etc.) relating to the training, testing, or continuing education of employees.<br><br>See also <b>CONFERENCES AND WORKSHOPS</b> , page 68, item 4, and <b>EDUCATIONAL LEAVE AND REIMBURSEMENT</b> , page 55, item 14. Other required trainings are handled in <b>ASBESTOS TRAINING</b> , page 52, item 6, <b>BLOODBORNE PATHOGEN TRAINING</b> , page 53, item 8, and <b>HAZARDOUS MATERIALS TRAINING RECORDS</b> , page 58, item 21. | a) Transfer records as applicable to <b>PERSONNEL RECORDS (OFFICIAL COPY)</b> , page 61, item 29, if such training and testing is required for the position held or could affect career advancement.<br>b) Destroy in office remaining records after 1 year. | Retention:<br>29 CFR 1627.3(b)(1)(iv) |

6

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page vi.

† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.

| ITEM #                                                                                   | STANDARD 6: PERSONNEL RECORDS                                                                                                                                                                                                                     |                                                                               |                                                                                                                                                             |
|------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                                                                                          | RECORDS SERIES TITLE                                                                                                                                                                                                                              | DISPOSITION INSTRUCTIONS                                                      | CITATION                                                                                                                                                    |
| 43.<br> | <b>UNEMPLOYMENT COMPENSATION CLAIMS</b><br>Claim forms and other related records concerning unemployment compensation cases.                                                                                                                      | Destroy in office after 3 years.*                                             | Confidentiality:<br>G.S. § 115C Art. 21A<br>G.S. § 122C-158<br>G.S. § 130A-45.9<br>G.S. § 153A-98<br>G.S. § 160-168<br>G.S. § 161E-257.2<br>G.S. § 162A-6.1 |
| 44.                                                                                      | <b>UNEMPLOYMENT COMPENSATION REPORTS</b><br>Quarterly reports showing month-to-date wages, month-to-date compensation, year-to-date wages, and year-to-date compensation for each employee. May be filed with NC Division of Employment Security. | Destroy in office after 3 years.*                                             |                                                                                                                                                             |
| 45.                                                                                      | <b>UNEMPLOYMENT INSURANCE</b><br>Forms submitted to the Department of Commerce to report wage records of terminated employees.                                                                                                                    | Transfer to the N.C. Department of Commerce, Division of Employment Security. |                                                                                                                                                             |
| 46.                                                                                      | <b>VERIFICATION OF EMPLOYMENT RECORDS</b><br>Inquiries and responses concerning verification of an employee's prior or current employment with the agency.                                                                                        | Destroy in office after 1 year.                                               |                                                                                                                                                             |
| 47.                                                                                      | <b>VOLUNTEER RECORDS</b><br>Records concerning individuals who volunteer to assist with various agency activities.                                                                                                                                | Destroy in office 2 years after completion of assignment.                     |                                                                                                                                                             |
| 48.                                                                                      | <b>WORK SCHEDULES AND ASSIGNMENTS</b><br>Records concerning work, duty, shift, crew, or case schedules, rosters, or assignments.                                                                                                                  | Destroy in office after 1 year.                                               |                                                                                                                                                             |

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page vi.

† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.



| ITEM # | STANDARD 6: PERSONNEL RECORDS                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                                                                                                                            |                                                    |
|--------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------|
|        | RECORDS SERIES TITLE                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | DISPOSITION INSTRUCTIONS                                                                                                                                   | CITATION                                           |
| 49.    | <b>WORKERS' COMPENSATION PROGRAM ADMINISTRATION</b><br>Includes program policies, guidelines, and related administrative documentation.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | a) Retain in office records with historical value permanently.<br>b) Destroy in office remaining records when superseded or obsolete.                      |                                                    |
| 50.    |  <b>WORKERS' COMPENSATION PROGRAM CLAIMS</b><br>Records concerning workers' compensation claims filed by employees' supervisors concerning accidental injuries or illnesses suffered on the job. Includes Employer's Report of Injury to Employee (Form 19), accident investigation reports, medical reports, claim cost reports, reference copies of medical invoices, and other related records.<br><i>Note: All official copies of claims records should be transferred to the North Carolina Industrial Commission in compliance with G.S. § 97-92(a).</i> | Destroy in office agency's working file for workers' compensation claims by its employees 5 years after employee returns to work or separates from agency. | Confidentiality:<br>G.S. § 8-53<br>G.S. § 97-92(b) |

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**STANDARD 7: PUBLIC RELATIONS RECORDS**

Official records and materials created and accumulated by internal public relations programs operated by the agency.

| ITEM # | STANDARD 7: PUBLIC RELATIONS RECORDS                                                                                                                                                                                                                                                                              |                                                                                                                                                                                                                                                               |          |
|--------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|
|        | RECORDS SERIES TITLE                                                                                                                                                                                                                                                                                              | DISPOSITION INSTRUCTIONS                                                                                                                                                                                                                                      | CITATION |
| 1.     | <b>AGENCY PUBLICATIONS</b><br>Publications created at agency expense. Also includes correspondence and other related records regarding the design and creation of agency publications.                                                                                                                            | a) Retain in office records with historical value permanently.<br>b) Destroy publications management records after 5 years.<br>c) Destroy in office remaining records when reference value ends. <sup>†</sup><br>Agency Policy: Destroy in office after _____ |          |
| 2.     | <b>AUDIO-VISUAL RECORDINGS</b><br>Recordings (including digital) and films produced by the agency. This does not include recordings of public meetings or security videos.<br><br>See also <b>AUDIO AND VIDEO RECORDINGS OF MEETINGS</b> , page 2, item 7, and <b>OFFICE SECURITY RECORDS</b> , page 12, item 46. | a) Retain in office records with historical value permanently.<br>b) Destroy in office remaining records when reference value ends. <sup>†</sup><br>Agency Policy: Destroy in office after _____                                                              |          |
| 3.     | <b>COMMUNITY AWARDS</b><br>Records concerning awards by the agency recognizing community contributions.                                                                                                                                                                                                           | a) Retain in office records with historical value permanently.<br>b) Destroy in office remaining records when reference value ends. <sup>†</sup><br>Agency Policy: Destroy in office after _____                                                              |          |

7

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page vi.

<sup>†</sup> See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.

| ITEM # | STANDARD 7: PUBLIC RELATIONS RECORDS                                                                                                                                                                                                                                                                                                                                                                                                                                       |                                                                                                                                       |          |
|--------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------|----------|
|        | RECORDS SERIES TITLE                                                                                                                                                                                                                                                                                                                                                                                                                                                       | DISPOSITION INSTRUCTIONS                                                                                                              | CITATION |
| 4.     | <b>CONFERENCES AND WORKSHOPS</b><br>Records concerning conferences and workshops conducted by agency employees. Includes slides, charts, transparencies, handouts, and other related records used in presentations.<br><br>See also <b>TRAINING AND EDUCATIONAL RECORDS</b> , page 64, item 42.                                                                                                                                                                            | a) Retain in office records with historical value permanently.<br>b) Destroy in office remaining records when superseded or obsolete. |          |
| 5.     | <b>EDUCATIONAL MATERIALS</b><br>Materials produced for usage by teachers or tour groups. Includes lesson plans, activities, and other related records.                                                                                                                                                                                                                                                                                                                     | Destroy in office when superseded or obsolete.                                                                                        |          |
| 6.     | <b>FUND DRIVE AND EVENT RECORDS</b><br>Records documenting the promotion and organization of fund drives and other special events in which the agency participated. Includes records concerning solicitations requesting and donations providing money or in-kind donations for agency programs. Also includes invitations, registration materials, agendas, handouts, presentations, and programs.<br><br>See also <b>DONATIONS AND SOLICITATIONS</b> , page 22, item 21. | a) Retain in office records with historical value permanently.<br>b) Destroy in office remaining records when superseded or obsolete. |          |
| 7.     | <b>INVITATIONS</b><br>Invitations sent and received concerning agency and external functions.                                                                                                                                                                                                                                                                                                                                                                              | Destroy in office after event occurs.                                                                                                 |          |

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page vi.

† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.

| ITEM # | STANDARD 7: PUBLIC RELATIONS RECORDS                                                                                                                                                                                                      |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |          |
|--------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|
|        | RECORDS SERIES TITLE                                                                                                                                                                                                                      | DISPOSITION INSTRUCTIONS                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | CITATION |
| 8.     | <b>MEDIA FILE</b><br>Reference copies of newspaper, magazine, and other media clippings concerning the agency, agency officials, and other topics of interest.                                                                            | Destroy in office when reference value ends. <sup>†</sup><br>Agency Policy: Destroy in office after _____                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |          |
| 9.     | <b>POPULAR ANNUAL FINANCE REPORT</b><br>Comprehensive annual financial report (CAFR)                                                                                                                                                      | a) Retain records with historical value permanently.<br>b) Destroy in office remaining records when superseded or obsolete.                                                                                                                                                                                                                                                                                                                                                                                                                                                  |          |
| 10.    | <b>PUBLIC HEARINGS</b><br>Includes agendas, minutes, notices, speaker sign-up sheets, and similar documentation.                                                                                                                          | a) Retain in office minutes permanently.<br>b) Destroy in office remaining records after 1 year.                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |          |
| 11.    | <b>PUBLIC RECORDS REQUESTS</b><br>Formal requests submitted by persons seeking access to agency records along with documentation of agency response.                                                                                      | Destroy in office 2 years after resolution.*<br><br><i>Note: These disposition instructions apply only to the request, internal agency records related to searching for and preparing responsive records, and communication of response; the documents that are responsive to public records requests should be handled according to their respective disposition instructions. However, if the agency also retains separate copies of the documents that are responsive to public records requests, they may also be destroyed 2 years after completion of the request.</i> |          |
| 12.    | <b>PUBLICITY RECORDS</b><br>Records concerning overall public relations of agency. Includes advertisements, announcements, correspondence (including e-mail), photographic materials, news and press releases, and other related records. | a) Retain in office records with historical value permanently.<br>b) Destroy in office remaining records when superseded or obsolete.*                                                                                                                                                                                                                                                                                                                                                                                                                                       |          |

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<sup>†</sup> See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.

| ITEM # | STANDARD 7: PUBLIC RELATIONS RECORDS                                                                                                                                                                                                                                                                                                                                                                                                             |                                                                                                                                                                                                                                                                                                             |          |
|--------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|
|        | RECORDS SERIES TITLE                                                                                                                                                                                                                                                                                                                                                                                                                             | DISPOSITION INSTRUCTIONS                                                                                                                                                                                                                                                                                    | CITATION |
| 13.    | <b>SOCIAL MEDIA</b>                                                                                                                                                                                                                                                                                                                                                                                                                              | See <b>APPENDIX</b> (page 79) for guidance in handling social media.                                                                                                                                                                                                                                        |          |
| 14.    | <b>SPEECHES</b><br>Speeches made by agency officials.                                                                                                                                                                                                                                                                                                                                                                                            | a) Retain in office records with historical value permanently.<br>b) Destroy in office remaining records when reference value ends. <sup>†</sup><br>Agency Policy: Destroy in office after _____                                                                                                            |          |
| 15.    | <b>WEBSITE (ELECTRONIC)</b><br>Records created and maintained in paper and electronic formats concerning the creation and maintenance of the agency's presence on the World Wide Web. Includes correspondence (including e-mail), procedures, instructions, website designs, HTML/XHTML, or other web-based file formats, and other related records.<br><br>See also <b>WEB MANAGEMENT AND OPERATIONS RECORDS: STRUCTURE</b> , page 42, item 19. | a) Capture website annually or whenever a major revision in design and/or content has taken place, whichever occurs first. Retain captured content in office permanently. Can be maintained as website snapshots or via Web crawler.<br>b) Destroy in office remaining records when superseded or obsolete. |          |

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<sup>†</sup> See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.

**STANDARD 8: RISK MANAGEMENT RECORDS**

Official records created and accumulated to manage risks in the agency.

| ITEM # | STANDARD 8: RISK MANAGEMENT RECORDS                                                                                                      |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                             |
|--------|------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------|
|        | RECORDS SERIES TITLE                                                                                                                     | DISPOSITION INSTRUCTIONS                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | CITATION                                    |
| 1.     | <b>ACCIDENT/INCIDENT REPORTS (CUSTOMER AND EMPLOYEE)</b><br><br>See also <b>WORKERS' COMPENSATION PROGRAM CLAIMS</b> , page 66, item 50. | a) Transfer records resulting in workers' compensation to <b>WORKERS' COMPENSATION PROGRAM CLAIMS</b> , page 66, item 50.<br>b) Destroy in office remaining employee claims 3 years after settlement or denial of claim.*<br>c) Destroy in office adult non-employee reports 3 years after settlement or denial of claim.*<br>d) Destroy in office reports that do not result in claims or official action after 3 years.<br>e) Destroy in office reports of minors after minor has reached age of 21. |                                             |
| 2.     | <b>ASBESTOS MANAGEMENT PLAN</b>                                                                                                          | a) Destroy in office 1 year after building is demolished.<br>b) If building is sold, transfer records to new owner.                                                                                                                                                                                                                                                                                                                                                                                    | Retention:<br>29 CFR<br>1910.1001(j)(3)(ii) |
| 3.     | <b>DECLARATIONS AND TERMINATIONS OF STATES OF EMERGENCY</b>                                                                              | Retain in office permanently.                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | Authority:<br>G.S. § 166A-19.22             |

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† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.

| ITEM #                                                                                  | STANDARD 8: RISK MANAGEMENT RECORDS                                                                                                                                                                                                                                                                                                                                                                            |                                                                                                                                                                                                                                                                |                                    |
|-----------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------|
|                                                                                         | RECORDS SERIES TITLE                                                                                                                                                                                                                                                                                                                                                                                           | DISPOSITION INSTRUCTIONS                                                                                                                                                                                                                                       | CITATION                           |
| 4.<br> | <b>DISASTER AND EMERGENCY MANAGEMENT PLANS</b><br>Records concerning preparedness, evacuations, and operations in the event of a disaster (natural, accidental, or malicious). Includes background surveys, studies, reports, and records concerning the process of notifying personnel in the event of an emergency. Also includes Continuity of Operations Plans (COOP) and Business Continuity Plans (BCP). | Destroy in office when superseded or obsolete.                                                                                                                                                                                                                 | Confidentiality:<br>G.S. § 132-1.7 |
| 5.                                                                                      | <b>DISASTER RECOVERY</b><br>Administrative records documenting recovery efforts.                                                                                                                                                                                                                                                                                                                               | a) Retain in office permanently records documenting major agency disaster recovery efforts<br>b) Destroy in office after 3 years records concerning minor or routine agency recovery operations that are managed with minimal disruption to normal operations. |                                    |
| 6.                                                                                      | <b>EMERGENCY DRILLS AND EQUIPMENT RECORDS</b><br>Includes test records for fire suppression, defibrillator, respirator fit, and other emergency equipment. Also includes records concerning agency emergency and fire drills.                                                                                                                                                                                  | Destroy in office when superseded or obsolete.                                                                                                                                                                                                                 |                                    |
| 7.                                                                                      | <b>EMPLOYEE SECURITY RECORDS</b><br>Records concerning the issuance of keys, identification cards, parking assignments, passes, etc., to employees.                                                                                                                                                                                                                                                            | Destroy in office when superseded or obsolete.                                                                                                                                                                                                                 |                                    |
| 8.                                                                                      | <b>FIRE, HEALTH, AND SAFETY RECORDS</b><br>Records concerning agency safety measures. Includes reports, logs, and other related records documenting inspections of agency facilities.                                                                                                                                                                                                                          | Destroy in office when superseded or obsolete.                                                                                                                                                                                                                 |                                    |

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page vi.

† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.

| ITEM # | STANDARD 8: RISK MANAGEMENT RECORDS                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                                |
|--------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------|
|        | RECORDS SERIES TITLE                                                                                                                                                                                                                          | DISPOSITION INSTRUCTIONS                                                                                                                                                                                                                                                                                                                                                                                           | CITATION                                                       |
| 9.     | <b>FUEL OIL STORAGE TANK RECORDS</b>                                                                                                                                                                                                          | Destroy in office closure records 3 years after completion of permanent closure.                                                                                                                                                                                                                                                                                                                                   | Authority:<br>40 CFR 280.34<br><br>Retention:<br>40 CFR 280.74 |
| 10.    | <b>HAZARDOUS MATERIALS MANAGEMENT</b><br>Records related to hazardous materials and hazard mitigation plans.                                                                                                                                  | a) Destroy in office after 30 years records related to hazardous materials, including biowaste.<br>b) Destroy in office after 5 years records concerning the receipt, maintenance, and disposal of radioactive materials.<br>c) Destroy in office 3 years after superseded or obsolete records concerning hazard mitigation plans.                                                                                 |                                                                |
| 11.    | <b>INSURANCE POLICIES</b><br>Records concerning automobile, theft, fire, and all other insurance policies purchased by agency. Also includes insurance audits, claims reports, surveys, endorsements, certificates of insurance, and waivers. | a) Destroy in office records concerning automobile and other liability insurance policies 10 years after superseded or obsolete.*<br>b) Destroy in office certificates of insurance after 1 year.<br>c) Destroy in office self-insurer certifications 6 years from date of termination of policy or settlement of all claims.<br>d) Destroy in office remaining records after 1 year after superseded or obsolete. |                                                                |
| 12.    | <b>LOSS CONTROL INSPECTION REPORTS</b><br>Self-inspections to identify potential liabilities or hazards that may exist in agency owned buildings or property.                                                                                 | Destroy in office when superseded or obsolete.                                                                                                                                                                                                                                                                                                                                                                     |                                                                |

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page vi.

† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.



| ITEM # | STANDARD 8: RISK MANAGEMENT RECORDS                                                                                                                                                                                       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                |
|--------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------|
|        | RECORDS SERIES TITLE                                                                                                                                                                                                      | DISPOSITION INSTRUCTIONS                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | CITATION                                       |
| 13.    | <b>LOST, STOLEN, OR DAMAGED PROPERTY REPORTS</b><br>Includes citizen reports of property lost or stolen at agency. Also includes reports and employee narratives of vandalism to agency property.                         | Destroy in office after 2 years.*                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                                                |
| 14.    | <b>OCCUPATIONAL SAFETY AND HEALTH ADMINISTRATION (OSHA)</b><br>Records concerning injury or illness, extent and outcomes, summary totals for calendar year, and OSHA forms. Includes ergonomic assessments for employees. | Destroy in office after 5 years.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | Retention:<br>29 CFR 1904.33<br>29 CFR 1904.44 |
| 15.    | <b>SAFETY DATA SHEETS</b><br>Forms supplied to agencies from manufacturers and distributors of hazardous materials for materials held by the agency.                                                                      | Destroy in office 30 years after materials have been disposed of according to manufacturer's instructions.<br><br><i>Retention Note: A data sheet for a mixture may be discarded if the new data sheet includes the same hazardous chemicals as the original formulation. If the formulation is different, both data sheets must be retained for 30 years. Data sheets may also be discarded if some other record identifying the substances used, where they were used, and when they were used is retained the required 30-year period.</i> | Retention:<br>29 CFR<br>1910.1020(d)(1)(ii)(B) |

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page vi.

† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.

**STANDARD 9: WORKFORCE DEVELOPMENT RECORDS**

Official records created and accumulated by the agency to manage workforce development programs. Relevant legislation includes the Comprehensive Employment and Training Act, the Job Training and Partnership Act, the Workforce Investment Act, and the Workforce Innovation and Opportunity Act.

| ITEM # | STANDARD 9: WORKFORCE DEVELOPMENT RECORDS                                                                                                                                                                                                                                                                                                                                                                                                    |                                                                         |                                                  |
|--------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------|--------------------------------------------------|
|        | RECORDS SERIES TITLE                                                                                                                                                                                                                                                                                                                                                                                                                         | DISPOSITION INSTRUCTIONS                                                | CITATION                                         |
| 1.     | <b>AUDIT/AUDIT RESOLUTIONS</b><br>Records concerning reports from financial and compliance audits conducted on WIA programs in accordance with OMB Circular A-133. Includes audit reports and correspondence concerning audits and audit resolutions for the local area. Also includes federal and state audits.                                                                                                                             | Destroy in office after 3 years.                                        | Authority:<br>OMB Circular A-133<br>29 CFR 97.26 |
| 2.     | <b>LOCAL AREA JOB TRAINING PLAN RECORDS</b><br>Records concerning the local board's bid process for contracting workforce development programs.                                                                                                                                                                                                                                                                                              | Destroy in office when superseded or obsolete.                          | Authority:<br>20 CFR 652.8                       |
| 3.     | <b>PARTICIPANT RECORDS</b><br>Records concerning applicants, registrants, eligible applicants/registrants, participants, terminees, and employees who submit requests for services of the Dislocated Workers Program and Workforce Investment Act programs. Includes applications, client history, Employability Development Plans, program referral, monitoring notes, pay authorizations, release forms, and WIA follow-up questionnaires. | Destroy in office 3 years after close of audit/final year expenditure.* | Authority:<br>20 CFR 652.8                       |

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page vi.

† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.

## DESTRUCTION OF PUBLIC RECORDS

---

### ***Q. When can I destroy records?***

- A.** Each records series listed on this schedule has specific disposition instructions that indicate how long the series must be kept in your office. In some cases, the disposition instructions are “Retain in office permanently,” which means that those records must be kept in your offices forever.
- 

### ***Q. How do I destroy records?***

- A.** After your agency has approved this records retention and disposition schedule, records should be destroyed in one of the following ways:
- 1) burned, unless prohibited by local ordinance;
  - 2) shredded, or torn so as to destroy the record content of the documents or material concerned;
  - 3) placed in acid vats so as to reduce the paper to pulp and to terminate the existence of the documents or materials concerned;
  - 4) sold as waste paper, provided that the purchaser agrees in writing that the documents or materials concerned will not be resold without pulverizing or shredding the documents so that the information contained within cannot be practicably read or reconstructed.

The provision that electronic records are to be destroyed means that the data, metadata, and physical media are to be overwritten, deleted, and unlinked so that the data and metadata may not be practicably reconstructed.

The data, metadata, and physical media containing confidential records of any format are to be destroyed in such a manner that the information cannot be read or reconstructed under any means.

— N.C. Administrative Code, Title 7, Chapter 4, Subchapter M, Section .0510

Without your agency’s approval of this records schedule, no records may legally be destroyed.

---

### ***Q. How can I destroy records if they are not listed on this schedule?***

- A.** Contact a Records Management Analyst. An analyst will discuss the nature of the records with you to determine if the records have historical value. If the records do have historical value, we will discuss the possibility of transferring the records to the State Archives of North Carolina to be preserved permanently.

If the records do not have historical value, we will ask you to complete a Request for Disposal of Unscheduled Records (page 87) if the records are no longer being created. If the records are an active records series, an analyst will help you develop an amendment to this schedule so that you can destroy the records appropriately from this point forward.

---

### ***Q. Am I required to tell anyone about the destructions?***

- A.** We recommend that you report on your records retention activities to your governing board on an annual basis. This report does not need to be detailed, but it is important that significant destructions be entered into the minutes of the Board. See a sample destructions log that follows (and is available online at the State Archives of North Carolina website, <https://archives.ncdcr.gov/government/forms-government>).



## Destructions Log

|                                   |  |                |  |               |  |
|-----------------------------------|--|----------------|--|---------------|--|
| <b>Agency</b>                     |  |                |  |               |  |
| <b>Division</b>                   |  | <b>Section</b> |  | <b>Branch</b> |  |
| <b>Location(s)<br/>of Records</b> |  |                |  |               |  |

[illegible]

## ELECTRONIC RECORDS: E-MAIL, BORN-DIGITAL RECORDS, AND DIGITAL IMAGING

---

### ***Q. When can I delete my e-mail?***

- A.** E-mail is a public record as defined by G.S. § 121-5 and G.S. § 132. Electronic mail is as much a record as any paper record and must be treated in the same manner. **It is the content of each message that is important.** If a particular message would have been filed as a paper memo, it should still be filed (either in your e-mail program or in your regular directory structure), and it should be retained the same length of time as its paper counterparts. **It is inappropriate to destroy e-mail simply because storage limits have been reached.** Some examples of e-mail messages that are public records and therefore covered by this policy include:

- Policies or directives;
- Final drafts of reports and recommendations;
- Correspondence and memoranda related to official business;
- Work schedules and assignments;
- Meeting agendas or minutes
- Any document or message that initiates, facilitates, authorizes, or completes a business transaction; and
- Messages that create a precedent, such as issuing instructions and advice.

*From the Department of Cultural Resources E-Mail Policy (Revised July 2009),  
available at the State Archives of North Carolina website*

Other publications (available online at the [State Archives of North Carolina website](http://www.southcarolina.gov)) that will be particularly helpful in managing your e-mail include tutorials on managing e-mail as a public record and on using Microsoft Exchange.

---

### ***Q. May I print my e-mail to file it?***

- A.** We do not recommend printing e-mail for preservation purposes. Important metadata are lost when e-mail is printed.

---

### ***Q. I use my personal e-mail account for work. No one can see my personal e-mail, right?***

- A.** The best practice is to avoid using personal resources, including private e-mail accounts, for public business. G.S. § 132-1 states that records “made or received pursuant to law or ordinance *in connection with the transaction of public business* by any agency of North Carolina government or its subdivisions” are public records (emphasis added). The fact that public records reside in a personal e-mail account is irrelevant.

---

### ***Q. We have an imaging system. Are we required to keep the paper?***

- A.** You may scan any record, but you will need to receive approval from the Government Records Section in order to destroy paper originals that have been digitized. Your agency must develop an electronic records policy and then submit a Request for Disposal of Original Records Duplicated by Electronic Means. You can find these templates in the Digital Imaging section of the State Archives of North Carolina website (<https://archives.ncdcr.gov/government/digital-records/digital-records-policies-and-guidelines#digital-imaging>). Contact a Records Management Analyst for further instructions on how to develop a compliant electronic records policy.

**Permanent records** must have a security preservation copy as defined by State Archives of North Carolina’s **Human-Readable Preservation Duplicate Policy** (G.S. § 132-8.2):

Preservation duplicates shall be durable, accurate, complete and clear, and such duplicates made by a photographic, photo static, microfilm, micro card, miniature photographic, or other process which accurately reproduces and forms a durable medium for so reproducing the original shall have the same force and effect for all purposes as the original record whether the original record is in existence or not. ... Such preservation duplicates shall be preserved in the place and manner of safekeeping prescribed by the Department of Natural and Cultural Resources.

**The preservation duplicate of permanent records must be either on paper or microfilm.**

**Non-permanent records** may be retained in any format. You will need to take precautions with electronic records that you must keep more than about 5 years. Computer systems do not have long life cycles. Each time you change computer systems, you must convert all records to the new system so that you can assure their preservation and provide access.

---

***Q. Computer storage is cheap. Can I just keep my computer records permanently?***

- A.** The best practice is to destroy all records that have met their retention requirements, regardless of format.

---

***Q. What are the guidelines regarding the creation and handling of electronic public records?***

- A.** There are numerous documents available on the State Archives of North Carolina website (<https://archives.ncdcr.gov/government/digital-records/digital-records-policies-and-guidelines>). Topics covered include shared storage, cloud computing, e-discovery, trustworthy digital public records, digital signatures, e-mail, social media, text messages, websites, digital imaging, metadata, file formats, database indexing, and security backups.

Note that e-mail, text messages, and social media should be handled according to their content. Therefore, this schedule does not include a records series that instructs you on how to handle one of these born-digital records by format; instead of focusing on how the information is disseminated, consider what content is contained in the e-mail, text message, or social media post. For instance, an e-mail requesting leave that is sent to a supervisor should be kept for 1 year (see **LEAVE RECORDS**, page 58, item 24).

## GEOSPATIAL RECORDS

---

### ***Q. Why should geographic information system (GIS) datasets be retained and preserved?***

- A.** Geospatial records are public records and need to be retained and preserved based on their legal, fiscal, evidential and/or historical value according to an established retention schedule. Local agencies involved in GIS operations should work with the State Archives of North Carolina in order to appraise, inventory, and preserve their geospatial records according to established best practices and standards to insure both their short- and long-term accessibility.

Due to the complexity and transitory nature of these records, geospatial records retention and long-term preservation is a community-wide challenge. GIS files have become essential to the function of many local agencies and will continue to frequently be utilized in agency decision-making processes in the near and far future. Accessibility of GIS records over time has legal, fiscal, practical, and historical implications. The availability of GIS records can help safeguard the local government's legal and fiscal accountability and aid agencies in conducting retrospective and prospective studies. These studies are only possible when essential data from the past are still available.

---

### ***Q. What GIS datasets should be preserved by local governments?***

- A.** The following types of geospatial records have been designated as having archival value:

- Parcel data
- Street centerline data
- Corporate limits data
- Extraterritorial jurisdiction data
- Zoning data, address points
- Orthophotography (imagery)
- Utilities
- Emergency/E-911 themes

---

### ***Q. How often should we capture the datasets retained for their legal, fiscal, evidential or historical value?***

- A.** Consult the retention schedule for frequency of capture. The frequency of capture is based on the significance of the record as well as its alterability.

---

### ***Q. What data formats, compression formats, and media should be used to preserve the data?***

- A.** Archiving practices should be consistent with North Carolina Geographic Information Coordinating Council (GICC) approved standards and recommendations. (Examples: Content Standards for Metadata; Data Sharing Recommendations). Consult the GICC website at <http://www.ncgicc.com/>

You should also comply with guidelines and standards issued by the State Archives of North Carolina, which are available on its website.

---

**Q. *Who should be responsible for creation and long-term storage of archived data?***

- A.** The creating agency, NCOneMap, and the State Archives of North Carolina may all have responsibility for archiving data. If you choose to upload your data to NCOneMap, consult with your county's GIS department to determine whether data will be uploaded by your agency or by the whole county. If you choose not to upload your data to NCOneMap, your agency must comply with standards (for metadata, file naming, data sharing, and long term preservation) and procedures adopted by the North Carolina Geographic Information Coordinating Council.



## MICROFILM

---

### ***Q. Why do you still use microfilm?***

- A.** Microfilm is a legally acceptable replacement for original records, as outlined in G.S. § 8-45.1 and § 153A-436. Microfilm can be read with nothing more sophisticated than a magnifying glass, and there is no software to keep current. Usually, deterioration in the film itself can be detected by visual inspection. The State Archives of North Carolina provides a publication, *Micrographics: Technical and Legal Procedures*, on our website. It explains the four groups of national standards for the production of archival quality microfilm:

- manufacture of raw film
- filming methods
- processing (developing) film
- storage methods

That publication also provides sample forms, targets, and procedures that you or your vendor can use in producing film of your records.

---

### ***Q. What film services do you provide?***

- A.** The Department of Natural and Cultural Resources provides microfilming services for minutes of major decision-making boards and commissions. We will also film records of adoptions for Social Services agencies. Once those records are filmed, we will store the silver negative (original) in our security vault. Contact the Records Management Analyst in charge of microfilm coordination for the most current information.

---

### ***Q. How do I get my minutes filmed?***

- A.** We have two processes to film minutes. First, you can send photocopies of your approved minutes to us in the mail. Simply include a copy of the **Certification of the Preparation of Minutes for Microfilming** form (available online at the [State Archives of North Carolina website](#)) with each shipment. For more detailed instructions, contact a Records Management Analyst.

Alternately, you can bring us your original books. We will film them and return them to you. This process is most useful when you have more minutes to film than you are willing to photocopy. It is important to remember that a representative of your office or ours must transport the original books in person so that the custody of the records is maintained. You should not mail or ship your original minutes. Call a Records Management Analyst to make arrangements for an appointment for your books to be filmed. We will make every effort to expedite the filming so that your books will be returned to you as quickly as possible.

---

### ***Q. What if I need my books while they are being filmed?***

- A.** Call the Raleigh Office at (919) 814-6900, and ask for the Records Management Analyst in charge of microfilm coordination.

---

### ***Q. Can I send you my minutes electronically?***

- A.** We are working on standards and procedures for an electronic transfer system for minutes. Please contact the Records Management Analyst in charge of microfilm coordination for more information.

---

### ***Q. I have some old minutes that are not signed. Can they still be filmed?***

- A.** If the only copy you have available is unsigned, and you use it as the official copy, we will film it.

---

***Q. What if my books are destroyed after they have been filmed?***

- A.** Call a Records Management Analyst who will help you make arrangements to purchase copies of the microfilm from our office. You can then send those reels to a vendor who can either make new printed books or scan the film to create a digital copy.

## DISASTER ASSISTANCE

---

### ***Q. What should I do in case of fire or flood?***

- A.** Secure the area, and keep everyone out until fire or other safety professionals allow entry. Then, call our Raleigh office at (919) 814-6903 for the Head of the Government Records Section or (919) 814-6849 for the Head of the Collections Management Branch. If you're in the western part of the state, call our Asheville Office at (828) 296-7230 extension 224. On nights and weekends, call your local emergency management office.

#### ***DO NOT ATTEMPT TO MOVE OR CLEAN ANY RECORDS.***

Damaged records are extremely fragile and require careful handling. Our staff are trained in preliminary recovery techniques, documenting damage to your records, and authorizing destruction of damaged records. Professional vendors can handle larger disasters.

---

### ***Q. What help do you give in case of an emergency?***

- A.** We will do everything we can to visit you at the earliest opportunity in order to provide hands-on assistance. We can assist you in appraising the records that have been damaged so that precious resources (and especially time) are not spent on records with lesser value. We can provide lists of professional recovery vendors that you can contact to preserve your essential and permanent records.

---

### ***Q. What can I do to prepare for an emergency?***

- A.** We provide training on disaster preparation that includes a discussion of the roles of proper inventories, staff training, and advance contracts with recovery vendors. If you would like to have this workshop presented, call a Records Management Analyst.

---

### ***Q. What are essential records?***

- A.** Essential records are records that are necessary for continuity of operations in the event of a disaster. There are two common categories of records that are considered essential:
- **Emergency operating records** – including emergency plans and directives, orders of succession, delegations of authority, staffing assignments, selected program records needed to continue the most critical agency operations, as well as related policy or procedural records.
  - **Legal and financial rights records** – these protect the legal and financial rights of the Government and of the individuals directly affected by its activities. Examples include accounts receivable records, Social Security records, payroll records, retirement records, and insurance records. These records were formerly defined as “rights-and-interests” records.

Essential records should be stored in safe, secure locations as well as duplicated and stored off-site, if possible.

## STAFF TRAINING

---

### ***Q. What types of workshops or training do you offer?***

**A.** We have a group of prepared workshops that we can offer at any time at various locations throughout the state. Contact a Records Management Analyst if you are interested in having one of the workshops presented to your agency. We will work with you directly to develop training suited to your specific needs. Our basic workshops are:

- Managing public records in North Carolina
- Scanning/digital imaging
- Disaster preparedness and recovery
- Confidentiality
- Organizing paper and digital files
- E-mail
- Digital communications

---

### ***Q. Will you design a workshop especially for our office?***

**A.** Yes, we will. Let a Records Management Analyst know what type of training you need.

---

### ***Q. Are workshops offered only in Raleigh?***

**A.** No, we will come to your offices to present the workshops you need. We have no minimum audience requirement. We will also do presentations for professional associations, regional consortiums, and the public.

---

### ***Q. Is there a fee for workshops?***

**A.** Not at this time.

---

### ***Q. Are the workshops available in an online format?***

**A.** Not at this time. However, there are several online tutorials available on the State Archives of North Carolina website, including managing public records, electronic records, and scanning.



archives.ncdcr.gov

4615 Mail Service Center, Raleigh NC 27699-4165

919-814-6900

## Request for Change in Local Government Records Schedule

Use this form to request a change in the records retention and disposition schedule governing the records of your agency. Submit the signed original and keep a copy for your file. A proposed amendment will be prepared and submitted to the appropriate state and local officials for their approval and signature. Copies of the signed amendment will be sent to you for insertion in your copy of the schedule.

### AGENCY INFORMATION

Requestor name

Location and Agency [e.g., County/Municipality + Department of Social Services]

Phone and email

Mailing Address

### CHANGE REQUESTED

Specify title and edition of records retention schedule being used: \_\_\_\_\_

☐ Add a new item

☐ Delete an existing item

Standard Number \_\_\_\_\_ Page \_\_\_\_\_ Item Number \_

☐ Change a retention period

Standard Number \_\_\_\_\_ Page \_\_\_\_\_ Item Number \_

Title of Records Series in Schedule or Proposed Title:

Inclusive Dates of Records:

Proposed Retention Period:

Description of Records:

Justification for Change:

Requested by:

Signature

Title

Date

Approved by:

Signature

Requestor's Supervisor

Date



## Request for Disposal of Unscheduled Records

### AGENCY INFORMATION

Requestor name

Location and Agency [e.g., County/Municipality + Department of Social Services]

Phone and email

Mailing Address

In accordance with the provisions of G.S. § 121 and § 132, approval is requested for the destruction of records listed below. These records have no further use or value for official administrative, fiscal, historical, or legal purposes.

| RECORDS TITLE<br>AND DESCRIPTION | INCLUSIVE<br>DATES | QUANTITY | RELEVANT<br>STATUTORY<br>REGULATIONS | PROPOSED<br>RETENTION<br>PERIOD |
|----------------------------------|--------------------|----------|--------------------------------------|---------------------------------|
|                                  |                    |          |                                      |                                 |
|                                  |                    |          |                                      |                                 |
|                                  |                    |          |                                      |                                 |
|                                  |                    |          |                                      |                                 |
|                                  |                    |          |                                      |                                 |
|                                  |                    |          |                                      |                                 |
|                                  |                    |          |                                      |                                 |
|                                  |                    |          |                                      |                                 |

Requested by:

Signature

Title

Date

Approved by:

Signature

Requestor's Supervisor

Date

Concurred by:

Signature

Assistant Records Administrator  
State Archives of North Carolina

Date



## Request for Disposal of Original Records Duplicated by Electronic Means

*If you have questions, call (919) 814-6900 and ask for a Records Management Analyst.*

This form is used to request approval from the Department of Natural and Cultural Resources to dispose of non-permanent paper records that have been scanned, entered into databases, or otherwise duplicated through digital imaging or other conversion to a digital environment. This form does not apply to records that have been microfilmed or photocopied or to records with a permanent retention.

|                             |                |                           |
|-----------------------------|----------------|---------------------------|
| <b>Agency Contact Name:</b> |                | <b>Date (MM-DD-YYYY):</b> |
| <b>Phone (area code):</b>   | <b>Email:</b>  |                           |
| <b>County/Municipality:</b> | <b>Office:</b> |                           |
| <b>Mailing address:</b>     |                |                           |

| Records Series Title<br>A group of records as listed<br>in records retention<br>schedule | Description of Records<br>Specific records as referred<br>to in-office | Inclusive<br>Dates<br>(1987-1989;<br>2005-present) | Approx. Volume<br>of Records<br>(e.g. "1 file<br>cabinet," "5 boxes") | Retention<br>Period<br>As listed in records<br>retention schedule |
|------------------------------------------------------------------------------------------|------------------------------------------------------------------------|----------------------------------------------------|-----------------------------------------------------------------------|-------------------------------------------------------------------|
|                                                                                          |                                                                        |                                                    |                                                                       |                                                                   |
|                                                                                          |                                                                        |                                                    |                                                                       |                                                                   |
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|                                                                                          |                                                                        |                                                    |                                                                       |                                                                   |
|                                                                                          |                                                                        |                                                    |                                                                       |                                                                   |

Requested by:

Signature

Title

Date

Approved by:

Signature

Requestor's Supervisor

Date

Concurred by:

Signature

Assistant Records Administrator  
State Archives of North Carolina

Date



## File Plan

[illegible]



## INDEX

### 1

1099 FORMS. *SEE* TAX FORMS

### A

ABOLISHED POSITIONS, 50  
ABSTRACTS OF MUNICIPAL ELECTIONS, 1  
ACCIDENT/INCIDENT REPORTS (CUSTOMER AND EMPLOYEE), 71  
ACCOUNTS PAYABLE, 18  
ACCOUNTS RECEIVABLE, 18  
ACCOUNTS UNCOLLECTABLE, 18  
ACCREDITATION RECORDS, 1  
ADDRESS POINTS, 32  
ADMINISTRATION AND MANAGEMENT RECORDS, 1  
ADMINISTRATIVE DIRECTIVES, REGULATIONS, AND RULES, 1  
ADMINISTRATIVE INVESTIGATIONS, 50  
AFFIDAVITS OF PUBLICATION, 43  
AGENCY PUBLICATIONS, 67  
AGENDA AND MEETING PACKETS, 1  
AMBULANCE SERVICE BILLS AND RECORDS FOR EMERGENCY MEDICAL SERVICE. *SEE* ACCOUNTS PAYABLE  
ANNEXATION FILE, 43  
ANNUAL BUDGET, 19  
APPLICATIONS FOR APPOINTMENT, 2  
APPLICATIONS FOR EMPLOYMENT, 51  
APPOINTMENT REPORTS, 2  
APPRENTICESHIP PROGRAM RECORDS, 51  
APTITUDE AND SKILLS TESTING RECORDS, 52  
ARBITRAGE RECORDS, 19  
ASBESTOS MANAGEMENT PLAN, 71  
ASBESTOS TRAINING, 52  
AUDIO AND VIDEO RECORDINGS OF MEETINGS, 2  
AUDIO-VISUAL RECORDINGS, 67  
AUDITS  
    FINANCIAL, 19  
    IT SYSTEMS, 37  
    PERFORMANCE, 2  
AUTHENTICATIONS, 43  
AUTHORIZATION FORMS, 19

### B

BANK STATEMENTS, 19  
BANK STATEMENTS AND RECONCILIATIONS, 19  
BENEFITS RECORDS, 52  
BENEFITS REIMBURSEMENT PLAN. *SEE*

BIDS FOR DISPOSAL OF PROPERTY, 20  
BIDS FOR PURCHASE, 20  
BIOGRAPHICAL DATA. *SEE* HISTORY RECORDS  
BLOODBORNE PATHOGEN TRAINING, 53  
BLUEPRINTS AND SPECIFICATIONS, 3  
BOND CLOSING RECORDS, 20  
BOND REGISTER, 20  
BONDS, 3  
BONDS, NOTES, AND COUPONS, 20  
BUDGET ADMINISTRATION RECORDS, 21  
BUDGET EXECUTION RECORDS, 21  
BUDGET REPORTS, 21  
BUDGET REQUESTS AND WORKING PAPERS, 21  
BUDGET RESOLUTIONS AND ORDINANCES, 21  
BUDGET, FISCAL, AND PAYROLL RECORDS, 18  
BULLETINS, 3  
BUSINESS CERTIFICATION RECORDS, 3  
BUSINESS DEVELOPMENT SUBJECT FILE, 3

### C

CALENDARS OF EVENTS AND APPOINTMENTS, 3  
CALL CENTER RECORDINGS. *SEE* CUSTOMER CALL CENTER RECORDINGS  
CANCELED CHECKS. *SEE* BANK STATEMENTS AND RECONCILIATIONS  
CASH REPORTS. *SEE* ACCOUNTS RECEIVABLE  
CENSUS PROJECT RECORDS, 4  
CERTIFICATION AND QUALIFICATION RECORDS, EMPLOYEE, 53  
CHARTER RECORDS, 4  
CHECK REGISTERS. *SEE* BANK STATEMENTS AND RECONCILIATIONS  
CHECK STUBS. *SEE* BANK STATEMENTS AND RECONCILIATIONS  
CITIZEN COMMENTS, COMPLAINTS, PETITIONS, AND SERVICE REQUESTS, 4  
CITIZEN SURVEYS, 5  
CIVIL RIGHTS CASE RECORDS, 44  
CIVIL RIGHTS RECORDS, 44  
COLLECTED DATA, 5  
COMMUNITY AWARDS, 67  
COMPLAINTS (CITIZEN). *SEE* CITIZEN COMMENTS, COMPLAINTS, PETITIONS, AND SERVICE REQUESTS  
COMPREHENSIVE PLAN, 5  
COMPUTER AND NETWORK USAGE RECORDS, 37  
CONDEMNATION RECORDS, 45  
CONFERENCES AND WORKSHOPS, 68  
CONFLICTS OF COMMITMENT, 45  
CONFLICTS OF INTEREST, 45

CONTRACT BUDGET REPORTS, 21  
 CONTRACT WORKER RECORDS, 63  
 CONTRACTS, LEASES, AND AGREEMENTS, 45  
 CORE DATA (GIS RECORDS). *SEE* GEOGRAPHIC  
 INFORMATION SYSTEM (GIS) CORE DATA  
 CORPORATE LIMITS, 32  
 CORRESPONDENCE (LEGAL), 46  
 CORRESPONDENCE AND MEMORANDA, 5  
 COST ALLOCATION PLANS, 22  
 CREDIT/DEBIT/PROCUREMENT CARD RECORDS, 22  
 CUSTOMER CALL CENTER RECORDINGS, 6

## D

DAILY DETAIL REPORTS. *SEE* BUDGET REPORTS  
 DATA DOCUMENTATION (METADATA) (GIS  
 RECORDS). *SEE* GEOGRAPHIC INFORMATION  
 SYSTEM (GIS) DATA DOCUMENTATION  
 (METADATA)  
 DATA DOCUMENTATION RECORDS, 37  
 DATA MIGRATION RECORDS, 38  
 DATA WAREHOUSES, 38  
 DEBIT CARD PAYMENTS. *SEE* PAYMENT CARD DATA  
 DEBT FINANCING. *SEE* LOAN RECORDS  
 DECLARATORY RULINGS, 46  
 DELEGATION OF AUTHORITY RECORDS, 46  
 DEPOSITS. *SEE* ACCOUNTS RECEIVABLE  
 DESTRUCTIONS LOG, 77  
 DETAIL REPORT. *SEE* FINANCIAL REPORTS  
 DIGITIZATION AND SCANNING RECORDS, 38  
 DIRECT DEPOSIT FORMS. *SEE* ELECTRONIC FUNDS  
 TRANSFERS  
 DIRECTORIES, ROSTERS, OR INDICES, EMPLOYEE, 53  
 DISABILITY SALARY CONTINUATION CLAIMS, 54  
 DISASTER AND EMERGENCY MANAGEMENT PLANS,  
 72  
 DISASTER RECOVERY, 72  
 DISCIPLINARY ACTIONS, 54  
 DONATIONS AND SOLICITATIONS, 22  
 DRUG AND ALCOHOL PROGRAMS FILE. *SEE*  
 EMPLOYEE ASSISTANCE PROGRAMS  
 DUAL EMPLOYMENT, 54

## E

EASEMENTS AND RIGHT-OF-WAY AGREEMENTS, 46  
 EDUCATIONAL ASSISTANCE, EMPLOYEE, 55  
 EDUCATIONAL LEAVE AND REIMBURSEMENT, 55  
 EDUCATIONAL MATERIALS, 68  
 EDUCATIONAL RECORDS, EMPLOYEE, 64  
 ELECTRONIC FUNDS TRANSFERS, 22  
 ELECTRONIC RECORDS POLICIES AND PROCEDURES,  
 38

ELIGIBILITY RECORDS, EMPLOYEE, 55  
 EMERGENCY DRILLS AND EQUIPMENT RECORDS, 72  
 EMPLOYEE ASSISTANCE PROGRAMS, 55  
 EMPLOYMENT SELECTION RECORDS, 56  
 ENCROACHMENTS, 46  
 EQUIPMENT AND VEHICLE MAINTENANCE, REPAIR,  
 AND INSPECTION RECORDS, 6  
 EQUIPMENT INVENTORIES, 9  
 EQUIPMENT REFERENCE RECORDS, 6  
 EQUIPMENT USAGE RECORDS, 6  
 ESCHEATS AND UNCLAIMED PROPERTY, 22  
 EXIT INTERVIEW RECORDS, EMPLOYEE, 56  
 EXPENDITURE REPORTS. *SEE* BUDGET REPORTS  
 EXTRATERRITORIAL JURISDICTIONS, 33

## F

FACILITY ACCESSIBILITY FILE. *SEE*  
 FACILITY MAINTENANCE, REPAIR AND INSPECTION  
 RECORDS, 7  
 FACILITY SERVICE AND MAINTENANCE  
 AGREEMENTS. *SEE* CONTRACTS, LEASES, AND  
 AGREEMENTS  
 FACILITY USAGE RECORDS, 6  
 FAMILY MEDICAL LEAVE ACT (FMLA) RECORDS, 57  
 FEE SCHEDULES, 14  
 FILE PLAN, 89  
 FINANCIAL JOURNALS AND LEDGERS, 23  
 FINANCIAL REPORTS, 23  
 FIRE EXTINGUISHER RECORDS. *SEE* EMERGENCY  
 DRILLS AND EQUIPMENT RECORDS  
 FIRE, HEALTH, AND SAFETY RECORDS, 72  
 FIXED ASSETS. *SEE* INVENTORIES  
 FORMS AND TEMPLATES, 7  
 FUEL OIL STORAGE TANK RECORDS, 73  
 FUND DRIVE AND EVENT RECORDS, 68

## G

GEOGRAPHIC INFORMATION SYSTEM (GIS) CORE  
 DATA, 30  
 GEOGRAPHIC INFORMATION SYSTEM (GIS) DATA  
 DOCUMENTATION (METADATA), 30  
 GEOGRAPHIC INFORMATION SYSTEM (GIS)  
 INTERNAL STANDARDS AND PROCEDURES, 30  
 GEOGRAPHIC INFORMATION SYSTEM (GIS)  
 MONITORING RECORDS, 31  
 GEOGRAPHIC INFORMATION SYSTEM (GIS)  
 OPERATIONAL RECORDS, 31  
 GEOGRAPHIC INFORMATION SYSTEM (GIS) PROJECT  
 RECORDS, 31  
 GEOGRAPHIC INFORMATION SYSTEM (GIS)  
 RECORDS, 30

GOVERNING AND ADVISORY BODY MEMBER FILES, 7  
GOVERNMENT EMPLOYEES RETIREMENT SYSTEM  
MONTHLY REPORTS, 23  
GRANT PROPOSALS, 7  
GRANTS, 8  
FINANCIAL, 24  
GRIEVANCES, 57

## H

HAZARDOUS MATERIALS MANAGEMENT, 73  
HAZARDOUS MATERIALS TRAINING RECORDS, 58  
HEALTH CERTIFICATES, EMPLOYEE. *SEE* MEDICAL RECORDS  
HISTORY RECORDS (AGENCY AND EMPLOYEES, 8

## I

I-9 FORMS. *SEE* ELIGIBILITY RECORDS  
IMAGING RECORDS, 38  
IMPROPER CONDUCT INVESTIGATIONS, 8  
INDICES, 9  
INFORMATION TECHNOLOGY (IT) RECORDS, 37  
INFORMATION TECHNOLOGY ASSISTANCE RECORDS, 38  
INSPECTION RECORDS. *SEE* EQUIPMENT AND VEHICLE MAINTENANCE, REPAIR, AND INSPECTION RECORDS  
INSPECTION RECORDS, FACILITY, 7  
INSURANCE POLICIES, 73  
INTERAGENCY PROGRAMS, 9  
INTERNAL STANDARDS AND PROCEDURES (GIS RECORDS) \T, 30  
INTERNSHIP PROGRAM, 58  
INVENTORIES, 9  
INVESTMENTS, 24  
INVITATIONS, 68  
INVOICES. *SEE* ACCOUNTS PAYABLE  
IT DISASTER PREPAREDNESS AND RECOVERY PLANS. *SEE* DISASTER AND EMERGENCY MANAGEMENT PLANS

## L

LAND OWNERSHIP RECORDS, 46  
LEAVE RECORDS, 58  
LEGAL OPINIONS, 47  
LEGAL RECORDS, 43  
LEGAL REVIEW RECORDS, 47  
LEGISLATION AND REGULATORY RECORDS, 9  
LGERS MONTHLY REPORTS. *SEE* GOVERNMENT EMPLOYEES RETIREMENT SYSTEM MONTHLY REPORTS

LITIGATION CASE RECORDS, 47  
LOAN RECORDS, 25  
LOCAL GOVERNMENT COMMISSION FINANCIAL STATEMENTS, 25  
LOGISTICS MATERIALS, 9  
LONGEVITY PAY, 25  
LOSS CONTROL INSPECTION REPORTS, 73  
LOST, STOLEN, OR DAMAGED PROPERTY REPORTS, 74

## M

MAIL, UNDELIVERABLE/RETURNED, 9  
MAILING AND DISTRIBUTION RECORDS, 10  
MAINTENANCE RECORDS. *SEE* EQUIPMENT AND VEHICLE MAINTENANCE, REPAIR, AND INSPECTION RECORDS  
MAINTENANCE RECORDS, FACILITY, 7  
MANAGEMENT STUDIES. *SEE* REPORTS AND STUDIES  
MAPPING PROJECT RECORDS, 34  
MAPS  
ALL OTHER, 36  
PARCEL, 35  
PARKS, 35  
MEDIA FILE, 69  
MEDICAL RECORDS, EMPLOYEE, 59  
MEMBERSHIP RECORDS, 10  
METADATA (GIS RECORDS). *SEE* GEOGRAPHIC INFORMATION SYSTEM (GIS) DATA DOCUMENTATION (METADATA)  
MILITARY LEAVE, 59  
MINUTES (STAFF MEETINGS), 11  
MINUTES OF PUBLIC BODIES, 11  
MISCELLANEOUS (NON-BUILDING) APPLICATIONS, LICENSES, AND PERMITS, 11  
MONITORING RECORDS (GIS RECORDS). *SEE* GEOGRAPHIC INFORMATION SYSTEM (GIS) MONITORING RECORDS

## N

NETWORK AND SYSTEM SECURITY RECORDS, 39  
NETWORK DIAGRAMS, 39  
NEWSPAPER CLIPPINGS. *SEE* HISTORY RECORDS  
NOTICES OF PUBLIC MEETINGS, 12

## O

OATHS OF OFFICE, 47  
OCCUPATIONAL SAFETY AND HEALTH ADMINISTRATION (OSHA), 74  
OFFICE SECURITY RECORDS, 12

OPERATIONAL RECORDS (GIS RECORDS). *SEE*  
GEOGRAPHIC INFORMATION SYSTEM (GIS)  
OPERATIONAL RECORDS  
ORDINANCE DEVELOPMENT RECORDS, 12  
ORDINANCES, 12  
ORTHOIMAGERY, 33  
OSHA, 74

## P

PARKING. *SEE* SECURITY RECORDS, EMPLOYEE  
PAYMENT CARD DATA, 25  
PAYROLL AND EARNINGS RECORDS, 25  
PAYROLL DEDUCTION RECORDS, 26  
PENSION PLAN ENROLLMENT FORMS, EMPLOYEE.  
*SEE* RETIREMENT RECORDS  
PERFORMANCE REVIEWS, EMPLOYEE, 60  
PERMISSIONS, 48  
PERSONNEL ACTION NOTICES, 60  
PERSONNEL RECORDS, 50  
PERSONNEL RECORDS (OFFICIAL COPY), 61  
PERSONNEL RECORDS (SUPERVISOR COPY), 61  
PEST CONTROL, 12  
PETITIONS (CITIZEN). *SEE* CITIZEN COMMENTS,  
COMPLAINTS, PETITIONS, AND SERVICE  
REQUESTS  
PETTY CASH. *SEE* ACCOUNTS RECEIVABLE  
POLICIES AND PROCEDURES, 13  
POLICIES AND PROCEDURES (PERSONNEL), 62  
POLYGRAPH RECORDS, EMPLOYEE, 62  
POPULAR ANNUAL FINANCE REPORT, 69  
POSITION CLASSIFICATION, 62  
POSITION CONTROL, 62  
POSITION DESCRIPTIONS, 62  
POSITION EVALUATIONS, 63  
POSITION HISTORY, 62  
POSITION REQUISITION AND ANALYSIS RECORDS.  
*SEE* POSITION CLASIFICATION, CONTROL, AND  
HISTORY  
POWELL BILL RECORDS, 26  
PRE-TRIAL RELEASE PROGRAM RECORDS, 48  
PRICE QUOTATIONS, 13  
PROCEDURES (GIS RECORDS). *SEE* GEOGRAPHIC  
INFORMATION SYSTEM (GIS) INTERNAL  
STANDARDS AND PROCEDURES  
PROCLAMATIONS AND ORDERS, 13  
PROJECT DOCUMENTATION (INFORMATION  
TECHNOLOGY), 39  
PROJECT RECORDS (GIS RECORDS). *SEE* GEOGRAPHIC  
INFORMATION SYSTEM (GIS) PROJECT RECORDS  
PROJECTS, 14  
PROPERTY INVENTORIES, 9  
PROPERTY MANAGEMENT RECORDS, 14

PUBLIC HEARINGS, 69  
PUBLIC RECORDS REQUESTS, 69  
PUBLIC RELATIONS RECORDS, 67  
PUBLICATIONS RECEIVED. *SEE* REFERENCE (READING)  
FILE  
PUBLICITY RECORDS, 69  
PURCHASE ORDERS, 26

## Q

QUALIFIED PRODUCTS LISTS, 26

## R

RATE SCHEDULES, 14  
REASONABLE ACCOMMODATIONS, 48  
REBATE (CITIZEN) PROGRAM RECORDS, 4  
RECONCILIATIONS (FINANCIAL), 19  
RECORDS BACKUPS, SYSTEM MAINTENANCE  
RECORDS, 41  
RECORDS MANAGEMENT, 14  
RECRUITMENT RECORDS, 63  
REFERENCE (READING) FILE, 15  
REFUND REPORTS. *SEE* FINANCIAL REPORTS  
REGULATORY RECORDS (EXTERNAL). *SEE*  
LEGISLATION AND REGULATORY RECORDS  
RELEASE FORMS, 49  
REPAIR RECORDS. *SEE* EQUIPMENT AND VEHICLE  
MAINTENANCE, REPAIR, AND INSPECTION  
RECORDS  
REPAIR RECORDS, FACILITY, 7  
REPORTS AND STUDIES, 15  
REQUEST FOR CHANGE IN LOCAL GOVERNMENT  
RECORDS SCHEDULE, 86  
REQUEST FOR DISPOSAL OF ORIGINAL RECORDS  
DUPLICATED BY ELECTRONIC MEANS, 88  
REQUEST FOR DISPOSAL OF UNSCHEDULED  
RECORDS, 87  
REQUESTS FOR INFORMATION, 16  
REQUESTS FOR PROPOSALS, 16  
REQUISITIONS, 27  
RESOLUTION DEVELOPMENT RECORDS, 16  
RESOLUTIONS, 16  
RESPIRATOR PROGRAM RECORDS. *SEE* EMERGENCY  
DRILLS AND EQUIPMENT RECORDS  
RETIREMENT RECORDS, EMPLOYEE, 63  
RETURNED CHECKS. *SEE* ACCOUNTS UNCOLLECTABLE  
RISK MANAGMENT RECORDS, 71

## S

SAFETY DATA SHEETS, 74  
SALES AND USE TAX REPORTS. *SEE* TAX RETURNS

SALES INFORMATION. *SEE* ACCOUNTS RECEIVABLE  
 SCANNING RECORDS. *SEE* DIGITIZATION AND  
   SCANNING RECORDS  
 SCHOLARSHIP RECORDS, 27  
 SEASONAL WORKER RECORDS, 63  
 SECONDARY EMPLOYMENT, 64  
 SECURITY RECORDS, EMPLOYEE, 72  
 SECURITY VIDEO RECORDINGS. *SEE* OFFICE SECURITY  
   RECORDS  
 SELF-INSURER CERTIFICATIONS. *SEE* INSURANCE  
   POLICIES  
 SERVICE AWARDS AND COMMENDATIONS, 64  
 SERVICE REQUESTS (CITIZEN). *SEE* CITIZEN  
   COMMENTS, COMPLAINTS, PETITIONS, AND  
   SERVICE REQUESTS  
 SHIFT PREMIUM PAY, 27  
 SOCIAL MEDIA, 70, 79  
 SOFTWARE LICENSE AND COPYRIGHT PROVISIONS  
   RECORDS, 40  
 SPACE NEED STUDIES. *SEE* REPORTS AND STUDIES  
 SPECIAL EVENT RECORDS. *SEE* FUND DRIVE AND  
   EVENT RECORDS  
 SPEECHES, 70  
 STANDARDS (GIS RECORDS), 30  
 STATE AND OTHER COUNTY PROGRAMS. *SEE*  
   REFERENCE (READING) FILE  
 STATE OF EMERGENCY, 71  
 STATEMENTS OF BACK PAY, 27  
 STOLEN PROPERTY REPORTS, 74  
 STRATEGIC PLAN. *SEE* COMPREHENSIVE PLAN  
 STREET CENTERLINE, 34  
 SUGGESTIONS, EMPLOYEE, 64  
 SURPLUS PROPERTY, 16  
 SURVEYS, EMPLOYEE, 64  
 SYSTEM ACCESS RECORDS (INFORMATION  
   TECHNOLOGY), 40  
 SYSTEM DOCUMENTATION RECORDS, 40  
 SYSTEM MAINTENANCE RECORDS: HARDWARE  
   REPAIR OR SERVICE, 40  
 SYSTEM MAINTENANCE RECORDS: RECORDS  
   BACKUPS, 41

## T

TAX FORMS, 28  
 TAX RETURNS, 28  
 TECHNICAL PROGRAM DOCUMENTATION, 41  
 TELEPHONE LOGS. *SEE* ACCOUNTS PAYABLE  
 TEMPORARY EMPLOYEE RECORDS. *SEE* PERSONNEL  
   RECORDS (OFFICIAL COPY)  
 TEXT MESSAGES, 79  
 TIME SHEETS, CARDS, AND ATTENDANCE RECORDS,  
   28

TRACKING MATERIALS, 16  
 TRAINING RECORDS, EMPLOYEE, 64  
 TRAVEL REIMBURSEMENTS, 28  
 TRAVEL REQUESTS, 17  
 TSERS MONTHLY REPORTS. *SEE* GOVERNMENT  
   EMPLOYEES RETIREMENT SYSTEM MONTHLY  
   REPORTS

## U

UNEMPLOYMENT COMPENSATION CLAIMS, 65  
 UNEMPLOYMENT COMPENSATION REPORTS, 65  
 UNEMPLOYMENT INSURANCE, 65  
 UTILITY USAGE LOG. *SEE* EQUIPMENT, FACILITY, AND  
   VEHICLE USAGE RECORDS  
 UTILITY USAGE LOGS AND BILLS. *SEE* ACCOUNTS  
   PAYABLE

## V

VEHICLE MAINTENANCE, REPAIR, AND INSPECTION  
   RECORDS. *SEE* EQUIPMENT AND VEHICLE  
   MAINTENANCE, REPAIR, AND INSPECTION  
   RECORDS  
 VEHICLE MILEAGE LOG. *SEE* EQUIPMENT, FACILITY,  
   AND VEHICLE USAGE RECORDS  
 VEHICLE REFERENCE RECORDS, 6  
 VEHICLE REGISTRATION CARDS, 17  
 VEHICLE TITLES, 49  
 VEHICLE USAGE RECORDS, 6  
 VENDORS, 29  
 VERIFICATION OF EMPLOYMENT RECORDS, 65  
 VETERANS COMMISSION QUARTERLY REPORTS. *SEE*  
   REPORTS AND STUDIES  
 VOIP RECORDS, 41  
 VOLUNTEER RECORDS, 65  
 VOUCHERS. *SEE* ACCOUNTS RECEIVABLE

## W

W-2 FORMS. *SEE* TAX FORMS  
 W-4 FORMS. *SEE* TAX FORMS  
 WARRANTIES. *SEE* EQUIPMENT AND VEHICLE  
   MAINTENANCE, REPAIR, AND INSPECTION  
   RECORDS  
 WEB MANAGEMENT AND OPERATIONS RECORDS:  
   STRUCTURE, 42  
 WEBSITE (ELECTRONIC), 70  
 WORK ORDERS, 17  
 WORK SCHEDULES AND ASSIGNMENT RECORDS,  
   EMPLOYEE, 65  
 WORKERS' COMPENSATION PROGRAM  
   ADMINISTRATION, 66

WORKERS' COMPENSATION PROGRAM CLAIMS, 66  
WORKFORCE DEVELOPMENT  
    LOCAL AREA JOB TRAINING PLAN RECORDS, 75  
WORKFORCE DEVELOPMENT  
    AUDIT/AUDIT RESOLUTIONS, 75

WORKFORCE DEVELOPMENT  
    PARTICIPANT RECORDS, 75  
WORKFORCE DEVELOPMENT RECORDS, 75  
WORKSHOPS, 68



TOWN OF PILOT MOUNTAIN  
BOARD OF COMMISSIONERS MEETING

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                                                      |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------|
| Local Government Records Retention Schedule                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                      |
| <b><u>Background Information:</u></b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                      |
| <p>The Town, like all government entities in NC, is required to maintain public records for review and/or copying by the public. The NC Division of Archives and Records maintains a record retention schedule that outlines how long we are required to keep certain records. From time to time, the Division makes changes to this schedule. In order to use this schedule to determine when records can be destroyed, the Board of Commissioners must approve this document. As a general rule, we keep digital copies of records in perpetuity, but it is important for us to adopt this schedule so that we can destroy, at the appropriate time, the paper copies of these records. In addition, as our database of records grows we may need to destroy the electronic copy of older records due to the cost of digital storage. We have not reached this point yet but may at some point. In any case, it is best to have the schedule adopted so that we can, if necessary, destroy older, outdated records.</p> |                                                      |
| <b><u>Staff Recommendation:</u></b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | Staff recommends that the Board adopt this schedule. |
| <b><u>Possible Board of Commissioner Actions</u></b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                      |
| <ul style="list-style-type: none"><li>• Adopt the schedule as presented</li><li>• Take no action</li></ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                      |
| <b><u>Attachments</u></b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                                      |
| <ul style="list-style-type: none"><li>• 2019 Records Retention Schedule</li></ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                                                      |

## **Pilot Mountain CDBG-NR Second Public Hearing Meeting Script**

**June 10<sup>th</sup>, 2019**

### **Town of Pilot Mountain**

This public hearing on June 10<sup>th</sup>, 2019, will provide an explanation and description of the FY2019 North Carolina Department of Commerce Community Development Block – Neighborhood Revitalization Program.

We are present to discuss the purpose of the public hearing for the Town of Pilot Mountain's CDBG-Neighborhood Revitalization Program funding application. The purpose of the public hearing is to obtain citizen's views and to allow response from the public to funding proposals and answer any questions posed by citizens. This public hearing will cover the Town's community development needs, development of the proposed activities, and a review of program compliance before the submission of the Town's CDBG-NRP funding application to the state of the North Carolina.

The Town of Pilot Mountain proposes to request funding from NC Department of Commerce CDBG Neighborhood Revitalization Program for the Town of Pilot Mountain's Community Development Neighborhood Housing Improvements Project. The purpose of the CDBG NRP grant program is:

- To benefit a residential area where at least 51% of the beneficiaries are low to moderate income as defined by the United States Department of Housing and Urban Development.
- To perform eligible activities.
- To minimize displacement, and
- Provide displacement assistance as necessary.

For the fiscal year of 2019 the CDBG NRP funding available is expected to be \$10,000,000. The maximum available grant is \$750,000. Applications for funding will be received July 17<sup>th</sup>, 2019.

The CDBG program is able to fund a wide variety of community development activities. The Neighborhood Revitalization (NR) category is designed to provide grants to local units of government for housing, housing related activities, and public facilities that support housing activities for low-to moderate-income persons.

The range of housing activities covered by the CDBG-NRP funds for the Neighborhood Revitalization includes:

- Rehabilitation, including substantial rehabilitation and reconstruction, disposition, acquisition, demolition, clearance, relocation, and emergency repair.

The Town of Pilot Mountain is seeking an amount in CDBG-NRP funds not to exceed \$750,000 for the Town of Pilot Mountain's Community Development Neighborhood Improvements Project. The purpose of the Town's request is to assist low to moderate income homeowners in the following areas



to make critical home repairs: Howard Street, Academy Street, Joyce Drive, Depot Street, Lovell Berry Lane, Thompson Drive, and Dodson Street.

A total of 100% of the CDBG NRP funding will be used to benefit Low to Moderate Income (LMI) people.

The Town of Pilot Mountain will appoint a Housing Selection Committee to advise Town staff on the selection and prioritization of homes to be assisted. The Housing Selection Committee comprised of voting members provides the citizen participation opportunity for residents to contribute to the Town housing and neighborhood improvement plans.

The Town also plans to use a portion of the CDBG-NR funds to aid in the creation of a passive park at Howard and Depot Street. This activity will include the acquisition of land and park implementation.

If Town of Pilot Mountain is awarded a CDBG - NRP grant, it will be required to adhere to federal procurement requirements and other federal regulations which include:

- American with Disabilities Act/Section 504 Survey
- Davis-Bacon & Related Labor Acts
- Adoption/Submittal of a Citizen's Participation Plan
- Adoption/Submittal of an Equal Opportunity Plan
- Adoption/Submittal of a Fair Housing Plan
- Adoption/Submittal of a Language Access Plan
- Adoption/Submittal of a Relocation Assistance Plan
- Adoption/Submittal of a Section 3 Plan
- Excess Force Provision

The State of North Carolina requires that the if the Town of Pilot Mountain receives CDBG grant funding that the Town will certify that they will comply with the requirements of the general displacement and relocation policy for CDBG grant funding. This policy assists low to moderate income people with costs associated with relocation or displacement, should such relocation become necessary due to the project activities. CDBG funds can be used for those costs, if necessary. No displacement and/or relocation will occur as a result of the proposed CDBG grant activities.

In the past, the Town of Pilot Mountain has applied for and received the following completed CDBG projects:

- List Name of Projects and Outcomes/outputs of the projects:

|  |
|--|
|  |
|  |

The Town of Pilot Mountain will submit its CDBG-NRP application on July 17, 2019. Additional information is available from the Town Clerk. Should you have any complaints or grievances

regarding the subject public hearing, they should be addressed to the addressed to the Town within 10 business days and a written response to the written complaints and/or grievances will be sent by the Town within 10 business days, where practicable.

We open the floor for comments and questions about the CDBG program, and about the proposed project.



TOWN OF PILOT MOUNTAIN  
BOARD OF COMMISSIONERS MEETING

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                                                                                               |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------|
| CDBG Grant Application                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                                                                                               |
| <b><u>Background Information:</u></b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                                               |
| <p>At last months meeting and again at the this month's meeting, the Board has held a public hearing on a potential Community Development Block Grant (CDBG) application. This is a federal grant program that provides money to local governments to help residents of low to moderate income neighborhoods deal with housing and other similar issues. The Town would be applying for this money to help residents of Howard Street, Academy Street, Joyce Drive, Depot Street, Lovell Berry Lane, Thompson Drive, and Dodson street addressing housing issues and other neighborhood issues. These other issues might include park land, storm water issues, sidewalks, street paving, etc. The Town proposes to apply for the maximum amount of \$750,000. This money has to be used to benefit LMI homeowners and cannot be used to improve rental properties.</p> <p>Staff will be conducting additional meetings with the community over the next several weeks to explain the project and program as well as to collect income information to determine if the proposed area is eligible. We wanted to have the public hearing tonight and get the Board's approval to move forward with the process because the applications are due on July 17. If after the community meetings we do not have sufficient community interest or not enough LMI homeowners, we will not submit the application.</p> |                                                                                               |
| <b><u>Staff Recommendation:</u></b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | Staff recommends that the Board adopt this resolution authorizing the submittal of the grant. |
| <b><u>Possible Board of Commissioner Actions</u></b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                                                                                               |
| <ul style="list-style-type: none"><li>• Adopt the resolution as presented</li><li>• Deny approval of the resolution</li><li>• Table the resolution</li><li>• Take no action</li></ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                                               |
| <b><u>Attachments</u></b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                                                               |
| <ul style="list-style-type: none"><li>• Resolution 2018/19-13</li><li>• CDBG Information Sheet</li></ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                                               |



TOWN OF PILOT MOUNTAIN  
BOARD OF COMMISSIONERS MEETING

FY 2019 Budget Amendment 5

**Background Information:**

This budget amendment will do several things. First, it will transfer expenditures in the general fund originally made as “non-departmental.” These include special separation allowance for retired police officers, rescue squad contributions, retiree health care contributions, etc. At the end of the year, the auditor groups these expenditures in with other departments which can throw those departments/functional areas out of balance. This will address that issue. Second, it creates a new functional area “Planning & Economic Development” and transfers the appropriations and expenditures from the General Government to this new functional area. This is again to address the way the auditor groups expenditures at the close of the fiscal year. Finally, this amendment addresses cost over-runs and unexpected expenditures in several departments/functional areas to insure that the budget is balanced at year end.

**Staff Recommendation:** | Staff recommends that the Board adopt this budget amendment.

**Possible Board of Commissioner Actions**

- Adopt the amendment as presented
- Deny approval of the amendment
- Make changes to the amendment and approve
- Table the resolution
- Take no action

**Attachments**

- FY 2019 Budget Amendment 5

## Town of Pilot Mountain, North Carolina

### FY 2018 – 2019 Budget Ordinance

---

#### Amendment No. 2019-005

**BE IT ORDAINED** by the Pilot Mountain Board of Commissioners that the 2018-2019 Budget Ordinance be amended as follows:

|                 |   |
|-----------------|---|
| <b>REVENUES</b> | - |
|-----------------|---|

|          |                                               |             |
|----------|-----------------------------------------------|-------------|
| Increase | 10-3010-2005 – Ad Valorem Tax Revenue         | \$20,000.00 |
| Increase | 60-3990-0000 – Appropriated Retained Earnings | \$30,000.00 |
| Increase | 95-3990-0000 – Fund Balance Appropriated      | \$45,600.00 |

|                     |   |
|---------------------|---|
| <b>EXPENDITURES</b> | - |
|---------------------|---|

|                                            |              |
|--------------------------------------------|--------------|
| Decrease – Non-Departmental                | \$43,050.00  |
| Decrease – General Government              | \$143,410.00 |
| Increase – Planning & Economic Development | \$143,410.00 |
| Increase – Public Safety                   | \$30,000.00  |
| Increase – Sanitation                      | \$15,000.00  |
| Increase – Culture & Recreation            | \$6,000.00   |
| Increase – Transportation                  | \$12,050.00  |
| Increase – Water/Sewer Fund                | \$30,000.00  |
| Increase – Capital Reserve Fund            | \$45,600.00  |

---

Adopted this 10<sup>th</sup> day of June, 2019

---

Evan Cockerham, *Mayor*

---

Holly Utt, *Town Clerk*

*Explanation of Amendment:*

1. To transfer expenditures budgeted as non-departmental to other functional areas and to address year end cost overruns.



## TOWN OF PILOT MOUNTAIN

124 W. Main Street · Pilot Mountain, NC 27041  
(336) 368-2247 · Fax (336) 368-9532

### Ordinance Amendment Application

Case # 2019-UDO-02

Receipt # 41706

#### Contact Information

Daniel E. Lucas

Applicant

785 Carson Road

Address

Pilot Mountain, NC 27041

City, State, Zip Code

(336) 972-0607

Telephone

dandblucas@gmail.com

Email address

#### Request

Ordinance Section: 8.3.1.A

In the space below, or on a separate sheet, present your requested text for the proposed amendment.

Residential accessory structures on lots exceeding five acres in size may be established in the front building yard at a minimum of one-hundred feet from the front property line.

In the space below, or on a separate sheet, state your reasons for amending the *Ordinance*.

I would like to construct an accessory building on the front side of my property (11.91 Acres). Based on the current code for residential accessory buildings, I am unable to do so. I propose amending the code to consider residential

accessory buildings on larger lots where there is a considerable amount of usable land.

### Notice and Hearing Requirements

All applications for ordinance amendments must be reviewed by the Town of Pilot Mountain Planning Board before proceeding to the Board of Commissioners for public hearing and decision. The Planning Board will review applications for ordinance amendments at its next meeting following submission of the application and filing fee if the application is submitted at least thirty days in advance of the regular meeting date. Following review and recommendation by the Planning Board, the matter will be forwarded to the Board of Commissioners. Following the receipt of notification of a pending ordinance amendment, the Board of Commissioners will schedule a public hearing for the next available meeting that allows for sufficient time for the City to mail and publish the statutorily required notices. All applications for ordinance amendments must be published in the newspaper once a week for two consecutive weeks.

### Meeting Dates

Planning Board Meeting Date: May 21, 2019

Planning Board Decision: 4-0 Approve w/ Modifications

Board of Commissioners Meeting Date: June 10, 2019

Board of Commissioners Decision: \_\_\_\_\_



16  
Misc. Payment  
Payment Date: 05/08/2019  
Reprint Date: 5/8/2019

CUSTOMER NAME & DESC. OF PAYMENT  
DANIEL LUCAS  
785 CARSON RD  
ORDINANCE ADMENTMENT APPLICATION #2019-UD  
0-021496

|             |          |
|-------------|----------|
| Cash:       | \$0.00   |
| Check:      | \$550.00 |
| Charge:     | \$0.00   |
| MoneyOrder: | \$0.00   |
| Total Fee:  | \$550.00 |
| TOTAL PAID: | \$550.00 |
| Change Due: | \$0.00   |

Details:  
1185 \$550.00



# TOWN OF PILOT MOUNTAIN, NC

124 WEST MAIN STREET - PILOT MOUNTAIN, NC 27041

## Board of Commissioners Meeting

Town Hall – 124 W. Main Street – Pilot Mountain, NC 27041

Monday, June 10, 2019

7:00PM

**To:** Mayor Cockerham & Board of Commissioners  
**From:** Planning & Development Staff  
**Date:** May 31, 2019  
**Subject:** **2019-UDO-02** (*Residential Accessory Structures*)

### A. ACTIONS REQUESTED BY THE BOARD OF COMMISSIONERS

1. Motion to adopt a statement approving the proposed ordinance amendment and describing its consistency with the plan; or
2. Motion to adopt a statement approving the proposed ordinance amendment and declaring that this also amends the plan, along with an explanation of the change in conditions to meet the development needs of the community that were taken into account in the amendment; or
3. Motion to adopt a statement rejecting the proposed ordinance amendment and describing its consistency or inconsistency with the plan.

*With each of these alternatives, the statement is also to include an explanation of why the governing board deems the action reasonable and in the public interest.*

### B. REQUIRED VOTES TO PASS REQUESTED ACTIONS

A majority vote is required to pass the requested actions.

### C. BACKGROUND

**Applicant:** Daniel Lucas  
785 Carson Road  
Pilot Mountain, NC 27041

**Background:**

Mr. Lucas resides in a single-family dwelling located to the rear portion of his 11.91-acre property. In November 2018, Mr. Lucas applied for a *Zoning Compliance Permit* to construct a storage building approximately one-hundred fifty (150') feet from the front



property line. Per Section 8.3.1.A of the *Unified Development Ordinance (UDO)*, the proposed location was not permissible. Staff mapped out areas on the property that the building would be permissible, but they would not work due to topographic issues and well/septic locations. At that time, Mr. Lucas opted to wait and weigh his options regarding the matter. After a recent meeting with Staff at the property, Mr. Lucas applied for an amendment to the *UDO* to address the location of residential accessory structures on larger lots (five acres or greater).

**Ordinance Section:** 8.3.1.A (Residential Accessory Structures – Location)

**Proposed Ordinance Addition:**

Residential accessory structures on lots exceeding five (5) acres in size may be established in the front building yard at a minimum of one-hundred feet from the front property line.

#### D. PLANNING & ZONING BOARD RECOMMENDED AMENDMENTS

The Planning & Zoning Board reviewed the proposed amendment on May 21, 2019. The Planning & Zoning Board recommends (4-0) approval of the highlighted amendments and finds that they are consistent with the overall objective of the Land Use Plan (*See Section F*).

Recommended additions are highlighted in **GREEN**. Recommended deletions are highlighted in **RED**.

### 8.3 Accessory Structures

#### 8.3.1 Residential Accessory Structures

The following standards shall apply to all accessory structures on lots used for residential purposes.

##### A. Location

Residential accessory structures may only be established behind the front building line of the residential structure with which they are associated. **This standard shall not apply to residential accessory structures on lots exceeding two (2) acres in size in the RA district where the principal structure is located more than one-hundred (100') feet from the front property line, provided that the accessory structure is no more than thirty (30') feet in front of the front building line of the principal structure, as measured from its closest point.** **This standard shall not apply to residential accessory structures on lots exceeding two (2) acres in size in the RA & RL zoning districts, provided**

that the structure is setback a minimum of one-hundred (100') feet from the front property line.

**B. Setbacks**

All residential accessory structures shall be set back a minimum of eight (8') feet from all side and rear property lines.

**C. Height**

1. Residential accessory structures shall not exceed the height of the principal structure with which they are associated. This standard shall not apply to unenclosed canopies for the parking of recreational vehicles or to agricultural support structures in association with an established agricultural use. In no case, however, shall a residential accessory structure exceed the maximum height limit for principal structures in the district in which it is located.
2. Residential accessory structures exceeding twenty (20') feet in height shall be set back from property lines by an additional one (1') foot for each foot of height exceeding twenty (20') feet.

**D. Minimum Separation**

1. Residential accessory structures shall be separated from principal structures and other accessory structures by a minimum of five (5') feet.
2. Accessory structures exceeding twenty (20') feet in height shall be separated from all other structures by an additional one (1') foot for each foot of height exceeding twenty (20') feet.

**E. NCGS 160A-383**

*Consistency Statement*

When adopting or rejecting any zoning amendment, the governing board shall also approve a statement describing whether its action is consistent with an adopted comprehensive plan and any other officially adopted plan (I.e. Land Use Plan) that is applicable, and briefly explain why the board considers the action taken to be reasonable and in the public interest. The statement shall be one of the following:

1. A statement approving the proposed zoning amendment and describing its consistency with the plan;
2. A statement approving the proposed amendment and declaring that this also amends the plan, along with an explanation of the change in conditions to

meet the development needs of the community that were taken into account in the zoning amendment; or

3. A statement rejecting the proposed zoning amendment and describing its consistency or inconsistency with the plan.

#### F. LAND USE PLAN OVERALL OBJECTIVE

“To improve the quality of life of the citizens of Pilot Mountain by encouraging responsible growth management decisions, protecting the small town character, developing an attractive community, preserving and improving historical assets and insuring a healthy local economy”.



TOWN OF PILOT MOUNTAIN  
BOARD OF COMMISSIONERS MEETING

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| UDO Text Amendment-Accessory Structures                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                                  |
| <b><u>Background Information:</u></b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                                                  |
| <p>A resident of the ETJ has filed a request to amend the UDO to change the standards regarding accessory structures, such as sheds or barns, in the front yard. Currently the UDO does not allow these types of structures to be built in the front yard of any structure. This resident owns a large tract and has his house situated near the back property line. He would like to put up a barn in the front yard of his home.</p> <p>The planning board reviewed this request and unanimously recommended that the Board of Commissioners approve an amendment to the UDO that would allow accessory structures in the front yard in the RA and RL zoning districts as long as these accessory structures were at least 100 feet from the road right of way.</p> |                                                                  |
| <b><u>Staff Recommendation:</u></b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | Staff recommends that the Board adopt this amendment to the UDO. |
| <b><u>Possible Board of Commissioner Actions</u></b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                  |
| <ul style="list-style-type: none"><li>• Adopt the amendment as presented</li><li>• Deny approval of the amendment</li><li>• Make changes to the amendment and approve</li><li>• Take no action</li></ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                                                                  |
| <b><u>Attachments</u></b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                                                                  |
| <ul style="list-style-type: none"><li>• Planning Staff Report</li><li>• Text Amendment Applicaiton</li></ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                                  |



# Town of Pilot Mountain, North Carolina

## Wastewater Treatment Plant Project







# Table of Contents

Letter of Interest .....1

01 Firm Overview ..... 2

02 Key Personnel ..... 3-9

03 Relevant Experience .....10-16

04 Current Workload .....17

05 Project Approach and Understanding ..... 18-23

**PREPARED FOR**

Michael Boaz  
Town Manager / Finance Officer  
Town of Pilot Mountain  
124 West Main Street, Box 1  
Pilot Mountain, North Carolina 27041

**PREPARED BY**

McGill Associates, P.A.  
1240 19th Street Lane NW  
Hickory, North Carolina 28601  
828.328.2024  
mcgillassociates.com

June 5, 2019

Michael Boaz, Town Manager / Finance Officer  
124 West Main Street, Box 1  
Town of Pilot Mountain  
Pilot Mountain, North Carolina 27041

RE: Statement of Qualifications  
Wastewater Treatment Plant Project  
Town of Pilot Mountain, North Carolina

Dear Mr. Boaz:

We understand you are seeking a professional engineering firm to assist with upgrades to the Town's wastewater treatment plant and several sewer lift stations. McGill Associates, P.A. (McGill) is a qualified, trusted partner, bringing over 35 years of experience and expertise on similar projects across North Carolina. The Town depends on these facilities and we understand the importance of these projects to maintaining your community's health and quality of life.

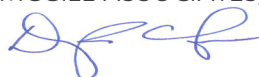
Our specific expertise in wastewater treatment plant and sewer lift station design is wide-ranging, including many similar-sized facilities. Enclosed, you will find several projects demonstrating the strength of our experience. We have assembled a team for this project that is second to none and can deliver all of the services in-house and locally. Our team has worked together on prior projects and formed a solid level of communication needed to complete this important project.

Our firm has a long history with the programs that fund water and sewer projects for local governments, including the Clean Water State Revolving Fund (CWSRF) program that the North Carolina Department of Water Infrastructure (NC DWI) oversees. Communication with the funding agency is critical to move your project forward quickly and smoothly.

McGill is very familiar with Pilot Mountain's wastewater treatment facility and lift stations and your need for improvements, having worked closely with Town staff to prepare an asset management plan for the Town's water and sewer infrastructure, and applying for funding for the proposed project. These collaborative efforts have resulted in millions of dollars in funding to the Town.

We value our relationship with the Town of Pilot Mountain and are eager to continue our relationship through working with the Town on this project. Please do not hesitate to contact us, if you would like to discuss this Statement of Qualifications further.

Sincerely,  
MCGILL ASSOCIATES, P.A.

A handwritten signature in blue ink, appearing to read 'Doug Chapman'.

DOUG CHAPMAN, PE  
Principal / Hickory Office Manager

# 01 | Firm Overview

## Contact

**Doug Chapman, PE**

Principal / Hickory Office Manager

[doug.chapman@mcgillassociates.com](mailto:doug.chapman@mcgillassociates.com)

## How We're Different

McGill serves public and private clients throughout the Southeast. The range and depth of McGill's expertise includes a wide spectrum of engineering services, land planning and recreation, as well as consulting services.

Our foundation is built on creating comprehensive solutions in a personal way. Collaboration is the key to our success and clients are an integral part of every project at McGill. By building lasting relationships with communities, we understand our clients' visions and project goals. Our dedicated project team focuses on delivering a customized solution for each unique community.

We help our clients identify challenges, formulate responsive solutions, and manage successful project completion. Through partnership, we shape the best results for each client and community.

## At a Glance

Legal Name: McGill Associates, P.A.

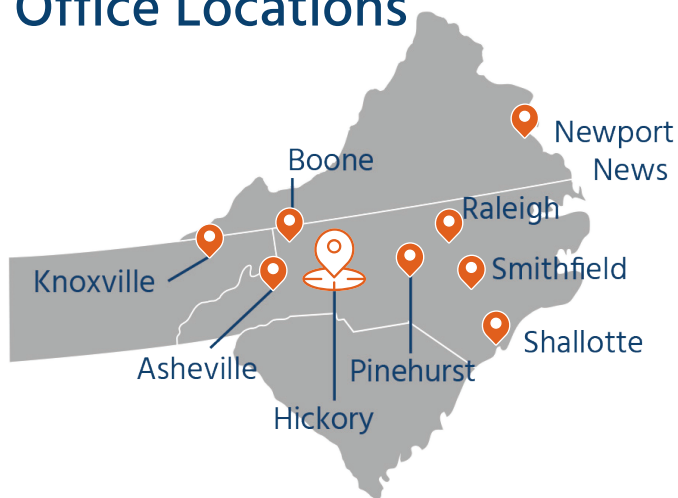
Incorporated / Year: 1984

Business Type: Corporation

Number of Offices: 9

Number of Employees: 160

## Office Locations



### Office where work will be performed:

1240 19th Street Lane NW, Hickory, NC 28601  
828.328.2024

## What We Do

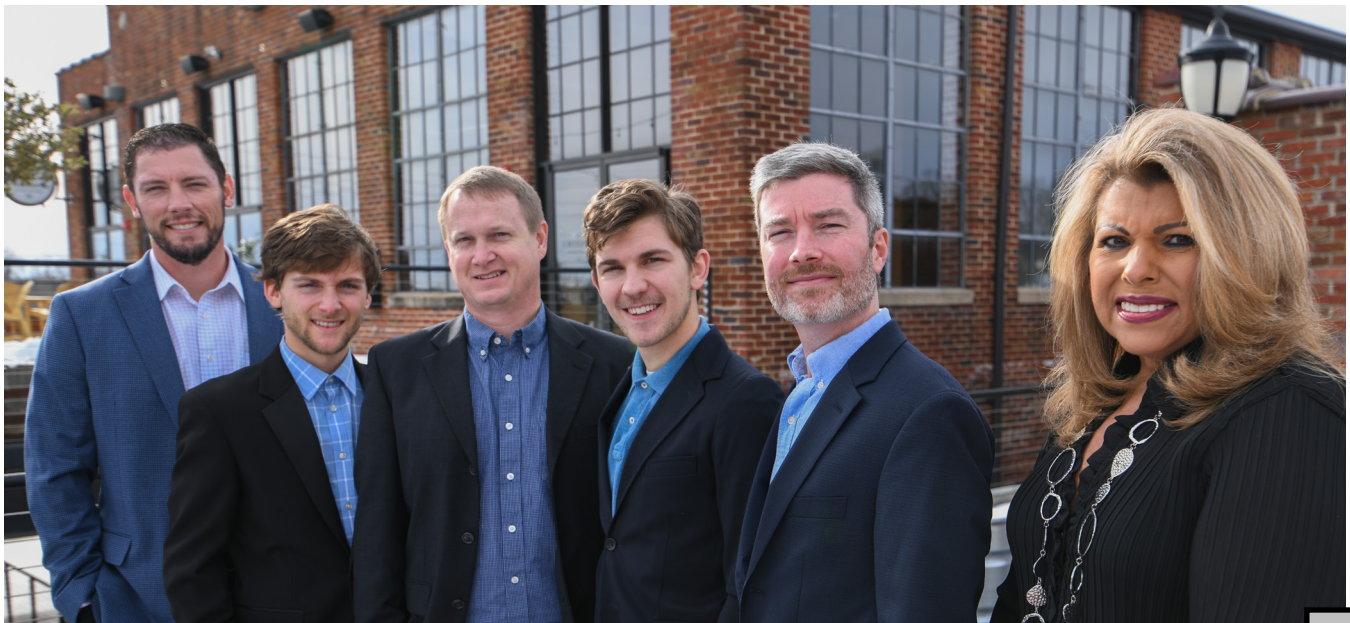
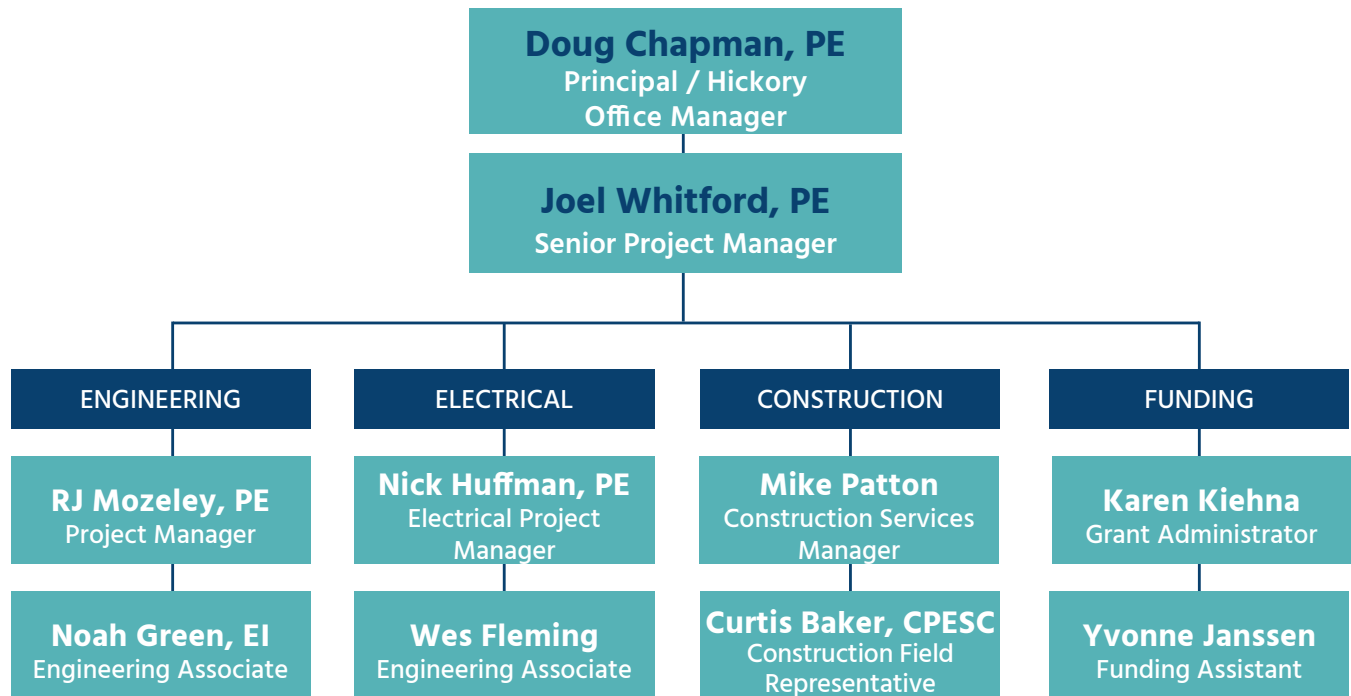
- Water and Wastewater
- Civil Engineering
- Water Resources
- Permitting
- Solid Waste
- Electrical Engineering
- Mechanical, Electrical, and Plumbing
- Survey and Construction
- Stormwater Management
- Land Planning and Recreation
- Environmental
- Consulting Services
- Grant Funding and Administration



## 02 | Key Personnel

### Team Overview

Our goal in assembling the proposed team outlined below is matching the individual and team qualifications with the expertise and experience appropriate for this project. Our comprehensive project team approach is particularly appropriate for projects where coordination, scheduling, and efficiency are important considerations.





# Doug Chapman, PE

## Principal / Hickory Office Manager

### Profile

Doug Chapman has practiced engineering in North Carolina for more than 28 years. His experience includes a wide range of public projects, including streets and stormwater systems, water and wastewater systems, parks and recreation, and community facilities and planning. Doug has worked in a variety of professional environments, including both public and private sector positions, which have contributed positively toward developing his capacity to solve complex problems and understand the needs of public clients. He is an innovator and a leader in infrastructure and facility planning and design. Doug has worked on numerous projects and is well-versed in public bidding requirements and project funding opportunities. He also understands the need to actively manage projects from inception throughout construction. As the Hickory Office Manager, he is responsible for a staff of 30 engineers and support personnel.

### Related Experience

- **Asset Management Plan, Town of Pilot Mountain:** McGill assisted the Town with the inventory and assessment of the Town's water and sewer assets.
- **Gunpowder Creek Wastewater Treatment Plant Improvements, City of Lenoir:** McGill assisted the City of Lenoir with the planning, design, and construction administration of an upgrade to the 2.0 MGD Gunpowder Creek Wastewater Treatment Plant.
- **Third Creek Wastewater Treatment Plant Upgrade and Expansion, City of Statesville:** McGill assisted the City of Statesville with the permitting, design, and construction administration of the Third Creek WWTP upgrade and expansion project.
- **Fourth Creek Wastewater Treatment Plant Improvements, City of Statesville:** McGill assisted the City of Statesville with the planning, design, and construction administration of various upgrades to the 4.0 MGD Fourth Creek Wastewater Treatment Plant.
- **Water Reclamation Facility, City of Henderson:** McGill assisted the City of Henderson with developing a project to replace equipment that included three sets of pumps that were needed to transfer the entire plant flow, with a new process that included only one set of pumps.

### Education

B.S., Mechanical Engineering,  
North Carolina State University

### Professional Registration

PE NC #020622

### Professional Associations

- American Water Works Association (AWWA)
- Water Environment Federation (WEF)

### Years of Experience

28

### Years with McGill

19

### Specialization

- Wastewater
- Management
- Project Oversight



## Joel Whitford, PE

### Senior Project Manager

#### Profile

Joel Whitford has over 21 years of experience in water and sewer infrastructure improvement projects. His experience includes water and wastewater treatment plant improvements, studies, line replacements and expansions, pumping and storage tank systems, permitting, preliminary engineering reports, budgetary and construction cost opinions, contract documents, and regulatory approvals. His extensive experience and expertise in infrastructure systems have allowed him to successfully manage projects throughout North Carolina and beyond. He is confident in his ability to effectively execute projects from inception to permitting and through construction. In developing a partnership with local government clients, he has managed everything from minor requests to major construction projects. Joel strives to provide the appropriate solution for each project with respect to budget, schedule, and quality results. He is also experienced with the many public funding sources available for water and sewer projects.

#### Related Experience

- **Gunpowder Creek Wastewater Treatment Plant Improvements, City of Lenoir:** McGill assisted the City of Lenoir with the planning, design, and construction administration of an upgrade to the 2.0 MGD Gunpowder Creek Wastewater Treatment Plant.
- **Third Creek Wastewater Treatment Plant Upgrade and Expansion, City of Statesville:** McGill assisted the City of Statesville with the permitting, design, and construction administration of the Third Creek WWTP upgrade and expansion project.
- **Fourth Creek Wastewater Treatment Plant Improvements, City of Statesville:** McGill assisted the City of Statesville with the planning, design, and construction administration of various upgrades to the 4.0 MGD Fourth Creek Wastewater Treatment Plant.
- **Water Reclamation Facility, City of Henderson:** McGill assisted the City of Henderson with developing a project to replace equipment that included three sets of pumps that were needed to transfer the entire plant flow, with a new process that included only one set of pumps.

#### Education

B.S., Civil Engineering,  
University of Tennessee

#### Professional Registration

PE NC #031867

PE VA #059709

NCEES, National Record, #28365

#### Professional Associations

- American Water Works Association (AWWA)
- North Carolina Water Environment Association (NCWEA)

#### Years of Experience

21

#### Years with McGill

14

#### Specialization

- Wastewater
- Drinking Water



## RJ Mozeley, PE

### Project Manager

RJ Mozeley is a dedicated and talented designer who has demonstrated his acute skills on a wide range of projects, including utility coordination, wastewater collection systems, and water distribution. RJ's experience has led him to develop valuable knowledge of the intricate details of water and sewer systems, as well as how they can be rehabilitated or replaced to improve the well-being of local communities. He is a valued team member, not only for his technical and strategic expertise, but also for his knowledge and attention to detail in designing and preparing construction documents. RJ possesses a vital ability to communicate effectively in conveying technical information clearly and efficiently to staff and clients.

#### Education

B.S., Civil Engineering,  
North Carolina State  
University

#### Professional Registration

PE NC #037937

#### Professional Associations

- AWWA
- WEF

#### Related Experience

- Water Reclamation Facility, City of Henderson
- Third Creek Wastewater Treatment Plant Upgrade and Expansion, City of Statesville
- Clarks Creek Wastewater Treatment Plant, City of Newton
- NC Highway 150 Wastewater Collection System Service, Catawba County



## Noah Green, EI

### Engineering Associate

Noah Green has extensive experience with preliminary evaluations, such as studies, preliminary engineering reports, cost estimates, utility routing, and pipe and pump calculations. He is very familiar with state regulations and the permitting process associated with water and sewer projects. Noah has also worked on detailed designs, in particular laying out equipment, structures, and large diameter piping for treatment plant projects. Noah is familiar with AutoCAD, Civil 3D, Revit, PondPack, Water GEMS and WaterCAD, and SewerCAD. Several of Noah's projects have involved NC Division of Water Infrastructure funding; therefore, he is familiar with its policies and procedures.

#### Education

B.S., Civil and  
Environmental  
Engineering, University  
of North Carolina at  
Charlotte

#### Professional Registration

EI NC #A-29519

#### Professional Associations

- AWWA

#### Related Experience

- Lower Creek Wastewater Treatment Plant Biosolids Project, City of Lenoir
- Centrifuge Improvements, Town of Valdese
- Sewer Asset and Inventory Assessment, City of Lenoir
- Sewer Asset and Inventory Assessment, City of Oxford





## Nick Huffman, PE

### Electrical Project Manager

Nick Huffman is an experienced electrical engineer who is specifically skilled in the construction oversight of electrical systems to support wastewater treatment facilities. He has a successful track record for delivering high-quality work on time. Nick's experience includes design and construction administration for control valves; pump stations; SCADA systems; fire alarm systems; backup, standby, and emergency power; overhead and underground distribution lines; power substations; transmission lines; relay protection; facility power; lighting; and telecommunications. He understands the unique properties that each project entails and enjoys the challenges associated with them; challenges like these have expanded Nick's knowledge and experience, and this keeps him looking forward to future endeavors in the electrical engineering field.

#### Education

B.S., Electrical Engineering, North Carolina State University

B.S., Computer Engineering, North Carolina State University

#### Professional Registration

|    |            |
|----|------------|
| PE | NC #036840 |
| PE | SC #35652  |
| PE | TN #114460 |

#### Related Experience

- Third Creek Wastewater Treatment Plant Electrical Improvements, City of Statesville
- Fourth Creek Wastewater Treatment Plant Improvements, City of Statesville
- NC Highway 150 Wastewater Collection System Service, Catawba County



## Wes Fleming

### Engineering Associate

Wes Fleming is a knowledgeable electrical designer for municipal projects. In addition to being well versed in completing arc flash studies, he is knowledgeable in engineering software to design small or large electrical networks. Using E-TAP software, Wes performs load, short circuit, coordination, and arc flash analysis for our electrical projects. Using PLS CADD software, he performs design analysis for transmission and distribution power lines. Wes is also an adjunct professor at Catawba Valley Community College, where he teaches basic electrical courses.

#### Education

B.S., Electrical Engineering Technology, University of North Carolina Charlotte

#### Specialization

- Electrical
- Arc Flash Studies
- Wastewater

#### Related Experience

- Wastewater Collection System Improvements CDBG-I Project, Town of Garland
- Sewer System Improvements, Town of Red Springs
- Arc Flash Studies for Wastewater, City of Lenoir
- Public Works Facility, City of Bessemer City



### Education

B.S., Engineering Technology, University of North Carolina at Charlotte

### Specialization

- Wastewater
- Management
- Project Oversight

## Mike Patton

### Construction Services Manager

Mike Patton has 17 years of experience with McGill, progressing from an Engineering Technician and Designer to his current role as Construction Services Manager. His experience covers a wide range of infrastructure projects, notably water and wastewater system projects for municipal clients, site development, streetscapes, facilities, and parks. Mike has extensive experience with construction phase services, from field observation to construction administration and management. His role includes directing field operations, preparing contract documents, chairing various project meetings, processing applications for payment, reviewing shop drawings, and negotiating change orders.

### Related Experience

- Asset Management Plan, Town of Pilot Mountain
- Water Reclamation Facility, City of Henderson
- Third Creek Wastewater Treatment Plant Upgrade and Expansion, City of Statesville
- Fourth Creek Wastewater Treatment Plant Improvements, City of Statesville
- NC Highway 150 Wastewater Collection System Service, Catawba County



### Education

Construction Management Diploma, North Carolina State University

### Professional Registration

Certified Professional in Erosion and Sediment Control  
NCDOT & ACI Concrete Field Technician

## Curtis Baker, CPESC

### Construction Field Representative

Curtis Baker is experienced in the installation of water, sewer, and storm drainage infrastructure and possesses knowledge on proper erosion control matters. His experience in North Carolina has enabled him to fully understand the many construction issues related to infrastructure projects in this region. Curtis is widely experienced and respected in the construction industry as a worker, foreman, and inspector. He is skilled in landscaping, asphalt, curbing, grading, and concrete. Curtis recently completed the Construction Management program through North Carolina State University, which includes construction-industry specific training on accounting, scheduling, estimating, construction law, and operations management.

### Related Experience

- Third Creek Wastewater Treatment Plant Upgrade and Expansion, City of Statesville
- Gunpowder Creek Wastewater Treatment Plant Improvements, City of Lenoir
- Bunker Hill High School Area Wastewater Collection System and Pump



## Karen Kiehna

### Grant Administrator

Karen Kiehna has over 35 years of community, economic, and grant development experience with grant and project development and management, municipal government management, historic preservation, downtown revitalization, federal and state compliance, and environmental assessment. During her career, Karen has managed a variety of large-scale projects that required blending multiple federal, state, and local funds from conception to final closeout. Funding agencies include: USDA-RD, Economic Development Administration, Environmental Protection Agency, Department of the Interior, Housing and Urban Development, NC Department of Environmental Quality, NC Department of Commerce, NC State Parks, NC Department of Natural and Cultural Resources, Golden LEAF Foundation, Pigeon River Fund, and others. Her strong project development and management skills have supported numerous communities in effecting positive change in the areas of economic developments, public infrastructure, community development, recreation, cultural heritage, and downtown revitalization.

#### Education

B.S., Concentration in Interior Design and Architecture, University of Tennessee

#### Professional Training

- Grant Development and Management Training, National Grantsmanship Foundation



## Yvonne Janssen

### Funding Assistant

Yvonne has worked in a multitude of support services, working one-on-one with individuals and small groups to solve problems and build consensus. She has served as a subdivision administrator and as a zoning enforcement official, providing her with a comprehensive background to understand the interrelationship between community development and planning. Yvonne also has a background in community planning and code administration, where she worked with jurisdictions in North Carolina to review plans, make interpretations of codes of ordinances, and enforce regulations. For the last five years, she has provided program implementation assistance and managed community development grants for communities across North Carolina. In the capacity of Program Manager, Yvonne completes performance reports, facilitates public information meetings, and advocates for housing and community development initiatives. Additionally, she manages case files under state and federal guidelines, ensuring financial and regulatory compliance.

#### Education

M.A., Public Administration, University of North Carolina – Wilmington

B.A., Political Science, University of North Carolina – Wilmington

A.A., Legal Studies, Baltimore County Community College



## 03 | Relevant Experience



### Gunpowder Creek Wastewater Treatment Plant Improvements

#### City of Lenoir

McGill assisted the City of Lenoir with the planning, design, and construction administration of an upgrade to the 2.0 MGD Gunpowder Creek Wastewater Treatment Plant. The project generally included the addition of a new sequencing batch reactor (SBR) basin to provide a third treatment train for the facility for increased reliability and to better handle peak flows. The SBR tank included a mixer, diffused aeration, and a decanter to remove settled water. A new blower bank was installed to serve all SBR tanks within the facility. The project also includes new air piping for the old basins, valves, site piping, electrical, controls, and new SCADA system. McGill helped the City obtain CWSRF loan funding.

#### Client Reference

Radford Thomas, Public  
Utilities Director

801 West Avenue NW  
Lenoir, NC 28645

828.757.2200

[rlthomas@ci.lenoir.nc.us](mailto:rlthomas@ci.lenoir.nc.us)

#### Start Date

2013

#### End Date

2015

#### Project Final Cost

\$3,495,000







#### Client Reference

Andy Smith,  
Water Resources  
Operations Manager

Post Office Box 111  
Stateville, NC 28687  
704.878.3438

asmith@statesvillenc.net

#### Start Date

2011

#### End Date

2015

#### Project Final Cost

\$23,000,000



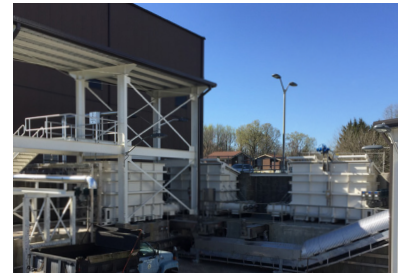
## Third Creek Wastewater Treatment Plant Upgrade and Expansion

### City of Statesville

McGill assisted the City of Statesville with the permitting, design, and construction administration of the Third Creek WWTP upgrade and expansion. McGill helped secure the modified NPDES discharge permit. We also assisted the City with procuring over \$23 million in low-interest funding through the Clean Water State Revolving Fund.

The facility upgrade included provisions for lower nutrient limits, due to the impairment of High Rock Lake downstream of the plant's discharge outfall. The project components for the 6.0 MGD facility included a new influent sewer, mechanical influent screens, influent pump station, grit removal, three-stage biological nutrient removal (BNR) system, final clarifiers, chlorine contact structure (including chlorine contact, non-potable water pumping, effluent metering, dechlorination, and post-aeration), a return and waste activated sludge pump station, aerobic digester upgrades, as well as all piping, valves, electrical, standby generator, controls, SCADA system, paving, grading, and related appurtenances.

Several biological nutrient removal technologies were evaluated during the preliminary design phase. A phased treatment strategy was implemented, which paralleled the NPDES permit negotiated with NCDEQ and EPA. A three-stage biological process was selected for the first phase nutrient removal, with anaerobic, anoxic, and aerobic stages.



## Fourth Creek Wastewater Treatment Plant Improvements

### City of Statesville

McGill assisted the City of Statesville with the planning, design, and construction administration of various upgrades to the 4.0 MGD Fourth Creek Wastewater Treatment Plant. The project received nearly \$5 million in zero-interest CWSRF loan funding with a 20-year payback. The project generally includes replacement of the lime sludge stabilization process (including hoppers, belt conveyors, screw conveyors, lime silos, and pugmill mixer), clarifier #1 replacement, two platform aerator replacements, VFDs for influent pumps and WAS pumps, flow meters, motor control center replacements, electrical, controls, new SCADA system, and related appurtenances.

Under separate projects, McGill designed replacements for the two influent mechanical bar screens, as well as a new belt filter press to replace the outdated plate and frame press.

#### Client Reference

Andy Smith,  
Water Resources  
Operations Manager  
Post Office Box 111  
Statesville, NC 28687  
704.878.3438  
asmith@statesvillenc.net

#### Start Date

2014

#### End Date

2016

#### Project Final Cost

\$4,082,000







#### Client Reference

Michael Boaz,  
Town Manager  
124 West Main Street  
Pilot Mountain, NC 27041  
336.444.3000  
mboaz@  
pilotmountainnc.org

#### Start Date

2017

#### End Date

2017

#### Project Final Cost

\$12,000



## Asset Management Plan

### Town of Pilot Mountain

McGill prepared an Asset Management Plan (AMP) for the Town of Pilot Mountain, which included the inventory and assessment of the Town's water and sewer assets. This plan includes the water treatment plant, raw water intake, wastewater treatment plant, water mains, sewer mains, and sewer pumping stations. The plan also includes a 10-year capital improvements plan to prioritize capital improvements project. The AMP also included review of the current operations and maintenance practices. This plan provides the Town with a living document to serve as a guide for maintaining the Town's water and sewer utility systems.



## Water Regionalization Project

### Town of Pilot Mountain

McGill prepared a study to regionalize the Pilot Mountain water system. The project evaluated needed improvements to the existing water intake, reservoir, and water treatment plant to extend its viability, as well as considerations of water supply being provided by neighboring systems – Mount Airy and King. The effectiveness of each alternative to meet the Town’s current and planned water supply needs were evaluated, along with cost implications. To analyze cost factors, McGill developed a capital improvement plan of the needed supply project and a utility fund financial analysis for each alternative.

This study resulted in the Town applying for NC Connect bond funding through the NC Division of Water Infrastructure to provide a grant for 50% of the project costs to connect its water system with Mount Airy. Following funding approval, the Town negotiated and entered into an inter-local agreement to construct the water interconnect and purchase treated water supply with Mount Airy.

#### Client Reference

Michael Boaz,  
Town Manager  
124 West Main Street  
Pilot Mountain, NC 27041  
336.444.3000  
mboaz@  
pilotmountainnc.org

#### Start Date

2017

#### End Date

N/A (currently working on  
this project)

#### Project Final Cost

\$50,000







# Water Reclamation Facility Improvements

## City of Henderson

McGill assisted the City of Henderson with developing a project to replace equipment dating back to the 1930s and a process that included three (3) sets of pumps that were needed to transfer the entire plant flow, with a new process that included only one set of pumps. This new facility is much more user friendly for operators and less sensitive to changing influent characteristics.

McGill provided design, permitting, bidding, and construction administration services to the City for improvements to the Henderson Water Reclamation Facility with biological nutrient removal. Major project components included a headworks facility, influent pump station, three-stage oxidation ditches, final clarifiers, return and waste-activated sludge pumping, sludge thickening, aerobic digester improvements, new administration building, new maintenance building, electrical, SCADA system, and related appurtenances. The improvements were performed to increase the reliability of the treatment facility. McGill also provided funding procurement assistance to the City for the improvements through the Clean Water State Revolving Fund (CWSRF) and the Clean Water Management Trust Fund (CWMTF).

### Client Reference

Frank Frazier,  
City Manager  
134 Rose Avenue  
Henderson, NC 27536  
252.430.5701  
ffrazier@  
ci.henderson.nc.us

### Start Date

2012

### End Date

2016

### Project Final Cost

\$1,691,998





## NC Highway 150 Wastewater Collection System Service

### Catawba County

McGill provided design for 36,600 LF of 8-inch, 12-inch, and 14-inch diameter sewer force main and approximately 32,500 LF of 8-inch, 12-inch, 15-inch, 16-inch, and 18-inch diameter gravity sewers along NC 150. The project also included seven sewer pump stations, three aerial crossings of Lake Norman, two crossings of the CSX rail line, and one crossing of the Norfolk Southern rail line. All seven pump stations throughout the project included duplex submersible sewage pumps and backup generators.

#### Client Reference

Jack Chandler, Interim  
Director of Utilities and  
Engineering

25 Government Drive  
Newton, NC 28658

828.465.8940

jchandler@  
catawbacountync.gov

#### Start Date

2012

#### End Date

2014

#### Project Final Cost

\$1,329,660



## 04 | Current Workload

### Availability

McGill works within strict schedules to meet project deadlines and objectives. We want to work on this important project and are prepared to adjust our work program to meet your project's scheduling needs. We understand how important it is to stay on schedule and on budget. This proposal is intended to demonstrate that:

- We have the qualifications and expertise to plan, design, permit, and execute this project.
- We have the capability and availability to achieve the tasks outlined in our proposal, within a prescribed time frame.
- We have a proven record of success for similar previous projects.
- Our personnel and resources are accessible and our proximity to the project can facilitate timely and efficient working conditions and communication.

### Current Workload

| Name of Project                                | Client                 | Estimated Completion Date    | Percent Complete to Date |
|------------------------------------------------|------------------------|------------------------------|--------------------------|
| Wastewater Plant Improvements                  | City of Reidsville     | Design:<br>November 2019     | 20%                      |
| State Reserve Water Line Extensions            | Alexander County       | Bid:<br>July 2019            | 20%                      |
| Sewer Rehabilitation Project                   | City of Shelby         | Construction:<br>June 2019   | 95%                      |
| Water and Sewer Asset Inventory and Assessment | Town of Siler City     | Field Work:<br>October 2019  | 25%                      |
| Water Interconnect                             | Town of Pilot Mountain | Design:<br>June 2019         | 95%                      |
| Biosolids Facility Improvements                | City of Lenoir         | Design / Bid:<br>August 2019 | 90%                      |



# 05 | Project Approach and Understanding

## Project Approach

McGill is a full-service municipal engineering firm serving North Carolina and the surrounding states. Our Hickory office serves local governments across the central portion of North Carolina. We understand the importance of compliant wastewater treatment to the economic viability of a community and the Town's need to secure its future by upgrading existing wastewater treatment plant equipment for reliability. Our desire is to provide the Town of Pilot Mountain with professional engineering services for the Wastewater Treatment Plant Improvements project.

McGill has extensive project experience with all forms of wastewater projects. From small lift stations, to gravity sewer extensions, to major interceptor sewers and lift stations, we have prepared conceptual layouts and final designs for small wastewater treatment equipment replacements to major wastewater treatment expansions and process changes.

We have organized a team dedicated to the successful execution of the project, led by Hickory Office Manager, **Doug Chapman, PE**. The planning and design of the project will be led by Senior Project Manager, **Joel Whitford, PE**. McGill's culture, which is guided by the key principals of providing high-quality service and continuing successful partnerships, will encompass all work performed on the project.

**The team we have selected for this proposed project is conveniently located in Hickory, just an hour and a half away from Pilot Mountain,** which allows for a quick response to the Town's needs. This feature is not only efficient for completion of the normal project scope of services, but even more

critical when issues arise with plant operations and project commissioning, which require on-site assessments, evaluations, and recommendations. Further, this team has worked together on similar projects in Statesville, Henderson, and Lenoir.

## Construction Administration

McGill provides construction administration services, led by **Mike Patton**, for nearly all projects and is experienced in processing applications for payment, requests for information, and other construction documents. We assist in coordination between the owner, contractors, and funding agency to make sure all parties have the information they need to keep the project on schedule and within budget.

Our construction observation staff is a valuable asset as the Owner's eyes and ears in the field to ensure that the infrastructure is constructed in accordance with the approved plans and specifications.



Pump Station #6



## Cost Control

McGill has an excellent track record for completing projects on time and within budget. This has been a key factor in retaining our many long-term clients. We would encourage you to contact any one of them regarding our responsiveness in meeting their engineering needs.

Achieving and maintaining cost control is essential for infrastructure enhancement projects as construction costs rise. We maintain an excellent cost estimating capability, which provides a realistic concept of the cost of the project and its major components.

We document the prices of all projects bid throughout the firm. Our design staff references this information when preparing both preliminary and final cost estimates for new projects. This database of information ensures that the most current and applicable pricing can be applied to cost estimates. Our design and construction services staff add considerable expertise to the particular details of the design associated with each project, including the current construction environment, to arrive at the most accurate cost estimate possible.

McGill includes the client in the process of evaluating alternative components for cost savings and long-term operational cost considerations.

We often utilize deductive alternates for materials, equipment, and other facilities, to clearly outline for the client how their choices impact the bottom line of a project. The client will have the opportunity to take full advantage of potential cost-saving opportunities.

## Keeping Design and Construction on Schedule

Efficient and professional project management is an essential cost-saving element of a project. Mistakes are a costly factor that can be managed like any other project cost, and we are dedicated to quality control is perhaps our best cost-savings measure.

We maintain a quality-controlled design and permitting process that includes several internal contract document reviews and external reviews with the client. This attention to detail during the design phase can result in major cost efficiency benefits for the client.

Thorough and detailed documents are easier for the contractor to bid, resulting in more competitive construction bids. In addition, quality plans and specifications minimize the potential for change orders during construction, which are generally costly and unanticipated by the client.



Pump Station #11



Wastewater Treatment Plant Clarifier

## Schedule

We understand the critical nature of the project schedule. Further, our assembled team is experienced in this type of project where schedule, funding, and coordination are key factors. We not only serve local governments; portions of our team, including, our leader Doug Chapman, have worked for local governments and, therefore, understand the political sensitivity of this type of project.

We understand the need to meet established funding milestones. Our team has a plan for active project management, scheduled communication, design tasks, and construction tracking to ensure conformance to the necessary project schedule.

## Project Understanding

The Town of Pilot Mountain owns and operates its own wastewater treatment plant (WWTP) and collection system. Currently, the equipment at the WWTP is at least 34 years or older. Some units have been abandoned, are no longer in service, or have been reduced in treatment capacity. The plant is down to a single clarifier and is at risk of violations if this clarifier had equipment failures. The influent pumps have no priming system and have temporary insulation wrapped around the pumps during cold weather months.

Many equipment failures have occurred at the lift stations. Several lift stations have only one (1) operable pump, leaving the system and the Town at risk. Small lift stations routinely need pumps replaced, due to wipes and other nuisance materials from upstream sewers. Also, lift stations do not have “easy connects” for temporary backup power supply. These issues are further worsened by inflow and infiltration in the system, due to aged sewer lines.

McGill completed an Asset Management Plan (AMP) for the Town of Pilot Mountain to review the condition of WWTP equipment and sewer pump stations. The proposed improvements were identified in the approved AMP.



Wastewater Treatment Plant Clarifier

Subsequently, funding applications were submitted to NCDEQ-DWI, soliciting funds to complete needed improvements.

The proposed project involves replacing aged and failing equipment at the WWTP and sewer lift stations to improve the reliability of the system. The proposed project generally involves influent pump station improvements, addition of a standby generator for the influent pump station, replacement of the failed clarifier mechanism, and related appurtenances at the WWTP. The project also includes replacement of pumps at several lift stations that have pumps that have failed or are in poor condition. These equipment replacements will address areas of concern and provide the Town with a much more functional, reliable system.

## Preliminary Phase

Upon authorization to begin, McGill will initiate a preliminary engineering evaluation. Potential technologies will be reviewed for viability with the existing plant processes. Once a few options are selected, we will prepare a detailed analysis of the options, cost analysis, proposed layout, and preliminary equipment selections. These efforts will be developed into an Engineering Report and Environmental Information Document (ER/EID) to meet the requirements of NCDWI, to comply with CWSRF funding.



## Detailed Design and Permitting

After the ER/EID has been approved by NCDWI, we will provide detailed design and permitting for the project. These services will include preparation of design drawings and technical specifications, preparation of regulatory permit applications, and preparation of bid documents.

Our design approach is to provide Town staff with multiple opportunities to review the design and provide input, with planned reviews at several progress stages. Design drawings will be provided at each review stage, and design review meetings with Town staff will be scheduled and conducted.

We will also submit NCDEQ regulatory permit applications for approval. Plans, specifications, bid documents, and other supporting documents will also be submitted to funding agencies for approval.

## Bidding and Award

Upon NCDWI and permitting approval, we will assist with competitively bidding the project. Our design team will prepare complete bidding and construction document packages for the project, including the advertisement, instruction to bidders, bid proposal, bid bond, notice of award, standard agreements, performance bonds, payment bonds, insurance certificates, notice to proceed, general conditions, special conditions, minority business documentation, technical specifications, and project specific documents. The bidding process will include advertisement for bids, pre-bid meeting, addenda as necessary, conducting the bid opening, and making a recommendation for award. Following award of the project, we will prepare construction contracts and route for execution.

Finally, our team will be available to assist the Town with funding reimbursement requests and coordination with the funding agency at all appropriate steps during the project.



Wastewater Treatment Plant Influent Pump Station



Wastewater Treatment Plant Oxidation Ditch



Wastewater Treatment Plant Oxidation Ditch

## Construction Phase Services

To kick off the project construction, we will conduct a pre-construction meeting with all applicable parties to discuss procedures and necessary project elements. Our design team will review equipment submittal data to confirm that the products being used are in conformance with the contract plans and specifications. The remainder of our construction phase services are contract administration and field observation.

Construction administration will include coordination between the Town and the Contractor, response to requests for information, review and approval of all contractor pay requests, recommendations for payment based on contractor progress and performance, interpretation of the contract documents, change order processing, and preparation of closeout documentation.

Field observation will include overseeing construction to ensure conformance with the project plans and specifications. Our standard practice in field observations is to involve both construction administration team members and design team members.

McGill will conduct regular progress meetings to coordinate progress of the project and to identify and address any issues that may arise during construction before those issues impact the completion schedule. We will conduct these meetings and provide minutes to attendees.

We will also coordinate the scheduling of all necessary testing to ensure compliance with the project specifications. Further, we will keep records of any existing utilities or other site conditions that differ from those shown on the drawings and will note any variances. These changes, along with drawing mark-ups from the contractor, will be utilized to prepare the project's record drawings, which will be furnished to the Town in hard copies and electronic format.

## Startup and Commissioning

The final critical element to implementing a plant upgrade is start-up and commissioning. Often equipment is installed and then simply handed over to the staff to operate. We have a regimented commissioning process for this type of project that includes staff training, equipment testing, manufacturer led start-up, operation and maintenance guidelines, and extended warranties, where appropriate. Our goal through this step of the project is to ensure that the Owner receives the system that they need and expect, and that it will effectively perform to those needs and expectations.

Our services also include conducting a final walk-through to verify final suitability before owner acceptance, along with verification of compliance through the one-year warranty period.



Construction Administration Team



# Quality Assurance and Quality Control Reviews

McGill understands that applying quality control and assurance measures greatly contributes to successful project completion. We maintain a quality-controlled design and permitting process that includes several internal contract document reviews and external reviews with the client. Our project team members carefully review data with the client from project start to completion. We provide consistent and effective coordination throughout all steps of project development.

Our design staff is also committed to producing superior design documents through attention to detail. In addition, quality plans and specifications minimize the potential for change orders during construction, which are generally costly and unanticipated by the client.

From planning to bidding to construction, our teams implement a structured quality assurance program to ensure successful projects. Quality control reviews at major design milestones and prior to bidding help to promote a high quality, properly permitted, cost-effective design. McGill works closely with client staff during the design to facilitate regular feedback and design input. Not only does McGill perform QA / QC technical reviews to ensure the engineering design is complete and accurate, but we also staff a construction services manager who performs a review of the plans at the project site to look for areas that may require further clarification or design in an effort to minimize changes during construction.



Pump Station #7.



Wastewater Treatment Plant Influent Pump Station



Construction Administration Team





**McGill Associates, P.A.**  
1240 19th Street Lane NW, Hickory, North Carolina 28601  
828.328.2024 | [mcgillassociates.com](http://mcgillassociates.com)





TOWN OF PILOT MOUNTAIN  
BOARD OF COMMISSIONERS MEETING

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                                                                                                                           |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------|
| WWTP and Pump Station Project Engineer Selection                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                                                                                                                           |
| <b><u>Background Information:</u></b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                                                                                                                           |
| <p>Town staff issued a Request for Qualifications from engineering firms to assist us with the work on the WWTP and Pump Station project that we submitted a funding application for back in April. At that time, the Board directed staff to go ahead with the process of selecting an engineering firm that could work with us on this project and get the Preliminary Engineering Report (PER) ready to submit to the State by mid-August so that we would be on the same time schedule as we would have been had we accepted the original funding offer for this project.</p> <p>Staff is recommending that the Board select McGill Associates as the engineer for this project and authorize me to execute an agreement with them for this project, as long as the total engineering cost is within the budgeted amount for the PER which is \$18,000. As of the deadline for getting the agenda packets out, I don't have a full cost proposal and engineering agreement from McGill. It is possible that I will have it by the meeting and if so I will send it out. The only downside to waiting for an agreement before authorizing me to sign is it will delay the start of the PER work and thus may put us behind schedule.</p> |                                                                                                                           |
| <b><u>Staff Recommendation:</u></b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | Staff recommends that the Board select McGill for this project and authorize the Town Manager to enter into an agreement. |
| <b><u>Possible Board of Commissioner Actions</u></b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                                                                           |
| <ul style="list-style-type: none"><li>• Select McGill and authorize the Town Manager to enter into an agreement</li><li>• Select other firms</li><li>• Select McGill but request full cost proposal before authorizing agreement</li><li>• Take no action</li></ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                                                                                                                           |
| <b><u>Attachments</u></b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                                                                                           |
| <ul style="list-style-type: none"><li>• Statement of Qualifications From McGill Associates</li></ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                                                                           |

Pilot Mountain Town Hall  
124 West Main St.  
Pilot Mountain, NC 27041



(Phone) - 336.368.2247  
(Fax) - 336.368.9532  
[www.pilotmountainnc.org](http://www.pilotmountainnc.org)

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## MEMORANDUM

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**TO:** Mayor and Board of Commissioners  
**FROM:** Michael Boaz, Town Manager/Finance Officer  
**DATE:** June 5, 2019  
**RE:** June 2019 Town Manager's Report

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- Our food truck festival will be held on June 22 from 11 AM-7 PM. We will be closing Main Street on Saturday morning at about 730 AM. It will remain closed until the event is over and cleanup is completed.
- Dinosaurs will invade downtown on Saturday June 15. There will be a number of events downtown that day. We will also be showing Jurassic Park that evening during Movies on Main!
- I believe that the budget amendments that are on the agenda for this meeting will be enough to make sure that we remain within budget for the Fiscal Year. However, it is possible that I may have to ask you to have a special meeting late in June for any final budget adjustments.
- I would like to commend Officer Randi Wooten for her efforts in helping a couple that lives in Town recover money that they nearly lost to a scam artist. Officer Wooten helped this couple recover several thousand dollars. I also urge our residents to be careful when being asked to send my by someone over the phone.
- McGill's team has discovered that NCDOT does not have any recorded right of way on Old US 52. Therefore we will have to secure easements from many of the property owners along the proposed water line route. We will be sending letters out to all of the affected property owners over the next week or two.
- The engineering for the streetscape project did not include the engineering for the replacement of the water line that is under Main Street. The Board will need to decide, at some point in the not too distant future, whether we want to replace that water line now or wait. It will need to be replaced at some point, but that time may be farther down the road. It will cost roughly \$9,600 to have the engineering for that line replacement completed. I am still working with the engineers and our team to determine how old this line is and to develop an estimate of the condition of the line.



## **PROJECT UPDATES**

1. Depot Street Stream Restoration Project: We have been awarded three grants, totaling \$1,100,000 for this project. This is enough money to do most of the stream restoration work on project. We have signed easements from 20 of 40 property owners. We are still working with property owners to get signed easements.
2. Water/Sewer Regionalization/Interconnection Study: The final report will be ready for the Board to approve by June 2019.
3. Landfill Rehabilitation Project: The engineers are continuing to work on a remediation plan for this old landfill project. This project is being completed funded by the State of NC.
4. Main Street National Register District: The survey work has been completed and submitted to the NC Historic Preservation Office.
5. Street Paving Project: We are waiting on some updated numbers from the NC DOT before we can complete the application process.
6. Sunset Sewer Sub-Basin Project: Plans have been submitted to DEQ for review.
7. Water Treatment Upgrade: Plans have been submitted to DEQ for review.
8. Streetscape Project: Staff has reviewed the draft plans for this project. The engineers will be making changes and will still hope to have final plans done by later summer. We have had an initial meeting with Duke Energy and are using their comments and thoughts to guide the engineering for this project.

**Town of Pilot Mountain Budget Reports May 2019**  
**10 - General Fund**

| <b>Expenditures</b>                   |                            |                |                 |                |              |         |
|---------------------------------------|----------------------------|----------------|-----------------|----------------|--------------|---------|
|                                       | Department                 | Budget         | Period Activity | Year to Date   | Balance      | % Spent |
| 10-4110:                              | Governing Body             | \$66,780.00    | \$1,624.50      | \$82,512.85    | -\$15,732.85 | 124%    |
| 10-4120:                              | Administration             | \$301,510.00   | \$19,951.04     | \$249,127.36   | \$52,382.64  | 83%     |
| 10-4490:                              | Community & Economic Devpt | \$32,600.00    | \$3,250.00      | \$23,554.00    | \$9,046.00   | 72%     |
| 10-4495:                              | Downtown Revitalization    | \$110,870.00   | \$3,939.99      | \$91,288.58    | \$19,581.42  | 82%     |
| 10-4510:                              | Public Safety              | \$689,670.00   | \$47,868.91     | \$667,256.33   | \$22,413.67  | 97%     |
| 10-4560:                              | Streets                    | \$157,550.00   | \$14,046.42     | \$139,249.23   | \$18,300.77  | 88%     |
| 10-4570:                              | Powell Bill                | \$145,000.00   | \$0.00          | \$141,506.10   | \$3,493.90   | 98%     |
| 10-4580:                              | Sanitation                 | \$212,240.00   | \$16,848.18     | \$202,134.45   | \$10,105.55  | 95%     |
| 10-4620:                              | Pilot Center               | \$19,060.00    | \$1,285.69      | \$22,640.58    | -\$3,580.58  | 119%    |
| 10-4630:                              | Library                    | \$44,140.00    | \$34,500.00     | \$40,174.75    | \$3,965.25   | 91%     |
| 10-4650:                              | Non Departmental           | \$43,050.00    | \$1,943.25      | \$33,220.15    | \$9,829.85   | 77%     |
| 10-9100:                              | Debt Service               | \$49,620.00    | \$0.00          | \$49,613.94    | \$6.06       | 100%    |
| Total Expenditures: (10) General Fund |                            | \$1,872,090.00 | \$145,257.98    | \$1,742,278.32 | \$127,552.77 | 93%     |

| <b>Revenues</b>                   |                                     |              |                 |                |               |             |
|-----------------------------------|-------------------------------------|--------------|-----------------|----------------|---------------|-------------|
| Account                           | Account                             | Budget       | Period Activity | Year to Date   | Uncollected   | % Collected |
| 10-3010-2004                      | Prior Year Tax Collection           | \$6,000.00   | \$114.01        | \$2,177.44     | -\$3,822.56   | 36%         |
| 10-3010-2005                      | Ad Valorem Taxes (Current)          | \$758,190.00 | \$9,928.55      | \$775,301.65   | \$17,111.65   | 102%        |
| 10-3010-9301                      | Motor Vehicles                      | \$62,590.00  | \$12,108.91     | \$58,580.60    | -\$4,009.40   | 94%         |
| 10-3170-0000                      | Tax Penalties & Interest            | \$7,500.00   | \$548.32        | \$3,646.20     | -\$3,853.80   | 49%         |
| 10-3317-0000                      | Controlled Substance Tax            | \$0.00       | \$796.82        | \$796.82       | \$796.82      | 0%          |
| 10-3319-0000                      | Police Reports & Fees               | \$250.00     | \$20.00         | \$405.00       | \$155.00      | 162%        |
| 10-3319-0100                      | Civil Citations                     | \$100.00     | \$0.00          | \$0.00         | -\$100.00     | 0%          |
| 10-3350-0000                      | Miscellaneous Revenue               | \$1,500.00   | -\$154.98       | \$3,207.76     | \$1,707.76    | 214%        |
| 10-3350-0200                      | Sale Of Fixed Assets                | \$3,300.00   | \$0.00          | \$0.00         | -\$3,300.00   | 0%          |
| 10-3350-0300                      | Downtown Contributions              | \$0.00       | \$285.00        | \$2,413.58     | \$2,413.58    | #DIV/0!     |
| 10-3350-0400                      | Dinner on Main Street               | \$7,500.00   | \$7,045.42      | \$7,045.42     | -\$454.58     | 94%         |
| 10-3350-0500                      | Farmer's Market                     | \$3,000.00   | \$0.00          | \$410.00       | -\$2,590.00   | 14%         |
| 10-3350-0600                      | Food Truck Festival                 | \$2,500.00   | \$300.00        | \$6,348.50     | \$3,848.50    | 254%        |
| 10-3350-0800                      | Glow Party                          | \$0.00       | \$0.00          | \$8,049.00     | \$8,049.00    | #DIV/0!     |
| 10-3360-0000                      | Rental/Lease Income                 | \$16,200.00  | \$3,034.14      | \$25,084.14    | \$8,884.14    | 155%        |
| 10-3350-0700                      | Bench Purchase                      | \$0.00       | \$0.00          | \$2,700.00     | \$2,700.00    | #DIV/0!     |
| 10-3370-0000                      | Franchise Tax - Utilities           | \$107,000.00 | \$0.00          | \$81,668.34    | -\$25,331.66  | 76%         |
| 10-3375-0000                      | Solid Waste Disposal Tax            | \$1,250.00   | \$285.82        | \$1,053.02     | -\$196.98     | 84%         |
| 10-3410-0000                      | Beer & Wine Tax Distribution        | \$7,500.00   | \$6,502.84      | \$6,612.84     | -\$887.16     | 88%         |
| 10-3412-4100                      | Copies                              | \$0.00       | \$0.00          | \$4.30         | \$4.30        |             |
| 10-3440-0000                      | Powell Bill Revenue                 | \$43,970.00  | \$0.00          | \$43,899.90    | -\$70.10      | 100%        |
| 10-3450-0000                      | Local Option Sales Tax              | \$446,310.00 | \$34,605.24     | \$416,473.74   | -\$29,836.26  | 93%         |
| 10-3510-0000                      | Court Costs, Fees, & Charges        | \$200.00     | \$13.50         | \$261.00       | \$61.00       | 131%        |
| 10-3550-0000                      | Planning/Zoning Fees                | \$2,000.00   | \$580.00        | \$2,730.00     | \$730.00      | 137%        |
| 10-3590-0000                      | Solid Waste Fees                    | \$68,000.00  | \$6,082.70      | \$63,990.97    | -\$4,009.03   | 94%         |
| 10-3610-0000                      | Cemetery-Plot Sales                 | \$5,000.00   | \$0.00          | \$8,700.00     | \$3,700.00    | 174%        |
| 10-3650-0300                      | Facilities Rental                   | \$0.00       | \$0.00          | \$25.00        | \$25.00       | 0%          |
| 10-3690-0000                      | Encumbered Fund Balance             | \$85,530.00  | \$0.00          | \$0.00         | -\$85,530.00  | 0%          |
| 10-3695-0000                      | Powel Bill Fund Balance Approp.     | \$144,000.00 | \$0.00          | \$0.00         | -\$144,000.00 | 0%          |
| 10-3370-0000                      | TDA - Administrative Cost           | \$500.00     | \$0.00          | \$831.07       | \$331.07      | 166%        |
| 10-3370-1000                      | TDA Project Contributions           | \$2,700.00   | \$0.00          | \$0.00         | -\$2,700.00   | 0%          |
| 10-3370-2000                      | County TDA Project Contributions    | \$2,600.00   | \$0.00          | \$2,666.67     | \$66.67       | 103%        |
| 10-3831-4910                      | Interest On Investments             | \$9,500.00   | \$564.85        | \$6,150.09     | -\$3,349.91   | 65%         |
| 10-3831-4915                      | Interest on Controlled Substance    | \$0.00       | \$0.02          | \$0.11         | \$0.11        |             |
| 10-3831-4916                      | Interest on Powell Bill Investments | \$1,500.00   | \$1.35          | \$562.92       | -\$937.08     | 38%         |
| 10-3831-4920                      | Contributions & Donations           | \$0.00       | \$0.00          | \$0.00         | \$0.00        | 0%          |
| 10-3837-1000                      | ABC Law Enforcement Cont.           | \$1,400.00   | \$0.00          | \$2,091.00     | \$691.00      | 149%        |
| 10-3837-1100                      | ABC Store Profit Sharing            | \$35,000.00  | \$0.00          | \$35,000.00    | \$0.00        | 100%        |
| 10-3837-2000                      | Donations Law Enforcement           | \$0.00       | \$0.00          | \$105.60       | \$105.60      | 0%          |
| 10-3837-3000                      | Grant Proceeds - Law Enforcement    | \$24,500.00  | \$0.00          | \$2,087.51     | -\$22,412.49  | 0%          |
| 10-3837-3000                      | Grants                              | \$0.00       | \$0.00          | \$0.00         | \$0.00        | 0%          |
| 10-3838-4950                      | Reimbursement for Services          | \$15,000.00  | \$0.00          | \$9,057.34     | -\$5,942.66   | 60%         |
| 10-3850-0850                      | Misttotee Market                    | \$0.00       | \$0.00          | \$2,300.00     | \$2,300.00    |             |
| 10-3900-0100                      | Loan Proceeds                       | \$0.00       | \$0.00          | \$0.00         | \$0.00        | 0%          |
| Total Revenues: (10) General Fund |                                     | \$1,872,090  | \$82,662.51     | \$1,582,437.53 | -\$289,652.47 | 85%         |

| <b>10 Fund Status Summary</b>         |  | Budget      | Period Activity | Year to Date   |
|---------------------------------------|--|-------------|-----------------|----------------|
| Total Expenditures: (10) General Fund |  | \$1,872,090 | \$145,257.98    | \$1,742,278.32 |
| Total Revenues: (10) General Fund     |  | \$1,872,090 | \$82,662.51     | \$1,582,437.53 |
| Revenues Over/(Under) Expenditures    |  | \$0         | (\$62,595)      | (\$159,840.79) |

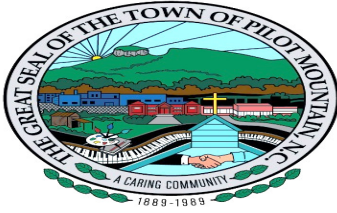
# Town of Pilot Mountain Budget Reports as of May 2019

## 60 - Enterprise Fund

| Expenditures                             |                      |              |                 |              |             |         |
|------------------------------------------|----------------------|--------------|-----------------|--------------|-------------|---------|
|                                          | Department           | Budget       | Period Activity | Year to Date | Balance     | % Spent |
| 60-7000:                                 | General              | \$137,720.00 | \$29,312.41     | \$113,462.61 | \$24,257.39 | 82%     |
| 60-7700                                  | Water Administration | \$115,680.00 | \$7,289.11      | \$115,950.98 | -\$270.98   | 100%    |
| 60-7810:                                 | Water Treatment      | \$212,090.00 | \$14,374.33     | \$198,617.01 | \$13,472.99 | 94%     |
| 60-7815:                                 | WWTP                 | \$205,550.00 | \$17,832.39     | \$180,777.23 | \$24,772.77 | 88%     |
| 60-7820                                  | Line Maintenance     | \$264,150.00 | \$9,156.29      | \$236,186.14 | \$27,963.86 | 89%     |
| Total Expenditures: (60) Enterprise Fund |                      | \$935,190.00 | \$77,964.53     | \$844,993.97 | \$90,196.03 | 90%     |

| Revenues                             |                            |              |                 |              |               |             |
|--------------------------------------|----------------------------|--------------|-----------------|--------------|---------------|-------------|
|                                      | Account                    | Budget       | Period Activity | Year to Date | Uncollected   | % Collected |
| 60-3290-0000                         | Interest on Investments    | \$0.00       | \$0.00          | \$0.00       | \$0.00        | 0%          |
| 60-3350-0000                         | Miscellaneous Revenue      | \$280.00     | \$0.00          | \$264.00     | -\$16.00      | 94%         |
| 60-3350-0001                         | Sale Of Fixed Assets       | \$0.00       | \$0.00          | \$6,306.00   | \$6,306.00    | 0%          |
| 60-3360-0000                         | Insurance Proceeds         | \$0.00       | \$0.00          | \$0.00       | \$0.00        | 0%          |
| 60-3361-0000                         | Bad Debt Recoveries        | \$0.00       | \$272.01        | \$1,219.71   | \$1,219.71    | 0%          |
| 60-3710-0000                         | Charges For Water          | \$485,000.00 | \$41,367.32     | \$424,390.70 | -\$60,609.30  | 88%         |
| 60-3710-0100                         | Charges For Sewer          | \$360,000.00 | \$31,804.13     | \$309,629.05 | -\$50,370.95  | 86%         |
| 60-3710-0200                         | Infrastructure Fee         | \$0.00       | \$0.00          | \$0.00       | \$0.00        | 0%          |
| 60-3710-0500                         | Returned Check Fee         | \$500.00     | \$60.00         | \$450.00     | -\$50.00      | 0%          |
| 60-3710-0600                         | Service Initiation Fee     | \$2,000.00   | \$327.50        | \$2,545.00   | \$545.00      | 127%        |
| 60-3710-5100                         | Bulk Sale Of Water         | \$2,000.00   | \$47.50         | \$1,321.68   | -\$678.32     | 0%          |
| 60-3720-0000                         | Late Fee                   | \$12,000.00  | \$1,524.69      | \$13,346.66  | \$1,346.66    | 111%        |
| 60-3730-0000                         | Tap/Connection Fee         | \$7,500.00   | \$0.00          | \$1,659.68   | -\$5,840.32   | 22%         |
| 60-3750-0000                         | Delinquent Fees            | \$8,000.00   | \$1,525.76      | \$11,767.70  | \$3,767.70    | 147%        |
| 60-3890-9995                         | Transfer from General Fund | \$0.00       | \$0.00          | \$0.00       | \$0.00        | 0%          |
| 60-3890-9996                         | Transfer from Capital Res. | \$68,520.00  | \$0.00          | \$68,520.00  | \$0.00        | 100%        |
| 60-3900-0100                         | Loan Proceed               | \$0.00       | \$0.00          | \$0.00       | \$0.00        | 0%          |
| 60-3990-0000                         | Encumbered Fund Balance    | \$0.00       | \$0.00          | \$0.00       | \$0.00        | 0%          |
| Total Revenues: (60) Enterprise Fund |                            | \$945,800    | \$76,928.91     | \$841,420.18 | -\$104,379.82 | 89%         |

| 60 Fund Status Summary              | Budget       | Period Activity | Year to Date |
|-------------------------------------|--------------|-----------------|--------------|
| Total Expenditures: (60) Enterprise | \$935,190.00 | \$77,964.53     | \$844,993.97 |
| Total Revenues: (60) Enterprise     | \$945,800.00 | \$76,928.91     | \$841,420.18 |
| Revenues Over/(Under) Expenditures  | \$10,610.00  | (\$1,035.62)    | (\$3,573.79) |



# TOWN OF PILOT MOUNTAIN

Monthly Financial Dashboard

FISCAL YEAR ENDING June 30, 2019

Reporting Period: May 1-May 31 2019

## OUR CASH AND INVESTMENTS

Balances on February 28, 2019, in whole dollars

### CASH & INVESTMENTS BY FUND

#### GENERAL FUND

|                           | May 2018          | May 2019          |
|---------------------------|-------------------|-------------------|
| Central Depository        | \$ 266,057        | \$ 266,057        |
| NCCMT                     | 2,127             | 2,127             |
| NCCMT-Powell Bill         | 478               | 478               |
| NCCMT-Term Account        | 259,967           | 259,967           |
| Police Drug Forfeiture    | 2,195             | 2,195             |
| Centura Bank CD           | 25,031            | 25,031            |
| Fiduciary Funds           | 63,422            | 63,499            |
| <b>TOTAL GENERAL FUND</b> | <b>\$ 619,277</b> | <b>\$ 619,354</b> |

#### OTHER FUNDS

|                          | May 2018           | May 2019            |
|--------------------------|--------------------|---------------------|
| Water & Sewer Fund       | \$ (1,327)         | \$ (1,327)          |
| NCCMT-Water/Sewer        | \$ 3,412           | \$ 3,412            |
| Water Meter CP           | \$ 88              | \$ 9,059            |
| Interconnection CP       | \$ (37,400)        | \$ (3,900)          |
| Landfill Project CIP     | \$ 939             | \$ (11,026)         |
| Lola Lane CP             | N/A                | \$3,286             |
| Water Treatment Upgrade  | N/A                | (\$121,200)         |
| Streetscape Project      | N/A                | \$38,607            |
| Sunset Sewer Project     | N/A                | (\$153,224)         |
| Street Resurfacing       | N/A                | \$22,904            |
| Capital Reserve          | \$ 3,385           | \$ 3,385            |
| <b>TOTAL OTHER FUNDS</b> | <b>\$ (30,902)</b> | <b>\$ (210,023)</b> |

#### TOTAL CASH & INVESTMENTS TOWN-WIDE

|           | May 2018   | May 2019   |
|-----------|------------|------------|
| ALL FUNDS | \$ 588,374 | \$ 409,331 |

## OUR CASH FLOWS...

| GENERAL FUND REVENUES & EXPENDITURES                   | Comparison of FYTD % |                     |
|--------------------------------------------------------|----------------------|---------------------|
|                                                        | Prior FYTD %         | Current FYTD %      |
| <b>Fiscal Year Budget</b>                              | <b>\$ 1,813,180</b>  | <b>\$ 1,869,590</b> |
| Revenues Fiscal Year to Date                           | 82.00%               | 85.00%              |
| Expenses Fiscal Year to Date                           | 87.93%               | 93.19%              |
| <b>WATER &amp; SEWER ENTERPRISE FUND</b>               |                      |                     |
| <b>Fiscal Year Budget</b>                              | <b>\$ 964,700</b>    | <b>\$ 935,190</b>   |
| Revenues Fiscal Year to Date                           | \$ 841,420 86.97%    | \$ 884,994 93.19%   |
| Expenses Fiscal Year to Date                           | \$ 844,994 92.69%    | \$ 884,994 90.36%   |
| <b>LANDFILL REHAB PROJECT</b>                          |                      |                     |
| <b>Project Budget</b>                                  | <b>\$ 10,000</b>     | <b>\$ 93,554</b>    |
| Revenues Project to Date                               | \$ 77,657 95.88%     | \$ 89,817 96.01%    |
| Expenses Project to Date                               | \$ 89,817 89.94%     | \$ 89,817 96.01%    |
| <b>Water Treatment Upgrade Project</b>                 |                      |                     |
| <b>Project Budget</b>                                  | <b>N/A</b>           | <b>\$ 3,978,000</b> |
| Revenues Project to Date                               | N/A                  | 0.00%               |
| Expenses Project to Date                               | \$ (121,200) N/A     | \$ -3.05%           |
| <b>Sunset Sewer Rehabilitation Project</b>             |                      |                     |
| <b>Project Budget</b>                                  | <b>N/A</b>           | <b>\$ 2,573,038</b> |
| Revenues Project to Date                               | 44,254 N/A           | 1.72%               |
| Expenses Project to Date                               | \$ (153,224) N/A     | -5.95%              |
| <b>WATER &amp; SEWER INTERCONNECTION STUDY PROJECT</b> |                      |                     |
| <b>Project Budget</b>                                  | <b>\$ 100,000</b>    | <b>\$ 100,000</b>   |
| Revenues Project to Date                               | \$ 87,000 54%        | \$ 87,000 87%       |
| Expenses Project to Date                               | \$ 90,900 68%        | \$ 90,900 91%       |

## SPECIFIC REVENUE COLLECTIONS AT A GLANCE...

|                                                   | Comparison of FY % |                    |
|---------------------------------------------------|--------------------|--------------------|
|                                                   | Prior FY %         | Current FY %       |
| <b>AD VALOREM PROPERTY TAX</b>                    |                    |                    |
| <b>Fiscal Year Budget</b>                         | <b>\$ 812,500</b>  | <b>\$ 834,280</b>  |
| Revenues this Month                               | \$ 22,700 3.23%    | \$ 22,700 2.72%    |
| Revenues FYTD                                     | \$ 839,706 99.12%  | \$ 839,706 100.65% |
| <b>SALES &amp; USE TAX</b>                        |                    |                    |
| <b>Fiscal Year Budget</b>                         | <b>\$ 440,000</b>  | <b>\$ 446,310</b>  |
| Revenues this Month                               | \$ 34,605 6.95%    | \$ 34,605 7.75%    |
| Revenues FYTD                                     | \$ 416,474 89.59%  | \$ 416,474 93.31%  |
| <b>UTILITY FRANCHISE TAX</b>                      |                    |                    |
| <b>Fiscal Year Budget</b>                         | <b>\$ 117,500</b>  | <b>\$ 107,000</b>  |
| Revenues this Month                               | \$ - 0.00%         | \$ - 0.00%         |
| Revenues FYTD                                     | \$ 81,668 67.51%   | \$ 81,668 76.33%   |
| <b>REFUSE COLLECTION FEES</b>                     |                    |                    |
| <b>Fiscal Year Budget</b>                         | <b>\$ 66,150</b>   | <b>\$ 68,000</b>   |
| Revenues this Month                               | \$ 6,083 8.70%     | \$ 6,083 8.95%     |
| Revenues FYTD                                     | \$ 63,991 93.40%   | \$ 63,991 94.10%   |
| <b>SALES &amp; SERVICES</b>                       |                    |                    |
| <b>Fiscal Year Budget</b>                         | <b>\$ 27,700</b>   | <b>\$ 41,500</b>   |
| Revenues this Month                               | \$ 8,614 16.49%    | \$ 8,614 20.76%    |
| Revenues FYTD                                     | \$ 45,571 129.24%  | \$ 45,571 109.81%  |
| <b>WATER &amp; SEWER ENTERPRISE FUND REVENUES</b> |                    |                    |
| <b>Fiscal Year Budget</b>                         | <b>\$ 972,770</b>  | <b>\$ 945,800</b>  |
| Revenues this Month                               | \$ 76,929 12.37%   | \$ 76,929 8.13%    |
| Revenues FYTD                                     | \$ 841,420 86.97%  | \$ 841,420 88.96%  |

## EXPENDITURES AT A GLANCE...

| GENERAL FUND DEPARTMENTS                 | Comparison of Monthly Expenses |                       |                         |
|------------------------------------------|--------------------------------|-----------------------|-------------------------|
|                                          | Fiscal Year 2019 Budget        | YTD Expenses Prior FY | YTD Expenses Current FY |
| Governing Body                           | \$ 66,780                      | \$ 115,386            | \$ 82,513               |
| Administration                           | 299,010                        | 266,949               | 249,127                 |
| Community & Economic D                   | 32,600                         | 20,719                | 23,554                  |
| Downtown Revitalization                  | 110,870                        | 33,401                | 91,289                  |
| Police Dept                              | 689,670                        | 577,373               | 667,256                 |
| Street Dept                              | 157,550                        | 109,317               | 139,249                 |
| Powell Bill                              | 145,000                        | 40,111                | 141,506                 |
| Sanitation                               | 212,240                        | 232,571               | 202,134                 |
| Pilot Center                             | 19,060                         | 60,234                | 22,641                  |
| Library                                  | 44,140                         | 62,116                | 40,175                  |
| Debt Service                             | 49,620                         | 40,805                | 49,614                  |
| Non Departmental                         | 43,050                         | 38,075                | 33,220                  |
|                                          | <b>\$ 1,869,590</b>            | <b>\$ 1,597,057</b>   | <b>\$ 1,742,278</b>     |
| <b>Fiscal Year Budget</b>                | <b>\$ 1,813,180</b>            | <b>\$ 1,869,590</b>   | <b>\$ 1,869,590</b>     |
| YTD % of Annual Budget Expended          |                                | 88.08%                | 93.19%                  |
| <b>WATER &amp; SEWER ENTERPRISE FUND</b> |                                |                       |                         |
| General                                  | \$ 137,720                     | \$ 150,779            | \$ 113,463              |
| Water/Sewer Administration               | 115,680                        | \$ 95,615             | \$ 115,951              |
| Production                               | 212,090                        | \$ 218,424            | \$ 198,617              |
| WWTP                                     | 205,550                        | \$ 165,727            | \$ 180,777              |
| Line Maintenance                         | 264,150                        | \$ 269,173            | \$ 236,186              |
|                                          | <b>\$ 935,190</b>              | <b>\$ 899,718</b>     | <b>\$ 844,994</b>       |
| <b>Fiscal Year Budget</b>                | <b>\$ 970,711</b>              | <b>\$ 935,190</b>     | <b>\$ 935,190</b>       |
| YTD % of Annual Budget Expended          |                                | 92.69%                | 90.36%                  |

**MONTHLY STATUS REPORT OF  
OPERATION FOR THE PILOT MOUNTAIN  
WASTEWATER TREATMENT PLANT**

**MONTH: April**

**YEAR: 2019**

**OPERATIONS:**

|                                         |             |                         |             |
|-----------------------------------------|-------------|-------------------------|-------------|
| <b>MILLION GALLONS OF WATER TREATED</b> | <b>6.00</b> | <b>PERMIT LIMIT MGD</b> | <b>.500</b> |
| <b>AVERAGE DAILY VOLUME TREATED</b>     | <b>.200</b> |                         |             |
| <b>TOTAL RAINFALL INCHES</b>            | <b>4.70</b> |                         |             |

**CHEMICALS USED:**

|                        |                   |
|------------------------|-------------------|
| <b>CHLORINE/BLEACH</b> | <b>70 Gallons</b> |
| <b>POLYMER</b>         | <b>0 Gallons</b>  |

**CHEMICAL ANALYSIS:**

| <b>Parameter</b>        | <b>Permit Limits</b>             | <b>Monthly Results</b> |
|-------------------------|----------------------------------|------------------------|
| <b>BOD</b>              | <b>30 max. avg. monthly</b>      | <b>7.95</b>            |
| <b>TSS</b>              | <b>30 max. avg. monthly</b>      | <b>8.98</b>            |
| <b>D.O.</b>             | <b>5 minimum avg. daily eff.</b> | <b>9.69</b>            |
| <b>Fecal Coliform</b>   | <b>200 max. avg. monthly</b>     | <b>3.40</b>            |
| <b>Ammonia-Nitrogen</b> | <b>28.6 max. avg. monthly</b>    | <b>1.90</b>            |

**We are in compliance with all permit requirements, including passing our quarterly Bioassay.**

| Date Exported  | Work Type                | Total | Complete | New Request |
|----------------|--------------------------|-------|----------|-------------|
| 6/3/2019 10:44 | Brush                    | 7     | 1        | 6           |
| 6/3/2019 10:44 | Clean Ditch              | 1     | 1        | 0           |
| 6/3/2019 10:44 | Culvert Repair           | 1     | 0        | 1           |
| 6/3/2019 10:44 | Cut Off                  | 1     | 1        | 0           |
| 6/3/2019 10:44 | Cut On                   | 6     | 6        | 0           |
| 6/3/2019 10:44 | Grounds Maintenance      | 1     | 0        | 1           |
| 6/3/2019 10:44 | Hydrant Flushing         | 3     | 3        | 0           |
| 6/3/2019 10:44 | Meter Check              | 2     | 2        | 0           |
| 6/3/2019 10:44 | Misc. Repair             | 1     | 0        | 1           |
| 6/3/2019 10:44 | Sewer Blockage City Main | 1     | 0        | 1           |
| 6/3/2019 10:44 | Sewer Investigate        | 1     | 1        | 0           |

**Pilot Mountain Police Department  
Monthly Report for May 2019**

**Accidents**

5/2/2019 801 W Main St  
 5/4/2019 650 S Key St (H&R)  
 5/8/2019 111 E 52 Byp  
 5/9/2019 615 E 52 Byp  
 5/10/2019 204 W Main St  
 5/16/2019 605 E 52 Byp  
 873 W 52 Byp  
 5/19/2019 731 S Key St  
 5/23/2019 W Main St/ Depot St  
 5/29/2019 204 W Main St

|                         | <b><u>TOTAL</u></b> | <b><u>AMOUNT</u></b> | <b><u>RECOVERED</u></b> |
|-------------------------|---------------------|----------------------|-------------------------|
| Police Service          | 252                 |                      |                         |
| Security Checks         | 5,552               |                      |                         |
| Wrecks Investigated     | 10                  | \$ 50,400.00         |                         |
| Assaults                | 0                   |                      |                         |
| Larcenies               | 7                   | \$ 30,754.67         |                         |
| Disturbances/Domestic   | 9                   |                      |                         |
| Burglar Alarms          | <b>11</b>           |                      |                         |
| Breaking & Entering     | 0                   | \$ -                 |                         |
| MIP & Property Damage   | 2                   | \$ 302.00            |                         |
| Traffic Citations       | 25                  |                      |                         |
| Intoxicated Drivers     | 0                   |                      |                         |
| Intoxicated Pedestrians | 1                   |                      |                         |
| Forgery                 | 0                   |                      |                         |
| Armed Robbery           | 0                   |                      |                         |
| Drug Charges            | 0                   |                      |                         |
| Other Crimes            | 13                  |                      |                         |
| Total Arrests           | <u>7</u>            |                      |                         |
| <b>Totals:</b>          | <b>5,889</b>        | <b>\$ 81,456.67</b>  | <b>\$ -</b>             |
|                         |                     |                      |                         |

**Other**

5/8/2019 Served OFA  
 5/15/2019 Served OFA X 2, served WFA and Served Fugitive WFA  
 5/24/2019 Served OFA  
 5/28/2019 Served OFA X 3  
 5/30/2019 Served OFA X 4

**Notes:**

05/01 & 05/02/2019 Capt Jackson taught BLET  
 05/02 & 05/03/2019 Ptl Chrismon attended Radar Recertification class  
 5/4/2019 All officers worked the Cruise In  
 05/06 thru 05/10/2019 Ptl Monteith attended Intoxilyzer School  
 05/10 thru 05/12/2019 All Staff worked Mayfest  
 5/11/2019 All officers worked the Women's Club 5K Run  
 5/13/2019 Chief Bottoms & Capt Jackson attended the Town Board Meeting  
 05/14 & 05/15/2019 Capt Jackson taught BLET  
 5/18/2019 Officers assisted with Movie Night & Farmer's Market  
 05/20 thru 05/31/2019 Officer's worked the GHSP  
 5/30/2019 Capt Jackson taught BLET