

**TENTATIVE AGENDA & MEETING NOTICE
BOARD OF COUNTY COMMISSIONERS**

**TUESDAY, JUNE 4, 2013
8:30 A.M.**

**WATAUGA COUNTY ADMINISTRATION BUILDING
COMMISSIONERS' BOARD ROOM**

TIME	#	TOPIC	PRESENTER	PAGE
8:30	1	CALL REGULAR MEETING TO ORDER		
	2	APPROVAL OF MINUTES: May 21, 2013, Regular Meeting May 21, 2013, Closed Session		1
	3	APPROVAL OF THE JUNE 4, 2013 AGENDA		13
8:35	4	ADOPTION OF THE FISCAL YEAR 2014 BUDGET ORDINANCE	MR. DERON GEOUQUE	15
8:40	5	SHERIFF'S OFFICE MATTERS	SHERIFF HAGAMAN	
	A.	Request to Reassign Competent Correctional Care, Inc. Contract to JLW Enterprises, Inc.		27
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8:45	6	ECONOMIC DEVELOPMENT COMMISSION (EDC) FUNDING RECOMMENDATION	MR. ROB HUDSPETH MR. TIM FORD	53
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9:00	9	FINANCE MATTERS	MS. MARGARET PIERCE	
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9:05	10	MISCELLANEOUS ADMINISTRATIVE MATTERS	MR. DERON GEOUQUE	
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10:15	13	CLOSED SESSION Attorney/Client Matters – G. S. 143-318.11(a)(3)		388
10:30	14	ADJOURN		

AGENDA ITEM 2:

APPROVAL OF MINUTES:

May 21, 2013, Regular Meeting

May 21, 2013, Closed Session

DRAFT**MINUTES****WATAUGA COUNTY BOARD OF COMMISSIONERS
TUESDAY, MAY 21, 2013**

The Watauga County Board of Commissioners held a regular meeting on Tuesday, May 21, 2013, at 5:30 P.M. in the Commissioners' Board Room of the Watauga County Administration Building, Boone, North Carolina.

PRESENT: Nathan Miller, Chairman
David Blust, Vice-Chairman
Billy Kennedy, Commissioner
John Welch, Commissioner
Perry Yates, Commissioner
Stacy Eggers, IV, County Attorney
Deron Geouque, County Manager
Anita J. Fogle, Clerk to the Board

Chairman Miller called the meeting to order at 5:31 P.M.

[Clerk's Note: Vice-Chairman Blust arrived at 5:32 P.M.]

Commissioner Yates opened the meeting with a prayer and Commissioner Welch led the Pledge of Allegiance.

APPROVAL OF MINUTES

Chairman Miller called for additions and/or corrections to the May 7, 2013, regular meeting and closed session minutes.

Commissioner Yates, seconded by Commissioner Kennedy, moved to approve the May 7, 2013, regular meeting minutes as presented.

VOTE: Aye-5
Nay-0

Commissioner Yates, seconded by Commissioner Kennedy, moved to approve the May 7, 2013, closed session minutes as presented.

VOTE: Aye-5
Nay-0

APPROVAL OF AGENDA

Chairman Miller called for additions and/or corrections to the May 21, 2013, agenda.

Commissioner Kennedy, seconded by Commissioner Yates, moved to approve the May 21, 2013, agenda as presented.

VOTE: Aye-5
Nay-0

REQUEST TO REASSIGN COMPETENT CORRECTIONAL CARE, INC., CONTRACT TO JLW ENTERPRISES, INC.

County Manager Geouque stated that the County currently contracted with Competent Correctional Care, Inc. for inmate medical services. Per the Sheriff, Competent Correctional Care, Inc., was willing to assign their contract to JLW Enterprises, Inc. The County Attorney prepared an assignment agreement in which both Competent Correctional Care, Inc. and JLW Enterprises, Inc. have signed and required Board approval to authorize the assignment. The Sheriff was informed that there would be no changes in the terms and conditions of the existing contract or services due to the assignment to JLW Enterprises, Inc. All medical staff was to remain the same. The Sheriff supported and recommended Board approval of the assignment.

Commissioner Yates moved to table consideration until the June 4, 2013, meeting to allow the Sheriff to be present for questions.

Chairman Miller tabled the request until the June 4, 2013, meeting.

PRESENTATION OF THE GOVERNOR'S PROCLAMATION OF ELDER ABUSE AWARENESS MONTH 2013

Mr. Jim Atkinson, Social Services Director, along with Ms. Angie Boitnotte, Project on Aging Director, and Ms. Betsy Richards, Social Services Adult Protective Services Supervisor, presented a proclamation from Governor McCrory declaring May 10th through June 17th, 2013 as "Elder Abuse Protection Month" in North Carolina.

Chairman Miller stated that the County prepared a similar proclamation for consideration of adoption.

Commissioner Kennedy, seconded by Commissioner Welch, moved to adopt the proclamation as presented.

VOTE: Aye-5
Nay-0

PROPOSED COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG) PLANS AND POLICIES FOR THE 2012 SCATTERED SITE HOUSING PROGRAM

Mr. Joe Furman, Planning and Inspections Director, presented the following proposed ordinance, policies, and resolutions that were required by the Division of Community Assistance for the Community Development Block Grant (CDBG) funds for the 2012 Scattered Site Housing program:

- A. 504 Grievance Procedure
- B. Citizen Participation Plan
- C. Code of Conduct Resolution
- D. Complaint Procedure
- E. Equal Employment & Procurement Plan
- F. Fair Housing Complaint Procedure
- G. Fair Housing Plan
- H. Fair Housing Resolution
- I. Language Access Plan
- J. Optional Coverage Relocation Benefit Policy
- K. Optional Coverage Relocation Plan Resolution
- L. Policy Definitions
- M. Procurement Policy
- N. Project Ordinance – Watauga 2012 SSH
- O. Residential Anti-displacement and Relocation Plan
- P. Section 3 Plan – New
- Q. Watauga 2012 SSH Admin Contract

Mr. Furman stated that Item L: Policy Definitions was an information document that did not require approval. Items A-K, M, O, and P could be approved with one motion.

Commissioner Kennedy, seconded by Commissioner Welch, moved to approve the following documents as presented by Mr. Furman:

- A. 504 Grievance Procedure
- B. Citizen Participation Plan
- C. Code of Conduct Resolution
- D. Complaint Procedure
- E. Equal Employment & Procurement Plan
- F. Fair Housing Complaint Procedure
- G. Fair Housing Plan
- H. Fair Housing Resolution
- I. Language Access Plan
- J. Optional Coverage Relocation Benefit Policy
- K. Optional Coverage Relocation Plan Resolution
- M. Procurement Policy
- O. Residential Anti-displacement and Relocation Plan
- P. Section 3 Plan – New

VOTE: Aye-5
Nay-0

Commissioner Kennedy, seconded by Commissioner Yates, moved to adopt the Project Ordinance (Item N) as presented by Mr. Furman.

VOTE: Aye-5
Nay-0

In addition to the ordinance, policies, and resolutions requiring adoption, Item Q: Watauga 2012 SSH Admin Contract was with the High Country Council of Governments for the administration of the grant. Ms. Michelle Ball with the High Country Council of Governments was present.

Vice-Chairman Blust, seconded by Commissioner Yates, moved to approve the Watauga 2012 SSH (Item Q) Admin Contract with the High Country Council of Governments for the administration of the grant.

VOTE: Aye-5
Nay-0

PROPOSED CONTRACT WITH MCGILL ASSOCIATES FOR DUE DILIGENCE AND PRELIMINARY ENGINEERING ANALYSIS FOR THE PROSPECTIVE COMMERCE PARK ON NC HWY 194

Mr. Joe Furman presented a contract negotiated with McGill Associates for due diligence and preliminary engineering analysis for the prospective business park property on NC Highway 194N. The scope of work included a boundary survey. Mr. Furman stated that the County Attorney had reviewed the contract and recommended striking Paragraph 9, which limited McGill's liability to no more than their fee of \$52,085; and Paragraph 14, indemnifying McGill Associates which a governmental entity may not do.

Commissioner Kennedy, seconded by Vice-Chairman Blust, moved to approve the contract with McGill Associates in the amount of \$52,085 for due diligence and preliminary engineering analysis and striking paragraph nine (9) and fourteen (14) from the proposed contract.

VOTE: Aye-4(Miller, Blust, Kennedy, Yates)
Nay-1(Welch)

PUBLIC HEARINGS TO ALLOW CITIZEN COMMENT ON THE FOLLOWING:

A. Proposed Budget for FY 2014

Commissioner Yates, seconded by Commissioner Welch, moved to declare the public hearing open at 6:00 P.M. to allow citizen comment on Proposed Budget for FY 2014.

VOTE: Aye-5
Nay-0

The following changes were made to the FY 2014 Manager's Recommended Budget due to recent budget work sessions:

Revenues		
Occupancy Tax Admin Collection Fees	increase	\$300

Expenditures		
Governing Body	decrease salary and benefits	\$815
Information Technology	increase	\$10,000
Maintenance, Parks/Fields	increase	\$15,000
Special Allocations:		
Children's Playhouse	increase	\$2,500
Foscoe Community Center	increase	\$1,000
Valle Crucis Park	decrease	\$1,000
Green Valley Park	decrease	\$6,000
Foster Grandparent Program	decrease	\$1,100
WeCAN	increase	\$1,500
Hunger and Health Coalition	decrease	\$8,000
Community Care Clinic	decrease	\$5,500
Mountain Alliance	decrease	\$6,300
Western Youth Network	decrease	\$3,300

Transfers		
To Department of Social Services	decrease	\$15,814
To Capital Projects	increase	\$17,829

The following individuals addressed the Board, speaking on behalf of their organization, regarding the recommended budget:

Fred Martin, Valle Crucis Park
 Flare Ammerman, Mountain Alliance
 Carrie Gummerson, Mountain Alliance
 Mark Gould, Mountain Alliance
 Chris Turner, AppalCART
 Jennifer Herman, OASIS
 Allison Jennings, Hospitality House
 Melissa Selby, Community Care Clinic
 Christy Welch, non-profits
 Melissa Soto, W.A.M.Y. Community Action
 Amy Michael, Mountain Alliance
 William Hutchins, Green Valley Park
 Melanie Childers (on behalf of Christina May), Hospitality House
 Justin Ashley, Western Youth Network
 Bud Tester (along with sister, Desiree), Western Youth Network
 Todd Carter, Hospitality House
 Sam Zimmerman, non-profits
 Rich Schevren, Hospitality House
 Frank Agate, Foscoe/Grandfather Community Center
 Wes Weaver, Hospitality House
 Monica Caruso, Watauga County Library
 Kay Dixon, Hospitality House

Lynn Stalh, Hospitality House
Kay Borkowski, Hospitality House
Chris Laine, Green Valley Park
Janice Carson, Green Valley Park
David Fonseca, Watauga County Schools
Kelly McCoy, Green Valley Park, Western Youth Network, and Hospitality House
Compton Fortuna, Hunger and Health Coalition

There being no further public comment, Chairman Miller declared the public hearing closed at 7:23 P.M.

Chairman Miller called for a break; after which the meeting resumed at 7:33 P.M.

B. Proposed Abolishment of the Social Services Board

Commissioner Yates, seconded by Commissioner Welch, moved to declare the public hearing open at 7:33 P.M. to allow citizen comment on the proposed abolishment of the Social Services Board which required the adoption of a proposed resolution.

VOTE: Aye-5
Nay-0

The following individuals addressed the Board regarding the proposed abolishment:

Jim Atkinson, Department of Social Services Director
Amy Michael, Social Worker with Watauga County Schools
Annette Ward, Licensed Clinical Social Worker
Gail Hawkinson, Retiree with career in Mental Health and Chair of the Child Protective Team

There being no further public comment, Chairman Miller declared the public hearing closed at 7:49 P.M.

Each Commissioner shared comments regarding the proposed abolishment of the Social Services Board.

Commissioner Welch, seconded by Commissioner Kennedy, moved to deny the resolution and keep the Board of Social Services as is.

VOTE: Aye-2(Kennedy, Welch)
Nay-3(Miller, Blust, Yates)

Commissioner Yates, seconded by Vice-Chairman Blust, moved to assign the duties of hiring the Social Services Director to the Board of Commissioners and keep the current Board in place as an advisory board.

Chairman Miller asked for an amendment to the motion which would include the adoption of the resolution with the clause for an advisory board to be formed, comprised of the current Social Services Board members.

County Attorney Eggers stated that the General Statutes required one of the following two models be used to appoint the Social Services Board:

- Leave the appointment of the Social Services Board as is with the Governor appointing two members, the Board of Commissioners appointing two members, and the Social Services Board appointing the fifth member.
- Change the appointment of the Social Services Board to the Board of Commissioners appointing all five members which would give the Board of Commissioners the authority to hire the Director of Social Services.

The County Attorney further stated that within the later model an advisory board could be appointed by the Board of Commissioners; however, the Board of Commissioners would remain as the Social Services Board of Directors.

The above motion was amended as follows:

Commissioner Yates, seconded by Vice-Chairman Blust, moved to adopt the resolution abolishing the Social Services Board and directed the County Manager and County Attorney to draft a resolution establishing a Social Services Advisory Board with the members to be appointed by the Board of Commissioners with those members to include the members of the recently abolished Social Services Board with staggered terms.

VOTE: Aye-3(Miller, Blust, Yates)
Nay-2(Kennedy, Welch)

C. NC Department of Transportation’s Secondary Roads Program

Commissioner Welch, seconded by Vice-Chairman Blust, moved to declare the public hearing open at 8:18 P.M. to allow citizen comment on the NC Department of Transportation’s Secondary Roads Program.

VOTE: Aye-5
Nay-0

Mr. Ivan Dishman, District Engineer with the DOT, reviewed the program for FY 2013 which included a total allocation of \$467,646.76 for improvements to secondary roads in Watauga County as follows:

<i>I. Paving Unpaved Roads</i>			<i>Programmed Paving Goal: 1.38 Miles</i>	
Increase Funding				
Priority #	State Rd. #	Length (miles)	Road Name & Description	
	SR 1331B	1.38	Roby Greene Road (Partial Funding) from the end of pavement to SR 1332	\$100,000
				<i>Subtotal \$100,000.00</i>

Rural Paving Priority

Priority #	State Rd. #	Length (miles)	Road Name & Description	Est. Cost
7	SR1176	.86	Trivette Circle from US 321 to US 321	\$600,000

Rural Paving Alternates

In the event that any roads in priority have to be placed on the "Hold List" due to unavailable right of way or environmental review, or if additional funding becomes available, funds will be applied to the roads listed in priority order in the paving alternate list.

II. General Secondary Road Improvements

A. Unpaved Road Spot Improvements

SR 1223	SR 1362	SR 1407	SR 1557	SR 1730
SR 1328	SR 1363	SR 1420	SR 1559	SR 1731
SR 1336	SR 1366	SR 1508	SR 1568	SR 1732
SR 1356	SR 1367	SR 1510	SR 1574	SR 1737
SR 1357	SR 1368	SR 1511	SR 1600	SR 1766
SR 1359	SR 1369	SR 1512	SR 1700	SR 1845
SR 1361	SR 1373	SR 1518	SR 1703	Etc.
				Subtotal \$130,000.00

B. Other Paved and Unpaved Road Improvements

Maintenance functions on various roads as needed. Functions may include spot stabilization, paved road improvements, replacement of small bridges with pipes, safety projects, etc.

Est. Cost \$230,000.00

III. Unallocated Funds and Reserves

Funds reserved for surveying, right-of-way acquisition, road additions, contingencies, overdrafts, and paving entrances to certified fire departments, rescue squads, etc.

Subtotal \$60,000.00

Grand Total \$553,562.31

The following individuals addressed the Board regarding concerns of Sampson Road:

Alison Crowe, resident of Sampson Road
 Donna Coffey, resident of Sampson Road

There being no further public comment, Chairman Miller declared the public hearing closed at 8:43 P.M.

After discussion with DOT officials regarding Sampson Road, Vice-Chairman Blust, seconded by Commissioner Yates, moved to approve the NC Department of Transportation’s Secondary Roads Program for FY 2013 with the requested amendment to include Sections A, B, and C of Sampson Road.

VOTE: Aye-5
 Nay-0

MISCELLANEOUS ADMINISTRATIVE MATTERS

A. ASU Greenhouse Lease Proposal

County Manager Geouque stated that at the last Board meeting, preliminary approval was given to extend the lease with the Appalachian State University Foundation for the greenhouse located at the Watauga County Landfill.

Property owned by the County may be leased or rented for such terms and upon such conditions as the Board may determine, for up to ten (10) years. Property may be rented or leased only pursuant to a resolution of the Board authorizing the execution of the lease or rental agreement adopted at a regular Board meeting upon 10 days' public notice. Notice shall be given by publication describing the property to be leased or rented, stating the annual rental or lease payments, and announcing the Board's intent to authorize the lease or rental at its next regular meeting.

Commissioner Yates, seconded by Vice-Chairman Blust, moved to adopt the resolution and approve the 10 days' public notice advertisement.

VOTE: Aye-5
Nay-0

B. Proposed Property & Liability Insurance and Workers Compensation Renewals Request

County Manager Geouque presented the following renewal rates for property and liability insurance and workers compensation: the proposed rate for property and liability was \$247,515 (a \$3,348 increase), and the proposed rate for workers compensation was \$244,243 (a 6.99% increase). The primary reason for the increase in workers compensation was the substantial rise in the rate modifier correlated to past years of claims experience.

Commissioner Kennedy, seconded by Commissioner Welch, moved to accept the renewals for property and liability insurance and workers compensation from the North Carolina Association of County Commissioners (NCACC), in the amounts of \$247,515 and \$244,243, respectively.

VOTE: Aye-5
Nay-0

C. Boards & Commissions

County Manager Geouque stated that the Watauga County Library Board had recommended Ms. Tish Rokoske be appointed to fill an unexpired term on the Regional Library Board. If appointed, her term would end August 2015.

Commissioner Kennedy, seconded by Vice-Chairman Blust, moved to appoint Ms. Tish Rokoske to the Regional Library Board to fill an unexpired term which will end on August 31, 2015.

VOTE: Aye-5
Nay-0

County Manager Geouque stated that biannually, a Jury Commission was empanelled for a two-year term. Of the three member panel, one member was appointed by the Board of Commissioners. The term of Mr. Ted Hagaman was set to expire June 30, 2013. The new term for the appointment would be July 1, 2013, through June 30, 2015.

Commissioner Welch, seconded by Commissioner Yates, moved to reappoint Mr. Ted Hagaman to the Jury Commission for a term beginning July 1, 2013, and ending June 30, 2015.

VOTE: Aye-5
Nay-0

County Manager Geouque stated that three (3) terms were to expire in June on the Economic Development Commission; Mr. Keith Honeycutt, Mr. Mark Harrill and Ms. Jeanine Underdown Collins. Members were limited according to by-laws to serving two (2) consecutive terms. Mr. Honeycutt and Mr. Harrill have both served the two (2) consecutive terms and, therefore, were ineligible for re-appointment. Ms. Collins was eligible for re-appointment, and would like to continue to serve. At the May 7, 2013, Board meeting, Chairman Miller nominated Mr. Joseph Miller with Cheap Joe's Art Stuff. Since the May 7, 2013, meeting Commissioner Kennedy has submitted the nomination of Ms. Evelyn Asher, Coordinator of Caldwell Community College & Technical Institute's Small Business Center. An application was also received from Mr. Robert Olsen stating interest in serving on the EDC.

Commissioner Yates, seconded by Commissioner Welch, moved to reappoint Ms. Jeanine Underdown Collins to the Economic Development Commission as presented.

VOTE: Aye-5
Nay-0

Chairman Miller, seconded by Vice-Chairman Blust, moved to appoint Mr. Joseph Miller to the Economic Development Commission.

VOTE: Aye-5
Nay-0

Chairman Miller tabled the third appointment to the Economic Development Commission to allow for a second reading.

County Manager Geouque stated that the Region D Development Corporation was a Certified Development Company that assisted the US Small Business Administration in delivering small business loans to the region. They also assisted in marketing and packaging loans for small businesses throughout the region. Per their bylaws, each County was required to appoint four persons to serve as members of the Development Corporation in May of each year. Representative categories are local government (1), private lending institution (1), and community organization or a business organization (2). Following is a list of current appointees:

Mr. John Spear (Local Government); Mr. Brian Crutchfield (Community Organization); Mr. Jim Furman (Business Organization); and Mr. Brian Riggins (Private Lending Institution).

Chairman Miller tabled appointments to the Region D Development Corporation as this was a first reading.

D. Announcements

County Manager Geouque stated that the NC Department of Transportation had scheduled a Citizen’s Informational Workshop on Monday, June 3, 2013, from 5:00 P.M. until 7:00 P.M. at the Foscoe Community Center. The topic was to be the replacement of Bridge No. 55 on Shulls Mill Road over Lance Creek near Hound Ears Golf Club (TIP No. B-5118)

PUBLIC COMMENT

Mr. Eric Burgoyne shared an update on Appalachian State University’s (ASU) 2011 Solar Decathlon participation and news that ASU was recently accepted to participate in Solar Decathlon Europe 2014.

CLOSED SESSION

At 8:56 P.M., Vice-Chairman Blust, seconded by Commissioner Welch, moved to enter Closed Session to discuss Personnel Matters, per G. S. 143-318.11(a)(6).

VOTE: Aye-5
Nay-0

Commissioner Yates, seconded by Chairman Miller, moved to resume the open meeting at 9:04 P.M.

VOTE: Aye-5
Nay-0

ADJOURN

Commissioner Yates, seconded by Commissioner Welch, moved to adjourn the meeting at 9:04 P.M.

VOTE: Aye-5
Nay-0

Nathan A. Miller, Chairman

ATTEST:

Anita J. Fogle, Clerk to the Board

AGENDA ITEM 3:

APPROVAL OF THE JUNE 4, 2013, AGENDA

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AGENDA ITEM 4:**ADOPTION OF THE FISCAL YEAR 2014 BUDGET ORDINANCE****MANAGER'S COMMENTS:**

The Fiscal Year 2014 Budget Ordinance is presented for adoption. Below is a list of changes that were requested by the Board and which have been incorporated into the proposed budget:

Revenues		
Occupancy Tax Admin Collection Fees	increase	\$300

Expenditures		
Governing Body	decrease salary and benefits	\$815
Information Technology	increase	\$10,000
Maintenance, Parks/Fields	increase	\$15,000
Special Allocations:		
Children's Playhouse	increase	\$2,500
Foscoe Community Center	increase	\$1,000
Valle Crucis Park	decrease	\$1,000
Green Valley Park	decrease	\$6,000
Foster Grandparent Program	decrease	\$1,100
WeCAN	increase	\$1,500
Hunger and Health Coalition	decrease	\$8,000
Community Care Clinic	decrease	\$5,500
Mountain Alliance	decrease	\$6,300
Western Youth Network	decrease	\$3,300

Transfers		
To Department of Social Services	decrease	\$15,814
To Capital Projects	increase	\$17,829

The Board may approve the proposed budget ordinance as presented, request changes, or schedule an additional work session. North Carolina General Statutes requires the budget be adopted by June 30th.

Board action is requested.

**STATE OF NORTH CAROLINA
COUNTY OF WATAUGA
BUDGET ORDINANCE
FISCAL YEAR 2013/14**

BE IT ORDAINED by the Board of Commissioners of Watauga County, North Carolina, meeting in regular session this 4th day of June, 2013, that the following fund revenues and departmental expenditures, together with certain restrictions and authorizations, are adopted:

<u>SEC. I</u>	<u>GENERAL FUND</u>	
<i>A. Revenues Anticipated:</i>	<u>SOURCE</u>	<u>AMOUNT</u>
<u>Taxes, Ad Valorem</u>	Taxes, FY 2013/14	\$26,898,386
	Taxes, Prior Years	\$500,000
	Tax Advertising & Interest	\$130,000
 <u>Taxes, Other</u>	1% Local Option Sales Tax - 39	\$4,900,041
	1/2% Local Option Sales Tax - 40	\$2,087,905
	1/2% Local Option Sales Tax - 42	\$2,507,489
	Real Prop. Transfer Tax (Excise Stamps)	\$300,000
	ABC Bottle Tax	\$19,000
	Cable TV Franchise Tax	\$325,000
	Gross Receipts Tax - Vehicles	\$30,000
	Gross Receipts Tax - Heavy Equip.	\$4,000
 <u>Intergovernmental Revenues</u>	Payments in Lieu of Taxes	\$20,000
	Court Facilities Fees	\$135,000
 <u>Permits and Fees</u>	Gun Permits	\$5,000
	Serving Civil Summons	\$60,000
	Jail & Officers' Fees	\$20,000
	Drug Fees Awarded By Court	\$2,000
	Gun Storage Fee-Domestic Violence	\$1,000
	Inspection Fees	\$200,000
	Register of Deeds Fees	\$280,000
	Register of Deeds Fees-Supplemental 10% Fee	\$34,000
	Fire Inspection Fees	\$4,000
	Occupancy Tax Collections Fee	\$18,800
	Concealed Weapons Permits	\$27,000
	Concealed Weapons Fingerprints	\$3,000
 <u>Investment Earnings</u>	Interest Earned on Investments	\$60,000
 <u>Restricted Intergovernmental</u>	Emergency Management Grant	\$30,000
	Bulletproof Vests Grant	\$3,000
	Veterans Service Grant	\$1,400
	Soil & Water Conservation Grant	\$3,600
	Soil Technician Cost Share Program	\$22,000
	Juvenile Crime Prevention Council Grant	\$111,170
	Project on Aging	
	-In Home Services	\$12,430
	-Home & Community Care Block Grant	\$250,000
	-Medicaid Reimbursement & Fees	\$80,000
	-Donations	\$18,000
	-USDA	\$24,000
	-Self Supporting Classes	\$10,000
	National Forest Service-Schools	\$575

**STATE OF NORTH CAROLINA
COUNTY OF WATAUGA
BUDGET ORDINANCE
FISCAL YEAR 2013/14**

Functional Revenues

Recreation Program Revenues	
Facility Rentals	\$7,000
Aquatics	\$65,000
Athletics	\$130,000
Special Populations	\$48,000
Special Programs	\$43,000
Senior Games	\$6,000
Donations	\$1,000
Sales & Services	
TDA Financial Services	\$12,000
Blowing Rock Communications Fee	\$167,655
Sales of Tax Maps	\$750
Town Tax Collection Fees	\$98,350
NC DMV Fees	\$90,000
Passport Fees/Photos	\$10,000
Reimbursement for Prisoners	\$6,000
Tag Office Notary Fees	\$25,000
Data Processing	\$200
Sale of Fixed Assets	\$25,000
Election Revenues	\$30,000
Medical Fees-Inmates	\$4,000
Miscellaneous Revenues	
Other Miscellaneous Revenues	\$70,000
Rents	\$175,000
Inmate Phone Commission	\$22,000
Sales Tax Hold Harmless -Medicaid Relief	\$756,414
911 Implementation/Addressing Fee	\$59,525
Sales Tax Agreements with Towns	\$1,300,000
Medical Director	\$12,000
Appropriations of Fund Balance	
Register of Deeds Enhancement Fund	\$17,903

**TOTAL REVENUES-
GENERAL FUND \$42,319,592**

*B. Expenditures Authorized*General Government

Governing Body	\$62,082
Administration	\$326,305
Finance	\$363,777
Tax Administration	\$1,162,583
Tax Revaluation	\$139,515
License Plate Agency	\$155,351
Legal Services	\$50,000
Court Facilities	\$2,400
Elections	\$312,765
Register of Deeds	\$469,190
General Administration	\$1,198,208
Information Technology	\$769,800
Total	\$5,011,976

**STATE OF NORTH CAROLINA
COUNTY OF WATAUGA
BUDGET ORDINANCE
FISCAL YEAR 2013/14**

<u>General Services</u>	Maintenance	\$1,161,955
	Public Buildings	
	-Courthouse	\$124,763
	-East Annex - Rock Building	\$30,481
	-Administration	\$27,861
	-EMS	\$5,500
	-Hannah	\$7,345
	-NRSA Houses	\$1,500
	- Health Department	\$65,762
	-Appalcart	\$6,600
	-Library	\$54,075
	-Old CCC&TI	\$1,735
	-Western Watauga Community Center	\$35,339
	-Parking Lots	\$1,700
	-West Annex	\$48,675
	-Human Services Center	\$109,418
	-Appalachian Enterprise Center	\$17,775
	-Law Enforcement Center	\$203,311
	-Recreation Administration Offices	\$2,000
	-Aquatics Center	\$145,650
	-Optimist/Maintenance Facility	\$31,995
	-Fields/Parks	\$63,660
	-Old Cove Creek School/Gym	\$33,285
	-Brookshire Road Park	\$25,500
	-Anne Marie Drive Fields	\$21,900
	-Brookshire Soccer Complex	\$14,225
	Total	\$2,242,010
<u>Public Safety</u>	Sheriff	\$3,317,793
	Jail	\$2,013,415
	Emergency Services	\$731,390
	Emergency Management/Fire Protection	\$1,281,013
	Planning & Inspections	\$593,800
	Medical Examiner	\$25,000
	Ambulance	\$1,166,165
	Animal Care & Control	\$123,645
	Forestry	\$43,798
	Total	\$9,296,019
<u>Economic & Physical Development</u>	Appalcart	\$67,495
	Economic Development Commission	\$58,200
	Cooperative Extension Service	\$254,055
	Soil Conservation	\$111,290
	Special Appropriations	\$380,413
	Total	\$871,453
<u>Human Services</u>	Public Health	\$568,183
	Mental Health	\$221,194
	Project on Aging	\$1,184,657
	Veteran's Service	\$101,625
	Total	\$2,075,659
<u>Education</u>	Watauga County Board of Education - Current Expense	\$12,195,409
	Caldwell Community College & Technical Institute - Watauga Division - Current Expense	\$835,009
	Total	\$13,030,418

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<u>Cultural and Recreational</u>	Library	\$509,850
	Recreation	\$925,190
	Total	\$1,435,040
<u>Transfers to Other Funds</u>	Transfer to Public Assistance Fund	\$1,796,827
	Transfer to Capital Projects Fund	\$358,229
	Transfer to Debt Service Fund	\$6,201,962
	Total	\$8,357,018
	Total Expenditures- General Fund	<u>\$42,319,592</u>

SEC. II

PUBLIC ASSISTANCE FUND

A. Revenues Anticipated:

<u>SOURCE</u>	<u>AMOUNT</u>
Federal & State Grants	\$3,464,611
Misc. Revenue	\$24,180
Transfers from General Fund	\$1,796,827
Interest Earned on Investments	\$250
Total Revenues- Public Assistance Fund	<u>\$5,285,868</u>

B. Expenditures Authorized:

Administration	\$2,824,731
Child Support Enforcement Programs	\$172,591
	\$2,288,546
Total Expenditures- Public Assistance Fund	<u>\$5,285,868</u>

SEC. III

CAPITAL PROJECT FUND

A. Revenues Anticipated:

<u>SOURCE</u>	<u>AMOUNT</u>
Transfer from General Fund	\$358,229
Appropriation of Fund Bal-School Debt Service	\$1,500,000
Total Revenues- Capital Project Fund	<u>\$1,858,229</u>

B. Expenditures Authorized:

Transfer to Debt Service Fund	\$1,500,000
Watauga County Schools CIP	\$340,400
County CIP	\$17,829
Total Expenditures- Capital Project Fund	<u>\$1,858,229</u>

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SEC. IV**FEDERAL SUBSTANCE ABUSE TAX FUND**

<i>A. Revenues Anticipated:</i>	<u>SOURCE</u>	<u>AMOUNT</u>
	Equitable Sharing Funds	\$7,000
	Appropriation of Fund Balance	\$48,000
	Total Revenues- Federal Substance Abuse Tax Fund	<u>\$55,000</u>
<i>B. Expenditures Authorized:</i>		
	Capital Outlay	\$55,000
	Total Expenditures- Federal Substance Abuse Tax Fund	<u>\$55,000</u>

SEC. V**STATE SUBSTANCE ABUSE TAX FUND**

<i>A. Revenues Anticipated:</i>	<u>SOURCE</u>	<u>AMOUNT</u>
	Controlled Substance Tax	\$20,000
	Appropriation of Fund Balance	\$27,700
	Total Revenues- State Substance Abuse Tax Fund	<u>\$47,700</u>
<i>B. Expenditures Authorized:</i>		
	Operations	\$23,700
	Capital Outlay	\$24,000
	Total Expenditures- State Substance Abuse Tax Fund	<u>\$47,700</u>

SEC. VI**EMERGENCY TELEPHONE SURCHARGE FUND**

<i>A. Revenues Anticipated:</i>	<u>SOURCE</u>	<u>AMOUNT</u>
	Emergency Telephone Surcharge	\$327,662
	Total Revenues- Emergency Telephone Surcharge Fund	<u>\$327,662</u>
<i>B. Expenditures Authorized:</i>		
	Implemental Functions	\$69,998
	Software	\$34,015
	Employee Training	\$6,560
	Telephone	\$130,300
	Hardware	\$86,789
	Total Expenditures- Emergency Telephone Surcharge Fund	<u>\$327,662</u>

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SEC. VII**RURAL FIRE SERVICE DISTRICT FUND***A. Revenues Anticipated:*

<u>SOURCE</u>	<u>AMOUNT</u>
Interest on Delinquent Taxes	\$3,850
Prior Years-Boone Rural	\$20,000
Prior Years-Foscoe Rural	\$1,250
Prior Years-Shawneehaw Rural	\$90
Prior Years-Beech Mtn Rural	\$15
Ad Valorem Taxes 2013/14 - Boone Rural	\$736,750
Ad Valorem Taxes 2013/14 - Foscoe Rural	\$69,792
Ad Valorem Taxes 2013/14 - Shawneehaw Rural	\$5,285
Ad Valorem Taxes 2013/14 - Cove Creek Rural	\$311
Ad Valorem Taxes 2013/14 - Beech Mtn Rural	\$2,090

**Total Revenues-
Rural Fire Serv. Dist. Fund \$839,433**

B. Expenditures Authorized:

Boone Rural Fire Service District	\$760,250
Foscoe Rural Fire Service District	\$71,342
Shawneehaw Rural Fire Service District	\$5,420
Cove Creek Rural Fire Service District	\$311
Beech Mtn Rural Fire Service District	\$2,110

**Total Expenditures-
Rural Fire Serv. Dist. Fund \$839,433**

SEC. VIII**FIRE TAX DISTRICTS FUND***A. Revenues Anticipated:*

<u>SOURCE</u>	<u>AMOUNT</u>
Interest on Delinquent Taxes	\$10,520
Prior Year Taxes - Foscoe	\$7,600
Ad Valorem Taxes 2013/14 Foscoe	\$455,776
Prior Year Taxes - Beaver Dam	\$2,100
Ad Valorem Taxes 2013/14 Beaver Dam	\$110,461
Prior Year Taxes-Stewart Simmons	\$6,000
Ad Valorem Taxes 2013/14 Stewart Simmons	\$136,840
Prior Year Taxes - Zionville	\$2,200
Ad Valorem Taxes 2013/14 Zionville	\$108,439
Prior Year Taxes - Cove Creek	\$5,000
Ad Valorem Taxes 2013/14 Cove Creek	\$226,000
Prior Year Taxes - Shawneehaw	\$3,000
Ad Valorem Taxes 2013/14 Shawneehaw	\$90,887
Prior Year Taxes - Meat Camp	\$3,200
Ad Valorem Taxes 2013/14 Meat Camp	\$198,429
Prior Year Taxes - Deep Gap	\$4,500
Ad Valorem Taxes 2013/14 Deep Gap	\$180,388
Prior Year Taxes - Todd	\$800
Ad Valorem Taxes 2013/14 Todd	\$62,368
Prior Year Taxes - Blowing Rock	\$7,800
Ad Valorem Taxes 2013/14 Blowing Rock	\$459,617
Prior Year Taxes - Meat Camp/Creston	\$250
Ad Valorem Taxes 2013/14 Meat Camp/Creston	\$5,425

**Total Revenues-
Fire Districts Fund \$2,087,600**

B. Expenditures Authorized:

Foscoe Fire District	\$465,376
Beaver Dam Fire District	\$113,291
Stewart Simmons Fire District	\$143,940
Zionville Fire District	\$111,489
Cove Creek	\$232,300
Shawneehaw Fire District	\$94,397
Meat Camp Fire District	\$202,529
Deep Gap Fire District	\$185,888
Todd Fire District	\$63,423
Blowing Rock Fire District	\$469,217
Meat Camp/Creston Fire District	\$5,750

**Total Expenditures-
Fire Districts Fund \$2,087,600**

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SEC. IX**Watauga District U TDA**

<i>A. Revenues Anticipated:</i>	<u>SOURCE</u>	<u>AMOUNT</u>
	Occupancy Tax	\$880,000
	Total Revenues- Watauga District U TDA	<u>\$880,000</u>
<i>B. Expenditures Authorized:</i>		
	Tax Collection Fees	\$18,800
	Watauga District U TDA	\$861,200
	Total Expenditures- Watauga District U TDA	<u>\$880,000</u>

SEC. X**DEBT SERVICE**

<i>A. Revenues Anticipated:</i>	<u>SOURCE</u>	<u>AMOUNT</u>
	Federal Interest Credit on QSCB Loan	\$47,828
	Transfer from General Fund	\$4,963,548
	Transfer from General Fund - Sales Tax - Schools	\$1,238,414
	Transfer from Capital Projects Fund	\$1,500,000
	Transfer from Solidwaste Fund	\$54,381
	Total Revenues- Debt Service Fund	<u>\$7,804,171</u>
<i>B. Expenditures Authorized:</i>		
	Debt Service-Education	\$7,074,773
	Debt Service-Other	\$729,398
	Total Expenditures- Debt Service Fund	<u>\$7,804,171</u>

SEC. XI**SOLID WASTE ENTERPRISE FUND**

<i>A. Revenues Anticipated:</i>	<u>SOURCE</u>	<u>AMOUNT</u>
	Landfill/Greenbox User Fee Interest & Advertising	\$14,000
	Landfill Tipping Fees	\$1,200,000
	Landfill User Fees	\$1,830,000
	Green Box User Fees	\$500,000
	Tire Disposal Tax	\$50,000
	Solid Waste Disposal Tax	\$23,000
	White Goods	\$14,000
	Dumpster Pickup	\$16,843
	Interest Earnings	\$5,000
	Miscellaneous Revenues	\$14,000
	Rents	\$1,200
	Sale of Recycled Scrap	\$350,000
	Sale of Fixed Assets	\$25,000
	Fund Balance Appropriated	\$250,686
	Total Revenues- Solid Waste Enterprise Fund	<u>\$4,293,729</u>
<i>B. Expenditures Authorized:</i>		
	Sanitation Department	\$4,145,650
	Recycling	\$93,698
	Transfer to Debt Service Fund	\$54,381
	Total Expenditures- Solid Waste Enterprise Fund	<u>\$4,293,729</u>

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SEC. XII**FOSCOE FIRE DISTRICT TAX**

An ad valorem tax rate of \$0.05 per \$100 at full valuation is hereby established as the official tax rate for the Foscoe Fire District for this fiscal year 2013/14. This rate is based on a total base valuation of \$928,167,000 and an established 98.21% collection rate, which does not exceed the collection rate experienced during the 2011/12 fiscal year.

SEC. XIII**DEEP GAP FIRE DISTRICT TAX**

An ad valorem tax rate of \$0.05 per \$100 at full valuation is hereby established as the official tax rate for the Deep Gap Fire District for this fiscal year 2013/14. This rate is based on a total base valuation of \$373,900,000 and a 96.49% collection rate, which does not exceed the collection rate experienced in the 2011/12 fiscal year.

SEC. XIV**BOONE RURAL FIRE SERVICE DISTRICT TAX**

An ad valorem tax rate of \$0.05 per \$100 at full valuation is hereby established as the official tax rate for the Boone Rural Fire Service District for this fiscal year 2013/14. This rate is based on a total base valuation of \$1,503,418,151 and a 98.01% collection rate, which does not exceed the collection rate experienced in the 2011/12 fiscal year.

SEC. XV**FOSCOE RURAL FIRE SERVICE DISTRICT TAX**

An ad valorem tax rate of \$0.05 per \$100 at full valuation is hereby established as the official tax rate for the Foscoe Rural Fire Service District for this fiscal year 2013/14. This rate is based on total base valuation of \$141,753,000 and a 98.47% collection rate which does not exceed the collection rate experienced in the 2011/12 fiscal year.

SEC. XVI**COVE CREEK RURAL FIRE SERVICE DISTRICT TAX**

An ad valorem tax rate of \$0.05 per \$100 at full valuation is hereby established as the official tax rate for the Cove Creek Rural Fire Service District for this fiscal year 2013/14. This rate is based on a total base valuation of \$622,700 and a 100% collection rate, which does not exceed the collection rate experienced in the 2011/12 fiscal year.

SEC. XVII**SHAWNEEHAW RURAL FIRE SERVICE DISTRICT TAX**

An ad valorem tax rate of \$0.05 per \$100 at full valuation is hereby established as the official tax rate for the Shawneehaw Rural Fire Service District for this fiscal year 2013/14. This rate is based on a total base valuation of \$10,852,000 and a 97.41% collection rate, which does not exceed the collection rate experienced in the 2011/12 fiscal year.

SEC. XVIII**BEECH MTN. RURAL FIRE SERVICE DISTRICT TAX**

An ad valorem tax rate of \$0.05 per \$100 at full valuation is hereby established as the official tax rate for the Beech Mountain Rural Fire Service District for this fiscal year 2013/14. This rate is based on a total base valuation of \$4,182,700 and a 99.92% collection rate, which does not exceed the collection rate experienced in the 2011/12 fiscal year.

SEC. XIX**TODD FIRE DISTRICT TAX**

An ad valorem tax rate of \$0.07 per \$100 at full valuation is hereby established as the official tax rate for the Todd Fire District for this fiscal year 2013/14. This rate is based on a total base valuation of \$90,888,000 and a 98.03% collection rate, which does not exceed the collection rate experienced in the 2011/12 fiscal year.

SEC. XX**BEAVER DAM FIRE DISTRICT TAX**

An ad valorem tax rate of \$0.05 per \$100 at full valuation is hereby established as the official tax rate for the Beaver Dam Fire District for this fiscal year 2013/14. This rate is based on a total base valuation of \$227,029,020 and a 97.31% collection rate, which does not exceed the collection rate experienced in the 2011/12 fiscal year.

SEC. XXI**BLOWING ROCK RURAL FIRE DISTRICT TAX**

An ad valorem tax rate of \$0.05 per \$100 at full valuation is hereby established as the official tax rate for the Blowing Rock Rural Fire District for this fiscal year 2013/14. This rate is based on a total base valuation of \$943,869,858 and a 97.39% collection rate, which does not exceed the collection rate experienced in the 2011/12 fiscal year.

SEC. XXII**SHAWNEEHAW FIRE DISTRICT TAX**

An ad valorem tax rate of \$0.05 per \$100 at full valuation is hereby established as the official tax rate for the Shawneehaw Fire District for this fiscal year 2013/14. This rate is based on a total base valuation of \$187,958,840 and a 96.71% collection rate, which does not exceed the collection rate experienced in the 2011/12 fiscal year.

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SEC. XXX

FIRE CODE FEES AND PENALTIES ESTABLISHED

Special User Permits for Specific Times:	
Fireworks-Public Display	\$25
Tents & Air Structures (30 day maximum)	\$25
Temporary kiosks or Merchandising Displays	\$25
Insecticide fogging or fumigation	\$25
Explosive Materials:	
Blasting Permits:	
Annually (1 Year)	\$100
48 Hours	\$40
Special Assembly:	
Gun show, craft show, etc	\$25
Bowling Pin & Alley:	
Resurfacing & Refinishing	\$25
Any other Special Function:	
Bureau inspection & Approval	Requiring Fire Prevention \$25
Special Test, Inspections and Services:	
Fire Report Copies	\$2
Existing Systems Tests:	
Sprinkler Certification Test	\$25
Fire Alarm Testing	\$25
Standpipe Cert. Test	\$25
Grease Removal Test	\$25
Fixed Fire Suppression Test	\$25
Day Care Inspection	\$25
Residential Custodial Care & Nursing Homes	\$25
Certification of Occupancy Inspections	\$25
Underground Storage Tanks:	
Removal (per tank)	\$30
New Installations (per tank)	\$50
Hydrant Installations:	
private contractors only	\$30
New Sprinkler Systems:	
Per square foot	\$0.05
Sprinkler Renovations	\$50
Standpipes	\$30
New Alarm Systems	\$35
Alarm System Renovations	\$50
Fixed Fire Suppression Systems	\$35
Renovations to the systems	\$25
Fire Marshall Fire Reports	\$5

SEC. XXXI

**SPECIAL AUTHORIZATION - COUNTY MANAGER AS
BUDGET OFFICER**

- A. The County Manager shall serve as Budget Officer and shall be authorized to reallocate departmental appropriations among the various objects of expenditure as he believes necessary.
- B. The County Manager shall be authorized to effect interdepartmental transfers, in the same fund, not to exceed 10% of the appropriated monies for the department whose allocation is reduced. Notation of all such transfers shall be made to the Board at the next regularly scheduled Board meeting.
- C. He may make interfund loans for a period of not more than 60 days.
- D. Interfund transfers established in the budget, may be accomplished without recourse to the Board.
- E. The County Manager (Budget Officer) shall be compensated \$4,201.62 salary on a bi-weekly basis for FY 2013/14.

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SEC. XXXII

RESTRICTIONS - COUNTY MANAGER (BUDGET OFFICER)

- A. The interfund transfers of monies, except as noted in XXXII (paragraphs C and D), shall be accomplished by Board authorization only.
- B. Salary increases shall be granted in accordance with the official pay plan of Watauga County, duly adopted by the Board of Commissioners.
- C. Utilization of appropriations established in the following funds may be accomplished only with the express approval of the Board:
 - 1. Debt Service Fund
 - 2. Capital Projects Fund
- D. The County Manager shall be authorized to reallocate contingency funds from the General Administration budget. Such transfers or expenditures shall be reported to the Board at its next regular meeting, and recorded in the minutes per NC General Statute 150-13(b)(3).

SEC. XXXIII

UTILIZATION OF BUDGET AND BUDGET ORDINANCE

This Ordinance and the Budget Document shall be the basis of the financial plan for the Watauga County Government during the 2013/14 fiscal year. The Budget Officer shall administer the budget, and he shall insure that operating officials are provided guidance and sufficient details to implement their appropriate portion of the budget. The accounting section shall establish records which are in consonance with the budget and this ordinance and the appropriate statutes of the State of North Carolina.

State derived reimbursement revenues are budgeted based on current State of North Carolina law. If these reimbursements are eliminated or further reduced, these alterations will be reflected by budget amendments at a later date.

Nathan A. Miller, Chairman

ATTEST:

Anita Fogle, Clerk to the Board

(SEAL)

AGENDA ITEM 5:**SHERIFF'S OFFICE MATTERS**

A. Request to Reassign Competent Correctional Care, Inc., Contract to JLW Enterprises, Inc.

MANAGER'S COMMENTS:

The County currently contracts (a copy is enclosed in your packets) with Competent Correctional Care, Inc. for jail inmate medical services. Per the Sheriff, Competent Correctional Care, Inc. is willing to assign their contract to JLW Enterprises, Inc. The County Attorney prepared an assignment agreement in which both Competent Correctional Care, Inc. and JLW Enterprises, Inc. have signed and now requires Board approval to authorize the assignment. The Sheriff was informed that there would be no changes in the terms and conditions of the existing contract or services due to the assignment to JLW Enterprises, Inc. All medical staff was to remain the same. The Sheriff supports and recommends the Board approval of the assignment.

Board approval is requested to approve the assignment of the contract from Competent Correctional Care, Inc. to JLW Enterprises, Inc. The Sheriff will be on-hand to answer any questions.

Assignment of Health Services Agreement

This assignment, made and entered into on the ____ day of _____, 2013, by and between Watauga County, Competent Correctional Care, Inc., and JLW Enterprises, Inc. is for the purpose of allowing Competent Correctional Care, Inc. to assign its rights and obligations to JLW Enterprises, Inc.

WHEREAS, Watauga County is a body politic and political subdivision of the State of North Carolina; and

WHEREAS, Competent Correctional Care, Inc. is a North Carolina corporation duly organized and existing under the laws of the State of North Carolina; and

WHEREAS, JLW Enterprises, Inc. is a North Carolina corporation duly organized and existing under the laws of the State of North Carolina; and

WHEREAS, Watauga County and Competent Correctional Care, Inc. entered into a contract for the provision of inmate health care on December 1, 2011; and

WHEREAS, Competent Correctional Care, Inc. is desirous of assigning this contract to JLW Enterprises, Inc., and Watauga County is in agreement to allow Competent Correctional Care, Inc. to assign this contract;

NOW THEREFORE, based upon the mutual consideration set forth herein, the sufficiency of which is hereby acknowledged, the parties agree as follows:

1. Pursuant to Article 10.2 of the contract between the parties, with the consent of Watauga County, Competent Correctional Care, Inc. hereby assigns all rights, duties, obligations, and other contractual requirements to JLW Enterprises, Inc.

2. JLW Enterprises, Inc. shall comply with all terms and requirements of the underlying contract in the provision of inmate health services to Watauga County. All such terms of the underlying contract shall remain in full force and effect, and be binding upon Watauga County and JLW Enterprises, Inc.

IN WITNESS WHEREOF the parties have executed this Agreement in their official capacities with legal authority to do so.

WATAUGA COUNTY, NORTH CAROLINA

By: _____
Nathan A. Miller, Chairman
Watauga County Board of Commissioners

DATE: _____

Attest:

_____(SEAL)
Anita Fogle, Clerk to the Board

COMPETENT CORRECTIONAL CARE, INC.

BY: [Signature]
TITLE: (Pres) Medical Provider
NC Lic # 6005188

DATE: _____

JLW ENTERPRISES, INC.

BY: [Signature]
TITLE: President, medical services
NC Lic # 5005188
DATE: _____

[Signature]

L.D. Hagaman, Jr.
SHERIFF, WATAUGA COUNTY
DATE: _____

This instrument has been pre-audited in the manner required by the Local Government Budget and Fiscal Control Act.

Margaret Pierce
Watauga County Finance Officer

HEALTH SERVICES AGREEMENT

THIS HEALTH SERVICES AGREEMENT (the "Agreement"), is entered into with an Effective Date of December 1, 2011, and is made by and between Watauga County, North Carolina (hereinafter referred to as the "County"), acting through the office of the Sheriff of the County (the "Sheriff") and Competent Correctional Care, Inc. (CCC, Inc.), a North Carolina corporation (hereinafter referred to as "CCC").

WITNESSETH:

WHEREAS, the County is charged by law with the responsibility for obtaining and providing reasonable necessary health care for inmates of the Watauga County Jail (hereinafter called "Facility"); and

WHEREAS, the County desires to arrange for health care to such inmates in accordance with applicable law; and

WHEREAS, the County, which receives funding as approved by County Commissioners for the Facility, desires to enter into this Agreement with CCC to promote this objective; and

WHEREAS, CCC is in the business of: (i) directly providing Primary Correctional Health Care; and (ii) arranging for the provision of and providing claims payment services for Referral Correctional Healthcare and desires to provide such services for the County under the terms and conditions hereof.

NOW, THEREFORE, in consideration of the covenants and promises hereinafter made, the parties hereto agree as follows:

ARTICLE I: HEALTH CARE SERVICES

- 1.1 **General Engagement.** The County hereby contracts with CCC to provide for the delivery of Included Medical Care to Inmates under the terms and conditions hereof.
- 1.2 **Scope of Health Care Services.** The responsibilities of CCC for Included Medical Care of an Inmate commences with the booking and physical placement of said Inmate into the Facility. CCC regularly shall provide Primary Correctional Healthcare and shall arrange Referral Correctional Healthcare (excluding in-patient psychiatric hospitalization) for the Inmate. The services generally include the following: a comprehensive health evaluation of each Inmate following booking into the Facility in accordance with NCCHC Standards, regularly scheduled sick call, nursing care, regular physician visits to the Facility, hospitalization, medical specialty services, emergency medical care, emergency ambulance services when medically necessary, medical records management, pharmacy services, administrative support services, and other services as more specifically described herein. Additionally, staff employed by the Sheriff shall be provided first aid within the Facility for emergency injuries and/or illnesses upon request of the County.

CCC shall follow the staffing described in Article III, Personnel for the provision of Correctional Healthcare.

- 1.3 Ancillary Medical Services. Referral Correctional Healthcare CCC must arrange includes, but is not limited to, the provision of Referral Correctional Healthcare from ancillary medical providers to Inmates such as radiology and laboratory services to the extent such services are determined to be medically necessary by CCCs professional medical staff Where non-emergency Referral Correctional Healthcare is required, CCC shall make arrangements with the County Sheriff for transportation of the Inmate in accordance with Services 1.10 of this Agreement. These ancillary services will be included in the Off-Site Services Limit.
- 1.4 Emergency Services. CCC shall provide Emergency Services to Inmates through arrangements to be determined by CCC with local hospitals. CCC shall arrange for the provision of emergency ambulance transportation services in connection with off-site Emergency Services. These services will be included in the Off-Site Services Limit.
- 1.5 No Responsibility for Referral Correctional Healthcare. Providers of Referral Correctional Healthcare are not the employees of, agents of, or joint venturers with CCC and CCC is not responsible for their actions or omissions. CCC is not responsible for any costs: of Referral Correctional Healthcare. CCCs sole obligation is to use commercially reasonable efforts to arrange for the provision of Referral Correctional Healthcare when medically necessary as determined by CCCs medical director or his designee.
- 1.6 Exclusions. This Agreement does not apply to the following services, and CCC is has no obligation to provide or arrange for such services, regardless of whether or not such services are or become medically necessary:
 - a Blood clotting factor products;
 - b. Experimental or investigational procedures, as determined by the County,
 - c. Any services or supplies received by any individual during any period of time that such individual is not an Inmate in the County's physical custody and control.
 - d. Any services or supplies received by any fetus or infant (CCC shall provide Primary Correctional Healthcare and arrange Referral Correctional Healthcare to pregnant Inmates, but any healthcare services provided to an infant following birth are excluded from this Agreement.
 - e. Elective Medical Care, including, but not limited to, elective abortions. This Agreement applies, however, to abortions determined by CCC to be medically necessary by CCC or County, as applicable.

- 1.7 Inmates outside the Facilities. This Agreement applies to Included Medical Care for those Inmates in the actual physical custody of the Facility. This includes Inmates under guard arranged by County in outside hospitals and whose care is being managed by CCC. Such Inmates will be included in the resident daily population count. No other individuals, including, but not limited to, individuals in outside hospitals who are not under guard arranged by County, are included in this Agreement, nor shall such individuals be included in the resident daily population count. Individuals who are otherwise Inmates but who are on any sort of temporary release, including, but not limited to: temporarily being released for the purpose of attending funerals or any other family emergencies, being on escape status, being on pass, parole, or supervised custody who do not sleep in the Facility at night, will not be included in the daily population count.

Individuals who are otherwise inmates but who are on any sort of temporary release, including, but not limited to: temporarily being released for the purpose of attending funerals or any other family emergencies, being on escape status, being on pass, parole, or supervised custody who do not sleep in the Facility at night, will not be included in the daily population count, and will not be included in this Agreement with respect to the processing of payment for or furnishing of health care services. CCC shall be responsible for Primary Correctional Healthcare required by Inmates only when physically returned to the custody of the Facility after becoming ill, delivering an infant, or being injured while on temporary release; CCC shall arrange for the provision of additional medical care for complications resulting from medical events occurring while not in the physical custody of the Facility, but CCC may, in consultation with the Sheriff inform the provider of such services that the County may not be financially responsible for payment for such services and the parties agree to cooperate to determine the financially responsible party for such services.

- 1.8 Work Release. This Agreement does not apply to healthcare services and supplies required by individuals assigned to work release.
- 1.9 Elective Medical Care. CCC will not be responsible for the cost of providing elective medical care to inmates. Any referral of inmates for elective medical care must be reviewed and approved by the Sheriff prior to provision of such services. CCC may assist in arranging Sheriff approved elective care, but CCC shall have no financial responsibility for such care. CCC shall indemnify and hold harmless the County, its agents, servants and employees from any and all claims, actions, lawsuits damages, judgments or liabilities of any land whatsoever arising out of a decision made by CCC's Medical Director not to provide medical care on the basis that it is elective medical care.
- 1.10 Transportation Services. To the extent any inmate requires off-site Referral Correctional Healthcare, including, but not limited to, hospitalization care and specialty services, the County will, at County's cost, upon request by CCC, its agents, employees or contractors, provide transportation as reasonably available, provided that, when reasonably possible, such transportation is scheduled in advance. When medically necessary, CCC shall arrange all emergency ambulance transportation of Inmates.

- 1.11 Inmates from Other Jurisdictions. CCC agrees to provide Primary Correctional Health care and arrange for the provision of Referral Correctional Healthcare to individuals incarcerated at the Facility but from other jurisdictions pursuant to contract between the County and such other jurisdictions.
- 1.12 Standard of Care; Discretionary Decisions. CCC shall render Primary Correctional Healthcare in accordance with the standards promulgated by the National Commission on Correctional Health Care (NCCCC) for health services in correctional facilities. Whenever an opinion, decision or determination under this Agreement is determined in accordance with the opinion or discretion of a particular person under this Agreement, such opinion, decision or determination shall be at the absolute discretion of the applicable decision-maker, unless otherwise expressly required by applicable law.
- 1.13 County's Responsibilities. CCC has no responsibility for determining whether an individual meets the definition of an Inmate. CCC shall not be responsible in any manner or any delay or error caused by the County's failure to furnish accurate information about an individual's status as an Inmate in a timely fashion.
- 1.14 Medical Emergencies outside of this Agreement. The parties understand that medical emergencies may arise outside the scope of this Agreement and for which CCC is not compensated under this Agreement, including, but not limited to medical emergencies involving visitors, employees of the County, individuals at the County's work release facility; if CCC or its medical personnel are available and respond to provide such emergency services (i.e. other than for Inmates for which CCC is compensated under this Agreement), either upon request by the Sheriffs staff or otherwise, such services will be on uncompensated, volunteer basis pursuant to North Carolina General Statute § 90-21.14.

ARTICLE II: ADMINISTRATIVE SERVICES

- 2.1 Claims Processing. The County hereby contracts with CCC to act as the County's agent to process claims for Referral Correctional Healthcare and agrees that the base payment amounts and per diems for increased Inmate population as described in Article VHI includes the processing fee (but not the cost of) such claims. The parties estimate that the total annual cost to the County for Referral Correctional Healthcare shall be around \$; the County and CCC neither warrants nor guarantees that such costs will not exceed such estimate amount, however. The County shall be responsible for the actual costs to maintain the trust account and for postage, check stock and other supplies directly required for the services required of CCC in this Article H.
- 2.2 Funding Source. The funds allocated for its financial obligation for Referral Correctional Healthcare shall remain at the County's discretion and this Agreement does not create a new obligation to fund such services. Notwithstanding the foregoing, however, CCC's administrative obligations under this Agreement to process claims for such services apply only to the extent funds are available to pay such claims. Unless and

until the parties otherwise agree, the funds shall be available for payment of claims under this Agreement as follows:

The County, at its sole cost and expense, shall continuously maintain the Bank Account, a zero balance checking account that requires two signatures: (i) the signature of an individual authorized by the County; and (ii) the signature of an individual appointed by CCC. All amounts in the Bank Account belong to the County. The parties agree to execute any additional documentation required to establish the Bank Account as described herein.

The County appoints CCC as its agent to process claims for Referral Correctional Healthcare. Such and shall process such claims in the following manner:

- a. CCC shall instruct Referral Correctional Healthcare providers to send claims for payment to CCC;
- b. Upon receipt of such bills, CCC shall review the claim for accuracy and, if accurate, approve the claim for payment
- c. If approved for payment, CCC will prepare a check to be drawn on the Bank Account in the approved amount and sign the dual signature check.
- d. CCC shall then send, to the County's Director of Finance: the CCC-signed check; a copy of the check (aka a check register); and a copy of the claim associated with the approved payment.

The County's Director of Finance shall review the request for payment and, if acceptable, (i) approve the payment by signing the check; (ii) arrange for the County to deposit sufficient funds into the Bank Account; and (iii) arrange for the check to be mailed to the appropriate vendor.

Any refunds for Referral Correctional Healthcare shall be directed to the County's finance department.

CCC agrees to maintain a fidelity bond (or other appropriate insurance by whatever name) in the amount of not less than \$150,000.00 to cover a breach of CCC's fiduciary obligations under this Article II.

CCC has no responsibility for any consequences of County's failure to provide funds on a timely basis.

Incidental Administrative Services. The parties understand and agree that, from time, claims may be presented to CCC for payment for health care services for which the County may or may not be the ultimate financially responsible payor. In such cases, CCC shall, at its discretion either: (i) return the claim to the original claimant (with

additional instructions on where to file the claim); (ii) forward the claim to the financially responsible entity; or (iii) consult with the County as to the proper handling of the claim.

Audit and Reports. CCC shall provide the County with monthly reports of claims paid in the format substantially similar to Exhibit B. The County may, at the County's sole expense, audit the Bank Account once annually upon reasonable notice; provided, however, if material errors are noted on any such audit, the County may establish a more frequent auditing schedule. Any audit must be commenced within two (2) years following the period being audited. Any requested payment from CCC resulting from the audit must be based upon documented findings, agreed to by both parties, and must be solely due to CCC's actions or omissions.

ARTICLE III: PERSONNEL

Staffing. CCC shall provide medical, technical and support personnel as necessary for the rendering of Primary Correctional Healthcare as described in and required by this Agreement. The cost of services is broken into three tiers.

1. The first tier is to operate the facility with Registered Nurse on site three days a week for a minimum of 24 hours. Additionally, a Nurse Practitioner or M.D. will be on site weekly to manage care of inmates. N.P. or M.D. will be available for call at all times. This tier shall apply to a point of up to 90 inmates. CCC will process all invoices and forms and facilitate the staff and administration under this agreement. The fee for this service will be \$7578.00 per month.

2. The second tier is to operate sick call five days a week. The nurse will be on premises 40 hours a week. The N.P. and M.D. will continue as before, in addition to handling the additional call volume. CCC will process all paperwork, payroll, invoicing, and services for detention and handle all administrative matters. This tier shall apply in the event the average daily jail capacity is between 90-135 inmates. The fee for this service will be \$12,642.00 per month.

3. The third tier requires the nurse to work full time and CCC, Inc. will hire a med-tech to assist with paperwork and medication setup and distribution. All other processes continue with a larger volume and more infrastructures for calls and administration. This tier shall apply in the event the average daily jail capacity is between 135-180 inmates and is max capacity for CCC, Inc. The fee for this level of services will be \$17477.00 per month.

The population level of inmates will be reviewed monthly to assess the inmate population and need to increase services. When CCC and Detention Administration agree that services need to be increased and/or that the inmate population has increased so as to take the level of services to the next level as described above, then, the level will be raised and times and employees will be added by CCC, Inc. If at any time before the end of a month the administration and CCC agree that the change is needed, the times and services will be added immediately, and the billing will be changed and prorated in the following

month. Fees are due by the 10th of the month. They will be billed on the last day of the previous month.

Should a sustained population increase over 140 inmates occur, CCC may recommend additional staffing and request a change in compensation levels. Similarly, should there be a sustained population drop to such a degree that changes to the staffing plan are requested by County, then the parties shall enter negotiations to determine a mutually agreeable change to staffing and compensation levels.

Both parties understand that this Agreement is premised upon the assumption that the Watauga County jail houses up to an average of 90 Inmates at any given time. Due to circumstances Watauga County jail houses up to an average of 90 Inmates at any given time. Due to circumstances outside the control of either party, the average daily inmate population in the Watauga County jail could be significantly higher or lower than the assumption both parties agreed to when this contract was executed. Therefore, both parties agree to commence negotiations concerning the assumption of average number of inmates in the Watauga County jail by May of each year. Both parties agree that if this assumption deviates from the current assumption of an average of 90 Inmates, the compensation given to CCC may have to be adjusted. Unless otherwise agreed to, any amendment concerning the assumption of the average number of inmates at the Watauga County jail shall be incorporated into the contract on July 1 of each year.

Licensure, Certification and Registration of Personnel. All professional personnel provided or made available by CCC to render Primary Correctional Healthcare hereunder shall be licensed, certified or registered, as appropriate, in their respective areas of expertise as required by applicable North Carolina law.

- 3.3 Sheriffs Satisfaction with Health Care Personnel. To ensure the Sheriff is able meet its obligation to operate a secure facility, Sheriff has the right to exclude any CCC health care personnel provided by CCC hereunder, or by any independent contractor, subcontractors or assignee under the direction of CCC ("employee"). Prior to exclusion, the Sheriff shall notify CCC of his intent to exclude an individual, such notification to be followed within a reasonable time by written confirmation of the exclusion. CCC shall exercise its best efforts to resolve the problem. If the problem is not resolved to the satisfaction of the Sheriff CCC shall exclude or shall cause any independent contractor, subcontractor, or assignee to exclude the individual about whom the County has expressed dissatisfaction. CCC will be allowed reasonable time to find an acceptable replacement, without penalty or any prejudice to the interest of CCC.
- 3.4 Use of Inmates in the Provision of Health Care Services. Inmates shall not be employed or otherwise engaged by either CCC or the County in the direct rendering of any health care service. Upon prior written approval of the Sheriff Inmates maybe used in positions that do not involve the rendering of health care services directly to Inmates.
- 3.5 Referral Correctional Healthcare. In order to discharge its obligations hereunder, CCC will arrange for certain health care providers to provide Referral Correctional Healthcare on an independent contractor basis. The County may request to approve such providers,

but approval will not be unreasonably withheld. As the relationship between CCC and these health care providers will be that of independent contractor, CCC will not be considered or deemed to be engaged in the practice of medicine or other professions practices by these providers. CCC will not exercise control over the manner or means by which these independent contractors perform their duties. However, CCC shall exercise administrative supervision over the agreement, if any, between CCC and the applicable provider. CCC shall ask each such independent contractor, including all medical professionals, physicians, dentists, and nurses performing duties as independent contractors under this Agreement, to provide CCC with proof as the case may be, in an amount of at least one million dollars (\$1,000,000) coverage per claim or per occurrence and three million dollars (\$3,000,000) aggregate; CCC shall furnish County with a copy of such proof as reasonably requested Notwithstanding anything to the contrary in this Section 3.5, the parties understand that CCC may, when commercially reasonable, refer an Inmate for Referral Correctional Healthcare to a provider without entering into a direct written agreement with such provider.

- 3.6 Discrimination. During the performance of this Agreement, CCC and the County each agree:
- a. Not to (discriminate against any employee or applicant for employment because of race, religion, color, sex, or national origin, except where religion sex or national origin is a bona fide occupational qualification reasonably necessary to the normal operation of the contractor;
 - b. To post in conspicuous places, available to employees and applicants for employment, notices setting forth the provisions of this non discrimination clause; and
 - c. To state, in all solicitations or advertisements for employees, that it is an equal opportunity employer.

Notices, advertisements, and solicitations placed in accordance with federal law, rule or regulation shall be deemed sufficient for the purpose of meeting the requirements of this section.

ARTICLE IV: REPORTS AND RECORDS

Medical Records. CCC shall maintain complete and accurate medical records for each Inmate who has received health care services arranged or provided by CCC during the term of this Agreement. Each medical record will be maintained in accordance with applicable laws, NCCCC standards, and the County's policies and procedures. The medical records shall be kept separate from the Inmates' confinement record. A complete legible copy of the applicable medical record shall be available at all times. A medical transfer sheet shall, accompany each Inmate who is transferred from the Facility to another location for off-site services or transferred to another institution. Medical records shall be kept confidential in accordance with the County's policy with regard to access by Inmates and Facility staff, which policy is that no information is disclosed except by a

court order, or as otherwise required or allowed in accordance with the applicable law. CCC shall comply with all applicable state and federal laws regarding maintaining the confidentiality of medical and personal information (including, but not limited to, the Health Insurance Portability and Accountability Act if applicable to CCC's obligations under this Agreement) and shall provide adequate training to its staff with respect to such confidentiality obligations; County shall also comply with all applicable state and federal laws regarding maintaining the confidentiality of medical and personal information and shall provide adequate training to its staff with respect to such confidentiality obligations. CCC shall, at its own cost, provide all medical records, forms, jackets, and other materials necessary to maintain the medical records. At the termination of this Agreement, all medical records shall be delivered to and remain with the County. However, the County shall provide CCC with reasonable ongoing access to all medical records even after the termination of this Agreement for the purposes of defending litigation.

Regular Reports by CCC to the County. CCC shall provide to the County, on a date, in a form and to the County's personnel mutually acceptable to CCC and the County, monthly and annual reports relating to health care services arranged or rendered under this Agreement.

Inmate Information. Subject to applicable law, in order to assist CCC to effectively arrange, or provide health care services to Inmates, the County will provide CCC with information pertaining to Inmates that CCC and the County mutually identify as reasonable and necessary for CCC to adequately perform its obligations hereunder.

CCC Records Available to the County with Limitations on Disclosure. CCC shall make available to the County, at the County's request, all records, documents and other papers directly relating to the delivery of health care services to Inmates hereunder. The County understands that many of the systems, methods, procedures, written materials and other controls employed by CCC in the performance of its obligations hereunder are proprietary in nature and will remain the property of CCC. Information concerning such may not, at anytime, be used, distributed, copied or otherwise utilized by the County, except in connection with the delivery of health care services hereunder, or as permitted or required by law, unless such disclosure is approved in advance writing by CCC. Upon CCC's request, the County shall return to CCC all such information in the County's possession and identified, by CCC, as proprietary.

- 4.5 County's Records Available to CCC with Limitations on Disclosure. During the term of this Agreement and for a reasonable time thereafter, the County will provide CCC, at CCC's request, the County's records relating to the provision of health care services to Inmates as maybe reasonably requested by CCC or as are pertinent to the investigation or defense of any claim related to CCC's conduct. Consistent with applicable law, the County will make available to CCC such records as are maintained by the County, hospitals, and other outside health care providers involved in the care or treatment of inmates (to the extent the County see has any control over those records) as CCC may reasonably request; the County agrees to execute reasonable additional documents

required to comply with this Section 4.5. Any such information provided by the County to CCC that the County considers confidential shall be kept confidential CCC and shall not, except as may be required by law, be distributed to any third party without the prior written approval of the County.

ARTICLE V: SECURITY

- 5.1 General. CCC and the County understand that adequate security services are necessary for the safety of the agents, employees, and subcontractors of CCC as well as for the security of Inmates and County's staff consistent with the correctional setting. The County will provide sufficient security to enable CCC to safely and adequately provide the sendees described in this Agreement and CCC shall let County know what those needs are. Nothing herein shall be construed to make the County, his deputies or employees a guarantor of the safety of CCC employees, agents or subcontractors, including their employees. Should a CCC employee need correctional staffing to assist with 14 day physicals, chronic care visits and other needs of the CCC medical staff; such additional staffing will be coordinated and scheduled by the jail administrator and the CCC Medical Director.
- 5.2 Loss of Equipment and Supplies. The County shall not be liable for losses of or damage to equipment and supplies of CCC, its agents, employees or subcontractors unless such loss or damage was caused by the negligence of the County or its employees. CCC shall not be liable for loss of or damage to equipment and supplies of the County or its employees unless such loss or damage was caused by the negligence of CCC or its agents, employees or subcontractors.
- 5.3 Security During Transportation Off-Site. The County will provide security as necessary and appropriate in connection with the transportation of any Inmate between the Facility in any other location for off-site services as contemplated herein.

ARTICLE VI: OFFICE SPACE, EQUIPMENT, INVENTORY, AND SUPPLIES

- 6.1 General. The County agrees to provide CCC with office space, facilities, equipment, utilities (including all local telephone calls, but excluding long distance telephone calls which CCC shall reimburse monthly to the County). The County will provide necessary maintenance and housekeeping of the office space and facilities. CCC agrees it has inspected the Facility and medical office space and facilities and that such space and facilities are sufficient for its agents, employees, and subcontractors to perform all of the obligations required under this Agreement. County shall be responsible for providing substitute space, if in the opinion of the Sheriff, such designated facilities become unsafe for any reason.
- 6.2 Delivery of Possession. The County will provide CCC, beginning on the date of commencement of this Agreement, possession and control of all County medical and office equipment and supplies in place at the Facility's health care unit. At the termination of this or any subsequent Agreement, CCC will return to the County possession and

control of all supplies, medical and office equipment, in working order, reasonable wear and tear expected, which were purchased by the County.

- 6.3 Maintenance and Replenishment of Equipment. The County will continue to maintain in good working order, and replace, as necessary, all medical equipment necessary for the performance of this contract CCC in working order during the term of this Agreement.
- 6.4 General Maintenance Services. The County will provide for each Inmate receiving Healthcare sendees the same services and facilities provided by the County for all Inmates at the Facility including, but not limited to, daily housekeeping services, dietary services, building maintenance services, personal hygiene supplies and services, and linen supplies.

ARTICLE VII: TERM AND TERMINATION OF AGREEMENT

- 7.1 Term. This Agreement shall commence at 12:01 a.m. on December 1, 2011. The initial term for this agreement shall be through 11:59 p.m. on November 30, 2012 and may be extended for additional terms of one (1) year each, if mutually agreed to in writing and signed by both parties. Notwithstanding the foregoing, however, either party may renegotiate the terms of this Agreement if the population consistently (i.e., for any one month period during the term of this Agreement) exceeds 140 Inmates. Any extension must be agreed to no later than thirty (30) days prior to the termination of the existing term.
- 7.2 Termination. This Agreement may be terminated as otherwise provided in the Agreement or as follows:
- a. Termination by Agreement. In the event that each of the parties mutually agree in writing, this Agreement may be terminated on the terms and date stipulated therein.
 - b. Termination by Cancellation. Either party may terminate this agreement without cause upon at least thirty (30) days prior written notice to the other party.
 - c. Annual Appropriations and Funding. This Agreement may be subject to the annual appropriation of funds by a funding authority other than the County. Notwithstanding any provision herein to the contrary, if funds are not appropriated for this Agreement, then CCC or the County shall be entitled to immediately terminate this Agreement, without penalty or liability.
 - d. Material Change. CCC may, at its sole discretion, terminate this Agreement effective as of the effective date of a material change initiated by the County or by legislative or regulatory action in the funding for, delivery of health care or claims processing requirements or procedures, or any change materially affecting the manner or cost of delivering or arranging healthcare services for Inmates. A material change in funding includes, but is not limited to, a failure of County to

maintain funds in the Bank Account in the manner set forth in Article II of this Agreement.

- 7.3 Responsibility for Inmate Health Care. As of the effective date of termination of this Agreement, all responsibility for providing healthcare services to all Inmates, including Inmates receiving health care services at sites outside the Facility, will be transferred from CCC to the County.

ARTICLE VIII: EXPECTED TOTAL COSTS AND CCC COMPENSATION

- 8.1 Expected Total Costs. The parties estimate that the total annual cost to the County for Included Medical Care will be as set forth above in this contract for all services provided hereunder, and shall include cost of personnel, equipment supplies, and other treatment items used by CCC. It shall not include the costs of hospitalization or other medical care not provided by CCC.
- 8.2 CCC will invoice the County thirty (30) days before the first day of the month for which services will be rendered. The County agrees to pay CCC on or before the first (1st) day of the month for which services will be rendered. In the event this Agreement should commence or terminate on a date other than the first or last day of any calendar month, compensation to CCC will be prorated accordingly for the shortened month. For Fiscal Years ending June 30, 2012 and June 30, 2013, a similar monthly payment and invoice shall be established after the applicable base compensation amount per year has been calculated by applying the applicable CPI Increase.
- 8.3 Increases in Inmate Population. The parties agree that the base price is calculated based upon an average daily inmate population of up to 140. If the daily inmate population exceeds 140 inmates, then the compensation payable to CCC by the County shall be increased by a per diem rate of \$1.45 for each Inmate over 140, per day. The average daily inmate resident population shall be determined and recorded by the County. The County shall regularly provide this information to CCC. The calculation in this Section 8.2 shall include the individuals from other jurisdictions described in Section 1.11.
- 8.4 Compensation Escalator. The compensation (i.e., the base price and per diem rate as defined in Sections 8.1 and 8.2, respectively) for each successive renewal term that is agreed to by the parties shall include a reasonable increase.
- 8.5 Changes in the Law, Standard of Care, or Scope of Services. The prices in Sections 8.1 and 8.2 reflect the scope of services as outlined herein and the current community standard of care with regard to healthcare services. Should there be any change in or modification of inmate distribution, standards of care, scope of services, cost of goods or services, available workforce pool that results in material increase in costs, or if any statute, rule or regulation is passed or any order issued or any statute or guideline adopted materially increasing the cost to CCC of providing or arranging healthcare services hereunder, the increased costs related to such change of modification are not covered in

this Agreement and will be negotiated with the County. This Section 8.4 is in addition to, and not in lieu of, CCC termination option under Section 7.2.

- 8.6 Payment If the County fails to make any payment to CCC hereunder within thirty (30) days following CCC's written notice to the County of non-payment, CCC, among any other rights and remedies pursuant to this Agreement or otherwise available at law or in equity, shall have the right to terminate this Agreement immediately. Failure to terminate this Agreement shall not waive any breach of this Agreement. A waiver of any breach of this Agreement shall not constitute a waiver of any future breaches of this Agreement, whether of a similar or dissimilar nature.
- 8.7 Late Payments. The County shall pay CCC interest on all undisputed payments hereunder that are not paid when due. Interest shall begin to accrue thirty (30) days after County's receipt of written notice of nonpayment at the then-current prime rate of interest reported (as of the applicable month for which payment is due) by the Wall Street Journal at <http://www.wsjprimerate.us/> per month until the payment is made, in full. CCC shall provide County with notice of the date on which the interest shall begin to accrue.
- 8.8 If funds are not appropriated or otherwise made available to support continuation of performance by Watauga County in the initial or any subsequent fiscal year, Watauga County shall be subject to cancellation without damages or further obligations. Notwithstanding the preceding sentence, if Watauga County has not appropriated monies for Fiscal Year 20 for this Agreement due to the inability of County to adopt a final budget, Watauga County has the option pursuant to North Carolina law, in its sole discretion, to retain CCC's services pursuant to the Agreement established under Fiscal Year 20 on a month to month basis until said final budget is adopted. County agrees to compensate CCC for the pricing difference between such years, preventing CCC from being financially harmed due to the County not adopting a timely budget.

For the subsequent Fiscal Years this Agreement is in effect, County has the same option as set forth in the previous clause, except it agrees to retain CCC's services pursuant to the terms established in this adopted Agreement on a month to month basis until a final budget is adopted. County agrees to compensate CCC for the pricing difference between such years, preventing CCC from being financially harmed due to the County not adopting a timely budget.

ARTICLE IX: LIABILITY AND RISK MANAGEMENT

- 9.1 Insurance. At all times during this Agreement, CCC shall maintain professional liability insurance covering CCC, its employees, and its officers in the minimum amount of at least one million dollars (\$1,000,000) per occurrence or per claim and three million dollars (\$3,000,000) in the aggregate. In the event that the coverage materially adversely changes, CCC shall notify the County in writing. CCC shall also notify the County, in writing, of any reduction in policy amounts or cancellation of insurance coverage.

- 9.2 Lawsuits against the County. In the event that any lawsuit (whether frivolous or otherwise) is filed against either the County, its employees, its elected officials, employees and agents based on or containing allegations concerning the actions or omissions of CCC, each of CCC or its employees, agents, subcontractors, assignees or independent contractors, as the case may be, may be joined as parties defendant in any such lawsuit; each shall be responsible for their own defense and any judgments rendered against them. Nothing herein shall prohibit any of the parties to this Agreement from joining the remaining parties hereto as defendants in lawsuits filed by third parties.
- 9.3 Responsibility for Actions and Omissions. Each of CCC and the County is responsible for its own actions or omissions. Nothing in this Agreement shall be construed as prohibiting any party from seeking indemnity or contribution as appropriate.

During the term of this Agreement, CCC agrees to procure and maintain such policies of general and professional liability and other insurance at minimum levels of no less than: (a) professional liability insurance at a minimum level of \$1,000,000 per claim or occurrence/\$3,000,000 annual aggregate; (b) comprehensive general liability insurance at a minimum level of \$1,000,000 per claim or occurrence/\$3,000,000 annual aggregate; and (c) director and officer liability coverage for CCC's directors, officers, trustees and managers in the minimum amount of \$5,000,000. Such insurance coverage shall cover the acts and omissions of CCC as well as those legally authorized to act on behalf of CCC. CCC agrees to deliver memorandum copies of such policies to the Sheriff upon request. CCC agrees to give the Sheriff at least thirty (30) days advance notice of any cancellation or material adverse modification of said policies.

The County shall immediately notify CCC of any incident, claim, or lawsuit of which the County becomes aware regarding CCC's obligations under this Agreement, and shall fully cooperate in the defense of such claim, but CCC shall retain sole control of the defense while the action is pending.

ARTICLE X: MISCELLANEOUS

- 10.1 Independent Contractor Status. The parties acknowledge that CCC is an independent contractor. Nothing in this Agreement is intended nor shall be construed to create an agency relationship, an employer/employee relationship, or a joint venture relationship among the parties.
- 10.2 Assignment and Subcontracting. CCC shall not assign this Agreement to any other corporation without the express written consent of the County which consent shall not be unreasonably withheld. Any such assignment or subcontract shall include the obligations contained in this Agreement. Any assignment or subcontract shall not relieve CCC of its independent obligation to provide the services and be bound by the requirements of this Agreement
- 10.3 Notice. Unless otherwise provided herein, all notices or other communications required or permitted to be given under this Agreement shall be in writing and shall be deemed to

have been duly given if sent by certified mail, return receipt requested, postage prepaid, and addressed to the appropriate party at the following address or to any other person at any other address as may be designated in writing by the parties.

- a. Watauga County Sheriff Department
185 Hodges Gap Road
Boone, NC 28607
(828) 264-3761
- b. Competent Correctional Care, Inc.
105 A North Main Ave
Newton, NC 28658
(828) 465-9737

- 10.4 Governing Law. This Agreement and the rights and obligations of the parties hereto shall be governed by, and construed according to, the laws of the State of North Carolina, except if specifically otherwise stated.
- 10.5 Entire Agreement. This Agreement constitutes the complete understanding and entire agreement between the parties with respect to the terms and conditions set forth herein, and is intended as a complete and exclusive statement of the promises, representations, negotiations, discussions, and agreements that have been made in connection with the subject matter hereof and supersede all previous written or oral agreements and representations. The terms and conditions of this Agreement shall control over any terms and conditions in any solicitation, request for proposal, proposal, purchase order, acknowledgment, or other written form. No modifications or amendments to this Agreement shall be binding upon the parties unless the same is in writing and signed by the respective parties hereto. All prior negotiations, agreements, and understandings with respect to the subject matter of this Agreement are superseded hereby.
- 10.6 Amendment. This Agreement may be amended or revised only in writing and signed by all parties.
- 10.7 Waiver of Breach. The waiver by either party of breach or violation of any provision of this Agreement shall not operate as, or be construed to be, a waiver of any subsequent breach of the same or other provision hereof.
- 10.8 Third-Party Reimbursements and Beneficiaries. The parties agree that the County shall take all reasonable steps necessary to insure availability of third party reimbursement as allowed by law. County understands and agrees that if, during the course of treatment of an Inmate or other individual treated at the Facility, an outside payment source other than the County is identified for such Inmate's other individual's care, the source of such payment may be investigated by CCC and pursued if appropriately available under the laws of the state and the United States. Medicaid/Medicare is not an available outside payment source to individuals once they have been incarcerated, and CCC will not seek, direct, or assist in Medicaid/Medicare reimbursement. CCC will inform each provider

utilized by CCC not to bill Medicaid/Medicare and directed to direct the request for payment either to CCC, the individual or legally allowable third party payor(s). The parties agree that they have not entered into this Agreement for the benefit of any third person or persons, and it is their express intention that the Agreement is intended to be for their respective benefit only and not for the benefit of others who might otherwise be deemed to constitute third-party beneficiaries hereof.

- 10.9 Severability. In the event any provision of this Agreement is held to be unenforceable for any reason, the unenforceability thereof shall not affect the remainder of the Agreement, which shall remain in full force and effect and enforceable in accordance with its terms.
- 10.10 Force Majeure. Neither party shall be held responsible for any delay or failure in performance (other than payment obligations) to the extent that such delay or failure is caused by fire, flood, hurricane, explosion, war, strike, labor action, terrorism, embargo, government regulation, riot, civil or military authority, act of God, acts or omissions of carriers, or other similar causes beyond its control.
- 10.11 Liaison. The County or its designee (so designated in writing by the County) shall be the liaison with CCC.
- 10.12 CCC Medical Practice Board If the Medical Director becomes unable to perform his duties, the CCC Medical Practice board will appoint an interim Medical Director to perform said duties. Within thirty (30) days, the CCC Medical Practice Board will elect a new medical director (with approval of the Sheriff).

ARTICLE XI: DEFINITIONS

- 11.1 CPI increase means the lesser of: (i) 5.5% or (ii) the relevant reported CPI % change, rounded to the nearest tenth, in the CPI, All Urban Consumers (Current Series), Not Seasonally Adjusted, US City Average, Hospital and related services (SEMD) applicable to the twelve (12) months ended on April of the applicable Fiscal Year. The CPI Increase will apply to this Agreement but no decrease will apply. The calculation of the relevant reported CPI change will use the following formula using data reported by the Bureau of Labor Statistics for the applicable period:
$$\text{CPI Increase} = \frac{\text{CPI for current period} - \text{CPI for previous period}}{\text{CPI for previous period}} \times 100$$
 = CPI Increase rounded to the nearest whole number. As and for an example, as indicated in the Bureau of Labor Statistics report available at <http://data.bls.gov>, the CPI for April 2007 is 492 and for April 2008 is 530; the CPI Increase would be 7.7% under the formula stated in this Section 112.
- 11.2 Elective Medical Care means services and supplies which, if not provided, would not, as determined by CCC's medical director, cause the Inmate's health to deteriorate or cause definite harm to the Inmate's well being.
- 11.3 Emergency Services means medically necessary healthcare services needed to treat or screen for a medical condition manifesting itself by acute symptoms of sufficient severity

such that, in the absence of immediate medical attention will result in any of the following:

1. Placing the health of an individual or with respect to a pregnant woman, the health of the woman and her unborn child, in serious jeopardy;
 2. Serious impairments to bodily functions; or
 3. Serious dysfunction of any bodily organ or part
- 11.4 Fiscal Year means the twelve months beginning July 1 and ending June 30.
- 11.5 Included Medical Care means reasonable and medically necessary medical care, (including services, supplies and screening such as laboratory and radiology), required to be provided or arranged for Inmates by CCC under this Agreement and not excluded under applicable law, regulation or ruling. Some medically necessary services are expressly not required to be provided or arranged.
- 11.6 Inmate means an individual under the physical custody and control of the Facility. The following individuals are not Inmates for purposes of this Agreement: individuals who are for any reason not in the physical custody and control of the Facility including, but not limited to, any individuals who do not sleep at Facility at night, individuals assigned to work release, individuals who are temporarily released such as for funerals, escapees, individuals in the custody of any police or penal jurisdictions other than Facility. All determinations about an individual's status as an Inmate shall be based on the actual clock time of release or custody, not the calendar day of release or custody.
- 11.7 Primary Correctional Healthcare means Included Medical Care professional medical care and certain supplies directly provided by CCC. Primary Correctional Healthcare includes only those certain prescription and non-prescription drugs listed on the Medication Formulary attached hereto as Exhibit C. CCC may amend Exhibit C upon written notice to County.
- 11.8 Referral Correctional Healthcare means Included Medical Care provided by vendors, specialists or facilities, as independent contractors, under arrangement with CCC. Referral Correctional Healthcare includes, but is not limited to, any medical devices, prosthesis, durable medical equipment and any prescription or non-prescription drugs other than those listed on the Medication Formulary attached hereto as Exhibit C. CCC is not responsible for the actions or omissions of providers of Referral Correctional Healthcare.

The remainder of this page left intentionally blank

IN WITNESS WHEREOF the parties have executed this Agreement in their official capacities with legal authority to do so.



WATAUGA COUNTY, NORTH CAROLINA

By: [Signature]
Nathan A. Miller, Chairman
Watauga County Board of Commissioners
DATE: 11/16/11

Attest: [Signature] (SEAL)
Anita Fogle, Clerk to the Board

COMPETENT CORRECTIONAL CARE, INC.

BY: [Signature]
TITLE: President
DATE: 11/21/11

[Signature]
L.D. Hagaman, Jr.
SHERIFF, WATAUGA COUNTY
DATE: 11-17-11

This instrument has been pre-audited in the manner required by the Local Government Budget and Fiscal Control Act.

[Signature]
Margaret Pierce
Watauga County Finance Officer

AGENDA ITEM 5:

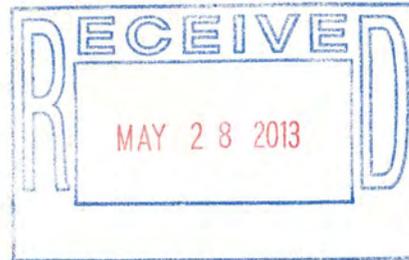
SHERIFF'S OFFICE MATTERS

B. Request to Accept Donation of Two Service Dogs from Mount Vernon Church

MANAGER'S COMMENTS:

The Sheriff's Office requests Watauga County accept a donation of two K-9 service dogs from Mount Vernon Church. Both dogs, a German Shepherd and Belgium Malinois, are dual purpose service dogs trained for patrol and narcotics. Handlers training will also be provided by Triangle Canine which is where the Church purchased the K-9s. Funds have been budgeted in the FY 2013-14 budget.

Direction from the Board is requested.



May 22, 2013

Watauga County Sheriff's Office
184 Hodges Gap Road
Boone, NC 28607

Dear Sirs:

Mount Vernon Baptist Church would like to donate two service dogs to the Watauga County Sheriff's Office for the purpose of law enforcement.

We hope Elvis and Moses will provide years of valuable service to this department.

Sincerely,

Rev. Bud Russell
Minister of Education and Administration

BR/jds

Invoice Pd
by Mt. Vernon
Church.



Triangle Canine

P. O. Box 634
 Hillsborough, North Carolina 27278
 919-732-4349 Cell 919-418-7800

Invoice

1118

INVOICE

Customer

Name Mount Vernon Baptist Church
 Address 3505 Bamboo Rd
 City Boone State NC ZIP 28607
 Phone 828-266-9700

Date 5/1/2013
 Quote by: M. Baker

Qty	Description	Unit Price	TOTAL
2	Dual purpose police service dogs (Patrol/Narcotics) with handlers training For Watauga County Sheriff's Office German Shepherd Named "Elvis" DOB 02/20/2012 Belgium Malinois Named "Moses" DOB 07/18/10	\$8,800.00	\$17,600.00

Payment Details

Make check payable to: **Triangle Canine**
 Check # _____
 Purchase Order # _____
 Order Per : Bud Russell/Wes Hawkins
 Phone: _____

SubTotal	\$17,600.00
Shipping & Handling	\$0.00
Taxes State	
TOTAL	\$17,600.00

13511118inv

Thank You for Your Business

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AGENDA ITEM 6:**ECONOMIC DEVELOPMENT COMMISSION (EDC) FUNDING RECOMMENDATION****MANAGER'S COMMENTS:**

Representatives from the Appalachian Regional Healthcare System (ARHS) will provide details on the new Appalachian Place project at Chestnut Ridge. The new facility will be constructed on property near the Blue Ridge Parkway in Blowing Rock and will replace Blowing Rock Hospital. Total estimated cost for the project is \$20 million. ARHS is requesting assistance in funding for the water and sewer infrastructure needs.

The Watauga County EDC is recommending the Board approve \$150,000 for water and sewer infrastructure. The full \$150,000 is to be paid up front with \$75,000 to be tied to Phase II of the project. Should Phase II not begin within five (5) years, the \$75,000 is required to be repaid to the County.

If the Board were to agree to fund the project, approval is required to grant the \$150,000 allocation to the Appalachian Regional Healthcare System for water and sewer infrastructure needs with the agreement that if construction on Phase II is not started within five (5) years that \$75,000 of the \$150,000 allocation would be required to be repaid to the County.

Staff seeks direction from the Board.

Appalachian Place at Chestnut Ridge: An Economic Development Initiative in Watauga County

In 2008, Appalachian Regional Healthcare System (ARHS) began reviewing the operation of its three hospitals, in order to increase efficiency and continue to provide the highest levels of care for the community. From this review it was determined that the current Blowing Rock Hospital, which was built in 1952, has too few beds to ever be financially solvent. Further analysis revealed that expansion and renovation necessary to sustain the care model would be cost prohibitive. Additionally, ARHS learned that the existing facility would be subject to a federal mandate requiring hospitals to have sprinkler systems in patient rooms.

In 2009, ARHS began developing a plan to build a new state-of-the-art, post-acute care facility to replace the existing Blowing Rock Hospital. This new facility would allow ARHS to provide a full continuum of care and services for the aging. ARHS subsequently purchased 68 acres in Blowing Rock alongside the Blue Ridge Parkway, to construct the new facility. The Town of Blowing Rock annexed the property in 2012. It was well understood that the new post-acute care facility would provide employment opportunities while improving the quality of care offered to residents and visitors.



New Post-Acute Care Facility

Phase One Economic Development

Phase One of the project focuses on job savings and job creation, as a result of the construction and completion of a new 85,000+ square foot post-acute care facility called ***Appalachian Place at Chestnut Ridge***. 110 jobs will be saved because ARHS will relocate them from the current Blowing Rock Hospital to the new facility. A grant from the Appalachian Regional Commission requires that 59 new positions be created as a result of the increased size and additional service lines in the new facility. The existing 72 bed hospital in Blowing Rock has an average daily census of 58 patients. The new facility will have 112 beds and a projected average daily census of 90 patients.

The types of positions, salaries and benefit packages that will serve the new facility include:

Certified Nursing Assistants	+\$24K	Psychologists	+\$62K
Pharmacy Technicians	+\$26K	Gerontologists	+\$68K
Nutritionists	+\$26K	Pharmacists	+\$76K
Physical Therapists	+\$42K	Nurse Practitioners	+\$86K
Speech Therapists	+\$46K	Physicians Assistants	+\$92K
Registered Nurses	+\$48K	Physicians	+\$170K
Healthcare Administration	+\$52K	Anesthetists	+\$180K

Economic Development in Phase Two

Upon completion of Phase One, ARHS will be in a pivotal position to act as a catalyst for other complementary businesses and additional job creation.

- **Primary Care Clinic: 10-20** new positions will be created through the opening of a Primary Care Clinic with extended hours.
- **Retail Pharmacy: 10-20** new positions will be created as a result of the opening of an on-site retail pharmacy.
- **Development of a Retirement Community:** ARHS, Appalachian State University and members of the community have formed a retirement task force in order to identify a retirement community model which will serve the retirement needs of residents of the High Country. The retirement community will be located on ARHS' 68 acre site, adjacent to the post-acute care facility. Job creation associated operating a continuing care retirement community would provide an additional **150 to 200** jobs in the community.
- **Specialty medical practices** will relocate to provide services for the aging.
- **Ancillary services providers** will relocate to provide services to the post-acute care facility and retirement community.
- **Site Redevelopment at Blowing Rock Hospital:** The existing Blowing Rock Hospital will be demolished at the completion of Phase One. Because of its scenic location on the rim of Johns River Gorge in Blowing Rock, it will be remarketed as a prime commercial location for real estate or tourism development.

Basis of Need

The Town of Blowing Rock and ARHS have received grants from the following organizations to support road and bridge construction for Phase One of the project:

Appalachian Regional Commission	\$2,583,330
Department of Transportation	<u>\$ 250,000</u>
	= \$2,833,330

The Town of Blowing Rock and ARHS have also received grants from the following organizations to cover the projected **\$1,500,000** in water and sewer costs:

NC Rural Center	\$585,495
Golden Leaf Foundation	\$100,000
Town of Blowing Rock	<u>\$ 58,549</u>
	= \$ 744,044

This \$744,044 committed leaves the Town of Blowing Rock and ARHS approximately \$755,956 short of the anticipated expense to complete the water and sewer infrastructure.

The Town of Blowing Rock and ARHS respectfully request \$150,000 from the Watauga County EDC for water and sewer infrastructure, in order to complete Phase One construction of the post-acute care facility and provide infrastructure for future economic development in Phase Two and beyond. This financial support is critical to save current jobs and serve as a catalyst for new job creation in Watauga County.



Presentation to the Watauga County Commissioners

Blowing Rock Post-Acute Care Project

June 4, 2013

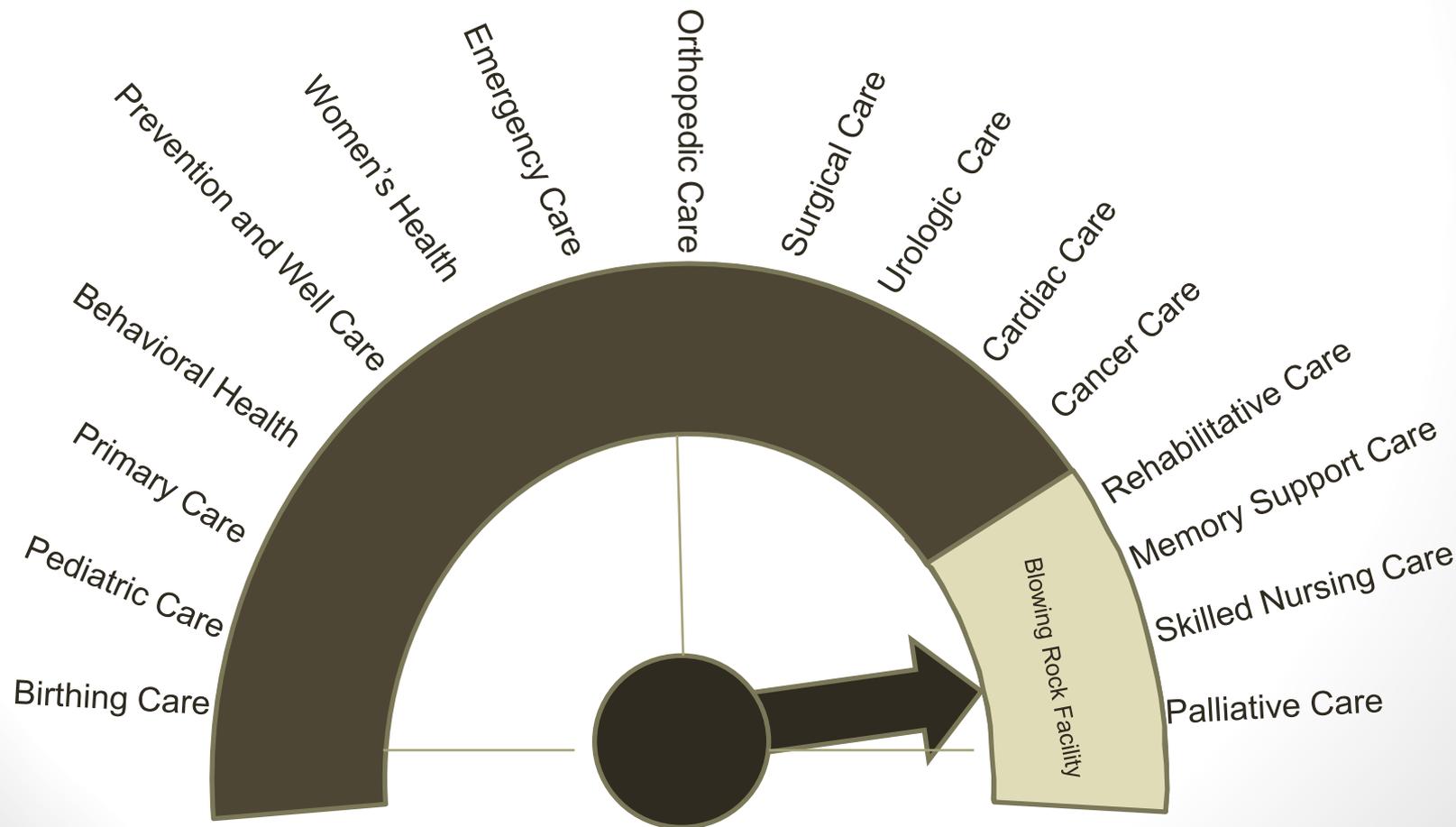


ARHS is a 501(c)3 Non Profit Corporation

• Number of Employees	1,455
• Number of Watauga County Employees	710
• Annual Budget	\$150,000,000
• Annual Salaries/Benefits	\$ 65,000,000
• Charity Care	\$ 8,100,453
• Uncompensated Care	\$ 14,808,510
• Births	630
• Inpatient Discharges	8,296
• Surgeries	6,809
• Emergency Department Visits	30,520

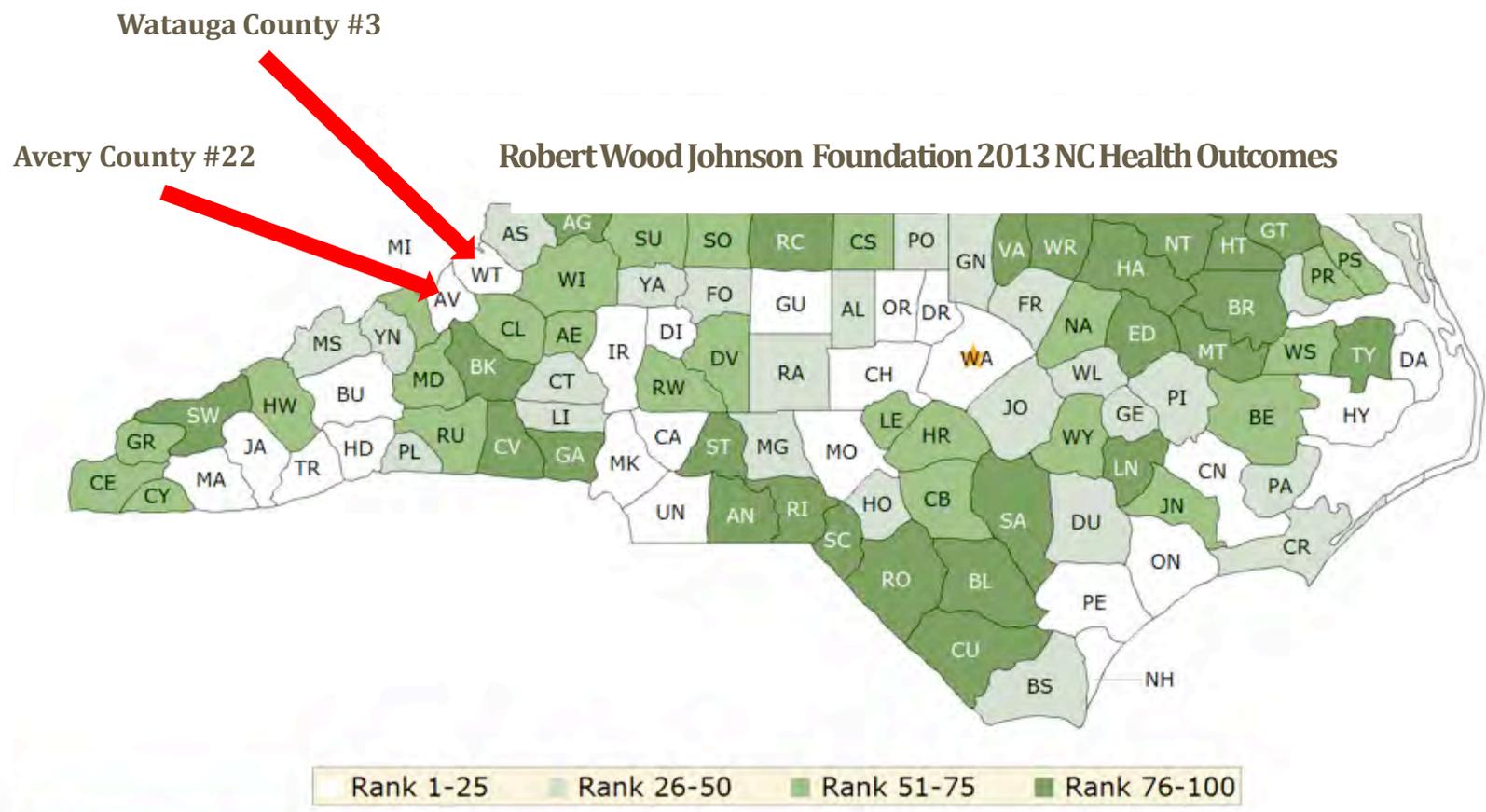
Appalachian Regional Healthcare System

Providing *Population Health Management* in our region through Physician Alignment and Integration of Facilities and Services



We're On the Right Track

Robert Wood Johnson Foundation 2013 NC Health Outcomes



Appalachian Place at Chestnut Ridge

- Replacing current 72-bed Blowing Rock Hospital with a 112-bed Post-Acute Care Facility.
- Will be located on 68 acre site in Blowing Rock, NC
- Property Annexed by Town of Blowing Rock
- Certificate of Need received July, 2012
- Town of Blowing Rock approved Plans for Road and Building during May 2013 Town Council Meeting
- Project Start Date: **Summer 2013**
- Estimated Completion Date: **End of 2015**
- Estimated Cost: **\$20 Million**

Why Build a Post Acute Care Center?

- It is the Right Thing To Do for Patients and our Community
 - ❖ It ensures **quality, patient safety** and better **outcomes**.
 - ❖ It will serve as an **economic development driver** through job retention and job creation -- and act as a catalyst for future growth.

- It Will Create System Efficiency:
 - ❖ The current facility is not equipped to provide a continuum of care.
 - ❖ The current facility has too few beds to ensure sustainability and diverts resources from the rest of the system.
 - ❖ The current facility is subject to a federal mandate to be 100% fire sprinkled.

Why Build a Post Acute Care Center?

- It provides a continuum-of-care for ARHS and the region.
- It prepares ARHS to care for a steadily increasing and aging population in our community.
- It will provide healthcare services for the aging including:
 - ❖ Skilled Nursing Care
 - ❖ Post-Acute Rehabilitation Care
 - ❖ Alzheimer's Disease and Memory Support Care
 - ❖ Palliative Care
 - ❖ Primary Care by Onsite Physicians
 - ❖ Speech and Communication Disorders
 - ❖ Hearing Disorders
 - ❖ Nutrition

Why Build a Post Acute Care Center?

- It strengthens ARHS' partnership with ASU's new College of Health Sciences by providing training opportunities for students in the areas of:
 - ❖ Nursing
 - ❖ Speech, Hearing & Communication Disorders
 - ❖ Social Work
 - ❖ Nutrition
 - ❖ Exercise Science
 - ❖ Healthcare Management
- It increases the likelihood the ARHS will retain much-needed nursing talent.



Our Request of Watauga County

Water & Sewer Project Costs

\$1,500,000

Grants and Contributions

- NC Rural Center \$585,495
- Golden Leaf Foundation \$100,000
- Town of Blowing Rock \$ 58,549

=\$744,044

Balance: (\$755, 946)

- On February 12, ARHS met with the *Watauga EDC* to request **\$150,000** for water and sewer infrastructure.
- The *Watauga EDC* voted to recommend this request to the Watauga County Commissioners on the basis that this infrastructure will serve as a catalyst for economic development and job growth.

Healthcare: An Economic Development Driver

Saving Jobs:

- **110** full-time positions will relocate from the existing Blowing Rock Hospital.

Creating Jobs:

- **59** new jobs with a grant from the NC Rural Center.
- **10-20** new positions in a retail pharmacy.
- **10-20** new positions in a primary care clinic.

Opportunity for Future Growth

- Continuing Care Retirement Community **(+100)**
- Specialty medical practices **(+50)**
- Ancillary services providers **(+50)**

Appalachian Place at Chestnut Ridge



Low Profile Front Entry

Appalachian Place at Chestnut Ridge

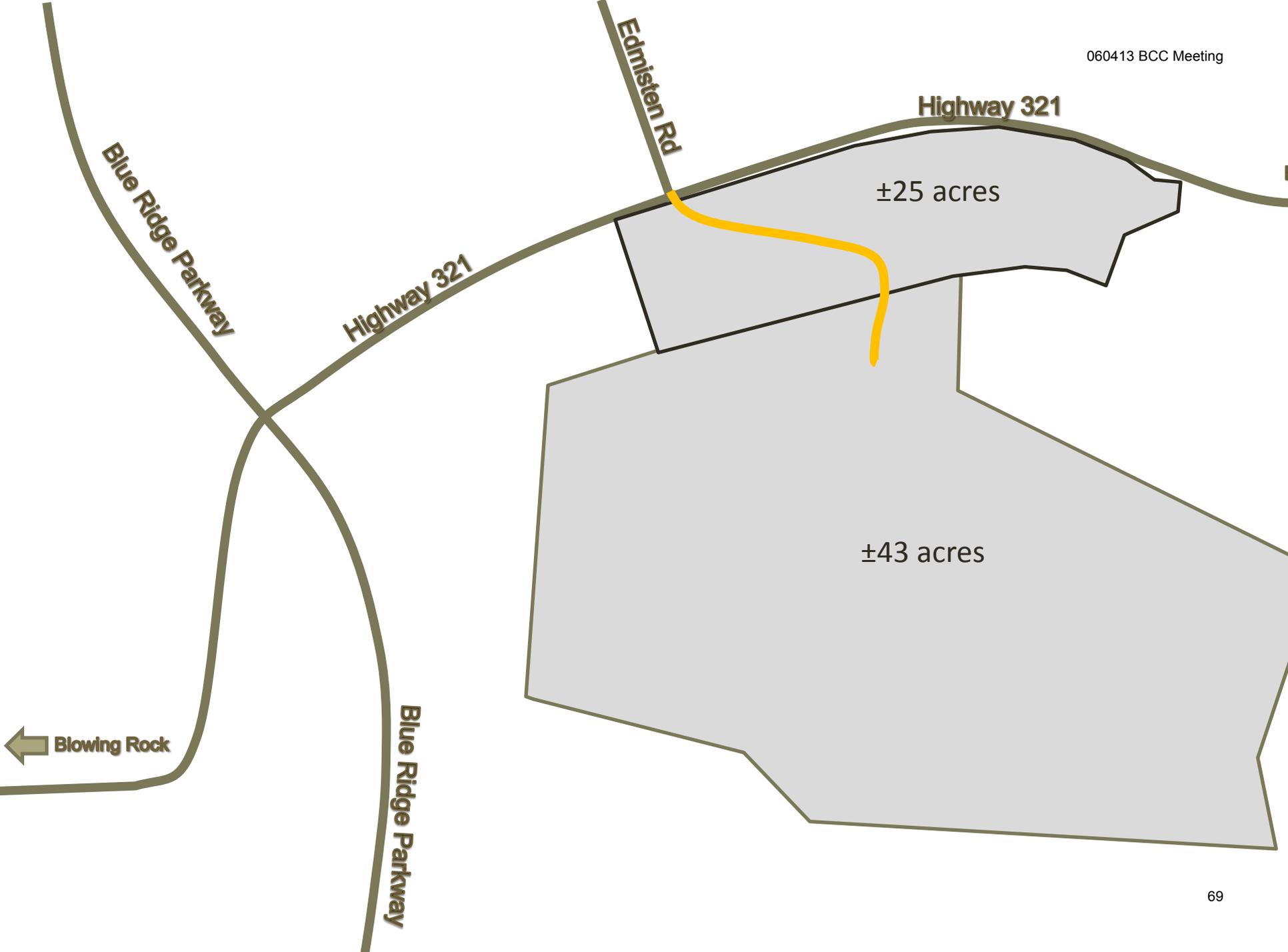


Rear of Post Acute Care Facility

Appalachian Place at Chestnut Ridge

060413 BCC Meeting





Highway 321

±25 acres

Highway 321

Edmisten Rd

Blue Ridge Parkway

±43 acres

Blue Ridge Parkway

Blowing Rock



...the Feeling of Living at Home



...In a Neighborhood Concept

Parking for 100 Cars

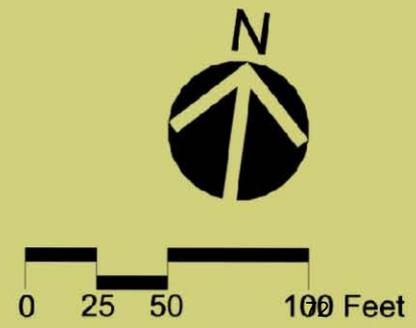
060413 BCC Meeting



Rehab Unit
34 Beds

Skilled Nursing Unit
34 Beds

B Main Level



Main Level Above

Living

Dining

Secure Courtyard

Corridor

Living

Patio

Dining

Patio

Living

Patio

Memory Care Unit
20 Beds

Living

Living

Skilled Nursing Unit
24 Beds

Patio

Patio

B Lower Level





Master Plan for
Chestnut Ridge
Future Expansion

AGENDA ITEM 7:

JUVENILE CRIME PREVENTION COUNCIL (JCPC) MATTERS

A. FY 2013 JCPC Revised Funding Allocation

MANAGER'S COMMENTS:

Ms. Karee Mackey, Chair of the Juvenile Crime Prevention Council (JCPC), will present a revised funding allocation for FY 2013.

Board approval is requested for the funding allocation revision.



WATAUGA COUNTY FINANCE OFFICE

814 West King St., Room 216 - Boone, NC 28607 - Phone (828) 265-8007 Fax (828) 265-8006

MEMORANDUM

TO: Deron Geouque, County Manager
FROM: Margaret Pierce, Finance Director
SUBJECT: JCPC Grant Budget Changes
DATE: May 28, 2013

Attached please find a revised Juvenile Crime Prevention Council 2012-13 Funding Allocation form. With limited placement this fiscal year to the Temporary Shelter/Group Home program at Crossnore, remaining funding for the program has been reallocated to other JCPC programs to avoid losing \$3,740 in Watauga at risk youth program funding. WYN Youth Resource Center is recommended for an additional \$1,870 and Blue Ridge Mediation and Restorative Justice is recommended for an additional \$1,870. These funds can only be used per the existing program agreements.

In addition the Community Programs Section of the Division of Juvenile Justice of DPS received approval May 9 from OSBM to move ahead with discretionary funding for FY 2012-13. To be eligible for these funds, a JCPC-funded program had to meet two criteria:

- Be able to provide the required local cash match for these funds, and
- Spend discretionary funds by June 30, 2013.

Blue Ridge Mediation and Restorative Justice applied for and received discretionary funds of \$3,742 and provided the required match of \$1,122. These additional allocations are listed on the revised Funding Allocation.

Karee Mackey will be available for any questions and to present this request. Board approval of the revised Funding Allocation is requested.

Watauga County 2012-2013

NC DPS, Division of Juvenile Justice County Funding Allocation

Available Funds: \$ 114,912 Local Match: \$ 34,384 Rate: 30%

A **Program Agreement Form** for each program listed below is included as an attachment to the Community Prevention and Intervention Plan.

#	Program Provider	DJJDP Funding	LOCAL FUNDING			OTHER	Total	% Non-DJJDP Program Revenues
			Local Cash County	Local Cash Other	Local In-Kind	State/Federal		
1	JCPC Administrative Funds	\$300					\$300	0%
2	Juvenile Mediation	\$16,580	\$3,852	\$1,122			\$21,554	23%
3	Project Challenge	\$37,497	\$11,249				\$48,746	23%
4	Crossnore School	\$14,124	\$4,237				\$18,361	23%
5	Youth Resource Center	\$46,411	\$13,924				\$60,335	23%
6							\$0	#DIV/0!
7							\$0	#DIV/0!
8							\$0	#DIV/0!
9							\$0	#DIV/0!
10							\$0	#DIV/0!
	TOTALS:	\$114,912	\$33,262	\$1,122	\$0	\$0	\$149,296	23%
	Unallocated Funds	\$0						

The above plan was derived through a planning process by the Watauga County
Juvenile Crime Prevention Council and represents the County's Plan for use of these funds in FY 2012-2013.

Chairperson, Juvenile Crime Prevention Council (Date)

Chairperson, Board of County Commissioners (Date)

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AGENDA ITEM 7:

JUVENILE CRIME PREVENTION COUNCIL (JCPC) MATTERS

B. FY 2014 JCPC Certification, Membership, and County Plan

MANAGER'S COMMENTS:

Ms. Mackey will present the Juvenile Crime Prevention Council (JCPC) Certification and County Plan as well as the membership roster for FY 2014.

Board approval is requested for the certification and membership.



WATAUGA COUNTY FINANCE OFFICE

814 West King St., Room 216 - Boone, NC 28607 - Phone (828) 265-8007 Fax (828) 265-8006

MEMORANDUM

TO: Deron Geouque, County Manager
FROM: Margaret Pierce, Finance Director
SUBJECT: JCPC Certification, Membership, and County Plan for 2013-14
DATE: May 28, 2013

Attached please find the annual Juvenile Crime Prevention Council Certification, membership recommendations, and County Plan for the coming fiscal year. Karee Mackey will be available to answer any questions the Board may have.

Board approval is requested.



**NC Department of Public Safety
Juvenile Crime Prevention Council Certification**

Fiscal Year: 2013 -2014

County: Watauga	Date: 5-23-13
------------------------	----------------------

CERTIFICATION STANDARDS

STANDARD #1 - Membership

- A. Have the members of the Juvenile Crime Prevention Council been appointed by county commissioners? _____ yes
- B. Is the membership list attached? _____ yes
- C. Are members appointed for two year terms and are those terms staggered? _____ yes
- D. Is membership reflective of social-economic and racial diversity of the community? _____ yes
- E. Does the membership of the Juvenile Crime Prevention Council reflect the required positions as provided by N.C.G.S. §143B-846? _____ no

If not, which positions are vacant and why?
Chief District Judge, availability of judges

STANDARD #2 - Organization

- A. Does the JCPC have written Bylaws? _____ yes
 - B. Bylaws are attached or on file (Select one.) _____
 - C. Bylaws contain Conflict of Interest section per JCPC policy and procedure. _____ yes
 - D. Does the JCPC have written policies and procedures for funding and review? _____ yes
 - E. These policies and procedures attached or on file. (Select one.) _____
 - F. Does the JCPC have officers and are they elected annually? _____ yes
- JCPC has: Chair; Vice-Chair; Secretary; Treasurer.

STANDARD #3 - Meetings

- A. JCPC meetings are considered open and public notice of meetings is provided. _____ yes
- B. Is a quorum defined as the majority of membership and required to be present in order to conduct business at JCPC meetings? _____ yes
- C. Does the JCPC meet bi-monthly at a minimum? _____ yes
- D. Are minutes taken at all official meetings? _____ yes
- E. Are minutes distributed prior to or during subsequent meetings? _____ yes

STANDARD #4 - Planning

- A. Does the JCPC conduct an annual planning process which includes a needs assessment, monitoring of programs and funding allocation process? _____ yes
- B. Is this Annual Plan presented to the Board of County Commissioners and to DPS? _____ yes
- C. Is the Funding Plan approved by the full council and submitted to Commissioners for their approval? _____ yes

Juvenile Crime Prevention Council Certification (cont'd)

STANDARD #5 - Public Awareness

- A. Does the JCPC communicate the availability of funds to all public and private non-profit agencies which serve children or their families and to other interested community members? (RFP, distribution list, and article attached) _____ yes
- B. Does the JCPC complete an annual needs assessment and make that information available to agencies which serve children or their families, and to interested community members? _____ yes

STANDARD #6 – No Overdue Tax Debt

- A. As recipient of the county DPS JCPC allocation, does the County certify that it has no overdue tax debts, as defined by N.C.G.S. §105-243 (1), at the Federal, State, or local level? _____ yes

Briefly outline the plan for correcting any areas of standards non-compliance.

Having complied with the Standards as documented herein, the Juvenile Crime Prevention Council may use up to \$15,500 of its annual Juvenile Crime Prevention fund allocation to cover administrative and related costs of the council. Attach Line Item Budget Information and Budget Narrative sheets detailing the expenditure budget. The JCPC Certification **must be received by June 30, 2013.**

**JCPC Administrative Funds
SOURCES OF REVENUE**

DPS JCPC	300
Local	0
Other	0
Total	300

Karen Mackey
JCPC Chairperson

5/24/13
Date

Chairman, Board of County Commissioners

Date

Authorizing Official, DPS

Date

Juvenile Crime Prevention Council Certification (cont'd)

Instructions: N.C.G.S. § 143B-846 specifies suggested members be appointed by county commissioners to serve on local Juvenile Crime Prevention Councils. In certain categories, a designee may be appointed to serve. Please indicate the person appointed to serve in each category and his/her title. Indicate appointed members who are designees for named positions. Indicate race and gender for all appointments.

County	Watauga		FY: 2013-14		
Specified Members (G.S. 147-33.61)	Name	Title	Designee	Race	Gender
1) School Superintendent or designee	Clarissa Schmal	Student Services	<input checked="" type="checkbox"/>	W	F
2) Chief of Police	Kat Brackenridge	Investigator	<input checked="" type="checkbox"/>	W	F
3) Local Sheriff or designee	Dee Rominger	Detective	<input checked="" type="checkbox"/>	W	F
4) District Attorney or designee	Jennifer Mathews	ADA	<input checked="" type="checkbox"/>	W	F
5) Chief Court Counselor or designee	Lisa Garland	Chief Counselor	<input type="checkbox"/>	W	F
6) Director, AMH/DD/SA, or designee	Karen Brown	Smoky Mt LME	<input checked="" type="checkbox"/>	W	F
7) Director DSS or designee	Mandy Garrett	Social Worker	<input checked="" type="checkbox"/>	W	F
8) County Manager or designee	Margaret Pierce	Finance Director	<input checked="" type="checkbox"/>	W	F
9) Substance Abuse Professional	Murray Hawkinson	Daymark Recovery	<input type="checkbox"/>	W	M
10) Member of Faith Community	Pan Adams-McCaslin	Church of Holy Cross	<input type="checkbox"/>	W	F
11) County Commissioner	John Welch	Commissioner	<input type="checkbox"/>	W	M
12) Two Persons under age 18 (State Youth Council Representative, if available)			<input type="checkbox"/>		
13) Juvenile Defense Attorney	Josh Teague	Defense Attny	<input type="checkbox"/>	W	M
14) Chief District Judge or designee	Vacant		<input type="checkbox"/>		
15) Member of Business Community	Misty Bishop-Price	High Country Work Force Dev	<input type="checkbox"/>	W	F
16) Local Health Director or designee	Trish Lanier	Social Worker	<input checked="" type="checkbox"/>	W	F
17) Rep. United Way/other non-profit	Karee Mackey	4-H	<input type="checkbox"/>	W	F
18) Representative/Parks and Rec.	Stephen Poulos	P&R Director	<input type="checkbox"/>	W	M
19) County Commissioner appointee	Melissa Johnson	Director, MRJC	<input type="checkbox"/>	W	F
20) County Commissioner appointee	Jennifer Grubb	Director, WYN	<input type="checkbox"/>	W	F
21) County Commissioner appointee	Dennis Aldridge	Proj.Challenge	<input type="checkbox"/>	W	M
22) County Commissioner appointee	Mechelle Miller	CourtCounselor	<input type="checkbox"/>	W	F
23) County Commissioner appointee	Amber Matthews	Crossnore School	<input type="checkbox"/>	W	F
24) County Commissioner appointee	Dan Isenhour	ASU Student	<input type="checkbox"/>	W	M
25) County Commissioner appointee			<input type="checkbox"/>		

**Watauga County
Juvenile Crime Prevention Council
By-Laws**

Article I: Name and Purpose

Section 1: The name of the organization shall be the Watauga County Juvenile Crime Prevention Council (the Council, and JCPC).

Section 2: The purpose of the Council shall be to plan and develop strategies to address and prevent juvenile delinquency at the county level in partnership with the State so that there is coordination with statewide resources, priorities, and objectives. The Council is responsible for developing a local continuum of sanctions and services to address the issues of undisciplined and delinquent juveniles and their families.

Article II: Records

Organizational records, including By-laws and minutes, and property of the JCPC shall be located at the Watauga County Offices, under the care and control of the County Manager or his or her designee.

Article III: Membership

Section 1: Members of the Council shall be appointed annually by the Board in accordance with NCGS §143B-845 to 851.

Section 2: The term of appointment of members shall be for a period of two years, except that members when appointed to an unexpired term shall serve for the remainder of that unexpired term (NCGS §143B-847). Members may be reappointed and may serve successive terms.

Section 3: Terms of appointment shall begin July 1, 1999 (NCGS §143B-847) unless said appointment is to an unexpired term. The term of appointment to such term shall begin at the next meeting of the Council following the appointment.

Section 4: The Chair of the Membership and Nominations Committee shall advise the Board of any members whom should be replaced because of resignation, death, nonfeasance, or malfeasance (NCGS §143B-848). Nonfeasance shall include failure to attend three consecutive meetings of the Council. The Membership and Nominations Committee Chair or any Council member shall make recommendations to the Council as to replacement. The Chairperson or designee will take these recommendations to the Board for final action.

Article IV: Officers

Section 1: The Officers of the Council (Officers) shall be elected by the members of the Council (NCGS §143B-846). To avoid a real or perceived conflict of interest, members associated with or related to members associated with, funded programs or programs seeking funding, shall not be eligible for election or appointment as Officers of the Council.

Section 2: The Officers shall be elected for terms of one year and may succeed themselves.

3.1: The Chairperson shall:

- preside at all meetings of the Council;
- serve as a member ex officio of all committees of the Council;
- report upon the activities of the Council to the Board;
- serve as the Executive Officer of the Council;
- appoint committees, committee membership and committee Chairs as necessary and in keeping with the By-laws; and,
- exercise all such other duties and powers provided herein.

3.2: The Vice-Chairperson shall:

- preside at all meetings of the Council in the absence of the Chairperson;
- exercise all other duties assigned by the Chairperson; and,
- exercise all other duties and powers provided herein.

3.3: The Secretary shall:

- keep the minutes of all meetings of the Council and shall distribute these to the members as specified herein; and,
- exercise all such other duties provided herein.

3.4: The Treasurer shall:

- keep accurate account of all funds provided to the Council for the exercise of its business; and,
- exercise all such other duties provided herein.

Article V: Meetings

Section 1: The Council shall meet at least bi-monthly (NCGS §143B-849).

Section 2: All meetings of the Council shall be subject to the provisions of NCGS §143-318.9 through 143-318.18.

Section 3: A Quorum, defined as a simple majority of the members, shall be necessary to conduct any business of the Council or its committees (NCGS §143B-849).

Section 4: Minutes, including a record of attendance shall be taken at all meetings of the Council and shall be distributed to the members prior to or at subsequent meetings. Council Committee Chairs shall present a written or oral report if requested at each regularly scheduled Council meeting.

Section 5: Except in cases of emergency, cancellation of any meeting of the Council shall require notification of each member by the Chairperson in writing or by phone, fax, or email two days prior to the scheduled meeting date.

Section 6: Special Meetings

6.1: The Chairperson may call such special meetings as are necessary to carry out the duties of the Council.

6.2: Notice of all special meetings shall be made as required by NCGS §143-318.12.

Article VI: Committees

Section 1: The Executive Committee: The Executive Committee shall be composed of the Officers and the Chairs of each Standing Committee.

- 1.1: The Executive Committee shall function to coordinate the various activities of the Council and its committees between meetings.
- 1.2: Notification of each meeting of the Executive Committee shall be made to each member in writing or by phone, fax, or email at least 5 days prior to the meeting. Attendance of any member at any meeting without protesting the lack of proper notice shall be deemed a waiver of the notice of the meeting.

Section 2: Standing Committees: The Chairperson shall annually appoint at least two members of the Council to each of the following committees, except that at least five members shall be appointed to the Allocations Committee. To avoid a real or perceived conflict of interest, members associated with or related to members associated with, funded programs or programs seeking funding, shall not be eligible for appointment to the Monitoring or Allocations Committee.

2.1: The Monitoring Committee shall:

- Evaluate the performance of juvenile services and programs in the community and present the results of evaluations to the Council. This information shall be used by the Council to determine whether, and/or under what conditions, each program/agency should be eligible to request continued funding. (NCGS §143B-851).
- Perform such other duties as shall be established by the Council.

2.2: The Allocations Committee shall:

- Advertise, receive, review and evaluate proposals for JCPC funds.
- Make funding allocation recommendations to the full Council for programs and services to address undisciplined, delinquent, mental health and substance abuse issues, including the treatment, counseling, or rehabilitation of juveniles and their families, including court-ordered parenting education and parenting responsibility classes if indicated (NCGS §143B-851).
- Conduct such other duties as shall be established by the Council.

2.3: The Membership and Nominations Committee, or any Council member, may recommend annually, and at such times as vacancies occur, persons for nomination for appointment as members and Officers of the Council. Upon Council approval, these names will be recommended by the Chairperson or their designee to the Board. The Committee shall also perform such other duties as may be established by the Council.

Section 3: Ad Hoc Committees: The Chairperson may appoint ad hoc committees and Chairs for them, as deemed necessary to carry out business of the Council not otherwise addressed by Standing Committees. The appointment of each ad hoc committee shall expire with the term of the Chairperson who appointed said committee.

Section 4: Committee Membership: The Chairperson may appoint persons who are not members of the Council to any committee as non-voting members when this is deemed appropriate to the business of that committee.

Section 5: Committee Leadership: The Chairperson shall annually appoint a Chair of each Standing Committee of the Council and of each ad hoc Committee from the membership of the Council. To avoid a real or perceived conflict of interest, members associated with or related to members associated with, funded programs or programs seeking funding, shall not be eligible for election or appointment as Committee Chair.

Article VII: Governance

Section 1: By-laws: The By-laws may be amended or repealed and new By-laws adopted by the affirmative vote of two-thirds of the members present at any regular or special meeting providing a quorum is present and all members have been given proper notice. In the event of a tie, the Chairperson shall make the final decision.

Section 2: Proper Notice: Notice of any proposed amendment or repeal and replacement of the By-laws shall be given to all members of the Council by mail, fax or email, including the substance of the change and the date, time and place of the meeting at which this matter is to be considered at least 10 days prior to such meeting.

Section 3: Decision-making: The Council will use consensus decision-making if possible, and, if consensus can't be reached within the time-frame required as determined by the Chairperson, a majority vote (51%) will determine the outcome of the decision. The Chairperson may, if approved by a majority present at any meeting lacking a quorum, contact members to enlist their decision by email or fax, and attach those documents to the meeting records to support the final decision.

Section 4: Conflict of Interest: Juvenile Crime Prevention Council (JCPC) members are public officers and are subject to N.C.G.S. §14-234, which requires that (1) No public officer or employee who is involved in making or administering a contract on behalf of a public agency may derive a direct benefit from the contract except as provided in this section, or as otherwise allowed by law; (2) A public officer or employee who will derive a direct benefit from a contract with the public agency he or she serves, but who is not involved in making or administering the contract, shall not attempt to influence any other person who is involved in making or administering the contract; and (3) No public officer or employee may solicit or receive any gift, reward, or promise of reward in exchange for recommending, influencing, or attempting to influence the award of a contract by the public agency he or she serves.

JCPC Council members shall comply with N.C.G.S. §14-234 and with specific policies, procedures and forms for addressing and disclosing conflicts of interest as provided by the Division of Juvenile Justice on the DPS web site and as promulgated by the Area Consultant or other authorized representative of the Division.

Article VIII: Council Member Information

A directory of council member and funded program member contact information (phone numbers and email addresses, if available) shall be provided to each member at the first meeting of the Council each fiscal year, and provided, as requested, to each member appointed to the Council during the course of the year. Statutes, policies, and procedures for JCPC's are available on the DPS web site.

Article IX: Adoption:

These By-laws for the Watauga County Juvenile Crime Prevention Council as contained herein are hereby adopted as revised this date:

The 28th day of March, 2013

Christina Schmal
Signature, JCPC Secretary

Watauga County JCPC

Conflict of Interest Procedures

All Council members sign a Conflict of Interest Form yearly and provide an update if any changes occur during the year. Members are asked to self-identify conflicts of interest as they arise. In addition, to address the conflicts that arise from funded program representatives serving on the Council, all members associated with or related to members associated with funded programs sign an addendum to the Conflict of Interest Form acknowledging that their agency receives funding and, according to the bylaws, shall not be eligible for:

- *election or appointment as Officers of the Council
- *election or appointment as Committee Chair
- *appointment to the Monitoring or Allocations Committee

All members with a conflict shall recuse themselves when votes pertain to the financial benefit of the specific program in which they are involved.

The following procedures apply to conflicts of interests that arise during the year, whether self-identified or identified by a Council member who becomes aware of circumstances that he or she believes poses a conflict of interest for another Board member.

1. The Chairperson shall be notified and conduct an initial investigation and discussion with the potentially conflicted member. If the issue was not self-identified, the Council member identifying the issue should be included in the discussion.
2. If the issue is not resolved to the satisfaction of all parties, the Chairperson shall present the issue to the Executive Committee for further discussion and to identify potential remedies for the situation to present to the full Council.
3. Conflicts of interests shall be placed on the Agenda on the next JCPC meeting for discussion and further inquiry by the entire Council. The conflicted member, after an opportunity to be heard, will then be recused from final discussion and decision-making/voting on the matter.

The minutes shall reflect who abstained from voting, and the final decision/vote on the matter.

ALLOCATION PROCESS

During the fall, the full JCPC determines needs and gaps and establishes a continuum of services needed within the community by evaluating services available and who they might be serving and the perceived effectiveness within the community.

The Request for Proposals is written and distributed by newspaper and email in January or early February for 30 days. All efforts are made to reach any eligible program who might be interested in applying for funding.

Monitoring reports on current programs and if funding is recommended in next fiscal year in case they apply the next year.

Applications are typically due to the allocation committee by early March.

During March, the allocation committee reviews the applications and may request presentations by applicants.

Applications are reviewed for how they meet the continuum of services identified by the needs and gaps recorded by the JCPC previously and the legislatively required criteria listed on Exhibit A. Priority is given to programs serving court involved youth first. Court counselors, DSS, and others involved in serving court involved youth are consulted for feedback on program effectiveness, availability, and how well they work with youth and families as needed.

After funding recommendations are determined, applicants are notified by either email or phone call and given an opportunity for feedback if not funded or full request not funded. There is no formal appeal process as one has not been needed, however programs are notified they may speak to the full JCPC during the decision process if they so desire.

Recommendations are brought to the full JCPC at the March meeting typically. The JCPC approved recommendations are then presented to the County during their budget process for consideration of the requested cash matches listed in the applications. Applications are submitted to the state for consideration at this time also. Upon approval by the state and local funding sources, the County Finance Director is given the amounts for each program as actual funds are distributed through the County budget.

From time to time, additional funds, reductions in funds and reallocation of funds are reviewed by the allocation committee after the initial approval process. These can result from changes in available funds at the state level or program utilization changes during the fiscal year. Every effort is made to spend all grant funds locally rather than reverting funds to the state.

Watauga County Juvenile Crime Prevention Council Request for Proposals

060413 BCC Meeting

\$111,170

Anticipated County Allocation

30%

Required Local Match Rate

February 6, 2013

Date Advertised

The Juvenile Crime Prevention Council (JCPC) has studied the risk factors and needs of Juvenile Court involved youth in this county and hereby publishes this Request for Proposals. The JCPC anticipates funds from the NC Department of Public Safety, Division of Administration, Community Programs section in the amount stated above to fund the program types specified below. Such programs will serve delinquent and at-risk youth for the state fiscal year 2013-2014 beginning on, or after, July 1, 2013. The use of these funds in this county requires a local match in the amount specified above.

The JCPC will consider proposals for the following needed programs:

Tutoring/Academic Enhancement	Mediation	Substance Abuse Assessment and Treatment
Interpersonal Skill Building	Restitution/Community Service	Temporary Shelter Care
Experiential Skill Building	Structured Day Program	Group Home
Parent Education and Skill Building		

Proposed program services should target the following risk factors for delinquency or repeat delinquency:

Prior Assaults
Known Use of Alcohol, Illegal Drugs
Relationship with Peers
Parental Supervision

Programs should address the following concerns as reported in the Needs Assessments for adjudicated youth:

Peer Domain:	Peer Relationships	
Individual Domain:	Substance Abuse	Abuse and Neglect History
	Mental Health Needs	
Family Domain:	Conflict in the Home	
	Family Supervision Skills	
School Domain:	School Behavior Problems	

Please see the Summary of Risk and Needs for further detail.

Applicants are being sought that are able to address items below:

1. Program services compatible with research that are shown to be effective with juvenile offenders.
2. Program services are outcome-based.
3. The program has an evaluation component.
4. Program services detect gang participation and divert individual

Local public agencies, 501(c)(3) non-profit corporations and local housing authorities are invited to submit applications to provide services addressing the above elements.

Karee Mackey

at

828-264-3061

JCPC Chairperson or Designee

Telephone #

In order to apply for FY 2013-2014 JCPC funding, you must complete and submit your application online by accessing NC ALLIES. Please read and follow all instructions at the following link:

http://www.juvjus.state.nc.us/jcpc/forms_agreements.html

After submitting the application electronically, print and submit hard copies as indicated below. Private non-profits are also required to submit No Over Due Tax forms, Conflict of Interest Statements, and proof of 501(c)(3) status.

NOTE: For further information, or technical assistance about applying for JCPC funds in this county, contact, Linda Graney Area Consultant, at 828-250-3809.

Deadline for Application is: March 11, 2013 by 5:00 P.M.

Mail or deliver WATAUGA COUNTY FINANCE OFFICE
applications to: 814 WEST KING ST., SUITE 216
BOONE, NC 28607

Number of original copies to submit: 1 Telephone: 828-265-8007

**Watauga County Juvenile Crime Prevention Council (JCPC)
Request for Proposals**

Watauga County JCPC requests proposals to serve delinquent and at risk youth, ages 6 – 17, from local non-profits, public agencies, and housing authorities. Approximately \$111,170 will be available [dependent on availability of funds] from N.C. Dept. of Public Safety, Div. of Juvenile Justice for fiscal year July 1, 2013 - June 30, 2014. Agencies are needed to provide community-based programming designed to enhance protective factors and offer at least one of the following services:

- Temporary shelter
- Residential Group Home services
- Restitution/community service
- Mediation
- Substance abuse assessment & treatment
- Parent education and skill building
- Interpersonal skill building
- Structured day programs
- Tutoring/Academic Enhancement
- Experiential Skill Building

In order to apply for JCPC funding, you must complete your application online by accessing NC ALLIES. Please read and follow all instructions at: http://www.juvjus.state.nc.us/jcpc/forms_agreements.html. After submitting the application electronically, print and mail one hard copy to: Watauga County Finance Office, 814 West King St, Suite 216, Boone, NC 28607. For further information contact Linda Graney, DPS Area Consultant: 828-250-3809 or Watauga County JCPC Chair Karee Mackey at karee_mackey@ncsu.edu or 828-264-3061.

Deadline for applications: Monday, March 11, 2013, 5:00 PM. **Mandatory New Program Orientation Training** on Tuesday, February 12, 2013, 1:00 PM, location TBD. Call Karee Mackey for information.

MOUNTAIN TIMES
PUBLICATIONS
P.O. BOX 1815
BOONE NC 28607

ORDER CONFIRMATION

Salesperson: BRENDA MINTON

Printed at 02/04/13 12:07 by brenda

Acct #: 106000

Ad #: 1423605

Status: N

WATAUGA CO FINANCE
814 WEST KING STREET, SUITE 216
BOONE NC 28607

Start: 02/06/2013 Stop: 02/06/2013
Times Ord: 1 Times Run: ***
MSTD 1.00 X 7.80 Words: 213
Total MSTD 8.00
Class: N5010 PUBLIC NOTICES
Rate: LG1 Cost: 144.08
Affidavits: 1

Contact:

Phone: (828)265-8007
Fax#: (828)265-8006
Email: becky.ballew@watgov.org
Agency:

Ad Descrpt: WATAUGA COUNTY JUVENILE
Given by: BECKY BALLEW
Created: brend 02/04/13 11:50
Last Changed: brend 02/04/13 12:07

COMMENTS:

E P. (WAIT ON APPROVAL)

PUB	ZONE	ED	TP	START	INS	STOP	SMTWTFS
HCWD	A		97 W	02/06/13	1	02/06/13	S W F

AUTHORIZATION

Under this agreement rates are subject to change with 30 days notice. In the event of a cancellation before schedule completion, I understand that the rate charged will be based upon the rate for the number of insertions used.

Margaret Pierce
Name (print or type)

Margaret M Pierce
Name (signature)

(CONTINUED ON NEXT PAGE)

MOUNTAIN TIMES
PUBLICATIONS
P.O. BOX 1815
BOONE NC 28607

ORDER CONFIRMATION (CONTINUED)

Salesperson: BRENDA MINTON

Printed at 02/04/13 12:07 by brenda

Acct #: 106000

Ad #: 1423605

Status: N

**Watauga County Juvenile
Crime Prevention Council
(JCPC)
Request for Proposals**

Watauga County JCPC requests proposals to serve delinquent and at risk youth, ages 6-17, from local non-profits, public agencies, and housing authorities. Approximately \$111,170 will be available [dependent on availability of funds] from N.C. Dept. of Public Safety, Div. of Juvenile Justice for fiscal year July 1, 2013 - June 30, 2014. Agencies are needed to provide community-based programming designed to enhance protective factors and offer at least one of the following services:

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In order to apply for JCPC funding, you must complete your application online by accessing NC ALLIES. Please read and follow all instructions at: http://www.juvjus.state.nc.us/jpc/forms_agreements.html. After submitting the application electronically, print and mail one hard copy to: Watauga County Finance Office, 814 West King St., Suite 216, Boone, NC 28607. For further information contact Linda Graney, DPS Area Consultant: 828-250-3809 or Watauga County JCPC Chair Karee Mackey at karee_mackey@ncsu.edu or 828-264-3061.

Deadline for applications: Monday, March 11, 2013, 5:00 PM.
Mandatory New Program Orientation Training on Tuesday, February 12, 2013, 1:00 PM, location TBD. Call Karee Mackey for information.

Budget Information Page

Fiscal Year:	2013-2014	Number of Months:	12
	Cash	In-Kind	Total
I. Personnel Services	\$ -	\$ -	\$ -
120 Salaries & Wages	_____	_____	\$ -
180 Fringe Benefits	_____	_____	\$ -
190 Professional Services	_____	_____	\$ -
II. Supplies & Materials	\$ 150	\$ -	\$ 150
210 Household & Cleaning	_____	_____	\$ -
220 Food & Provisions	\$ 50	_____	\$ 50
230 Education & Medical	_____	_____	\$ -
240 Construction & Repair	_____	_____	\$ -
250 Vehicle Supplies & Materials	_____	_____	\$ -
260 Office Supplies & Materials	\$ 50	_____	\$ 50
280 Heating & Utility Supplies	_____	_____	\$ -
290 Other Supplies & Materials	\$ 50	_____	\$ 50
III. Current Obligations & Services	\$ 150	\$ -	\$ 150
310 Travel & Transportation	_____	_____	\$ -
320 Communications	_____	_____	\$ -
330 Utilities	_____	_____	\$ -
340 Printing & Binding	_____	_____	\$ -
350 Repairs & Maintenance	_____	_____	\$ -
370 Advertising	\$ 150	_____	\$ 150
380 Data Processing	_____	_____	\$ -
390 Other services	_____	_____	\$ -
395 Contingency (Grp. Hm. Only)	_____	_____	\$ -
IV. Fixed Charges & Other Expenses	\$ -	\$ -	\$ -
410 Rental of Real Property	_____	_____	\$ -
430 Equipment Rental	_____	_____	\$ -
440 Services & Maint. Contracts	_____	_____	\$ -
450 Insurance & Bonding	_____	_____	\$ -
490 Other Fixed Charges	_____	_____	\$ -
V. Capital Outlay	\$ -	\$ -	\$ -
510 Office Furniture & Equipment	_____	_____	\$ -
530 Educational Equipment	_____	_____	\$ -
540 Motor Vehicle	_____	_____	\$ -
550 Other Equipment	_____	_____	\$ -
580 Buildings, Structures & Improv.	_____	_____	\$ -
Total	\$ 300	\$ -	\$ 300

Juvenile Crime Prevention Council County Plan

Watauga County

**Fiscal Year 2013 to Fiscal Year 2016
Year 2 of 4**

Table of Contents

- I. Executive Summary (Year 1 and subsequent year updates)
- II. Department of Juvenile Justice and Delinquency Prevention County Funding Allocation
- III. Juvenile Crime Prevention Council Organization
- IV. County Risk and Needs Assessment Summary
- V. Research-Based Programs Summary
- VI. Juvenile Crime Prevention Council Action Plan
- VII. County Juvenile Crime Prevention Council Request for Proposals
- VIII. Funding Decisions Summary

Attachment:

Juvenile Crime Prevention Council Funded Program Descriptions

I.

Initial year

Executive Summary

The Watauga County Juvenile Crime Prevention Council (JCPC), in fulfillment of the duties and responsibilities as set forth in the General Statutes of the State of North Carolina, has completed the activities required to develop this County Plan for FY 2013-2014 through FY 2015-2016.

The JCPC has identified the issues and factors which have an influence and impact upon delinquent youth, at-risk youth, and their families in Watauga County. Further, the JCPC has identified the strategies and services most likely to reduce/prevent delinquent behavior.

Priorities for Funding: Through a risk & needs assessment and a resource assessment, the JCPC has determined that the following services are needed to reduce/prevent delinquency Watauga County.

1. Tutoring/Academic Enhancement
2. Mediation
3. Restitution/Community Service
4. Group Home
5. Temporary Shelter

Monitoring and Evaluation: Each program funded in the past year by the JCPC has been monitored. The monitoring results and program outcomes evaluations were considered in making funding allocation decisions. The JCPC continues to conduct implementation monitoring of its action plan and its funded programs on a quarterly basis.

Funding Recommendations: Having published a Request for Proposals for these needed services for a minimum of thirty (30) days, the JCPC has screened the submitted proposals and has determined which proposals best meet the advertised needed services. As required by statute, the JCPC recommends allocation of the NC Department of Juvenile Justice and Delinquency Prevention (NC DJJDP) Funds to the following Programs in the amounts specified below for FY 2013-2014 (See JCPC Funding Allocations page):

- | | |
|--------------------------|----------|
| 1. Project Challenge | \$37,497 |
| 2. Juvenile Mediation | \$11,400 |
| 3. Youth Resource Center | \$44,973 |
| 4. Crossnore School | \$17,000 |

(Please see Attachment for descriptions of the programs recommended for funding)

The JCPC further recommends that the following amount be allocated from the NC DJJDP funds for the administrative costs of the Council for FY 2013-2014:

\$300

Initial year

The JCPC makes the following additional recommendations to the Commissioners of Watauga County:

A Day Treatment Program is greatly needed in Watauga County due to the growing number of school suspensions. The focus would be to help kids who are suspended from their school keep up with their class work and transition back into their regular school environment.

The JCPC members would like to express our gratitude to the Watauga County Commissioners for your financial support and concern for the at-risk youth and their families who live in our county.

Respectfully Submitted,

A handwritten signature in blue ink that reads "Karee Mackey". The signature is written in a cursive, flowing style.

Karee Mackey
Chair, Watauga County Juvenile Crime Prevention Council

May 23, 2013

JCPC PROGRAMS

- 1. Mediation and Restorative Justice Center** – The Juvenile Mediation Program provides mediation services to juveniles to resolve problems such as 1) truancy, 2) school fights, rumors and other person crimes, 3) vandalism, theft, and other property crimes, 4) undisciplined behavior, and 5) family conflict and disruption. The program also accepts referrals for dispute resolution skill-building classes to teach conflict resolution, communication and other skills.
- 2. Project Challenge** – provides a dispositional option to juvenile court allowing participants to repay or give back to their community. Project Challenge provides participants the opportunity to fulfill their obligation to the courts by completing community service, and provides victims repayment of monetary loss. The mission of Project Challenge is to help youth become confident, productive members of their community through the offering of their time and talents and through challenging recreational activities.
- 3. Crossnore School** – provides a temporary shelter in a residential education setting to include 24-hour care and supervision of juveniles by Resident Counselors and Case Management services provided by Case Managers while addressing the issues which resulted in the juvenile being placed at The Crossnore School. Counseling services, access to medical attention at Crossnore Clinic and/or local doctor's office and educational opportunities at Crossnore Academy are also available, offered and provided through other funding sources.
- 4. Western Youth Network, "WYN"** – WYN's Youth Resource Center Program is a Tutoring/Academic Enhancement Program for adjudicated and/or high-risk middle school youth. The program operates from 2:30 – 5:30pm, Monday – Friday throughout the school year and for five (5) weeks during the summer. WYN YRC staff provide daily transportation from participants' schools and to their homes each evening. The WYN YRC program also provides a Supplemental Service, mentoring, that matches a well-trained positive adult role model with participating youth for two hours per week for one calendar year.

II.

Watauga County 2013-2014

NC DPS, Division of Juvenile Justice County Funding Allocation

Available Funds: \$ \$111,170 Local Match: \$ \$33,261 Rate: 30%

A Program Agreement Form for each program listed below is included as an attachment to the Community Prevention and Intervention Plan.

#	Program Provider	DJJDP Funding	LOCAL FUNDING			OTHER	Total	% Non-DJJDP Program Revenues
			Local Cash County	Local Cash Other	Local In-Kind	State/Federal		
1	JCPC Administrative Funds	\$300					\$300	0%
2	Juvenile Mediation	\$11,400	\$3,420				\$14,820	23%
3	Project Challenge	\$37,497	\$11,249				\$48,746	23%
4	Crossnore School	\$17,000	\$5,100				\$22,100	23%
5	Youth Resource Center	\$44,973	\$13,492				\$58,465	23%
6							\$0	#DIV/0!
7							\$0	#DIV/0!
8							\$0	#DIV/0!
9							\$0	#DIV/0!
10							\$0	#DIV/0!
TOTALS:		\$111,170	\$33,261	\$0	\$0	\$0	\$144,431	23%
Unallocated Funds		\$0						

The above plan was derived through a planning process by the Watauga County
Juvenile Crime Prevention Council and represents the County's Plan for use of these funds in FY 2013-2014.

Karen Mackey 5/28/13
Chairperson, Juvenile Crime Prevention Council (Date)

Chairperson, Board of County Commissioners (Date)

III.

Juvenile Crime Prevention Council Organization

	Name	Organization	Title
Chairperson	Karee Mackey	4-H	Director
Vice-Chairperson	DeeDee Rominger	Watauga Sheriff's Office	Captain
Secretary	Clarissa Schmal	Watauga County Schools	Student Services Diretor
Treasurer	Margaret Pierce	Watauga County	Finance Director
Assessment Committee Chairperson	Mechelle Miller	NC DJJDP	Juvenile Court Counselor
Funding Committee Chairperson	Margaret Pierce	Watauga County	Finance Director

Number of
members:

23

List meeting dates during the current fiscal year and identify the number of JCPC members in attendance for each.

Meeting Date	Number of Members in Attendance	Quorum Present? Yes/No
8-23-12	17	yes
9-22-12	10	no
10-26-12	13	yes
12-13-12	15	yes
1-24-13	12	yes
3-28-13	15	yes
4-25-13	8	no
5-23-13	12	yes

IV.

**SUMMARY REPORT OF THE
WATAUGA COUNTY RISK AND NEEDS ASSESSMENT COMMITTEE**

- I. Risk Assessment Summary**
- II. Needs Assessment Summary**
- III. Resource Assessment Summary**
- IV. Summary of Gaps and Barriers in the Community Continuum**
- V. Proposed Priority Services for Funding**

Part I Risk

The Risk and Needs Assessment Committee reviewed data gleaned from the Juvenile Risk Assessment instrument administered by Juvenile Court Counselors after juveniles are referred with a complaint alleging that a delinquent act has occurred and prior to adjudication of the juvenile. The Juvenile Risk Assessment is an instrument used to predict the likelihood of the juvenile being involved in future delinquent behavior. For some youth, some of the individual item ratings may be heavily dependent upon information reported by the juvenile or the parent(s). For these items (*represented by percentages which with a star next to them*), there is a likelihood of under-reporting the incidence of a particular behavior and the actual incidence may be higher than suggested by these figures. In those cases, the figure should be interpreted as a measure of the minimum level of occurrence.

General Observations

- 62% of court involved youth has medium needs compared to the State at 31% and 10% have high needs compared to the State at 4 %.

Watauga County Risk Factor Observations: FY 2011-2012

- R4 Prior Assaults – 16% of court involved youth were involved with an assault without a weapon compared to the State at 12%.
- R6 Known Use of Alcohol, Illegal Drugs – Percent of youth with substance abuse/use risk is higher than the state. 3 year percents are: 53%, 59%, and 45%.
- R8 Relationship with Peers – Youth who lack pro social peers and associate with delinquent peers remains high over the 3 year period, from 84% in 2009-10, 73%, and 73% in 2011-12. The percent of youth who are gang involved has ranged between 2-3%.
- R9 Parental Supervision – The number of parents willing but unable to supervise is higher than the state (at 44%, 52%, and 44% respectively over the 3 years).

Part II. Needs

The Risk and Needs Assessment Committee also reviewed data gleaned from the Juvenile Needs Assessment instrument administered by Juvenile Court Counselors prior to court disposition of a juvenile. The Juvenile Needs Assessment is an instrument used to examine a youth's needs in the various domains of his life: The Individual Domain, The School Domain, The Peer Domain, and the Community Domain. This instrument was designed to detect service intervention needs as an aid in service planning. As with the Juvenile Risk Assessment, some of the individual item ratings may be heavily dependent upon information reported by the juvenile or the parent(s). For these items (*represented by percentages which with a star next to them*), there is a likelihood of under-reporting the incidence of a particular behavior and the actual incidence may be higher than suggested by these figures. In those cases, the figure should be interpreted as a measure of the minimum level of occurrence.

Watauga County Elevated Needs Observations: FY 2011-2012

- Percent of youth with medium and high needs remains higher than the statewide percentages (Medium-62% and High-10% in 2011-12).
- Y1 Peer Relationships – Court involved youth who sometimes or regularly associated with delinquent peers was 65% in 2009-10 and 54% and 58% in the subsequent years. This is compared with on average 47% for the State.
- Y2 School Behavior – 77% (State = 65%) of court involved youth in 2011-12 had moderate to serious school behavior problems, higher than past years at 62% and 53%.
- Y4 Substance Abuse – 46% of youth had substance use problems in 2011-12, compared to 30% in the State. The two prior fiscal years showed substance abuse problems at 60% and 61%.
- Y6 Abuse/Neglect History – 42% of court involved youth were victims of abuse or neglect in 2011-12 compared to the state at 18%. Prior years showed 37% and 44%.
- Y8 Mental Health Needs – 90% of youth have some mental health problem in 2011-12. This is higher than the state percent at 65%. Suspect this is higher due to JJTC assessing all youth for mental health problems.
- F1 Conflict in the Home – Domestic discord remains higher than the state over the 3 year data period (54% 54%, and 49% compared to the state at 24%, 24% and 23%). Youth experiencing domestic violence was 11% in 2011-12 compared to the State at 5%.
- F2 Family Supervision Skills – Families with marginal supervision skill over the past 3 years was 73%, 76% and 71% compared to the State at 52%, 51%, and 51%.

Part III. Summary of the Existing Community Resources

See attached Continuum of Services

Part IV. Summary of Gaps and Barriers in the Continuum of Services

Services that do not exist and are needed are a Teen Center. A Teen Center was recommended in the gang assessment recently completed. The County Recreation made plans for a new recreation center, however, due to the sales tax referendum failing the plans are shelved.

Community Day Programming: Services needed are structured day and alternative settings to school suspensions.

Residential: The following services are difficult to access due to space, funding sources and admission criteria:

- Inpatient substance abused
- Residential sex offender treatment
- Crossnore School
- Grandfather Home
- Therapeutic foster and respite care
- Independent living residence
- Hispanic youth mental health/substance abuse assessment & treatment services
- Parenting classes/education is needed
- Interpersonal Skill Building Services
- Experiential Skill Building Services

Part V. Proposed Priority Services for Funding

The committee compared the services needed to address the elevated Juvenile Risk Factors and Juvenile Needs with services currently available in the community. Services which are currently available in the community and sufficient to meet the needs of court involved youth or those youth most at risk for court involvement are not considered as a priority for JCPC funding.

The JCPC proposes that the following services be approved as the funding priorities for FY 2013-2014

- Tutoring/Academic Enhancement
- Mediation
- Restitution
- Group Home
- Temporary Shelter Care
- Structured Day
- Interpersonal Skill Building
- Experiential Skill Building
- Parent Education & Skill Building
- Substance Abuse Assessment & Treatment

Watauga County III. Continuum of Services - At a Glance

060413 BCC Meeting

Instructions: Adjust arrows to cover target populations

- 1) JCPC funded
- 2) Available in Community
- 3) Needed - not available
- 4) Available-difficult to access
- 5) Services need to be expanded

Comprehensive Strategy

Prevention

Graduated Sanctions

Target Populations

Program Services & Structures Categories	Programs	All Youth	Youth at Greatest Risk	Pre-Adjudicated Youth	Delinquent- Level I/ Prot. Supervision	Delinquent- Level II Youth	Delinquent- Level III Youth	Post Release Youth
Structured Activities	WYN-Youth Resource Center							
	WYN - After School							
	Mountain Alliance							
	WYN Mentoring							
	Get Real							
	Lighthouse Services (parenting, mentoring, tutoring)							
	DARE							
	Boy Scouts/Girl Scouts							
	4-H							
	Civil Air Patrol							
	Gang Prevention programming							
	Church Youth Groups							
	Fire Department Explorer program							
	Upward Bound							
	Parks and Recreation programming							
	Teen Center/Rec Center							
Drug prevention programs								
Parenting Programs-Love and Logic & STEP								
Parenting resources and support								
Restorative Services	Mediation							
	Project Challenge							
Community Day Programming	Structured Day Program							
	OSS/ISS Alternative setting							
Assessment Services	Psychological Services							
	Daymark Recovery Services and Other Private Providers, Youth Villages							
Clinical Treatment	Counseling Services -Mental Health & Private							
	Substance Abuse Treatment-Mental Health							
	Sex Offender Services - Mental Health							
	Adolescent DBT (Dialectical Behavioral Therapy)							
	Parent Groups (Parents of kids in therapy) - psycho-educational							
	Mentor Behavioral Healthcare Counseling							
	Pregnancy Care Management							
	Eckerd Youth Alternatives							
	Intensive In Home Services							
	Targeted Case Management							
	MST Multi Systemic Therapy							
Residential	Barium Springs							
	Eckerd Youth Alternatives							
	Independent Living program LINKS (only for DSS kids)							
	Inpatient Substance Abuse Program							
	Residential Sex Offender Treatment							
	Crossnore							
	Grandfather Home							
	Respite Care							
	Therapeutic Foster & Respite Care							
WestCare Foundation								

Watauga County

060418 BCC Meeting

	JCPC Continuum of Services	Currently Funded JCPC Services	JJTC Continuum of Services	JJTC Services Currently Available
Structured Activities	Mentoring			
	Parent/Family Skills		Parent Education (Love and Logic)	Yes, available
	Interpersonal Skills			
	Experiential Skills			
	Tutoring/Academic Enhancement	Youth Resource Center		
	Vocational Skills			
Restorative Services	Mediation	Juvenile Mediation		
	Restitution/Community Service	Project Challenge	assumes JCPC as partner to fund community service	Project Challenge
	Teen Court			
Community Day Program	Structured Day			
Assessment	Psychological Assessment		Assessments/Psychologicals	Yes, available
Clinical Treatment	Counseling		Family/Individual Therapy, Multi-Family Group	Yes, available
	Home Based Family Counseling		Intensive In-Home, MST*	Yes, available
	Crisis Counseling		Crisis Counseling, Targeted Case Management	Yes, available
	Substance Abuse Treatment		Substance Abuse Treatment**	Yes, available
	Sex Offender Treatment		Sex Offender Treatment**	Yes, available
Residential Programs	Group Home	Barium Springs		
	Temporary Shelter Care	Barium Springs		
	Runaway Shelter			
	Specialized Foster Care		Therapeutic Foster Care	Not available. Barium Springs does not provide this service
	Temporary Foster Care			

* =Where available ** =May be provided through a partner like SAMHJJ Partnership or other JCPC funded program

V.

Watauga County		Research-Based Programs Summary					
JCPC Funded Program Name	Program Type	Does program provide service(s) or is it a structure? <input type="checkbox"/> Service <input type="checkbox"/> Structure	Evidence of Research Base	SPEP			
				Primary Service	Supplemental Service	SPEP Ratings Prevention/Intervention	
Juvenile Mediation	Mediation	<input checked="" type="checkbox"/> Service <input type="checkbox"/> Structure	A review of research studies show improvements in school attendance, school performance, family relationships, communication and reduced recidivism. Family Court Review, Vol. 43, No. 2, April 2005, Ohio Study, U.S. Dept. of Justice Study				
Project Challenge	Restitution	<input checked="" type="checkbox"/> Service <input type="checkbox"/> Structure	SPEP and Lipsey Howell Research	Restitution			
Youth Resource Center	Tutoring/Academic Enhancement	<input checked="" type="checkbox"/> Service <input type="checkbox"/> Structure	Lipsey-Howell research on tutoring. SAMHSA approved Project Venture Curriculum is utilized. Use Love and Logic Parenting Curriculum that has research support.	Tutoring	Mentoring		
Crossnore School	Temporary Shelter	<input checked="" type="checkbox"/> Service <input type="checkbox"/> Structure	Use the Sanctuary Model				
		<input type="checkbox"/> Service <input type="checkbox"/> Structure					
		<input type="checkbox"/> Service <input type="checkbox"/> Structure					
		<input type="checkbox"/> Service <input type="checkbox"/> Structure					
		<input type="checkbox"/> Service <input type="checkbox"/> Structure					
		<input type="checkbox"/> Service <input type="checkbox"/> Structure					
		<input type="checkbox"/> Service <input type="checkbox"/> Structure					
		<input type="checkbox"/> Service <input type="checkbox"/> Structure					

VI.

No Longer Required

VII.

Watauga County Juvenile Crime Prevention Council Request for Proposals

\$111,170

Anticipated County Allocation

30%

Required Local Match Rate

February 6, 2013

Date Advertised

The Juvenile Crime Prevention Council (JCPC) has studied the risk factors and needs of Juvenile Court involved youth in this county and hereby publishes this Request for Proposals. The JCPC anticipates funds from the NC Department of Public Safety, Division of Administration, Community Programs section in the amount stated above to fund the program types specified below. Such programs will serve delinquent and at-risk youth for the state fiscal year 2013-2014 beginning on, or after, July 1, 2013. The use of these funds in this county requires a local match in the amount specified above.

The JCPC will consider proposals for the following needed programs:

Tutoring/Academic Enhancement	Mediation	Substance Abuse Assessment and Treatment
Interpersonal Skill Building	Restitution/Community Service	Temporary Shelter Care
Experiential Skill Building	Structured Day Program	Group Home
Parent Education and Skill Building		

Proposed program services should target the following risk factors for delinquency or repeat delinquency:

Prior Assaults
Known Use of Alcohol, Illegal Drugs
Relationship with Peers
Parental Supervision

Programs should address the following concerns as reported in the Needs Assessments for adjudicated youth:

Peer Domain:	Peer Relationships	
Individual Domain:	Substance Abuse	Abuse and Neglect History
	Mental Health Needs	
Family Domain:	Conflict in the Home	
	Family Supervision Skills	
School Domain:	School Behavior Problems	

Please see the Summary of Risk and Needs for further detail.

Applicants are being sought that are able to address items below:

1. Program services compatible with research that are shown to be effective with juvenile offenders.
2. Program services are outcome-based.
3. The program has an evaluation component.
4. Program services detect gang participation and divert individual

Local public agencies, 501(c)(3) non-profit corporations and local housing authorities are invited to submit applications to provide services addressing the above elements.

Karee Mackey

at

828-264-3061

JCPC Chairperson or Designee

Telephone #

In order to apply for FY 2013-2014 JCPC funding, you must complete and submit your application online by accessing NC ALLIES. Please read and follow all instructions at the following link:

http://www.juvjus.state.nc.us/jcpc/forms_agreements.html

After submitting the application electronically, print and submit hard copies as indicated below. Private non-profits are also required to submit No Over Due Tax forms, Conflict of Interest Statements, and proof of 501(c)(3) status.

NOTE: For further information, or technical assistance about applying for JCPC funds in this county, contact, Linda Graney Area Consultant, at 828-250-3809.

Deadline for Application is: March 11, 2013 by 5:00 P.M.

Mail or deliver WATAUGA COUNTY FINANCE OFFICE

applications to: 814 WEST KING ST., SUITE 216

BOONE, NC 28607

Number of original copies to submit: 1

Telephone: 828-265-8007

Watauga County Juvenile Crime Prevention Council (JCPC) Request for Proposals

Watauga County JCPC requests proposals to serve delinquent and at risk youth, ages 6 – 17, from local non-profits, public agencies, and housing authorities. Approximately \$111,170 will be available [dependent on availability of funds] from N.C. Dept. of Public Safety, Div. of Juvenile Justice for fiscal year July 1, 2013 - June 30, 2014. Agencies are needed to provide community-based programming designed to enhance protective factors and offer at least one of the following services:

- Temporary shelter
- Residential Group Home services
- Restitution/community service
- Mediation
- Substance abuse assessment & treatment
- Parent education and skill building
- Interpersonal skill building
- Structured day programs
- Tutoring/Academic Enhancement
- Experiential Skill Building

In order to apply for JCPC funding, you must complete your application online by accessing NC ALLIES. Please read and follow all instructions at: http://www.juvjus.state.nc.us/jcpc/forms_agreements.html. After submitting the application electronically, print and mail one hard copy to: Watauga County Finance Office, 814 West King St, Suite 216, Boone, NC 28607. For further information contact Linda Graney, DPS Area Consultant: 828-250-3809 or Watauga County JCPC Chair Karee Mackey at karee_mackey@ncsu.edu or 828-264-3061.

Deadline for applications: Monday, March 11, 2013, 5:00 PM. **Mandatory New Program Orientation Training** on Tuesday, February 12, 2013, 1:00 PM, location TBD. Call Karee Mackey for information.

MOUNTAIN TIMES
PUBLICATIONS
P.O. BOX 1815
BOONE NC 28607

ORDER CONFIRMATION

Salesperson: BRENDA MINTON

Printed at 02/04/13 12:07 by brenda

Acct #: 106000

Ad #: 1423605

Status: N

WATAUGA CO FINANCE
814 WEST KING STREET, SUITE 216
BOONE NC 28607

Start: 02/06/2013 Stop: 02/06/2013
Times Ord: 1 Times Run: ***
MSTD 1.00 X 7.80 Words: 213
Total MSTD 8.00
Class: N5010 PUBLIC NOTICES
Rate: LG1 Cost: 144.08
Affidavits: 1

Contact:
Phone: (828)265-8007
Fax#: (828)265-8006
Email: becky.ballew@watgov.org
Agency:

Ad Descrpt: WATAUGA COUNTY JUVENILE
Given by: BECKY BALLEW
Created: brend 02/04/13 11:50
Last Changed: brend 02/04/13 12:07

COMMENTS:

E P. (WAIT ON APPROVAL)

PUB	ZONE	ED	TP	START	INS	STOP	SMTWTFS
HCWD	A		97 W	02/06/13	1	02/06/13	S W F

AUTHORIZATION

Under this agreement rates are subject to change with 30 days notice. In the event of a cancellation before schedule completion, I understand that the rate charged will be based upon the rate for the number of insertions used.

Margaret Pierce

Name (print or type)

Margaret M Pierce

Name (signature)

(CONTINUED ON NEXT PAGE)

MOUNTAIN TIMES
PUBLICATIONS
P.O. BOX 1815
BOONE NC 28607

ORDER CONFIRMATION (CONTINUED)

Salesperson: BRENDA MINTON

Printed at 02/04/13 12:07 by brenda

Acct #: 106000

Ad #: 1423605

Status: N

**Watauga County Juvenile
Crime Prevention Council
(JCPC)
Request for Proposals**

Watauga County JCPC requests proposals to serve delinquent and at risk youth, ages 6-17, from local non-profits, public agencies, and housing authorities. Approximately \$111,170 will be available [dependent on availability of funds] from N.C. Dept. of Public Safety, Div. of Juvenile Justice for fiscal year July 1, 2013 - June 30, 2014. Agencies are needed to provide community-based programming designed to enhance protective factors and offer at least one of the following services:

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- Mediation
- Substance abuse assessment & treatment
- Parent education and skill building
- Interpersonal skill building
- Structured day programs
- Tutoring/Academic Enhancement
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In order to apply for JCPC funding, you must complete your application online by accessing NC ALLIES. Please read and follow all instructions at: http://www.juvjus.state.nc.us/jpc/forms_agreements.html. After submitting the application electronically, print and mail one hard copy to: Watauga County Finance Office, 814 West King St., Suite 216, Boone, NC 28607. For further information contact Linda Graney, DPS Area Consultant: 828-250-3809 or Watauga County JCPC Chair Karee Mackey at karee_mackey@ncsu.edu or 828-264-3061.

Deadline for applications: Monday, March 11, 2013, 5:00 PM.
Mandatory New Program Orientation Training on Tuesday, February 12, 2013, 1:00 PM, location TBD. Call Karee Mackey for information.

VIII.

Juvenile Crime Prevention Council Funding Decisions Summary

Program Funded	Reason for Funding (Check all that apply)
Juvenile Mediation	<input checked="" type="checkbox"/> Meets funding priority <input checked="" type="checkbox"/> Compatible with research <input checked="" type="checkbox"/> Cost efficient <input type="checkbox"/> Addresses reductions of complaints, violations of supervision & convictions <input type="checkbox"/> Has evaluation component <input checked="" type="checkbox"/> Addresses parental accountability <input type="checkbox"/> Addresses use of alcohol/controlled substances <input type="checkbox"/> Addresses restitution to victims <input type="checkbox"/> Addresses gang participation <input checked="" type="checkbox"/> Other teaches and models conflict resolution skills <input checked="" type="checkbox"/> Other Ability to address any subject matter of concern <input type="checkbox"/> Would increase funding to this service if funds were available
Project Challenge	<input checked="" type="checkbox"/> Meets funding priority <input type="checkbox"/> Compatible with research <input checked="" type="checkbox"/> Cost efficient <input checked="" type="checkbox"/> Addresses reductions of complaints, violations of supervision & convictions <input type="checkbox"/> Has evaluation component <input type="checkbox"/> Addresses parental accountability <input type="checkbox"/> Addresses use of alcohol/controlled substances <input checked="" type="checkbox"/> Addresses restitution to victims <input type="checkbox"/> Addresses gang participation <input checked="" type="checkbox"/> Other Teaches and models social skills <input checked="" type="checkbox"/> Other Teaches pride in community and giving <input checked="" type="checkbox"/> Would increase funding to this service if funds were available
Crossnore School	<input checked="" type="checkbox"/> Meets funding priority <input checked="" type="checkbox"/> Compatible with research <input checked="" type="checkbox"/> Cost efficient <input checked="" type="checkbox"/> Addresses reductions of complaints, violations of supervision & convictions <input checked="" type="checkbox"/> Has evaluation component <input checked="" type="checkbox"/> Addresses parental accountability <input checked="" type="checkbox"/> Addresses use of alcohol/controlled substances <input type="checkbox"/> Addresses restitution to victims <input type="checkbox"/> Addresses gang participation <input type="checkbox"/> Other <input type="checkbox"/> Other <input checked="" type="checkbox"/> Would increase funding to this service if funds were available
Youth Resource Center	<input checked="" type="checkbox"/> Meets funding priority <input checked="" type="checkbox"/> Compatible with research <input type="checkbox"/> Cost efficient <input checked="" type="checkbox"/> Addresses reductions of complaints, violations of supervision & convictions <input checked="" type="checkbox"/> Has evaluation component <input checked="" type="checkbox"/> Addresses parental accountability <input type="checkbox"/> Addresses use of alcohol/controlled substances <input type="checkbox"/> Addresses restitution to victims <input type="checkbox"/> Addresses gang participation <input checked="" type="checkbox"/> Other Teaches and models social and academic skills <input checked="" type="checkbox"/> Other Provides the only option for afterschool care/supervision for middle school students <input type="checkbox"/> Would increase funding to this service if funds were available
	<input type="checkbox"/> Meets funding priority <input type="checkbox"/> Compatible with research <input type="checkbox"/> Cost efficient <input type="checkbox"/> Addresses reductions of complaints, violations of supervision & convictions <input type="checkbox"/> Has evaluation component <input type="checkbox"/> Addresses parental accountability <input type="checkbox"/> Addresses use of alcohol/controlled substances <input type="checkbox"/> Addresses restitution to victims <input type="checkbox"/> Addresses gang participation <input type="checkbox"/> Other <input type="checkbox"/> Other <input type="checkbox"/> Would increase funding to this service if funds were available
	<input type="checkbox"/> Meets funding priority <input type="checkbox"/> Compatible with research <input type="checkbox"/> Cost efficient <input type="checkbox"/> Addresses reductions of complaints, violations of supervision & convictions <input type="checkbox"/> Has evaluation component <input type="checkbox"/> Addresses parental accountability <input type="checkbox"/> Addresses use of alcohol/controlled substances <input type="checkbox"/> Addresses restitution to victims <input type="checkbox"/> Addresses gang participation <input type="checkbox"/> Other <input type="checkbox"/> Other <input type="checkbox"/> Would increase funding to this service if funds were available
	<input type="checkbox"/> Meets funding priority <input type="checkbox"/> Compatible with research <input type="checkbox"/> Cost efficient <input type="checkbox"/> Addresses reductions of complaints, violations of supervision & convictions <input type="checkbox"/> Has evaluation component <input type="checkbox"/> Addresses parental accountability <input type="checkbox"/> Addresses use of alcohol/controlled substances <input type="checkbox"/> Addresses restitution to victims <input type="checkbox"/> Addresses gang participation <input type="checkbox"/> Other <input type="checkbox"/> Other <input type="checkbox"/> Would increase funding to this service if funds were available
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	<input type="checkbox"/> Meets funding priority <input type="checkbox"/> Compatible with research <input type="checkbox"/> Cost efficient <input type="checkbox"/> Addresses reductions of complaints, violations of supervision & convictions <input type="checkbox"/> Has evaluation component <input type="checkbox"/> Addresses parental accountability <input type="checkbox"/> Addresses use of alcohol/controlled substances <input type="checkbox"/> Addresses restitution to victims <input type="checkbox"/> Addresses gang participation <input type="checkbox"/> Other <input type="checkbox"/> Other <input type="checkbox"/> Would increase funding to this service if funds were available

AGENDA ITEM 8:

TAX MATTERS

A. Monthly Collections Report

MANAGER'S COMMENTS:

Tax Administrator Larry Warren will present the Monthly Collections Report and be available for questions and discussion.

The report is for information only; therefore, no action is required.

Blank Page

AGENDA ITEM 8:

TAX MATTERS

B. Refunds and Releases

MANAGER'S COMMENTS:

Mr. Warren will present the Refunds and Releases Report. Board action is required to accept the Refunds and Releases Report.

Blank Page

AGENDA ITEM 8:

TAX MATTERS

C. County Tax Records Retention & Disposition Schedule

MANAGER’S COMMENTS:

Mr. Warren will request the Board adopt the attached County Tax Records Retention and Disposition Schedule from the North Carolina Department of Cultural Resources. Adoption of the schedule allows the Tax Office to be compliant with state requirements for retention and disposal of their records.

Board action is required to adopt the County Tax Records Retention and Disposition Schedule as presented.

RECORDS RETENTION AND DISPOSITION SCHEDULE

COUNTY TAX ADMINISTRATION



Issued By:



NORTH CAROLINA
DEPARTMENT OF
**CULTURAL
RESOURCES**
WWW.NCCULTURE.COM

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

April 17, 2013

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Tax Administration 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 provision 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.**

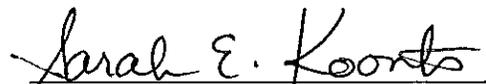
This local government agency and the Department of Cultural Resources agree that certain records series possess only brief administrative, fiscal, legal, research, and reference value. These records series have been designated by retention periods which allow these records to be destroyed when *“administrative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

The local government agency and the Department of Cultural Resources concur that the long-term and/or permanent preservation of electronic records require additional commitment and active management by the agency. The agency agrees to comply with all policies, standards, and best practices published by the Department of 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 is to remain in effect from the date of approval until it is reviewed and updated.

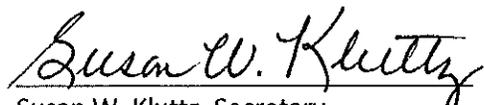
APPROVAL RECOMMENDED

Tax Assessor/Collector


Sarah E. Koonts, Director
Division of Archives and Records

APPROVED

Chairman, Bd. County Commissioners


Susan W. Kluttz, Secretary
Department of Cultural Resources

County: _____

April 17, 2013

EXECUTIVE SUMMARY

- ✓ According to G.S. §121-5 and G.S. §132-3, you may only destroy public records with the consent of the Department of Cultural Resources (DCR). The State Archives of North Carolina is the division of DCR 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 which will indicate how long that series must be kept in your offices. In some cases, the disposition instructions are simply "Retain in office permanently," which means that those records must be kept in your offices forever. In other cases, the retention period may be "destroy in office when administrative value ends." Administrative value is defined as, "the usefulness of records to support ancillary operations and the routine management of an organization." 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 administrative value ends."
- ✓ Email is a record as defined by G.S. §121-5 and G.S. §132. It is the content of the email that is critical when determining the retention period of a particular email, including attachments, not the media in which the records were created. Email should be retained in the same manner as its paper counterpart. It is important for all agency employees and officials to determine the appropriate records series for specific emails and retain them according to the disposition instructions.
- ✓ The State Archives of North Carolina recommends that all agency employees and officials take our online tutorials 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, utilizing the retention schedule, email management, and scanning guidelines.
- ✓ The State Archives of North Carolina provides microfilming of the minutes of major decision-making boards and commissions in a county. Once those records are filmed, we will store the silver negative (original) in our security vault.
- ✓ There is a nominal fee for filming and duplicating film. Contact the Records Management Analyst assigned to your county for the most current information.

MANAGING PUBLIC RECORDS IN NORTH CAROLINA

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

- A.** This document is a tool for county tax administrators across the state and their staff to use when managing the records in their offices. It lists records commonly found in tax administration offices, and gives an assessment of their value by indicating when (and if) those records should be destroyed. This schedule is also an agreement between your office 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 it approved?*

- A.** This schedule must be approved the local Board of County Commissioners. 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. *Do I have to have all of the records listed on this schedule?*

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

Q. *What is the definition of “administrative value”?*

- A.** Administrative value is defined as, “the usefulness of records to support ancillary operations and the routine management of an organization.” Records having administrative value are generally considered useful or relevant to the activities that caused the record to be created and/or during an audit of those activities. Traditionally, records managers have seen “administrative value” as transitory. (From Richard Pearce-Moses, *A Glossary of Archival and Records Terminology*)
-

Q. *What do I do with routing slips, fax cover sheets, reference copies, memory aids, reservations and confirmations, etc.?*

- A.** 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 characteristic, 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 guidance from the State Archives of North Carolina. The State Archives of North Carolina recognizes that many records exist that may have very short-term value to the creating agency. These records may be destroyed or otherwise disposed of when their reference value ends. However, all public employees should be familiar with specific records retention and disposition schedules and applicable guidelines for their office and the Public Records law (G.S. §132). When in doubt about whether a record has short-term value, or whether it has special significance or importance, retain the record in question.
-

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

- A.** Standards are grouped together to make it easier for users to find records. You may find that the records groupings reflect the organizational structure of your office, 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 office.
-

Q. *I can’t 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 box” function on the PDF version of the schedule. If you still cannot locate your records on the schedule, then contact the Records Management Analyst assigned

to your county. 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. *Can anyone 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. *What about records that the law says are not public?*

- A.** Certain provisions in the General Statutes remove specific records from the category of "public records" as defined by G.S. §132-1. It is important to note that the only records which are not public records, are those individually described as such in the General Statutes. Certain records series on this records retention and disposition schedule are excluded from the definition of public records, and are marked as exceptions in the "Citation" column. For these series, the disposition instructions are only recommendations, and are not binding.

Unless otherwise specified, official records which are not public records are also exempt from the public inspection requirements outlined by G.S. §132-6.

Q. *Do I have to make copies of drafts available to the public that haven't been approved?*

- A.** Yes, even if a report, permit, or other record has not been finalized. Any record that is not confidential by law must be copied 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. Permanent records must also have a security preservation duplicate, which is either a paper or microfilm copy.

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 the Records Management Analyst assigned to your county for further assistance.

Q. *I don't have any records.*

- A.** Nearly every position in government generates, receives, or uses records. Computer files of any kind, including drafts and email, are public records. Even if your records aren't 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 retained or destroyed in accordance with the provisions of the appropriate records schedule.

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

- A.** Public records are public property. While we encourage offices to find places to store records that do not take up too much valuable office space, the selected space should be dry, secured, 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. Do we have to let anyone who asks see them?*

- 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 of 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 county offices. Contact the Records Management Analyst assigned to your county for more information about which records are held or can be transferred to the State Archives of North Carolina for permanent preservation.

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

- A.** Call the Records Management Analyst assigned to your county. 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 the Records Management Analyst assigned to your county. 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 about Statesville, call our Western Office in Asheville at (828) 296-7230 extension 224. East of Statesville, all the way to the coast, call our Raleigh office at (919) 807-7350.

AUDITS, LITIGATION AND OTHER OFFICIAL ACTION

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

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](#) item 7, page 2 and [AUDITS: FINANCIAL](#) item 5, page 14.) Should a dispute arise over an audit, the records that were audited should be retained until that dispute is resolved.

The attorney representing the county tax office 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.

Per 26 CFR 1.148-5(d)(6)(iii)(E), retain all documents related to a financing, including those related to construction or purchase of the financed asset, for the life of the debt plus 3 years.

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 that series must be kept in your offices. In some cases, the disposition instructions are “Retain in office permanently,” which means that those records must be kept in your offices forever. (See also the question below, “*How should I deal with my permanent records?*”)
-

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:
- a) burned, unless prohibited by local ordinance;
 - b) shredded, or torn up so as to destroy the record content of the documents or material concerned;
 - c) placed in acid vats so as to reduce the paper to pulp and to terminate the existence of the documents or materials concerned;
 - d) buried under such conditions that the record nature of the documents or materials will be terminated; or
 - e) sold as waste paper, provided that the purchaser agrees in writing that the documents or materials concerned will not be resold as documents or records.
 - N.C. Administrative Code, Title 7, Chapter 4, Subchapter M, Section .0510

Confidential records should be destroyed in a secure manner so that the information contained in them cannot be used. We do not recommend the disposal in a landfill of records containing confidential information.

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

- A.** Contact the Records Management Analyst assigned to your county. Your 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](#) (located at the end of this schedule) if the records are not currently created. If the records are an active records series, your analyst will help you develop an amendment to this schedule so that you can continue to destroy the records appropriately.

Q. *I have some old records that aren't on this schedule, but that we don't use any more. How can I get them destroyed?*

- A.** At the end of this schedule is a form called the [Request for Disposal of Unscheduled Records](#). Complete that form and submit it to us. We will get in touch with you, and make a determination about that destruction.
-

Q. *Do I have to tell anyone about the destruction?*

- A.** We recommend that you report on your records retention activities to your Board of Commissioners 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.

ELECTRONIC RECORDS: EMAIL, BORN DIGITAL RECORDS, AND DIGITAL IMAGING

Q. *When can I delete my email?*

- A.** Email is a public record as defined by G.S. §121-5 and G.S. §132. Electronic mail is just as much a record as any traditional paper record, and must be treated in the same ways. **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 email 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 email simply because storage limits have been reached.** Some examples of email 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 will be particularly helpful in managing your email (available online at the State Archives of North Carolina website):

- *E-Mail as a Public Record in North Carolina: A Policy for Its Retention and Disposition*
- *Online E-mail Tutorial: Managing Your Inbox: E-mail as a Public Record*
- *Online Tutorial: Managing Public Records for Local Government Agencies*
- *Guidelines for E-mail as a Public Record in North Carolina: Tips and Tricks for Using Microsoft Exchange Software to Manage E-mail*

Q. *May I print my email to file it?*

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

Q. *I use my personal email account for work. No one can see my personal email.*

- A.** The best practice is to avoid using personal resources, including private email 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 email account is irrelevant.

Q. *We have an imaging system. Do we have to keep the paper?*

- A.** You may scan any record, including permanent records. You will need to receive approval from the Government Records Section in order to destroy paper originals that have been digitized. Your office should follow our guidelines, available on the State Archives of North Carolina website. Contact the Records Management Analyst assigned to your county for further instructions on how to develop a compliant Electronic Records Policy.

Permanent records must have a security preservation copy as defined by the 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, photostatic, 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 Cultural Resources.

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

Non-permanent records may be retained in any format, and therefore you may be approved to destroy hard copy originals after proper imaging. You will have to take precautions with 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 will have to convert all records to the new system so that you can assure their preservation and provide access.

Q. *Computer storage is cheap. I'll just keep my computer records.*

A. The best practice is to destroy all records that have met their retention requirements at the same time, regardless of format.

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

A. The following documents are available on the State Archives of North Carolina website:

- Best Practices for Cloud Computing: Records Management Considerations
- Best Practices for Electronic Communication Usage in North Carolina: Text and Instant Message
- Best Practices for Electronic Communication Usage in North Carolina: Guidelines for Implementing a Strategy for Text and Instant Messages
- Best Practices for File Naming
- Best Practices for Social Media Usage in North Carolina
- Guidelines for Digital Imaging Systems
- Metadata as a Public Record in North Carolina: Best Practices Guidelines for Its Retention and Disposition
- Security Backup Files as Public Records in North Carolina: Guidelines for Recycling, Destruction, Erasure, and Re-Use of Security Backup Files

GEOSPATIAL RECORDS

Q. *Why should 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 DCR 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.

Consult [STANDARD-8: PROGRAM OPERATIONAL RECORDS: LAND RECORDS](#) for additional records series.

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 DCR. Consult the DCR – Government Records website at <http://www.records.ncdcr.gov/erecords/default.htm>

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 and §153A-436. Microfilm can be read with nothing more sophisticated than a magnifying glass. 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 Cultural Resources provides microfilming of minutes of major decision-making boards and commissions in a county. Once those records are filmed, we will store the silver original in our security vault. There is a nominal fee for filming and duplicate film. Contact the Records Management Analyst assigned to your county 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 the Records Management Analyst assigned to your county.

Alternatively, 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 the analyst assigned to your county 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’re being filmed?*

A. Call the Raleigh Office at (919) 807-7350, and ask for the Records Management Analyst in charge of minutes microfilming.

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 minutes microfilming for more information.

Q. *I have some old minutes that aren’t 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 the Records Management Analyst assigned to your county, 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) 807-7353 for the Head of the Government Records Section or (919) 807-7339 for the State Archivist. 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 is trained in preliminary recovery techniques, documenting damage to your records, and authorizing destruction of damaged records. Professional vendors can handle your larger disasters.

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

- A.** We will do everything we can to make a visit to you at the earliest opportunity 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 to interested governments on disaster preparation. We discuss the roles of proper inventories, staff training, and advance contracts with recovery vendors. If you would like to have this workshop presented, just call the Records Management Analyst assigned to your county.
-

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 your 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** – our basic introduction to the Public Records law and records management;
 - **Scanning Public Records: Laying the Groundwork** – considerations and procedures to establish an imaging system;
 - **Email as a Public Record** – considerations, tips and tricks on managing, filing, and public access to your email;
 - **Disaster Preparedness and Recovery** – how to be prepared for disasters, and what will have to be done after a disaster happens.

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

- A.** Yes, we will. Let the Records Management Analyst assigned to your county know what type of training you need.

Q. Do we have to come to Raleigh for workshops?

- 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 for Local Agencies:** Our basic introduction to the Public Records law and records management.
 - **Managing Your Inbox: Email as a Public Record:** Public employees increasingly rely on electronic mail (email) as a quick and useful communication tool for carrying out government business. However, email presents many challenges. This tutorial will help you learn how to properly manage, retain and dispose of your email.
 - **Managing Electronic Public Records: Recognizing Perils and Avoiding Pitfalls:** More and more government employees use computers as they conduct their daily business. While computers are invaluable tools that store large amounts of data that can be easily searched, depending solely upon electronic records can be dangerous. In this tutorial you will learn some of the problems associated with electronic records and you will receive advice on how to protect those records.

STANDARD-1. ADMINISTRATION AND MANAGEMENT RECORDS

Official records pertaining to the authority, operating philosophy, methods, primary functions, and routine office administration of county tax departments.

ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	ADMINISTRATIVE DIRECTIVES, POLICIES, PROCEDURES, REGULATIONS, RULES	Retain in office official copy permanently.	
2.	AGENDA AND MEETING PACKETS FILE Includes agendas and copies of supporting documentation submitted and discussed during meetings of public bodies. See also BOARD OF EQUALIZATION AND REVIEW (MINUTES AND ATTACHMENTS) item 3, page 54.	a) Retain records with historical value permanently. b) Destroy in office other records when administrative value ends.† Agency Policy: Destroy in office after _____	
3.	APPLICATIONS FOR APPOINTMENT 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 individuals appointed 1 year after expiration of term. b) Destroy in office remaining records after 1 year.	
4.	APPOINTMENTS REPORTING RECORDS Includes public boards, commissions, councils, and committees annual appointment reports filed with the NC Department of the Secretary of State, and related records.	Destroy in office after 2 years.	G.S. § 143-157.1

*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 Cultural Resources has scheduled with the disposition instruction "destroy when administrative value ends." Please use the space provided.

ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
5.	ASSOCIATIONS AND ORGANIZATIONS FILE Records concerning associations, organizations, groups, etc., that have some form of relationship with the agency.	a) Retain records with historical value permanently. b) Destroy in office remaining records when superseded or obsolete.	
6.	AUDIO AND VIDEO RECORDING OF MEETINGS	Destroy in office after approval of official written minutes.	
7.	AUDITS: PERFORMANCE Records concerning internal and external audits conducted to assess the function of government programs. Includes reports, working papers, and related records. See also AUDITS: FINANCIAL item 5, page 14.	a) Retain reports permanently. b) Destroy in office working papers and remaining records 3 years after the date of the report.	
8.	BLUEPRINTS AND SPECIFICATIONS Blueprints and specifications of agency owned buildings and facilities. Includes as-built plans and related records concerning approved changes.	Retain in office for life of structure.	Comply with applicable provisions of G.S. §132-1.7 regarding the confidentiality of security records.
9.	BUSINESS CERTIFICATION RECORDS Applications and supporting documentation submitted by businesses to be certified as a Small Business Enterprise (SBE) or other classification.	a) Destroy in office 3 years after most recent recertification. b) Destroy in office applications for which a certification was never issued when administrative value ends. † Agency Policy: Destroy in office after _____	
10.	BULLETINS	Destroy in office when administrative value ends. † Agency Policy: Destroy in office after _____	

*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 Cultural Resources has scheduled with the disposition instruction "destroy when administrative value ends." Please use the space provided.

ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
11.	CALENDARS OF EVENTS AND APPOINTMENTS	Destroy in office when superseded or obsolete.	
12.	CENSUS PROJECT FILE Records created to assist the U.S. Census Bureau and county agencies with the decennial census.	Destroy in office when administrative value ends. † Agency Policy: Destroy in office after _____	
13.	CHARTER RECORDS Charter and charter proceedings related to adoption, amendment and/or repeal.	Retain in office permanently.	
14.	CITIZEN COMPLAINTS, PETITIONS, AND SERVICE REQUESTS Records concerning objections, dissatisfaction, or disagreements with actions or positions taken or not taken by the agency. May include petitions signed by citizens requesting action or routine requests for service or information.	Destroy in office 1 year after resolution.*	
15.	CITIZEN SURVEYS Surveys and related records addressing agency services, policies, and other concerns.	Destroy in office when administrative value ends. † Agency Policy: Destroy in office after _____	
16.	COMPREHENSIVE PLAN Long-range plan outlining policies, guidelines and plans for future development of the county. Includes but is not limited to official copy of comprehensive plan and all background surveys, studies, reports, and draft versions of plans.	a) Retain official copy in office permanently. b) Destroy in office background surveys, studies, reports, and drafts 3 years after adoption of plan.	

*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 Cultural Resources has scheduled with the disposition instruction "destroy when administrative value ends." Please use the space provided.

ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
17.	<p>CONFERENCES AND WORKSHOPS FILE Records concerning conferences and workshops conducted or attended by agency employees.</p> <p>See also EMPLOYEE TRAINING AND EDUCATIONAL RECORDS item 28, page 38.</p>	<p>a) Retain records with historical value permanently.</p> <p>b) Destroy in office remaining records when administrative value ends. † Agency Policy: Destroy in office after _____</p>	
18.	<p>CORRESPONDENCE AND MEMORANDA Administrative and management correspondence/memoranda, including email, written or received by the office concerning agency authority, operating philosophy, purpose, methods, and any other function.</p> <p>For information on handling email, see Electronic Records and Digital Imaging page viii.</p>	<p>a) Transfer after 3 years correspondence, including email, with historical value to the HISTORIES FILE item 30, page 7.</p> <p>b) Destroy routine administrative correspondence and memoranda when administrative value ends. † Agency Policy: Destroy in office after _____</p> <p>c) Destroy in office remaining records after 3 years.</p> <p><i>Retention Note: The correspondence, including email, of the county tax assessor/collector has historical value and should be retained.</i></p>	
19.	<p>CUSTOMER CALL CENTER RECORDINGS Recordings made of calls to customer service centers for quality assurance and training purposes.</p>	<p>Destroy in office when administrative value ends. † Agency Policy: Destroy in office after _____</p>	

*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 Cultural Resources has scheduled with the disposition instruction "destroy when administrative value ends." Please use the space provided.

ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
20.	<p>EQUIPMENT AND VEHICLE MAINTENANCE, REPAIR, AND INSPECTION RECORDS Records concerning the maintenance, repair, routine testing, and inspection of agency owned equipment and vehicles.</p> <p>See also GRANTS item 29, page 7.</p>	<p>a) Destroy in office records documenting routine inspections, janitorial cleaning, and routine maintenance of equipment and vehicles after 1 year.</p> <p>b) Destroy in office billing records after 3 years.*</p> <p>c) Retain for life of equipment and vehicles records documenting all other maintenance and repairs.</p>	
21.	<p>EQUIPMENT AND VEHICLE REFERENCE FILE Includes operation, specification, and technical manuals, brochures, bulletins, and related documentation.</p>	Destroy in office when superseded or obsolete.	
22.	<p>EQUIPMENT, FACILITY, AND VEHICLE USAGE RECORDS Records documenting the assignment, request, and usage of agency assets. May include mileage and checkout logs, fuel consumption reports, facility reservation requests, authorizations, and similar records relating to the assignment and use of agency owned property.</p>	<p>a) Destroy in office after 3 years if records are used for allocating costs or determining payment under rental or lease agreements.*</p> <p>b) Destroy in office remaining records after 1 year.</p>	
23.	<p>FACILITY ACCESSIBILITY FILE Records documenting compliance with the Americans with Disabilities Act (ADA). May include survey of agency buildings to determine accessibility to the physically handicapped, federal regulations, proposals for implementing the act, correspondence, including email, resolutions, and solutions to access problems.</p>	Destroy in office after 5 years.*	29 CFR 1602

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ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
24.	<p>FACILITY MAINTENANCE, REPAIR, AND INSPECTION RECORDS Records documenting the maintenance, repair, and inspection of agency owned facilities.</p> <p>See also GRANTS item 29, page 7.</p>	<p>a) Destroy in office records documenting routine inspections, janitorial cleaning, and routine maintenance of facilities after 1 year.</p> <p>b) Destroy in office records documenting all other facility maintenance, repair, and inspection (including plumbing, electrical, fire, and other systems) after 3 years.</p>	
25.	<p>FUND DRIVE AND EVENT RECORDS Records documenting the promotion and organization of fund drives and other special events in which the agency participated.</p>	<p>a) Retain in office records with historical value permanently.</p> <p>b) Destroy in office remaining records after 1 year.</p>	
26.	<p>GOALS AND OBJECTIVES</p>	<p>a) Retain in office records with historical value permanently.</p> <p>b) Destroy in office remaining records when superseded or obsolete.</p>	
27.	<p>GRANT CONTRACT APPEALS CASES</p>	<p>Destroy in office 10 years after final action or decision.*</p>	
28.	<p>GRANT PROPOSALS Proposals submitted for grants. May include applications, correspondence, including email, and other related records.</p>	<p>a) Transfer records concerning approved grants to GRANTS item 29, page 7 if approved.</p> <p>b) Destroy in office rejected or withdrawn grant proposals when administrative value ends.† Agency Policy: Destroy in office after _____</p>	

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION](#), page vi.

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ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
29.	<p>GRANTS Records concerning approved federal, state, and private grants. May include applications, reports, records of equipment purchased with grant funds, and all relevant programmatic records.</p> <p>See also GRANTS: FINANCIAL item 29, page 17.</p>	<p>a) Destroy in office records relating to specific non-continuing grants 5 years after termination or when released from audit.*</p> <p>b) Destroy in office records relating to specific continuing grants 5 years after annual financial report is filed.</p> <p>c) Destroy in office records not relating to a specific grant or to grants not funded after 1 year.</p>	09 NCAC 03M.0703
30.	<p>HISTORIES FILE (AGENCY AND EMPLOYEES) Records concerning the history of the agency and its employees. May include published and unpublished histories, biographical data, photographs, newspaper clippings, and other related records.</p>	<p>a) Retain records with historical value permanently.</p> <p>b) Destroy in office remaining records when superseded or obsolete.</p>	
31.	<p>INDEX FILE Listing of where specific information can be found.</p>	Destroy in office when superseded or obsolete.	
32.	<p>LEGISLATION AND REGULATORY RECORDS Notices and copies of proposed or adopted state or federal legislation or regulations affecting the agency.</p>	Destroy in office when administrative value ends. † Agency Policy: Destroy in office after _____	
33.	<p>MAIL: UNDELIVERABLE/RETURNED Outgoing agency mail returned by the post office for any reason, including insufficient postage, incorrect address, forwarding order expired, etc. Also includes outgoing email returned for any reason.</p>	Destroy in office when administrative value ends. † Agency Policy: Destroy in office after _____	

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION](#), page vi.

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ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
34.	<p>MAILING AND DISTRIBUTION RECORDS Includes mailing and meeting notification lists, Sunshine Lists, and related documentation of transactions with the U.S. Postal Service or private carriers.</p>	<p>a) Destroy in office Sunshine Lists when superseded or obsolete.</p> <p>b) Destroy in office all other records when administrative value ends. † Agency Policy: Destroy in office after _____</p>	<p>Comply with applicable provisions of G.S. §132-1.13 regarding confidentiality of electronic mailing lists and G.S. §132-1.12 regarding confidentiality of juvenile records.</p>
35.	<p>MINUTES (STAFF MEETINGS) Minutes of meetings, including all referenced and attached documentation.</p> <p>See also BOARD OF EQUALIZATION AND REVIEW (MINUTES AND ATTACHMENTS) item 3, page 54.</p>	<p>a) Retain records with historical value permanently.</p> <p>b) Destroy in office remaining records when administrative value ends. † Agency Policy: Destroy in office after _____</p>	<p>G.S. § 143-318.10(c)</p>
36.	<p>NOTICES OF PUBLIC MEETINGS Includes notices and regular meeting schedules.</p> <p>See also AFFIDAVITS OF PUBLICATION item 1, page 27.</p>	<p>Destroy in office when administrative value ends. † Agency Policy: Destroy in office after _____</p>	
37.	<p>OFFICE SECURITY RECORDS Records concerning the security of agency offices, facilities, vehicles, equipment, and personnel. May include visitor's register, security, employee or contractor access to facilities or resources, and surveillance system reports and recordings.</p>	<p>a) Destroy in office or reuse after 30 days recordings not required to support known investigations or litigation.</p> <p>b) Destroy in office all remaining records after 1 year.</p>	<p>Comply with applicable provisions of G.S. §132-1.7 regarding the confidentiality of security records.</p>

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ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
38.	ORGANIZATION RECORDS Includes organizational charts, reorganization studies, and similar records describing the arrangement and administrative structure of the agency.	a) Retain records with historical value permanently. b) Destroy in office all other records when superseded or obsolete.	
39.	PARKING FILE Records concerning staff parking assignments.	Destroy in office when superseded or obsolete.	
40.	PLANNING AND DEVELOPMENT FILE Records documenting the formulation, planning, and adoption of policies, procedures, and functions of the agency and its departments.	a) Retain records with historical value permanently. b) Destroy in office remaining records when administrative value ends. † Agency Policy: Destroy in office after _____	
41.	PROJECTS FILE Includes project correspondence, including email, final reports, specifications, notices to proceed, cost estimates, change orders, performance and payment bonds, and similar documentation.	a) Retain records with historical value permanently. b) Destroy in office remaining records 3 years after completion of project.	
42.	PROPERTY INVENTORIES Inventories describing the type of property (including equipment and facilities), its location, issuance to employees, and related information.	Destroy in office when superseded or obsolete.	
43.	PUBLICATIONS RECEIVED Includes books, magazines, periodicals, pamphlets, brochures, journals, and newspapers, whether printed or electronic.	Destroy in office when superseded or obsolete.	

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ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
44.	PUBLIC HEARING RECORDS Includes agendas, minutes, notices, speaker sign-up sheets, and similar documentation.	a) Retain minutes permanently. b) Destroy in office remaining records when administrative value ends. † Agency Policy: Destroy in office after _____	
45.	PUBLIC RECORDS DISCLOSURE FILE Formal requests submitted by persons seeking access to agency records.	Destroy in office 2 years after resolution.*	
46.	RATE AND FEE SCHEDULES Records relating to rates, fees, and regulations concerning county services.	Destroy in office when superseded or obsolete.	
47.	RECORDS MANAGEMENT FILE Includes correspondence, including email, with state and/or federal agencies with regards to records retention. Also includes records disposition documentation and copies of records retention and disposition schedules.	a) Retain in office documentation concerning the final disposition of records permanently. b) Destroy in office remaining records when superseded or obsolete.	
48.	REFERENCE (READING) FILE Subject files containing informational copies of records organized by areas of interest.	Destroy in office when superseded or obsolete.	

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ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
49.	<p>REPORTS AND STUDIES (INTERNAL ADMINISTRATION) Records concerning the performance of a department, program, or project, as well as those created for planning purposes. May include all annual, sub-annual, or irregularly prepared research studies, reports, and studies generated by an agency or prepared by consultants hired by the agency.</p>	<p>a) Retain in office 1 copy of all biennial and annual reports permanently.</p> <p>b) Retain in office reports and studies prepared by request of an agency's governing body or a court permanently.</p> <p>c) Destroy in office reports prepared monthly, bimonthly, or semi-annually after 3 years.</p> <p>d) Destroy in office activity reports concerning workload measurements, time studies, number of jobs completed, etc., prepared on a daily or other periodic basis, after 1 year.</p> <p>e) Destroy in office remaining reports and studies when administrative value ends.† Agency Policy: Destroy in office after _____</p> <p><i>Retention Note: Reports and studies listed elsewhere in this schedule should be retained the specified period of time.</i></p>	
50.	<p>REQUESTS FOR PROPOSALS Proposals submitted by vendors in response to requests from agency.</p> <p>See also BIDS FOR PURCHASE item 8, page 14.</p>	<p>Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____</p>	
51.	<p>REQUISITIONS FILE Requests for payment of parts and inventory items.</p>	<p>Destroy in office after 1 year.</p>	

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ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
52.	SURPLUS PROPERTY FILE	Destroy in office 3 years after disposition of property.*	
53.	TELEPHONE USAGE LOGS AND REPORTS	a) Destroy in office records used for billing after 1 year.* b) Destroy in office remaining records when administrative value ends.† Agency Policy: Destroy in office after _____	
54.	TRAVEL REQUESTS	Destroy in office after 1 year.*	
55.	VEHICLE REGISTRATION CARDS North Carolina registration cards for vehicles in the county fleet.	Retain in vehicle until superseded.	
56.	WORK ORDERS Records include date and location of work, cost of materials used and labor, type of work performed, and similar information for the repairs of equipment, facilities, and vehicles.	a) Destroy in office 1 year after work is completed.* b) If this is the only record documenting work was completed follow disposition instructions for FACILITY MAINTENANCE, REPAIR, AND INSPECTION RECORDS item 24, page 6, or EQUIPMENT AND VEHICLE MAINTENANCE, REPAIR, AND INSPECTION RECORDS item 20, page 5.	

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STANDARD-2. BUDGET, FISCAL AND PAYROLL RECORDS

Records created and accumulated incidental to the managerial control, budgeting, disbursement, collection, and accounting of the county tax office.

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

ITEM #	STANDARD-2: BUDGET, FISCAL AND PAYROLL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	ACCOUNTS PAYABLE Records concerning the status of accounts in which the agency owes money to firms or individuals.	Destroy in office after 3 years.*	
2.	ACCOUNTS RECEIVABLE Records concerning receivables owed and collected.	Destroy in office after 3 years.*	
3.	ACCOUNTS UNCOLLECTABLE Records of accounts deemed uncollectable, including supporting documentation and write-off authorization.	Destroy in office official/audit copies 3 years after account is paid, collected, or determined to be uncollectable.*	
4.	ANNUAL BUDGET Annual budget and budget message submitted to governing board for approval.	a) Retain records with historical value permanently. b) Destroy in office remaining records after 5 years.	G.S. § 159-11

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ITEM #	STANDARD-2: BUDGET, FISCAL AND PAYROLL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
5.	<p>AUDITS: FINANCIAL Records concerning internal and external financial statements and financial-related audits. Includes reports, working papers, and related records.</p> <p>See also AUDITS: PERFORMANCE, item 7, page 2.</p>	<p>a) Retain reports permanently.</p> <p>b) Destroy in office working papers and remaining records 3 years after the date of the report.*</p>	G.S. § 159-34
6.	<p>AUTHORIZATION FORMS Authorization to purchase materials.</p>	Destroy in office after 3 years.*	
7.	<p>BANK STATEMENTS, CANCELED CHECKS, DEPOSIT SLIPS, RECEIPTS, RECONCILIATIONS, AND WARRANTS May include cash, credit card, and purchasing card statements and receipts.</p>	Destroy in office after 3 years.*	
8.	<p>BIDS FOR PURCHASE Records documenting quotes to supply products and services. May include advertisements, requests for proposals, tabulations, bid bonds, awards letters, records of bids, good faith effort documentation, and related records concerning accepted and rejected bids.</p>	<p>a) Destroy in office successful (awarded) bid records 3 years after purchase.*</p> <p>b) Destroy in office unsuccessful bid records not awarded or opened after 1 year.*</p>	G.S. § 143 Article 8
9.	<p>BIDS FOR DISPOSAL OF PROPERTY Records concerning the disposal of surplus property. May include various disposition procedures used, such as sealed bids and public auction.</p>	Destroy in office all records after the disposition of property has been recorded in governing board's minutes.*	G.S. § 153A-176

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ITEM #	STANDARD-2: BUDGET, FISCAL AND PAYROLL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
10.	BILLING AND CLAIMS Records used as the basis for payment of bills and claims for damages made by and against the agency.	Destroy in office after 3 years after settlement.*	
11.	BILLS OF SALE Records of sale of agency property and equipment.	Destroy in office after 3 years.*	
12.	BUDGET RESOLUTIONS AND ORDINANCES Includes copies of budget, annual balanced budget, and project ordinances, resolutions, and amendments.	a) Retain permanently official copies in the minutes of the governing board. b) Destroy in office remaining copies when administrative value ends.† Agency Policy: Destroy in office after _____	G.S § 159-8 G.S. § 159-13 G.S. § 159-13.2 G.S § 159-15
13.	BUDGET REQUESTS AND WORKING PAPERS Includes budget requests, cost estimates, expenditures, program requests, salary and wage lists, correspondence, including email, and related records.	Destroy in office after 3 years.*	G.S. § 159-10
14.	CHECK REGISTERS, VARIOUS FUNDS Register listing for all checks written for various funds.	Destroy in office after 3 years.*	
15.	CHECK STUBS Stubs for checks written on agency accounts.	a) Destroy official/audit copies after 3 years.* b) Destroy remaining records after 1 year.	
16.	CONTRACT BUDGET AND EXPENDITURE REPORTS Reports concerning agency budget transactions.	Destroy in office after 3 years.*	
17.	COST ALLOCATION PLANS	Destroy in office after 3 years.*	

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ITEM #	STANDARD-2: BUDGET, FISCAL AND PAYROLL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
18.	CREDIT CARD AND DEBIT SLIPS Records of payments received from customers in the transaction of agency business.	Destroy in office after 3 years.*	
19.	CREDIT CARD USE FILE Records of assignation of agency credit cards and purchasing cards.	Destroy in office after 1 year.*	
20.	DAILY CASH REPORTS Daily status of cash. Reports include receipts, disbursements, cash, and invested balances.	Destroy in office after 1 year.*	
21.	DAILY DETAIL REPORTS	Destroy in office after 1 year.*	
22.	DEPOSITS	a) Destroy in office official/audit copies after 3 years.* b) Destroy in office remaining records after 1 year.	G.S. § 159-32
23.	DETAIL REPORT FILE (FINANCIAL RECORDS FOR GENERAL FUND OR GENERAL LEDGER)	a) Destroy in office annual reports after 3 years.* b) Destroy in office all other reports after 1 year.	
24.	DIRECT DEPOSIT APPLICATIONS/AUTHORIZATIONS Includes related records such as bank account numbers and routing numbers.	Destroy in office when superseded or obsolete.	Comply with applicable confidentiality provisions of G.S. §132-1.10(b)(5) regarding personal identifying information.
25.	DISTRICT INVESTMENT RECORDS	Destroy in office after 3 years.*	

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ITEM #	STANDARD-2: BUDGET, FISCAL AND PAYROLL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
26.	EXPENDITURE REPORTS	Destroy in office after 3 years.*	
27.	FACILITY SERVICE AND MAINTENANCE AGREEMENTS See also GRANTS: FINANCIAL , item 29, page 17.	a) Destroy in office depreciation schedules 3 years after asset is fully depreciated or disposed. b) Destroy in office remaining records after 3 years.*	
28.	FINANCIAL JOURNALS AND LEDGERS	a) Destroy in office year-end summaries of receipts and disbursements after 3 years.* b) Destroy in office daily, monthly, or quarterly transaction detail journals and ledgers after 1 year.*	
29.	GRANTS: FINANCIAL Records concerning approved federal, state, and private grants. May include all relevant accounting, purchasing, payroll, and financial records. See also GRANTS item 29, page 7.	Destroy in office 5 years after submission of final report.*	09 NCAC 03M.0703
30.	INSURANCE FILE Certificates of insurance and related records provided by insurance providers as proof of coverage. See also BILLING AND CLAIMS item 10, page 15 and GRANTS: FINANCIAL item 29, page 17.	Destroy in office 3 years from date of termination, expiration, or settlement of all claims.*	
31.	INVOICES	Destroy in office after 3 years.*	

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ITEM #	STANDARD-2: BUDGET, FISCAL AND PAYROLL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
32.	LOCAL GOVERNMENT COMMISSION FINANCIAL STATEMENTS	Destroy in office after 3 years.*	G.S. §159-33 and §159-33.1.
33.	LOCAL GOVERNMENT EMPLOYEES RETIREMENT SYSTEM MONTHLY REPORTS	Destroy in office after 3 years.*	
34.	MONTHLY BUDGET REPORTS	Destroy in office after 3 years.*	
35.	PAID CHECKS, BILLS, AND VOUCHERS	Destroy in office after 3 years.*	
36.	<p>PAYROLL AND EARNINGS RECORDS 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. May include individual and group employee earnings records and payroll registers showing earnings and deductions for each pay period.</p>	<p>a) Transfer records documenting personnel actions to PERSONNEL RECORDS (OFFICIAL COPY) item 45, page 43.</p> <p>b) Destroy in office 30 years from date of separation records used for retirement or similar benefits verification.</p> <p>c) Destroy all remaining records in office after 4 years.*</p>	<p>Comply with applicable provisions of G.S. §162A-6.1 regarding confidentiality of personnel records.</p> <p>FICA Reg. § 316001-1 29 CFR 516.2, 516.5 29 CFR 1627.3(a)</p>
37.	<p>PAYROLL DEDUCTION RECORDS Records used to start, modify, or stop all voluntary or required deductions from payroll. Includes bank payments, savings plans, insurance, association dues, orders of garnishment, etc. Used as proof the employee approved of the deduction(s).</p> <p>See also WITHHOLDING TAX FILE item 45, page 20.</p>	<p>a) Destroy in office deduction authorization forms and records when superseded or obsolete.*</p> <p>b) Destroy in office remaining records after 4 years.*</p>	<p>Comply with applicable provisions of G.S. §162A-6.1 regarding confidentiality of personnel records.</p>

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ITEM #	STANDARD-2: BUDGET, FISCAL AND PAYROLL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
38.	<p>PURCHASE ORDERS Records, forms, packing slips, and attached documents concerning purchased supplies, equipment, and services.</p> <p>See also GRANTS: FINANCIAL item 29, page 17.</p>	<p>Destroy in office after 3 years.*</p> <p><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></p>	
39.	<p>PURCHASING REPORTS AND LOGS Reports and logs containing quote information such as vendor name, item descriptions, price, award dates, and related information.</p>	Destroy in office after 1 year.*	
40.	RECIPIENT CHECK AND CANCELLATION REGISTERS	Destroy in office after 3 years.*	
41.	<p>TIME SHEETS, CARDS, AND ATTENDANCE RECORDS Records documenting the work hours and attendance of employees.</p>	Destroy in office after 3 years.*	29 CFR 516.6 29 CFR 825.500
42.	<p>TRAVEL REIMBURSEMENTS Includes authorizations and requests for reimbursement for travel and related expenses.</p> <p>See also GRANTS: FINANCIAL, item 29, page 17.</p>	Destroy in office after 3 years.*	
43.	<p>VENDOR FILE Files maintained on specific vendors. May include accounts payable activity, Federal Tax Identification Number, name and address, correspondence, including email, and related records.</p>	Destroy in office when superseded or obsolete.	Comply with applicable confidentiality provisions of G.S. §132-1.10(b)(5) regarding personal identifying information

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ITEM #	STANDARD-2: BUDGET, FISCAL AND PAYROLL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
44.	VOUCHERS AND REGISTERS	Destroy in office after 3 years.*	
45.	WITHHOLDING TAX FILE Records concerning individual employees' income taxes. Includes wage and income tax reports, IRS forms W-2, W-3, W-4, 1099, and similar records of withheld federal and state income taxes. May also include IRS form 941 and other records of county tax liabilities to the IRS and NC Department of Revenue.	a) Destroy in office 30 years from date of separation records used for retirement or similar benefits verification. b) Destroy in office all remaining records after 4 years.*	Comply with applicable provisions of G.S. §162A-6.1 regarding confidentiality of personnel records. 29 CFR 1627.3 26 CFR 31.6001-1 26 CFR 31.6001-4

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STANDARD-3. INFORMATION TECHNOLOGY (IT) RECORDS

Information technology encompasses all activities undertaken by county departments 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-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	AUDIT TRAILS FILE Records documenting user actions affecting the contents of monitored systems.	Destroy in office after 3 years.*	
2.	COMPUTER AND NETWORK USAGE RECORDS Records documenting usage of electronic devices and networks. May include, but is not limited to: login files, system usage files, individual program usage files, and records of use of the internet by employees.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	Comply with applicable provisions of G.S. §132-6.1 (c) on the confidentiality of records regarding "hardware or software security, passwords, or security standards, procedures, processes, configurations, software, and codes."

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ITEM #	STANDARD-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
3.	DIGITIZATION AND SCANNING RECORDS Records concerning imaging operations. May include, but is not limited to, scanning and data entry quality control records and audit reports.	Destroy in office after 3 years.	
4.	DISASTER PREPAREDNESS AND RECOVERY PLANS Records concerning the protection and reestablishment of data processing services and equipment in case of a disaster. (Disaster preparedness and recovery plans should be stored in a secure, off-site location.)	a) Retain in office records documenting past disaster recovery permanently. b) Destroy in office all other records when superseded or obsolete.	Comply with applicable provisions of G.S. §132-6.1 (c) on the confidentiality of records regarding “hardware or software security, passwords, or security standards, procedures, processes, configurations, software, and codes.”
5.	INFORMATION TECHNOLOGY ASSISTANCE RECORDS Records documenting troubleshooting and problem-solving assistance provided by agency information systems personnel to users of the systems. May include, but is not limited to, help desk assistance requests, resolution records, and related documentation.	Destroy in office 1 year after work is completed.	

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION](#), page vi.

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ITEM #	STANDARD-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.	<p>NETWORK AND SYSTEM SECURITY RECORDS Records documenting the security of network and system. May include, but is not limited to, records concerning firewalls, anti-virus programs, and intruder scanning logs.</p>	Destroy in office after 3 years.*	Comply with applicable provisions of G.S. §132-6.1 (c) on the confidentiality of records regarding “hardware or software security, passwords, or security standards, procedures, processes, configurations, software, and codes.”
7.	<p>NETWORK DIAGRAMS 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.</p>	Destroy in office when superseded or obsolete.	Comply with applicable provisions of G.S. §132-6.1 (c) on the confidentiality of records regarding “hardware or software security, passwords, or security standards, procedures, processes, configurations, software, and codes.”
8.	<p>PROJECT DOCUMENTATION FILES Records created to design, develop, control, or monitor a specific project or group of projects. May include, but is not limited to, statements of work, assessments, maintenance agreements, and testing records.</p>	<p>a) Retain records with historical value permanently.</p> <p>b) Destroy in office remaining records 3 years after completion of project.</p>	

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ITEM #	STANDARD-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
9.	<p>SOFTWARE LICENSE AND COPYRIGHT PROVISIONS RECORDS</p> <p>Records documenting compliance with agency software license and copyright provisions. May include, but is not limited to, software licenses, correspondence, including email, and related documentation.</p>	Destroy in office 1 year after life of system.	
10.	<p>SYSTEM ACCESS RECORDS</p> <p>Records documenting user permissions and access to information, programs, or applications within a system.</p>	<p>Destroy in office when administrative value ends.†</p> <p>Agency Policy: Destroy in office after _____</p>	<p>Comply with applicable provisions of G.S. §132-6.1 (c) on the confidentiality of records regarding “hardware or software security, passwords, or security standards, procedures, processes, configurations, software, and codes.”</p>

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION](#), page vi.

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ITEM #	STANDARD-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
11.	<p>SYSTEM DOCUMENTATION RECORDS Records documenting operating systems, application programs, structure and form of datasets, system structure, and system-to-system communication. May include, but is not limited to, system overviews, dataset inventories, server name, IP address, purpose of the system, vendor-supplied documentation, installed software, and current source code.</p>	Destroy in office 3 years after superseded or obsolete.	Comply with applicable provisions of G.S. §132-6.1 (c) on the confidentiality of records regarding “hardware or software security, passwords, or security standards, procedures, processes, configurations, software, and codes.”
12.	<p>SYSTEM MAINTENANCE RECORDS: HARDWARE REPAIR OR SERVICE Records documenting inspections, maintenance, and repairs of agency computer systems that are owned or leased. May include, but is not limited to, computer equipment inventories and service records.</p>	<p>a) Destroy in office records documenting routine inspections and maintenance of equipment after 1 year.</p> <p>b) Retain records documenting all other equipment maintenance and repairs for life of equipment.</p>	
13.	<p>SYSTEM MAINTENANCE RECORDS: RECORDS BACKUPS Records documenting regular or essential system backups. May include, but is not limited to, backup tape inventories, relevant correspondence, including email, and related documentation.</p>	<p>Destroy in office in accordance with your office's established, regular backup plan and procedures. † Agency Policy: Destroy in office after _____</p> <p>See also: Security Backup Files as Public Records in North Carolina: Guidelines for the Recycling, Destruction, Erasure, and Re-use of Security Backup Files, available on the State Archives of North Carolina website.</p>	

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ITEM #	STANDARD-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
14.	<p>WEB MANAGEMENT AND OPERATIONS RECORDS: STRUCTURE</p> <p>Site maps that show the directory structure into which content pages are organized, and commercial, off-the-shelf software configuration files used to operate the site and establish its look and feel. May include, but is not limited to, server environment configuration specifications.</p> <p>See also WEBSITE (ELECTRONIC) FILE item 7, page 49.</p>	Destroy in office when superseded or obsolete.	

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION](#), page vi.

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STANDARD-4. LEGAL RECORDS

Official law and legal documentation created or accumulated to substantiate the rights, obligations, or interests of county tax offices or their individual employees or clients.

ITEM #	STANDARD-4: LEGAL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<p>AFFIDAVITS OF PUBLICATION Proof of publication provided by newspapers regarding publication of ordinances, public hearings, bid solicitations, payment of bills, public sales, etc.</p> <p>See also NOTICES OF PUBLIC MEETINGS item 36, page 8.</p>	<p>a) Retain in office permanently if record provides only evidence of publication.</p> <p>b) Destroy in office remaining records after 3 years.*</p>	G.S. § 1-600
2.	<p>COMPLAINTS (DISCRIMINATION) Records relating to discrimination charges. May includes charges made under the Age Discrimination in Employment Act, Americans with Disabilities Act, Housing and Urban Development Act, and the Civil Rights Act of 1964.</p>	Destroy in office 2 years after final disposition of the charge.*	
3.	<p>CONFLICT OF INTEREST DISCLOSURE STATEMENTS Completed by the elected agency officials as well as designated staff members in order to disclose an official's status or ownership interests.</p>	Destroy in office when superseded or obsolete.	
4.	CONTRACTOR COMPLIANCE MONITORING FILES	Destroy in office 5 years after contract expiration.	

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ITEM #	STANDARD-4: LEGAL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
5.	<p>CONTRACTS AND AGREEMENTS Contracts and agreements for construction, equipment, supplies, services, special programs, and projects. May include franchise agreements, hold harmless agreements, good faith effort documentation, and memoranda of understanding.</p>	<p>a) Retain in office contracts and agreements with historical value permanently.</p> <p>b) Destroy in office all other contracts and agreements 3 years after expiration, termination, or completion.*</p>	
6.	<p>CORRESPONDENCE (LEGAL) Correspondence, including email, and related records concerning actions taken to recover debts, fines, and penalties; and to assure violations are addressed.</p>	<p>Destroy in office 5 years after resolution.*</p> <p>For information on handling email, see Electronic Records page viii.</p>	<p>Comply with provisions of G.S. §132-1.1(a) regarding the confidentiality of written communications by legal counsel.</p>
7.	<p>INSURANCE POLICIES Records concerning purchased accident, sickness, automobile, theft, fire, life, and all other insurance policies purchased by agency.</p>	<p>a) Destroy in office when superseded or obsolete if no outstanding litigation.*</p> <p>b) Destroy in office other records 6 years after settlement.</p>	
8.	<p>LEASES FILE Records concerning leases for property leased by and from other parties and agency property leased to the public.</p> <p>See also GRANTS item 29, page 7.</p>	<p>Destroy in office 3 years after termination of lease.*</p>	

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ITEM #	STANDARD-4: LEGAL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
9.	<p>LEGAL OPINIONS Formal legal opinions written by counsel in response to requests concerning the governance and administration of local government.</p>	Retain in office permanently.	
10.	<p>LEGAL REVIEW RECORDS Includes legal reviews of by-laws and charges to boards and commissions, conflicts of interest, and all other departmental matters as requested.</p> <p>See also LEGAL OPINIONS item 9, page 29.</p>	<p>a) Retain in office records with historical value permanently.</p> <p>b) Destroy in office remaining records when administrative value ends or after expiration of relevant statute of limitations, whichever is longer.† Agency Policy: Destroy in office after _____</p>	Comply with applicable provisions of G.S. §132-1.1(a) regarding the confidentiality of written communications by legal counsel.
11.	<p>LITIGATION CASE RECORDS Civil suits to which the agency is a party. May include affidavits, agreements, appeals, bills, briefs, citations, commitments, complaints, discharges, motions, notices, pleas, releases, statements, testimony, verdicts, waivers, warrants, and writs.</p>	<p>a) Retain in office cases having precedent or historical value permanently.</p> <p>b) Destroy in office adjudicated cases 5 years after final disposition.</p> <p>c) Destroy in office non-adjudicated cases (out-of-court claims) 5 years after final disposition or expiration of relevant statute of limitations.</p> <p><i>Retention Note: Records are retained by the Clerk of Superior Court's office in each county.</i></p>	Comply with applicable provisions of G.S. §132-1.1(a) regarding the confidentiality of written communications by legal counsel.

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ITEM #	STANDARD-4: LEGAL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
12.	OATHS OF OFFICE FILE	a) Transfer official copy to the Clerk to the Board. b) Destroy in office remaining records 3 years after official termination. <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>	
13.	ORDINANCE AND RESOLUTION DEVELOPMENT RECORDS Records documenting the analysis and development of ordinances and resolutions submitted before the governing board for approval.	Destroy in office when ordinance or resolution is no longer in effect.	
14.	OWNERSHIP RECORDS (DEEDS, TITLES)	Destroy in office 1 year after agency relinquishes ownership of land.*	
15.	VEHICLE TITLES Titles of agency owned vehicles.	Dispose of in accordance with Division of Motor Vehicles procedures for title transfer upon disposition of vehicle.	
16.	WARRANTIES Warranties that accompany equipment or commodities purchased by the agency.	Destroy in office 1 year after expiration of warranty.	

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STANDARD-5. PERSONNEL RECORDS

Official records and materials created and accumulated incidental to the employment, qualifications, training, and pay status of tax administration office employees. Comply with applicable provisions of G.S. §153A-98 regarding confidentiality of personnel records.

ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	ABOLISHED POSITION FILE	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
2.	ADS AND NOTICES OF OVERTIME, PROMOTION, AND TRAINING OPPORTUNITIES	Destroy in office 1 year from date record was made.	29 CFR 1627.3(b)
3.	AFFIRMATIVE ACTION FILE	a) Destroy in office reports, analyses, and statistical data after 5 years. b) Destroy in office affirmative action plans 5 years from date superseded.	29 CFR 30.8(b),(e) 29 CFR 1608.4
4.	APPRENTICESHIP PROGRAM RECORDS	Destroy in office 5 years from the date of enrollment.	29 CFR 30.8(d),(e)
5.	APTITUDE AND SKILLS TESTING RECORDS Records concerning aptitude and skills tests required of job applicants or of current employees to qualify for promotion or transfer. May include civil service examinations. See also EMPLOYMENT SELECTION RECORDS item 32, page 40.	Destroy in office after 2 years.	29 CFR 1602.31 29 CFR 1602.40 29 CFR 1602.49

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ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.	BENEFITS REIMBURSEMENT PLAN Dental, vision, or other benefits-related claim forms and receipts submitted by employees requesting reimbursement from the agency.	a) Destroy in office records concerning approved requests after 3 years.* b) Destroy in office records concerning rejected requests 6 months after decision.	
7.	CAFETERIA PLAN (FLEXIBLE SPENDING) RECORDS Records concerning incentive systems in which employees can select the fringe benefits they want from a menu of available alternatives.	a) Destroy in office annual enrollment records after 1 year. b) Destroy in office remaining records and receipts 3 years after completion of all audits.*	
8.	COBRA RECORDS (CONSOLIDATED OMNIBUS BUDGET RECONCILIATION ACT) Includes notifications, election and claim forms, rejection letters, and similar information.	Destroy in office 3 years from date eligibility ended.	29 USC 1161 26 USC 4980B 42 USC 300-bb-1
9.	DEFERRED COMPENSATION FILE	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
10.	DISABILITY SALARY CONTINUATION CLAIMS Forms used by disabled employees to apply for salary continuation benefits.	a) Transfer original forms to Local Government Employees' Retirement System (LGRS) for action when received. b) Destroy in office reference copies after 1 year.	

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ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
11.	<p>DISCIPLINARY FILE Correspondence, including email, and other records concerning disciplinary action taken against employees by personnel or supervisory staff, including records documenting terminations. May include records created by civil service boards when considering, or reconsidering on appeal, an adverse action against an employee.</p>	<p>a) Transfer records as applicable to PERSONNEL RECORDS (OFFICIAL COPY) item 45, page 43.</p> <p>b) Destroy in office all remaining records 2 years after resolution of all actions.</p>	<p>29 CFR 1602.14 29 CFR 1602.31 29 CFR 1602.40 29 CFR 1602.49 29 CFR 1627.3</p>

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ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
12.	<p>DRUG AND ALCOHOL PROGRAMS FILE Records concerning an agency's alcohol misuse and controlled substances use prevention programs. May include test results, evaluations and referrals, annual summary reports, education and training records, chain of custody forms, and all other program related documents.</p>	<p>a) Destroy in office alcohol test results indicating a blood alcohol concentration of 0.02 or greater, records of verified positive drug or alcohol test results, documentation of refusals to take required alcohol and/or drug tests (including substituted or adulterated drug test results), referrals to Substance Abuse Professionals (SAP), SAP reports, all follow-up tests and schedules for follow-up tests, copies of annual Drug & Alcohol Management Information System (MIS) reports submitted to Federal Transit Administration (FTA), equipment calibrations, and records related to the administration of the testing program after 5 years.</p> <p>b) Destroy in office records obtained from previous employers concerning drug and alcohol test results after 3 years.</p> <p>c) Destroy in office records of the inspection, maintenance, and calibration of Evidential Breath Testing Devices (EBTs), records related to the collection process, and records concerning the training of program staff after 3 years.</p> <p>d) Destroy in office records of negative and cancelled drug or alcohol test results, including alcohol test results with a blood alcohol concentration of less than 0.02, after 1 year.</p> <p><i>Retention Note: Records should be maintained in a location with controlled access.</i></p>	<p>49 CFR 382.401 49 CFR 40.333 49 CFR 655.71</p>

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ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
13.	DUAL EMPLOYMENT FILE Records concerning employees' requests and authorizations to accept secondary employment.	a) Destroy in office approved requests and related records 1 year after employee terminates outside employment. b) Destroy in office unapproved requests and related records after 6 months.	
14.	EDUCATIONAL LEAVE AND REIMBURSEMENT FILE See also PERSONNEL RECORDS (OFFICIAL COPY) item 45, page 43.	a) Destroy in office records concerning approved requests when released from all audits. b) Destroy in office records concerning unapproved requests 6 months after unapproval.*	Comply with applicable provisions of 20 USC 1232g regarding the confidentiality of student records.
15.	EMPLOYEE BENEFITS REGISTER	Destroy in office after 2 years.	
16.	EMPLOYEE CERTIFICATION AND QUALIFICATION RECORDS Records concerning certification or qualification as required for employment, continued employment, or promotion. See also EMPLOYMENT APPLICATIONS AND RESUMES item 30, page 39.	a) Destroy in office certificates 5 years after date of separation. b) Destroy in office all remaining records 2 years after resolution of all actions.	
17.	EMPLOYEE DIRECTORIES, ROSTERS, OR INDEXES Includes records listing employees, their job titles, work locations, phone numbers, email addresses, and similar information.	Destroy in office when superseded or obsolete.	

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ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
18.	<p>EMPLOYEE EDUCATIONAL ASSISTANCE PROGRAM RECORDS Includes records requesting tuition assistance, repayments, and other related records.</p> <p>See also PERSONNEL RECORDS (OFFICIAL COPY) item 45, page 43.</p>	Destroy in office 3 years after completion, denial, repayment, or removal from program.*	
19.	<p>EMPLOYEE ELIGIBILITY RECORDS Includes the United States Immigration and Naturalization Services, Employment Eligibility Verification (I-9) forms.</p>	<p>a) Destroy in office certificates, I-9 forms, and statements 3 years after individual was hired or 1 year from date of separation.</p> <p>b) Destroy in office registers after 2 years.</p>	8 USC 1324(b)
20.	<p>EMPLOYEE EXIT INTERVIEW RECORDS</p> <p>See also PERSONNEL RECORDS (OFFICIAL COPY) item 45, page 43.</p>	Destroy in office after 1 year.	
21.	<p>EMPLOYEE HEALTH CERTIFICATES Includes health or physical examination reports, or certificates created in accordance with Title VII and the Americans with Disabilities Act (ADA).</p>	<p>a) Transfer records as applicable to PERSONNEL RECORDS (OFFICIAL COPY) item 45, page 43.</p> <p>b) Destroy in office all other records 2 years after resolution of all actions.</p>	29 CFR 1602.31

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ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
22.	<p>EMPLOYEE MEDICAL RECORDS Records concerning asbestos, toxic substances, and blood-borne 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.)</p>	<p>a) Destroy in office exposure records 40 years from date of exposure or 30 years from date of separation.*</p> <p>b) Destroy in office records pertaining to job-related illness and injury after 5 years.</p> <p>c) Destroy in office results of medical examinations required in connection with personnel actions and similar records after 1 year.</p> <p><i>Retention Note: Records must be maintained separately from an employee's personnel jacket. If part of a workers compensation claim, follow disposition for WORKERS' COMPENSATION PROGRAM CLAIMS FILE item 60, page 47.</i></p>	<p>29 CFR 1627.3 29 CFR 1630.14 29 CFR 1904.4 29 CFR 1910 29 CFR 1910.1020 (d)(ii)</p>
23.	<p>EMPLOYEE PENSION AND BENEFITS PLANS Includes plans and related records outlining the terms of employee pension plans; life, health, and disability insurance; seniority and merit systems; and deferred compensation plans, including amendments.</p>	<p>Destroy in office 1 year after plan is terminated.</p>	<p>29 CFR 1627.3(2)</p>
24.	<p>EMPLOYEE PENSION AND BENEFIT PLAN ENROLLMENT FORMS Forms providing personal identifying data, beneficiary information, option selection, and similar information.</p>	<p>a) Transfer pension and deferred compensation enrollment forms to PERSONNEL RECORDS (OFFICIAL COPY) item 45, page 43.</p> <p>b) Destroy in office life, health, and disability insurance enrollment forms 4 years after termination of coverage.</p>	

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ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
25.	<p>EMPLOYEE PERFORMANCE REVIEW FILE Information used to establish employees' goals and primary tasks. Records used to evaluate each employee's work performance.</p> <p>See also PERSONNEL RECORDS (OFFICIAL COPY) item 45, page 43.</p>	<p>a) Destroy in office supervisor approved and signed work plans after 3 years.</p> <p>b) Destroy in office remaining records when administrative value ends.† Agency Policy: Destroy in office after _____</p>	
26.	<p>EMPLOYEE POLYGRAPH RECORDS 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.</p>	<p>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.</p>	29 CFR 801.30
27.	<p>EMPLOYEE SUGGESTIONS Includes employee surveys and survey responses.</p>	<p>Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____</p>	
28.	<p>EMPLOYEE TRAINING AND EDUCATIONAL RECORDS Includes employee-specific records (certificates, transcripts, test scores, etc.) and non-employee-specific records (training manuals and aids, syllabi, course outlines, attendance rosters, etc.) relating to the training, testing, or continuing education of employees.</p>	<p>a) Transfer employee-specific records as applicable to PERSONNEL RECORDS (OFFICIAL COPY) item 45, page 43 if such training and testing is required for the position held or could affect career advancement.</p> <p>b) Destroy in office non-employee-specific records 1 year from date record was created.</p> <p>c) Destroy in office remaining records when administrative value ends.† Agency Policy: Destroy in office after _____</p>	29 CFR 1627.3(b)(1)(iv)

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ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
29.	<p>EMPLOYEE WORK SCHEDULES AND ASSIGNMENT RECORDS Records concerning work, duty, shift, crew, or case schedules, rosters, or assignments.</p>	<p>Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____</p>	
30.	<p>EMPLOYMENT APPLICATIONS AND RESUMES Records submitted by job applicants for vacant positions or by current employees for promotion, transfer, or training opportunities. May include applications, transcripts, resumes, letters of reference, and similar records.</p>	<p>a) Transfer applications, resumes, transcripts, and similar records as applicable to PERSONNEL RECORDS (OFFICIAL COPY) item 45, page 43.</p> <p>b) Destroy in office all remaining records concerning individuals hired 2 years from date record was created or received, or the personnel action involved.</p> <p>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.*</p> <p>d) Destroy in office unsolicited applications/resumes, and those received after posted closing dates, 2 years after receipt.</p>	<p>29 CFR 1602.31 29 CFR 1602.40 29 CFR 1602.49</p>
31.	<p>EMPLOYMENT LISTINGS, ADVERTISEMENTS, AND ANNOUNCEMENTS</p>	<p>Destroy in office after 2 years.</p>	<p>29 CFR 1602</p>

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ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
32.	<p>EMPLOYMENT SELECTION RECORDS Records concerning the selection of applicants for vacant positions or of current employees for promotion, transfer, or training opportunities. May include interview documentation, rosters, eligibility lists, test ranking sheets, justification statements, background and criminal history checks, health or physical examinations, and similar records.</p> <p>See also APTITUDE AND SKILLS TESTING RECORDS item 5, page 31.</p>	<p>a) Transfer records as applicable to PERSONNEL RECORDS (OFFICIAL COPY) item 45, page 43.</p> <p>b) Destroy in office all remaining records 2 years after resolution of all actions.</p>	<p>29 CFR 1602.31 29 CFR 1602.40 29 CFR 1602.49 29 CFR 1627.3</p>
33.	<p>EQUAL EMPLOYMENT OPPORTUNITY (EEO) CASE RECORDS Records concerning discrimination complaints and requests for reasonable accommodation received and resolved by the agency.</p> <p>See also PERSONNEL RECORDS (OFFICIAL COPY) item 45, page 43.</p>	<p>Destroy in office 2 years after resolution of case.*</p>	<p>29 CFR 1602.31</p>
34.	<p>EQUAL EMPLOYMENT OPPORTUNITY (EEO) RECORDS AND REPORTS Reports filed with the Equal Employment Opportunity Commission (EEOC) in accordance with the provisions of Title VII and the Americans with Disabilities Act (ADA). May include compiled documentation used to complete EEO reports.</p>	<p>Destroy in office after 3 years.</p>	<p>29 CFR 1602.31</p>

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION](#), page vi.

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ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
35.	EQUAL PAY RECORDS Includes reports, studies, aggregated or summarized data, and similar documentation compiled to comply with the Equal Pay Act.	Destroy in office after 2 years.	29 CFR 1620.32
36.	FRINGE BENEFITS FILE	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
37.	GRIEVANCE FILE Includes initial complaint, investigations, actions, summary, and disposition. May include disciplinary correspondence, including email. See also DISCIPLINARY FILE item 11, page 33 and PERSONNEL RECORDS (OFFICIAL COPY) item 45, page 43.	Destroy in office after 2 years.*	
38.	HEALTH INSURANCE FILE Completed claim forms and other records concerning employees covered by health plans.	Destroy in office after 2 years.*	
39.	INCREMENTS FILE	Destroy in office when released from all audits.	
40.	INTERNSHIP PROGRAM FILE Records concerning interns and students.	Destroy in office after 3 years.	

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ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
41.	LEAVE FILE Records concerning employee leave, including requests for and approval of sick, vacation, overtime, buy-back, shared, donated, military, etc. Includes premium payments, employer notice, medical examinations considered in connection with personnel action, disputes with employees over the Family Medical Leave Act (FMLA), and other related records.	Destroy in office 3 years after return of employee or termination of employment.*	29 CFR 825.110(b)(2)(i) 29 CFR 825.500(b)
42.	LONGEVITY PAY REQUESTS	Destroy in office when released from all audits.	
43.	MERIT AND SENIORITY SYSTEM RECORDS	a) Destroy in office employee-specific records after 3 years.* b) Destroy in office system and plan records 1 year after no longer in effect.	29 CFR 1627.3
44.	PERSONNEL ACTION NOTICES Records used to create or change information in the personnel records of individual employees concerning such issues as hiring, termination, transfer, pay grade, position or job title, name change, and leave.	a) Transfer records as applicable to PERSONNEL RECORDS (OFFICIAL COPY) item 45, page 43. b) Destroy in office all remaining records 2 years from date record was created or received, or the personnel action involved.	

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION](#), page vi.

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ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
45.	<p>PERSONNEL RECORDS (OFFICIAL COPY) Official copy of personnel file maintained on each agency employee. May include basic employee information and records and forms relating to the selection or non-selection, promotion, transfer, leave, salary, suspension, and termination of employment.</p> <p>See also EMPLOYEE MEDICAL RECORDS item 22, page 37.</p>	<p>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 county; date and type of each promotion, demotion, transfer, suspension, separation, or other change in position classification with that county; date and general description of the reasons for each promotion with that county; date and type of each dismissal, suspension, or demotion for disciplinary reasons taken by the county; and, if the disciplinary action was a dismissal, a copy of the written notice of the final decision of the county setting forth the specific acts or omissions that are the basis of the dismissal.</p> <p>b) Destroy in office information used to verify benefits 30 years after date of separation.</p> <p>c) Destroy in office remaining records when individual retention periods are reached as noted in individual items in the Records Retention and Disposition Schedule.</p>	G.S. § 153A-98 (County Employees)
46.	<p>PERSONNEL RECORDS (REFERENCE COPY) Duplicate copy of official personnel jacket that is often maintained below the department level by supervisors.</p>	<p>a) Transfer records as applicable to PERSONNEL RECORDS (OFFICIAL COPY) item 45, page 43.</p> <p>b) Destroy in office remaining records when administrative value ends.† Agency Policy: Destroy in office after _____</p>	

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ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
47.	POLICIES AND PROCEDURES (PERSONNEL)	a) Retain in office official copy of internal agency personnel policies permanently. b) Destroy in office reference copies and external policy procedures when superseded or obsolete.	
48.	POSITION CLASSIFICATION/POSITION HISTORY FILE See also POSITION DESCRIPTION RECORDS item 50, page 44.	a) Retain in office records with historical value permanently. b) Destroy in office all other records when superseded or obsolete.	
49.	POSITION CONTROL CARDS Records concerning personnel actions and position control, status of each established permanent, temporary full-time, or part-time position, and other related topics.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
50.	POSITION DESCRIPTION RECORDS Includes information on job title, grade, duties, agency assigned, and responsibilities.	Destroy in office 2 years from date record is superseded.	29 CFR 1620.32
51.	POSITION REQUISITION AND ANALYSIS RECORDS Records used to fill vacant positions and request new positions.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
52.	SALARY SURVEY RECORDS	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	

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ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
53.	<p>SERVICE AWARDS AND COMMENDATIONS Includes award and selection committee reports, nominations, selection criteria, and similar employee recognition or incentive programs administrative records.</p> <p>See also PERSONNEL RECORDS (OFFICIAL COPY) item 45, page 43.</p>	Destroy in office 2 years from date record was created or received, or the personnel action involved.	
54.	<p>TEMPORARY EMPLOYEE RECORDS Records concerning temporary employees who are not provided with or eligible for benefits. Does not include personnel records created for specific federal programs.</p>	<p>a) If employee is a county employee, transfer applicable records to PERSONNEL RECORDS (OFFICIAL COPY) item 45, page 43.</p> <p>b) If the employee is a temporary service company employee, destroy in office 5 years from date of separation.</p>	
55.	<p>UNEMPLOYMENT COMPENSATION CLAIMS Claim form and other related records concerning unemployment compensation cases.</p>	Destroy in office after 3 years.*	
56.	<p>UNEMPLOYMENT COMPENSATION REPORTS 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 Employment Security Commission.</p>	Destroy in office after 3 years.*	

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ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
57.	UNEMPLOYMENT INSURANCE FILE	a) Transfer original records to the N.C. Department of Commerce, Unemployment Insurance Division, when received. b) Destroy in office remaining records after 2 years.	
58.	VOLUNTEER RECORDS Records concerning individuals who volunteered to assist with various agency activities and/or serve on boards.	Destroy in office 3 years from date of last inquiry or entry.	
59.	WORKERS' COMPENSATION PROGRAM (ADMINISTRATIVE) FILE Includes program policies, guidelines, and related administrative documentation.	a) Retain in office records with historical value permanently. b) Destroy in office all other records when administrative value ends.† Agency Policy: Destroy in office after _____	

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ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
60.	<p>WORKERS' COMPENSATION PROGRAM CLAIMS FILE Records concerning workers' compensation claims filed by employees' supervisors concerning accidental injuries or illnesses suffered on the job. May include Employer's Report of Injury to Employee (Form 19), accident investigation reports, medical reports, reference copies of medical invoices, and other related records. Also includes reference copies. (Records concerning claims filed for injuries that occurred prior to July 5, 1994 are considered permanent records in compliance with <i>Hylar v. GTE Prods. Co.</i>, 333 N. C. 258 S.E.2d 698 (1993).)</p>	<p>a) Retain in office permanently records concerning claims filed for injuries that occurred prior to July 5, 1994. Transfer official copy of claim records to the Industrial Commission in compliance with G.S. §97-92(a), and in accordance with agency personnel policy. Retain in office permanently records concerning claims filed for injuries that occurred on or after July 5, 1994, for which the Industrial Commission form "Employee's Claim for Additional Medical Compensation Pursuant to N.C. Gen. Stat. §97-25.1" (Form 18M) has been filed. Destroy in office remaining records 5 years after closing, in accordance with G.S. §97-24(c), if no litigation, claim, audit, or other official action involving the records has been initiated.*</p> <p>b) If official action has been initiated, transfer to LITIGATION CASE RECORDS item 11, page 29.</p>	Comply with applicable provisions of G.S. §8-53 regarding the confidentiality of physician-patient records.

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION](#), page vi.

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STANDARD-6. PUBLIC RELATIONS RECORDS

Official records and materials created and accumulated by internal public information programs operated by tax administrative offices.

ITEM #	STANDARD-6: PUBLIC RELATIONS RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	ADVERTISEMENTS Includes advertisements of special events and services concerning the agency which appear in newspapers, journals, newsletters, etc.	a) Retain in office records with historical value permanently. b) Destroy in office advertisements 3 years after expiration.* c) Destroy in office billing information and other fiscal records when released from all audits.	
2.	AGENCY PUBLICATIONS Publications created at agency expense.	a) Retain in office records with historical value permanently. b) Destroy in office remaining records when administrative value ends.† Agency Policy: Destroy in office after _____	
3.	AUDIO-VISUAL RECORDINGS Recordings (including digital) and films produced by the agency. This does not include recordings of public meetings.	a) Retain in office records with historical value permanently. b) Destroy in office remaining records when administrative value ends.† Agency Policy: Destroy in office after _____	

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ITEM #	STANDARD-6: PUBLIC RELATIONS RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.	<p>NEWS AND PRESS RELEASES News and press releases issued concerning programs, activities, and services of the agency.</p>	<p>a) Retain in office records with historical value permanently.</p> <p>b) Destroy in office remaining records when administrative value ends.† Agency Policy: Destroy in office after _____</p>	
5.	<p>PUBLIC RELATIONS FILE Records concerning overall public relations of county tax office. May include procedures, correspondence (including email), photographic materials, and other related records.</p>	<p>Destroy in office after 5 years.</p>	
6.	<p>SPEECHES Speeches made by agency officials.</p>	<p>a) Retain in office records with historical value permanently.</p> <p>b) Destroy in office remaining records when administrative value ends.† Agency Policy: Destroy in office after _____</p>	
7.	<p>WEBSITE (ELECTRONIC) FILE Electronic records concerning the administration and maintenance of the agency's website. (A network administrator or information systems office may maintain electronic files.)</p> <p>See also WEB MANAGEMENT AND OPERATIONS RECORDS: STRUCTURE item 14, page 26.</p>	<p>a) Retain in office records with historical value permanently. Can be maintained as website snapshots or via Web crawler.</p> <p>b) Destroy in office remaining records when superseded or obsolete.</p> <p><i>Retention Note: Preserve copy of web page after every major change in design and/or content.</i></p>	

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STANDARD-7. RISK MANAGEMENT RECORDS

Official records created and accumulated to manage risks in county tax departments.

ITEM #	STANDARD-7: RISK MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<p>ACCIDENT/INCIDENT REPORTS (CUSTOMER AND EMPLOYEE)</p> <p>See also WORKERS' COMPENSATION PROGRAM CLAIMS FILE item 60, page 47.</p>	<p>a) Transfer records resulting in workers' compensation to WORKERS' COMPENSATION PROGRAM CLAIMS FILE item 60, page 47.</p> <p>b) Destroy in office remaining employee claims 3 years after settlement or denial of claim.*</p> <p>c) Destroy in office non-employee accident reports 3 years after settlement or denial of claim.*</p> <p>d) Destroy in office reports that do not result in claims or official action after 3 years.</p> <p>e) Destroy in office reports of minors after minor has reached age of 21.</p>	
2.	<p>BLOODBORNE PATHOGEN TRAINING RECORDS</p> <p>Includes records showing date of training, sessions, contents or summaries of sessions, names of employees attending, and names and qualification of instructors.</p>	Destroy in office after 3 years.	29 CFR 1910.1030(h)(2)(ii)

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ITEM #	STANDARD-7: RISK MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
3.	DISASTER AND EMERGENCY MANAGEMENT PLANS Records concerning preparedness, evacuations, and operations in the event of a disaster (natural, accidental, or malicious). Includes, but is not limited to, official copy of comprehensive plan and all background surveys, studies, reports, and draft versions of plans.	a) Retain plans until superseded. b) Destroy in office background surveys, studies, reports, and drafts 3 years after adoption of plan, or when superseded or obsolete, whichever comes first.	Comply with applicable provisions of G.S. §132-1.7 regarding the confidentiality of security records.
4.	EMPLOYEE SECURITY RECORDS Records concerning the issuance of keys, identification cards, passes, parking permits, etc., to employees.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
5.	FIRE, HEALTH, AND SAFETY RECORDS Records concerning agency safety measures. May include reports, logs, and similar records documenting health and safety inspections of agency facilities.	Destroy in office when superseded or obsolete.	
6.	HAZARDOUS MATERIALS TRAINING RECORDS Includes records showing date of training, sessions, contents or summaries of sessions, names of employees attending, and names and qualifications of instructors.	Destroy in office after 5 years.	29 CFR 1910.120(p)(8)(iii); 29 CFR 1910.120 Appendix E
7.	INSURANCE AND LIABILITY WAIVERS	Destroy in office 6 years from date of termination or settlement of all claims.*	
8.	INSURANCE AUDITS, SURVEYS, AND REPORTS	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION](#), page vi.

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ITEM #	STANDARD-7: RISK MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
9.	LOSS CONTROL INSPECTION REPORTS Self-inspections to identify potential liabilities or hazards that may exist in agency owned buildings or property.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
10.	LOST AND STOLEN PROPERTY REPORTS Includes reports of vandalism.	Destroy in office after 3 years.*	29 CFR 1910.1200 29 CFR 1910.22E
11.	NOTIFICATION OF PENALTY ASSESSMENT FILE	Destroy in office after 6 years.	
12.	OCCUPATIONAL SAFETY AND HEALTH ADMINISTRATION (OSHA) FILE Records concerning injury or illness, extent and outcomes, summary totals for calendar year, and OSHA forms 101 and 200.	Destroy in office after 5 years.	
13.	RESPIRATOR PROGRAM RECORDS Includes respirator fit test records.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
14.	SELF-INSURER CERTIFICATION FILE	Destroy in office 6 years from date of termination or settlement of all claims.	
15.	U.S. BUREAU OF LABOR STATISTICS AND SUMMARY FILE	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION](#), page vi.

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STANDARD-8. PROGRAM OPERATIONAL RECORDS: PROPERTY APPRAISAL RECORDS. Records received and created by county tax offices necessary to meet all statutory requirements.

ITEM #	STANDARD-8. PROGRAM RECORDS: PROPERTY APPRAISAL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<p>APPRAISAL MONITORING RECORDS Records used to discover unlisted and under-appraised real and personal property during non-revaluation years. May include field notes; correspondence, including email, to and from property owners; and similar records documenting changes in parcel features and characteristics used to update property records.</p> <p>See also REVALUATION RECORDS item 16, page 56.</p>	<p>a) Destroy in office records concerning real property after 10 years or two revaluation cycles, whichever occurs first.</p> <p>b) Destroy in office records concerning personal property after two revaluation cycles.</p>	G.S. §105-287
2.	<p>BOARD OF EQUALIZATION AND REVIEW (APPEALS FILE) Records associated with appeals to the Board of Equalization and Review. May include appeal letters, hearing notices, listing information, affidavits, staff recommendations, and final actions.</p>	Destroy in office after 8 years.*	G.S. §105-322 G.S. §105-323 G.S. §105-325

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ITEM #	STANDARD-8. PROGRAM RECORDS: PROPERTY APPRAISAL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
3.	<p>BOARD OF EQUALIZATION AND REVIEW (MINUTES AND ATTACHMENTS) As defined by § 143-318.10 (b), includes official and reference copies of the minutes of the Board of Equalization and Review, 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 board and its subsidiary and advisory boards.</p> <p>See the Microfilm section on page xi for instructions on microfilming.</p>	<p>a) The official minutes of the Board of Equalization and Review and its subsidiary boards are permanent records.</p> <p>b) The official minutes of advisory boards may only be destroyed 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.</p> <p>c) Minutes of committees or subcommittees may be destroyed when administrative 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.† Agency Policy: Destroy in office after _____</p>	<p>G.S. §105-322 G.S. § 143-318.10</p>
4.	<p>DEFERRED TAXES Records related to deferred tax programs, including, but not limited to, agricultural, horticultural, and forestland deferred taxes; wildlife conservation deferred taxes; and historical building deferred taxes. Does not include applications for deferral.</p> <p>See also PROPERTY EXEMPT FROM TAXATION FILE item 9, page 55 and PRESENT USE VALUE RECORDS item 8, page 55.</p>	<p>Destroy in office after 10 years or two revaluation cycles, whichever occurs first.</p>	<p>G.S. §105-277.6 G.S. §105-277.15 G.S. §105-285 G.S. §105-286 G.S. §105-287</p>

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION](#), page vi.

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ITEM #	STANDARD-8. PROGRAM RECORDS: PROPERTY APPRAISAL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
5.	LOCAL GOVERNMENT COMMISSION REPORTS (DEPARTMENT OF REVENUE)	Destroy in office after 3 years.	G.S. §105-291
6.	LOCAL GOVERNMENT COMMISSION: VALUATION AND TAXES Valuations of property owned by railroads, public utilities, etc., in the county.	Destroy in office after 10 years or two revaluation cycles, whichever occurs first.	G.S. §105-284
7.	NORTH CAROLINA PROPERTY TAX COMMISSION (APPEALS FILE)	Destroy in office 4 years after final settlement.	G.S. §105-290 G.S. §105-342
8.	PRESENT USE VALUE RECORDS Applications and supporting records submitted for land use value assessment program.	a) Retain in office approved applications and supporting records until superseded or obsolete. b) Destroy in office denied applications and supporting records after 1 year.	G.S. §105-277.2 - .7 G.S. §105-296(j)
9.	PROPERTY EXEMPT FROM TAXATION FILE Records documenting a taxpayer's application for exemption from or deferral of taxes. Includes application and supporting records.	a) Retain approved applications and supporting records until there is a change in property's status. b) Destroy in office denied applications and supporting records after 1 year.	G.S. §105-282.1
10.	REAL ESTATE TRANSFERS FILE Includes copies of deeds, death and probate abstracts, division orders, control sheets, and similar documentation used to update property records.	Destroy in office 1 year from date of transfer.	G.S. §105-303

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ITEM #	STANDARD-8. PROGRAM RECORDS: PROPERTY APPRAISAL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
11.	REAL PROPERTY RECORDS (CARDS) Uniform property records (paper and electronic) documenting ownership and value information, including parcel features and characteristics needed to reconstruct values.	Destroy in office after 10 years or two revaluation cycles, whichever occurs first.	G.S. §105-286 G.S. §105-317
12.	REPORTS BY MULTI-COUNTY BUSINESS TAXPAYERS FILE	Destroy in office after 10 years or two revaluation cycles, whichever occurs first.	G.S. §105-313
13.	REPORTS BY TRAILER PARKS, MARINAS, AND AIRCRAFT FACILITIES	Destroy in office after 10 years or two revaluation cycles, whichever occurs first.	G.S. §105.316
14.	REPORTS OF PERSONS HAVING CUSTODY OF TANGIBLE PROPERTY OF OTHERS FILE	Destroy in office after 10 years or two revaluation cycles, whichever occurs first.	G.S. §105-315
15.	REPORTS TO THE DEPARTMENT OF ADMINISTRATION ON PROPERTY LISTED IN NAME OF UNKNOWN OWNER FILE	Destroy in office after 10 years or two revaluation cycles, whichever occurs first.	G.S. §105-302.1
16.	REVALUATION RECORDS Records used by appraisers to reappraise the value of real property on a four-year, eight-year, or similar cycle. May include field notes; correspondence, including email, to and from property owners; building and construction lists; ratio studies; area and neighborhood records used to estimate market values; and similar records documenting changes in parcel features and characteristics.	Destroy in office after 10 years or two revaluation cycles, whichever occurs first.	G.S. §105-286

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ITEM #	STANDARD-8. PROGRAM RECORDS: PROPERTY APPRAISAL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
17.	SPECIAL ASSESSMENT RECORDS Includes rolls, schedules, ledgers and similar records listing amounts of assessment for streets, sidewalks, etc.	Destroy in office after 10 years or two revaluation cycles, whichever occurs first.	
18.	TAX ABSTRACTS AND LISTS Complete record of real and personal property in the county, based on assessment lists. Includes name and address of taxpayer, along with descriptions of property owned and estimated values.	Destroy in office after 10 years or two revaluation cycles, whichever occurs first.	G.S. §105-309 G.S. §105-296
19.	TAX RELIEF RECORDS Records concerning tax relief programs, including, but not limited to, homesteading programs, elderly or disabled exclusions, and disabled veterans exclusions. Does not include applications for exclusions. See also PROPERTY EXEMPT FROM TAXATION FILE item 9, page 55 and PRESENT USE VALUE RECORDS item 8, page 55.	Destroy in office after 10 years or two revaluation cycles, whichever occurs first.	G.S. §105-277.1
20.	UNIFORM SCHEDULES OF VALUES, STANDARDS, AND RULES Appraisal manuals used to determine market and income value of property for appraisal purposes.	Destroy in office after 10 years or two revaluation cycles, whichever occurs first.	G.S. §105-317

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STANDARD-9. PROGRAM OPERATIONAL RECORDS: TAX COLLECTION RECORDS. Records received and created by county tax offices in order to meet all statutory requirements. Comply with applicable provisions of G.S. §153A-148.1 regarding confidentiality of local tax records that contain information about a taxpayer's income or receipts.

ITEM #	STANDARD-9. PROGRAM RECORDS: PROPERTY TAX COLLECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	ATTACHMENT AND GARNISHMENT RECORDS Records regarding attachments or garnishments for the payment of taxes.	Destroy in office 3 years after final settlement.*	G.S. §105-368
2.	BANKRUPTCY RECORDS Records documenting the collection of taxes on property involved in bankruptcy cases.	Destroy in office 3 years after final settlement.*	G.S. §105-369
3.	DEBT SETOFF PROGRAM RECORDS Includes participation forms, information tracking sheets and correspondence, including email, between debtor and tax office.	Destroy in office 3 years after final settlement.*	G.S. §105A
4.	DELINQUENT TAXPAYER RECORDS: REAL OR PERSONAL PROPERTY Records documenting taxpayers who have not paid real or personal property taxes due, including unpaid notices.	Destroy in office after 10 years.*	
5.	DELINQUENT TAXPAYER RECORDS: ADVERTISEMENT OF TAX LIENS AGAINST REAL PROPERTY Records documenting the county taxation officer's publication of delinquent taxpayer and tax sales notices in the newspaper.	Destroy in office after 10 years.*	G.S. §105-369

*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 Cultural Resources has scheduled with the disposition instruction "destroy when administrative value ends." Please use the space provided.

ITEM #	STANDARD-9. PROGRAM RECORDS: PROPERTY TAX COLLECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.	IN REM FORECLOSURE PROCEEDING RECORDS	Destroy in office 3 years after final settlement.* <i>Retention Note: Agencies may wish to retain records of proceedings resulting in foreclosure and sale of property permanently.</i>	G.S. §105-375
7.	MOBILE HOME RELOCATION TAX PERMITS Assurances that taxes are being paid on mobile homes being moved.	Destroy in office after 5 years.*	G.S. §105-316.1-8
8.	MORTGAGE STYLE FORECLOSURE PROCEEDING RECORDS Amount of taxes owed, description of property, certified mail, and correspondence, including email, with taxpayer and attorney.	Destroy in office 3 years after final settlement.*	G.S. §105-374
9.	PARTIAL PAYMENT PLANS Installment and partial payment agreements, extensions, taxpayer information sheets, and related records.	Destroy in office 3 years after final settlement.*	G.S. §105-358
10.	RELEASE AND REFUND RECORDS: REAL OR PERSONAL PROPERTY Includes requests for release and refund submitted by taxpayer; correspondence, including email, to and from taxpayer; decisions of governing board; release and refund monthly reports; and supporting records.	a) Destroy in office release and refund monthly reports 1 year from date of submission. b) Destroy in office all remaining records 3 years after final settlement.*	G.S. §105-381

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION](#), page vi.

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ITEM #	STANDARD-9. PROGRAM RECORDS: PROPERTY TAX COLLECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
11.	<p>SKIPTRACKING RECORDS Records gathered when attempting to locate taxpayers. May include lien holder information, copies of death certificates, and credit bureau records.</p> <p>See also DELINQUENT TAXPAYER RECORDS item 4, page 58.</p>	<p>Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____</p>	
12.	<p>TAX COLLECTOR ANNUAL SETTLEMENTS List of taxes collected by tax collector yearly, percentage of taxes collected, total releases, total balance due by tax year, and total county taxes collected. Sent to county commissioners and finance officer.</p>	<p>Destroy in office 3 years from date of submission.</p>	<p>G.S. §105-373</p>
13.	<p>TAX COLLECTOR MONTHLY REPORTS List of taxes collected by tax collector showing percentage of taxes collected, total releases, total balance due by tax year, and total county taxes collected. Sent to county commissioners and finance officer on a monthly and bi-monthly basis.</p>	<p>Destroy in office 1 year from date of submission.</p>	<p>G.S. §105-350</p>

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION](#), page vi.

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ITEM #	STANDARD-9. PROGRAM RECORDS: PROPERTY TAX COLLECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
14.	TAX LEVY/SEIZURE RECORDS Inventory of property taken from property owner by the county tax collector to pay back taxes.	a) Retain in office for 3 years execution forms if levy and sale of personal property is made. If levy and sale are conducted by Sheriff's Department, execution forms to be retained by the Sheriff's Department. b) If levy, seizure, and sale are not made, destroy forms in office when administrative value ends.† Agency Policy: Destroy in office after _____	G.S. §105-366 G.S. §105-367
15.	TAX RECEIPTS (BILLS) FILE: REAL OR PERSONAL PROPERTY Copies of receipts and bills issued for the payment of taxes.	Destroy in office after 3 years.	G.S. §105-381 G.S. §153A-148.1
16.	TAX SCROLLS AND BOOKS: PRIOR TO 1900 Includes property valuation (real and personal) and amount of taxes due. These records may be prepared separately or combined.	Transfer to the State Archives. <i>Retention Note: Tax scrolls may be transferred to the State Archives of North Carolina electronically. Contact your local records analyst for more information.</i>	G.S. §105-319
17.	TAX SCROLLS AND BOOKS: FOR YEARS ENDING IN 0 AFTER 1900 Includes property valuation (real and personal) and amount of taxes due. These records may be prepared separately or combined.	Transfer to the State Archives. <i>Retention Note: Tax scrolls may be transferred to the State Archives of North Carolina electronically. Contact your local records analyst for more information.</i>	G.S. §105-319
18.	TAX SCROLLS AND BOOKS: ALL OTHER Includes real and personal property, discovery, delinquent, and any other supplemental scroll, book, summaries, or recapitulations.	Destroy in office after 10 years or 1 year after released by the governing board, whichever occurs first.	G.S. §105-319

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION](#), page vi.

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STANDARD-10. PROGRAM OPERATIONAL RECORDS: LAND RECORDS. Records received and created by county tax offices in order to meet all statutory requirements.

ITEM #	STANDARD-10: PROGRAM RECORDS: LAND RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	GEOGRAPHIC INFORMATION SYSTEM (GIS) BACKUP FILE	Destroy in office system backup files when superseded or obsolete.	
2.	GEOGRAPHIC INFORMATION SYSTEM (GIS) CORE DATA 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. <i>Retention Note: Other datasets should be kept according to standards and procedures set by GICC. Consult the GICC website at http://www.ncgicc.com/. See also GEOSPATIAL RECORDS, page ix.</i>	
3.	GEOGRAPHIC INFORMATION SYSTEM (GIS) DATA DOCUMENTATION (METADATA) 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. May include 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).	

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION](#), page vi.

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ITEM #	STANDARD-10: PROGRAM RECORDS: LAND RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.	GEOGRAPHIC INFORMATION SYSTEM (GIS) INTERNAL STANDARDS AND PROCEDURES 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.	
5.	GEOGRAPHIC INFORMATION SYSTEM (GIS) MONITORING RECORDS Includes system security, quality assurance, transaction tracking, and other related activity monitoring records.	Destroy in office after 1 year.	
6.	GEOGRAPHIC INFORMATION SYSTEM (GIS) OPERATIONAL RECORDS 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).	
7.	GEOGRAPHIC INFORMATION SYSTEM (GIS) PROJECT RECORDS	a) Retain in office GIS datasets and accompanying documentation (metadata) with historical and/or legal value permanently. b) Destroy in office remaining items when administrative value ends.† Agency Policy: Destroy in office after _____	

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION](#), page vi.

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ITEM #	STANDARD-10: PROGRAM RECORDS: LAND RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
8.	<p>MAPPING PROJECT RECORDS Includes county contract maps and all deliverable products for aerial photography, orthophotography, cartographic, cadastral, and digital mapping projects.</p>	<p>Paper: Retain in office permanently.</p> <p>GIS dataset: Records are permanent. Create a snapshot of dataset annually. To maintain permanently,</p> <p><u>Either:</u> Transfer snapshot to NCOneMap according to established procedures, complying with standards and procedures adopted by the North Carolina Geographic Information Coordinating Council. See also GEOSPATIAL RECORDS, page ix.</p> <p><u>Or,</u> 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 North Carolina Geographic Information Coordinating Council. See also GEOSPATIAL RECORDS, page ix.</p>	

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION](#), page vi.

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ITEM #	STANDARD-10: PROGRAM RECORDS: LAND RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
9.	<p>MAPS: CARTOGRAPHIC AND ORTHOPHOTOGRAPHY Base maps created to assist in the accurate appraisal of property located in the county, including aerial photographs.</p>	<p>Paper: Retain in office permanently.</p> <p>GIS dataset: Records are permanent. Create a snapshot of dataset annually. To maintain permanently,</p> <p><u>Either:</u> Transfer snapshot to NCOneMap according to established procedures, complying with standards and procedures adopted by the North Carolina Geographic Information Coordinating Council. See also GEOSPATIAL RECORDS, page ix.</p> <p><u>Or,</u> 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 North Carolina Geographic Information Coordinating Council. See also GEOSPATIAL RECORDS, page ix.</p>	

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ITEM #	STANDARD-10: PROGRAM RECORDS: LAND RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
10.	<p>MAPS: PARCEL Maps, including cadastral maps, and surveys of boundaries and measurements of each parcel, and information about encroachments, rights-of-ways and structures.</p>	<p>Paper: Destroy in office upon State Archives approval.</p> <p>GIS dataset: Records are permanent. Create a snapshot of dataset quarterly. To maintain permanently,</p> <p><u>Either:</u> Transfer snapshot to NCOneMap according to established procedures, complying with standards and procedures adopted by the North Carolina Geographic Information Coordinating Council. See also GEOSPATIAL RECORDS, page ix.</p> <p><u>Or,</u> 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 North Carolina Geographic Information Coordinating Council. See also GEOSPATIAL RECORDS, page ix.</p>	

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ITEM #	STANDARD-10: PROGRAM RECORDS: LAND RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
11.	MAPS: STREET CENTERLINE	<p>Paper: Retain in office permanently.</p> <p>GIS dataset: Records are permanent. Create a snapshot of dataset annually. To maintain permanently,</p> <p><u>Either:</u> Transfer snapshot to NCOneMap according to established procedures, complying with standards and procedures adopted by the North Carolina Geographic Information Coordinating Council. See also GEOSPATIAL RECORDS, page ix.</p> <p><u>Or,</u> 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 North Carolina Geographic Information Coordinating Council. See also GEOSPATIAL RECORDS, page ix.</p>	
12.	MAPS: INDEXES AND MANUSCRIPTS Indexes and manuscripts showing map boundaries, scales, and similar identification data.	Destroy in office upon State Archives approval.	
13.	MAPS: ALL OTHER Includes field maps, soil, topographic, sales, subdivision plats, right-of-way, sectional, highway, etc.	<p>Retain in office maps, including GIS datasets and accompanying documentation (metadata), with historical and/or legal value permanently.</p> <p>Destroy in office remaining items when administrative value ends.† Agency Policy: Destroy in office after _____</p>	

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION](#), page vi.

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ITEM #	STANDARD-10: PROGRAM RECORDS: LAND RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
14.	<p>PARCEL (REAL PROPERTY) RECORDS Records containing detailed information on all parcels of real property located in the county. Includes copies of recorded deeds, and information about encroachments, right-of-ways and structures.</p>	<p>a) Retain in office records with historical value permanently. b) Destroy in office all other records after 10 years or two revaluation cycles, whichever occurs first.</p>	
15.	<p>REAL PROPERTY CHANGE AND MAINTENANCE RECORDS Records used to change information relating to a parcel of land, from a name or mailing address change to a correction in dimensions. Changes reported in these records are then made on the tax maps and property records.</p>	<p>Destroy in office after 1 year.*</p>	

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION](#), page vi.

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STANDARD-11. PROGRAM OPERATIONAL RECORDS: MOTOR VEHICLE RECORDS. Records received and created by county tax offices in order to meet all statutory requirements.

ITEM #	STANDARD-11: PROGRAM RECORDS: MOTOR VEHICLE RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	ADDRESS CHANGE NOTICE AND CERTIFICATION FORMS Copies of Division of Motor Vehicles form MAV-1 sent and received by local tax offices.	Destroy in office after 1 year.	G.S. §105-330.3
2.	ANTIQUE VEHICLES REDUCED TAX VALUATION RECORDS Applications and supporting documentation submitted for reduced tax valuation.	a) Retain approved applications and supporting records until superseded or obsolete. b) Destroy in office denied applications and supporting records after 1 year.	G.S. §105-330.9
3.	ATTACHMENT AND GARNISHMENT RECORDS: MOTOR VEHICLE Records regarding attachments or garnishments for the payment of taxes.	Destroy in office 3 years after final settlement.*	
4.	DELINQUENT TAXPAYER RECORDS: MOTOR VEHICLE Records documenting taxpayers who have not paid real and personal property taxes due, including unpaid notices.	Destroy in office after 10 years.*	

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION](#), page vi.

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ITEM #	STANDARD-11: PROGRAM RECORDS: MOTOR VEHICLE RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
5.	MOTOR VEHICLE BLOCK RECORDS Lists submitted to the North Carolina Division of Motor Vehicles of owners' name, addresses, and VIN numbers of vehicles on which taxes are unpaid. Also includes copies of block removal receipts created when taxes are paid.	a) Destroy lists submitted to the Division of Motor Vehicles when administrative value ends.† Agency Policy: Destroy in office after _____ b) Destroy copies of receipts in office after 1 year.*	G.S. §105-330.7
6.	MOTOR VEHICLE REGISTRATION LISTS Computer generated lists received from the North Carolina Division of Motor Vehicles or Property Tax Division on diskettes.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	G.S. §105-330.5
7.	MOTOR VEHICLE SCROLLS AND BOOKS	Destroy in office after 10 years or 1 year after released by governing board, whichever occurs first.	
8.	MOTOR VEHICLE TAX ADJUSTMENT RECORDS Taxpayer completed property information sheets and reports used to appraise the value of travel and utility trailers, campers, motor homes, converted buses, high mileage vehicles, etc.	Destroy in office after 3 years.	G.S. §105-330.2 G.S. §105-330.5
9.	PROPERTY SEIZURE AND LEVY RECORDS: MOTOR VEHICLE Records concerning vehicles seized by the county to pay back taxes.	Destroy in office 3 years after sale of property.* <i>Retention Note: If a law enforcement agency carried out seizure and sale, execution forms are to be retained by that agency.</i>	G.S. §105-367

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION](#), page vi.

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ITEM #	STANDARD-11: PROGRAM RECORDS: MOTOR VEHICLE RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
10.	RELEASE AND REFUND RECORDS: MOTOR VEHICLE Records documenting the release and refund of taxes due. May include Division of Motor Vehicle form FS-20 "Receipt of Tag Surrender" and proofs of ownership, transfer, bill of sale, insurance cancellation, out of state registration, and related records.	a) Destroy in office release and refund monthly reports 1 year from date of submission. b) Destroy in office all remaining records 3 years after final settlement.*	G.S. §105-330.6
11.	STATE TITLING AND REGISTRATION SYSTEM (STARS) FILE Electronic database maintained by the Division of Motor Vehicles	Destroy in office printouts produced from the system when administrative value ends.† Agency Policy: Destroy in office after _____	
12.	TAX ABSTRACTS AND LISTS: MOTOR VEHICLE Record of all registered and unregistered vehicles in the county. Includes name and address of taxpayer along with descriptions of property owned.	Destroy in office after 10 years.	G.S. §105-330.3
13.	TAX RECEIPTS (BILLS) FILE: MOTOR VEHICLE Copies of notices mailed to taxpayers and receipts of payment.	Destroy in office after 3 years.	G.S. §105-330.5 G.S. §153A-148.1

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION](#), page vi.

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STANDARD-12. PROGRAM OPERATIONAL RECORDS: BUSINESS AND OTHER TAX RECORDS. Records received and created by county tax offices in order to meet all statutory requirements. Comply with applicable provisions of G.S. §153A-148.1 regarding confidentiality of local tax records that contain information about a taxpayer's income or gross receipts.

ITEM #	STANDARD-12: PROGRAM RECORDS: BUSINESS AND OTHER TAX RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	ANIMAL LICENSE RECORDS Records concerning the payment of license fees.	Destroy in office after 3 years.*	
2.	BEER AND WINE LICENSE TAX RECORDS Issuance and payment records concerning licenses to sell alcohol.	Destroy in office 3 years after expiration.*	G.S. §105-113.78 G.S. §105-113.88
3.	GOING-OUT-OF-BUSINESS LICENSES Licenses granted to business to hold going out of business, water and smoke damage, and distress sales.	Destroy in office 1 year after expiration.	G.S. §66-77
4.	HEAVY EQUIPMENT TAX	Destroy in office after 3 years.*	
5.	MOTOR VEHICLE RENTAL TAX	Destroy in office after 3 years.*	
6.	PREPARED FOOD AND BEVERAGE TAX	Destroy in office after 3 years.	G.S. §160A-480.3
7.	PRIVILEGE LICENSE CITATION RECORDS Records documenting citations issued by license inspectors for non-compliance with business license requirements.	Destroy in office after 3 years.	

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION](#), page vi.

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ITEM #	STANDARD-12: PROGRAM RECORDS: BUSINESS AND OTHER TAX RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
8.	PRIVILEGE LICENSES Records documenting the county's issuance of business privilege and license renewal notices, receipts, and periodic reports.	Destroy in office 3 years after license expires.	G.S. §105-33 G.S. §105-37.1 G.S. §105-38.1 G.S. §105-40 G.S. §105-105
9.	ROOM OCCUPANCY TAX	Destroy in office after 3 years.	G.S. §160A-480.3

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION](#), page vi.

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

REQUEST FOR CHANGE IN RECORDS SCHEDULE

TO Assistant Records Administrator
N.C. Division of Archives and Records
Government Records Section
4615 Mail Service Center
Raleigh, NC 27699-4615

FROM Name _____
County _____
Agency or department _____

INSTRUCTIONS

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.

CHANGE REQUESTED

_____ Add a new item
_____ Delete an existing item Standard Number _____ Page _____ Item Number _____
_____ Change an retention period Standard Number _____ Page _____ Item Number _____

TITLE OF RECORDS SERIES IN SCHEDULE OR PROPOSED TITLE

INCLUSIVE DATES OF RECORDS _____ **VOLUME OF RECORDS IN LINEAR INCHES** _____

DESCRIPTION OF RECORDS

PROPOSED RETENTION PERIOD

Requested by: _____
Signature Title Date

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AGENDA ITEM 9:

FINANCE MATTERS

A. Smoky Mountain Quarterly Report

MANAGER'S COMMENTS:

Ms. Margaret Pierce, Finance Director, will present the Smoky Mountain Center Quarterly Reports as required by Statute.

No action is required.



WATAUGA COUNTY FINANCE OFFICE

814 West King St., Room 216 - Boone, NC 28607 - Phone (828) 265-8007 Fax (828) 265-8006

MEMORANDUM

TO: Deron Geouque, County Manager

FROM: Margaret Pierce, Finance Director

SUBJECT: Smoky Mountain Center Quarterly Reports

DATE: May 24, 2013

Attached is a copy of the quarterly fiscal monitoring report (FMR) from Smoky Mountain Center for the quarter ended March 31, 2013. This fiscal monitoring report was provided by Smoky Mountain Center to comply with the G.S. 122C-117(c).

excerpt from G.S. 122C-117(c)

(c) Within 30 days of the end of each quarter of the fiscal year, the area director and finance officer of the area authority shall provide the quarterly report of the area authority to the county finance officer. The county finance officer shall provide the quarterly report to the board of county commissioners at the next regularly scheduled meeting of the board. The clerk of the board of commissioners shall notify the area director and the county finance officer if the quarterly report required by this subsection has not been submitted within the required period of time. This information shall be presented in a format prescribed by the county. At least twice a year, this information shall be presented in person and shall be read into the minutes of the meeting at which it is presented. In addition, the area director or finance officer of the area authority shall provide to the board of county commissioners ad hoc reports as requested by the board of county commissioners.

Rec'd 5-23-13

060413 BCC Meeting

Smoky Mountain Center
44 Bonnie Lane
Sylva, NC 28779



Area Administrative Office
828-586-5501
www.smokymountaincenter.com

May 17, 2013

Dear County Finance Officer:

Enclosed you will find Smoky Mountain Center's fiscal monitoring report (FMR) for the quarter ended March 31, 2013.

To remind all Finance Officers: S.L. 2006-142 amended G.S. 122C-117(c) to require the Area Director and Area Authority Finance Officer to submit quarterly finance reports to the County Finance Officer, instead of submitting to each member of each board of County Commissioners participating in the Area Authority. The County Finance Officer is then to submit the report to the Board of County Commissioners at its next regularly scheduled meeting.

This FMR is the financial report intended to be provided to comply with the general statutes.

If you have any questions regarding the enclosed reports, please e-mail Lisa Slusher, Finance Officer, at: lisa@smokymountaincenter.com; or Sherri Hayes, Accounting Manager, at: sherri@smokymountaincenter.com.

Sincerely,

Sherri L. Hayes, BS
Financial Analyst
Smoky Mountain Center

Enclosure



*Serving individuals with mental health, developmental disability or substance abuse issues
in Alexander, Alleghany, Ashe, Avery, Caldwell, Cherokee, Clay, Graham, Haywood,
Jackson, Macon, McDowell, Swain, Watauga and Wilkes Counties*



Quarterly Fiscal Monitoring Report - DMHDDSAS

LME / MCO NAME:

SMOKY MOUNTAIN CENTER

FOR THE PERIOD ENDING:

3/31/2013

of month in the fiscal year (July = 1, August = 2, . . . , June = 12) =====>

9

060413 BCC Meeting

1. REPORT OF BUDGET VS. ACTUAL

Basis of Accounting:
(check one)

Cash	(1)	(2)	(3)	(4)	(5)	(6)
Accrual	X					
	PRIOR YEAR		CURRENT YEAR			
	2011-2012					
	BUDGET	ACTUAL	BUDGET	ACTUAL	BALANCE	ANNUALIZED
				YR-TO-DATE	(Col. 3-4)	PERCENTAGE **

ITEM	BUDGET	ACTUAL	BUDGET	ACTUAL	BALANCE	ANNUALIZED
				YR-TO-DATE	(Col. 3-4)	PERCENTAGE **
REVENUE						
Service Fees from LME-Delivered Services	-	(1,601)	-	11,676	(11,676)	#DIV/0!
Medicaid Pass Thru	8,435,000	8,459,183	1,575,000	831,430	743,570	70.39%
Interest Earned	10,000	22,485	33,000	40,047	(7,047)	161.81%
Rental Income	-	-	-	-	-	#DIV/0!
Budgeted Fund Balance * (Detail in Item 4, below)	5,738,620	-	546,917	-	546,917	0.00%
Other Local	868,161	814,180	950,920	659,787	291,133	92.51%
Total Local Funds	15,051,781	9,294,247	3,105,837	1,542,940	1,562,897	66.24%

County Appropriations (by county, includes ABC Funds):						
Alexander County	43,225	39,535	43,225	9,456	33,769	29.17%
Caldwell County	113,538	118,527	113,538	79,262	34,276	93.08%
McDowell County	67,856	67,856	67,856	50,892	16,964	100.00%
Cherokee County	75,000	75,000	75,000	56,250	18,750	100.00%
Clay County	10,000	10,000	10,000	2,500	7,500	33.33%
Graham County	6,000	6,000	6,000	177	5,823	3.93%
Haywood County	116,775	115,036	96,775	14,123	82,652	19.46%
Jackson County	123,081	123,081	123,081	30,770	92,311	33.33%
Macon County	106,623	106,623	106,623	79,967	26,656	100.00%
Swain County	30,125	30,934	30,125	16,538	13,587	73.20%
Ashe County	189,566	189,566	189,566	46,342	143,224	32.60%
Avery County	92,400	92,400	89,600	67,200	22,400	100.00%
Alleghany County	115,483	115,483	109,709	82,282	27,427	100.00%
Watauga County	221,194	221,194	221,194	165,896	55,298	100.00%
Wilkes County	259,200	259,200	254,200	71,636	182,564	37.57%
Special Appropriations	1,119,913	1,119,913	-	-	-	#DIV/0!
Total County Funds	2,689,979	2,690,348	1,536,492	773,291	763,201	67.10%

LME Systems Admin. Funds (Cost Model)	7,122,715	7,122,715	-	-	-	#DIV/0!
DMH/DD/SAS Administrative Funds (% basis)	-	-	3,328,287	2,496,216	832,071	100.00%
DMH/DD/SAS Risk Reserve Funds (% basis)	-	-	485,215	363,911	121,304	100.00%
DMH/DD/SAS Services Funding	27,295,503	26,227,672	26,305,086	20,143,760	6,161,326	102.10%
DMA Capitation Funding	-	-	119,902,334	90,103,184	29,799,150	100.20%
DMA Risk Reserve Funding	-	-	2,452,478	1,838,841	613,637	99.97%
All Other State/Federal Funds	1,793	1,450	-	-	-	#DIV/0!
Total State and Federal Funds	34,420,011	33,351,837	152,473,400	114,945,912	37,527,488	100.52%

TOTAL REVENUE	52,161,771	45,336,432	157,115,729	117,262,143	39,853,586	99.51%
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EXPENDITURES:						
System Management/Administration/Care Coordination	7,582,715	7,344,564	22,586,097	11,269,408	11,316,689	66.53%
LME Provided Services	1,430,044	1,108,184	1,309,397	910,889	398,508	92.75%
Provider Payments	39,350,851	37,459,047	131,966,308	99,801,605	32,164,703	100.84%
Merger Expenses	-	-	-	-	-	#DIV/0!
MCO Start-Up Expenses	2,770,000	2,013,870	-	-	-	#DIV/0!
All Other	1,028,161	715,737	1,253,927	615,442	638,485	65.44%
TOTAL EXPENDITURES	52,161,771	48,641,402	157,115,729	112,597,344	44,518,385	95.55%

CHANGE IN CASH BALANCE		(3,304,970)		4,664,799		
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Beginning Unrestricted Fund Balance		4,220,978		5,017,643		
Balance in DMH/DD/SAS Risk Reserve		-		-		
Balance in DMA Risk Reserve		-		-		

Current Estimated Unrestricted Fund Balance and percent of budgeted expenditures	9.62%	5,017,643	4.37%	6,869,962		
--	-------	-----------	-------	-----------	--	--

2. CURRENT CASH POSITION

	(1)	(2)	(3)	(4)	(5)	Allowance for Uncollectible Receivables
	30 DAYS	60 DAYS	90 DAYS	OVER 90 DAYS	TOTAL	
Accounts Payable (Accrual Method)	2,461,308	38,965	35,593	177,978	\$ 2,713,845	
Account Receivable (Accrual Method)	2,862,133	2,702,604	2,348,232	1,172,546	\$ 9,085,514	\$ 9,085,514

Current Cash in Bank	21,837,357					
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3. SERVICE EXCEPTIONS (Provided Based on System Capability)

Services authorized but not billed	8,859,816					
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4. DETAIL ON BUDGETED FUND BALANCE

	Budgeted	Year-to-Date	Balance	%
Payments to Providers			-	#DIV/0!
MCO Start-up Expense			-	#DIV/0!
LME Merger Expense			-	#DIV/0!
Other (List): Legal Fees		546,917	220,011	326,906
Other (List):			-	#DIV/0!

* We certify (a) this report to contain accurate and complete information, (b) explanations are provided for any expenditure item with an annualized expenditure rate greater than 110% and for any revenue item with an annualized receipt rate of less than 90%, and (c) a copy of this report has been provided to each county manager in the catchment area.

Christina Blanton 4/26/13 *Andrew* 4/25/13 *Richard J. Ford* 4-25-13
 LME / MCO Director Date LME/MCO Finance Officer Date Area Board Chair Date

Division of Mental Health, Developmental Disabilities & Substance Abuse Services
Quarterly Fiscal Monitoring Report - Explanation of Revenue and Expenditure Variances

enter LME name

SMOKY MOUNTAIN CENTER

Local Management Entity

for the period ending:

March 31, 2013

ITEM	Explanation
Revenues	
Service Fees from LME Delivered	No budget for these revenues as SMC no longer provides billable services. Small dollars are due to run out/clean up of IPRS issues and Accounts Receivable.
Medicaid Passthrough - 70.39%	Expected passthrough claims submission less than anticipated. Budget in for potential amendment.
Alexander County - 29.17%	Invoice issues resolved in 4th Quarter.
Clay County - 33.33%	2nd qtr. & 3rd qtr. Payments resolved in April 2013.
Graham County - 3.93%	The county's habit is to pay the entire amount in the 4th Qtr of the fiscal year.
Haywood County - 19.46%	Amount of County MOE still under review and in discussion with county.
Jackson County - 33.33%	2nd qtr. and 3rd qtr. Payment not received. County invoicing in review.
Swain County - 73.20%	County pays half of commitment in beginning of year. 2nd half in June.
Ashe County - 32.60%	2nd qtr. and 3rd qtr. Payment not received. County invoicing in review.
Wilkes County - 37.57%	2nd qtr. & 3rd qtr. Payments resolved in April 2013.
Expenditures	N/A
Fund Balance	
Other Fund Bal. Appropriations-legal	Budget was revised and funds appropriated for the rest of the year.

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AGENDA ITEM 9:

FINANCE MATTERS

B. Budget Amendments

MANAGER'S COMMENTS:

Ms. Margaret Pierce, Finance Director, will review budget amendments as included in your packet.

Board approval is requested.



WATAUGA COUNTY

FINANCE OFFICE

814 West King St., Room 216 - Boone, NC 28607 - Phone (828) 265-8007 Fax (828) 265-8006

MEMORANDUM

TO: Deron T. Geouque, County Manager
FROM: Margaret Pierce, Finance Director
SUBJECT: Budget Amendments-FY 2012/13
DATE: June 4, 2013

The following budget amendments require the approval of the Watauga County Board of Commissioners.

<u>Account#</u>	<u>Description</u>	<u>Debit</u>	<u>Credit</u>
283102-312119	Tax Revenue Meat Camp/Creston Fire Dist		\$2,600
284340-469919	Pmt to Meat Camp/Creston Fire Dist	\$2,600	
283102-312112	Tax Revenue Blowing Rock Fire Dist		\$4,300
284340-469912	Payment to Blowing Rock Fire Dist	\$4,300	
283102-312111	Tax Revenue Todd Fire Dist		\$2,010
284340-469911	Payment to Todd Fire Dist	\$2,010	
283102-312110	Tax Revenue Deep Gap Fire Dist		\$13,700
284340-469910	Payment to Deep Gap Fire Dist	\$13,700	
283102-312108	Tax Revenue Shawneehaw Fire Dist		\$4,615
284340-469908	Payment to Shawneehaw Fire Dist	\$4,615	
283102-312107	Tax Revenue Cove Creek Fire Dist		\$10,800
284340-469907	Payment to Cove Creek Fire Dist	\$10,800	
283102-312106	Tax Revenue Zionville Fire Dist		\$7,110
284340-469906	Payment to Zionville Fire Dist	\$7,110	
283102-312105	Tax Revenue St Simmons Fire Dist		\$10,500
284340-469905	Payment to St Simmons Fire Dist	\$10,500	
283102-312104	Tax Revenue Beaver Dam Fire Dist		\$9,000
284340-469904	Payment to Beaver Dam Fire Dist	\$9,000	
283102-312101	Tax Revenue Foscoe Fire Dist		\$15,700
284340-469901	Payment to Foscoe Fire Dist	\$15,700	
243102-312101	Tax Revenue Foscoe Serv Dist		\$3,380
244340-469901	Payment to Foscoe Serv Dist	\$3,380	
243102-312108	Tax Revenue Shawneehaw Serv Dist		\$375
244340-469908	Payment to Shawneehaw Serv Dist	\$375	
243102-312105	Tax Revenue Beech Mtn Serv Dist		\$245
244340-469998	Payment to Beech Mtn Serv Dist	\$245	

To recognize additional estimated fire district tax revenues and payments due to departments.

<u>Account#</u>	<u>Description</u>	<u>Debit</u>	<u>Credit</u>
103980-398121	Transfer from Capital Projects Fund		\$52,085
104920-469199	EDC-Professional Services	\$52,085	
213991-399101	Fund Balance Appropriation		\$52,085
219800-498010	Transfer to the General Fund	\$52,085	

Per Board action 5-21-13; to transfer funds from the Capital Projects Fund to the General Fund. These funds will be used for the due diligence associated with the potential land purchase for economic development.

<u>Account#</u>	<u>Description</u>	<u>Debit</u>	<u>Credit</u>
103200-326600	ABC Bottle Tax		\$750
105890-469848	Restorative Justice Drug Court	\$750	

To recognize estimated additional revenue and expenditures for Alcohol Beverage Control Bottle Tax funds.

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AGENDA ITEM 10:

MISCELLANEOUS ADMINISTRATIVE MATTERS

A. Proposed Renewal of Ambulance Agreement with Avery County

MANAGER’S COMMENTS:

The agreement between Avery and Watauga Counties to provide ambulance service to the Beech Mountain section of Watauga County and the Avery County section of the Flat Springs area on the back side of Beech Mountain expires June 30, 2013. Included in your packet is a proposed five-year renewal which has been approved by Avery County.

The adjusted amount for the FY 2014 payment to Avery County is \$64,058.13 with the amount to be adjusted each year based on the consumer price index (CPI) for the previous year.

THIS AMBULANCE AGREEMENT (hereinafter "Agreement"), is made and entered into this the 1st of July, 2013, by and between **WATAUGA COUNTY**, a body politic, organized and existing under and by virtue of the laws of the State of North Carolina (hereinafter "Watauga"), and **AVERY COUNTY**, a body politic, organized and existing under and by virtue of the laws of the State of North Carolina (hereinafter "Avery") witnesseth as follows:

WITNESSETH:

WHEREAS, Avery and Watauga entered into an Ambulance Agreement on November 1, 2003, for a period of five years; and

WHEREAS, the Commissioners of Avery County and Watauga County exercised a five year renewal of that contract effective June 30, 2008; and

WHEREAS, the renewal agreement will be set to expire on June 30, 2013, and the parties wish to continue to operate pursuant to an Agreement for the provision of ambulance services within their respective Counties; and

WHEREAS, Watauga and Avery are counties located in the mountains of North Carolina; and

WHEREAS, the terrain of these counties is not conducive to quick response by emergency vehicles; and

WHEREAS, Watauga and Avery counties desire to decrease response time and better provide ambulance service for the citizens along the Watauga-Avery border; and

WHEREAS, the Ambulance Agreement which has been in existence since its adoption by Avery County and Watauga County has served the citizens of the two counties well for the past ten years, and has resulted in better response time and better ambulance service to the citizens of the respective counties; and

WHEREAS, both the Avery County Board of Commissioners and the Watauga County Board of Commissioners are desirous of maintaining this mutually beneficial relationship for the benefit of their respective constituents; and

WHEREAS, in return, Avery County would provide Emergency Medical Services as needed to the Watauga County side of the Town of Beech Mountain with the understanding that Watauga County will provide those same services as needed to the Flat Springs and Beech Creek section of Avery County. Avery County will provide services to the Avery County side of the Town of Seven Devils which in the past has been provided by Watauga County; and

NOW, THEREFORE, in consideration of the terms and conditions as set forth herein, Watauga and Avery hereby agree as follows:

1. Watauga County shall provide ambulance and emergency medical response service to the Beech Creek and Flat Springs communities of Avery County at the following locations:

<u>Road</u>	<u>Address Range</u>
Buckeye Road	3400-4025
Fannon Circle	all
Flagstone Lane	all
Flat Springs Road	1940-5650
Phillip Road	all
River Creek	1-201
Russ Norris Road	1700-2500
US 321 Hwy	all
Ward Mountain Road	all

2. Avery County shall provide ambulance and emergency medical response service to the portion of the Town of Beech Mountain community located in Watauga County and the Avery County portion of Seven Devils previously served by Watauga County.
3. Avery County and Watauga County shall operate this service on a twenty-four (24) hour basis, seven (7) days per week.
4. Avery County and Watauga County shall maintain at least the current standard of care currently provided by the emergency medical response services to their respective areas provided.
5. The term of this agreement shall be for a period of five (5) years from the date first written above, and shall automatically renew for successive five year periods unless either County provides notice to the other at least one (1) year prior to the expiration of the then existing term in order to provide ample opportunity for alternative emergency service arrangements to be made.
6. Watauga County shall pay to Avery County the amount of \$64,058.13 per year related to the provision of these services, as modified by the formula set forth below, which shall be modified each year on the anniversary date of the signing of this agreement:
 - a. Sixty percent (60%) of the adjustment shall reflect the annual increase or decrease of the Consumer Price Index (CPI), South Urban Size D, as published by the US Department of Labor, Bureau of Labor Statistics.
 - b. Twenty percent (20%) of the adjustment shall reflect the annual increase or decrease of the CPI, Medical Care Commodities, as published by the US Department of Labor, Bureau of Labor Statistics.

- c. Twenty percent (20%) of the adjustment shall reflect the annual increase or decrease of the CPI, Transportation, as published by the US Department of Labor, Bureau of Labor Statistics.
7. Watauga County shall calculate the adjustment based upon the most recent November annual CPI report as compared to the report of the previous November. (For example, the November 1, 2013, adjustment will reflect the CPI changes between November 2012 and November 2013.)
8. Avery County will reimburse Watauga County at a rate of \$500 per transport. Watauga County will invoice Avery County at the end of each quarter. Avery County will provide payment during the month following receipt of the invoice.
9. Avery County agrees to indemnify and hold harmless Watauga County for any and all liability arising out of the terms or performance of this contract for actions by Avery County. Watauga County agrees to indemnify and hold harmless Avery County for any and all liability arising out of the terms or performance of this contract for actions by Watauga County.
10. No terms of this contract shall be construed as to create a waiver of sovereign immunity as to any third party.
11. Watauga County and Avery County shall not be held responsible for incidental or consequential damages to the substation, emergency responder, or third party as a result of any breach of this agreement, or for any Acts of God, riot, war, civil unrest, or impossibility beyond the control of the parties causing them to be unable to perform under this agreement.
12. The terms, covenants and conditions of this agreement herein contained shall be binding upon and inure to the benefit of and shall be enforceable by Watauga County and Avery County and by their respective successors and assigns. The duties and responsibilities as well as the rights of each party under this contract may not be assigned by either party without the written consent of the other party.
13. All notices and written consents required under this agreement shall be deemed properly served upon mailing by certified United States Mail, postage prepaid, return receipt requested, addressed to the party to whom directed at the following address or at such other address as may be from time to time designated in writing.
14. This agreement represents the entire and integrated agreement between Watauga

County and Avery County and supersedes all prior or contemporaneous negotiations, representations or agreements between the parties. No modification hereof or other purported agreement of the parties shall be enforceable unless the same is in writing and signed by both Watauga County and Avery County.

15. Any and all notices to be sent to the parties shall be sent to the following addresses:

To Avery County:

Robert C. Wiseman, County Manager
Avery County Board of Commissioners
P.O. Box 640
Newland, NC 28657

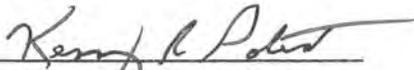
To Watauga County:

Deron T. Geouque, County Manager
Watauga County Board of Commissioners
814 W. King Street, Suite 205
Boone, NC 28607

16. If any portion of this contract shall be deemed to be unenforceable by any court of competent jurisdiction all remaining provision of this contract shall remain in full force and effect. This contract shall not be deemed to have been drafted by either party but has been adopted by each party as a statement of their mutual agreement and understanding.

IN WITNESS WHEREOF, both Watauga County and Avery County have signed and sealed this agreement, this day and year first above written.

AVERY COUNTY


By: Kenny Poteat, Chairman

Attest:


Clerk, Avery County Board of
Commissioners

WATAUGA COUNTY

By: Nathan A. Miller, Chairman

Clerk, Watauga County Board of
Commissioners

This instrument has been pre-audited in the manner required by the Local Government Budget and Fiscal Control Act.


Avery County Finance Officer

Watauga County Finance Officer

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AGENDA ITEM 10:

MISCELLANEOUS ADMINISTRATIVE MATTERS

B. County Management Records Retention and Disposition Schedule

MANAGER’S COMMENTS:

The County Manager will request the Board adopt the attached County Management Records Retention and Disposition Schedule from the North Carolina Department of Cultural Resources. Adoption of the schedule allows the County Manager’s Office to be compliant with state requirements for retention and disposal of their records.

Board action is required to adopt the County Management Records Retention and Disposition Schedule as presented.

RECORDS RETENTION AND DISPOSITION SCHEDULE

COUNTY MANAGEMENT



Issued By:



NORTH CAROLINA
DEPARTMENT OF
**CULTURAL
RESOURCES**
WWW.NGCULTURE.COM

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

April 15, 2013

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County Management 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 provision 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.***

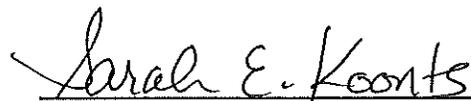
This local government agency and the Department of Cultural Resources agree that certain records series possess only brief administrative, fiscal, legal, research, and reference value. These records series have been designated by retention periods which allow these records to be destroyed when *“administrative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

The local government agency and the Department of Cultural Resources concur that the long-term and/or permanent preservation of electronic records require additional commitment and active management by the agency. The agency agrees to comply with all policies, standards, and best practices published by the Department of 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 is to remain in effect from the date of approval until it is reviewed and updated.

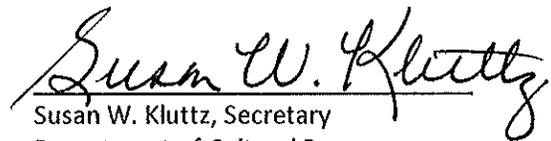
APPROVAL RECOMMENDED

Chief Administrative Officer/
County Manager


Sarah E. Koonts, Director
Division of Archives and Records

APPROVED

Chairman, Bd. County Commissioners


Susan W. Kluttz, Secretary
Department of Cultural Resources

County: _____

April 15, 2013

EXECUTIVE SUMMARY

- ✓ According to G.S. §121-5 and G.S. §132-3, you may only destroy public records with the consent of the Department of Cultural Resources (DCR). The State Archives of North Carolina is the division of DCR 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 county 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 which will indicate how long that series must be kept in your offices. In some cases, the disposition instructions are simply "Retain in office permanently," which means that those records must be kept in your offices forever. In other cases, the retention period may be "destroy in office when administrative value ends." Administrative value is defined as, "the usefulness of records to support ancillary operations and the routine management of an organization." 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 administrative value ends."
- ✓ Email is a record as defined by G.S. §121-5 and G.S. §132. It is the content of the email that is critical when determining the retention period of a particular email, including attachments, not the media in which the records were created. Email should be retained in the same manner as its paper counterpart. It is important for all agency employees and officials to determine the appropriate records series for specific emails and retain them according to the disposition instructions.
- ✓ The State Archives of North Carolina recommends that all county employees and officials take our online tutorials 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, utilizing the retention schedule, email management, and scanning guidelines.
- ✓ The State Archives of North Carolina provides microfilming of the minutes of major decision-making boards and commissions in a county. Once those records are filmed, we will store the silver 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

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

- A.** This document is a tool for the employees of county governments across the state to use when managing the records in their offices. It lists records commonly found in county offices, and gives an assessment of their value by indicating when (and if) those records should be destroyed. This schedule is also an agreement between your county 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 it approved?*

- A.** This schedule must be approved by the County Board of Commissioners for use in your county. 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. *Do I have to have all of the records listed on this schedule?*

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

Q. *What is the definition of “administrative value”?*

- A.** Administrative value is defined as, “the usefulness of records to support ancillary operations and the routine management of an organization.” Records having administrative value are generally considered useful or relevant to the activities that caused the record to be created and/or during an audit of those activities. Traditionally, records managers have seen “administrative value” as transitory. (From Richard Pearce-Moses, *A Glossary of Archival and Records Terminology*)
-

Q. *What do I do with routing slips, fax cover sheets, reference copies, memory aids, reservations and confirmations, etc.?*

- A.** 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 characteristic, 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 guidance from the State Archives of North Carolina. The State Archives of North Carolina recognizes that many records exist that may have very short-term value to the creating agency. These records may be destroyed or otherwise disposed of when their reference value ends. However, all public employees should be familiar with specific records retention and disposition schedules and applicable guidelines for their office and the Public Records law (G.S. §132). When in doubt about whether a record has short-term value, or whether it has special significance or importance, retain the record in question.
-

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

- A.** Standards are grouped together to make it easier for users to find records. You may find that the records groupings reflect the organizational structure of your county, 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 county.
-

Q. *I can’t 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 box” function on the PDF version of the schedule. If you still cannot locate your records on the schedule, then contact the Records Management Analyst assigned

to your county. 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. *Can anyone 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. *Do I have to make copies of drafts available to the public that haven't been approved?*

- A.** Yes, even if a report, permit, or other record has not been finalized. Any record that is not confidential by law must be copied 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. They must also have a preservation duplicate, which is either a paper or microfilm copy.

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 the Records Management Analyst assigned to your county for further assistance.

Q. *I don't have any records.*

- A.** Nearly every position in government generates, receives, or uses records. Computer files of any kind, including drafts and email, are public records. Even if your records aren't 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, outdoor shed)?*

- A.** Public records are public property. While we encourage offices to find places to store records that do not take up too much valuable office space, the selected space should be dry, secured, 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. Do we have to let anyone who asks see them?*

- 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 of 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 county offices. Contact the Records Management Analyst assigned to your county for more information about which records are held or can be transferred to the State Archives of North Carolina for permanent preservation.

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

- A.** Call the Records Management Analyst assigned to your county. 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 the Records Management Analyst assigned to your county. Permanent records must be kept either in your offices or at the State Archives of North Carolina.

Q. *Who can I call with questions?*

- A.** If you are located west of about 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) 807-7350.

AUDITS, LITIGATION AND OTHER OFFICIAL ACTION

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

We have used an asterisk (*) in the disposition instructions to mark records series that are commonly audited, litigated or maybe 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](#) Item 7, page 2 and [AUDITS: FINANCIAL](#) Item 6, page 22.) Should a dispute arise over an audit, the records that were audited should be retained until that dispute is resolved.

The attorney representing the county 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.

Per 26 CFR 1.148-5(d)(6)(iii)(E), retain all documents related to a financing, including those related to construction or purchase of the financed asset, for the life of the debt plus 3 years.

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 that series must be kept in your offices. In some cases, the disposition instructions are “Retain in office permanently,” which means that those records must be kept in your offices forever. (See also the question above, “*What should I do with permanent records?*”)

Q. *How do I destroy records?*

- A.** After your county has approved this records retention and disposition schedule, records should be destroyed in one of the following ways:
- a) burned, unless prohibited by local ordinance;
 - b) shredded, or torn up so as to destroy the record content of the documents or material concerned;
 - c) placed in acid vats so as to reduce the paper to pulp and to terminate the existence of the documents or materials concerned;
 - d) buried under such conditions that the record nature of the documents or materials will be terminated;
 - e) sold as waste paper, provided that the purchaser agrees in writing that the documents or materials concerned will not be resold as documents or records.
 - N.C. Administrative Code, Title 7, Chapter 4, Subchapter M, Section .0510

Confidential records should be destroyed in a secure manner so that the information contained in them cannot be used. We do not recommend the disposal in a landfill of records containing confidential information.

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

- A.** Contact the Records Management Analyst assigned to your county. Your 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](#) (located at the end of this schedule) if the records are not currently created. If the records are an active records series, your analyst will help you develop an amendment to this schedule so that you can continue to destroy the records appropriately.

Q. *Do I have to tell anyone about the destruction?*

- A.** We recommend that you report on your records retention activities to your Board of Commissioners 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.

ELECTRONIC RECORDS: EMAIL, BORN DIGITAL RECORDS, AND DIGITAL IMAGING

Q. *When can I delete my email?*

A. Email is a public record as defined by G.S. §121-5 and G.S. §132. Electronic mail is just as much a record as any traditional paper record, and must be treated in the same ways. **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 email 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 email simply because storage limits have been reached.** Some examples of email 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 will be particularly helpful in managing your email (available online at the State Archives of North Carolina website):

- *E-Mail as a Public Record in North Carolina: A Policy for Its Retention and Disposition*
- *Online E-mail Tutorial: Managing Your Inbox: E-mail as a Public Record*
- *Online Tutorial: Managing Public Records for Local Government Agencies*
- *Guidelines for E-mail as a Public Record in North Carolina: Tips and Tricks for Using Microsoft Exchange Software to Manage E-mail*

Q. *May I print my email to file it?*

A. We do not recommend printing email for preservation purposes. Important metadata is lost when email is printed.

Q. *I use my personal email account for work. No one can see my personal email.*

A. The best practice is to avoid using personal resources, including private email 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 email account is irrelevant.

Q. *We have an imaging system. Do we have to keep the paper?*

A. You may scan any record, including permanent records. You will need to receive approval from the Government Records Section in order to destroy paper originals that have been digitized. Your office should follow our guidelines, available on the State Archives of North Carolina website. Contact the Records Management Analyst assigned to your county 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 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 have to take precautions with 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 will have to convert all records to the new system so that you can assure their preservation and provide access.

Q. *Computer storage is cheap. I'll just keep my computer records.*

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

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

- A.** The following documents are available on the State Archives of North Carolina website:
- Best Practices for Cloud Computing: Records Management Considerations
 - Best Practices for Electronic Communication Usage in North Carolina: Text and Instant Message
 - Best Practices for Electronic Communication Usage in North Carolina: Guidelines for Implementing a Strategy for Text and Instant Messages
 - Best Practices for File Naming
 - Best Practices for Social Media Usage in North Carolina
 - Guidelines for Digital Imaging Systems
 - Metadata as a Public Record in North Carolina: Best Practices Guidelines for Its Retention and Disposition
 - Security Backup Files as Public Records in North Carolina: Guidelines for Recycling, Destruction, Erasure, and Re-Use of Security Backup Files

GEOSPATIAL RECORDS

Q. *Why should 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.

Consult [STANDARD-7: GEOGRAPHIC INFORMATION SYSTEMS \(GIS\) RECORDS](#) for additional records series.

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 and 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. 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 Cultural Resources provides microfilming of minutes of major decision-making boards and commissions in a county. We will also film records of adoptions for your Social Services agency. Once those records are filmed, we will store the silver original in our security vault. There is a nominal fee for filming and duplicate film. Contact the Records Management Analyst assigned to your county 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 the analyst assigned to your county.

Alternatively, 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 the analyst assigned to your county 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're being filmed?*

A. Call the Raleigh Office at (919) 807-7350, and ask for the Records Management Analyst in charge of minutes microfilming.

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 minutes microfilming for more information.

Q. *I have some old minutes that aren't 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 the Records Management Analyst assigned to your county, 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) 807-7353 for the Head of the Government Records Section or (919) 807-7339 for the State Archivist. 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 is trained in preliminary recovery techniques, documenting damage to your records, and authorizing destruction of damaged records. Professional vendors can handle your larger disasters.

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

- A.** We will do everything we can to make a visit to you at the earliest opportunity 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 to interested governments on disaster preparation. We discuss the roles of proper inventories, staff training, and advance contracts with recovery vendors. If you would like to have this workshop presented, just call the Records Management Analyst assigned to your county.
-

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 your 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** – our basic introduction to the Public Records law and records management;
 - **Scanning Public Records: Laying the Groundwork** – considerations and procedures to establish an imaging system;
 - **Email as a Public Record** – considerations, tips and tricks on managing, filing, and public access to your email;
 - **Disaster Preparedness and Recovery** – how to be prepared for disasters, and what will have to be done after a disaster happens.

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

- A.** Yes, we will. Let the Records Management Analyst assigned to your county know what type of training you need.

Q. Do we have to come to Raleigh for workshops?

- 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 for Local Agencies:** Our basic introduction to the Public Records law and records management.
 - **Managing Your Inbox: Email as a Public Record:** Public employees increasingly rely on electronic mail (email) as a quick and useful communication tool for carrying out government business. However, email presents many challenges. This tutorial will help you learn how to properly manage, retain and dispose of your email.
 - **Managing Electronic Public Records: Recognizing Perils and Avoiding Pitfalls:** More and more government employees use computers as they conduct their daily business. While computers are invaluable tools that store large amounts of data that can be easily searched, depending solely upon electronic records can be dangerous. In this tutorial you will learn some of the problems associated with electronic records and you will receive advice on how to protect those records.

STANDARD-1. ADMINISTRATION AND MANAGEMENT RECORDS

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

ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	ADMINISTRATIVE DIRECTIVES, POLICIES, PROCEDURES, REGULATIONS, RULES	Retain in office official copy permanently.	
2.	AGENDA AND MEETING PACKETS FILE Includes agendas and copies of supporting documentation submitted and discussed during meetings of public bodies. See also MINUTES OF PUBLIC BODIES item 34, page 8.	a) Retain records with historical value permanently. b) Destroy in office other records when administrative value ends.† Agency Policy: Destroy in office after _____	
3.	APPLICATIONS FOR APPOINTMENT 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 individuals appointed 1 year after expiration of term. b) Destroy in office remaining records after 1 year.	
4.	APPOINTMENTS REPORTING RECORDS Includes public boards, commissions, councils, and committees annual appointment reports filed with the NC Department of the Secretary of State and related records.	Destroy in office after 2 years.	G.S. § 143-157.1
5.	ASSOCIATIONS AND ORGANIZATIONS FILE Records concerning associations, organizations, groups, etc., that have some form of association or relationship with the agency.	a) Retain records with historical value permanently. b) Destroy in office remaining records when superseded or obsolete.	

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), 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 Cultural Resources has scheduled with the disposition instruction "destroy when administrative value ends." Please use the space provided.

ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.	AUDIO AND VIDEO RECORDING OF MEETINGS	Destroy in office after approval of official written minutes.	
7.	AUDITS: PERFORMANCE Records concerning internal and external audits conducted to assess the function of government programs. Includes reports, working papers, and related records. See also AUDITS: FINANCIAL item 6, page 22.	a) Retain reports permanently. b) Destroy in office working papers and remaining records 3 years after the date of the report.	
8.	BUSINESS DEVELOPMENT SUBJECT FILES	Destroy in office after 3 years or when superseded.	
9.	BULLETINS	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
10.	CALENDARS OF EVENTS AND APPOINTMENTS	Destroy in office when superseded or obsolete.	
11.	CENSUS PROJECT FILE Records created to assist the U.S. Census Bureau and county agencies with the decennial census.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
12.	CHARTER RECORDS Charter and charter proceedings related to adoption, amendment and/or repeal.	Retain in office permanently.	

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ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
13.	<p>CITIZEN COMPLAINTS, PETITIONS, AND SERVICE REQUESTS</p> <p>Records concerning objections, dissatisfaction, or disagreements with actions or positions taken or not taken by the agency. May include petitions signed by citizens requesting action or routine requests for service or information.</p>	Destroy in office 1 year after resolution.*	
14.	<p>CITIZEN REBATE PROGRAM RECORDS</p> <p>Applications, receipts, and related records concerning rebate programs sponsored by the county. These records document programs that citizens may opt into and incentivize actions such as, but not limited to, installing water efficient toilets.</p>	<p>a) Destroy in office financial records 3 years after approval.*</p> <p>b) Destroy in office applications 1 year after approval.</p> <p>c) Destroy in office denied applications when administrative value ends.† Agency Policy: Destroy in office after _____</p>	
15.	<p>CITIZEN SURVEYS</p> <p>Surveys and related records addressing county services, policies, and other concerns.</p>	<p>Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____</p>	
16.	<p>COMPREHENSIVE PLAN</p> <p>Long-range plan outlining policies, guidelines and plans for future development of the county. Includes but is not limited to official copy of comprehensive plan and all background surveys, studies, reports, and draft versions of plans.</p>	<p>a) Retain official copy in office permanently.</p> <p>b) Destroy in office background surveys, studies, reports, and drafts 3 years after adoption of plan.</p>	

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ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
17.	<p>CONFERENCES AND WORKSHOPS FILE Records concerning conferences and workshops conducted or attended by county employees.</p> <p>See also EMPLOYEE TRAINING AND EDUCATIONAL RECORDS item 28, page 78.</p>	<p>a) Retain records with historical value permanently.</p> <p>b) Destroy in office remaining records when administrative value ends.† Agency Policy: Destroy in office after _____</p>	
18.	<p>CORRESPONDENCE AND MEMORANDA Administrative and management correspondence/memoranda, including email, written or received by the office concerning agency authority, operating philosophy, purpose, methods, and any other function.</p> <p>For information on handling email, see Electronic Records and Digital Imaging page viii.</p>	<p>a) Transfer after 3 years correspondence, including email, with historical value to the HISTORIES FILE item 29, page 7.</p> <p>b) Destroy routine administrative correspondence and memoranda when administrative value ends.† Agency Policy: Destroy in office after _____</p> <p>c) Destroy in office remaining records after 3 years.</p> <p><i>Retention Note: The correspondence, including email, of the county manager and department heads have historical value and should be retained.</i></p>	
19.	<p>CUSTOMER CALL CENTER RECORDINGS Recordings made of calls to customer service centers for quality assurance and training purposes.</p>	<p>Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____</p>	

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
20.	<p>EQUIPMENT AND VEHICLE MAINTENANCE, REPAIR, AND INSPECTION RECORDS Records concerning the maintenance, repair, routine testing, and inspection of county owned equipment and vehicles.</p> <p>See also GRANTS item 28, page 6.</p>	<p>a) Destroy in office records documenting routine inspections, janitorial cleaning, and routine maintenance of equipment and vehicles after 1 year.</p> <p>b) Destroy in office billing records after 3 years.*</p> <p>c) Retain for life of equipment and vehicles records documenting all other maintenance and repairs.</p>	
21.	<p>EQUIPMENT AND VEHICLE REFERENCE FILE Includes operation, specification, and technical manuals, brochures, bulletins, and related documentation.</p>	Destroy in office when superseded or obsolete.	
22.	<p>EQUIPMENT, FACILITY, AND VEHICLE USAGE RECORDS Records concerning the assignment, request, and usage of county assets. May include mileage and checkout logs, fuel consumption reports, facility reservation requests, authorizations and similar records relating to the assignment and use of county owned property.</p>	<p>a) Destroy in office after 3 years if records are used for allocating costs or determining payment under rental or lease agreements.*</p> <p>b) Destroy in office remaining records after 1 year.</p>	
23.	<p>FACILITY ACCESSIBILITY FILE Records concerning compliance with the Americans with Disabilities Act (ADA). May include survey of county buildings to determine accessibility to the physically handicapped, federal regulations, proposals for implementing the act, correspondence (including email), resolutions, and solutions to access problems.</p>	Destroy in office after 5 years.*	29 CFR 1602

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ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
24.	FUND DRIVE AND EVENT RECORDS Records concerning the promotion and organization of fund drives and other special events in which the county participated.	a) Retain records with historical value permanently. b) Destroy in office remaining records after 1 year.	
25.	GOALS AND OBJECTIVES	a) Retain records with historical value permanently. b) Destroy in office remaining records when superseded or obsolete.	
26.	GRANT CONTRACT APPEALS CASES	Destroy in office 10 years after final action or decision.*	
27.	GRANT PROPOSALS Proposals submitted for grants. May include applications, correspondence (including email), and other related records.	a) Transfer records concerning approved grants to GRANTS item 28, page 6 if approved. b) Destroy in office rejected or withdrawn grant proposals when administrative value ends.† Agency Policy: Destroy in office after _____	
28.	GRANTS Records concerning approved federal, state, and private grants. May include applications, reports, records of equipment purchased with grant funds, and all relevant programmatic records. See also GRANTS: FINANCIAL item 36, page 26.	a) Destroy in office records relating to specific non-continuing grants 5 years after termination or when released from audit.* b) Destroy in office records relating to specific continuing grants 5 years after annual financial report is filed. c) Destroy in office records not relating to a specific grant or to grants not funded after 1 year.	09 NCAC 03M.0703

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
29.	HISTORIES FILE (AGENCY AND EMPLOYEES) Records concerning the history of the county and its employees. May include published and unpublished histories, biographical data, photographs, newspaper clippings, and other related records.	a) Retain records with historical value permanently. b) Destroy in office remaining records when superseded or obsolete.	
30.	INDEX FILE Listing of where specific information can be found.	Destroy in office when superseded or obsolete.	
31.	LEGISLATION AND REGULATORY RECORDS Notices and copies of proposed or adopted state or federal legislation or regulations affecting the agency.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
32.	MAIL: UNDELIVERABLE/RETURNED Outgoing agency mail returned by the post office for any reason, including insufficient postage, incorrect address, forwarding order expired, etc. Also includes outgoing email returned for any reason.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
33.	MAILING AND DISTRIBUTION RECORDS Includes mailing and meeting notification lists, Sunshine Lists, and related documentation of transactions with the U.S. Postal Service or private carriers.	a) Destroy in office Sunshine Lists when superseded or obsolete. b) Destroy in office all other records when administrative value ends.† Agency Policy: Destroy in office after _____	Comply with applicable provisions of G.S. §132-1.13 regarding confidentiality of electronic mailing lists and G.S. §132-1.12 regarding confidentiality of juvenile records.

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
34.	<p>MINUTES OF PUBLIC BODIES As defined by § 143-318.10 (b), includes official and reference copies of the 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.</p> <p>See the Microfilm section on page xi for instructions on microfilming.</p>	<p>a) The official minutes of the governing board and its subsidiary boards are permanent records.</p> <p>b) The official minutes of advisory boards may only be destroyed 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.</p> <p>c) Minutes of committees or subcommittees may be destroyed when administrative 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.† Agency Policy: Destroy in office after _____</p>	G.S. § 143-318.10
35.	<p>MINUTES (STAFF MEETINGS) Minutes of meetings, including all referenced and attached documentation.</p> <p>See also MINUTES OF PUBLIC BODIES item 34, page 8.</p>	<p>a) Retain records with historical value permanently.</p> <p>b) Destroy in office remaining records when administrative value ends.† Agency Policy: Destroy in office after _____</p>	G.S. § 143-318.10(c)
36.	<p>NOTICES OF PUBLIC MEETINGS Includes notices and regular meeting schedules.</p> <p>See also AFFIDAVITS OF PUBLICATION item 1, page 63.</p>	<p>Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____</p>	

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
37.	<p>OFFICE SECURITY RECORDS Records concerning the security of county offices, facilities, vehicles, equipment, and personnel. May include visitor register, security, employee or contractor access to facilities or resources, and surveillance system reports and recordings.</p>	<p>a) Destroy in office or reuse after 30 days recordings not required to support known investigations or litigation.</p> <p>b) Destroy in office all remaining records after 1 year.</p>	Comply with applicable provisions of G.S. §132-1.7 regarding the confidentiality of security records.
38.	<p>ORDINANCES Includes code of ordinances and ordinance development records.</p> <p>See the Microfilm section on page xi for instructions on microfilming.</p>	<p>a) Retain official copy permanently.</p> <p>b) Destroy in office additional copies (including tabled or failed ordinances) when administrative value ends.† Agency Policy: Destroy in office after _____</p> <p>c) Destroy in office development records when ordinance is no longer in effect or when administrative value ends.† Agency Policy: Destroy in office after _____</p>	
39.	<p>ORGANIZATION RECORDS Includes organizational charts, reorganization studies, and similar records describing the arrangement and administrative structure of the agency.</p>	<p>a) Retain records with historical value permanently.</p> <p>b) Destroy in office all other records when superseded or obsolete.</p>	
40.	<p>PARKING FILE Records concerning staff parking assignments.</p>	Destroy in office when superseded or obsolete.	
41.	<p>PEST CONTROL RECORDS Records concerning county pest eradication programs.</p>	Destroy in office after 3 years*	

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
42.	PLANNING AND DEVELOPMENT FILE Records concerning the formulation, planning, and adoption of policies, procedures, and functions of the county and its departments.	a) Retain records with historical value permanently. b) Destroy in office remaining records when administrative value ends. † Agency Policy: Destroy in office after _____	
43.	PROCLAMATIONS AND ORDERS Proclamations and orders issued by the county board of commissioners.	a) Retain records with historical value permanently. b) Destroy in office remaining records when administrative value ends. † Agency Policy: Destroy in office after _____	
44.	PROJECTS FILE Includes project correspondence, including email, final reports, specifications and contract documents, notices to proceed, cost estimates, change orders, performance and payment bonds, and similar documentation.	a) Retain records with historical value permanently. b) Destroy in office remaining records 3 years after completion of project.	
45.	PROPERTY INVENTORIES Inventories describing the type of property (including equipment and facilities), its location, issuance to employees, and related information.	Destroy in office when superseded or obsolete.	
46.	PUBLIC HEARING RECORDS Includes agendas, minutes, speaker sign-up sheets, and similar documentation.	a) Retain minutes permanently. b) Destroy in office remaining records when administrative value ends. † Agency Policy: Destroy in office after _____	

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ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
47.	PUBLIC RECORDS DISCLOSURE FILE Formal requests submitted by persons seeking access to county records.	Destroy in office 2 years after resolution.*	
48.	PUBLICATIONS RECEIVED Includes books, magazines, periodicals, pamphlets, brochures, journals, and newspapers, whether printed or electronic.	Destroy in office when superseded or obsolete.	
49.	QUARTERLY UTILIZATION REPORTS Reports relating to county business and economic development programs.	Destroy in office 1 year after submission of report.	
50.	RATE AND FEE SCHEDULES Records relating to rates, fees, and regulations concerning county services.	Destroy in office when superseded or obsolete.	
51.	RECORDS MANAGEMENT FILE Includes correspondence, including email, with state and/or federal agencies with regards to records retention. Also includes records disposition documentation and copies of records retention and disposition schedules.	a) Retain in office records concerning the final disposition of records permanently. b) Destroy in office remaining records when superseded or obsolete.	
52.	REFERENCE (READING) FILE Subject files containing informational copies of records organized by areas of interest.	Destroy in office when superseded or obsolete.	

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
53.	<p>REPORTS AND STUDIES (INTERNAL ADMINISTRATION) Records concerning the performance of a department, program, or project, as well as those created for planning purposes. May include all annual, sub-annual, or irregularly prepared research studies, reports, and studies generated by a county or prepared by consultants hired by the county.</p>	<p>a) Retain in office 1 copy of all biennial and annual reports permanently.</p> <p>b) Retain in office reports and studies prepared by request of a county's governing body or a court permanently.</p> <p>c) Destroy in office reports prepared monthly, bimonthly, or semi-annually after 3 years.</p> <p>d) Destroy in office activity reports concerning workload measurements, time studies, number of jobs completed, etc., prepared on a daily or other periodic basis, after 1 year.</p> <p>e) Destroy in office remaining reports and studies when administrative value ends.† Agency Policy: Destroy in office after _____</p> <p><i>Retention Note: Reports and studies listed elsewhere in this schedule should be retained the specified period of time.</i></p>	
54.	<p>REQUESTS FOR PROPOSALS Proposals submitted by vendors in response to requests from departments.</p> <p>See also BIDS FOR PURCHASE item 9, page 22.</p>	<p>Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____</p>	
55.	<p>REQUISITIONS FILE Requests for payment of parts and inventory items.</p>	<p>Destroy in office after 1 year.</p>	

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
56.	<p>RESOLUTIONS File consists of resolutions indicating date, issues or policy involved, and appropriate signatures.</p> <p>See the Microfilm section on page xi for instructions on microfilming.</p>	<p>a) Retain one copy permanently.</p> <p>b) Destroy in office additional copies (including those tabled or failed) when administrative value ends.† Agency Policy: Destroy in office after _____</p> <p>c) Destroy in office development records when administrative value ends.† Agency Policy: Destroy in office after _____</p>	
57.	SURPLUS PROPERTY FILE	Destroy in office 3 years after disposition of property.*	
58.	TELEPHONE USAGE LOGS AND REPORTS	<p>a) Destroy in office records used for billing after 1 year.*</p> <p>b) Destroy in office remaining records when administrative value ends.† Agency Policy: Destroy in office after _____</p>	
59.	TRAVEL REQUESTS	Destroy in office after 1 year.*	
60.	<p>VEHICLE REGISTRATION CARDS North Carolina registration cards for vehicles in the county fleet.</p>	Retain in vehicle until superseded.	
61.	VETERANS COMMISSION QUARTERLY REPORTS	Destroy in office after 5 years.	

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
62.	<p>WORK ORDERS Records include date and location of work, cost of materials used and labor, type of work performed, and similar information for the repairs of equipment, facilities, and vehicles.</p>	<p>a) Destroy in office 1 year after work is completed.* b) If this is the only record documenting work was completed follow disposition instructions for FACILITY MAINTENANCE, REPAIR, AND INSPECTION RECORDS item 13, page 33, or EQUIPMENT AND VEHICLE MAINTENANCE, REPAIR, AND INSPECTION RECORDS item 20, page 5.</p>	
63.	<p>WORKFORCE DEVELOPMENT BOARD MEETINGS Agendas, minutes, and related materials pertaining to meetings of the Workforce Development Board.</p>	Follow disposition instructions for MINUTES OF PUBLIC BODIES item 34, page 8.	20 CFR 652 G.S §143B -438.13
64.	<p>WORKFORCE INVESTMENT ACT: AUDIT/AUDIT RESOLUTIONS Records concerning reports from financial and compliance audit conducted on WIA programs in accordance with OMB A-133. May include audit reports and correspondence concerning audits and audit resolutions for the local area. Also includes federal and state audits.</p>	Destroy in office after 3 years.	OMB Circular A-133 G.S §143B -438.13 29 CFR 97.26 20 CFR 652
65.	<p>WORKFORCE INVESTMENT ACT: LOCAL AREA JOB TRAINING PLAN RECORDS Records concerning the local board's bid process for contracting workforce development programs.</p>	Destroy in office when superseded or obsolete.	20 CFR 652 G.S §143B -438.13

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ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
66.	<p>WORKFORCE INVESTMENT ACT: PARTICIPANT RECORDS</p> <p>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. May include applications, client history, Employability Development Plans, program referral, monitoring notes, pay authorizations, release forms, and WIA follow-up questionnaires.</p>	Destroy in office 3 years after close of audit or final year expenditure.*	20 CFR 652 G.S §143B -438.13

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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STANDARD-2. AIRPORT AUTHORITY RECORDS

Official records and materials created and accumulated incidental to the operation of a county airport.

ITEM #	STANDARD-2: AIRPORT AUTHORITY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	AIR SPACE CONSTRUCTION FILES Applications to construct structures which may obstruct flight space. May include correspondence, including email, and related records.	Destroy in office after 5 years.	
2.	AIRFIELD INSPECTION FILES Records concerning airfield inspections on runway conditions, fire and rescue facilities, ground vehicle control, and other airport condition information.	Destroy in office after 1 year.	14 CFR 139.301
3.	AIRPORT CERTIFICATION MANUAL Manual containing a description of operating procedures, facilities and equipment, responsibility assignments, and any other information needed by personnel concerned with operating the airport.	a) Retain records with historical value permanently. b) Destroy in office remaining records when superseded or obsolete.	14 CFR 139.201
4.	AIRPORT COMMISSION MINUTES See the Microfilm section on page xi for instructions on microfilming minutes.	Follow disposition instructions for MINUTES OF PUBLIC BODIES item 34, page 8.	
5.	AIRPORT MASTER RECORD FILES Federal Aviation Administration (FAA) form 5010 documenting basic information concerning airports	Destroy in office when superseded.	

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-2: AIRPORT AUTHORITY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.	COMMUNICATIONS RECORDINGS Audio recordings of radio and telephone communications and complaint calls.	Destroy in office after 30 days if not made part of a case file. *	
7.	LAND DEVELOPMENT AND PLANNING STUDIES AND REPORTS Records documenting local government and airport authority land use and development planning.	Retain in office permanently.	
8.	RADIO LOGS Records of radio calls received and placed.	Destroy in office after 1 year.	

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STANDARD-3. ANIMAL CONTROL AND SHELTER RECORDS

Records and materials created and accumulated during the conduct of county animal control and shelter programs.

ITEM #	STANDARD-3: ANIMAL CONTROL AND SHELTER RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<p>ACTIVITY REPORTS (ANIMAL CONTROL) Daily, weekly, and monthly reports to the County Health Department, Department of Health Services, etc., providing statistics regarding complaints answered, dogs and cats impounded, impounded animals disposed of, vaccinations, and animal bites reported.</p> <p>See also REPORTS AND STUDIES (INTERNAL ADMINISTRATION) item 53, page 12.</p>	Destroy in office after 1 year.	
2.	<p>ANIMAL ADOPTION RECORDS Includes pre-adoption records and agreements.</p>	Destroy in office after 2 years.	
3.	<p>ANIMAL ABUSE AND CRUELTY CASES Includes complaints, citations and/or compliance orders, and similar records.</p>	Destroy in office after 5 years.*	G.S. §14-360
4.	<p>ANIMAL BITE RECORDS Includes copies of bite reports filed with the local Public Health Department.</p> <p>See also DANGEROUS ANIMAL RECORDS item 10, page 19.</p>	Destroy in office after 3 years.*	G.S. §130A-196, 197, 198.

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-3: ANIMAL CONTROL AND SHELTER RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
5.	<p>ANIMAL COMPLAINT RECORDS Includes complaints of animal abuse and nuisances.</p> <p>See also DANGEROUS ANIMAL RECORDS item 10, page 19.</p>	Destroy in office after 3 years.*	
6.	<p>ANIMAL CONTROL CITATIONS/COMPLIANCE ORDERS Includes citations and/or compliance orders issued to animal owners of violations of county ordinances.</p> <p>See also DANGEROUS ANIMAL RECORDS item 10, page 19.</p>	Destroy in office after 3 years.*	
7.	<p>ANIMAL LICENSE RECORDS Records concerning the payment of license fees.</p>	Destroy in office after 3 years.*	
8.	<p>CERTIFICATES OF ANIMAL RELEASE Certificates verifying health of animal examined and released by county animal control.</p>	Destroy in office after 1 year.	
9.	<p>CONTROLLED SUBSTANCE EUTHANASIA LOG Includes amount of controlled substance used and animals destroyed.</p>	Destroy in office after 2 years.	21 CFR 1304.03
10.	<p>DANGEROUS ANIMAL RECORDS Includes complaints, compliance orders, citations, bite reports, and similar records relating to dangerous animals.</p>	Destroy in office records relating to dangerous animals until known dead or after 10 years.*	G.S. §67-4.1

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ITEM #	STANDARD-3: ANIMAL CONTROL AND SHELTER RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
11.	HISTORIES OF PET OWNERS Records concerning information for each animal owner that violates the county ordinances. May include signed complaint forms, pictures, and paperwork issued by the animal control officer.	Destroy in office after 3 years.*	
12.	OWNER CONTACT NOTICE RECORDS	Destroy in office 1 year from date of contact.	
13.	RABIES CONTROL REPORTS Monthly reports sent to the Division of Health Services.	Destroy in office after 1 year.	
14.	SHELTER DISPOSITION SHEETS Sheets filed on each animal processed by the animal shelter, containing information on whether the animal is reclaimed by the owner, adopted, or euthanized.	Destroy in office after 1 year.	
15.	VACCINATION RECORDS Includes rabies vaccination certificates sent to county animal control by area veterinarians.	Destroy in office after 3 years.	

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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STANDARD-4. BUDGET, FISCAL AND PAYROLL RECORDS

Records created and accumulated incidental to the managerial control, budgeting, disbursement, collection and accounting of the county offices.

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

ITEM #	STANDARD-4: BUDGET, FISCAL AND PAYROLL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	ACCOUNTS PAYABLE Records concerning the status of accounts in which the county owes money to firms or individuals.	Destroy in office after 3 years.*	
2.	ACCOUNTS RECEIVABLE Records concerning receivables owed and collected.	Destroy in office after 3 years.*	
3.	ACCOUNTS UNCOLLECTABLE Records of accounts deemed uncollectable, including supporting documentation and write-off authorization.	Destroy in office official/audit copies 3 years after account is paid, collected, or determined to be uncollectable.*	
4.	ANNUAL BUDGET Annual budget and budget message submitted to governing board for approval.	a) Retain records with historical value permanently. b) Destroy in office remaining records after 5 years.	G.S. § 159-11
5.	ARBITRAGE RECORDS 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.*	26 CFR Part 1 Section 1.148-3

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-4: BUDGET, FISCAL AND PAYROLL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.	<p>AUDITS: FINANCIAL Records concerning internal and external financial statements and financial-related audits. Includes reports, working papers, and related records.</p> <p>See also AUDITS: PERFORMANCE item 7, page 2.</p>	<p>a) Retain reports permanently.</p> <p>b) Destroy in office working papers and remaining records 3 years after the date of the report.*</p>	G.S. § 159-34
7.	<p>AUTHORIZATION FORMS Authorization to purchase materials.</p>	Destroy in office after 3 years.*	
8.	<p>BANK STATEMENTS, CANCELED CHECKS, DEPOSIT SLIPS, RECEIPTS, RECONCILIATIONS, AND WARRANTS. May include cash, credit card, and purchasing card statements and receipts.</p>	Destroy in office after 3 years.*	
9.	<p>BIDS FOR PURCHASE Records concerning quotes to supply products and services. May include advertisements, requests for proposals, and tabulations, bid bonds, awards letters, records of bids, good faith effort documentation, and related records concerning accepted and rejected bids.</p>	<p>a) Destroy in office successful (awarded) construction (capital improvements) bid records 6 years after completion or termination of project.*</p> <p>b) Destroy in office all other successful (awarded) bid records 3 years after purchase.*</p> <p>c) Destroy in office unsuccessful bid records not awarded or opened after 1 year.*</p>	G.S. § 143 Article 8
10.	<p>BIDS FOR DISPOSAL OF PROPERTY Records concerning the disposal of surplus property. May include various disposition procedures used, such as sealed bids and public auction.</p>	Destroy in office all records after the disposition of property has been recorded in governing board's minutes.*	G.S. § 153A-176

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-4: BUDGET, FISCAL AND PAYROLL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
11.	BILLING AND CLAIMS Records used as the basis for payment of bills and claims for damages made by and against the county.	Destroy in office 3 years after settlement.*	
12.	BILLS OF SALE Records of sale of county property and equipment.	Destroy in office after 3 years.*	
13.	BOND CLOSING RECORDS Includes applications, agreements, tax records, contracts, official statements, legal opinions, ratings letters, public hearing bonds, title insurance, deeds of trust, and other related records.	Destroy in office 3 years after entire issuance has been satisfied.*	G.S. § 159 Article 7
14.	BONDS, NOTES, AND COUPONS	Destroy in office 1 year from date of payment.	G.S. § 159-139 (instructions for cancelled bonds)
15.	BOND REGISTER Records of all bonds, notes, and coupons issued detailing the purpose of issuance, the date of issue, serial numbers (if any), denomination, maturity date, and total principal amount.	Retain in office permanently.	G.S § 159-130
16.	BUDGET RESOLUTIONS AND ORDINANCES Includes copies of budget, annual balanced budget, and project ordinances, resolutions, and amendments.	a) Retain permanently official copies in the minutes of the governing board. b) Destroy in office remaining copies when administrative value ends.† Agency Policy: Destroy in office after _____	G.S § 159-8 G.S. § 159-13 G.S. § 159-13.2 G.S § 159-15

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-4: BUDGET, FISCAL AND PAYROLL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
17.	BUDGET REQUESTS AND WORKING PAPERS Includes budget requests, cost estimates, expenditures, program requests, salary and wage lists, correspondence, including email, and related records.	Destroy in office after 3 years.*	G.S. § 159-10
18.	CHECK REGISTER, VARIOUS FUNDS Register listing for all checks written for various funds.	Destroy in office after 3 years.*	
19.	CHECK STUBS Stubs for checks written on agency accounts.	a) Destroy official/audit copies after 3 years.* b) Destroy remaining records after 1 year.	
20.	CONTRACT BUDGET AND EXPENDITURE REPORTS Reports concerning agency budget transactions.	Destroy in office after 3 years.*	
21.	COST ALLOCATION PLANS	Destroy in office after 3 years.*	
22.	CREDIT CARD AND DEBIT SLIPS Records of payments received from customers in the transaction of county business.	Destroy in office after 3 years.*	
23.	CREDIT CARD USE FILE Records of assignation of county credit cards and purchasing cards.	Destroy in office after 1 year.*	
24.	DAILY CASH REPORTS Daily status of cash. Reports include receipts, disbursements, cash, and invested balances.	Destroy in office after 1 year.*	
25.	DAILY DETAIL REPORTS	Destroy in office after 1 year.*	

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ITEM #	STANDARD-4: BUDGET, FISCAL AND PAYROLL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
26.	DEBT FINANCING RECORDS Includes bank statements, reconciliation records, requisitions, and notices of principal and interest due.	Destroy in office 3 years after entire issuance has been satisfied.*	26 CFR 1.148-5(d)(6)(iii)(E)
27.	DEPOSITS	a) Destroy in office official/audit copies after 3 years.* b) Destroy in office remaining records after 1 year.	G.S. § 159-32
28.	DETAIL REPORT FILE (FINANCIAL RECORDS FOR GENERAL FUND OR GENERAL LEDGER)	a) Destroy in office annual reports after 3 years.* b) Destroy in office all other reports after 1 year.	
29.	DIRECT DEPOSIT APPLICATIONS/AUTHORIZATIONS Includes related records such as bank account numbers and routing numbers.	Destroy in office when superseded or obsolete.	Comply with applicable confidentiality provisions of G.S. §132-1.10(b)(5) regarding personal identifying information.
30.	DISTRICT INVESTMENT RECORDS	Destroy in office after 3 years.*	
31.	DONATIONS AND SOLICITATIONS	Destroy in office after 1 year.	
32.	ESCHEAT AND UNCLAIMED PROPERTY FILE	Destroy in office after 10 years.*	Comply with applicable provisions of G.S. §116B-60 and §116B-73.
33.	EXPENDITURE REPORTS	Destroy in office after 3 years.*	

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ITEM #	STANDARD-4: BUDGET, FISCAL AND PAYROLL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
34.	FACILITY SERVICE AND MAINTENANCE AGREEMENTS See also GRANTS: FINANCIAL item 36, page 26.	a) Destroy in office depreciation schedules 3 years after asset is fully depreciated or disposed. b) Destroy in office remaining records after 3 years.*	
35.	FINANCIAL JOURNALS AND LEDGERS	a) Destroy in office year-end summaries of receipts and disbursements after 3 years.* b) Destroy in office daily, monthly, or quarterly transaction detail journals and ledgers after 1 year.*	
36.	GRANTS: FINANCIAL Records concerning approved federal, state, and private grants. May include all relevant accounting, purchasing, payroll, and financial records. See also GRANTS item 28, page 6.	Destroy in office 5 years after submission of final report.*	09 NCAC 03M.0703
37.	INSURANCE FILE Certificates of insurance and related records provided by insurance providers as proof of coverage. See also BILLING AND CLAIMS item 11, page 23 and GRANTS: FINANCIAL item 36, page 26.	Destroy in office 3 years from date of termination, expiration, or settlement of all claims.*	
38.	INVESTMENT RECORDS Includes fund information, portfolio listings and reports, balance sheets, requests to invest and withdraw, notices, and other related account activity documentation.	Destroy in office after 3 years.*	G.S. § 159-30

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ITEM #	STANDARD-4: BUDGET, FISCAL AND PAYROLL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
39.	INVOICES	Destroy in office after 3 years.*	
40.	LOAN RECORDS Records concerning loans made to the county. May include promissory notes.	Destroy in office 3 years after loan is satisfied.*	
41.	LOCAL GOVERNMENT COMMISSION FINANCIAL STATEMENTS	Destroy in office after 3 years.*	G.S. §159-33 and §159-33.1.
42.	LOCAL GOVERNMENT EMPLOYEES RETIREMENT SYSTEM MONTHLY REPORTS	Destroy in office after 3 years.*	
43.	MONTHLY BUDGET REPORTS	Destroy in office after 3 years.*	
44.	PAID CHECKS, BILLS, AND VOUCHERS	Destroy in office after 3 years.*	
45.	PAYROLL AND EARNINGS RECORDS 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. May include individual and group employee earnings records and payroll registers showing earnings and deductions for each pay period.	<ul style="list-style-type: none"> a) Transfer records documenting personnel actions to PERSONNEL RECORDS (OFFICIAL COPY) item 45, page 83. b) Destroy in office 30 years from date of separation records used for retirement or similar benefits verification. c) Destroy all remaining records in office after 4 years.* 	<p>Comply with applicable provisions of G.S. §162A-6.1 regarding confidentiality of personnel records.</p> <p>FICA Reg. § 316001-1 29 CFR 516.2, 516.5 29 CFR 1627.3(a)</p>

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-4: BUDGET, FISCAL AND PAYROLL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
46.	<p>PAYROLL DEDUCTION RECORDS Records used to start, modify, or stop all voluntary or required deductions from payroll. May include bank payments, savings plans, insurance, association dues, orders of garnishment, etc. Used as proof the employee approved of the deduction(s). Does not include federal tax deduction records.</p> <p>See also WITHHOLDING TAX FILE item 57, page 30.</p>	<p>a) Destroy in office deduction authorization forms and records when superseded or obsolete.*</p> <p>b) Destroy in office remaining records after 4 years.*</p>	Comply with applicable provisions of G.S. §162A-6.1 regarding confidentiality of personnel records.
47.	<p>POPULAR ANNUAL FINANCE REPORT</p>	<p>a) Retain records with historical value permanently.</p> <p>b) Destroy in office other records when administrative value ends.† Agency Policy: Destroy in office after _____</p>	
48.	<p>POWELL BILL RECORDS Records include certified statements, expenditures reports, information sheets, financial statements submitted to the North Carolina Department of Transportation and all other related documentation.</p>	Destroy in office after 3 years if released from all audits.*	
49.	<p>PURCHASE ORDERS Records, forms, packing slips, and attached documents concerning purchased supplies, equipment, and services.</p> <p>See also GRANTS: FINANCIAL item 36, page 26.</p>	<p>a) Destroy in office capital improvement purchase orders 6 years after completion or termination of project.*</p> <p>b) Destroy in office all other purchase orders after 3 years.*</p> <p><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></p>	

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-4: BUDGET, FISCAL AND PAYROLL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
50.	PURCHASING REPORTS AND LOGS Reports and logs containing quote information such as vendor name, item descriptions, price, award dates, and related information.	Destroy in office after 1 year.*	
51.	RECIPIENT CHECK AND CANCELLATION REGISTERS	Destroy in office after 3 years.*	
52.	SURETY BOND INFORMATION	Destroy in office after final inspection.*	
53.	TIME SHEETS, CARDS, AND ATTENDANCE RECORDS Records concerning the work hours and attendance of employees.	Destroy in office after 3 years.*	29 CFR 516.6 29 CFR 825.500
54.	TRAVEL REIMBURSEMENTS Includes authorizations and requests for reimbursement for travel and related expenses. See also GRANTS: FINANCIAL item 36, page 26.	Destroy in office after 3 years.*	
55.	VENDOR FILE Records concerning specific vendors. May include accounts payable activity, Federal Tax Identification Number, name and address, correspondence, including email, and related records.	Destroy in office when superseded or obsolete.	Comply with applicable confidentiality provisions of G.S. §132-1.10(b)(5) regarding personal identifying information
56.	VOUCHERS AND REGISTERS FILE	Destroy in office after 3 years.*	

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ITEM #	STANDARD-4: BUDGET, FISCAL AND PAYROLL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
57.	<p>WITHHOLDING TAX FILE Records concerning individual employee's income taxes. May include wage and income tax reports, IRS forms W-2, W-3, W-4, 1099, and similar records of withheld federal and state income taxes. May also include IRS form 941 and other records of county tax liabilities to the IRS and NC Department of Revenue.</p>	<p>a) Destroy in office 30 years from date of separation records used for retirement or similar benefits verification.</p> <p>b) Destroy all remaining records in office after 4 years.*</p>	<p>Comply with applicable provisions of G.S. §162A-6.1 regarding confidentiality of personnel records.</p> <p>29 CFR 1627.3 26 CFR 31.6001-1 26 CFR 31.6001-4</p>

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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STANDARD-5. CODE ENFORCEMENT AND INSPECTION RECORDS

Official records and materials created and accumulated during the conduct of county inspection programs.

In accordance with G.S. §153A-373, "The inspection department shall keep complete, and accurate records in convenient form of each application received, each permit issued, each inspection and reinspection made, and each defect found, each certificate of compliance granted, and all other work and activities of the department. These records shall be kept in the manner and for the periods prescribed by the North Carolina Department of Cultural Resources. The department shall submit periodic reports to the Board of Commissioners and to the Commissioner of Insurance as the Board or the Commissioner may require." (1969, s. 1: c.822, s.1; 1983, c.377, s.6.)

ITEM #	STANDARD-5: CODE ENFORCEMENT AND INSPECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	AIR POLLUTION SOURCE INFORMATION For facilities which are no longer operational.	Destroy in office after 2 years.*	
2.	BEER AND WINE LICENSES Issuance and payment records concerning local licenses corresponding with Alcohol Beverage Control (ABC) permits.	Destroy in office 3 years after expiration.*	G.S. § 105-113.70
3.	BLUEPRINTS AND SPECIFICATIONS Blueprints and specifications of county owned buildings and facilities, or drawings submitted when applying for a building permit for new construction. May include as-built plans and related records concerning approved changes or used in determining code compliance and enforcement of building code.	a) Destroy in office residential blueprints and specifications when administrative value ends.† Agency Policy: Destroy in office after _____ b) Destroy in office commercial blueprints and specifications 1 year after permit is issued. c) Retain agency blueprints and specifications for life of structure.	Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of government building detailed plans and drawings.

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-5: CODE ENFORCEMENT AND INSPECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.	<p>BUILDING AND ROAD PERMITTING AND INSPECTION RECORDS Includes applications for permits from property owners to erect new structures or manufactured homes, or to make structural modifications, demolition, fire permits, or the installation of plumbing, electrical, or mechanical systems. Records include permits, inspection reports, inspector's worksheets, inspection requests, denial reports, sketches, plans, and correspondence (including email). May include contractor change forms.</p>	<p>a) Destroy in office permits, applications, and inspection reports (or worksheets) 6 years after Certificate of Occupancy is issued or project is complete (inactive).</p> <p>b) Destroy in office Certificate of Occupancy 6 years after permit is expired.</p> <p>c) Destroy in office remaining records, including applications for which a permit was never issued, when administrative value ends.† Agency Policy: Destroy in office after _____</p>	
5.	<p>BUSINESS CERTIFICATION RECORDS Applications and supporting documentation submitted by businesses to be certified as a Small Business Enterprise (SBE) or other classification.</p>	<p>a) Destroy in office 3 years after most recent recertification.</p> <p>b) Destroy in office applications for which a certification was never issued when administrative value ends.† Agency Policy: Destroy in office after _____</p>	
6.	<p>CONTROLLED SUBSTANCE LABS DECONTAMINATION RECORDS Records concerning decontamination compliance.</p>	Destroy in office 3 years after documented decontamination is complete.	
7.	<p>DAM CONSTRUCTION, OPERATION, AND MAINTENANCE FILES</p>	Retain for life of structure.	
8.	<p>DROUGHT CONTINGENCY PLANS Water conservation plans in the event of a drought.</p>	Destroy in office when superseded or obsolete.	
9.	<p>EROSION AND SEDIMENT CONTROL AFFIDAVITS Forestry and agricultural affidavits clarifying land use exempt from land-disturbing activity standards.</p>	Destroy in office after 6 years.	

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ITEM #	STANDARD-5: CODE ENFORCEMENT AND INSPECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
10.	EROSION AND SEDIMENT CONTROL ENFORCEMENT CASES Includes settled legal matters and penalties.	Destroy in office 6 years after settlement.*	
11.	EROSION AND SEDIMENT CONTROL PLANS Includes approved and disapproved plans. May include revisions and addenda.	a) Destroy in office approved plans 6 years after approval or last revision and/or addendum. b) Destroy in office non-approved plans after 3 years.	
12.	EXEMPTION (VARIANCE) RECORDS Exemption and variance records concerned with the installation of water, sewer, gas, or electric lines.	a) Destroy in office 5 years after expiration.* b) Destroy in office records for which an exemption or variance was not issued after 3 years.	40 CFR 141.33 15A NCAC 18C .1526
13.	FACILITY MAINTENANCE, REPAIR, AND INSPECTION RECORDS Records concerning the maintenance, repair, and inspection of county owned facilities. See also GRANTS item 28, page 6.	a) Destroy in office records documenting routine inspections, janitorial cleaning, and routine maintenance of facilities after 1 year. b) Destroy in office records concerning all other facility maintenance, repair, and inspection (including plumbing, electrical, fire, and other systems) after 3 years.	
14.	GOING-OUT-OF-BUSINESS LICENSES Licenses granted to business to hold going out of business, water and smoke damage, and distress sales.	Destroy in office 1 year after expiration.	G.S. §66-77
15.	GROUNDWATER MONITORING RECORDS Includes all groundwater monitoring wells and associated groundwater surface elevations.	Destroy in office after 5 years.*	15A NCAC 2C .0100

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ITEM #	STANDARD-5: CODE ENFORCEMENT AND INSPECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
16.	HAZARDOUS WASTE DISPOSAL RECORDS Data concerning the disposal of hazardous materials, including asbestos. Includes copies of manifests, lists of companies doing the removal, location, how much to be disposed, when to be removed, route and method of disposal, and other related documentation.	Destroy in office after 3 years.*	40 CFR 262.40 15A NCAC 13A .0100
17.	ILLEGAL DUMPING FILE Records concerning illegal dumping complaints received.	Destroy in office after 5 years.*	
18.	INSPECTIONS: ELECTRIC POWER AND NATURAL GAS SYSTEM Includes non-compliance inspection and test records conducted by a facility.	Destroy in office after 5 years.*	
19.	INSPECTIONS: ENVIRONMENTAL HEALTH SUMMARIES Summaries of inspections of establishments whose business impacts environmental health.	a) Destroy in office after 3 years from date records were created while establishment is in operation. b) Destroy in office 1 year after establishment ceases to operate.	
20.	INSPECTIONS: LANDFILL Records and reports completed to prevent malfunctions and deterioration, operation errors, and discharges that may cause or lead to the release of wastes in the environment.	Destroy in office after 5 years.*	
21.	INSPECTIONS: PERIODIC REPORTS OF INDUSTRIAL FACILITIES	Destroy in office after 5 years.	

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ITEM #	STANDARD-5: CODE ENFORCEMENT AND INSPECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
22.	INSPECTIONS: SANITARY LANDFILL Includes state inspection form.	Destroy in office after 1 year.	
23.	INSPECTIONS: SEWAGE DISPOSAL SYSTEM Reports showing home structure and water line diagram. Reports are used to indicate sewage hookups and to comply with local government codes.	Destroy in office 2 years after inspection.	
24.	INSPECTIONS: SUBSTANDARD HOUSING	Destroy in office after 6 years.	
25.	INSPECTIONS: WASTE LOADS Inspections conducted to prevent the disposal of illegal and/or restricted materials in a landfill.	Destroy in office after 3 years.	
26.	INSPECTIONS: WATER AND WASTEWATER SYSTEM Includes non-compliance inspections and test records conducted by a facility.	Destroy in office after 5 years.*	
27.	LABORATORY OPERATIONS RECORDS Includes documentation of all analytical quality control practices, reporting units, forms, test methods, and related procedures pertaining to certification.	a) Destroy in office samples, raw data, analysis reports, and related documentation after 5 years.* b) Destroy in office records concerning certification 2 years after expiration, cancellation, revocation, or denial.*	15A NCAC 02H .0805(7)(G) and .1100.
28.	LEAD AND COPPER COMPLIANCE RECORDS Includes all monitoring records required by federal, state, and local regulations.	Destroy in office after 12 years.*	40 CFR 141.91
29.	LIFT/PUMP STATION INFORMATION FILE Technical information concerning lift station and maintenance, water, and sewer petition work.	Destroy in office after 3 years.*	

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ITEM #	STANDARD-5: CODE ENFORCEMENT AND INSPECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
30.	LANDFILL OPERATIONAL PLAN Describes the intended schedule of construction, description of on-site waste handling procedures during active life of the facility, contingency plans, description of maintenance of installed equipment, and any other information pertaining to the operation, maintenance, monitoring, or inspections as may be required by federal and state law.	Retain in office permanently.	
31.	LANDFILL TONNAGE AND COST FILE	Destroy in office after the 5 year reporting period is complete.	
32.	NORTH CAROLINA SEDIMENTATION AND POLLUTION CONTROL COMMISSION Contains documentation of sedimentation control measures to be used on individual projects.	Destroy in office after 3 years.	
33.	PERMIT LOG Record showing permit number, date, name of owner, cost of construction (if applicable), permit date, and receipts.	Destroy in office after 6 years.	
34.	PERMIT RECEIPT BOOKS	Destroy in office after 3 years.*	
35.	PERMITS: BURNING Records concerning permits issued during site construction.	a) Destroy in office after 3 years. b) Destroy in office applications for which a permit was never issued when administrative value ends.† Agency Policy: Destroy in office after _____	

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ITEM #	STANDARD-5: CODE ENFORCEMENT AND INSPECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
36.	PERMITS: COMMUNITY WATER SYSTEM Permit issued by the NC Department of Environment and Natural Resources.	Destroy in office when superseded.	G.S. §130A-328(a)
37.	PERMITS: ENCROACHMENTS OF RIGHT-OF-WAY	a) Destroy in office 3 years after case is resolved.* b) Destroy in office applications for which a permit was never issued when administrative value ends.† Agency Policy: Destroy in office after _____	
38.	PERMITS: FACILITIES USE	a) Destroy in office after 3 years. b) Destroy in office applications for which a permit was never issued when administrative value ends.† Agency Policy: Destroy in office after _____	
39.	PERMITS: LANDFILL	Destroy in office after the 5 year reporting period is complete.	
40.	PERMITS: MISCELLANEOUS (CONSTRUCTION) Applications and permits regarding sign installation, fencing, swimming pools, driveways, or similar activity required by local ordinance. See also PERMITS: MISCELLANEOUS (NON-CONSTRUCTION) item 41, page 38.	a) Destroy in office 3 years after completion of project. b) Destroy in office applications for which a permit was never issued when administrative value ends.† Agency Policy: Destroy in office after _____	

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ITEM #	STANDARD-5: CODE ENFORCEMENT AND INSPECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
41.	<p>PERMITS: MISCELLANEOUS (NON-CONSTRUCTION) Includes, but is not limited to, applications and permits regarding burning, special events, and landscape establishment.</p> <p>See also PERMITS: MISCELLANEOUS (CONSTRUCTION) item 40, page 37.</p>	<p>a) Destroy in office 1 year after expiration of permit.</p> <p>b) Destroy in office applications for which a permit was never issued when administrative value ends.† Agency Policy: Destroy in office after _____</p>	
42.	<p>PERMITS: PUBLIC UTILITIES PROJECTS Permits, approval letters, and other related documentation required by local, state, or federal ordinance, regulation, or statute. Includes records regarding National Pollutant Discharge Elimination System (NPDES) permits.</p>	<p>a) Destroy in office permits 6 years after expiration, cancellation, revocation, or denial.*</p> <p>b) Retain approval letters and supporting documentation permanently.</p>	<p>15A NCAC 18C .0300 and 2H .0115</p> <p>40 CFR 122.28 (1993)</p>
43.	<p>RECREATIONAL VEHICLE REGISTRATION RECORDS Records concerning issuance of registrations/decals for recreational vehicles including, but not limited to, golf carts, canoes, and mopeds. May include proof of insurance and renewals.</p>	<p>Destroy in office 1 year after expiration.*</p>	
44.	<p>REPORTS: DAILY WATER AND WASTEWATER FACILITY OPERATORS LOGS Includes water distribution and treatment.</p>	<p>a) Destroy in office records concerning the operation of water treatment facilities after 3 years.*</p> <p>b) Destroy in office records concerning the operation of wastewater treatment facilities after 5 years.*</p>	<p>15A NCAC 18C .1301</p>

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ITEM #	STANDARD-5: CODE ENFORCEMENT AND INSPECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
45.	REPORTS: DISCHARGE MONITORING Includes discharge and non-discharge monitoring reports submitted to state and/or federal regulatory agencies. Also includes copies of monthly reports required by National Pollution Discharge Elimination System (NPDES) permits.	a) Destroy in office daily reports after 3 years. b) Destroy in office National Pollutant Discharge Elimination System (NPDES) reports 5 years from date of submission.* c) Destroy in office annual reports 5 years from date of submission.*	40 CFR 122.41(3)(j)(2) 15A NCAC 2B .0506
46.	REPORTS: ENVIRONMENTAL HEALTH Laboratory reports showing results of environmental health tests.	Destroy in office after 3 years.	
47.	REPORTS: LANDFILL MONITORING Gas and groundwater monitoring records and reports.	a) Retain official reports permanently. b) Destroy in office remaining records after 3 years.	
48.	REPORTS: MONTHLY BUILDING PERMITS AND CONSTRUCTION Customized reports used for statistical analysis of current development trends within the county. This information also is submitted to the U. S. Department of Commerce & Bureau of the Census and/or the NC Department of Environment and Natural Resources (DENR).	Destroy in office after 3 years.	
49.	REPORTS: U.S. ENVIRONMENTAL PROTECTION AGENCY (EPA)	Destroy in office after 2 years.*	
50.	REPORTS: WASTEWATER MAINTENANCE OPERATION	Destroy in office after 3 years.	
51.	STANDARD BUILDING CODES	Destroy in office when superseded or obsolete.	

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ITEM #	STANDARD-5: CODE ENFORCEMENT AND INSPECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
52.	STREET INFORMATION May include master address logs.	Destroy in office when superseded or obsolete.	
53.	TRADES CERTIFICATIONS Includes contractors licensing records.	Destroy in office when superseded or obsolete.	
54.	TROUT BUFFER VARIANCES Records may include denials and waivers.	a) Destroy in office 6 years after approval of permit. b) Destroy in office plans for which a permit was not issued after 3 years.	
55.	UNSAFE BUILDINGS FILE Notification to owner of unsafe conditions relative to a particular structure.	Destroy in office after 6 years provided all issues have been resolved.*	
56.	VIOLATIONS Includes complaints, certified return receipts, summons, notices, appeals, and other information created or compiled during the course of investigation and resolution of each alleged violation. Applies to violations of building and fire code, minimum housing, and erosion and sediment control.	Destroy in office 3 years after verification of correction. *	
57.	VIOLATIONS: SOLID WASTE MANAGEMENT Includes complaints, notices of violations, citations, investigation records, court documents, and other related records produced by solid waste environmental enforcement programs.	Destroy in office 7 years after resolution of case.*	
58.	VIOLATIONS: WATER CONSERVATION Notices of water conservation violation.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	

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ITEM #	STANDARD-5: CODE ENFORCEMENT AND INSPECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
59.	VALVE OPERATION FILE	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
60.	WASTE OIL, BATTERIES, AND ELECTRONICS COLLECTION FILE May include records of waste oil filter collections.	Destroy in office after 5 years.	
61.	WASTEWATER POLLUTION CONTROL AND ABATEMENT RECORDS	Destroy in office after 5 years.*	15A NCAC 2B .0500
62.	WASTEWATER QUALITY ANALYSIS RECORDS	a) Destroy in office monitoring and calculation sheets after 1 year.* b) Destroy in office analysis reports after 3 years.*	15A NCAC 2B .0500
63.	WATER ANALYSIS Includes bacteriological, chemical, radiological, and physical analyses and climatological observations. Also includes records of actions taken to correct violations.	a) Destroy in office records of bacteriological and turbidity analysis after 5 years. b) Destroy in office records of chemical and radiological analysis after 10 years. c) Destroy in office records of actions taken to correct violations 3 years after last corrective action taken. d) Destroy in office other records after 5 years.	15A NCAC 18C .1526 40 CFR 141.33 (a)(b)

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ITEM #	STANDARD-5: CODE ENFORCEMENT AND INSPECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
64.	WATER, SEWER, AND WASTEWATER SYSTEM PROJECT RECORDS See also PERMITS: PUBLIC UTILITIES PROJECTS , item 42, page 38.	Destroy in office 6 years after project is completed.	15A NCAC 18C .0305
65.	WATER SYSTEM OPERATIONS RECORDS Includes backflow prevention reports, flow reports, capacity studies, pump station reports, and similar records that summarize the operations of water supply, treatment, distribution, and collection.	Destroy in office after 10 years.*	40 CFR 141.33 15A NCAC 18C .1526
66.	WATER TANKS, SPECIFICATIONS, AND BOOSTER STATIONS FILE	Destroy in office after 5 years.*	

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STANDARD-6. EMERGENCY SERVICES RECORDS

Official records explaining the authority, operating philosophy, purposed methods, and primary functions of emergency services programs.

ITEM #	STANDARD-6: EMERGENCY SERVICES RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	911 CALL RECORDINGS	Destroy in office after 30 days, if not made part of a case file.*	G.S. §132-1.4(i) Comply with applicable provisions of G.S. §132-1.5 regarding the confidentiality of automatic identification information contained in 911 database.
2.	911 COMMUNICATION RECORDS Transcripts of 911 calls received and computer-aided dispatch (CAD) reports. Reports may list time and date of call, contents of call, location of call, name of unit dispatched, and other related information.	Destroy in office after 3 years, if not made part of a case file.*	Comply with applicable provisions of G.S. §132-1.4(c)(4) regarding the confidentiality of the identity of complaining witnesses.
3.	911 FILE Information regarding the implementation, training, and operations of the 911 system.	Destroy in office after 5 years.	
4.	ACTIVITY REPORTS Reports on an individual, shift, project, and other basis submitted on a daily, weekly, or other basis.	Destroy in office after 3 years.	

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ITEM #	STANDARD-6: EMERGENCY SERVICES RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
5.	AMBULANCE CALL REPORTS (ACR)/PATIENT CARE REPORTS (PCR) Records showing equipment used, patient location, nature of call, vital signs and other physical signs, care rendered, medicine ordered, etc.	a) Transfer copy of report to the admitting hospital for inclusion into patient's medical record. b) Destroy original after 11 years from last patient service.*	
6.	AMBULANCE DISPATCH RECORDS Includes run number, date, time, address, phone number, reason for dispatch, age of patient, condition of patient, responders, and other related information.	Destroy in office after 3 years.*	
7.	AMBULANCE SERVICE RUN LOG Includes response number, location of call, responding unit, arrival and departure times, and other related information.	Destroy in office after 3 years.*	
8.	ANNUAL SUBMISSION ON PERSONNEL AND ADMINISTRATION FUNDS FILE	Destroy in office after 3 years.	
9.	COMPANY RUN REPORT (FIRE JOURNAL) Listings of fire calls, alarms, personnel involved, equipment used, and actions taken.	Destroy in office after 5 years.	
10.	CONSOLIDATED MONTHLY REPORTS	Destroy in office after 5 years.	

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ITEM #	STANDARD-6: EMERGENCY SERVICES RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
11.	DISASTER AND EMERGENCY MANAGEMENT PLANS Records concerning preparedness, evacuations, and operations in the event of a disaster (natural, accidental, or malicious). Includes, but is not limited to, official copy of comprehensive plan and all background surveys, studies, reports, and draft versions of plans.	Retain plans until superseded; destroy in office background surveys, studies, reports, and drafts 3 years after adoption of plan or when superseded or obsolete, whichever comes first.	Comply with applicable provisions of G.S. §132-1.7 regarding the confidentiality of security records.
12.	DISPATCH RECORDINGS Recordings made of activities during an emergency services dispatch.	Destroy in office after 30 days, if not made part of a case file.*	
13.	EMERGENCY NOTIFICATIONS	Destroy in office when superseded or obsolete.	
14.	EVACUATION PLANS	Destroy in office when superseded or obsolete.	
15.	FIRE ALARM AND AUTOMATIC EXTINGUISHER FILE Certificates, licenses, and insurance certificates of companies that perform installations of fire alarm and automatic extinguishing systems.	Destroy in office when superseded or obsolete.	
16.	FIRE ALARM JOURNAL Journal or other listing of alarms answered by the fire department.	Destroy in office after 3 years.	
17.	FIRE DISPATCH FILE Records relating to fire dispatch zones. May include maps of fire dispatch zones, census tract information, annexation research, street closings, and other related material.	Destroy in office when superseded or obsolete.	

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ITEM #	STANDARD-6: EMERGENCY SERVICES RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
18.	<p>FIRE INVESTIGATION CASE FILES Includes detailed information regarding circumstances of the incident including location, information on damage and injuries, and possible cause of incident. May also include photographs and evidence log.</p> <p>See also FIRE INVESTIGATION RECORDS item 19, page 46.</p>	<p>a) Destroy in office after 5 years when cause of fire is determined to be accidental and no loss of life occurs*</p> <p>b) Destroy in office after 10 years when arson is involved.*</p> <p>c) Retain in office permanently when loss of life occurs or if a publicly-owned building is involved.*</p>	
19.	<p>FIRE INVESTIGATION RECORDS Reports and correspondence, including email, of fires investigated by department personnel.</p> <p>See also FIRE INVESTIGATION CASE FILES item 18, page 46.</p>	<p>Destroy in office when administrative value ends if not made part of a case file.† Agency Policy: Destroy in office after _____</p>	
20.	<p>FIRE LIMITS ORDINANCES Ordinances passed by council establishing and defining fire limits which shall include principal business portions of the county.</p>	<p>Retain in office permanently.</p>	
21.	<p>FIRE SAFETY INSPECTIONS Inspections and permits issued of buildings and systems for proper fire protection measures and procedures.</p>	<p>a) Destroy in office inspections with no defects after 3 years.</p> <p>b) Destroy in office inspections with noted defects 3 years after defects are corrected.*</p> <p>c) Destroy in office permits after 3 years.</p>	
22.	<p>FIXED NUCLEAR FACILITIES PLANS FILE Includes emergency plans for county fixed nuclear facilities.</p>	<p>Destroy in office after 3 years.</p>	

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ITEM #	STANDARD-6: EMERGENCY SERVICES RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
23.	HOSE RECORDS Records concerning the age, repair, and routine testing of fire hoses.	Destroy in office after 2 years.	
24.	HYDRANT RECORDS Records of fire hydrant locations, water main sizes, routine testing, and maintenance.	a) Destroy in office inspection and test records after 2 years. b) Retain in office maintenance records for life of the hydrant. c) Destroy in office records showing location and size of water mains when superseded or obsolete.	
25.	LOCAL EMERGENCY PLANNING COMMITTEE MINUTES	Follow disposition instructions for MINUTES OF PUBLIC BODIES item 34, page 8.	42 USC §11003
26.	LOCAL EMERGENCY PLANS Comprehensive emergency response plans developed by emergency planning districts.	Destroy in office when superseded or obsolete.	42 USC §11001
27.	NATIONAL FLOOD INSURANCE PROGRAM RECORDS	Retain in office permanently.	
28.	NORTH CAROLINA FIRE CASUALTY REPORT Report filed with the N.C. State Fire Commission.	Destroy in office after 5 years.	
29.	NORTH CAROLINA FIRE INCIDENT REPORT Report filed with the N.C. State Fire Commission, county fire marshal, town or city council, or county commissioners.	Destroy in office after 5 years.	G.S. §58-79-45
30.	NORTH CAROLINA FIRE ASSOCIATION RECORDS	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-6: EMERGENCY SERVICES RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
31.	NORTH CAROLINA FIREMAN'S PENSION FUND PRINTOUT Documentation of annual leave, history report, position summary, etc., for the N.C. Fireman's Pension Fund.	Destroy in office when superseded or obsolete.	
32.	NUCLEAR CIVIL PROTECTION PLAN	Destroy in office when superseded or obsolete.	
33.	PHARMACEUTICAL RECORDS	Destroy in office after 3 years.*	
34.	PLANS Plans of buildings and fire safety systems of commercial and industrial properties.	Destroy in office when superseded or obsolete.	
35.	PUMP TEST RECORDS Results of tests conducted on pumping equipment.	Destroy in office after 2 years.	
36.	RADIOLOGICAL DEFENSE (RADEF) DATA BANK RADIOACTIVE MATERIAL INVENTORY	Destroy in office after loan of radioactive materials ends.	
37.	RADIOLOGICAL DATA STATION FILE	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
38.	RESOLUTIONS ON ESTABLISHMENT OF LOCAL AGENCY	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
39.	SAFETY COMMITTEE MEETINGS Includes agendas, exhibits, and copies of supporting documentation submitted and discussed during meetings of public bodies.	Follow disposition instructions for MINUTES OF PUBLIC BODIES item 34, page 8.	

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-6: EMERGENCY SERVICES RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
40.	SHELTER FACILITIES LISTING	Destroy in office when superseded or obsolete.	
41.	STATE OF EMERGENCY ORDINANCES	Retain in office permanently.	
42.	SUPERFUND AUTHORIZATION RECOVERY ACT INFORMATION FILE Information concerning the location of hazardous waste in the community.	Destroy in office when superseded or obsolete.	
43.	VOLUNTEER FIRE/RESCUE DEPARTMENT LOGS	Destroy in office after 3 years.*	
44.	VOLUNTEER FIREFIGHTERS MEDICAL RECORDS Records concerning asbestos, toxic substances, and blood-borne 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.)	<ul style="list-style-type: none"> a) Destroy in office exposure records 40 years from date of exposure or 30 years from date of separation.* b) Destroy in office records pertaining to job-related illness and injury after 5 years. c) Destroy in office results of routine medical examinations and similar records after 1 year. <p><i>Retention Note: Records must be maintained separately from an employee's personnel jacket.</i></p>	29 CFR 1910.1020 (d)(ii)
45.	VOLUNTEER FIREFIGHTERS PERSONNEL RECORDS Official copy of personnel file maintained on each volunteer firefighter. May include basic information and records and forms relating to the duties, service, suspension, and termination of the volunteer. See also VOLUNTEER FIREFIGHTERS MEDICAL RECORDS item 44, page 49.	Destroy in office 30 years from date of separation.*	

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STANDARD-7. GEOGRAPHIC INFORMATION SYSTEM (GIS) RECORDS.
 Records received and created by county geographic information system programs.

ITEM #	STANDARD-7: GEOGRAPHIC INFORMATION SYSTEM (GIS) RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<p>ADDRESS POINTS MAPS</p> <p>See also GEOSPATIAL RECORDS, page x.</p>	<p>Paper: Retain in office permanently.</p> <p>GIS dataset: Create a snapshot of dataset annually. To maintain permanently,</p> <p><i>Either:</i> Transfer snapshot to NCOneMap according to established procedures, complying with standards and procedures adopted by the North Carolina Geographic Information Coordinating Council.</p> <p><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 North Carolina Geographic Information Coordinating Council.</p>	

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-7: GEOGRAPHIC INFORMATION SYSTEM (GIS) RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
2.	<p>CORPORATE LIMITS</p> <p>See also GEOSPATIAL RECORDS, page x.</p>	<p>Paper: Retain in office permanently.</p> <p>GIS dataset: Create a snapshot of dataset annually. To maintain permanently,</p> <p><i>Either:</i> Transfer snapshot to NCOneMap according to established procedures, complying with standards and procedures adopted by the North Carolina Geographic Information Coordinating Council.</p> <p><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 North Carolina Geographic Information Coordinating Council.</p>	
3.	<p>EXTRATERRITORIAL JURISDICTIONS</p> <p>See also GEOSPATIAL RECORDS, page x.</p>	<p>Paper: Retain in office permanently.</p> <p>GIS dataset: Create a snapshot of dataset annually. To maintain permanently,</p> <p><i>Either:</i> Transfer snapshot to NCOneMap according to established procedures, complying with standards and procedures adopted by the North Carolina Geographic Information Coordinating Council.</p> <p><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 North Carolina Geographic Information Coordinating Council.</p>	

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ITEM #	STANDARD-7: GEOGRAPHIC INFORMATION SYSTEM (GIS) RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.	<p>ORTHOIMAGERY</p> <p>See also GEOSPATIAL RECORDS, page x.</p>	<p>Retain permanently. Create a snapshot of dataset when created. To retain,</p> <p><i>Either:</i> Transfer snapshot to NCOneMap according to established procedures, complying with standards and procedures adopted by the North Carolina Geographic Information Coordinating Council.</p> <p><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 North Carolina Geographic Information Coordinating Council.</p>	
5.	<p>GEOGRAPHIC INFORMATION SYSTEM (GIS) BACKUP FILE</p>	<p>Destroy in office system backup files when superseded or obsolete.</p>	
6.	<p>GEOGRAPHIC INFORMATION SYSTEM (GIS) CORE DATA</p> <p>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.</p>	<p>Retain in office parcel, boundary, zoning, and orthoimagery layers, with accompanying data sets, permanently.</p> <p><i>Retention Note:</i> Other datasets should be kept according to standards and procedures set by the North Carolina Geographic Information Coordinating Council. See also GEOSPATIAL RECORDS, page x.</p>	

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-7: GEOGRAPHIC INFORMATION SYSTEM (GIS) RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
7.	<p>GEOGRAPHIC INFORMATION SYSTEM (GIS) DATA DOCUMENTATION (METADATA)</p> <p>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. May include data element dictionaries, file layout, codebooks and tables, and definition files.</p>	Destroy in office when the system is discontinued or when system data has been transferred to a new operating environment (platform).	
8.	<p>GEOGRAPHIC INFORMATION SYSTEM (GIS) INTERNAL STANDARDS AND PROCEDURES</p> <p>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.</p>	Retain in office permanently.	
9.	<p>GEOGRAPHIC INFORMATION SYSTEM (GIS) MONITORING RECORDS</p> <p>Includes system security, quality assurance, transaction tracking, and other related activity monitoring records.</p>	Destroy in office after 1 year.	
10.	<p>GEOGRAPHIC INFORMATION SYSTEM (GIS) OPERATIONAL RECORDS</p> <p>Includes user guides, system flowcharts, job or workflow records, system specifications, and similar documentation.</p>	Destroy in office when the system is discontinued or when system data has been transferred to a new operating environment (platform).	

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-7: GEOGRAPHIC INFORMATION SYSTEM (GIS) RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
11.	GEOGRAPHIC INFORMATION SYSTEM (GIS) PROJECT RECORDS	a) Retain in office GIS datasets and accompanying documentation (metadata) with historical and/or legal value permanently. b) Destroy in office remaining items when administrative value ends.† Agency Policy: Destroy in office after _____	
12.	MAPPING PROJECT RECORDS Includes county contract maps and all deliverable products for aerial photography, orthophotography, cartographic, cadastral, and digital mapping projects. See also GEOSPATIAL RECORDS , page x.	Paper: Retain in office permanently. GIS dataset: Create a snapshot of dataset annually. To retain permanently, <i>Either:</i> Transfer snapshot to NCOneMap according to established procedures, complying with standards and procedures adopted by the North Carolina Geographic Information Coordinating Council . <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 North Carolina Geographic Information Coordinating Council .	

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ITEM #	STANDARD-7: GEOGRAPHIC INFORMATION SYSTEM (GIS) RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
13.	<p>MAPS: CARTOGRAPHIC AND ORTHOPHOTOGRAPHY Base maps created to assist in the accurate appraisal of property located in the county, including aerial photographs.</p> <p>See also GEOSPATIAL RECORDS, page x.</p>	<p>Paper: Retain in office permanently.</p> <p>GIS dataset: Create a snapshot of dataset annually. To retain permanently,</p> <p><i>Either:</i> Transfer snapshot to NCOneMap according to established procedures, complying with standards and procedures adopted by the North Carolina Geographic Information Coordinating Council.</p> <p><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 North Carolina Geographic Information Coordinating Council.</p>	
14.	<p>MAPS: PARCEL Maps, including cadastral maps, and surveys of boundaries and measurements of each parcel, and information about encroachments, rights-of-ways and structures.</p> <p>See also GEOSPATIAL RECORDS, page x.</p>	<p>Paper: Destroy in office upon State Archives approval</p> <p>GIS dataset: Records are permanent. Create a snapshot of dataset quarterly. To maintain permanently,</p> <p><i>Either:</i> Transfer snapshot to NCOneMap according to established procedures, complying with standards and procedures adopted by the North Carolina Geographic Information Coordinating Council.</p> <p><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 North Carolina Geographic Information Coordinating Council.</p>	

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-7: GEOGRAPHIC INFORMATION SYSTEM (GIS) RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
15.	<p>MAPS: ALL OTHER Includes field maps, soil, topographic, sales, subdivision plats, right-of-way, sectional, highway, etc.</p>	<p>a) Retain in office maps, including GIS datasets and accompanying documentation (metadata), with historical and/or legal value permanently.</p> <p>b) Destroy in office remaining items when administrative value ends.† Agency Policy: Destroy in office after _____</p>	
16.	<p>PARK MAPS May include park boundaries, facilities, landscaping, topography, and other pertinent information. Includes maps and drawings stored and generated by Geographic Information System (GIS) and computer-aided design (CAD) systems</p> <p>See also GEOSPATIAL RECORDS, page x.</p>	<p>Paper: Retain in office permanently.</p> <p>GIS dataset: Create a snapshot of dataset annually. To maintain permanently,</p> <p><i>Either:</i> Transfer snapshot to NCOneMap according to established procedures, complying with standards and procedures adopted by the North Carolina Geographic Information Coordinating Council.</p> <p><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 North Carolina Geographic Information Coordinating Council.</p>	

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ITEM #	STANDARD-7: GEOGRAPHIC INFORMATION SYSTEM (GIS) RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
17.	<p>STREET CENTERLINE</p> <p>See also GEOSPATIAL RECORDS, page x.</p>	<p>Paper: Retain in office permanently.</p> <p>GIS dataset: Create a snapshot of dataset annually. To maintain permanently,</p> <p><i>Either:</i> Transfer snapshot to NCOneMap according to established procedures, complying with standards and procedures adopted by the North Carolina Geographic Information Coordinating Council.</p> <p><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 North Carolina Geographic Information Coordinating Council.</p>	

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STANDARD-8. INFORMATION TECHNOLOGY (IT) RECORDS

Information technology encompasses all activities undertaken by county departments 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-8: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	AUDIT TRAILS FILE Records documenting user actions affecting the contents of monitored systems.	Destroy in office after 3 years.*	
2.	COMPUTER AND NETWORK USAGE RECORDS Records documenting usage of electronic devices and networks. May include, but is not limited to, login files, system usage files, individual program usage files and records of use of the internet by employees.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	Comply with applicable provisions of G.S. 132-6.1 (c) on the confidentiality of records regarding "hardware or software security, passwords, or security standards, procedures, processes, configurations, software, and codes."

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ITEM #	STANDARD-8: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
3.	DIGITIZATION AND SCANNING RECORDS Records concerning imaging operations. May include, but is not limited to, scanning and data entry quality control records and audit reports.	Destroy in office after 3 years.	
4.	DISASTER PREPAREDNESS AND RECOVERY PLANS Records concerning the protection and reestablishment of data processing services and equipment in case of a disaster. (Disaster preparedness and recovery plans should be stored in a secure, off-site location.)	a) Retain in office records documenting past disaster recovery permanently. b) Destroy in office all other records when superseded or obsolete.	Comply with applicable provisions of G.S. 132-6.1 (c) on the confidentiality of records regarding "hardware or software security, passwords, or security standards, procedures, processes, configurations, software, and codes."
5.	INFORMATION TECHNOLOGY ASSISTANCE RECORDS Records documenting troubleshooting and problem-solving assistance provided by agency information systems personnel to users of the systems. May include, but is not limited to, help desk assistance requests, resolution records, and related documentation.	Destroy in office 1 year after work is completed.	

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ITEM #	STANDARD-8: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.	<p>NETWORK AND SYSTEM SECURITY RECORDS Records documenting the security of network and system. May include, but is not limited to, records concerning firewalls, anti-virus programs, and intruder scanning logs.</p>	Destroy in office after 3 years.*	Comply with applicable provisions of G.S. 132-6.1 (c) on the confidentiality of records regarding “hardware or software security, passwords, or security standards, procedures, processes, configurations, software, and codes.”
7.	<p>NETWORK DIAGRAMS 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.</p>	Destroy in office when superseded or obsolete.	Comply with applicable provisions of G.S. 132-6.1 (c) on the confidentiality of records regarding “hardware or software security, passwords, or security standards, procedures, processes, configurations, software, and codes.”
8.	<p>PROJECT DOCUMENTATION FILES Records created to design, develop, control, or monitor a specific project or group of projects. May include, but is not limited to, statements of work, assessments, maintenance agreements, and testing records.</p>	<p>a) Retain records with historical value permanently.</p> <p>b) Destroy in office remaining records 3 years after completion of project.</p>	

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-8: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
9.	<p>SOFTWARE LICENSE AND COPYRIGHT PROVISIONS RECORDS</p> <p>Records documenting compliance with agency software license and copyright provisions. May include, but is not limited to, software licenses, correspondence, including email, and related documentation.</p>	Destroy in office 1 year after life of system.	
10.	<p>SYSTEM ACCESS RECORDS</p> <p>Records documenting user permissions and access to information, programs, or applications within a system.</p>	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	Comply with applicable provisions of G.S. 132-6.1 (c) on the confidentiality of records regarding “hardware or software security, passwords, or security standards, procedures, processes, configurations, software, and codes.”
11.	<p>SYSTEM DOCUMENTATION RECORDS</p> <p>Records documenting operating systems, application programs, structure and form of datasets, system structure, and system-to-system communication. This series may include but is not limited to: system overviews, dataset inventories, server name, IP address, purpose of the system, vendor-supplied documentation, installed software, and current source code.</p>	Destroy in office 3 years after superseded or obsolete.	Comply with applicable provisions of G.S. 132-6.1 (c) on the confidentiality of records regarding “hardware or software security, passwords, or security standards, procedures, processes, configurations, software, and codes.”

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ITEM #	STANDARD-8: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
12.	<p>SYSTEM MAINTENANCE RECORDS: HARDWARE REPAIR OR SERVICE</p> <p>Records documenting inspections, maintenance, and repairs of agency computer systems that are owned or leased. May include, but is not limited to, computer equipment inventories and service records.</p>	<p>a) Destroy in office records documenting routine inspections and maintenance of equipment after 1 year.</p> <p>b) Retain records documenting all other equipment maintenance and repairs for life of equipment.</p>	
13.	<p>SYSTEM MAINTENANCE RECORDS: RECORDS BACKUPS</p> <p>Records documenting regular or essential system backups. May include, but is not limited to, backup tape inventories, relevant correspondence, including email, and related documentation.</p>	<p>Destroy in office in accordance with your office's established, regular backup plan and procedures.†</p> <p>Agency Policy: Destroy in office after _____</p> <p>See Also: Security Backup Files as Public Records in North Carolina: Guidelines for the Recycling, Destruction, Erasure, and Re-use of Security Backup Files, available on the State Archives of North Carolina website.</p>	
14.	<p>WEB MANAGEMENT AND OPERATIONS RECORDS: STRUCTURE</p> <p>Site maps that show the directory structure into which content pages are organized, and commercial, off-the-shelf software configuration files used to operate the site and establish its look and feel. May include, but is not limited to, server environment configuration specifications.</p> <p>See also WEBSITE (ELECTRONIC) FILE item 7, page 98.</p>	<p>Destroy in office when superseded or obsolete.</p>	

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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STANDARD-9. LEGAL RECORDS

Official law and legal documentation created or accumulated to substantiate the rights, obligations, or interests of county departments or their individual employees or clients.

ITEM #	STANDARD-9: LEGAL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<p>AFFIDAVITS OF PUBLICATION Proof of publication provided by newspapers regarding publication of ordinances, public hearings, bid solicitations, payment of bills, public sales, etc.</p> <p>See also NOTICES OF PUBLIC MEETINGS item 36, page 8.</p>	<p>a) Retain in office permanently if record provides only evidence of publication.</p> <p>b) Destroy in office remaining records after 3 years.*</p>	G.S. § 1-600
2.	<p>COMPLAINTS (DISCRIMINATION) Records concerning discrimination charges. May include charges made under the Age Discrimination in Employment Act, Americans with Disabilities Act, Housing and Urban Development Act, and the Civil Rights Act of 1964.</p>	Destroy in office 2 years after final disposition of the charge.*	
3.	<p>CONDEMNATION RECORDS Settled and pending condemnation cases.</p> <p>See also ACCOUNTS PAYABLE item 1, page 21 for disposition of financial records.</p>	Retain in office permanently.	

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-9: LEGAL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.	CONFLICT OF INTEREST DISCLOSURE STATEMENTS 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 when superseded or obsolete.	
5.	CONTRACTOR COMPLIANCE MONITORING FILES	Destroy in office 5 years after contract expiration.	
6.	CONTRACTS AND AGREEMENTS Contracts and agreements for construction, equipment, supplies, services, special programs, and projects. May include franchise agreements, hold harmless agreements, good faith effort documentation, and memoranda of understanding.	a) Retain in office contracts and agreements with historical value permanently. b) Destroy in office construction (capital improvements) contracts 6 years after completion or termination of project.* c) Destroy in office all other contracts and agreements 3 years after expiration, termination, or completion.*	
7.	CORRESPONDENCE (LEGAL) Correspondence, including email, and related records concerning actions taken to recover debts, fines, and penalties; and to assure violations are addressed.	Destroy in office 5 years after resolution.* For information on handling email, see Electronic Records page viii.	Comply with provisions of G.S. §132-1.1(a) regarding the confidentiality of written communications by legal counsel.
8.	EASEMENTS AND RIGHT OF WAY AGREEMENTS Granted to and by the agency. See also ACCOUNTS PAYABLE item 1, page 21 for disposition of financial records.	Retain in office permanently.	

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ITEM #	STANDARD-9: LEGAL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
9.	ENCROACHMENTS FILE Records concerning conflicts on land or water rights or obligations.	Retain in office permanently.	
10.	INSURANCE POLICIES Records concerning purchased accident, sickness, automobile, theft, fire, life, and all other insurance policies purchased by the county.	a) Destroy in office when superseded or obsolete if no outstanding litigation.* b) Destroy in office other records 6 years after settlement.	
11.	LEASES FILE Records concerning leases for property leased by and from other parties and agency property leased to the public. See also GRANTS item 28, page 6.	Destroy in office records 3 years after termination of lease.*	
12.	LEGAL OPINIONS Formal legal opinions written by counsel in response to requests concerning the governance and administration of local government.	Retain in office permanently.	
13.	LEGAL REVIEW RECORDS Includes legal reviews of by-laws and charges to boards and commissions and other departmental matters as requested. See also LEGAL OPINIONS item 12, page 65.	a) Retain in office records with historical value permanently. b) Destroy in office remaining records when administrative value ends or after expiration of relevant statute of limitations, whichever is longer.† Agency Policy: Destroy in office after _____	Comply with applicable provisions of G.S. §132-1.1(a) regarding the confidentiality of written communications by legal counsel.

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-9: LEGAL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
14.	<p>LITIGATION CASE RECORDS Civil suits to which the county is a party. May include affidavits, agreements, appeals, bills, briefs, citations, commitments, complaints, discharges, motions, notices, pleas, releases, statements, testimony, verdicts, waivers, warrants, and writs.</p>	<p>a) Retain in office cases having precedent or historical value permanently.</p> <p>b) Destroy in office adjudicated cases 5 years after final disposition.</p> <p>c) Destroy in office non-adjudicated cases (out-of-court claims) 5 years after final disposition or expiration of relevant statute of limitations.</p> <p><i>Retention Note: Records are retained by the Clerk of Superior Court's office in each county.</i></p>	Comply with applicable provisions of G.S. §132-1.1(a) regarding the confidentiality of written communications by legal counsel.
15.	<p>OATHS OF OFFICE FILE</p>	<p>a) Transfer official copy to the Clerk to the Board.</p> <p>b) Destroy in office remaining records 3 years after official termination.</p> <p><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></p>	
16.	<p>ORDINANCE AND RESOLUTION DEVELOPMENT RECORDS Records concerning the analysis and development of ordinances and resolutions submitted before the governing board for approval.</p>	Destroy in office when ordinance is no longer in effect.	
17.	<p>OWNERSHIP RECORDS (DEEDS, TITLES)</p>	Destroy in office 1 year after county relinquishes ownership of land.*	

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-9: LEGAL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
18.	PRE-TRIAL RELEASE PROGRAM RECORDS	Destroy in office 5 years from date of service termination.	
19.	VEHICLE TITLES Titles of county owned vehicles.	Dispose of in accordance with Division of Motor Vehicles procedures for title transfer upon disposition of vehicle.	
20.	WARRANTIES Warranties that accompany equipment or commodities purchased by the county.	Destroy in office 1 year after expiration of warranty.	

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STANDARD-10. PARKS AND RECREATION RECORDS

Official records and materials created and accumulated during the conduct of county parks and recreation programs. Comply with applicable provisions of G.S. §132-1.12 regarding confidentiality of juvenile records.

ITEM #	STANDARD-10: PARKS AND RECREATION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	ACCIDENT/INCIDENT REPORTS (PARKS & RECREATION) See also WORKERS' COMPENSATION PROGRAM CLAIMS FILE item 60, page 86.	Follow disposition instructions for ACCIDENT/INCIDENT REPORTS (CUSTOMER AND EMPLOYEE) item 1, page 112.	.
2.	ADMISSION RECORDS Records of admissions to county parks or recreation facilities.	Destroy in office after 3 years.*	
3.	ANNUAL ACTIVITY REPORT Copies of financial and statistical reports sent to governing body.	Destroy in office after incorporation into official minutes of governing body.	
4.	BIRTH CERTIFICATES (REFERENCE COPIES) Copies of each participant's birth certificate to verify age and register individual for participation.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	Comply with applicable provisions of G.S. §132-1.12 regarding confidentiality of juvenile records.
5.	CITATIONS RECORDS Citations issued by park personnel to persons who violate park rules and regulations.	Destroy in office after 2 years.	

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ITEM #	STANDARD-10: PARKS AND RECREATION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.	INTERNATIONAL FEDERATION OF PARKS AND RECREATION ADMINISTRATION FILE Records concerning general and technical material associated with the International Federation.	Destroy in office when superseded or obsolete.	
7.	OFFICIALS FILE Records concerning individuals who officiate games. Includes payroll, schedule, and related correspondence, including email.	a) Destroy in office after 3 years. b) If official is a county employee, transfer applicable records to PAYROLL AND EARNINGS RECORDS item 45, page 27.	
8.	PARKS AND RECREATION BOARD MEETINGS Agendas, minutes, and related materials pertaining to meetings of the Parks and Recreation Board.	Follow disposition instructions for MINUTES OF PUBLIC BODIES item 34, page 8.	
9.	PARKS PLANNING FILE Includes master plans and working plans for each park property and county recreational facility, which show layout, topography, and proposed developments and improvements. May include drainage and resource maps, aerial maps, site analysis drawings, construction plans, and as-built drawings. See also COMPREHENSIVE PLAN item 16, page 3. See also PARK MAPS , item 16, page 56.	a) If an element of the Comprehensive Plan, destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____ b) If not an element of the Comprehensive Plan, destroy in office when superseded or obsolete. c) Destroy in office background surveys, studies, reports, and drafts 3 years after adoption of plan or when superseded or obsolete, whichever comes first.	
10.	POOL RECORDS Monthly reports indicating operational data, chemicals used, chlorination levels, and other information relating to pool construction, maintenance, and health and safety.	Destroy in office after 1 year.	

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ITEM #	STANDARD-10: PARKS AND RECREATION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
11.	RECREATION PROGRAMS Records regarding athletic and recreation programs. May include staff notes, lesson plans, course descriptions, instruction manuals, schedules, team rosters, registration information, and concession operators list.	Destroy in office after 1 year.	Comply with applicable provisions of G.S. §132-1.12 regarding confidentiality of juvenile records.
12.	RECREATIONAL EQUIPMENT RECORDS Records of equipment owned by county parks and recreation facilities and lent to users.	Destroy in office 1 year after equipment is returned.	
13.	RELEASE FORMS	Destroy in office after 2 years.*	
14.	RESERVATION RECORDS Reservation records for county parks and recreational facilities.	Destroy in office after 1 year.	
15.	RULES AND REGULATIONS Rules and regulations relating to use of park facilities and equipment issued by the Parks and Recreation Board.	Destroy in office 5 years after rules are revoked or superseded.*	
16.	SPECIAL EVENTS PROGRAM FILE Records concerning special events promoted by the county. May include printing, calendars, program data, community contacts, and addresses.	Destroy in office after 1 year.	
17.	TICKET STUBS	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	

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STANDARD-11. PERSONNEL RECORDS

Official records and materials created and accumulated incidental to the employment, qualifications, training, and pay status of county employees. Comply with applicable provisions of G.S. §153A-98 regarding confidentiality of personnel records.

ITEM #	STANDARD-11: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	ABOLISHED POSITION FILE	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
2.	ADS AND NOTICES OF OVERTIME, PROMOTION, AND TRAINING OPPORTUNITIES	Destroy in office 1 year from date record was made.	29 CFR 1627.3(b)
3.	AFFIRMATIVE ACTION FILE	a) Destroy in office all reports, analyses, and statistical data after 5 years. b) Destroy in office affirmative action plans 5 years from date superseded.	29 CFR 30.8(b),(e) 29 CFR 1608.4
4.	APPRENTICESHIP PROGRAM RECORDS	Destroy in office 5 years from the date of enrollment.	29 CFR 30.8(d),(e)
5.	APTITUDE AND SKILLS TESTING RECORDS Records concerning aptitude and skills tests required of job applicants or of current employees to qualify for promotion or transfer. May include civil service examinations. See also EMPLOYMENT SELECTION RECORDS item 32, page 80.	Destroy in office after 2 years.	29 CFR 1602.31 29 CFR 1602.40 29 CFR 1602.49

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ITEM #	STANDARD-11: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.	BENEFITS REIMBURSEMENT PLAN Dental, vision, or other benefits-related claim forms and receipts submitted by employees requesting reimbursement from the county.	a) Destroy in office records concerning approved requests after 3 years.* b) Destroy in office records concerning rejected requests 6 months after decision.	
7.	CAFETERIA PLAN (FLEXIBLE SPENDING) RECORDS Records concerning incentive systems in which employees can select the fringe benefits they want from a menu of available alternatives.	a) Destroy in office annual enrollment records after 1 year. b) Destroy in office remaining records and receipts 3 years after completion of all audits.*	
8.	COBRA RECORDS (CONSOLIDATED OMNIBUS BUDGET RECONCILIATION ACT) Includes notifications, election and claim forms, rejection letters, and similar information.	Destroy in office 3 years from date eligibility ended.	29 USC 1161 26 USC 4980B 42 USC 300-bb-1
9.	DEFERRED COMPENSATION FILE	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
10.	DISABILITY SALARY CONTINUATION CLAIMS Forms used by disabled employees to apply for salary continuation benefits.	a) Transfer original forms to Local Government Employees' Retirement System (LGRS) for action when received. b) Destroy in office reference copies after 1 year.	

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ITEM #	STANDARD-11: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
11.	<p>DISCIPLINARY FILE Correspondence, including email, and other records concerning disciplinary action taken against employees by personnel or supervisory staff, including records documenting terminations. May include records created by civil service boards when considering, or reconsidering on appeal, an adverse action against an employee.</p>	<p>a) Transfer records as applicable to PERSONNEL RECORDS (OFFICIAL COPY) item 45, page 83.</p> <p>b) Destroy in office all remaining records 2 years after resolution of all actions.</p>	<p>29 CFR 1602.14 29 CFR 1602.31 29 CFR 1602.40 29 CFR 1602.49 29 CFR 1627.3</p>

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ITEM #	STANDARD-11: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
12.	<p>DRUG AND ALCOHOL PROGRAMS FILE Records concerning an agency's alcohol misuse and controlled substances use prevention programs. May include test results, evaluations and referrals, annual summary reports, education and training records, chain of custody forms, and all other program related documents.</p>	<p>a) Destroy in office alcohol test results indicating a blood alcohol concentration of 0.02 or greater, records of verified positive drug or alcohol test results, documentation of refusals to take required alcohol and/or drug tests (including substituted or adulterated drug test results), referrals to Substance Abuse Professionals (SAP), SAP reports, all follow-up tests and schedules for follow-up tests, copies of annual Drug & Alcohol Management Information System (MIS) reports submitted to Federal Transit Administration (FTA), equipment calibrations, and records related to the administration of the testing program after 5 years.</p> <p>b) Destroy in office records obtained from previous employers concerning drug and alcohol test results after 3 years.</p> <p>c) Destroy in office records of the inspection, maintenance, and calibration of Evidential Breath Testing Devices (EBTs), records related to the collection process, and records concerning the training of program staff after 3 years.</p> <p>d) Destroy in office records of negative and cancelled drug or alcohol test results, including alcohol test results with a blood alcohol concentration of less than 0.02, after 1 year.</p> <p><i>Retention Note: Records should be maintained in a location with controlled access.</i></p>	<p>49 CFR 382.401 49 CFR 40.333 49 CFR 655.71</p>

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ITEM #	STANDARD-11: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
13.	DUAL EMPLOYMENT FILE Records concerning employees' requests and authorizations to accept secondary employment.	a) Destroy in office approved requests and related records 1 year after employee terminates outside employment. b) Destroy in office unapproved requests and related records after 6 months.	
14.	EDUCATIONAL LEAVE AND REIMBURSEMENT FILE See also PERSONNEL RECORDS (OFFICIAL COPY) item 45, page 83.	a) Destroy in office records concerning approved requests when released from all audits. b) Destroy in office records concerning unapproved requests 6 months after unapproval.*	Comply with applicable provisions of 20 USC 1232g regarding the confidentiality of student records.
15.	EMPLOYEE BENEFITS REGISTER	Destroy in office after 2 years.	
16.	EMPLOYEE CERTIFICATION AND QUALIFICATION RECORDS Records concerning certification or qualification as required for employment, continued employment, or promotion. See also EMPLOYMENT APPLICATIONS AND RESUMES item 30, page 79.	a) Destroy in office certificates 5 years after date of separation. b) Destroy in office all remaining records 2 years after resolution of all actions.	
17.	EMPLOYEE DIRECTORIES, ROSTERS, OR INDEXES Includes records listing employees, their job titles, work locations, phone numbers, email addresses, and similar information.	Destroy in office when superseded or obsolete.	

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ITEM #	STANDARD-11: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
18.	<p>EMPLOYEE EDUCATIONAL ASSISTANCE PROGRAM RECORDS Includes records requesting tuition assistance, repayments, and other related records.</p> <p>See also PERSONNEL RECORDS (OFFICIAL COPY) item 45, page 83.</p>	Destroy in office 3 years after completion, denial, repayment, or removal from program.*	
19.	<p>EMPLOYEE ELIGIBILITY RECORDS Includes the United States Immigration and Naturalization Services, Employment Eligibility Verification (I-9) forms.</p>	<p>a) Destroy in office certificates, I-9 forms, and statements, 3 years after individual was hired or 1 year from date of separation.</p> <p>b) Destroy in office registers after 2 years.</p>	8 USC 1324(b)
20.	<p>EMPLOYEE EXIT INTERVIEW RECORDS</p> <p>See also PERSONNEL RECORDS (OFFICIAL COPY) item 45, page 83.</p>	Destroy in office after 1 year.	
21.	<p>EMPLOYEE HEALTH CERTIFICATES Includes health or physical examination reports, or certificates created in accordance with Title VII and the Americans with Disabilities Act (ADA).</p>	<p>a) Transfer records as applicable to PERSONNEL RECORDS (OFFICIAL COPY) item 45, page 83.</p> <p>b) Destroy in office all other records 2 years after resolution of all actions.</p>	29 CFR 1602.31

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ITEM #	STANDARD-11: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
22.	<p>EMPLOYEE MEDICAL RECORDS 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.)</p>	<p>a) Destroy in office exposure records 40 years from date of exposure or 30 years from date of separation.*</p> <p>b) Destroy in office records pertaining to job-related illness and injury after 5 years.</p> <p>c) Destroy in office results of medical examinations required in connection with personnel actions and similar records after 1 year.</p> <p><i>Retention Note: Records must be maintained separately from an employee's personnel jacket. If part of a workers compensation claim, follow disposition for WORKERS' COMPENSATION PROGRAM CLAIMS FILE item 60, page 86.</i></p>	<p>29 CFR 1627.3 29 CFR 1630.14 29 CFR 1904.4 29 CFR 1910 29 CFR 1910.1020 (d)(ii)</p>
23.	<p>EMPLOYEE PENSION AND BENEFITS PLANS Includes plans and related records outlining the terms of employee pension plans; life, health, and disability insurance, seniority and merit systems; and deferred compensation plans, including amendments.</p>	<p>Destroy in office 1 year after plan is terminated.</p>	<p>29 CFR 1627.3(2)</p>
24.	<p>EMPLOYEE PENSION AND BENEFIT PLAN ENROLLMENT FORMS Forms providing personal identifying data, beneficiary information, option selection, and similar information.</p>	<p>a) Transfer pension and deferred compensation enrollment forms to PERSONNEL RECORDS (OFFICIAL COPY) item 45, page 83.</p> <p>b) Destroy in office life, health, and disability insurance enrollment forms 4 years after termination of coverage.</p>	

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ITEM #	STANDARD-11: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
25.	<p>EMPLOYEE PERFORMANCE REVIEW FILE Information used to establish employees' goals and primary tasks. Records used to evaluate each employee's work performance.</p> <p>See also PERSONNEL RECORDS (OFFICIAL COPY) item 45, page 83.</p>	<p>a) Destroy in office supervisor approved and signed work plans after 3 years.</p> <p>b) Destroy in office remaining records when administrative value ends.† Agency Policy: Destroy in office after _____</p>	
26.	<p>EMPLOYEE POLYGRAPH RECORDS 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.</p>	<p>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.</p>	29 CFR 801.30
27.	<p>EMPLOYEE SUGGESTIONS Includes employee surveys and survey responses.</p>	<p>Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____</p>	
28.	<p>EMPLOYEE TRAINING AND EDUCATIONAL RECORDS Includes employee-specific records (certificates, transcripts, test scores, etc.) and non-employee-specific records (training manuals and aids, syllabi, course outlines, attendance rosters, etc.) relating to the training, testing, or continuing education of employees.</p>	<p>a) Transfer employee-specific records as applicable to PERSONNEL RECORDS (OFFICIAL COPY) item 45, page 83 if such training and testing is required for the position held or could affect career advancement.</p> <p>b) Destroy in office non-employee-specific records 1 year from date record was created.</p> <p>c) Destroy in office remaining records when administrative value ends.† Agency Policy: Destroy in office after _____</p>	29 CFR 1627.3(b)(1)(iv)

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ITEM #	STANDARD-11: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
29.	EMPLOYEE WORK SCHEDULES AND ASSIGNMENT RECORDS Records concerning work, duty, shift, crew, or case schedules, rosters, or assignments.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
30.	EMPLOYMENT APPLICATIONS AND RESUMES Records submitted by job applicants for vacant positions or by current employees for promotion, transfer, or training opportunities. May include applications, transcripts, resumes, letters of reference, and similar records.	a) Transfer applications, resumes, transcripts, and similar records as applicable to PERSONNEL RECORDS (OFFICIAL COPY) item 45, page 83. b) Destroy in office all remaining records concerning individuals hired 2 years from date record was created or received, or the personnel action involved. 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.* d) Destroy in office unsolicited applications/resumes, and those received after posted closing dates, 2 years after receipt.	29 CFR 1602.31 29 CFR 1602.40 29 CFR 1602.49
31.	EMPLOYMENT LISTINGS, ADVERTISEMENTS, AND ANNOUNCEMENTS	Destroy in office after 2 years.	29 CFR 1602

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ITEM #	STANDARD-11: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
32.	<p>EMPLOYMENT SELECTION RECORDS Records concerning the selection of applicants for vacant positions or of current employees for promotion, transfer, or training opportunities. May include interview documentation, rosters, eligibility lists, test ranking sheets, justification statements, background and criminal history checks, health or physical examinations, and similar records.</p> <p>See also APTITUDE AND SKILLS TESTING RECORDS item 5, page 71.</p>	<p>a) Transfer records as applicable to PERSONNEL RECORDS (OFFICIAL COPY) item 45, page 83.</p> <p>b) Destroy in office all remaining records 2 years after resolution of all actions.</p>	<p>29 CFR 1602.31 29 CFR 1602.40 29 CFR 1602.49 29 CFR 1627.3</p>
33.	<p>EQUAL EMPLOYMENT OPPORTUNITY (EEO) CASE RECORDS Records concerning discrimination complaints and requests for reasonable accommodation received and resolved by the county.</p> <p>See also PERSONNEL RECORDS (OFFICIAL COPY) item 45, page 83.</p>	<p>Destroy in office 2 years after resolution of case.*</p>	<p>29 CFR 1602.31</p>
34.	<p>EQUAL EMPLOYMENT OPPORTUNITY (EEO) RECORDS AND REPORTS Reports filed with the Equal Employment Opportunity Commission (EEOC) in accordance with the provisions of Title VII and the Americans with Disabilities Act (ADA). May include compiled documentation used to complete EEO reports.</p>	<p>Destroy in office after 3 years.</p>	<p>29 CFR 1602.31</p>

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ITEM #	STANDARD-11: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
35.	EQUAL PAY RECORDS Includes reports, studies, aggregated or summarized data, and similar documentation compiled to comply with the Equal Pay Act.	Destroy in office after 2 years.	29 CFR 1620.32
36.	FRINGE BENEFITS FILE	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
37.	GRIEVANCE FILE Includes initial complaint, investigations, actions, summary, and disposition. May include disciplinary correspondence, including email. See also DISCIPLINARY FILE item 11, page 73 and PERSONNEL RECORDS (OFFICIAL COPY) item 45, page 83.	Destroy in office after 2 years.*	
38.	HEALTH INSURANCE FILE Completed claim forms and other records concerning employees covered by health plans.	Destroy in office after 2 years.*	
39.	INCREMENTS FILE	Destroy in office when released from all audits.	
40.	INTERNSHIP PROGRAM FILE Records concerning interns and students.	Destroy in office after 3 years.	

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ITEM #	STANDARD-11: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
41.	<p>LEAVE FILE Records concerning employee leave, including requests for and approval of sick, vacation, overtime, buy-back, shared, donated, military, etc. Includes premium payments, employer notice, medical examinations considered in connection with personnel action, disputes with employees over the Family Medical Leave Act (FMLA), and other related records.</p>	Destroy in office 3 years after return of employee or termination of employment.*	<p>29 CFR 825.110(b)(2)(i)</p> <p>29 CFR 825.500(b)</p>
42.	LONGEVITY PAY REQUESTS	Destroy in office when released from all audits.	
43.	MERIT AND SENIORITY SYSTEM RECORDS	<p>a) Destroy in office employee-specific records after 3 years.*</p> <p>b) Destroy in office system and plan records 1 year after no longer in effect.</p>	29 CFR 1627.3
44.	<p>PERSONNEL ACTION NOTICES Records used to create or change information in the personnel records of individual employees concerning such issues as hiring, termination, transfer, pay grade, position or job title, name change, and leave.</p>	<p>a) Transfer records as applicable to PERSONNEL RECORDS (OFFICIAL COPY) item 45, page 83.</p> <p>b) Destroy in office all remaining records 2 years from date record was created or received, or the personnel action involved.</p>	

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ITEM #	STANDARD-11: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
45.	<p>PERSONNEL RECORDS (OFFICIAL COPY) Official copy of personnel file maintained on each agency employee. May include basic employee information and records and forms relating to the selection or non-selection, promotion, transfer, leave, salary, suspension, and termination of employment.</p> <p>See also EMPLOYEE MEDICAL RECORDS item 22, page 77.</p>	<p>a) Destroy in office 30 years from date of separation information needed to document: date and amount of each increase or decrease in salary with that county; date and type of each promotion, demotion, transfer, suspension, separation, or other change in position classification with that county; date and general description of the reasons for each promotion with that county; date and type of each dismissal, suspension, or demotion for disciplinary reasons taken by the county; and, if the disciplinary action was a dismissal, a copy of the written notice of the final decision of the county setting forth the specific acts or omissions that are the basis of the dismissal.</p> <p>b) Destroy in office information used to verify benefits 30 years after date of separation.</p> <p>c) Destroy in office remaining records when individual retention periods are reached as noted in individual items in the Records Retention and Disposition Schedule.</p>	G.S. § 153A-98 (County Employees)
46.	<p>PERSONNEL RECORDS (REFERENCE COPY) Duplicate copy of official personnel jacket that is often maintained below the department level by supervisors.</p>	<p>a) Transfer records as applicable to PERSONNEL RECORDS (OFFICIAL COPY) item 45, page 83.</p> <p>b) Destroy in office remaining records when administrative value ends.† Agency Policy: Destroy in office after _____</p>	

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ITEM #	STANDARD-11: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
47.	POLICIES AND PROCEDURES (PERSONNEL)	a) Retain in office official copy of internal agency personnel policies permanently. b) Destroy in office reference copies and external policy procedures when superseded or obsolete.	
48.	POSITION CLASSIFICATION/POSITION HISTORY FILE See also POSITION DESCRIPTION RECORDS item 50, page 84.	a) Retain in office records with historical value permanently. b) Destroy in office all other records when superseded or obsolete.	
49.	POSITION CONTROL CARDS Records concerning personnel actions and position control, status of each established permanent, temporary full-time, or part-time position, and other related topics.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
50.	POSITION DESCRIPTION RECORDS Includes information on job title, grade, duties, agency assigned, and responsibilities.	Destroy in office 2 years from date record is superseded.	29 CFR 1620.32
51.	POSITION REQUISITION AND ANALYSIS RECORDS Records used to fill vacant positions and request new positions.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
52.	SALARY SURVEY RECORDS	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	

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ITEM #	STANDARD-11: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
53.	<p>SERVICE AWARDS AND COMMENDATIONS Includes award and selection committee reports, nominations, selection criteria, and similar employee recognition or incentive programs administrative records.</p> <p>See also PERSONNEL RECORDS (OFFICIAL COPY) item 45, page 83.</p>	Destroy in office 2 years from date record was created or received, or the personnel action involved.	
54.	<p>TEMPORARY EMPLOYEE RECORDS Records concerning temporary employees who are not provided with or eligible for benefits. Does not include personnel records created for specific federal programs.</p>	<p>a) If employee is a county employee, transfer applicable records to PERSONNEL RECORDS (OFFICIAL COPY) item 45, page 83.</p> <p>b) If the employee is a temporary service company employee, destroy in office 5 years from date of separation.</p>	
55.	<p>UNEMPLOYMENT COMPENSATION CLAIMS Claim form and other related records concerning unemployment compensation cases.</p>	Destroy in office after 3 years.*	
56.	<p>UNEMPLOYMENT COMPENSATION REPORTS 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 Employment Security Commission.</p>	Destroy in office after 3 years.*	
57.	<p>UNEMPLOYMENT INSURANCE FILE</p>	<p>a) Transfer original records to the N.C. Department of Commerce, Unemployment Insurance Division, when received.</p> <p>b) Destroy in office remaining records after 2 years.</p>	

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-11: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
58.	VOLUNTEER RECORDS Records concerning individuals who volunteered to assist with various agency activities and/or serve on boards.	Destroy in office 3 years from date of last inquiry or entry.	
59.	WORKERS' COMPENSATION PROGRAM (ADMINISTRATIVE) FILE Includes program policies, guidelines, and related administrative documentation.	a) Retain in office records with historical value permanently. b) Destroy in office all other records when administrative value ends.† Agency Policy: Destroy in office after _____	
60.	WORKERS' COMPENSATION PROGRAM CLAIMS FILE Records concerning workers' compensation claims filed by employees' supervisors concerning accidental injuries or illnesses suffered on the job. May include Employer's Report of Injury to Employee (Form 19), accident investigation reports, medical reports, reference copies of medical invoices, and other related records. Also includes reference copies. (Records concerning claims filed for injuries that occurred prior to July 5, 1994 are considered permanent records in compliance with <i>Hylar v. GTE Prods. Co.</i> , 333 N. C. 258 S.E.2d 698 (1993).)	a) Retain in office permanently records concerning claims filed for injuries that occurred prior to July 5, 1994. Transfer official copy of claim records to the Industrial Commission in compliance with G.S. §97-92(a), and in accordance with county personnel policy. Retain in office permanently records concerning claims filed for injuries that occurred on or after July 5, 1994, for which the Industrial Commission form "Employee's Claim for Additional Medical Compensation Pursuant to N.C. Gen. Stat. §97-25.1" (Form 18M) has been filed. Destroy in office remaining records 5 years after closing, in accordance with G.S. §97-24(c), if no litigation, claim, audit, or other official action involving the records has been initiated.* b) If official action has been initiated, transfer to LITIGATION CASE RECORDS item 14, page 66.	Comply with applicable provisions of G.S. §8-53 regarding the confidentiality of physician-patient records.

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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STANDARD-12. PLANNING AND ZONING RECORDS

Official records and materials created and accumulated during the conduct of county planning and zoning programs.

ITEM #	STANDARD-12: PLANNING AND ZONING RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	APPEARANCE COMMISSION MEETINGS Agendas, minutes, and related materials pertaining to meetings of the Appearance Commission.	Follow disposition instructions for MINUTES OF PUBLIC BODIES item 34, page 8.	
2.	APPEARANCE COMMISSION PROJECT FILE	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
3.	ASSESSMENT RECORDS FILE Copies of assessment records and supporting documentation.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
4.	BOARD OF ADJUSTMENT CASE FILE Cases submitted to the board requesting variances from current zoning ordinances.	Destroy in office 6 years after resolution of case.*	G.S. §§153A-340 G.S. § 1-50(5)
5.	BOARD OF ADJUSTMENT CASE INDEX Index to cases reviewed by the board.	Retain in office permanently.	

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-12: PLANNING AND ZONING RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.	<p>BOARD OF ADJUSTMENT MEETINGS Agendas, minutes, and related materials pertaining to meetings of the Board of Adjustment.</p> <p>See the Microfilm section on page xi for instructions on microfilming.</p>	<p>a) The official minutes of the governing board and its subsidiary boards are permanent records.</p> <p>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.</p> <p>c) Minutes of committees or subcommittees may be destroyed when administrative 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.† Agency Policy: Destroy in office after _____</p>	
7.	<p>COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG) ADMINISTRATIVE RECORDS Records concerning the administration of projects funded under the Community Development Block Grant program (CDBG). May include both direct grants and re grants, including the preliminary reports, audits, certificates, maps, and related correspondence, including email.</p>	<p>a) Retain in office records with historical value permanently.</p> <p>b) Destroy in office all other records 5 years after completion of project.*</p>	<p>24 CFR 85.42 24 CFR 570.502(a)(16) 24 CFR 84.53(b) 24 CFR 570.502(b)(3)</p>

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-12: PLANNING AND ZONING RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
8.	<p>COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG) APPLICATION RECORDS</p> <p>Records concerning the application and completion of projects funded under CDBG funds. May include both direct grants and regrants, including the initial application, and all final reports.</p>	Destroy in office 5 years after promissory note is released to client or lender.*	24 CFR 85.42 24 CFR 570.502(a)(16) 24 CFR 84.53(b) 24 CFR 570.502(b)(3)
9.	<p>COMPREHENSIVE LAND USE PLAN AND AMENDMENTS</p> <p>Includes, but is not limited to, official copy of comprehensive land use plan and all background surveys, studies, reports, and draft versions of plans.</p>	<p>a) Retain in office permanently adopted plan and amendments.</p> <p>b) Destroy in office background surveys, studies, reports, and drafts 3 years after adoption of plan.</p>	
10.	<p>CONDITIONAL USE PERMIT RECORDS AND INDEX</p> <p>Records concerning applications for conditional use permits. Permits allow for the construction of buildings, on the condition that impacts on neighborhoods are mitigated. May include original application, blueprint drawings, investigative reports, planning commission recommendations, cash receipts, and related correspondence, including email. Includes sign permits and temporary use permits. Also includes reference copies of variances or exceptions from zoning regulations granted by the Board of Adjustment.</p>	<p>a) Destroy in office 3 years after discontinuance of use.</p> <p>b) Destroy in office applications for which a permit was never issued when administrative value ends.† Agency Policy: Destroy in office after _____</p>	

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-12: PLANNING AND ZONING RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
11.	DECLARATIONS AND BY-LAWS FROM TOWNHOUSES, CONDOMINIUMS, PLANNED RESIDENTIAL DEVELOPMENTS, COMMON AREAS, ETC.	a) If not filed in Register of Deeds or similar agency, retain in office permanently. b) If filed in Register of Deeds or similar agency, destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	G.S. § 47C-2-103
12.	EASEMENT RELEASE REQUEST FILE Approved and denied easement release requests. Includes form letters, memos, reference copies of maps, and resolutions approved by the Planning Board.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
13.	ENVIRONMENTAL IMPACT STUDIES Records and reports concerning the environmental impact of major projects proposed by localities and reviewed by local officials.	Retain in office permanently.	
14.	FEASIBILITY STUDIES	Retain in office permanently.	
15.	HOUSING REHABILITATION PROGRAM RECORDS	Follow the disposition instructions for COMMUNITY DEVELOPMENT BLOCK GRANT RECORDS , items 7-8, pages 88-89.	

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-12: PLANNING AND ZONING RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
16.	<p>MAPS, DRAWINGS, PLATS (OFFICIAL) Official representation of comprehensive plan, and zoning boundaries established and/or enforced by the agency. May include blueprint maps, which show streets, property lines, zoning boundaries, and area classifications. Includes maps and drawings stored and generated by Geographic Information System (GIS) and computer-aided design (CAD) systems.</p> <p>See also GEOSPATIAL RECORDS, page x.</p>	<p>Paper: Retain in office permanently.</p> <p>GIS dataset: Create a snapshot of dataset annually. To maintain permanently,</p> <p><i>Either:</i> Transfer snapshot to NCOneMap according to established procedures, complying with standards and procedures adopted by the North Carolina Geographic Information Coordinating Council.</p> <p><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 North Carolina Geographic Information Coordinating Council.</p>	
17.	<p>MAPS, DRAWINGS, PLATS (REFERENCE) Illustrations prepared or collected to capture background information on land use conditions for staff reference and public information.</p>	Destroy in office when superseded or obsolete.	
18.	<p>MASTER SUMMARY (LOG OR REGISTER) Maintained by planning agency to record receipt of planning or zoning reviews and projects, and to record subsequent action taken.</p>	Retain in office permanently.	
19.	<p>OPEN SPACE CLASSIFICATION CASE FILE</p>	Retain in office permanently.	

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-12: PLANNING AND ZONING RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
20.	ORTHOGRAPHY Historical and legacy aerial imagery.	a) Retain in office negatives permanently. b) If negative is not available, retain in office photograph permanently. c) Destroy in office photographs where negative is available when administrative value ends.† Agency Policy: Destroy in office after _____	
21.	PERMITS: TEMPORARY MANUFACTURED HOME Records created to temporarily authorize the location of a manufactured home on the same lot as a single family residence.	Destroy in office 6 years after permit expires.	G.S. § 1-50(5)
22.	PERMITS: ZONING COMPLIANCE For residential uses, non-residential uses, and accessory structures.	a) Retain in office permits concerning subdivision, historical structure, major commercial or industrial development, or capital construction, where county is lead agency, permanently. b) Destroy in office permits concerning subdivision, historic structures, major commercial or industrial development, or capital construction, where county is not lead agency, 6 years after last entry. c) Destroy in office any other permits and related records 6 years after last entry.	G.S. § 1-50(5)
23.	PETITION & REGULATION RECORDS	Destroy in office after 5 years.*	

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-12: PLANNING AND ZONING RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
24.	<p>PLANNING AND ZONING BOARD MEETINGS Agendas, minutes, and related materials pertaining to meetings of the Planning and Zoning Board.</p> <p>See the Microfilm section on page xi for instructions on microfilming.</p>	<p>a) The official minutes of the governing board and its subsidiary boards are permanent records.</p> <p>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.</p> <p>c) Minutes of committees or subcommittees may be destroyed when administrative 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.† Agency Policy: Destroy in office after _____</p>	
25.	<p>PLANNING AND ZONING STUDIES Studies, plans, and reports of the planning and zoning department, board, or commission. Records are used as background information for reports, ordinances, resolutions, etc.</p> <p>See also COMPREHENSIVE PLAN item 16, page 3.</p>	<p>a) If an element of the Comprehensive Plan, destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____</p> <p>b) If not an element of the Comprehensive Plan, retain in office permanently.</p> <p>c) Destroy in office background surveys, studies, reports, and drafts 3 years after adoption of plan, or when superseded or obsolete, whichever comes first.</p>	

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-12: PLANNING AND ZONING RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
26.	<p>PLANNING REVIEW CASE FILE For required review of site plan, zoning variance, special permit, change of zoning, subdivision creation or enlargement, county planning action, or other required review; including, but not limited to, maps, plans, sketches, photographs, engineering reports, environmental impact statement and studies, copies of zoning records, project narrative, correspondence, including email, and record of final determination.</p>	<p>a) Retain plan reviews and related records containing subdivision, historical structure, major commercial or industrial development, or capital construction, where county is lead agency, permanently.</p> <p>b) Destroy in office plan reviews and related records containing subdivision, historic structures, major commercial or industrial development, or capital construction, where county is not lead agency, 6 years after last entry.</p> <p>c) Destroy in office any other mandatory reviews and related records 6 years after last entry.</p>	G.S. § 1-50(c)
27.	<p>PRELIMINARY SUBDIVISION AND GROUP DEVELOPMENT SITE PLANS</p>	<p>Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____</p>	
28.	<p>REDEVELOPMENT PLANNING RECORDS See also COMPREHENSIVE PLAN item 16, page 3.</p>	<p>a) If an element of the Comprehensive Plan, destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____</p> <p>b) If not an element of the Comprehensive Plan, retain in office permanently.</p> <p>c) Destroy in office background surveys, studies, reports, and drafts 3 years after adoption of plan, or when superseded or obsolete, whichever comes first.</p>	
29.	<p>REFERRED PROJECTS</p>	<p>Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____</p>	

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-12: PLANNING AND ZONING RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
30.	<p>REZONING RECORDS AND INDEXES Records concerning applications to rezone property within the county. May include original applications, review forms, maps of areas involved, copies of investigative reports, copies of planning board minutes, notices of hearings, development agreements, copies of ordinances, and copies of county board of commissioners minutes.</p>	Retain in office permanently.	
31.	<p>STREET NAMES AND CHANGES OF STREET NAMES FILE Records concerning the names and addresses of streets and roads retained for administrative purposes.</p>	Destroy in office when superseded or obsolete.	
32.	<p>SUBDIVISION RECORDS Includes maps, plats, topographical data, names of streets, records of public utilities, action by council, etc. See also MAPS: ALL OTHER item 15, page 56.</p>	<p>a) If not filed in Register of Deeds or similar agency, retain in office permanently.</p> <p>b) If filed in Register of Deeds or similar agency, destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____</p>	
33.	VARIANCES	Retain official copies permanently in the minutes of the Planning Board.	
34.	<p>VIOLATIONS: ZONING See also CORRESPONDENCE (LEGAL) item 7, page 64.</p>	Destroy in office after 6 years.*	G.S. § 1-50(5)

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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<i>ITEM #</i>	<i>STANDARD-12: PLANNING AND ZONING RECORDS</i>		
	<i>RECORD SERIES TITLE</i>	<i>DISPOSITION INSTRUCTIONS</i>	<i>CITATION</i>
35.	ZONING ORDINANCES AND AMENDMENTS Ordinances and amendments adopted by the zoning board.	Retain in office permanently.	

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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STANDARD-13. PUBLIC RELATIONS RECORDS

Official records and materials created and accumulated by internal public information programs operated by county administrative offices.

ITEM #	STANDARD-13: PUBLIC RELATIONS RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	ADVERTISEMENTS Includes advertisements of special events and services concerning the agency which appear in newspapers, journals, newsletters, etc.	a) Retain in office records with historical value permanently. b) Destroy in office advertisements 3 years after expiration.* c) Destroy in office billing information and other fiscal records when released from all audits.	
2.	AGENCY PUBLICATIONS Publications created at agency expense.	a) Retain in office records with historical value permanently. b) Destroy in office remaining records when administrative value ends.† Agency Policy: Destroy in office after _____	
3.	AUDIO -VISUAL RECORDINGS (PUBLIC RELATIONS) Recordings (including digital) and films produced by the agency. This does not include recordings of public meetings.	a) Retain in office records with historical value permanently. b) Destroy in office remaining records when administrative value ends.† Agency Policy: Destroy in office after _____	
4.	NEWS AND PRESS RELEASES News and press releases issued concerning programs, activities, and services of the agency.	a) Retain in office records with historical value permanently. b) Destroy in office remaining records when administrative value ends.† Agency Policy: Destroy in office after _____	

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-13: PUBLIC RELATIONS RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
5.	<p>PUBLIC RELATIONS FILE Records concerning overall public relations of county administrative offices. May include procedures, correspondence (including email), photographic materials, and other related records.</p>	Destroy in office after 5 years.	
6.	<p>SPEECHES Speeches made by agency officials.</p>	<p>a) Retain in office records with historical value permanently.</p> <p>b) Destroy in office remaining records when administrative value ends.† Agency Policy: Destroy in office after _____</p>	
7.	<p>WEBSITE (ELECTRONIC) FILE Electronic records concerning the administration and maintenance of the agency's website. (A network administrator or information systems office may maintain electronic files.)</p> <p>See also WEB MANAGEMENT AND OPERATIONS RECORDS: STRUCTURE item 14, page 62.</p>	<p>a) Retain in office records with historical value permanently. Can be maintained as website snapshots or via Web crawler.</p> <p>b) Destroy in office remaining records when superseded or obsolete.</p> <p><i>Retention Note: Preserve copy of web page after every major change in design and/or content.</i></p>	

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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STANDARD-14. PUBLIC TRANSPORTATION SYSTEMS.

Records received and created by area transit systems and authorities necessary to meet all statutory requirements.

*Comply with requirements of the Federal Transit Administration's **Best Practice Procurement Manual**, Master Agreement MA(11) Section 8 manual, and 49 CFR 18 regarding retention, access, security, and confidentiality of records where applicable.*

ITEM #	STANDARD-14. PUBLIC TRANSPORTATION SYSTEMS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	ACCREDITATION RECORDS Records concerning compliance with standards outlined by accreditation programs.	Destroy in office 1 year after superseded.*	
2.	AGENCY LOGS (SHEETS) Records concerning individual agency ridership.	Destroy in office after 3 years.*	49 CFR 18.42
3.	AMERICANS WITH DISABILITIES ACT (ADA) PARATRANSIT RECORDS Includes driver's daily assignments, dispatch records, logs of passenger pick-ups and drop-offs, manifests, trip requests, and appeal forms.	Destroy in office after 5 years.*	49 CFR 18.42
4.	AMERICANS WITH DISABILITIES ACT (ADA) PARATRANSIT VOUCHERS Vouchers submitted by private transportation companies for reimbursement for alternative transportation of public transit clients.	Destroy in office after 5 years.*	49 CFR 18.42
5.	AMERICANS WITH DISABILITIES ACT (ADA) PRE-TRIP INSPECTION FORMS	Destroy in office after 1 year.	49 CFR 18.42

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ITEM #	STANDARD-14. PUBLIC TRANSPORTATION SYSTEMS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.	APPLICATIONS FOR ART-IN-TRANSIT Applications and supporting documentation submitted by regional and national artists for exhibit on agency property.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
7.	APPLICATIONS FOR AWARDS Applications and supporting documentation used to apply for various public and private awards.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
8.	APPLICATIONS FOR DISCOUNT PASSES Applications, certificates of disability, and supporting documentation used to apply for discount passes.	Destroy in office 3 years after service is terminated or denied.	
9.	APPLICATIONS FOR TRANSIT SERVICE Includes customer applications, eligibility assessment records, correspondence, including email, health information, riders' guides, and related records.	Destroy in office 3 years after service is terminated or denied.	
10.	CALL IN LOGS (SHEETS) Record concerning on-demand service requests.	Destroy in office after 5 years.*	49 CFR 18.42
11.	CUSTOMER (RIDER) ALERTS Records alerting customers of changes in regular service (e.g. detours, festivals, parades, etc.).	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
12.	CUSTOMER (RIDER) IDENTIFICATION RECORDS Records concerning customer identification, approvals, denials, and related information.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-14. PUBLIC TRANSPORTATION SYSTEMS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
13.	<p>DISADVANTAGED BUSINESS ENTERPRISE (DBE) RECORDS Includes company's articles of incorporation, financial statements, signed affidavits, letters of reference, declarations, Federal Schedule A or B, and related correspondence, including email.</p>	<p>a) Destroy in office company-specific records 5 years after company is removed from certified list.</p> <p>b) Destroy in office related DBE program records, including Federal Transit Administration reports, 5 years from date record was created.</p>	49 CFR 26
14.	<p>DISPATCH RECORDS Reports, logs, and similar records used to document dispatch activities.</p>	Destroy in office after 5 years.	49 CFR 18.42
15.	<p>LOST AND FOUND RECORDS Logs, sheets, and similar records documenting items recovered from agency facilities and vehicles. May include customer receipts for claimed items.</p>	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
16.	<p>NATIONAL TRANSIT DATABASE (NTD) REPORT Annual report submitted to the Federal Transit Administration and used as the basis for calculating each system's funding. May include records (data) used to generate reports regardless of format.</p>	Destroy in office 5 years.*	49 CFR 18.42
17.	<p>OPERATOR BID RECORDS Cards, sheets, and similar records documenting operators' route selections and choice for a service period.</p>	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
18.	<p>OPERATOR SHIFT INSPECTION RECORDS Reports and similar records of operator's inspections of vehicle at the beginning and end of shift.</p>	Destroy in office after 5 years.	49 CFR 18.42

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ITEM #	STANDARD-14. PUBLIC TRANSPORTATION SYSTEMS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
19.	RADIO DISPATCH RECORDINGS AND LOGS Recordings and logs of dispatch messages to and from transit operators.	Destroy in office after 90 days.*	
20.	RIDERSHIP REPORTS Includes shuttle logs concerning regularly scheduled individual ridership.	Destroy in office after 5 years.	49 CFR 18.42
21.	ROUTE HISTORY RECORDS Includes descriptions of routes, bus stops, passenger lists, and other related records.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
22.	ROUTE MAINTENANCE RECORDS Logs, sheets, and related records used to record needed road improvements.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
23.	SAFETY CERTIFICATIONS Records verifying that system elements such as vehicles, trolley and train cars, tracks, station components, and operating procedures comply with safety requirements.	Retain in office for life of structure or vehicle.	
24.	SEAT BELT AND RESTRAINT SYSTEM RECORDS Records concerning the use and installation of seat belts and other restraint systems in vehicles.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
25.	SERVICE PERFORMANCE RECORDS Records concerning quality control performance checks conducted on agency staff, contractors, and vendors.	a) Retain in office records with historical value permanently. b) Destroy in office remaining records 3 years after records were created or project ends, whichever occurs later.	

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-14. PUBLIC TRANSPORTATION SYSTEMS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
26.	SERVICE PLANNING AND DEVELOPMENT RECORDS Includes records concerning changes in routes and transportation services offered by the agency.	a) Retain in office records with historical value permanently. b) Destroy in office remaining records 3 years after records were created or project ends, whichever occurs later.	
27.	SHELTER RECORDS Includes adopt a shelter program records, listings of shelter sites, site permission for right of way, easements, and related documentation.	a) Retain in office shelter blueprints for life of structure. b) Destroy in office remaining records when administrative value ends, or when site is no longer used.† Agency Policy: Destroy in office after _____	
28.	TERMINAL DISPATCH RECORDS Reports, logs, and similar records used to track daily terminal operations and activities.	Destroy in office after 1 year.	
29.	TICKET CONSIGNMENT RECORDS Logs, notebooks, and related records used to track tickets and passes provided to customers.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
30.	TRIP REQUESTS Passenger trip requests.	Destroy in office after 5 years.	49 CFR 18.42
31.	TRANSIT SCHEDULES Printed route schedules and related information used to generate schedules.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
32.	TRANSPORTATION SYSTEM OPERATIONS REPORTS Reports and supporting records summarizing transit system operations.	Destroy in office after 5 years.	49 CFR 18.42

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-14. PUBLIC TRANSPORTATION SYSTEMS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
33.	TRANSPORTATION SYSTEM SERVICE PERFORMANCE EVALUATIONS	Destroy in office after 1 year.	
34.	TRANSPORTATION SYSTEM STATISTICAL RECORDS Reports and supporting records showing passenger trips, mileage, service hours, on-time performance, missed and/or late trips, road call, ridership, and similar statistical information.	a) Retain in office records with historical value permanently. b) Destroy in office remaining records 5 years after records were created or project ends, whichever is later.	49 CFR 18.42
35.	VANPOOL DRIVER APPLICATIONS Applications and supporting records submitted by persons operating vanpool vehicles.	a) Destroy in office accepted applications 3 years after person leaves program. b) Destroy in office applications for persons not accepted for program after 1 year.	
36.	VANPOOL MONTHLY USAGE REPORTS Includes logs, sheets, reports and similar records documenting starting and ending mileage, total miles driven, route locations, passenger rosters, and similar information.	Destroy in office after 5 years.	49 CFR 18.42
37.	VEHICLE BREAKDOWN RECORDS Reports and similar records documenting response time, location, vehicle identification, and similar information. See also WORK ORDERS item 62, page 14.	Destroy in office after 1 year.	
38.	VEHICLE OPERATOR INSTRUCTIONS	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-14. PUBLIC TRANSPORTATION SYSTEMS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
39.	VEHICLE USAGE LOGS (SHEETS) Includes date vehicle was used, pick-up and delivery locations, starting and ending mileage, total miles driven, and signature of driver.	Destroy in office after 1 year.*	

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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STANDARD-15. PUBLIC UTILITIES AND WASTE MANAGEMENT RECORDS

Official records and materials created and accumulated for use by county sanitation, water, sewage, electrical, and gas operations.

ITEM #	STANDARD-15: PUBLIC UTILITIES RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	ABANDONED UTILITY LINE RECORDS Records documenting the location of abandoned utility lines.	Retain in office until abandoned line is removed.	
2.	ANNUAL REPORTS (UTILITIES) Reports sent to the Federal regulatory agency including annual reports, power system statements, and gas reports.	Destroy in office after 5 years.	
3.	CABLE TELEVISION FRANCHISE RECORDS Includes contracts, agreements, and notice of franchise.	a) Retain in office contracts, agreements, and notice of franchise for life of the franchise. b) Destroy in office remaining records when administrative value ends.† Agency Policy: Destroy in office after _____	G.S. §66-350(4)

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-15: PUBLIC UTILITIES RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.	CUSTOMER FINANCIAL RECORDS Billing and receipt records concerning customer accounts. Includes billing adjustment records.	a) Destroy in office utility bills and receipts after 3 years.* b) Destroy in office copies of notices of unpaid bills after payment or deemed uncollectable. c) Destroy in office customer deposit records and direct draft authorizations 3 years after account is closed. d) Destroy in office customer account histories when administrative value ends. † Agency Policy: Destroy in office after _____	Comply with applicable provisions of G.S. §132-1.1(c) regarding confidentiality of public enterprise billing information.
5.	CUSTOMER USAGE RECORDS Includes reports, plans, or similar records submitted by industrial users, or publicly-owned treatment works concerning intended or actual use of the system.	Destroy in office after 3 years.*	40 CFR 403.12(o)(3)
6.	CUSTOMER WORK ORDERS Includes service orders such as to connect and disconnect service or other maintenance functions.	Destroy in office 1 year after completion of work.	
7.	LANDLORD AGREEMENTS Agreements to automatically transfer utility accounts to landlords when their tenant vacates a property.	Destroy in office after 3 years.*	

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-15: PUBLIC UTILITIES RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
8.	<p>MAPS (UTILITY INSTALLATIONS & DISTRIBUTIONS) Includes maps, plats, charts, and similar records showing the location of water mains, valves, hydrants, meters, lines, etc., throughout the system.</p> <p>See also GEOSPATIAL RECORDS, page x.</p>	<p>Paper: Retain in office for life of system.</p> <p>GIS dataset: Records for life of system. Create a snapshot of dataset annually. To maintain,</p> <p><i>Either:</i> Transfer snapshot to NCOneMap according to established procedures, complying with standards and procedures adopted by the North Carolina Geographic Information Coordinating Council.</p> <p><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 North Carolina Geographic Information Coordinating Council.</p>	
9.	<p>METER RECORDS (ELECTRIC, WATER, GAS) Includes meter reading records showing consumer consumption, and records concerning installation, testing, and calibration of devices.</p>	<p>a) Destroy in office records verifying installation of meter 3 years after equipment is no longer owned and/or operational if like replacement occurred.</p> <p>b) Destroy in office records verifying installation of meter 5 years after equipment is no longer owned and/or operational if unlike replacement occurred.</p> <p>c) Destroy in office remaining records after 3 years.*</p>	
10.	<p>NOTICE TO PROPERTY OWNERS OF APPROVAL OF WATER UTILITY INSTALLATION</p>	Destroy in office after 2 years.	
11.	<p>OUTSIDE WASTE CLEARANCE RECORDS Records allowing parties outside the county's jurisdiction to dispose of waste at landfill.</p>	Destroy in office 3 years after expiration of agreement.	

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-15: PUBLIC UTILITIES RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
12.	PRETREATMENT PROGRAM RECORDS Includes annual pretreatment reports, records of monitoring activities and results, water quality records, and other related documentation.	a) Destroy in office permits and supporting documentation 5 years after expiration, cancellation, revocation, or denial.* b) Destroy in office remaining records after 3 years.*	15A NCAC 02H .0908(f)(1) 40 CFR 503.17
13.	PUBLIC UTILITIES SYSTEM ENGINEERING, MAINTENANCE, AND REPAIR RECORDS Includes records documenting installation, authorizations to construct, building plans, location, specifications, and maintenance history, for hydrants, pipes, pumps, valves, and similar system equipment. Includes drainage system maintenance and repair records.	a) Retain in office as built plans and specifications permanently. b) Destroy in office 3 years after equipment is no longer owned and/or operational if like replacement occurred. c) Destroy in office 5 years after equipment is no longer owned and/or operational if unlike replacement occurred. d) Destroy in office background surveys, studies, reports, drafts, and other records when superseded or obsolete.	Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of detailed drawings of infrastructure facilities. 15A NCAC 18C .0300 and 2H .0115
14.	REPORTS: RECYCLING TONNAGE Records documenting tonnage of materials collected at curb and dropped off at recycling centers.	Destroy in office after 3 years.	
15.	SANITARY SURVEY RECORDS Includes reports, summaries, studies, correspondence, including email, and other related records documenting the sanitary condition of system.	Destroy in office 10 years after completion of survey.*	40 CFR 141.33(c) 15A NCAC 18C .1526
16.	SCALE HOUSE VIDEO MONITORING RECORDINGS	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-15: PUBLIC UTILITIES RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
17.	SERVICE AGREEMENTS Includes liquefied natural gas, electric, sewage, water and wastewater, and drainage maintenance agreements.	Destroy in office 3 years after termination or expiration.*	
18.	SERVICE INTERRUPTION RECORDS Includes reports, logs, or similar records documenting service interruptions.	Destroy in office after 3 years.*	
19.	SEWER JETTING AND VECTORING RECORDS Records documenting the routine cleaning of wastewater lines.	Destroy in office after 3 years.	
20.	SLUDGE TREATMENT RECORDS Includes analyses, certification statements, site restrictions, monitoring records, vector attraction reduction requirements, trip tickets, residual records, control plans, and other related documentation.	Destroy in office after 5 years.*	40 CFR 503.17
21.	SOLID WASTE CONVENIENCE CENTER FILE Annual reports to the Department of Environment & Natural Resources – Division of Pollution Prevention & Environmental Assistance.	Destroy in office after the 5 year reporting period is complete.	
22.	SOLID WASTE SERVICE FILE Includes requests for service, billing records, and payment records.	Destroy in office after 3 years.*	Comply with applicable provisions of G.S. §132-1.1(c) regarding confidentiality of public enterprise billing information.

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-15: PUBLIC UTILITIES RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
23.	TAP AND HOOK UP RECORDS Applications, permits, contracts, logs, or similar records documenting location and installation of water and wastewater hookup and taps.	a) Destroy in office permits and contracts 3 years after termination or cancellation.* b) Destroy in office denied applications and remaining records when administrative value ends.† Agency Policy: Destroy in office after _____	

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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STANDARD-16. RISK MANAGEMENT RECORDS

Official records created and accumulated for use by county risk management officers.

ITEM #	STANDARD-16: RISK MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	ACCIDENT/INCIDENT REPORTS (CUSTOMER AND EMPLOYEE) See also WORKERS' COMPENSATION PROGRAM CLAIMS FILE item 60, page 86.	a) Transfer records resulting in workers' compensation to WORKERS' COMPENSATION PROGRAM CLAIMS FILE item 60, page 86. b) Destroy in office remaining employee claims 3 years after settlement or denial of claim.* c) Destroy in office non-employee accident reports 3 years after settlement or denial of claim.* d) Destroy in office reports that do not result in claims or official action after 3 years. e) Destroy in office reports of minors after minor has reached age of 21.	
2.	ASBESTOS MANAGEMENT PLAN	a) Destroy in office 1 year after building is demolished. b) If building is sold transfer records to new owner.	29 CFR 1910.1001(j)(3)(ii)
3.	ASBESTOS TRAINING RECORDS	a) Destroy in office employee-specific records 1 year after separation. b) Destroy other records in office when superseded or obsolete.	29 CFR 1910.1001(m)(4)

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-16: RISK MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.	BLOODBORNE PATHOGEN TRAINING RECORDS Includes records showing date of training, sessions, contents or summaries of sessions, names of employees attending, and names and qualification of instructors.	Destroy in office after 3 years.	29 CFR 1910.1030(h)(2)(ii)
5.	EMPLOYEE SECURITY RECORDS Records concerning the issuance of keys, identification cards, passes, parking permits, etc., to employees.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
6.	FUEL OIL STORAGE TANK RECORDS	Destroy in office closure records 3 years after completion of permanent closure.	40 CFR 280.34 40 CFR 280.74
7.	HAZARDOUS MATERIALS TRAINING RECORDS Includes records showing date of training, sessions, contents or summaries of sessions, names of employees attending, and names and qualifications of instructors.	Destroy in office after 5 years.	29 CFR 1910.120(p)(8)(iii); 29 CFR 1910.120 Appendix E
8.	HEALTH AND SAFETY RECORDS Records concerning agency safety measures. May include reports, logs and similar records documenting health and safety inspections of agency facilities.	Destroy in office when superseded or obsolete.	
9.	INSURANCE AND LIABILITY WAIVERS	Destroy in office 6 years from date of termination or settlement of all claims.*	
10.	INSURANCE AUDITS, SURVEYS AND REPORTS	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-16: RISK MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
11.	LOSS CONTROL INSPECTION REPORTS Self-inspections to identify potential liabilities or hazards that may exist in agency owned buildings or property.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
12.	LOST AND STOLEN PROPERTY REPORTS Includes reports of vandalism.	Destroy in office after 3 years.*	29 CFR 1910.1200 29 CFR 1910.22E
13.	MATERIAL SAFETY DATA SHEETS Forms supplied to local government agencies from manufacturers and distributors of hazardous materials.	Destroy in office 30 years after materials have been disposed of according to manufacturer's instructions. <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>	29 CFR 1910.1200
14.	NOTIFICATION OF PENALTY ASSESSMENT FILE	Destroy in office after 6 years.	
15.	OCCUPATIONAL SAFETY AND HEALTH ADMINISTRATION (OSHA) FILE Records concerning injury or illness, extent and outcomes, summary totals for calendar year, and OSHA forms 101 and 200.	Destroy in office after 5 years.	
16.	RESPIRATOR PROGRAM RECORDS Includes respirator fit test records.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	

*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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<i>ITEM #</i>	<i>STANDARD-16: RISK MANAGEMENT RECORDS</i>		
	<i>RECORD SERIES TITLE</i>	<i>DISPOSITION INSTRUCTIONS</i>	<i>CITATION</i>
17.	SELF-INSURER CERTIFICATION FILE	Destroy in office 6 years from date of termination or settlement of all claims.	
18.	U.S. BUREAU OF LABOR STATISTICS AND SUMMARY FILE	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	

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

REQUEST FOR CHANGE IN RECORDS SCHEDULE

TO Assistant Records Administrator
N.C. Division of Archives and Records
Government Records Section
4615 Mail Service Center
Raleigh, NC 27699-4615

FROM Name _____
County _____
Agency or department _____
Phone _____

INSTRUCTIONS
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.

CHANGE REQUESTED

_____ Add a new item
_____ Delete an existing item Standard Number _____ Page _____ Item Number _____
_____ Change an retention period Standard Number _____ Page _____ Item Number _____

TITLE OF RECORDS SERIES IN SCHEDULE OR PROPOSED TITLE

INCLUSIVE DATES OF RECORDS _____ **VOLUME OF RECORDS IN LINEAR INCHES** _____

DESCRIPTION OF RECORDS

PROPOSED RETENTION PERIOD

Requested by: _____, _____, _____
Signature Title Date

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AGENDA ITEM 10:**MISCELLANEOUS ADMINISTRATIVE MATTERS***C. Boards & Commissions***MANAGER'S COMMENTS:**

An appointment to the Economic Development Commission was tabled at the May 21, 2013, meeting to allow for a second reading. Commissioner Kennedy had submitted the nomination of Ms. Evelyn Asher, Coordinator of Caldwell Community College & Technical Institute's Small Business Center and an application was also received from Mr. Robert Olsen stating interest in serving on the EDC.

The Region D Development Corporation is a Certified Development Company that assists the US Small Business Administration in delivering small business loans to the region. They also assist in marketing and packaging loans for small businesses throughout the region. Per their bylaws, each county is required to appoint four persons to serve as members of the Development Corporation in May of each year. Representative categories are local government (1), private lending institution (1), and community organization or a business organization (2). Following is a list of current appointees: Mr. John Spear (Local Government); Mr. Brian Crutchfield (Community Organization); Mr. Jim Furman (Business Organization); and Mr. Brian Riggins (Private Lending Institution). You may wish to reappoint those serving or appoint new members.

The above are second readings and, therefore, action may be taken if so desired.

The Voluntary Farmland Preservation Program Advisory Board recently nominated Ms. Jennifer Miller for an appointment to their Board.

The above is a first reading and, therefore, no action is required at this time.

Volunteer Application Watauga County Boards And Commissions

If you are a Watauga County resident, at least 18 years old, and willing to volunteer your time and expertise to your community, please complete the application below and click on Print Form. Please sign and mail or fax to:

*Watauga County Commissioners' Office
814 West King Street, Suite 205
Boone, NC 28607
Phone: (828) 265-8000
Fax: (828) 264-3230*



Name: Robert R. Olsen

Home Address: 338 Sunset Mountain Road

City: Boone

Zip: 28607

Telephone: (H) 828-963-4088

(W) 828-386-1116

(Fax) 828-386-1119

Email: olsen_robby@yahoo.com

Place of Employment: Appalachian Law Center

Job Title: Mediator/Attorney at Law

In Order To Assure County wide Representation Please Indicate Your Township Of Residence:

- | | | |
|-------------------------------------|--|------------------------------------|
| <input type="radio"/> Bald Mountain | <input type="radio"/> Stony Fork | <input type="radio"/> Watauga |
| <input type="radio"/> New River | <input checked="" type="radio"/> Brushy Fork | <input type="radio"/> Cove Creek |
| <input type="radio"/> Beaver Dam | <input type="radio"/> Meat Camp | <input type="radio"/> Shawneehaw |
| <input type="radio"/> Blue Ridge | <input type="radio"/> Blowing Rock | <input type="radio"/> Laurel Creek |
| <input type="radio"/> Elk | <input type="radio"/> North Fork | <input type="radio"/> Boone |

In addition, Please Indicate If You Live In One Of The Following Areas:

- | | |
|--|--|
| <input type="radio"/> Foscoe-Grandfather Community | <input type="radio"/> Valle Crucis Historic District |
| <input type="radio"/> Howards Creek Watershed | <input type="radio"/> Winklers Creek Watershed |
| <input type="radio"/> South Fork New River Watershed | <input type="radio"/> Extraterritorial Area |

We Ask Your Help In Assuring Diversity Of Membership By Age, Gender, And Race, By Answering The Following Questions

- | | | |
|---------------------------------------|--|--------------------------------|
| Gender | Ethnic Background | |
| <input checked="" type="radio"/> Male | <input type="radio"/> African American | <input type="radio"/> Hispanic |
| <input type="radio"/> Female | <input checked="" type="radio"/> Caucasian | <input type="radio"/> Other |
| | <input type="radio"/> Native American | |

Please List (In Order Of Preference) The Boards/Commissions On Which You Would Be Willing To Serve.

1.
2.
3.

Volunteer Application
Watauga County Boards And Commissions
(Continued)

Please list any work, volunteer, and/or other experience you would like to have considered in the review of your application.

Work
Experience:

MEDIATOR/ARBITRATOR/ATTORNEY & COUNSELLOR AT LAW – Appalachian Law Center (Appalachian Mediation and Collaborative Law Center, Appalachian Community Law Center, Olsen & McMurray, PLLC) – Boone, NC
May, 2010 – Present

VICE PRESIDENT – SNN Local News 6 (LDB Media, LLC) – Sarasota, FL
December, 2008 – May, 2010, PART-OWNER, December, 2008 – Present

VICE PRESIDENT, SALES & MARKETING – Herald-Tribune Media Group, Sarasota, FL
A division of the New York Times Company
August, 2007 – September, 2008

VICE PRESIDENT, ADVERTISING – The Palm Beach Post, West Palm Beach, FL
A division of COX Enterprises, Inc.
August, 2002 – August, 2007

Volunteer
Experience:

- Certified Mediator (Volunteer) for the State of N.C. Office of State Personnel
- Past Director/Member: Boone Area Chamber of Commerce, Boone, NC
- Member: Downtown Boone Development Authority, Boone, NC
- Member: Watauga Leadership Challenge (Class of 2013), Boone, NC
- Member: North Carolina State Bar Call4All (pro bono legal services)
- Past President of the Board: Child Protection Center, Sarasota, FL
- Past Chairman: Florida Press Services, Inc.
- Former Board Director: Downtown Sarasota Partnership, Sarasota, FL
- Former Director and Executive Committee Member: Chamber of Commerce of the Palm Beaches
- Former Board Director, Bayshore Regional Health Authority, Matawan, NJ
- Past President and Captain: Matawan First Aid & Rescue Squad, Matawan, NJ

Other
Experience:

Juris Doctor
M.S. – Mediation and Applied Conflict Studies
B.A. – Speech/Communications
Graduate Certificate - Non-profit Management

- Certified Superior Court Mediator by the N.C. Dispute Resolution Commission
- Certified Family Financial Mediator by the N.C. Dispute Resolution Commission
- Certified Mediator for the State of N.C. Office of State Personnel
- Certified Mediator for the State of N.C. Industrial Commission
- Certified Arbitrator for the N.C. 24th Judicial District
- State of North Carolina Notary Public
- Member: North Carolina State Bar and North Carolina Bar Association
- Member: Association for Conflict Resolution
- Graduate: Leadership Palm Beach County

Other
Comments:

Signature:



Date: 5/8/13

REGION D DEVELOPMENT CORPORATION, INC.

SERVING ALLEGHANY, ASHE, AVERY, MITCHELL, WATAUGA, WILKES & YANCEY COUNTIES
AN SBA CERTIFIED DEVELOPMENT CORPORATION

MEMORANDUM

468 New Market Blvd.
Boone, NC 28607

Phone: 828-265-5437

Fax: 828-265-5439

E-mail: ptrew@regiond.org

TO: County Managers in High Country Region

FROM: Phillip Trew, AICP *PT*
Director, Planning and Development

SUBJECT: Region D Development Corporation Membership Appointments

DATE: May 10, 2013



According to the By-Laws of the Region D Development Corporation, Boards of County Commissioners are requested each year to appoint **four** persons to serve as members of the Development Corporation. Of the four members appointed, **one** shall be a full-time employee of a private lending institution, **one** shall be a person designated as a local government representative, and **two** shall be representatives of business and community organizations. Please find enclosed a copy of the 2012-13 member appointments. You may wish to reappoint these current members or to appoint new members.

The Region D Development Corporation is a Certified Development Company (CDC), and partners with lending institutions and the US Small Business Administration (SBA) to deliver the SBA 504 Loan Program. The Development Corporation contracts with Kendrick and Associates (Bob Kendrick, owner) for assistance in marketing and packaging loans for small businesses throughout the region.

Please schedule these appointments for an upcoming board meeting, and notify me by mail or email of your appointments when they are made. With new appointments, please include their address, employment, email address, and telephone number. Thank you for your assistance.

Please give me a call if you have any questions.

Enclosure

cc: Rick Herndon, Executive Director



Region D Development Corporation, Inc. 2012-13 Board of Directors

COUNTY	NAME	ORGANIZATION
Alleghany	Don Adams	Local Government
Alleghany	Bryan Edwards	Community Organization
Alleghany	Dennis Gambill	Private Lending Institution
Alleghany	Russell Sheets	Business Organization
Ashe	Martin Little	Private Lending Institution
Ashe	Pat Mitchell	Local Government
Ashe	Karen Powell	Business Organization
Ashe	Kay Sexton	Business Organization
Avery	Tommy Bureson	Community Organization
Avery	Daryl Smith	Business Organization
Avery	Tena Trice	Private Lending Institution
Avery	Robert Wiseman	Local Government
Mitchell	Dean Duncan	Private Lending Institution
Mitchell	Doug Harrell	Community Organization
Mitchell	Joe Street	Local Government
Mitchell	Doug Young	Business Organization
Watauga	John Spear	Local Government
Watauga	Brian Crutchfield	Community Organization
Watauga	Jim Furman	Business Organization
Watauga	Brian Riggins	Private Lending Institution
Wilkes	Dr. Keith Bentley	Business Organization
Wilkes	Gary L. Blevins	Local Government
Wilkes	Fay Byrd	Community Organization
Wilkes	Johann Louchez	Private Lending Institution
Yancey	Nathan Bennett	Local Government
Yancey	Ron Deyton	Private Lending Institution
Yancey	Walter Savage	Community Organization
Yancey	John Young	Business Organization

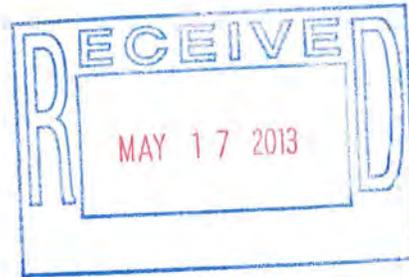
Officers	
President	Dr. Patricia Mitchell
Vice President	Brian Crutchfield
Secretary/Treasurer	Johann Louchez
Asst. Sec./Treas.	Phil Trew



WATAUGA COUNTY FARMLAND PRESERVATION PROGRAM
971 WEST KING STREET
BOONE NC 28607-3468

ADVISORY BOARD

*KELLY COFFEY, CHAIR
JOHNNY MORETZ
VIRGINIA WARD
JOE MCNEIL*



May 13th, 20013

Watauga County Board of Commissioners,
Courthouse, Suite 1
842 West King Street
Boone, NC 28607

Dear Commissioners,

At our May 13th quarterly meeting , the board voted to have Jennifer Miller to sit on the Voluntary Farmland Preservation Program Advisory Board. We are requesting for the Board of Commissioners to appoint Jennifer Miller to our Voluntary Farmland Preservation Program Advisory Board.

Sincerely,

Kelly Coffey
Chairman, Watauga County Farmland Preservation

PHONE: 828-264-0842
FAX: 828-264-3067

AGENDA ITEM 10:

MISCELLANEOUS ADMINISTRATIVE MATTERS

D. Announcements

MANAGER'S COMMENTS:

AGENDA ITEM 11:

PUBLIC COMMENT

AGENDA ITEM 12:

BREAK

AGENDA ITEM 13:

CLOSED SESSION

Attorney/Client Matters – G. S. 143-318.11(a)(3)