



TOWN OF CHAPEL HILL

Town Council Meeting Agenda

Town Hall
405 Martin Luther King Jr.
Boulevard
Chapel Hill, NC 27514

Mayor Pam Hemminger
Mayor pro tem Jessica Anderson
Council Member Donna Bell
Council Member Allen Buansi
Council Member Hongbin Gu

Council Member Nancy Oates
Council Member Michael Parker
Council Member Karen Stegman
Council Member Rachel Schaevitz

Wednesday, April 24, 2019 7:00 PM RM 110 | Council Chamber

OPENING

PUBLIC COMMENT FOR ITEMS NOT ON PRINTED AGENDA AND PETITIONS FROM THE PUBLIC AND COUNCIL MEMBERS

Petitions and other similar requests submitted by the public, whether written or oral, are heard at the beginning of each regular meeting. Except in the case of urgency and unanimous vote of the Council members present, petitions will not be acted upon at the time presented. After receiving a petition, the Council shall, by simple motion, dispose of it as follows: consideration at a future regular Council meeting; referral to another board or committee for study and report; referral to the Town Manager for investigation and report; receive for information. See the Status of Petitions to Council webpage to track the petition. Receiving or referring of a petition does not constitute approval, agreement, or consent.

ANNOUNCEMENTS BY COUNCIL MEMBERS

CONSENT

Items of a routine nature will be placed on the Consent Agenda to be voted on in a block. Any item may be removed from the Consent Agenda by request of the Mayor or any Council Member.

1. Approve all Consent Agenda Items. [\[19-0369\]](#)
By adopting the resolution, the Council can approve various resolutions and ordinances all at once without voting on each resolution or ordinance separately.
2. Adopt the Recommended 2019-2020 Community Development Block Grant Program Plan. [\[19-0370\]](#)

By adopting the resolution and enacting the ordinance, the Council approves the recommended 2019-2020 Community Development Block Grant Program Plan and authorizes the Town Manager to include this 2019-2020 Annual Action Plan in the 2015-2019 Consolidated Plan update for submission to the U.S. Department of Housing and Urban Development.

- 3.** Adopt the Recommended 2019-2020 Capital Fund Plan for the Town's Public Housing Program. [\[19-0371\]](#)

By adopting the resolution, the Council approves the recommended 2019-2020 Capital Fund Program Plan and authorizes the Town Manager to submit the 2019-2020 Annual Plan to the U.S. Department of Housing and Urban Development. Enacting the ordinance establishes the project budget for the 2019-2020 Capital Fund Program.

- 4.** Authorize the Town Manager to Begin Negotiations with Potential Development Partners for the Redevelopment of the Trinity Court and Craig Gomains Public Housing Neighborhoods. [\[19-0372\]](#)

By adopting the resolution, the Council authorizes the Town Manager to enter into negotiations with a development partner to redevelop the Trinity Court and Craig Gomains public housing communities.

- 5.** Adopt the 2019 Municipal Retention and Disposition Schedule. [\[19-0373\]](#)

By adopting the resolution, the Council adopts the 2019 Municipal Records Retention and Disposition Schedule, including the added locally-defined administrative values of records as presented in the April 24, 2019 meeting materials. This Schedule supersedes the Schedule adopted by the Town Council in 2014.

INFORMATION

- 6.** Receive Upcoming Public Hearing Items and Petition Status List. [\[19-0374\]](#)

By accepting the report, the Council acknowledges receipt of the Scheduled Public Hearings and Status of Petitions to Council lists.

DISCUSSION

- 7.** Consider Staff Response to Environmental Stewardship Advisory Board Rooftop Solar Petition. [\[19-0375\]](#)

PRESENTER: John Richardson, Community Resilience Officer

RECOMMENDATION: That the Council consider the attached legal

opinion and provide feedback to the Manager about any additional steps that should be taken.

- 8.** Consider a Memorandum of Understanding and Agreement for Sharing Costs for Improvements to High School Road in Conjunction with the Chapel Hill-Carrboro City Schools Chapel Hill High School Redevelopment and Maintenance Building Projects.

[\[19-0376\]](#)

PRESENTER: Maurice Jones, Town Manager

RECOMMENDATIONS: That the Council approve the Memorandum of Understanding and Agreement to adjust the High School Road improvement plans and to share the costs of the road improvements.

That the Council enact the attached budget ordinance amendment to allocate funding up to \$200,000 as the Town's share of the bicycle/pedestrian improvements. The Town would also cover expenses associated with the SUP-stipulated bus shelter within this monetary limit.

- 9.** Discuss Draft Financial Policy Guidelines.

[\[19-0377\]](#)

PRESENTER: Amy Oland, Business Management Director

RECOMMENDATION: That the Council receive and provide feedback on the draft financial policy statements.

REQUEST FOR CLOSED SESSION TO DISCUSS ECONOMIC DEVELOPMENT, PROPERTY ACQUISITION, PERSONNEL, AND/OR LITIGATION MATTERS



Item Overview

Item #: 1., File #: [19-0369], Version: 1

Meeting Date: 4/24/2019

Approve all Consent Agenda Items.**Staff:**

Sabrina M. Oliver, Director and Town Clerk
Amy T. Harvey, Deputy Town Clerk

Department:

Communications and Public Affairs

Overview: Items of a routine nature to be voted on in a block. Any item may be removed from the Consent Agenda by the request of the Mayor or any Council Member.

**Recommendation(s):**

That the Council adopt the various resolutions and ordinances.

Fiscal Impact/Resources: Please refer to each agenda item for specific fiscal notes.

Council Goals: Please refer to each agenda item for specific Council Goals.

**Attachments:**

- Resolution

**A RESOLUTION ADOPTING VARIOUS RESOLUTIONS AND ENACTING VARIOUS ORDINANCES
(2019-04-24/R-1)**

BE IT RESOLVED by the Council of the Town of Chapel Hill that the Council hereby adopts the following resolutions and ordinances as submitted by the Town Manager in regard to the following:

2. Adopt the Recommended 2019-2020 Community Development Block Grant Program Plan. (R-2)(O-1)
3. Adopt the Recommended 2019-2020 Capital Fund Plan for the Town's Public Housing Program. (R-3)(O-2)
4. Authorize the Town Manager to Begin Negotiations with Potential Development Partners for the Redevelopment of the Trinity Court and Craig Gomains Public Housing Neighborhood. (R-4)
5. Adopt the 2019 Municipal Retention and Disposition Schedule. (R-5)

This the 24th day of April, 2019.

The Agenda will reflect the text below and/or the motion text will be used during the meeting.

By adopting the resolution, the Council can approve various resolutions and ordinances all at once without voting on each resolution or ordinance separately.

TOWN OF CHAPEL HILL

Town Hall
405 Martin Luther King Jr.
Boulevard
Chapel Hill, NC 27514



Item Overview

Item #: 2., File #: [19-0370], Version: 3

Meeting Date: 4/24/2019

Adopt the Recommended 2019-2020 Community Development Block Grant Program Plan.**Staff:**

Loryn Clark, Executive Director
Nate Broman-Fulks, Affordable Housing Manager
Renée Moye, Community Development Program Manager

Department:

Housing and Community

Overview: The recommended Community Development Block Grant (CDBG) program plan includes the Town's 2019-2020 CDBG allocation of \$386,584 from the U.S. Department of Housing and Urban Development (HUD). On [March 20, 2019 <https://chapelhill.legistar.com/LegislationDetail.aspx?ID=3891433&GUID=DB318A9C-147B-40BA-A4F9-FA96DA9802F2>](https://chapelhill.legistar.com/LegislationDetail.aspx?ID=3891433&GUID=DB318A9C-147B-40BA-A4F9-FA96DA9802F2), the Council held a public forum on a preliminary plan for use of 2019-2020 funds.

**Recommendation(s):**

That the Council:

1. Adopt the attached resolution approving the recommended 2019-2020 Community Development Program Plan for use of \$386,584;
2. Authorize the Town Manager to submit the 2019-2020 Community Development Annual Action Plan to the U.S. Department of Housing and Urban Development as part of the annual update to the 2015-2019 Consolidated Plan; and
3. Enact the attached project ordinance to establish the CDBG budget for the 2019-2020 program.

Summary of Recommended Plan

Affordable Housing		
Town of Chapel Hill	Neighborhood Revitalization	\$169,728
Community Home Trust	Homebuyer Assistance	30,000
Habitat for Humanity	Home Preservation	27,000
Town of Chapel Hill	Code Enforcement	25,000
Public Services		
Inter-Faith Council	HomeStart Case Management	28,500
Town of Chapel Hill	Summer Youth Employment Program	27,000
Exchange Club's Family Center	Children's Parenting Classes	2,040
Administration	Grant Administration/HUD Compliance & Reporting	77,316
Total		\$386,584

Background

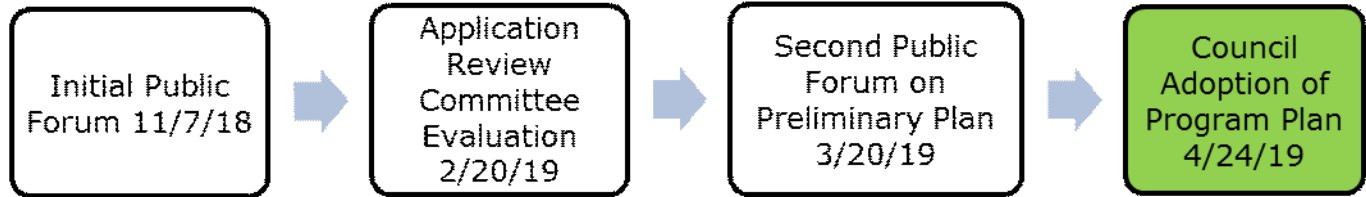
- The 2019-2020 CDBG funding process is outlined below:
 - On [November 7, 2018 <https://chapelhill.legistar.com/LegislationDetail.aspx?ID=3717570&GUID=9A856CDB-BF17-4FCF-A7D6-3FDCFE7EE28C>](https://chapelhill.legistar.com/LegislationDetail.aspx?ID=3717570&GUID=9A856CDB-BF17-4FCF-A7D6-3FDCFE7EE28C), Council held a public forum to receive comments on the Town's community development needs and potential uses of 2019-2020 CDBG funds.
 - On November 6, 2018, 2019-2020 funding applications were posted and available on the Town's website.
 - On November 27, 2018, and December 18, 2018 Chapel Hill Town staff, jointly with staff from the Town of Carrboro and Orange County, held a funding application workshop for applicants.
 - On January 8, 2019, staff jointly held an information session for applicants.
 - January 22, 2019 was the submission deadline for 2019-2020 CDBG funding applications.
 - On February 12 and February 22, 2019, the CDBG Application Review Committee met to review and evaluate applications received and make a recommendation for allocations.
 - On March 20, 2019, the Council held a public forum to receive comments on a 2019-2020 preliminary CDBG Program Plan.
- Once the Council approves the CDBG Program Plan:
 - Staff submits the Plan to HUD, as part of the annual update to the 2015-2019 Consolidated Plan.
 - The approved annual CDBG plans are posted on the [Town's CDBG website <https://www.townofchapelhill.org/town-hall/departments-services/housing-and- >](https://www.townofchapelhill.org/town-hall/departments-services/housing-and-).
 - Each year, the Town enters into Performance Agreements with subrecipients, according to the approved program plan
 - Performance Agreements with subrecipients include federal rules and regulations, accomplishments and goals specific to the program (as outlined in the submitted funding application), and the reporting and compliance requirements in order to receive funds.
- CDBG funds are provided on a reimbursement basis for eligible expenses according to the budget and identified goals in the funding applications. Funds are disbursed upon submission of satisfactory documentation of accomplishments, expenses, and compliance with federal rules and regulations.

Key Issues:

- The recommended Plan includes an allocation of \$386,584 of grant funds.
- In April, we were notified of an 8% (\$31,760) decrease of funding, compared to 2018-2019.
- The recommended Plan includes funding for Neighborhood Revitalization. This activity sets aside funds for unidentified projects such as second mortgage assistance; property acquisition and/or renovation; code enforcement; demolition; public housing improvements; public improvements such as installation of sidewalks; curb and gutter improvements; or parks and recreation facilities. Funds could be used Town-wide and projects can be approved by the Town Manager.
- The Plan recommends funding the following projects:
 - Key Town projects: the Summer Youth Employment Program, code enforcement, neighborhood revitalization, and program administration.
 - Continued support for affordable housing, community development, and public service programs operated by the Community Home Trust, Habitat for Humanity, Inter-Faith Council (IFC), and the Exchange Club's Family Center.

Fiscal Impact/Resources: The Town enters into performance agreements with non-profit agencies and provides Community Development Block Grant funds to them for affordable housing and public service projects as grants. These funds are not repaid to the Town.

Where is this item in its process?



Next Steps

- The Plan approved by Council will be submitted to HUD as part of the Annual Update to the 2015-2020 Consolidated Plan. The Town will compile and incorporate all comments received in writing and at public forums into the Community Development Annual Plan.

Council Goals:

<input checked="" type="checkbox"/>		Create a Place for Everyone	<input type="checkbox"/>		Develop Good Places, New Spaces
<input type="checkbox"/>		Support Community Prosperity	<input type="checkbox"/>		Nurture Our Community
<input type="checkbox"/>		Facilitate Getting Around	<input type="checkbox"/>		Grow Town and Gown Collaboration

Attachments:

- Resolution Approving the 2019-2020 Community Development Block Grant Program Plan
- Project Ordinance Establishing the 2019-2020 Community Development Block Grant Plan Budget
- Summary of 2019-2020 Community Development Block Grant Recommended Program Plan
- Draft Executive Summary of the 2019-2020 Community Development Block Grant Annual Update to the 2015-2019 Consolidated Plan

A RESOLUTION APPROVING THE 2019-2020 COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM (2019-04-24/R-2)

WHEREAS, the Council of the Town of Chapel Hill held two public forums to receive public input on use of 2019-2020 Community Development Block Grant funds; and

WHEREAS, the U.S. Department of Housing and Urban Development has notified the Town of the 2019-2020 Community Development Block Grant allocation of \$386,584.

NOW, THEREFORE, BE IT RESOLVED by the Council of the Town of Chapel Hill that based on the Town's allocation of \$386,584 of Community Development Block Grant funds, the Town of Chapel Hill Town Council approves the following 2018-2019 Community Development Block Grant Program Plan:

Affordable Housing		
Town of Chapel Hill	Neighborhood Revitalization	169,728
Community Home Trust	Homebuyer Assistance	30,000
Habitat for Humanity	Home Preservation	27,000
Town of Chapel Hill	Code Enforcement	25,000
Public Services		
Inter-Faith Council	HomeStart Case Management	28,500
Town of Chapel Hill	Summer Youth Employment Program	27,000
Exchange Club's Family Center	Children's Parenting Classes	2,040
Administration	Grant Administration/HUD Compliance & Reporting	77,316
Total		\$386,584

BE IT FURTHER RESOLVED that the Council authorizes the Manager to include this 2019-2020 Annual Action Plan in the 2015-2019 Consolidated Plan, for submission to the U.S. Department of Housing and Urban Development.

This the 24th day of April, 2019.

AN ORDINANCE TO ESTABLISH THE 2019-2020 COMMUNITY DEVELOPMENT ENTITLEMENT GRANT PROJECT ORDINANCE (2019-04-24/O-1)

BE IT ORDAINED by the Council of the Town of Chapel Hill that pursuant to Section 13.2 of Chapter 159 of the General Statutes of North Carolina, the following grant project is hereby established:

"SECTION I

The projects authorized are the Community Development projects as approved by the Council on April 10, 2019: funds are as contained in the Funding Approval and Grant Agreement between the Town and the U.S. Department of Housing and Urban Development (HUD). The projects are known more familiarly as the 2019 Entitlement Community Development Block Grant. The grant activities include renovation of public housing, homebuyer assistance programs, community services to low-income residents, and administration costs for the program.

SECTION II

The Manager of the Town of Chapel Hill is hereby directed to proceed with the grant project within the terms of the grant document(s), the rules and regulations of the U.S. Department of Housing and Urban Development, and the budget contained herein.

SECTION III

The following revenues are anticipated to be available to complete the project:

	Current Budget
Community Development Block Grant	\$ <u>386,584</u>
Total Revenues	\$ 386,584

SECTION IV

Amounts appropriated for projects are as follows:

Current Budget

Public Services

Inter-Faith Council	HomeStart Case Management	\$	28,500
Town of Chapel Hill	Summer Youth Employment Program		27,000
Exchange Club's Fam	Children's Parents Parenting		2,040

Affordable Housing

Town of Chapel Hill	Neighborhood Revitalization		169,728
Town of Chapel Hill	Code Enforcement		25,000
Community Home Trust	Homebuyer Assistance		30,000
Habitat for Humanity	Home Preservation		27,000

Administration

Town of Chapel Hill	Grant Administration/HUD Compliance		<u>77,316</u>
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Total Expenditures		\$	386,584
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SECTION V

The Manager is directed to report annually on the financial status of the project in an informational section to be included in the Annual Budget, and shall keep the council informed of any unusual occurrences.

SECTION VI

Copies of this amended projects ordinance shall be entered into the minutes of the Council and copies shall be filed within five days of adoption with the Manager, Business Management Director and Town Clerk."

This the 24th day of April, 2019.

The Agenda will reflect the text below and/or the motion text will be used during the meeting.

By adopting the resolution and enacting the ordinance, the Council approves the recommended 2019-2020 Community Development Block Grant Program Plan and authorizes the Town Manager to include this 2019-2020 Annual Action Plan in the 2015-2019 Consolidated Plan update for submission to the U.S. Department of Housing and Urban Development.

Summary of Funding Requests and Preliminary Recommendations

The summary below reflects staff's recommendation for funding the requests below, in the total amount of \$386,584.

Affordable Housing

1. Town of Chapel Hill Requests

Neighborhood Revitalization Activities: \$169,728

Town staff requests that the Council budget funds for neighborhood revitalization activities throughout Town. Activities would serve households earning less than 80% of the HUD published area median income. Funds could be used for the following activities: second mortgage assistance; property acquisition and/or renovation; code enforcement; demolition; public housing improvements; public improvements such as installation of sidewalks; curb and gutter improvements; or parks and recreation facilities.

The Town Manager would approve projects, which must demonstrate compliance with Town policies and federal regulations.

Code Enforcement: \$25,000

Town staff requests funds to continue to support the Town's enforcement initiatives identified as a priority in the Northside and Pine Knolls Community Plan. Funds would pay for a portion of salaries for code enforcement staff providing enforcement efforts in the Northside and Pine Knolls neighborhoods.

2. **Community Home Trust – Homebuyer Assistance Program: \$30,000**

The Community Home Trust requests funds for its Homebuyer Assistance Program. These funds would be used to make land trust homes more affordable to households earning between 60% and 80% of the area median income

3. **Habitat for Humanity – Home Preservation: \$27,000**

Habitat for Humanity requests funds for its Home Preservation program. The Home Preservation program addresses the needs of low-income homeowners for repairs, accessibility modifications, and beautification. This initiative would focus on homes in the Northside, Pine Knolls, and Rogers Road neighborhoods. This project would serve households earning less than 80% of the area median income.

Public Services

Prepared by: Town of Chapel Hill Housing and Community staff
February 20, 2019

The use of funds for public services that benefit households earning less than 80% of the area median income is eligible under federal Community Development regulations. Examples of public service activities include programs focusing on employment, crime prevention, child care, healthcare, drug abuse, education, fair housing counseling, energy conservation, homebuyer down payment assistance or recreational needs. The amount of Community Development funds used for public services is capped at 15% of the Town's Community Development grant.

1. **InterFaith Council For Social Service (IFC): \$28,500**

IFC requests funds to continue salary support of a full-time case manager for the HomeStart residential program to assist families experiencing homelessness in obtaining shelter and securing permanent affordable housing.

2. **Town of Chapel Hill Summer Youth Employment Program: \$27,000**

Town staff requests funds for the Summer Youth Employment Program. This program provides job skills training, employment experience, and economic opportunities to Chapel Hill youth aged 14-18 whose families earn less than 80% of the area median income, with the majority being from households earning less than 30% of the area median income. Many of the participants serve as interns in Town departments. Last summer, there were over thirty participants in the program, and this year, the Office for Housing and Community proposes enrolling the same number. The Council has allocated Community Development funds to support this program since 1994.

3. **Exchange Club's Family Center of Alamance County: \$2,040**

The Exchange Club's Family Center requests funds to support Children's Parents Parenting classes to provide parenting classes to families at-risk for and/or involved in child abuse or neglect. Professionally trained instructors use tested curricula to teach the parents and trained childcare workers provide trauma-informed care and instruction to the children of the parents in the classes during class times.

Program Administration: \$77,316

Town staff requests that the Council allocate funds to support oversight of the Community Development program and related affordable housing programs, as well as coordination with the U.S. Department of Housing and Urban Development, and agencies that receive funding to maintain compliance with federal regulations.

Executive Summary

AP-05 Executive Summary - 91.200(c), 91.220(b)

1. Introduction

The Town of Chapel Hill, North Carolina, is an entitlement community for the Community Development Block Grant Program (CDBG) as defined by the U.S. Department of Housing and Urban Development (HUD). The Town is also a member of the Orange County HOME Consortium in partnership with Orange County, the Town of Carrboro, and the Town of Hillsborough. Orange County is the lead entity in the Consortium and therefore is responsible for preparation and submission of the Five Year Consolidated Plan. Since the Town of Chapel Hill is a member of the Consortium, HUD has determined that the County is permitted to submit one Consolidated Plan that details the needs of the entire County, including Chapel Hill. The Five Year Consolidated Plan establishes the Consortium's goals for the next five (5) years and outlines the specific initiatives the Consortium and its member jurisdictions will undertake to address the Community's housing and community development needs. The Town of Chapel is submitting an Action Plan to provide information about its CDBG program.

The Town of Chapel Hill has received Community Development grants since 1975 under the federal Housing and Community Development Act of 1974. This legislation provides funds to cities and counties to carry out activities that benefit low- and moderate-income families including: housing repair, public improvements, acquiring land for housing and economic development. For many years, the Town has used CDBG funds to renovate public housing, provide homeownership assistance, to support public services that serve low and moderate income households, and provide infrastructure improvements.

The primary objective of the Community Development program is to develop viable urban communities, by providing decent housing and a suitable living environment and expanding economic opportunities for low- and moderate-income households. Federal regulations define low-income as up to 50% of the median income and moderate-income as up to 80% of the median family income.

2. Summarize the objectives and outcomes identified in the Plan

The following six (6) priorities and subsequent goals/strategies have been identified for the Orange County HOME Consortium for the period of FY 2015 through FY 2019 for the HOME Investment Partnerships (HOME) Program, and the Town of Chapel Hill's Community Development Block Grant (CDBG) Program.

HOUSING PRIORITY – (High Priority)

There is a need to improve the availability and quality of the housing stock in the County by increasing the amount of decent, safe, sound, and accessible housing for homeowners, renters, and homebuyers that is affordable to low- and moderate-income persons and families.

Strategies include support of acquisition, housing rehabilitation, new housing construction, fair housing education and outreach, homeownership, and public housing.

HOMELESS PRIORITY – (High Priority)

There is a need for housing and support services for homeless persons, and persons who are at-risk of becoming homeless. Strategies include supporting the Continuum of Care, providing operation assistance and support services, prevention of homelessness and rapid rehousing programs, support rehabilitation and accessibility improvements to existing facilities that serve the homeless, and supporting the development of permanent supportive housing for homeless individuals and families.

OTHER SPECIAL NEEDS PRIORITY – (High Priority)

There is a continuing need for affordable housing, services, and facilities for persons with special needs, the elderly, and the disabled. Strategies include increasing the supply of housing for the elderly, persons with disabilities, and person with other special needs, supporting social service programs for this population, and improving accessibility of owner occupied housing.

COMMUNITY DEVELOPMENT PRIORITY – (High Priority)

There is a need to improve the public and community facilities, infrastructure, public services, and the quality of life for all residents in the County. Strategies for achieving this objective include improving community facilities, infrastructure, public services including public safety and municipal services, code enforcement, clearance of dilapidated structures and neighborhood revitalization.

ECONOMIC DEVELOPMENT PRIORITY – (High Priority)

There is a need to increase employment, self-sufficiency, education, job training, technical assistance, and economic empowerment of low and moderate income residents in the County.

Strategies include supporting and encouraging job creation and retention and training services, financial assistance to businesses, and promoting redevelopment of distressed areas.

ADMINISTRATION, PLANNING, AND MANAGEMENT PRIORITY – (High Priority)

There is a continuing need for planning, administration, management, and oversight of Federal, state, and local funded programs as well as an increase for cooperation amongst public and private partners and the communities in the Consortium. The Town’s strategy for overall coordination is to provide program management and oversight for the successful administration of Federal, state, and local funded programs.

3. Evaluation of past performance

The Town of Chapel Hill and Orange County have a good performance record with HUD. The Town and County regularly meet the performance standards established by HUD. Each year the County, in partnership with the Town and other Consortium members, prepares its Consolidated Annual Performance Evaluation Report (CAPER). The Town submits detailed information about expenditures for and accomplishments of the CDBG program. This report is submitted within ninety (90) days after the start of the new program year. Copies of the CAPER are available for review at Orange County Housing, Human Rights, and Community Development Department, 300 W. Tryon Street, Hillsborough, NC and in Chapel Hill Town Hall.

The FY 2017 CAPER, was approved by HUD. In the FY 2017 CAPER, the Town of Chapel Hill expended 100% of its CDBG funds to benefit low- and moderate-income persons. The Town expended 14% of its funds during the FY 2017 CAPER period on public service, which is below the statutory maximum of 15%. The Town expended 17% of its funds during this CAPER period on Planning and Administration, which meets the statutory maximum of 20%. The Town is in compliance with the required 1.5 maximum drawdown ratio.

4. Summary of Citizen Participation Process and consultation process

Summary from citizen participation section of plan.

The Town of Chapel Hill, in compliance with its Citizen Participation Plan, advertised and held two (2) public forums on the Town’s housing and community development needs. The forums provided residents with the opportunity to discuss the Town’s CDBG Program.

Additionally, the County held public hearings. Draft plan review comments were all used to develop the Consolidated Plan.

5. Summary of public comments

The Town held its first public forum on housing and community development needs on [November 7, 2018](#) at 7:00 pm. Comments received at that public hearing are included in the attachments at the end of this Plan. A second forum was held on [March 20, 2019](#) at 7:00 pm to receive comments on a

preliminary plan for use of FY2019 CDBG funds. The Council adopted the 2019-2020 CDBG and HOME Program Annual Action Plans, and approved the submission of the Annual Update to the Consolidated Plan on _____ (tentatively scheduled for April 24, 2019).

Comments received at the public forums are included in the Attachments section at the end of this Action Plan.

6. Summary of comments or views not accepted and the reasons for not accepting them

All comments and suggestions that were received to date, have been accepted, attached, and incorporated into the plan documents.

7. Summary

In addition to the 2 public forums, the Town, in collaboration with Orange County, and the Towns of Carrboro and Hillsborough, held 2 Application Orientation Workshops on November 27 and December 18, 2018 and 1 Application Q&A Session held on January 8, 2019.

PR-05 Lead & Responsible Agencies - 91.200(b)

1. Agency/entity responsible for preparing/administering the Consolidated Plan

The following are the agencies/entities responsible for preparing the Consolidated Plan and those responsible for administration of each grant program and funding source.

Agency Role	Name	Department/Agency
CDBG Administrator	CHAPEL HILL	Office for Housing and Community

Table 1 – Responsible Agencies

Narrative

The Town of Chapel Hill is a member of the Orange County HOME Consortium, and Orange County serves as the Lead Agency. The Town of Chapel Hill is a CDBG Entitlement community and is responsible for submitting the CDBG Action Plan. In previous years, the Town's Action Plan was included in the Orange County Annual Update to the Consolidated Plan. The Town's 2015-2019 CDBG Action Plans are included in the 2015-2020 Consolidated Plan, and HUD is requiring the Town to submit a separate Action Plan for the CDBG program.

Consolidated Plan Public Contact Information

Renee Moye, Community Development Program Manager

Annual Action Plan
2019

4



18
TOWN OF CHAPEL HILL

Town Hall
405 Martin Luther King Jr.
Boulevard
Chapel Hill, NC 27514

Item Overview

Item #: 3., File #: [19-0371], Version: 1

Meeting Date: 4/24/2019

Adopt the Recommended 2019-2020 Capital Fund Plan for the Town's Public Housing Program.

Staff:

Loryn B. Clark, Executive Director
Faith M. Thompson, Director

Department:

Housing and Community
Housing and Community - Public Housing

Overview: The Town annually receives Housing Capital Fund grant funds from the U.S. Department of Housing and Urban development (HUD) for comprehensive renovations and improvements in our public housing neighborhoods. On April 16, we received notification from HUD that the FY 2019-2020 award is \$821,793. This amount is approximately 5% (39,550) more than the 2018-2019 allocation.



Recommendation(s):

That the Council:

1. Adopt the attached resolution approving the recommended 2019-2020 Capital Fund program Plan;
2. Enact the attached ordinance establishing the budget for the Capital Fund program Plan;
3. Authorize the Town Manager to submit the 2019-2020 Annual Plan to the U.S. Department of Housing and Urban Development.

Summary of Recommended Plan:

The recommended plan is based on an anticipated grant amount of \$821,793 to be allocated as follows:

- **Public Housing Renovations** **\$639,793**
 - Renovations and repairs designed to renovate, preserve, and protect our aging Public Housing units. This includes, but is not limited to, siding, roofing, interior cabinetry, interior doors, exterior doors, appliance upgrade, and exterior windows
- **Public Housing Master Plan** **\$50,000**
 - Continued contractual relationship with David Paul Rosen & Associates to assist our efforts to secure a developer for Phases I & II of the Rental Assistance Demonstration (RAD) conversion. HUD authorizes use of up to \$50,000 each year to prepare for a RAD conversion project.
- **Professional Services** **\$50,000**
 - Services that assist with management of our properties including translation services, consultants, engineers and landscapers.
- **Administrative Cost** **\$82,000**
 - Funds would be used for administration and coordination of the grant.

Key Issues:







- In February 2019, Housing staff met with residents of public housing to receive comments and suggestions on the use of the Capital Fund grant. Thirty-four residents attended the meeting and

- interpretation services were provided.
- We mailed a survey to all residents inviting them to suggest uses for the Capital Fund Program. The surveys were offered in English, Burmese, and Karen. Thirty-four surveys were completed and returned. This is approximately 11% of head of households (296).
 - Staff considered the comments received during the meeting on February 21, 2019; survey responses; and input received during the Public Housing Master Plan meetings held in December 2018 and January 2019 to develop the recommended activities.
 - Use of the funds as proposed is consistent with the preliminary recommendations for improvements identified in the Public Housing Master Plan.

Next Steps

- If approved by the Council, we would submit the Annual Plan to HUD by April 25, 2019

Council Goals:

<input checked="" type="checkbox"/>		Create a Place for Everyone	<input type="checkbox"/>		Develop Good Places, New Spaces
<input type="checkbox"/>		Support Community Prosperity	<input type="checkbox"/>		Nurture Our Community
<input type="checkbox"/>		Facilitate Getting Around	<input type="checkbox"/>		Grow Town and Gown Collaboration



Attachments:

- Resolution approving the 2019-2020 Capital Fund Plan
- Ordinance to establish the FY2020 CFP Project
- Summary of 2019-2020 Recommended Plan

The Agenda will reflect the text below and/or the motion text will be used during the meeting.

By adopting the resolution, the Council approves the recommended 2019-2020 Capital Fund Program Plan and authorizes the Town Manager to submit the 2019-2020 Annual Plan to the U.S. Department of Housing and Urban Development. Enacting the ordinance establishes the project budget for the 2019-2020 Capital Fund Program.

A RESOLUTION ADOPTING A 2019-2020 CAPITAL FUND PLAN FOR THE TOWN'S PUBLIC HOUSING PROGRAM (2019-04-24/R-3)

WHEREAS, the Town has not yet received confirmation of the 2019-2020 Capital Fund Grant by the U.S. Department of Housing and Urban Development; and

WHEREAS, the 2019-2020 Capital Fund Program grant will provide an estimated \$821,793 for the renovation of Chapel Hill Public Housing properties.

NOW, THEREFORE, BE IT RESOLVED by the Council of the Town of Chapel Hill that based on the Town's estimated allocation of \$821,793 of Capital Fund Program funds the Chapel Hill Town Council approves the following 2019-2020 Capital Grant Program Plan:

<u>Proposed Uses of Funds</u>	
Public Housing Renovations	\$639,793
Professional Services	50,000
Public Housing Master Plan	50,000
Administrative costs	<u>82,000</u>
TOTAL	\$821,793

BE IT FURTHER RESOLVED that the Council authorizes the Town Manager to submit a 2019-2020 Capital Fund Plan to the U.S. Department of Housing and Urban Development for the Town's public housing program.

This the 24th day of April, 2019.

AN ORDINANCE TO AMEND A CAPITAL FUND PROGRAM (CFP) PROJECT
ORDINANCE (2019-04-24/O-2)

BE IT ORDINAINED by the Council of the Town of Chapel Hill that pursuant to Section 13.2 of Chapter 159 of the General Statutes of North Carolina, the following project ordinance is hereby established:

SECTION I

The project authorized is the Housing Capital Fund Project budget as approved by the Council on April 24, 2019.

SECTION II

The Town Manager of the Town of Chapel Hill is hereby directed to proceed with the project within the terms of the Contract document(s), the rules and regulations of the U. S. Department of Housing and Urban Development, and budget contained herein.

SECTION III

The following revenue is available to complete the project:

Capital Fund Program	\$ 821,793
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SECTION IV

The amounts appropriated for the project are amended as follows:

Public Housing Renovations	\$ 639,793
Public Housing Master Plan	50,000
Professional Services	50,000
Administrative Costs	<u>82,000</u>
Total	\$ 821,793

SECTION V

The Finance Officer of the Town of Chapel Hill is hereby directed to maintain within the Project Fund sufficient specific detailed accounting records to provide the accounting to the U. S. Department of Housing and Urban Development as required by the Annual Contributions Contract and federal regulations.

SECTION VI

Funds may be advanced from General funds for the purpose of making payments as due. Reimbursement requests should be made to HUD in an orderly and timely manner.

SECTION VII

The Manager is directed to report annually on the financial status of each project in Section IV and on the total revenues received.”

This the 24th day of April, 2019.

Recommended 2019-2020 Capital Fund Program Plan

The Town uses annual Capital Fund Program grants for comprehensive renovation and improvements in our public housing neighborhoods. Federal regulations prioritize work needed to meet statutory requirements such as:

- Testing for and removing or otherwise controlling lead-based paint;
- Testing for and removing or otherwise controlling asbestos; and
- Renovations to meet the needs of disabled citizens.

We propose the following plan for use of \$821,793 of FY 20 Capital Fund program:

Public Housing Renovations	\$639,793
Public Housing Master Plan	50,000
Professional Services	50,000
Administrative Cost	<u>82,000</u>
	\$821,793

Public Housing Renovations: \$639,793

This year we invested significant resources into the development of a Public Housing Master Plan. The Master Plan was created to address preservation of our existing stock, staff capacity and resident engagement, and to explore the creation of new units. Resident engagement would include programming designed for residents to achieve long-term and sustainable outcomes in the areas of employment, life skills, education, and decision-making.

Based on feedback received from residents at the February 21st meeting and at Public Housing Master Plan meetings in December 2018 and January 2019, we recommend the following strategic renovation plan:

Electrical upgrades	\$280,000
Concrete replacement/repairs	\$148,772
Exterior repairs/upgrades	\$113,252
Appliance Replacement	<u>\$97,769</u>
Total	\$639,793

Electrical Upgrades: \$280,000

Many of our units were built prior to 1994 and no longer have enough electrical power to allow our residents to use modern electronic equipment and devices. This work would require adding receptacles; installing interior & exterior fixtures; providing new circuits; troubleshooting bad breakers/receptacles/circuits/switches.

Concrete and asphalt replacement/repairs: \$148,772

The increased amount of rain and standing water associated with Hurricanes Matthew and Michael resulted in damage to many of the parking areas and concrete stairs in public housing neighborhoods.

Exterior repairs and upgrades: \$113,252

Public Housing residents requested several upgrades and repairs to their apartments. Many of these are consistent with deficiencies reported by the inspectors the Town contracted with for the Public Housing Master Plan. These repairs include, but are not limited to, improved lighting; exterior siding; power washing; exterior doors; drainage repairs; security features, and replacement of screen doors.

Appliance Replacement \$97,769

The purchase of new, high efficiency gas and electric appliances. These include refrigerators, gas and electric water heaters, and compact fluorescent lamps. The Public Housing Master Plan establishes a replacement schedule that will be provided to the residents.

Public Housing Master Plan \$50,000

We propose to continue to contract with David Paul Rosen & Associates to assist us in the development of a financing structure and establish partnerships for development as we move forward with a Rental Assistance Demonstration (RAD) Program for the redevelopment of the Trinity Court and Craig Gomains. HUD authorizes the expenditure of \$50,000 of Capital Funds for Public Housing Units involved in the RAD process.

Professional Services \$50,000

Funds would be used to continue to contract for translation services, consultants, engineers, and landscapers.

Administrative Cost \$82,000

This activity includes the indirect cost associated with the administration of the grant.



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TOWN OF CHAPEL HILL

Town Hall
405 Martin Luther King Jr.
Boulevard
Chapel Hill, NC 27514

Item Overview

Item #: 4., File #: [19-0372], Version: 1

Meeting Date: 4/24/2019

Authorize the Town Manager to Begin Negotiations with Potential Development Partners for the Redevelopment of the Trinity Court and Craig Gomains Public Housing Neighborhoods.

Staff:

Loryn B. Clark, Executive Director
Faith M. Thompson, Public Housing Director
Emily Holt, Affordable Housing Development Officer

Department:

Housing and Community

Overview: In [November, 2017 <https://chapelhill.granicus.com/MetaViewer.php?view_id=21&clip_id=3338&meta_id=179034>](https://chapelhill.granicus.com/MetaViewer.php?view_id=21&clip_id=3338&meta_id=179034), the Council authorized the Town Manager to issue a Request for Qualifications (RFQ) to identify a development partner to pursue redevelopment opportunities of the Town's public housing. On [September 5, 2018 <https://chapelhill.legistar.com/LegislationDetail.aspx?ID=3646907&GUID=A8F093AF-53AD-454C-8C83-90F66189A30E>](https://chapelhill.legistar.com/LegislationDetail.aspx?ID=3646907&GUID=A8F093AF-53AD-454C-8C83-90F66189A30E), the Council approved submission of a Rental Assistance Demonstration (RAD) application to the U.S. Department of Housing and Urban Development for the redevelopment of the Trinity Court and Craig Gomains neighborhoods. The Town has issued a Request for Qualifications for redevelopment of the sites and is in the process of evaluating the responses.

We propose to return to the Council in the fall to consider whether to pursue RAD conversion and consider redevelopment options for the Trinity Court and Craig Gomains neighborhoods.



Recommendation(s):

That the Council adopt the resolution authorizing the Town Manager to begin negotiations with potential development partners, once identified.

Key Issues:

Preliminary Plan

- In January, the Town issued a Request for Qualifications to identify potential development partners for these sites. We received one response from a potential partner that later decided to withdraw from the process. We plan to revise and reissue a Request for Qualifications in May.
- We continue to work with housing consultant, David Paul Rosen and Associates (DRA), to refine our plans for redevelopment of the Craig Gomains and Trinity Court public housing sites.
- As previously shared with the Council, in September we submitted a RAD application and in the fall received HUD approval to proceed with a RAD conversion if we choose. The approved application proposes comprehensive renovations and redevelopment in two-phased approach as part of the RAD conversion process.

Phase I: Rehabilitation of the Trinity Court neighborhood.

- The Trinity Court units have been vacant for several months.
- Our preliminary plan is to complete a RAD conversion and also apply for Low Income Housing Tax Credits to finance the renovation of the existing 40 units.
- As we learn more about the condition of the units, we may return to the Council to discuss alternative approaches increasing the density or demolishing the units.







Phase II: Redevelopment of Craig Gomains community.

- The preliminary analysis indicates that the Town could potentially increase the number of units on this site (currently 40 units).
- At minimum, the new development would replace the 40 units of public housing
- The remaining units would serve households ranging from 50% to 100% of the AMI.
- Our preliminary plan is to complete a RAD conversion and also apply for Low Income Housing Tax Credits to finance the redevelopment of the site.

Next Steps: If the resolution is approved by the Council, we will continue our work to identify a preferred development partner. If identified, we propose entering into an Exclusive Negotiating Agreement to begin negotiations to determine the responsibilities of the developer and the Town regarding the development of the site. We would return to the Council in the fall to request approval of the negotiated terms, and review more detailed plans for the renovation and redevelopment of the sites. At that time, we would ask the Council to determine if pursuing a RAD conversion would be appropriate for the redevelopment of the sites.

Fiscal Impact/Resources: Negotiating with potential development partners would require staff resources and continued support from our consultant David Paul Rosen and Associates.

Council Goals:

<input checked="" type="checkbox"/>		Create a Place for Everyone	<input type="checkbox"/>		Develop Good Places, New Spaces
<input type="checkbox"/>		Support Community Prosperity	<input type="checkbox"/>		Nurture Our Community
<input type="checkbox"/>		Facilitate Getting Around	<input type="checkbox"/>		Grow Town and Gown Collaboration



Attachments:

- Resolution

A RESOLUTION AUTHORIZING THE TOWN MANAGER TO ENTER INTO NEGOTIATIONS WITH POTENTIAL DEVELOPMENT PARTNERS FOR THE REDEVELOPMENT OF THE TRINITY COURT AND CRAIG GOMAINS PUBLIC HOUSING NEIGHBORHOODS (2019-04-24/R-4)

WHEREAS, one of the Town Council's 2016-2018 Goals is to adopt and support affordable housing programs, projects and policies that increase our diversity in income, race, age and lifestyle; and

WHEREAS, the Town Council has authorized the Town Manager to pursue redevelopment of the Trinity Court and Craig Gomains public housing neighborhoods and issuing a Request for Proposals to identify potential development partners for the sites.

NOW, THEREFORE, BE IT RESOLVED by the Council of the Town of Chapel Hill that the Council authorizes the Town Manager or his designee to enter into negotiations with a potential development partner.

BE IT FURTHER RESOLVED that the Council authorizes the Manager to execute documents to enter into an Exclusive Negotiating Agreement with a selected developer to negotiate a Development and Disposition Agreement to stipulate responsibilities of the Town and the Developer concerning development of the site.

This the 24th day of April, 2019.

The Agenda will reflect the text below and/or the motion text will be used during the meeting.

By adopting the resolution, the Council authorizes the Town Manager to enter into negotiations with a development partner to redevelop the Trinity Court and Craig Gomains public housing communities.



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TOWN OF CHAPEL HILL

Town Hall
405 Martin Luther King Jr.
Boulevard
Chapel Hill, NC 27514

Item Overview

Item #: 5., File #: [19-0373], Version: 1

Meeting Date: 4/24/2019

Adopt the 2019 Municipal Retention and Disposition Schedule.

Staff:

Sabrina M. Oliver, Director
Matthew DeBellis, Records Manager

Department:

Communications and Public Affairs

Overview: The State of North Carolina Department of Natural and Cultural Resources has issued an updated Municipal Retention and Disposition Schedule. Adopting this schedule will allow the Town to lawfully dispose of certain records at the end of those records' retention periods, so long as those records are not needed for audit or legal purposes or in support of Town business.

☆ **Recommendation(s):**

That the Council adopt the resolution adopting the 2019 Municipal Retention and Disposition Schedule.

Key Issues:

- The NC Department of Natural and Cultural Resources requires that all municipalities adopt their Retention Schedule in order to legally dispose of records after their use in Town business has expired.
- Under a new model, the NC Department of Natural and Cultural Resources will now update the retention schedule for general records on an annual basis. This allows local records retention periods to be consistent with State records retention periods where applicable. The Council will adopt the new schedule annually.
- This Resolution is consistent with Council adoptions of previous retention and disposition schedules.

Fiscal Impact/Resources: There is no fiscal impact associated with this resolution.

Council Goals:

<input type="checkbox"/>		Create a Place for Everyone	<input type="checkbox"/>		Develop Good Places, New Spaces
<input checked="" type="checkbox"/>		Support Community Prosperity	<input type="checkbox"/>		Nurture Our Community
<input type="checkbox"/>		Facilitate Getting Around	<input type="checkbox"/>		Grow Town and Gown Collaboration

Attachments:

- Resolution
- 2019 Municipal Retention and Disposition Schedule

A RESOLUTION ADOPTING THE 2019 MUNICIPAL RETENTION AND DISPOSITION SCHEDULE (2019-04-24/R-5)

WHEREAS, North Carolina General Statute § 132-1 defines public records as documents, maps, photographs, recordings, and other items in various media that are made or received in connection with the transaction of public business; and

WHEREAS, North Carolina General Statute § 121-5 prohibits disposal of any public record without the consent of the North Carolina Department of Natural and Cultural Resources; and

WHEREAS, the Department of Natural and Cultural Resources' Municipal Records Retention and Disposition Schedule identifies how long certain records must be retained in accordance with state and federal laws, rules, and regulations; and

WHEREAS, municipalities that adopt the Municipal Records Retention and Disposition Schedule, may lawfully dispose of certain records at the end of those records' retention periods, so long as those records are not needed for audit or legal purposes or in support of Town business; and

WHEREAS, the Town of Chapel Hill currently manages records under a version of the Schedule adopted by Town Council on February 25, 2014; and

WHEREAS, the Department of Natural and Cultural Resources has issued an updated Schedule which updates the following listed records: Budget, Fiscal, and Payroll Records; Geographic Information System (GIS) Records; Legal Records; Information Technology Records; Personnel Records; Public Relations Records; Risk Management Records; Workforce Development Records. The updated Schedule also allows municipalities to define when the administrative value ends for certain records; and

WHEREAS, administrative values have been determined by Chapel Hill staff and inserted into the Municipal Records Retention and Disposition Schedule, as amended, where applicable.

NOW, THEREFORE, BE IT RESOLVED by the Council of the Town of Chapel Hill that the Council adopts the 2019 Municipal Records Retention and Disposition Schedule, including the added locally-defined administrative values of records as presented in the April 24, 2019 meeting materials, and that this Schedule supersedes the Schedule adopted by the Town Council in 2014.

This the 24th day of April, 2019.

The Agenda will reflect the text below and/or the motion text will be used during the meeting.

By adopting the resolution, the Council adopts the 2019 Municipal Records Retention and Disposition Schedule, including the added locally-defined administrative values of records as presented in the April 24, 2019 meeting materials. This Schedule supersedes the Schedule adopted by the Town Council in 2014.

**RECORDS RETENTION AND DISPOSITION
SCHEDULE**

**GENERAL RECORDS SCHEDULE
FOR LOCAL GOVERNMENT
AGENCIES**



Issued By:



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

March 1, 2019

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This Record Retention and Disposition Schedule has been compiled and edited from documents provided by the North Carolina Department of Natural and Cultural Resources. The page numbers, item numbers, and standard numbers have all been adjusted for clarity and ease of consumption.

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

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

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

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

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

APPROVAL RECOMMENDED

Municipal/County Clerk or Manager
Title: _____


Sarah E. Koonts, Director
Division of Archives and Records

APPROVED

Head of Governing Body
Title: _____


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

Municipality/County: _____

MUNICIPAL
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. 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."

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

City/Town Clerk

Chief Administrative Officer/
City Manager

Sarah E. Koonts

Sarah E. Koonts, Director
Division of Archives and Records

APPROVED

Mayor

Linda A. Carlisle

Linda A. Carlisle, Secretary
Department of Cultural Resources

Municipality: _____

September 10, 2012

EXECUTIVE SUMMARY

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

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 municipality is obligated to obtain the State Archives of North Carolina's permission to destroy *any* record, no matter how insignificant.
- ✓ Each record 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 record series for specific emails and retain them according to the disposition instructions.
- ✓ The State Archives of North Carolina recommends that all municipal 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 municipality. 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 municipality 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 local government agencies across North Carolina to use when managing the records in their offices. It lists records commonly found in agency offices and gives an assessment of their value by indicating how long those records should be retained. This schedule is also an agreement between your agency and the State Archives of North Carolina.

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

Q. How do I get this schedule approved?

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

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

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

Q. What is "reference value"?

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

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

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

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

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

Q. What are public records?

- A.** The *General Statutes of North Carolina*, Chapter 132, provides this definition of public records:

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

Q. Is any person allowed to see my records?

- A.** Yes, except as restricted by specific provisions in state or federal law. G.S. § 132-6 instructs:
- “Every custodian of public records shall permit any record in the custodian’s custody to be inspected and examined at reasonable times and under reasonable supervision by any person, and shall, as promptly as possible, furnish copies thereof upon payment of any fees as may be prescribed by law. ... No person requesting to inspect and examine public records, or to obtain copies thereof, shall be required to disclose the purpose or motive for the request.”

Q. What about my confidential records?

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

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

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

Q. What do I do with permanent records?

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

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

Examples of records with these characteristics:

- Minutes of governing bodies at the state and local levels are the basic evidence of our system of governance, and are routinely provided for the public to read.
- Records, such as deeds and tax scrolls, about land document changes in ownership and condition. Counties maintain offices expressly for the purpose of making those records available to the public. Other records in local and state governments document potential public health hazards, such as hazardous materials spills.
- Adoptions, marriages, and divorces document changes in familial relationships and document citizenship. Though adoptions are confidential (not available for public inspection), they document citizenship and changes in inheritance and familial succession.
- Court records, such as wills, estates, and capital cases, affect people within and across family groups, are made available for public inspection, and often involve transactions related to the examples above.

See the Human-Readable Preservation Duplicates policy issued by the North Carolina Department of Natural and Cultural Resources (<https://archives.ncdcr.gov/documents/human-readable-preservation-duplicates>) and check with a records analyst to determine whether your permanent records require a preservation duplicate.

Q. What is historical value?

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

Q. What if I do not have any records?

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

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

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

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

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

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

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

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

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

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

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

Q. Whom can I call with questions?

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

AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION

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

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

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

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

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

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

TRANSITORY RECORDS

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

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

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

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

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

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

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

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

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

¹ A *Glossary of Archival and Records Terminology*, Richard Pearce-Moses (2005)

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

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

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

See also the State Archives of North Carolina's guidance on digital signatures found at: <https://archives.ncdcr.gov/documents/digital-signature-policy-guidelines>

LEGEND FOR RECORDS SCHEDULE

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



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

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

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

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

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

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

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

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

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

AUDITS: PERFORMANCE
Records concerning internal and external audits conducted to assess the function of government programs. Includes reports, working papers, corrective measures, and other related records.
See also **AUDITS: FINANCIAL**, page 20, item 6.

Sample records series title and description with cross-reference included

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

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

Q. When can I delete my e-mail?

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Note that e-mail, text messages, and social media should be handled according to their content. Therefore, this schedule does not include a records series that instructs you on how to handle one of these born-digital records by format; instead of focusing on how the information is disseminated, consider what content is contained in the e-mail, text message, or social media post. For instance, an e-mail requesting leave that is sent to a supervisor should be kept for 1 year (see **LEAVE RECORDS**, page 57, item 24).

GEOSPATIAL RECORDS

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

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

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

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

- A.** The following types of geospatial records have been designated as having archival value:
- Parcel data
 - Street centerline data
 - Corporate limits data
 - Extraterritorial jurisdiction data
 - Zoning data, address points
 - Orthophotography (imagery)
 - Utilities
 - Emergency/E-911 themes

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

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

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

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

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

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

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

MICROFILM

Q. Why do you still use microfilm?

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

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

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

Q. What film services do you provide?

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

Q. How do I get my minutes filmed?

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

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

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

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

Q. Can I send you my minutes electronically?

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

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

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

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

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

DISASTER ASSISTANCE

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

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

DO NOT ATTEMPT TO MOVE OR CLEAN ANY RECORDS.

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

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

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

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

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

Q. What are essential records?

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

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

STAFF TRAINING

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

- A.** We have a group of prepared workshops that we can offer at any time at various locations throughout the state. Contact a Records Management Analyst if you are interested in having one of the workshops presented to your agency. We will work with you directly to develop training suited to your specific needs. Our basic workshops are:
- Managing public records in North Carolina
 - Scanning/digital imaging
 - Disaster preparedness and recovery
 - Confidentiality
 - Organizing paper and digital files
 - E-mail
 - Digital communications

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

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

Q. Are workshops offered only in Raleigh?

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

Q. Is there a fee for workshops?

- A.** Not at this time.

Q. Are the workshops available in an online format?

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



REQUEST FOR CHANGE IN RECORDS SCHEDULE

As of March 1, 2019, all local government agencies in North Carolina will use the General Records Schedule for Local Government Agencies to find the appropriate disposition instructions for records that fall under these standards:

- Administration and Management Records
- Budget, Fiscal, and Payroll Records
- Geographic Information Systems Records
- Information Technology Records
- Legal Records
- Personnel Records
- Public Relations Records
- Risk Management Records
- Workforce Development Records

More information about this transition can be found on our blog at <https://ncrecords.wordpress.com/2019/01/14/new-retention-schedule-model-for-north-carolina-local-governments/>.

This new Local Government General Records Schedule can be found on our website at <https://archives.ncdcr.gov/government/retention-schedules/local-government-schedules> and supersedes the correlating standards that were a part of previously approved local government agency schedules, so we have deleted those standards from the published version of this schedule.

If you have any questions, please contact [a records management analyst](#) in the Government Records Section of the State Archives of North Carolina.

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

FROM _____ **Name**
County _____
Agency _____ or _____ **department**
Mailing _____ **address**
Phone or email _____

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 _____ **APPROXIMATE VOLUME OF RECORDS** _____

DESCRIPTION OF RECORDS

PROPOSED RETENTION PERIOD

Requested by: _____
Signature _____ Title _____ Date _____

Physical Address: 215 N Blount Street Raleigh, N.C. 27601
 State Courier 51-81-20 Facsimile (919) 715-3627 records@ncdcr.gov



GOVERNMENT RECORDS SECTION
STATE RECORDS CENTER



GOVERNMENT RECORDS SECTION
STATE RECORDS CENTER

archives.ncdcr.gov 4615 Mail Service Center, Raleigh NC 27699-4165 919-814-6900

Request for Disposal of Unscheduled Records

Certification of the Preparation of Records for Microfilming

Name of the county, municipality, or other public body that produced these records:
Examples: [City of Raleigh] [Martin County] [Triangle Transit Authority] [High Country Council of Governments]

Name of the board, council, department, or agency:
Examples: [City Council] [Board of Commissioners] [ABC Commission] [Board of Delegates]

The records included with this form are:
 Minutes Attachments or Exhibits
 Ordinances Indexes
 Resolutions Other: _____

Exact first and last dates of the records:
Examples: [10/2/1998 – 12/23/2002] [1/12/2006 – 12/13/2007, in reverse order]
NOTE: Please describe any irregularities (e.g. missing minutes, infrequent meetings) in a separate letter.

Volume and page numbers included:
Examples: [v. 112 (p. 258-492) – 113 (p. 1-122)] [Books 23-27] [Pages 11873 – 13982] [v. 43, continuous]

The last volume listed is complete: Yes No
 Do you want to purchase a copy of the film, at an additional charge? Yes No
 Do you want to purchase a CD of the images, at an additional charge? Yes No
 Do you want to be informed when this shipment is received? Yes No
 Do you want to be informed when the microfilming has been completed? Yes No

We have examined these records for accuracy and completeness. We have prepared these records according to the rules of the Government Records Branch of the Department of Cultural Resources. We understand that the records will be filmed in the order we have submitted them.
 We understand that there will be a charge for each new reel of film used for our records, beginning July 1, 2008.

Contact information: Name: _____ Email: _____ Phone: _____ Date: _____
 Billing address: _____

AGENCY INFORMATION

Requestor name _____
 Location and Agency [e.g., County/Municipality + Department of Social Services] _____
 Phone and email _____
 Mailing Address _____

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

RECORDS TITLE AND DESCRIPTION	INCLUSIVE DATES	QUANTITY	RELEVANT STATUTORY REGULATIONS	PROPOSED RETENTION PERIOD

Requested by: Signature _____ Title _____ Date _____
 Approved by: Signature _____ Requestor's Supervisor _____ Date _____
 Concurring by: Signature _____ Assistant Records Administrator _____ Date _____
 State Archives of North Carolina

2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE




STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
5.	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 appointed individuals 1 year after expiration of term. b) Destroy in office remaining records when reference value ends.† Agency Policy: Destroy in office after 1 year.	
6.	APPOINTMENT REPORTS Includes annual appointment reports filed with the NC Department of the Secretary of State.	Destroy in office after 2 years.	Authority: G.S. § 143-157.1
7.	AUDIO AND VIDEO RECORDINGS OF MEETINGS See also MINUTES OF PUBLIC BODIES , page 42, item 42.	Destroy in office after approval of official written minutes. <i>Note: If these serve as the official minutes, as allowed by G.S. § 143-318.10(e), their retention should be permanent. These disposition instructions apply to recordings produced solely for the purpose of generating official written minutes.</i>	
8.	AUDITS: PERFORMANCE Records concerning internal and external audits conducted to assess the function of government programs. Includes reports, working papers, corrective measures, and other related records. See also AUDITS: FINANCIAL , page 50, item 6.	a) Retain in office permanently reports related to internal compliance or operational audits, hazardous material, or those that document a significant change in agency practices. b) Destroy in office remaining audit reports after 10 years. c) Destroy in office documentation of corrective measures 2 years after their implementation. d) Destroy in office working papers and remaining records when superseded or obsolete.	

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2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE



STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
9.	 BLUEPRINTS AND SPECIFICATIONS Blueprints and specifications of agency owned buildings and facilities. Includes as-built plans and related records concerning approved changes.	a) Transfer as-built drawings to new owner when agency relinquishes ownership of building or facility. b) Retain in office as-built drawings for life of structure and then destroy. c) Destroy in office blueprints, floorplans, and other preliminary design and construction documents when superseded or obsolete.	Confidentiality: G.S. § 132-1.7
10.	BONDS Records documenting written guarantees from a third party, including bid bonds, payment bonds, performance bonds, and surety bonds. See also BIDS FOR PURCHASE , page 51, item 10, and PROJECTS , page 14, item 53.	Destroy in office 5 years after expiration or cancellation.	
11.	BULLETINS Internal information sharing materials that circulate information within the agency. Also includes memoranda and newsletters.	Destroy in office when superseded or obsolete.	
12.	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 all documentation 3 years after most recent recertification. b) If certification was never issued, destroy in office all documentation when reference value ends.† Agency Policy: Destroy in office after 1 year.	
13.	BUSINESS DEVELOPMENT SUBJECT FILE	Destroy in office after 3 years.	
14.	CALENDARS OF EVENTS AND APPOINTMENTS	Destroy in office when superseded or obsolete.	

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2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE



ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
15.	CENSUS PROJECT RECORDS Records created to assist the U.S. Census Bureau with the decennial census.	Destroy in office when reference value ends. † Agency Policy: Destroy in office after _____ census is published.	
16.	CHARTER RECORDS Charter and charter proceedings related to adoption, amendment and/or repeal.	Retain in office permanently.	
17.	CITIZEN COMMENTS, COMPLAINTS, PETITIONS, AND SERVICE REQUESTS Records concerning objections, dissatisfaction, or disagreements with actions or positions taken or not taken by the agency. Includes comments and petitions submitted by citizens requesting action as well as routine requests for service. Also includes requests for reasonable accommodation under Title II of the Americans with Disabilities Act, including survey of agency buildings to determine accessibility to the physically handicapped, federal regulations, proposals for implementing the act, correspondence (including e-mail), resolutions, and solutions to access problems. See also CIVIL RIGHTS RECORDS , page 44, item 4.	a) Transfer records as applicable to LITIGATION CASE RECORDS , page 47, item 16. b) Destroy in office comments, informal complaints, petitions, and requests 1 year after resolution.* c) Destroy in office accommodation requests and complaints 2 years after resolution.*	Authority: 42 USC 12132
18.	CITIZEN REBATE PROGRAM RECORDS Applications, receipts, and related records concerning rebate programs sponsored by the agency. These records document programs and incentivized actions that citizens may opt into.	a) Destroy in office financial records 3 years after approval.* b) Destroy in office applications 1 year after approval. c) Destroy in office denied applications when reference value ends. † Agency Policy: Destroy in office after 3 months from denial. _____	

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2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE



ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
19.	CITIZEN SURVEYS Surveys and related records addressing agency services, policies, and other concerns.	Destroy in office when reference value ends. † Agency Policy: Destroy in office after 3 years. _____	
20.	COLLECTED DATA Information and statistics compiled and analyzed for research purposes or to support the functions of the agency.	Destroy in office when superseded or obsolete.	If data contains confidential information, abide by relevant restrictions.
21.	COMPREHENSIVE PLAN Long-range plan outlining policies, guidelines, and plans for future development of the agency. Includes official copy of comprehensive plan and all background surveys, studies, reports, and draft versions of plans. Also includes strategic plans and business plans, as well as goals and objectives.	a) Retain in office comprehensive plans and strategic plans permanently. b) Destroy in office background surveys, studies, reports, and drafts 5 years after adoption of plan. c) Destroy in office business plans 2 years after execution of plan. d) Destroy in office goals and mission statements when superseded or obsolete.	
22.	CORRESPONDENCE AND MEMORANDA Administrative and management correspondence/memoranda (including e-mail) written or received by the office concerning agency authority, operating philosophy, purpose, methods, and any other function. For information on handling e-mail and text or instant messages, see ELECTRONIC RECORDS , page 77.	a) Transfer correspondence (including e-mail) with historical value to HISTORY RECORDS , page 8, item 32, after 3 years. b) Destroy routine administrative correspondence and memoranda after 1 year. c) Destroy in office remaining records after 3 years. <i>Retention Note: The correspondence (including e-mail) of the most senior administrator has historical value and should be retained permanently.</i>	

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2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE



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

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2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE



STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
27.	FACILITY MAINTENANCE, REPAIR, AND INSPECTION RECORDS Records documenting maintenance, repair, and inspection of agency-owned facilities. See also CONTRACTS, LEASES, AND AGREEMENTS , page 45, item 7.	a) Destroy in office records documenting routine inspections, janitorial cleaning, environmental monitoring, and routine maintenance of facilities after 1 year. b) Destroy in office records documenting system repair and improvement (including plumbing, electrical, fire, and other systems) after 3 years.	
28.	FORMS AND TEMPLATES Blank forms, templates, and letterhead used to create agency records.	Destroy in office when superseded or obsolete.	
29.	GOVERNING AND ADVISORY BODY MEMBER FILES Records concerning members of public boards, commissions, councils, and committees. Includes codes of conduct, ethics statements, agreements, notices of resignation, and other related records. Also includes biographical information and waivers. See also APPLICATIONS FOR APPOINTMENT , page 2, item 5, and OATHS OF OFFICE , page 47, item 17.	a) Retain in office records with historical value permanently. b) Destroy in office 1 year after superseded or obsolete waivers from board members choosing not to receive stipend/per diem payments. c) Destroy in office remaining records 1 year after service ends.	
30.	GRANT PROPOSALS Proposals submitted for grants, including applications, correspondence (including e-mail), and other related records.	a) Transfer records concerning approved grants to GRANTS , page 8, item 31. b) Destroy in office rejected or withdrawn grant proposals when reference value ends.† Agency Policy: Destroy in office after 3 years.	

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2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE



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

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

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

2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE




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

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2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE



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

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2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE




STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
42.	MINUTES OF PUBLIC BODIES Includes minutes of the governing board and all subsidiary and advisory boards. Subsidiary boards are defined as boards that exercise or are authorized to exercise legislative, policy-making, quasi-judicial, or administrative functions. Also includes minutes of subcommittees of the governing board and its subsidiary and advisory boards. See the MICROFILM section on page 81 for instructions on microfilming. See also AGENDA AND MEETING PACKETS , page 1, item 4, and AUDIO AND VIDEO RECORDINGS OF MEETINGS , page 2, item 7. If there are other boards in the operational standard(s) or if the Workforce Development standard is included, add references to those boards here.	a) Retain in office permanently official minutes of the governing board and its subsidiary boards as well as all attachments necessary to understand the body's actions. 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. c) Destroy in office minutes of committees or subcommittees when reference value ends, if the minutes or actions and decisions of the committee are entered as part of the minutes of the parent board. If minutes or actions and decisions of the committee or subcommittee in question are not entered as part of the minutes of the parent board, the State Archives reserves the right to designate the minutes as permanent.† Agency Policy: Destroy in office after 3 years.	Authority: G.S. § 143-318.10
43.	MINUTES (STAFF MEETINGS) Minutes of staff meetings, including all referenced and attached documentation.	a) Retain in office records with historical value permanently. b) Destroy in office remaining records after 1 year.	
44.	MISCELLANEOUS (NON-BUILDING) APPLICATIONS, LICENSES, AND PERMITS Includes, but not limited to, applications and permits regarding burning, special events, and landscape establishment.	a) Destroy in office 1 year after expiration of license/permit. b) Destroy in office applications for which a license/permit was never issued when reference value ends.† Agency Policy: Destroy in office after 2 years.	Authority: G.S. § 66-77

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2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE



STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
45.	NOTICES OF PUBLIC MEETINGS Includes notices and regular meeting schedules. See also AFFIDAVITS OF PUBLICATION , page 43, item 1, and PUBLICITY RECORDS , page 68, item 12.	Destroy in office after 1 year.	
46.	 OFFICE SECURITY RECORDS Records concerning the security of agency offices, facilities, vehicles, equipment, and personnel. Includes visitors' register; security, employee, or contractor access to facilities or resources; and surveillance system reports and recordings.	a) If the recording becomes evidence in a personnel investigation or lawsuit, transfer to DISCIPLINARY ACTIONS , page 53, item 12, or LITIGATION CASE RECORDS , page 47, item 16. b) Destroy in office recordings not required to support known investigations or litigation after 30 days. c) Destroy in office remaining records after 1 year.	Confidentiality: G.S. § 132-1.7
47.	ORDINANCES Includes code of ordinances. See the MICROFILM section on page 81 for instructions on microfilming.	a) Retain in office official copy permanently. b) Destroy in office ordinance development records when ordinance is no longer in effect. c) Destroy in office additional copies (including tabled or failed ordinances) when reference value ends.† Agency Policy: Destroy in office after <u> </u> 1 year.	
48.	PEST CONTROL Records concerning pest abatement or eradication programs overseen by the agency.	Destroy in office after 3 years.*	

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2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE



STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
49.	POLICIES AND PROCEDURES Records documenting the formulation, planning, and adoption of policies, procedures, and functions of the agency and its departments. File also includes organizational charts, reorganization studies, and similar records describing the arrangement and administrative structure of the agency. See also CIVIL RIGHTS RECORDS , page 44, item 4, POLICIES AND PROCEDURES (PERSONNEL) , page 61, item 31, and ELECTRONIC RECORDS POLICIES AND PROCEDURES , page 38, item 7.	a) Retain in office records with historical value permanently. b) Destroy in office remaining records when superseded or obsolete.	
50.	POLL LIST/REGISTRATION LIST/ROSTER/AUTHORIZATION TO VOTE (ATV) Lists documenting registered electors and votes cast prior to County Board of Elections taking over municipal elections. Includes electronic or paper ATV related records such as ATV books, forms, unused stickers, lists, registers, indexes, or similar records used to verify persons are registered voters at each polling location.	Contact State Archives of North Carolina prior to destroying old poll books and voter registration books.	Authority: G.S. § 163 Art. 15A G.S. § 163-166.7 08 NCAC 10B .0103 52 USC Chap. 205
51.	PRICE QUOTATIONS	Destroy in office when reference value ends.† Agency Policy: Destroy in office after <u> </u> reference value ends	
52.	PROCLAMATIONS AND ORDERS Proclamations and orders issued by the governing board.	a) Retain in office records with historical value permanently. b) Destroy in office remaining records when reference value ends.† Agency Policy: Destroy in office after <u> </u> 1 year	

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

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

2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE



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

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2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE



STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
57.	REFERENCE (READING) FILE Subject files containing informational copies of records organized by areas of interest. Also includes materials that have no regulatory authority for the recipient and are received from outside the agency or from other units within the agency as well as reference copies of documents where another individual or agency is responsible for maintaining the record copy.	Destroy in office when reference value ends.† Agency Policy: Destroy in office after <u>reference value ends</u>	
58.	REPORTS AND STUDIES Records concerning the performance of a department, program, or project, as well as those created for planning purposes. Includes all annual, sub-annual, or irregularly prepared research studies, reports, and studies generated by an agency or prepared by consultants hired by the agency. Also includes reports required to be submitted to the agency. See also CIVIL RIGHTS RECORDS , page 44, item 4, and COMPREHENSIVE PLAN , page 5, item 21.	a) Retain in office permanently 1 copy of all annual and biennial reports written by the agency. b) Retain in office permanently reports and studies prepared by request of an agency's governing body or a court. c) Destroy in office after 3 years reports prepared monthly, bimonthly, or semi-annually. d) Destroy in office after 1 year activity reports concerning workload measurements, time studies, number of jobs completed, etc., prepared on a daily or other periodic basis. e) Destroy in office when superseded or obsolete reports required to be submitted to the agency. f) Destroy in office remaining reports and studies when reference value ends.† Agency Policy: Destroy in office after <u>3 years</u> . <i>Retention Note: Reports and studies listed elsewhere in this schedule should be retained the specified period of time.</i>	

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2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE



ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
59.	REQUESTS FOR INFORMATION Requests received and responses issued by the agency. See also PUBLIC RECORDS REQUESTS , page 68, item 11.	Destroy in office after 1 year after resolution.	
60.	REQUESTS FOR PROPOSALS (RFP) Proposals submitted by vendors in response to requests from agency. See also BIDS FOR PURCHASE , page 20, item 10, and PRICE QUOTATIONS , page 13, item 51.	Destroy in office when reference value ends.† Agency Policy: Destroy in office after <u>5 years</u>	
61.	RESOLUTIONS File consists of resolutions indicating date, issues or policy involved, and appropriate signatures. See the MICROFILM section on page 81 for instructions on microfilming.	a) Retain in office permanently one copy of final resolution. b) Retain in office permanently resolution development records with historical value. c) Destroy in office additional copies of resolutions (including those tabled or failed) along with all remaining development records when reference value ends.† Agency Policy: Destroy in office after <u>1 year</u>	
62.	SURPLUS PROPERTY Inventories and reports of agency property to be surplussed.	Destroy in office 3 years after disposition of property.*	
63.	TRACKING MATERIALS Records intended to verify the receipt of information, such as certified mail receipts.	Destroy in office when reference value ends.† Agency Policy: Destroy in office after <u>reference value ends</u>	

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

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

2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE



ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
64.	TRAVEL REQUESTS Requests and authorizations for travel. Includes forms and itineraries. See also TRAVEL REIMBURSEMENTS , page 59, item 45, and PRICE QUOTATIONS , page 44, item 51.	Destroy in office after 1 year.*	
65.	VEHICLE REGISTRATION CARDS North Carolina registration cards for vehicles in the agency fleet. See also VEHICLE TITLES , page 79, item 22.	Destroy in office when superseded.	
66.	WORK ORDERS Includes date and location of work, cost of materials used and labor, type of work performed, and other related records regarding the repairs of equipment, facilities, and vehicles.	a) Destroy in office 1 year after work is completed.* b) If this is the only record documenting completed work, follow disposition instructions for FACILITY MAINTENANCE, REPAIR, AND INSPECTION RECORDS , page 7, item 27, or EQUIPMENT AND VEHICLE MAINTENANCE, REPAIR, AND INSPECTION RECORDS , page 6, item 24.	

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2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE



STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS
 Records created and accumulated concerning the managerial control, budgeting, disbursement, collection, and accounting of the agency.

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

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

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2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE



STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.	ANNUAL BUDGET Annual budget and budget message submitted to governing board for approval. See also BUDGET REPORTS , page 52, item 16.	a) Retain in office records with historical value permanently. b) Destroy in office remaining records after 3 years. <i>Retention Note: Annual budgets should be entered into the minutes of the governing board.</i>	Authority: 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.*	Authority: 26 CFR 1.148-3
6.	AUDITS: FINANCIAL Records concerning internal and external audits. Includes reports, working papers, and related records. See also AUDITS: PERFORMANCE , page 33, item 8.	a) Retain in office reports permanently final reports related to internal compliance or operational audits or those that document a significant change in agency practices or have significant administrative value. b) Destroy in office after 10 years final reports related to internal accounting systems and controls and those with limited administrative value. c) Destroy in office working papers and remaining records when superseded of obsolete.*	Authority: G.S. § 159-34
7.	AUTHORIZATION FORMS Authorization to purchase materials.	Destroy in office after 3 years.*	
8.	BANK STATEMENTS AND RECONCILIATIONS Includes bank statements, canceled checks, deposit slips, and reconciliation reports.	Destroy in office after 3 years.*	

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2019 LOCAL GOVERNMENT AGENICIES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE



STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
9.	BIDS FOR DISPOSAL OF PROPERTY Records concerning the disposal of surplus property. Includes information about various disposition procedures used, such as sealed bids and public auction. See also ACCOUNTS RECEIVABLE , page 49, item 2.	Destroy in office all records after the disposition of property has been recorded in governing board's minutes.*	Authority: G.S. § 153A-176
10.	BIDS FOR PURCHASE Records documenting quotes to supply products and services. Includes advertisements, tabulations, awards letters, records of bids, good faith effort documentation, and related records concerning accepted and rejected bids.	a) Transfer records to CONTRACTS, LEASES, AND AGREEMENTS , page 76, item 7 when bid is approved. b) Destroy in office bid records not awarded or opened after 1 year.*	Authority: G.S. § 143 Article 8
11.	BOND CLOSING RECORDS Includes applications, agreements, tax records, contracts, official statements, legal opinions, rating letters, public hearing bonds, title insurance, deeds of trust, and other related records concerning bonds issued by the agency. Also includes records concerning expenditure and/or investment of bond proceeds.	Destroy in office 3 years after entire issuance has been satisfied.*	Authority: G.S. § 159 Article 7
12.	BOND REGISTER Records of all bonds, notes, and coupons issued by the agency detailing the purpose of issuance, the date of issue, serial numbers (if any), denomination, maturity date, and total principal amount.	Retain in office permanently.	Authority: G.S. § 159-130
13.	BONDS, NOTES, AND COUPONS	Destroy in office 1 year from date of payment.	Authority: G.S. § 159-139

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2019 LOCAL GOVERNMENT AGENICIES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE





STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
14.	BUDGET ADMINISTRATION RECORDS Records of budget administration. Includes research, correspondence, and other related records.	Destroy in office after 2 years.*	
15.	BUDGET EXECUTION RECORDS Records of authorizations to move funds between budget codes.	Destroy in office when released from audits.	
16.	BUDGET REPORTS Includes daily detail reports and monthly budget reports. Also includes contract budget and expenditure reports and summaries of tax allocations. See also ANNUAL BUDGET , page 50, item 4.	a) Destroy in office daily detail reports after 1 year.* b) Destroy in office remaining reports after 3 years.*	
17.	BUDGET REQUESTS AND WORKING PAPERS Includes budget requests, cost estimates, expenditures, program requests, salary and wage lists, correspondence (including e-mail), and related records.	Destroy in office after 3 years.*	Authority: G.S. § 159-10
18.	BUDGET RESOLUTIONS AND ORDINANCES Includes project ordinances, budget resolutions, and amendments. See also MINUTES OF PUBLIC BODIES , page 42, item 42.	a) Retain official copies in the minutes of the governing board. b) Destroy in office remaining copies when reference value ends.† Agency Policy: Destroy in office after <u>5</u> years.	Authority: G.S. § 159-8 G.S. § 159-13 G.S. § 159-13.2 G.S. § 159-15

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2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE



STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
19.	COST ALLOCATION PLANS Accounting report that calculates and spreads agency-wide indirect costs to departments and funds that receive a service from other departments.	Destroy in office after 3 years.*	
20.	 CREDIT/DEBIT/PROCUREMENT CARD RECORDS Records of assignment of agency credit cards and purchasing cards along with authorization logs.	Destroy in office when superseded or obsolete.*	Confidentiality: G.S. § 132-1.2(2)
21.	DONATIONS AND SOLICITATIONS Records concerning requests made to agency by outside organizations. Includes applications and other related records. See also FUND DRIVE AND EVENT RECORDS , page 98, item 6.	a) Destroy in office records supporting approved donations 1 year after payment. b) Destroy in office rejected applications after 30 days.	
22.	 ELECTRONIC FUNDS TRANSFERS (EFT) Includes forms authorizing electronic transfer of monies via wire transfer or automated clearing house (ACH) as well as ACH bank reports.	Destroy in office when superseded or obsolete.	Confidentiality: G.S. § 14-113.20
23.	ESCHEATS AND UNCLAIMED PROPERTY Records containing information required to be included in holder reports submitted to the State Treasurer's office. For more information, see the State Treasurer's memo, " Annual Reporting of Unclaimed Property ."	a) Destroy in office after 10 years if report was filed prior to July 16, 2012.* b) Destroy in office after 5 years if report was filed on or after July 16, 2012.*	Authority: G.S. § 116B-60 Retention: G.S. § 116B-73

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2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE



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

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

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

2019 LOCAL GOVERNMENT AGENICIES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE





STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
27.	GRANTS: FINANCIAL Records concerning approved federal, state, and private grants received or issued by the agency. Includes all relevant accounting, purchasing, payroll, and other financial records. See also GRANTS, page 39, item 31.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. b) Destroy in office records of state and private grants 5 years after final financial report is filed.* c) Destroy in office records of other federal grants 3 years after final financial report is filed. d) Destroy in office records not relating to a specific grant or to grants not funded after 1 year. <i>Retention Note: According to 2 CFR 200.333(c), records for real property and equipment acquired with Federal funds must be retained for 3 years after disposition of the property/equipment.</i>	Retention: 09 NCAC 03M .0703 2 CFR 200.333
28.	INVESTMENTS Includes fund information, portfolio listings and reports, balance sheets, exchange or consent instructions, broker confirmations, notices, and other documentation related to agency investments. Also includes transaction schedules for projecting revenue on investments as well as performance investment reports issued by broker or investment firm.	a) Destroy in office transaction schedules after 2 years.* b) Destroy in office performance investment reports when reference value ends. c) Destroy in office all remaining records after 3 years.*	Authority: G.S. § 159-30

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2019 LOCAL GOVERNMENT AGENICIES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE



STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
29.	LOAN RECORDS Records concerning loans received by the agency. Includes documentation of intent to proceed, loan agreements, promissory notes, letters of credit, statements, notices of principal and interest due, and other related records.	Destroy in office 5 years after satisfaction or cancellation of loan.*	
30.	LOCAL GOVERNMENT COMMISSION FINANCIAL STATEMENTS	Destroy in office after 3 years.*	Authority: G.S. § 159-33
31.	LONGEVITY PAY	Destroy in office after 3 years.*	
32.	 PAYMENT CARD DATA Records created in association with payment card transactions entered by third parties for the purchase of goods or services from the agency.	Destroy in office after processed.*	Confidentiality: G.S. § 132-1.2(2) G.S. § 132-1.10(b)(5)
33.	 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. Also includes individual and group employee earnings records and payroll registers showing earnings and deductions for each pay period. See also TIME SHEETS, CARDS, AND ATTENDANCE RECORDS, page 59, item 44.	a) Destroy in office 30 years from date of separation records necessary for retirement or similar benefits verification. b) Destroy in office remaining records after 3 years.*	Authority: 29 CFR 516.30(a) Confidentiality: G.S. § 132-1.10 G.S. § 115C Art. 21A G.S. § 122C-158 G.S. § 130A-45.9 G.S. § 153A-98 G.S. § 160-168 G.S. § 161E-257.2 G.S. § 162A-6.1 Retention: 29 CFR 516.5(a) 29 CFR 1627.3(a)

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2019 LOCAL GOVERNMENT AGENCIES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE



STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
34.	PAYROLL DEDUCTION RECORDS Records used to start, modify, or stop all voluntary or required deductions from payroll. Includes tax withholding (NC-4, W-4), savings plans, insurance, association dues, orders of garnishment, etc. Used as proof the employee approved of the deduction(s).	a) Destroy in office tax withholding forms 4 years after termination of deduction.* b) Destroy in office authorizations for deductions for retirement contributions, bank payments, savings plans, insurance, and dues 2 years after termination of deduction. c) Destroy in office remaining records 3 years after termination of deduction.*	Confidentiality: G.S. § 115C Art. 21A G.S. § 122C-158 G.S. § 130A-45.9 G.S. § 153A-98 G.S. § 160-168 G.S. § 161E-257.2 G.S. § 162A-6.1 Retention: IRS Publication 15 29 CFR 516.6(c)(1)
35.	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 records.	Destroy in office after 3 years.	
36.	PURCHASE ORDERS Records, forms, packing slips, and attached documents concerning purchased supplies, equipment, and services. See also GRANTS: FINANCIAL , page 55, item 27.	Destroy in office after 3 years.* <i>Retention Note: Packing slips may be destroyed upon verification of items received if they are not the only record of the purchase of the item.</i>	
37.	QUALIFIED PRODUCTS LISTS (QPL) Records identifying products approved for purchase by the agency.	Destroy in office 3 years after superseded or obsolete.*	

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2019 LOCAL GOVERNMENT AGENCIES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE



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

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STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
42.	TAX FORMS Tax information returns generated by the agency (e.g., 1098, 1099, W-2, W-3) to be reported to the Internal Revenue Service and furnished to the other party to the transaction.	Destroy in office 4 years after submitted to taxpayer and/or IRS.*	Confidentiality: G.S. § 132-1.10 G.S. § 115C Art. 21A G.S. § 122C-158 G.S. § 130A-45.9 G.S. § 153A-98 G.S. § 160-168 G.S. § 161E-257.2 G.S. § 162A-6.1 Retention: IRS Publication 15
43.	TAX RETURNS Tax returns filed by the agency.	Destroy in office 6 years after filed.*	
44.	TIME SHEETS, CARDS, AND ATTENDANCE RECORDS Records documenting the work hours and attendance of employees. See also PAYROLL AND EARNINGS RECORDS , page 56, item 33.	Destroy in office after 2 years.*	Retention: 29 CFR 516.6(a)(1)
45.	TRAVEL REIMBURSEMENTS Includes requests and authorizations for reimbursement for travel and related expenses. See also GRANTS: FINANCIAL , page 55, item 27, and TRAVEL REQUESTS , page 48, item 64.	Destroy in office after 3 years.*	

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

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2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE



STANDARD 3: GEOGRAPHIC INFORMATION SYSTEM (GIS) RECORDS
 Official records received and created by agency geographic information system programs. See G.S. § 132-10 for information about providing public access to GIS databases.

STANDARD 3: GEOGRAPHIC INFORMATION SYSTEM (GIS) RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	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 the North Carolina Geographic Information Coordinating Council (http://www.ncgicc.com/). See also GEOSPATIAL RECORDS, page 19.</i>	
2.	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. Includes data element dictionaries, file layout, codebooks and tables, and definition files.	Destroy in office when the system is discontinued or when system data has been transferred to a new operating environment (platform).	
3.	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.	

2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE



STANDARD 3: GEOGRAPHIC INFORMATION SYSTEM (GIS) RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.	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.	
5.	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).	
6.	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 reference value ends.† Agency Policy: Destroy in office after <u>reference value ends</u>	

STANDARD 3: GEOGRAPHIC INFORMATION SYSTEM (GIS) RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
7.	LAYERS: ADDRESS POINTS See also GEOSPATIAL RECORDS , page 19.	Paper: Retain in office permanently. GIS dataset: Create a snapshot of dataset annually. To maintain permanently, <i>Either:</i> Transfer snapshot to NOneMap 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 .	
8.	LAYERS: CORPORATE LIMITS See also GEOSPATIAL RECORDS , page 19.	Paper: Retain in office permanently. GIS dataset: Create a snapshot of dataset annually. To maintain permanently, <i>Either:</i> Transfer snapshot to NOneMap 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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STANDARD 3: GEOGRAPHIC INFORMATION SYSTEM (GIS) RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
9.	LAYERS: EXTRATERRITORIAL JURISDICTIONS See also GEOSPATIAL RECORDS , page 19.	Paper: Retain in office permanently. GIS dataset: Create a snapshot of dataset annually. To maintain permanently, <i>Either:</i> Transfer snapshot to NOneMap 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 .	
10.	LAYERS: ORTHOIMAGERY See also GEOSPATIAL RECORDS , page 19.	Create a snapshot of dataset when created. To maintain permanently, <i>Either:</i> Transfer snapshot to NOneMap 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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STANDARD 3: GEOGRAPHIC INFORMATION SYSTEM (GIS) RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
11.	<p>LAYERS: STREET CENTERLINE</p> <p>See also GEOSPATIAL RECORDS, page 19.</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 NOneMap 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>	
12.	<p>MAPPING PROJECT RECORDS</p> <p>Includes contract maps and all deliverable products for aerial photography, orthophotography, cartographic, cadastral, and digital mapping projects.</p> <p>See also GEOSPATIAL RECORDS, page 19.</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 NOneMap 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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STANDARD 3: GEOGRAPHIC INFORMATION SYSTEM (GIS) RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
13.	<p>MAPS: PARCEL</p> <p>Maps, including cadastral maps, and surveys of boundaries and measurements of each parcel, and information about encroachments, right-of-ways, and structures.</p> <p>See also GEOSPATIAL RECORDS, page 19, and PROPERTY MANAGEMENT RECORDS, page 183, item 14.</p>	<p>Paper: Destroy in office upon State Archives approval.</p> <p>GIS dataset: Create a snapshot of dataset quarterly. To maintain permanently,</p> <p><i>Either:</i> Transfer snapshot to NOneMap 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: PARKS</p> <p>Includes park boundaries, facilities, landscaping, topography, and other pertinent information. Also includes maps and drawings stored and generated by Geographic Information System (GIS) and computer-aided design (CAD) systems.</p> <p>See also GEOSPATIAL RECORDS, page 19.</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 NOneMap 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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2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE




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

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2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE



STANDARD 4: INFORMATION TECHNOLOGY (IT) RECORDS
 Information technology encompasses all activities undertaken by agency to design, develop, and operate electronic information systems. This section covers records for which Information Technology personnel are responsible, including administrative records and those used to process data and monitor and control operations.
Note: Administration, use, and retention of records concerning computer and information security should comply with applicable provisions of G.S. § 132-6.1 on the confidentiality of records regarding "hardware or software security, passwords, or security standards, procedures, processes, configurations, software, and codes." (G.S. § 132-6.1 (c))

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


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

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

2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE





STANDARD 4: INFORMATION TECHNOLOGY RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.	DATA MIGRATION RECORDS Technical records documenting data migrations. <i>Note: The data itself is subject to the disposition instructions indicated for its relevant records series; these are merely records about migrating said data.</i>	Destroy in office 1 year after completion of data migration.	
5.	DATA WAREHOUSES Federated data gathered by the agency from other sources for the purposes of comparison and distribution.	Destroy in office when superseded or obsolete.	Maintain confidentiality consistent with any restrictions placed on the data provider.
6.	DIGITIZATION AND SCANNING RECORDS Records concerning data entry and imaging operations. Includes quality control records. See Request for Disposal of Original Records Duplicated by Electronic Means, page 28.	Destroy in office 10 days after digitization. <i>Note: The digital surrogate becomes the record copy and must be retained according to the disposition instructions for that record type.</i>	
7.	 ELECTRONIC RECORDS POLICIES AND PROCEDURES Includes procedural manuals as well as an Electronic Records and Imaging Policy and a Security Backup Policy.	Destroy in office 3 years after superseded or obsolete.	Confidentiality: G.S. § 132-1.7(b) G.S. § 132-6.1(c)
8.	INFORMATION TECHNOLOGY ASSISTANCE RECORDS Records documenting troubleshooting and problem-solving assistance provided by agency information systems personnel to users of the systems. Includes help desk assistance requests, resolution records, and related documentation.	Destroy in office 1 year after work is completed.	

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2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE




STANDARD 4: INFORMATION TECHNOLOGY RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
9.	 NETWORK AND SYSTEM SECURITY RECORDS Records documenting the security of network and system. Includes records concerning firewalls, anti-virus programs, and intruder scanning logs.	<ul style="list-style-type: none"> a) Destroy in office finalized cyber incident reports 5 years after resolution. b) Destroy in office after 2 years records documenting incidents involving unauthorized attempted entry or probes on data processing systems, IT systems, telecommunications networks, and electronic security systems. c) Destroy in office after 1 year records concerning firewalls, anti-virus programs, and other related records. 	Confidentiality: G.S. § 132-6.1(c)
10.	 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.	Destroy in office when superseded or obsolete.	Confidentiality: G.S. § 132-6.1(c)
11.	PROJECT DOCUMENTATION Records created to design, develop, control, or monitor a specific project or group of IT projects. Includes statements of work, assessments, maintenance agreements, and testing records. See also PROJECTS, page 45, item 53.	<ul style="list-style-type: none"> a) Retain in office permanently records with historical value. b) Destroy in office remaining records 3 years after completion of project. 	

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2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE



STANDARD 4: INFORMATION TECHNOLOGY RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
12.	SOFTWARE LICENSE AND COPYRIGHT PROVISIONS RECORDS Records documenting compliance with agency software license and copyright provisions. Includes software licenses, correspondence (including e-mail), and related documentation.	Destroy in office 1 year after software is superseded or obsolete.	
13.	SYSTEM ACCESS RECORDS Records documenting access requests and authorizations, system access logs, and other related records.	Destroy in office 1 year after superseded or obsolete.	
14.	 SYSTEM DOCUMENTATION RECORDS Records documenting operating systems, application programs, structure and form of datasets, system structure, and system-to-system communication. Includes system overviews, dataset inventories, server name, IP address, purpose of the system, vendor-supplied documentation, installed software, and current source code.	Destroy in office 3 years after superseded or obsolete.	Confidentiality: G.S. § 132-1.1(g) G.S. § 132-6.1(c)
15.	SYSTEM MAINTENANCE RECORDS: HARDWARE REPAIR OR SERVICE Records documenting inspections, maintenance, and repairs of agency computer systems that are owned or leased. Includes computer equipment inventories and service records. See also EQUIPMENT AND VEHICLE MAINTENANCE, REPAIR, AND INSPECTION RECORDS , page 37, item 24.	a) Destroy in office records documenting routine inspections and maintenance of equipment after 1 year. b) Destroy records documenting all other equipment maintenance and repairs upon the final disposition of the equipment.	

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2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE



STANDARD 4: INFORMATION TECHNOLOGY RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
16.	SYSTEM MAINTENANCE RECORDS: RECORDS BACKUPS Records documenting regular or essential system backups. Includes backup tape inventories, relevant correspondence (including e-mail), and related documentation. 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.	Destroy in office in accordance with your office's established, regular backup plan and procedures.† Agency Policy: Destroy in office after 1 year _____	
17.	TECHNICAL PROGRAM DOCUMENTATION Records concerning program code, program flowcharts, program maintenance logs, systems change notices, and other related records that document modifications to computer programs.	Destroy in office 1 year after superseded or obsolete.	
18.	VOICE OVER INTERNET PROTOCOL (VoIP) RECORDS Records concerning line registrations, calls logs, and voicemail records.	a) Destroy in office records concerning line registration when superseded or obsolete. b) Destroy in office call logs after 1 year. c) Destroy in office voicemail records after 30 days.	

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

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

2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE



STANDARD 4: INFORMATION TECHNOLOGY RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
19.	WEB MANAGEMENT AND OPERATIONS RECORDS: STRUCTURE Site maps that show the directory structure into which content pages are organized, and commercial, off-the-shelf software configuration or content management system files used to operate the site and establish its look and feel. Includes server environment configuration specifications. See also WEBSITE (ELECTRONIC) , page 100, item 15.	Destroy in office when superseded or obsolete.	

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2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE



STANDARD 5: LEGAL RECORDS
 Official documentation created or accumulated to substantiate the rights, obligations, or interests of the agency or their individual employees or clients. Please note the confidentiality that G.S. § 132-1.1(a) confers to communications by legal counsel expires three years after receipt of such communication.

STANDARD 5: LEGAL RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1a	AFFIDAVITS OF PUBLICATION Proof of publication provided by newspapers regarding publication of ordinances, public hearings, bid solicitations, payment of bills, public sales, etc. See also NOTICES OF PUBLIC MEETINGS , page 12, item 45.	a) Retain in office permanently if record provides sole evidence of publication. b) Destroy in office remaining records after 3 years.*	Authority: G.S. § 1-600
1b	ANNEXATION RECORDS Records concerning annexation of property into the city. Includes petitions, reports, correspondence, including email, maps, ordinances, and public hearings.	Retain in office permanently. <i>Retention Note: Annexation maps and ordinances must be filed with the County Register of Deeds office. G.S. §160A-29, G.S. §160A-58.61 and G.S. §160A-58.90.</i>	
2.	AUTHENTICATIONS Certificates of authentication issued by the agency.	Retain in office permanently.	
3.	CIVIL RIGHTS CASE RECORDS Records concerning discrimination complaints by employees or former employees and requests for reasonable accommodation. Includes equal opportunity (EO) complaints. See also PERSONNEL RECORDS (OFFICIAL COPY) , page 61, item 29.	Destroy in office 1 year after final disposition of the charge or the action.* <i>Retention Note: 29 CFR 1602.14 defines final disposition of the charge or the action as "the date of expiration of the statutory period within which the aggrieved person may bring an action in a U.S. District Court or, where an action is brought against an employer either by the aggrieved person, the Commission, or by the Attorney General, the date on which such litigation is terminated."</i>	Retention: 29 CFR 1602.14 29 CFR 1602.31

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

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

2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE



STANDARD 5: LEGAL RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.	<p>CIVIL RIGHTS RECORDS Records concerning documentation of personnel policies and procedures to comply with the Age Discrimination in Employment Act (ADEA), the Americans with Disabilities Act (ADA), the Equal Pay Act, the Genetic Information Nondiscrimination Act (GINA), Section 504 of the 1973 Rehabilitation Act, and the 1964 Civil Rights Act. Includes reports required by the Equal Employment Opportunity (EEO) Commission and affirmative action plans.</p> <p>See also CITIZEN COMMENTS, COMPLAINTS, PETITIONS, AND SERVICE REQUESTS, page 35, item 17, CIVIL RIGHTS CASE RECORDS, page 74, item 3, and POLICIES AND PROCEDURES (PERSONNEL), page 92, item 31.</p>	Destroy in office 3 years after superseded or obsolete.	<p>Authority: 29 CFR 1602.1 29 CFR 1602.7 29 CFR 1608.4</p> <p>Retention: 29 CFR 1602.30 29 CFR 1602.32</p>
5.	<p>CONDEMNATION RECORDS Settled and pending condemnation cases.</p> <p>See also ACCOUNTS PAYABLE, page 49, item 1 for disposition of financial records.</p>	Retain in office permanently.	
6.	<p>CONFLICT OF INTEREST AND CONFLICT OF COMMITMENT 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 1 year after completion of term or separation.	

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2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE





STANDARD 5: LEGAL RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
7.	<p>CONTRACTS, LEASES, AND AGREEMENTS Contracts and agreements for construction, equipment, property, supplies, special programs, and projects. Includes franchise agreements, hold harmless agreements, good faith effort documentation, contractor compliance monitoring, leases, and memoranda of understanding.</p> <p>See also SOFTWARE LICENSE AND COPYRIGHT PROVISIONS RECORDS, page 71, item 12.</p>	<p>a) Retain in office contracts and agreements with historical value permanently.</p> <p>b) Destroy in office sealed contract records 10 years after expiration of contract.*</p> <p>c) Destroy in office capital improvement contracts and business associate agreements 6 years after completion, termination, or expiration.*</p> <p>d) Destroy in office records documenting restrictions and compliance with license and copyright provisions for products and services purchased by the agency 1 year after superseded or obsolete.*</p> <p>e) Destroy in office all other contracts and agreements 3 years after completion, termination, or expiration.*</p>	<p>Retention: G.S. § 1-47(2) G.S. § 1-50(a)(5) 45 CFR 164.316 G.S. § 1-52</p>
8.	<p>DECLARATORY RULINGS Records concerning declaratory rulings issued by the agency to interpret statutes or rules as applied to a specified set of facts.</p>	Retain in office permanently.	
9.	<p>DELEGATION OF AUTHORITY RECORDS Records documenting delegations of power to authorize agency business. Includes signature authorities and powers of attorney.</p>	Destroy in office 1 year after superseded or obsolete.	
10.	<p>EASEMENTS AND RIGHT-OF-WAY AGREEMENTS Granted to the agency.</p> <p>See also ACCOUNTS PAYABLE, page 49, item 1 for disposition of financial records.</p>	Destroy in office 10 years after expiration of agreement.	

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2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE




STANDARD 5: LEGAL RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
11.	ENCROACHMENTS Records concerning agreements granted by or to the agency. Also includes maps or drawings detailing construction plans attached to agreements.	a) Retain in office permanently records concerning agreements granted by outside entities to the agency. b) Destroy in office when superseded or obsolete records concerning agreements granted to utilities, businesses, and private citizens to encroach upon agency property.	
12.	LAND OWNERSHIP RECORDS Includes deeds and titles.	Destroy in office 1 year after agency relinquishes ownership of land.*	
13.	LEGAL CORRESPONDENCE  Correspondence (including e-mail) and related records concerning legal matters not related to specific legal cases or official opinions.	Destroy in office after 5 years. For information on handling e-mail, see ELECTRONIC RECORDS , page 17.	Confidentiality: G.S. § 132-1.1(a)
14.	LEGAL OPINIONS Formal legal opinions written by counsel in response to requests concerning the governance and administration of the agency.	Retain in office permanently.	
15.	LEGAL REVIEW RECORDS  Includes legal reviews of by-laws and charges to boards and commissions, conflicts of interest, and all other agency matters as requested. See also LEGAL OPINIONS , page 77, item 14.	a) Retain in office records with historical value permanently. b) Destroy in office remaining records after expiration of relevant statute of limitations.	Confidentiality: G.S. § 132-1.1(a)

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2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE



STANDARD 5: LEGAL RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
16.	LITIGATION CASE RECORDS  Civil suits to which the agency is a party. Includes affidavits, agreements, appeals, bills, briefs, citations, commitments, complaints, discharges, motions, notices, pleas, releases, statements, testimony, verdicts, waivers, warrants, and writs.	a) Retain in office cases having precedential or historical value permanently. b) Destroy in office adjudicated cases 6 years after final disposition. c) Destroy in office non-adjudicated cases (out-of-court claims) 6 years after final disposition or expiration of relevant statute of limitations.	Confidentiality: G.S. § 132-1.1(a) G.S. § 132-1.9
17.	OATHS OF OFFICE See also GOVERNING AND ADVISORY BODY MEMBER FILES , page 38, item 29.	Transfer official copy of oath of office to the Clerk to the Board. <i>Retention Note: The Clerk to the Board should present a copy of the oaths of elected officials to the Clerk of Superior Court for recording. The Clerk to the Board maintains the original oaths.</i>	Authority: G.S. § 153A-26 Retention: G.S. § 7A-103(2)
18.	PERMISSIONS Records conferring legal permission. Includes copyright permission requests and requests for permission to publish intellectual property or holdings of the agency. Also includes copyrights, patents, and trademarks held by the agency.	a) Retain in office permanently records conferring perpetual legal permission as well as records documenting copyrights, patents, and trademarks held by the agency. b) Destroy in office 3 years after expiration records concerning one-time copyright permissions granted by the agency.	
19.	PRE-TRIAL RELEASE PROGRAM RECORDS Records documenting supervision for defendants who do not pose a risk to the community as they await trial.	Destroy in office 3 years after trial.	

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2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE



STANDARD 5: LEGAL RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
20.	REASONABLE ACCOMMODATIONS Records concerning agency efforts to provide reasonable accommodations to the general public under Title II of the Americans with Disabilities Act, Housing and Urban Development Act, 1973 Rehabilitation Act, and Title VII of the Civil Rights Act of 1964. Includes constituent requests, survey of agency buildings to determine accessibility to the physically handicapped, proposals for implementation, and resolutions. See also CITIZEN COMMENTS, COMPLAINTS, PETITIONS, AND SERVICE REQUESTS , page 35, item 17, and CIVIL RIGHTS CASE RECORDS , page 74, item 3.	Destroy in office after 2 years.*	Authority: 42 USC 12132
21.	RELEASE FORMS Records documenting consent and waiving the individual's right to hold the agency responsible for injuries or damages occurring while voluntarily participating in events or activities.	Destroy in office 5 years after termination of release/waiver.	
22.	VEHICLE TITLES Titles of agency owned vehicles.	Dispose of in accordance with Division of Motor Vehicles procedures for title transfer upon disposition of vehicle.	Authority: G.S. § 20-72

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2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE




STANDARD 6: PERSONNEL RECORDS
 Official records and materials created and accumulated incidental to the employment, qualifications, training, and pay status of agency employees. Comply with applicable provisions of G.S. § 115C Article 21A (LEAs), G.S. § 122C-158 (area authorities), G.S. § 130A-45.9 (public health authorities), G.S. § 153A-98 (county), G.S. § 160A-168 (municipal), G.S. § 161E-257.2 (public hospitals), and G.S. § 162A-6.1 (water and sewer authorities) regarding confidentiality of personnel records.

STANDARD 6: PERSONNEL RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	ABOLISHED POSITIONS	Destroy in office after 1 year.	
2.	ADMINISTRATIVE INVESTIGATIONS Records concerning the investigation of conduct problems among agency personnel. See also DISCIPLINARY ACTIONS , page 84, item 12.	a) Destroy in office after 3 years records concerning complaints against agency personnel that are resolved without an internal investigation. b) Destroy in office after 5 years records concerning complaints lodged against agency personnel that are exonerated. Destroy in office 5 years after final disposition or expiration of relevant statute of limitations complaints lodged against agency personnel that are settled out-of-court. c) Transfer investigation reports, disciplinary actions, and other related internal affairs case records to PERSONNEL RECORDS (OFFICIAL COPY) , page 91, item 29.	Confidentiality: G.S. § 115C Art. 21A G.S. § 122C-158 G.S. § 130A-45.9 G.S. § 153A-98 G.S. § 160-168 G.S. § 161E-257.2 G.S. § 162A-6.1

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2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE




STANDARD 6: PERSONNEL RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
3.	 APPLICATIONS FOR EMPLOYMENT Records submitted by job applicants for vacant positions or by current employees for promotion, transfer, or training opportunities. Includes applications, transcripts, resumes, letters of reference, and other related records.	a) Transfer applications, resumes, transcripts, and similar records as applicable to PERSONNEL RECORDS (OFFICIAL COPY) , page 91, item 29. b) Destroy in office after 2 years unsolicited application materials from individuals hired. 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 2 years after receipt unsolicited applications/resumes and those received after posted closing dates.	Confidentiality: G.S. § 115C Art. 21A G.S. § 122C-158 G.S. § 130A-45.9 G.S. § 153A-98 G.S. § 160-168 G.S. § 161E-257.2 G.S. § 162A-6.1 Retention: 29 CFR 1602.31
4.	APPRENTICESHIP PROGRAM RECORDS Records concerning registered apprenticeship programs. Includes applications and selection materials as well as aggregated data. Also includes apprenticeship affirmative action plans.	Destroy in office 5 years after the making of the record or the personnel action involved, whichever occurs later.	Authority: 29 CFR 30.4(a) 29 CFR 1602.20 Retention: 29 CFR 30.12(d) 29 CFR 1602.21

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2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE




STANDARD 6: PERSONNEL RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
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. Includes civil service examinations. See also EMPLOYMENT SELECTION RECORDS , page 86, item 17.	Destroy in office after 2 years.	Confidentiality: G.S. § 115C Art. 21A G.S. § 122C-158 G.S. § 130A-45.9 G.S. § 153A-98 G.S. § 160-168 G.S. § 161E-257.2 G.S. § 162A-6.1 Retention: 29 CFR 1602.31 29 CFR 1627.3(b)(1)(iv)
6.	ASBESTOS TRAINING Records concerning training programs about the proper management of asbestos. See also BLOODBORNE PATHOGEN TRAINING , page 83, item 8, and HAZARDOUS MATERIALS TRAINING RECORDS , page 88, item 21.	a) Destroy in office employee-specific records 1 year after separation. b) Destroy in office remaining records when superseded or obsolete.	Retention: 29 CFR 1910.1001(m)(4)
7.	BENEFITS RECORDS Records concerning life, health, accident, and disability insurance plans as well as seniority and merit systems. Includes records concerning systems in which employees can select fringe benefits from a cafeteria plan, including flexible spending plans. File also includes notifications, election and claim forms, rejection letters, and other records related to COBRA (Consolidated Omnibus Budget Reconciliation Act).	a) Destroy in office approved claims forms after 2 years.* b) Destroy in office rejected requests 6 months after decision. c) Destroy in office notifications to employees or dependents informing them of their rights to continue insurance coverage after termination or during disability or family leave 3 years after employee returns or eligibility expires. d) Destroy in office remaining records 1 year after plan is terminated.	Retention: 29 CFR 1627.3(b)(2)

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2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE



STANDARD 6: PERSONNEL RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
8.	BLOODBORNE PATHOGEN TRAINING Includes records showing date of training, sessions, contents or summaries of sessions, names of employees attending, and names and qualifications of instructors. See also ASBESTOS TRAINING , page 82, item 6, and HAZARDOUS MATERIALS TRAINING RECORDS , page 88, item 21.	Destroy in office after 3 years.	Retention: 29 CFR 1910.1030(h)(2)(ii)
9.	 CERTIFICATION AND QUALIFICATION RECORDS Records concerning certification or qualification as required for employment, continued employment, or promotion. See also APPLICATIONS FOR EMPLOYMENT , page 81, item 3.	a) Destroy in office certificates 5 years after date of separation. b) Destroy in office instructional materials, assessments, and other related records when superseded or obsolete.	Confidentiality: G.S. § 115C Art. 21A G.S. § 122C-158 G.S. § 130A-45.9 G.S. § 153A-98 G.S. § 160-168 G.S. § 161E-257.2 G.S. § 162A-6.1 Retention: 29 CFR 1602.31
10.	DIRECTORIES, ROSTERS, OR INDICES Includes records listing employees, their job titles, work locations, phone numbers, e-mail addresses, and similar information.	Destroy in office when superseded or obsolete.	

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2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE



STANDARD 6: PERSONNEL RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
11.	DISABILITY SALARY CONTINUATION CLAIMS Forms used by disabled employees to apply for salary continuation benefits. Also include short-term disability claims forms and other related records.	a) Transfer original forms to Local Government Employees' Retirement System (LGMERS) or Teachers' and State Employees' Retirement System (TSERS) for action when received. b) Destroy in office remaining records after 3 years.	
12.	DISCIPLINARY ACTIONS Correspondence (including e-mail) and other records concerning disciplinary actions taken against employees by personnel or supervisory staff, including records documenting terminations. Includes records created by civil service boards when considering, or reconsidering on appeal, an adverse action against an employee.	a) Transfer records as applicable to PERSONNEL RECORDS (OFFICIAL COPY) , page 91, item 29. b) Destroy in office all remaining records 2 years after resolution of all actions.	Authority: G.S. § 115C Art. 21A G.S. § 122C-158 G.S. § 130A-45.9 G.S. § 153A-98 G.S. § 160-168 G.S. § 161E-257.2 G.S. § 162A-6.1 Retention: 29 CFR 1602.31 Subject to the public information provision delineated in the above authorities.
13.	DUAL EMPLOYMENT Records concerning employees' requests and authorizations to accept employment with another local government agency.	a) Destroy in office approved requests and related records 1 year after employee terminates additional employment. b) Destroy in office denied requests and related records after 6 months.	

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2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE



STANDARD 6: PERSONNEL RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
14.	EDUCATIONAL LEAVE AND REIMBURSEMENT Includes records requesting educational leave and tuition assistance, reimbursements, and other related records. See also LEAVE RECORDS , page 88, item 24.	a) Transfer records documenting approved leave requests to PERSONNEL RECORDS (OFFICIAL COPY) , page 91, item 29. b) Destroy in office records concerning denied requests 6 months after denial.* Destroy in office records concerning approved tuition reimbursements 3 years after reimbursement.*	Confidentiality: G.S. § 115C Art. 21A G.S. § 122C-158 G.S. § 130A-45.9 G.S. § 153A-98 G.S. § 160-168 G.S. § 161E-257.2 G.S. § 162A-6.1
15.	ELIGIBILITY RECORDS Includes the I-9 forms, employment authorization documents filed with the U.S. Department of Labor, petitions filed by the agency, E-Verify documentation, and Selective Service Registration compliance forms.	a) I-9 forms have mandatory retention throughout the duration of an individual's employment. After separation, destroy records in office 3 years from date of hire or 1 year from separation, whichever occurs later. b) Destroy in office after 5 years employment authorization documents filed with the U.S. Department of Labor. c) Destroy in office immigrant or nonimmigrant petitions filed by the agency 3 years after employee separation. d) Destroy in office remaining records 1 year after employee separation.	Confidentiality: G.S. § 115C Art. 21A G.S. § 122C-158 G.S. § 130A-45.9 G.S. § 153A-98 G.S. § 160-168 G.S. § 161E-257.2 G.S. § 162A-6.1 Retention: 8 USC 1324a(b)(3)
16.	EMPLOYEE ASSISTANCE PROGRAMS Records documenting assistance and counseling opportunities. Includes requests for information, referrals, forms, releases, correspondence, and other related records.	Destroy in office after 3 years.	Confidentiality: G.S. § 115C Art. 21A G.S. § 122C-158 G.S. § 130A-45.9 G.S. § 153A-98 G.S. § 160-168 G.S. § 161E-257.2 G.S. § 162A-6.1

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2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE





STANDARD 6: PERSONNEL RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
17.	EMPLOYMENT SELECTION RECORDS Records concerning the selection of applicants for vacant positions or of current employees for promotion, transfer, or training opportunities. Includes interview documentation, rosters, eligibility lists, test ranking sheets, justification statements, background and criminal history checks, and similar records. See also APPLICATIONS FOR EMPLOYMENT , page 81, item 3, and APTITUDE AND SKILLS TESTING RECORDS , page 82, item 5.	a) Destroy in office background and criminal history checks after 5 years. b) Destroy in office remaining records 2 years after hiring decision.*	Confidentiality: G.S. § 115C Art. 21A G.S. § 122C-158 G.S. § 130A-45.9 G.S. § 153A-98 G.S. § 160-168 G.S. § 161E-257.2 G.S. § 162A-6.1 Retention: 29 CFR 1602.31 29 CFR 1627.3(b)(1)
18.	EXIT INTERVIEW RECORDS Includes feedback from employees planning to separate from the agency.	Destroy in office after 1 year.	Confidentiality: G.S. § 115C Art. 21A G.S. § 122C-158 G.S. § 130A-45.9 G.S. § 153A-98 G.S. § 160-168 G.S. § 161E-257.2 G.S. § 162A-6.1

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2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE




STANDARD 6: PERSONNEL RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
19.	 FAMILY MEDICAL LEAVE ACT (FMLA) RECORDS Records concerning leave taken, premium payments, employer notice, medical examinations considered in connection with personnel action, disputes with employees over FMLA, and other related records. See also LEAVE RECORDS , page 88, item 24.	Destroy in office 3 years after leave ends.*	Authority: 29 CFR 825.110 Confidentiality: G.S. § 115C Art. 21A G.S. § 122C-158 G.S. § 130A-45.9 G.S. § 153A-98 G.S. § 160-168 G.S. § 161E-257.2 G.S. § 162A-6.1 Retention: 29 CFR 825.500(b)
20.	 GRIEVANCES Includes initial complaint by employee, investigation, action, summary, and disposition. See also DISCIPLINARY ACTIONS , page 84, item 12, and PERSONNEL RECORDS (OFFICIAL COPY) , page 91, item 29.	Destroy in office after 2 years.*	Confidentiality: G.S. § 115C Art. 21A G.S. § 122C-158 G.S. § 130A-45.9 G.S. § 153A-98 G.S. § 160-168 G.S. § 161E-257.2 G.S. § 162A-6.1

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2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE



STANDARD 6: PERSONNEL RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
21.	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. See also ASBESTOS TRAINING , page 82, item 6, and BLOODBORNE PATHOGEN TRAINING , page 83, item 8.	Destroy in office after 5 years.	Authority: 29 CFR 1910.120(p)(8)(iii) 10A NCAC 15
22.	INTERNSHIP PROGRAM Records concerning interns and students who work for the agency.	Destroy in office after 2 years.	
23.	LAW ENFORCEMENT TRAINING Records concerning internal training for law enforcement personnel.	Retain in office permanently.	
24.	 LEAVE RECORDS Records concerning employee leave, including requests for and approval of sick, vacation, overtime, buy-back, shared, donated, etc. Also includes records documenting leave without pay. See also EDUCATIONAL LEAVE AND REIMBURSEMENT , page 85, item 14, FAMILY MEDICAL LEAVE ACT (FMLA) RECORDS , page 87, item 19, and MILITARY LEAVE , page 89, item 26.	a) Destroy in office denied requests after 6 months. b) Destroy in office approved requests 3 years after return of employee or termination of employment.*	Confidentiality: G.S. § 115C Art. 21A G.S. § 122C-158 G.S. § 130A-45.9 G.S. § 153A-98 G.S. § 160-168 G.S. § 161E-257.2 G.S. § 162A-6.1

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2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE



STANDARD 6: PERSONNEL RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
25.	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.)	a) Destroy in office exposure records 30 years after date of exposure.* b) Destroy in office records pertaining to first-aid job-related illness and injury after 5 years. c) Provide medical records to employees who have worked for less than 1 year at time of separation. d) Destroy in office after 1 year records concerning physical examinations or health certificates. e) Destroy in office remaining records 30 years after employee separation. <i>Retention Note: Records must be maintained separately from an employee's personnel jacket. If part of a worker's compensation claim, follow disposition for WORKERS' COMPENSATION PROGRAM CLAIMS, page 96, item 50.</i>	Authority: 29 CFR 1910.1020(e) Confidentiality: 29 CFR 1630.14(c)(1) 29 CFR 1910.1030(h)(1)(iii) Retention: 29 CFR 1627.3(b)(1)(v) 29 CFR 1910.1020(d) 42 USC 12112(d)(3)
26.	MILITARY LEAVE Records concerning military leave, as established by the Uniformed Services Employment and Reemployment Rights Act (USERRA). See also LEAVE RECORDS, page 57, item 24.	Destroy in office 3 years after leave ends or employee separates from agency.*	Authority: 5 CFR 1208

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2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE



STANDARD 6: PERSONNEL RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
27.	PERFORMANCE REVIEWS Information used to establish employees' goals and primary tasks. Records used to evaluate each employee's work performance. See also PERSONNEL RECORDS (OFFICIAL COPY), page 91, item 29.	Destroy in office after 3 years.	Confidentiality (applies only to performance evaluations): G.S. § 115C Art. 21A G.S. § 122C-158 G.S. § 130A-45.9 G.S. § 153A-98 G.S. § 160-168 G.S. § 161E-257.2 G.S. § 162A-6.1
28.	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, and position or job title.	Transfer records to PERSONNEL RECORDS (OFFICIAL COPY), page 91, item 29.	Subject to the public information provision delineated in relevant General Statutes.

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2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE



STANDARD 6: PERSONNEL RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
29.	PERSONNEL RECORDS (OFFICIAL COPY) Official copy of personnel file maintained on each permanent and temporary agency employee. Includes basic employee information and records and forms relating to the selection or non-selection, promotion, transfer, leave, salary, suspension, and termination of employment. Note: For agencies responsible for maintaining personnel files for criminal justice officers, please consult 12 NCAC 09C .0307 for the mandatory records of certification that must be housed in the personnel file. See also MEDICAL RECORDS , page 58, item 25.	a) Destroy in office after 30 years from date of separation information needed to document: date and amount of each increase or decrease in salary with that agency; date and type of each promotion, demotion, transfer, suspension, separation, or other change in position classification with that agency; date and general description of the reasons for each promotion with that agency; date and type of each dismissal, suspension, or demotion for disciplinary reasons taken by the agency; and, if the disciplinary action was a dismissal, a copy of the written notice of the final decision of the agency setting forth the specific acts or omissions that are the basis of the dismissal. b) Destroy in office information necessary to verify benefits 30 years after date of separation. c) Destroy in office remaining records when individual retention periods are reached as noted in individual items in the Records Retention and Disposition Schedule.	Authority/ Confidentiality: G.S. § 115C Art. 21A G.S. § 122C-158 G.S. § 130A-45.9 G.S. § 153A-98 G.S. § 160-168 G.S. § 161E-257.2 G.S. § 162A-6.1
30.	PERSONNEL RECORDS (SUPERVISOR COPY) Personnel jacket that is often maintained by supervisors.	a) Transfer records as applicable to PERSONNEL RECORDS (OFFICIAL COPY) , page 60, item 29. b) Destroy in office remaining records when reference value ends.† Agency Policy: Destroy in office after 3 years after employee ceases employment	Confidentiality: G.S. § 115C Art. 21A G.S. § 122C-158 G.S. § 130A-45.9 G.S. § 153A-98 G.S. § 160-168 G.S. § 161E-257.2 G.S. § 162A-6.1

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2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE



STANDARD 6: PERSONNEL RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
31.	POLICIES AND PROCEDURES (PERSONNEL)	a) Retain in office internal agency personnel policies and procedures permanently. b) Destroy in office remaining records when superseded or obsolete.	
32.	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.	Destroy in office 3 years from the date the test was given, or from the date the test was requested if no examination was given.	Confidentiality: G.S. § 115C Art. 21A G.S. § 122C-158 G.S. § 130A-45.9 G.S. § 153A-98 G.S. § 160-168 G.S. § 161E-257.2 G.S. § 162A-6.1 Retention: 29 CFR 801.30
33.	POSITION CLASSIFICATION, CONTROL, AND HISTORY Records concerning personnel actions and position control, status of each established permanent, temporary full-time, or part-time position, and other related topics. Also includes listings providing classification, titles, and position numbers. See also POSITION DESCRIPTIONS , page 92, item 34.	a) Retain in office records with historical value permanently. b) Destroy in office remaining records when superseded or obsolete.	
34.	POSITION DESCRIPTIONS Includes information on job title, grade, duties, agency assigned, and responsibilities.	Destroy in office 2 years after superseded.	Retention: 29 CFR 1620.32


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

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

2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE



STANDARD 6: PERSONNEL RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
35.	POSITION EVALUATIONS Forms used to evaluate the primary purpose of a position.	Destroy in office after 1 year.	
36.	RECRUITMENT RECORDS Includes ads and notices of overtime, promotion, and training. Also includes employment listings.	Destroy in office 1 year from date of record.	Retention: 29 CFR 1627.3(b)
37.	RETIREMENT RECORDS Includes plans and related records outlining the terms of employee pension and other deferred compensation plans.	a) Destroy in office records documenting deferred compensation 3 years after payment.* b) Destroy in office descriptive information about retirements plans 1 year after plan is terminated. c) Destroy in office records concerning employer-sponsored retirement plans 7 years after payment.* d) Transfer Local Governmental Employees' Retirement System (LERS) forms to Department of State Treasurer. e) Transfer applicable records to PERSONNEL RECORDS (OFFICIAL COPY) , page 91, item 29.	Retention: 29 CFR 1627.3(b)(2)
38.	SEASONAL AND CONTRACT WORKER RECORDS  Records concerning seasonal or contractual employees who are not provided with or eligible for benefits.	Destroy in office 5 years after date of separation.	Confidentiality: G.S. § 115C Art. 21A G.S. § 122C-158 G.S. § 130A-45.9 G.S. § 153A-98 G.S. § 160-168 G.S. § 161E-257.2 G.S. § 162A-6.1

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2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE



STANDARD 6: PERSONNEL RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
39.	SECONDARY EMPLOYMENT Records concerning employees' requests and authorizations to accept employment with a private entity.	a) Destroy in office approved requests and related records 1 year after employee terminates outside employment. b) Destroy in office denied requests and related records after 6 months.	
40.	SERVICE AWARDS AND COMMENDATIONS Includes award and selection committee reports, nominations, selection criteria, and similar administrative records relating to employee recognition or incentive programs. See also PERSONNEL RECORDS (OFFICIAL COPY) , page 91, item 29.	Destroy in office 2 years from date of record creation or the personnel action involved.	
41.	SUGGESTIONS AND SURVEYS Recommendations and feedback submitted by agency employees.	Destroy in office after 1 year.	
42.	TRAINING AND EDUCATIONAL RECORDS Includes employee-specific records (certificates, transcripts, test scores, etc.) relating to the training, testing, or continuing education of employees. See also CONFERENCES AND WORKSHOPS , page 98, item 4, and EDUCATIONAL LEAVE AND REIMBURSEMENT , page 85, item 14. Other required trainings are handled in ASBESTOS TRAINING , page 82, item 6, BLOODBORNE PATHOGEN TRAINING , page 83, item 8, and HAZARDOUS MATERIALS TRAINING RECORDS , page 88, item 21.	a) Transfer records as applicable to PERSONNEL RECORDS (OFFICIAL COPY) , page 91, item 29, if such training and testing is required for the position held or could affect career advancement. b) Destroy in office remaining records after 1 year.	Retention: 29 CFR 1627.3(b)(1)(v)

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2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE



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

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2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE



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

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2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE



STANDARD 7: PUBLIC RELATIONS RECORDS
 Official records and materials created and accumulated by internal public relations programs operated by the agency.

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

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

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

2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE



STANDARD 7: PUBLIC RELATIONS RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.	CONFERENCES AND WORKSHOPS Records concerning conferences and workshops conducted by agency employees. Includes slides, charts, transparencies, handouts, and other related records used in presentations. See also TRAINING AND EDUCATIONAL RECORDS , page 94, item 42.	a) Retain in office records with historical value permanently. b) Destroy in office remaining records when superseded or obsolete.	
5.	EDUCATIONAL MATERIALS Materials produced for usage by teachers or tour groups. Includes lesson plans, activities, and other related records.	Destroy in office when superseded or obsolete.	
6.	FUND DRIVE AND EVENT RECORDS Records documenting the promotion and organization of fund drives and other special events in which the agency participated. Includes records concerning solicitations requesting and donations providing money or in-kind donations for agency programs. Also includes invitations, registration materials, agendas, handouts, presentations, and programs. See also DONATIONS AND SOLICITATIONS , page 53, item 21.	a) Retain in office records with historical value permanently. b) Destroy in office remaining records when superseded or obsolete.	
7.	INVITATIONS Invitations sent and received concerning agency and external functions.	Destroy in office after event occurs.	

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2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE



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

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

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

2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE



STANDARD 7: PUBLIC RELATIONS RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
13.	SOCIAL MEDIA	See APPENDIX for guidance in handling social media.	
14.	SPEECHES Speeches made by agency officials.	a) Retain in office records with historical value permanently. b) Destroy in office remaining records when reference value ends.† Agency Policy: Destroy in office after 3 yrs from event.	
15.	WEBSITE (ELECTRONIC) Records created and maintained in paper and electronic formats concerning the creation and maintenance of the agency's presence on the World Wide Web. Includes correspondence (including e-mail), procedures, instructions, website designs, HTML/XHTML, or other web-based file formats, and other related records. See also WEB MANAGEMENT AND OPERATIONS RECORDS: STRUCTURE , page 73, item 19.	a) Capture website annually or whenever a major revision in design and/or content has taken place, whichever occurs first. Retain captured content in office permanently. Can be maintained as website snapshots or via Web crawler. b) Destroy in office remaining records when superseded or obsolete.	

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2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE




STANDARD 8: RISK MANAGEMENT RECORDS
Official records created and accumulated to manage risks in the agency.

STANDARD 8: RISK MANAGEMENT RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	ACCIDENT/INCIDENT REPORTS (CUSTOMER AND EMPLOYEE) See also WORKERS' COMPENSATION PROGRAM CLAIMS, page 96, item 50.	a) Transfer records resulting in workers' compensation to WORKERS' COMPENSATION PROGRAM CLAIMS, page 96, item 50. b) Destroy in office remaining employee claims 3 years after settlement or denial of claim.* c) Destroy in office adult non-employee 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.	Retention: 29 CFR 1910.1001(j)(3)(ii)
3.	DECLARATIONS AND TERMINATIONS OF STATES OF EMERGENCY	Retain in office permanently.	Authority: G.S. § 166A-19.22

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2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE



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

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2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE



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

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2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE



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

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RECORDS RETENTION AND DISPOSITION SCHEDULE

MUNICIPAL

2019 LOCAL GOVERNMENT AGENCIES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE



STANDARD 9: WORKFORCE DEVELOPMENT RECORDS
 Official records created and accumulated by the agency to manage workforce development programs. Relevant legislation includes the Comprehensive Employment and Training Act, the Job Training and Partnership Act, the Workforce Investment Act, and the Workforce Innovation and Opportunity Act.



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

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 Division of Archives and Records
 State Archives of North Carolina
 Government Records Branch

September 10, 2012

STANDARD 10. AIRPORT AUTHORITY RECORDS Official records and materials created and accumulated incidental to the operation of a municipal or regional airport.

STANDARD 10: AIRPORT AUTHORITY RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	AIR SPACE CONSTRUCTION FILES Applications to construct structures which may obstruct flight space. May include correspondence 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) Destroy in office when superseded or obsolete. b) Retain records with historical value permanently.	14 CFR 139.201

STANDARD 10: AIRPORT AUTHORITY RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.	AIRPORT COMMISSION MINUTES See the Microfilm section on page x for instructions on microfilming minutes.	a) The official minutes of the governing board and its subsidiary boards are permanent records. b) The official minutes of advisory boards may only be destroyed upon approval by the Department of Cultural Resources (DCR). The DCR reserves the right to designate the minutes of any advisory board as permanent. 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, DCR reserves the right to designate the minutes as permanent.† Agency Policy: Destroy in office after 3 years, if generated	
5.	AIRPORT MASTER RECORD FILES Federal Aviation Administration (FAA) form 5010 documenting basic information concerning airports	Destroy in office when superseded.	
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.	

STANDARD 10: AIRPORT AUTHORITY RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
8.	RADIO LOGS Records of radio calls received and placed.	Destroy in office after 1 year.	

STANDARD 11. ANIMAL CONTROL AND SHELTER RECORDS Records and materials regarding conduct of municipal animal control and shelter programs.

STANDARD 11: ANIMAL CONTROL AND SHELTER RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	ACTIVITY REPORTS (ANIMAL CONTROL) Daily, weekly and monthly reports to County Health Department, Department of Health Services, etc., providing statistics regarding complaints answered, dogs and cats impounded, impounded animals euthanized, vaccinations, and dog and cat bites reported. See also REPORTS AND STUDIES (INTERNAL ADMINISTRATION) , page 46, item 58.	Destroy in office after 1 year.	
2.	ANIMAL ADOPTION RECORDS Includes pre-adoption records and agreements.	Destroy in office after 2 years.	
3.	ANIMAL ABUSE CASES	Destroy in office after 5 years.*	
4.	ANIMAL BITE RECORDS Includes copies of bite reports filed with the local Public Health Department. See also DANGEROUS ANIMAL RECORDS , page 112, item 11.	Destroy in office after 3 years.*	G.S. §130A-196, 197, 198.

ITEM #	STANDARD 11: ANIMAL CONTROL AND SHELTER RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
5.	ANIMAL COMPLAINT RECORDS Includes complaints of animal abuse and nuisances. See also DANGEROUS ANIMAL RECORDS , page 112, item 11.	Destroy in office after 3 years.*	
6.	ANIMAL CONTROL CITATIONS/COMPLIANCE ORDERS Includes citations and/or compliance orders issued to animal owners of violations of municipal ordinances. See also DANGEROUS ANIMAL RECORDS , page 112, item 11	Destroy in office after 3 years.*	
7.	ANIMAL CONTROL RECORDS Reports of animal control calls. May include information regarding animal bites, animals received from citizens, strays caught, animals taken to shelters or returned to owner, use of tranquilizer guns, and other related information.	a) Destroy in office records concerning dangerous animals until known dead or after 10 years. b) Destroy in office records concerning animal abuse cases after 5 years. c) Destroy in office remaining records after 1 year.	
8.	ANIMAL CRUELTY RECORDS Includes complaints, citations and/or compliance orders, and similar records.	Destroy in office when administrative value ends.†* Agency Policy: Destroy in office after <u>3</u> years.	G.S. §14-360
9.	CERTIFICATES OF ANIMAL RELEASE Certificates verifying health of animals examined and released by municipal animal control.	Destroy in office after 1 year.	

ITEM #	STANDARD 11: ANIMAL CONTROL AND SHELTER RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
10.	CONTROLLED SUBSTANCE EUTHANASIA LOG Includes amount of controlled substance used and animals euthanized.	Destroy in office after 2 years.	21 CFR 1304.03
11.	DANGEROUS ANIMAL RECORDS Includes complaints, compliance orders, citations, bite reports, and similar records relating to dangerous animals.	Destroy in office records relating to dangerous animals when known dead or after 10 years.*	G.S. §67-4.1
12.	HISTORIES OF PET OWNERS Records concerning information for each animal owner who violates the municipal ordinances. May include signed complaint forms, pictures, and paperwork issued by the animal control officer.	Destroy in office after 3 years.*	
13.	IMPOUNDMENT RECORDS	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after <u>3</u> years.	
14.	OWNER CONTACT NOTICE RECORDS	Destroy in office 1 year from date of contact.	
15.	RABIES CONTROL REPORTS Monthly reports sent to the Division of Health and Human Services.	Destroy in office after 1 year.	
16.	REFERENCE MATERIAL (ANIMAL CONTROL) Informational materials concerning first aid, care and handling of pets, ticks, rabies, etc.	Destroy when superseded or obsolete.	

STANDARD 11: ANIMAL CONTROL AND SHELTER RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
17.	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.	
18.	VACCINATION RECORDS Includes rabies vaccination certificates sent to municipal animal control by area veterinarians.	Destroy in office after 3 years.	

STANDARD 12. BUILDING INSPECTION RECORDS
Official records and materials created and accumulated during the conduct of municipal building 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.)

STANDARD 12: BUILDING INSPECTION RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	BLUEPRINTS AND SPECIFICATIONS Blueprints, drawings, and specifications submitted when applying for a building permit for new construction. 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 _____ 6 years. b) Destroy in office commercial blueprints and specifications 1 year after issuance of certificate of occupancy. c) Retain governmental 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.
2.	BUILDING AND FIRE CODE VIOLATIONS CASES Includes complaints, notices, and other information created or compiled during the course of investigation and resolution of each alleged violation. May include appeals.	Destroy in office 3 years after verification of correction.	

ITEM #	STANDARD 12: BUILDING INSPECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
3.	BUILDING INSPECTION REPORTS Records concerning existing building inspections.	a) Destroy in office inspections with no defects after 6 years. b) Destroy in office inspections with noted defects 6 years after defect is corrected.	
4.	BUILDING PERMITS AND APPLICATIONS Applications from property owners to erect new structures or to make structural modifications to existing ones and permits allowing the construction. May include contractor change forms.	a) Destroy in office 6 years after issuance of certificate of occupancy and/or expiration of permit. b) Destroy in office applications for which a permit was never issued when administrative value ends.† Agency Policy: Destroy in office after <u>6</u> years	
5.	BUILDING PERMIT LOG Record showing permit number, date, name of owner, cost of construction, permit date, and receipts.	Destroy in office after 6 years.	
6.	BUILDING PERMIT RECEIPT BOOKS	Destroy in office after 3 years.*	
7.	BUILDING TRADES CERTIFICATIONS	Destroy in office when superseded or obsolete.	
8.	BURNING PERMITS (BUILDING INSPECTIONS) Records concerning permits issued during the 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 <u>2</u> years	
9.	CERTIFICATES OF OCCUPANCY Records indicating buildings in the city which have been inspected and approved for occupancy.	Destroy in office after 6 years.	

ITEM #	STANDARD 12: BUILDING INSPECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
10.	CONSTRUCTION REPORTS	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after <u>1</u> year	
11.	CONTRACTORS LICENSING	Destroy in office when superseded or obsolete.	
12.	DEMOLITION FILE Records relating to demolition and clearance of buildings deemed unfit for habitation. File includes building inspection reports, letter to property owners, and demolition documents.	Destroy in office after 6 years.*	
13.	ENCROACHMENTS OF RIGHT-OF-WAY APPLICATIONS AND PERMITS	c) Destroy in office 3 years after case is resolved. d) Destroy in office applications for which a permit was never issued when administrative value ends.† Agency Policy: Destroy in office after <u>90</u> days	
14.	INSPECTIONS Inspection requests, notices of violations, denial reports, sketches, plans, correspondence, including email, and similar records concerning the construction, modification or demolition of existing and new buildings, or the installation of plumbing, electrical or mechanical systems.	Destroy in office 6 years after completion of project.	
15.	INSPECTOR WORKSHEETS	a) Destroy in office 6 years after completion of project if worksheet is only record of inspections. b) Destroy in office remaining records when administrative value ends.† Agency Policy: Destroy in office after <u>6</u> years	

STANDARD 12: BUILDING INSPECTION RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
16.	MAPS, PLATS AND DRAWINGS Maps, blueprint drawings and plats of subdivisions generally showing roads, bodies of water, dimensions of lots, sewage and lines, etc.	a) If filed in Register of Deeds or similar agency, destroy in office when administrative value ends.† Agency Policy: Destroy in office after <u>retain permanently</u> . b) Retain in office all other records permanently.	
17.	MANUFACTURED HOME PERMITS	a) Destroy in office 6 years after issuance of certificate of occupancy and/or expiration of permit. b) Destroy in office applications for which a permit was never issued after 3 years.	
18.	MINIMUM HOUSING FILE Records of rental properties containing information relative to violations and complaints. May include certified return receipts, zoning violation notices, municipal court ordinance complaints, summons, decisions, copy permits and photographs.	Destroy in office 3 years after verification of correction.*	
19.	MISCELLANEOUS (BUILDING) APPLICATIONS AND PERMITS Applications and permits regarding sign installation, fencing, swimming pools, driveways or similar activity required by local ordinance. See also MISCELLANEOUS (NON-BUILDING) APPLICATIONS AND PERMITS page 42, item 44.	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 <u>6</u> years	

STANDARD 12: BUILDING INSPECTION RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
20.	MONTHLY BUILDING PERMITS AND CONSTRUCTION REPORTS Customized reports used for statistical analysis of current development trends within the municipality. This information also is submitted to the U. S. Department of Commerce & Bureau of the Census.	Destroy in office after 3 years.	
21.	NORTH CAROLINA SEDIMENTATION AND POLLUTION CONTROL COMMISSION File contains documentation of sedimentation control measures to be used on individual projects.	Destroy in office after 3 years.	
22.	PERIODIC INSPECTION REPORTS	Destroy in office 6 years from date of inspection.	
23.	SEWAGE DISPOSAL SYSTEM INSPECTION REPORTS Reports show home structure and water line diagram. Reports are used to indicate sewage hookups and to comply with municipal code.	Destroy in office 2 years after inspection.	
24.	STANDARD BUILDING CODES	Destroy in office when superseded or obsolete.	
25.	STREET ADDRESS LOG A master list of current streets and house numbers.	Destroy in office when superseded or obsolete.	
26.	STREET INFORMATION	Destroy in office when superseded or obsolete.	
27.	SUBSTANDARD HOUSING INSPECTIONS REPORTS	Destroy in office after 6 years.	

STANDARD 12: BUILDING INSPECTION RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
28.	TRADE PERMITS (ELECTRICAL, GAS, MECHANICAL, AND PLUMBING)	a) Destroy in office 6 years after issuance. b) Destroy in office applications for which a permit was never issued when administrative value ends.† Agency Policy: Destroy in office after 6 years	
29.	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.*	

STANDARD 13. EMERGENCY SERVICES AND FIRE DEPARTMENT RECORDS
 Official records explaining the authority, operating philosophy, proposed methods, and primary functions of municipal emergency services programs and municipal fire departments.

STANDARD 13: EMERGENCY SERVICES AND FIRE DEPARTMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	911 COMMUNICATION RECORDS Printouts 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 GS §132-1.4 (i), and GS §132-1.5.
2.	911 FILE Information regarding the implementation, training, and operations of the 911 system.	Destroy in office after 5 years.	
3.	911 TAPE RECORDINGS	Destroy in office after 30 days, if not made part of a case file.*	Comply with applicable provisions of GS §132-1.4(i), and GS§132-1.5.
4.	ACCIDENT FILE Records concerning personnel and municipally owned property damage.	Destroy in office 3 years after resolution.*	
5.	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.	

ITEM #	STANDARD 13: EMERGENCY SERVICES AND FIRE DEPARTMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.	AMBULANCE CALL REPORTS (ACR)/PATIENT CARE REPORTS (PCR)	a) Transfer copy of report to the admitting hospital for inclusion into patient's medical record. b) Destroy in office originals 11 years from date of service.*	
7.	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.*	
8.	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.*	
9.	ANNUAL REPORT Annual report sent to the governing body of the municipality.	Retain in office permanently.	
10.	ANNUAL SUBMISSION ON PERSONNEL AND ADMINISTRATION FUNDS FILE	Destroy in office after 3 years.	
11.	BUILDING INSPECTIONS Record of building inspections indicating ownership, location, occupancy, type of construction, fire protection features, defects, etc.	a) Destroy in office inspections with no defects after 3 years.* b) Destroy in office inspections with noted defects 3 years after defect is corrected.	
12.	COMPANY RUN REPORT (FIRE JOURNAL) Listings of fire calls, alarms, personnel involved, equipment used and actions taken.	Destroy in office after 5 years.	

ITEM #	STANDARD 13: EMERGENCY SERVICES AND FIRE DEPARTMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
13.	CONSOLIDATED MONTHLY REPORTS	Destroy in office after 5 years.	
14.	DAILY LOG Log, journal, blotter or similar record showing activities of a fire department or emergency services.	Destroy in office after 1 year.	
15.	DISASTER AND EMERGENCY MANAGEMENT PLANS Records concerning preparedness, evacuations, and operations in the event of a disaster (natural, accidental, or malicious). Includes but not limited to official copy of comprehensive plan and all background surveys, studies, reports, and draft versions of plans. See also COMPREHENSIVE PLAN page 36, item Z1.	a) If an element of the Comprehensive Plan, destroy in office when administrative value ends. † Agency Policy; Destroy in office after <u>3</u> years. 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.	Comply with applicable provisions of G.S. §132-1.7 regarding the confidentiality of security records.
16.	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.	
17.	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.*	Comply with applicable provisions of GS §132-1.4(l), and GS§132-1.5.
18.	EMERGENCY NOTIFICATIONS	Destroy in office when superseded or obsolete.	

ITEM #	STANDARD 13: EMERGENCY SERVICES AND FIRE DEPARTMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
19.	EMERGENCY SERVICES BILLING RECORDS Records concerning billing of patients transported and treated by emergency services personnel.	Destroy in office after 3 years*	
20.	EMERGENCY SERVICES CORRESPONDENCE	a) Transfer after 3 years correspondence, including email, with historical value to the HISTORIES FILE page 39, item 32 b) Destroy in office remaining records after 3 years.	
21.	EQUIPMENT RECORDS (APPARATUS AND MAINTENANCE FILE) Records concerning maintenance performed on fire department equipment.	Destroy in office 1 year after disposal or replacement of equipment.	
22.	EQUIPMENT RECORDS (APPARATUS OPERATING EXPENSE FILE) Operating expense (maintenance, repair costs, etc.) records for fire department equipment.	Destroy in office after 2 years.	
23.	EQUIPMENT RECORDS (APPARATUS TEST REPORTS) Reports showing results of fire equipment tests.	Destroy in office 1 year after disposal or replacement of equipment.	
24.	EQUIPMENT RECORDS (EQUIPMENT ISSUED TO FIREFIGHTERS AND EMERGENCY PERSONNEL) FILE	Destroy in office when superseded or obsolete.	
25.	EQUIPMENT RECORDS (HOSE RECORDS) Records concerning the age, repair, etc. of fire hoses.	Destroy in office after 2 years.	
26.	EQUIPMENT RECORDS (HOSE TESTS) Routine tests to determine if hoses are in proper working order.	Destroy in office after 2 years.	

ITEM #	STANDARD 13: EMERGENCY SERVICES AND FIRE DEPARTMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
27.	EVACUATION PLANS	Destroy in office when superseded or obsolete.	
28.	EXPOSURE RECORDS Reports detailing when a fire department or emergency personnel are exposed to toxic fumes, smoke, or chemicals during the course of fire fighting.	Destroy in office exposure records: 40 years from date of exposure or 30 years from date of separation.* <i>Retention note: If part of a workers compensation claim, follow disposition for WORKERS' COMPENSATION PROGRAM CLAIMS FILE item 96, page 115.</i>	29 CFR 1910.1020 (d)(ii)
29.	FEDERAL ASSISTANCE PROGRAMS REFERENCE RECORDS	Destroy in office when administrative value ends. † Agency Policy: Destroy in office after <u> 3 </u> years	
30.	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.	
31.	FIRE ALARM JOURNAL Journal or other listing of alarms answered by the fire department.	Destroy in office after 3 years.	
32.	FIRE INSPECTION REPORTS Inspections and permits issued of buildings and systems for proper fire protection measures and procedures.	a) Destroy in office inspections with no defects after 3 years. b) Destroy in office inspections with noted defects 3 years after defects are corrected.* c) Destroy permits in office after 3 years.	

STANDARD 13: EMERGENCY SERVICES AND FIRE DEPARTMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
33.	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. See also FIRE INVESTIGATION RECORDS page 125, item 34	a) Destroy in office after 5 years when cause of fire is determined to be accidental and no loss of life occurs* b) Destroy in office after 10 years when arson is involved.* c) Retain in office permanently when loss of life occurs or if a publicly-owned building is involved.*	
34.	FIRE INVESTIGATION RECORDS Reports and correspondence, including email, of fires investigated by department personnel. See also FIRE INVESTIGATION CASE FILES page 125, item 33	Destroy in office when administrative value ends if not made part of a case file.† Agency Policy: Destroy in office after <u>retain permanently</u>	
35.	FIRE LIMITS ORDINANCES Ordinances passed by city/town council establishing and defining fire limits which shall include principal business portions of the municipality.	Retain in office permanently.	
36.	FIXED NUCLEAR FACILITIES PLANS FILE Includes emergency plans for municipal fixed nuclear facilities.	Destroy in office after 3 years.	
37.	HYDRANT RECORDS (LOCATION AND MAIN SIZE) Records showing location and size of water mains of fire hydrants.	Destroy in office when superseded or obsolete.	

STANDARD 13: EMERGENCY SERVICES AND FIRE DEPARTMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
38.	HYDRANT RECORDS (MAINTENANCE AND TEST FILE) Results of tests of fire hydrants and routine maintenance records.	a) Destroy in office inspection and test records after 2 years. b) Retain maintenance records for life of the hydrant.	
39.	INVENTORY RECORDS FILE Records of inventories of fire stations and equipment.	Destroy in office 3 years after replacement or disposal.	
40.	LOCAL EMERGENCY PLANNING COMMITTEE MINUTES See the Microfilm section on page x for instructions on microfilming minutes.	Retain in office permanently.	
41.	LOCAL EMERGENCY PLANS	Destroy in office when superseded or obsolete.	
42.	NATIONAL FLOOD INSURANCE PROGRAM RECORDS	Retain in office permanently.	
43.	NORTH CAROLINA FIRE CASUALTY REPORT Report filed with the N.C. State Fire Commission.	Destroy in office after 5 years.	
44.	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. 558-79-45
45.	NORTH CAROLINA FIRE ASSOCIATION RECORDS	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after <u>retain permanently</u>	

STANDARD 13: EMERGENCY SERVICES AND FIRE DEPARTMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
46.	NORTH CAROLINA FIREMAN'S PENSION FUND PRINTOUT Documentation of annual leave, history report, position summary, N.C. Fireman's Pension Fund.	Destroy in office when superseded or obsolete.	
47.	NOTIFICATION TO CORRECT Notification to owner, agent, or occupant of building to correct violation or defect noted at the time of inspection.	Destroy in office 1 year after subsequent inspection reveals defect or violation has been corrected.*	
48.	NUCLEAR CIVIL PROTECTION PLAN	Destroy in office when superseded or obsolete.	
49.	OPERATIONS FILE	a) Transfer correspondence, including email, with historical value to the HISTORIES FILE page 32, item 39 after 3 years. b) Destroy in office remaining records after 3 years.	
50.	PATIENT CARE REPORTS Records showing equipment used, patient location, nature of call, vital signs and other physical signs, care rendered, medicine ordered, etc.	Follow disposition instructions for AMBULANCE CALL REPORTS (ACR)/PATIENT CARE REPORTS (PCR) page 121, item 6	
51.	PHARMACEUTICAL RECORDS	Destroy in office after 3 years. *	
52.	PLANS Plans of buildings and fire safety systems of commercial and industrial properties.	Destroy in office when superseded or obsolete.	
53.	PUMP TEST RECORDS Results of tests conducted on pumping equipment.	Destroy in office after 2 years.	

STANDARD 13: EMERGENCY SERVICES AND FIRE DEPARTMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
54.	RADIOLOGICAL DEFENSE (RADEF) DATA BANK RADIOACTIVE MATERIAL INVENTORY	Destroy in office after loan of radioactive materials ends.	
55.	RADIOLOGICAL DATA STATION FILE	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after <u>3</u> years.	
56.	RADIOLOGICAL EQUIPMENT INVENTORY	Destroy in office when superseded or obsolete.	
57.	RESOLUTIONS ON ESTABLISHMENT OF LOCAL AGENCY	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after <u>3</u> years.	
58.	SAFETY COMMITTEE AGENDA AND MEETING PACKETS FILE Includes agendas, exhibits, and copies of supporting documentation submitted and discussed during meetings of public bodies. See also MINUTES OF PUBLIC BODIES page 42, item 42	a) Retain records with historical value permanently. b) Destroy in office other records when administrative value ends.† Agency Policy: Destroy in office after <u>3</u> years.	

STANDARD 13: EMERGENCY SERVICES AND FIRE DEPARTMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
59.	<p>SAFETY COMMITTEE MINUTES As defined by G.S. § 143-318.10 (b), includes official and reference copies 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 x for instructions on microfilming.</p>	<p>a) The official minutes of the governing board and its subsidiary boards are considered to be 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 of North Carolina 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 of North Carolina reserves the right to designate the minutes as permanent.† Agency Policy: Destroy in office after <u>3</u> years</p>	G.S. § 143-318.10
60.	SHELTER FACILITIES LISTING	Destroy in office when superseded or obsolete.	
61.	STATE OF EMERGENCY ORDINANCES	Retain in office permanently.	
62.	<p>SUPERFUND AUTHORIZATION RECOVERY ACT INFORMATION FILE Information concerning the location of hazardous waste in the community.</p>	Destroy in office when superseded or obsolete.	

STANDARD 13: EMERGENCY SERVICES AND FIRE DEPARTMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
63.	TRAINING AND EDUCATION FILE	<p>a) Transfer records documenting training received to PERSONNEL RECORDS (OFFICIAL COPY) page 91, item 29 or VOLUNTEER FIREFIGHTERS PERSONNEL RECORDS page 130, item 66.</p> <p>b) Destroy in office remaining records when administrative value ends.† Agency Policy: Destroy in office after <u>1</u> year</p>	
64.	VOLUNTEER FIRE/RESCUE DEPARTMENT LOGS	Destroy in office after 3 years.*	
65.	<p>VOLUNTEER FIREFIGHTERS PERSONNEL RECORDS Official copy of personnel file maintained on each volunteer fireman. May include basic information and records and forms relating to the duties, service, suspension, and termination of the volunteer.</p>	<p>Destroy in office 30 years from date of separation.*</p> <p>See also VOLUNTEER FIREFIGHTERS MEDICAL RECORDS page 130, item 65.</p>	
66.	VOLUNTEER FIREFIGHTERS MEDICAL RECORDS	<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 routine medical examinations and similar records after 1 year.</p> <p><i>Retention Note: Records must be maintained separately from an employee's personnel jacket.</i></p>	29 CFR 1910.1020 (d)(ii)

STANDARD 14. FLEET MAINTENANCE RECORDS Records and materials created and accumulated during the use and maintenance of municipal vehicle fleets.
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STANDARD 14: FLEET MAINTENANCE RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	BUDGET ESTIMATES AND REQUESTS FILE Records consisting of requests for purchases and estimated costs.	Destroy in office after 1 year.	
2.	FUEL AND OIL TICKETS Records of fuel and oil deliveries to vehicles.	Destroy in office after 3 years.*	
3.	MOTOR VEHICLE RECORDS Records on each vehicle showing make, model, original cost, mileage, and cost of operation.	Destroy in office after disposal of vehicle.	
4.	SHOP WORK ORDERS Records include work completed and costs.	Destroy in office after 3 years.	
5.	STOCK CONTROL AND INVENTORIES Inventory of materials and supplies used to maintain stock.	Destroy in office when superseded or obsolete.	
6.	VEHICLE MAINTENANCE, REPAIR AND INSPECTION RECORDS Records concerning the maintenance, repair and inspection of municipally owned vehicles. See also GRANTS page 39, item 31.	a) Destroy in office records documenting routine inspections, janitorial cleaning and maintenance of vehicles after 1 year. b) Retain records documenting all other maintenance and repairs for life of vehicle.	

STANDARD 14: FLEET MAINTENANCE RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
7.	VEHICLE REGISTRATION CARDS North Carolina registration cards for vehicles in the municipal fleet.	Retain in vehicle until superseded.	
8.	VEHICLE USAGE RECORDS Records concerning the assignment, request and usage of municipal vehicles. May include mileage and checkout logs, fuel consumption reports, authorizations and similar records relating to the assignment and use of municipal vehicles.	a) Destroy in office after 3 years if records are used for allocating costs or determining payment under rental or lease agreements.* b) Destroy in office remaining records after 1 year.	
9.	VEHICLE YEAR-TO-DATE REPORT Running record of mileage and cost of operation of each vehicle.	Destroy in office after disposal of vehicle.	
10.	WORK ORDERS (VEHICLE REPAIR) Records include date and location of work, cost of materials used and labor, type of work performed and similar information.	a) Destroy in office 1 year after work is completed.* b) If this is the only record documenting that work was completed follow disposition instructions for VEHICLE MAINTENANCE, REPAIR AND INSPECTION RECORDS page 131, item 6.	

STANDARD 15. LAW ENFORCEMENT RECORDS
 Records received and created by municipal law enforcement agencies necessary to meet all statutory requirements. Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of law enforcement records.

STANDARD 15: LAW ENFORCEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	ABANDONED MOTOR VEHICLES (AMV) FILE Records concerning abandoned motor vehicles towed. Includes releases, sales and notifications.	Destroy in office after 3 years.	
2.	ACCREDITATION RECORDS Records concerning compliance with those standards outlined by professional law enforcement agencies' accreditation programs.	Destroy in office 1 year after accreditation is obtained, renewed, or no longer valid.*	
3.	ACTIVITY REPORTS Reports of activities of officers on each shift or special detail worked. Includes lists of information on occurrence of all criminal activity, complaints and arrests, traffic violations and accidents, rescue service calls, hours worked, miles traveled, location of call, type of call, time of call, papers served, and other related information. (This information is normally collected by the day and month for statistical reporting.)	Follow disposition instructions for REPORTS AND STUDIES (INTERNAL ADMINISTRATION) page 46, item 58.	

STANDARD 15: LAW ENFORCEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.	ALARM CALL REPORTS Reports completed by officers responding to alarm calls. Includes listings of alarm type, time received, time arrived, reason for activation, and other related information. May include forms completed by businesses naming emergency contacts, location of safe, and other related information.	a) Destroy in office when administrative value ends if records are not made part of a case file.† Agency Policy: Destroy in office after <u>3</u> years b) If records are made part of a case file follow applicable disposition instructions for CASE HISTORY FILE: FELONIES page 137, item 17.; or CASE HISTORY FILE: MISDEMEANORS page 137, item 18..	
5.	ALERTS FILE Notices received from or sent to various law enforcement agencies concerning lost property, wanted persons, arrests, missing persons, and other related topics. Also known as Be On the Lookouts (BOLO).	Destroy in office when administrative value ends if records are not made part of a case file.† Agency Policy: Destroy in office after <u>3</u> years	
6.	ALTERNATIVE SENTENCING PROGRAMS Records documenting alternative sentencing programs including work release and weekender service.	Destroy in office 3 years after individual leaves program.	
7.	AMBULANCE CALL RECORDS Records concerning emergency calls accompanied by law enforcement personnel.	Destroy in office after 5 years.	
8.	ARREST PROCESSING: DWI TRACKING RECORDS Records used to track a defendant's time and activities while in arrest processing. May include time of arrival, time to and from each workstation, time to and from the magistrate's office, time allowed to use the telephone, and notes documenting any unusual and/or violent behavior.	Destroy in office 2 years after date of arrest.	Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of records.

STANDARD 15: LAW ENFORCEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
9.	ARREST PROCESSING: TRACKING RECORDS Records used to track a defendant's time and activities while in arrest processing. May include time of arrival and time to and from each workstation, time to and from the magistrate's office, time allowed to use the telephone, and notes documenting any unusual and/or violent behavior.	Destroy in office 1 year after date of arrest.	Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of records.
10.	ARREST REPORTS Reports concerning arrests made by officers. May include complete name, alias or nickname of person arrested; residence, sex, age, date of birth, physical description, offense committed, car make, license number, occupation, telephone numbers; witness information, name of arresting officer(s), and other related information.	a) Destroy in office 5 years from date of last arrest if report is not made part of a case file. b) If records are made part of a case file follow applicable disposition instructions for CASE HISTORY FILE: FELONIES page 137, item 17.; or CASE HISTORY FILE: MISDEMEANORS page 137, item 18..	Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of records.
11.	AUCTION RECORDS Records concerning abandoned and unclaimed articles and found property sold at public auction. May include auction receipts of monies received for items sold.	Destroy in office after 3 years.*	
12.	AUTOMOBILES AND PROPERTY IN STORAGE: SALES AND REPORTS RECORDS Records detailing the sale of automobiles and property confiscated by law enforcement personnel.	Destroy in office 1 year after sale or other disposition of property.	

STANDARD 15: LAW ENFORCEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
13.	BASIC TRAINING SCHOOLS Police academy basic course records used to verify course content and hours of topical coverage when needed for court purposes. Includes curriculum and course schedules, instructor listings, trainee rosters, attendance data, and exam grades.	Destroy in office after 20 years.*	
14.	BICYCLE REGISTRATION	Destroy in office after 1 year.	
15.	BINGO LICENSE RECORDS Copies of bingo licenses issued by the North Carolina Dept. of Crime Control and Public Safety. May include related records such as notification letters and applications.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after <u>3 years, if generated</u>	
16.	BREATHALYZER RECORDS File includes preventative maintenance records, lists of qualified operators, and other records related to breathalyzers used by the agency.	Destroy in office after 3 years.	

STANDARD 15: LAW ENFORCEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
17.	<p>CASE HISTORY FILE: FELONIES Includes investigative reports, complaint reports, fingerprint cards, original arrest reports, copies of warrants, special expenditure reports, statements of seized and returned property, interview sheets, case status reports, photographs, court orders, correspondence, including email, officer's notes, laboratory tests, court dispositions, and other related records.</p> <p>See also ELECTRONIC/VIDEO RECORDINGS OF INTERROGATIONS (HOMICIDE) page 144, item 44</p>	<p>a) Destroy in office records concerning solved cases after 20 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.</p> <p>b) Retain in office records concerning unsolved cases until solved, and then follow disposition instructions in part (a).</p>	Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of records.
18.	<p>CASE HISTORY FILE: MISDEMEANORS Includes investigative reports, complaint reports, fingerprint cards, original arrest reports, copies of warrants, special expenditure reports, statements of seized and returned property, interview sheets, case status reports, photographs, court orders, correspondence, including email, officer's notes, laboratory tests, court dispositions, and other related records.</p>	<p>a) Destroy in office records concerning solved malicious misdemeanor cases after 3 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.</p> <p>b) Retain in office records concerning unsolved malicious misdemeanor cases until solved, and then follow disposition instructions in part (a).</p> <p>c) Destroy in office records concerning all misdemeanor cases not covered in (a) or (b) after 3 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.</p>	Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of records.

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ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
19.	<p>CASE HISTORY FILE: CASES NOT OFFICIALLY INVESTIGATED Records related to complaints not officially investigated.</p>	Destroy in office when administrative value ends. † Agency Policy: Destroy in office after 5 years _____.	Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of records.
20.	<p>CHEMICAL ANALYSIS RECORDS Records and reports generated when individuals suspected of being under the influence of illegal drugs or alcohol are chemically tested.</p>	<p>a) Destroy in office when administrative value ends if records are not made part of a case file. † Agency Policy: Destroy in office after 5 years _____.</p> <p>b) If records are made part of a case file follow applicable disposition instructions for CASE HISTORY FILE: FELONIES page 137, item 17; or CASE HISTORY FILE: MISDEMEANORS page 137, item 18.</p>	
21.	<p>CITIZEN COMPLAINTS/ADMINISTRATIVE INVESTIGATION RECORDS Citizen complaints against law enforcement officers. May include administrative investigation reports initiated within the municipal law enforcement office.</p> <p>See also INTERNAL AFFAIRS CASE RECORDS page 151, item 76.</p>	Destroy in office 1 year after resolution.*	
22.	<p>COMMENDATION LETTERS Letters received commending law enforcement officers for outstanding performance.</p>	Transfer to the agency personnel office to be incorporated into official personnel file 1 year after employee terminates service.	

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	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
23.	COMMUNICATIONS RECORDS Tapes, printouts, and logs of telephone, radio, dispatch, 911 emergency calls, and computer aided dispatch (CAD) systems incoming and/or outgoing communications. May include time and date of call, contents of call, location of call, name of unit sent to scene, and other related information.	a) Destroy in office after 30 days if records are not made part of a case file.* b) If records are made part of a case file follow applicable disposition instructions for CASE HISTORY FILE: FELONIES page 137, item 17; or CASE HISTORY FILE: MISDEMEANORS page 137, item 18.	Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of records, and G.S. §132-1.5.
24.	COMMUNICATIONS RECORDS (REQUESTS AND RECEIPTS)	Destroy in office after 1 year if inquiry is closed.*	
25.	COMPLAINTS FILE Records concerning complaints to which a unit responded. May include logs listing name and address of victim, time, date, nature of complaint, responding officer's name, action taken, and other related information.	a) Destroy in office when administrative value ends if records are not made part of a case file.† Agency Policy: Destroy in office after <u>3 years</u> b) If records are made part of a case file follow applicable disposition instructions for CASE HISTORY FILE: FELONIES page 137, item 17; or CASE HISTORY FILE: MISDEMEANORS page 137, item 18.	Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of records.
26.	COMPOSITE INTERVIEWS Summaries of interviews used to determine the physical description of suspects. May include race, sex, build, weight, eye and hair color, skin tone, weapon description, and other related information.	a) Destroy in office when administrative value ends if not made part of case file.† Agency Policy: Destroy in office after <u>20 years</u> b) If records are made part of a case file follow applicable disposition instructions for CASE HISTORY FILE: FELONIES page 137, item 17; or CASE HISTORY FILE: MISDEMEANORS page 137, item 18.	

ITEM #	STANDARD 15: LAW ENFORCEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
27.	CONFIDENTIAL FUNDS FILE Records concerning the use of confidential funds for vice/narcotics and special investigations.	Destroy in office after 3 years. *	
28.	CRIME ANALYSIS RECORDS Records used to anticipate, prevent, or monitor possible criminal activity. May include crime reports, photographs, complaints, copies of citations, criminal profile information, and interoffice memoranda generated or accumulated in connection with investigations or directed patrols.	a) Destroy in office when administrative value ends if not made part of case file.† Agency Policy: Destroy in office after <u>20 years</u> b) If records are made part of a case file follow applicable disposition instructions for CASE HISTORY FILE: FELONIES page 137, item 17; or CASE HISTORY FILE: MISDEMEANORS page 137, item 18.	Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of records.
29.	CRIME PREVENTION RECORDS Records concerning municipal law enforcement office and community meetings and other functions which seek to prevent or monitor possible criminal activity. May include meeting schedules and agendas and other related records.	a) Retain records with historical value permanently. b) Destroy in office remaining records when administrative value ends.† Agency Policy: Destroy in office after <u>3 years</u>	
30.	CRIMINAL HISTORY RECORDS Records concerning the arrest history of individuals. May include summary sheets or cards, arrest reports, mug shots, fingerprint cards, and other related records.	a) Destroy in office when administrative value ends if not made part of case file.† Agency Policy: Destroy in office after <u>3 years</u> b) If records are made part of a case file follow applicable disposition instructions for CASE HISTORY FILE: FELONIES page 137, item 17; or CASE HISTORY FILE: MISDEMEANORS page 137, item 18.	Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of records.

STANDARD 15: LAW ENFORCEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
31.	DAILY BULLETINS Daily bulletins used to provide officers with information concerning stolen vehicles, missing persons, new warrants, wanted persons, and any other specific complaint or incident. May include "be on the lookout" records and forms.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after <u>3</u> years.	
32.	DEATH OF INMATE REPORTS Reports filed by office upon the death of an inmate. A report must be sent to the county health director and N.C. Department of Health and Human Services, within five days of the death.	Destroy in office after 3 years.*	G.S. §153A-225
33.	DETENTION FACILITY INSPECTION REPORTS Inspection reports of municipal detention facilities. May include reports made by the N.C. Department of Health and Human Services.	a) Destroy in office after 1 year from date of report if no violations are recorded. b) If violations are recorded destroy in office 1 year after corrective action was approved.	
34.	DETENTION FACILITY OPERATIONAL RECORDS Records concerning all activities occurring during shifts at detention facilities. May include end of duty (shift change reports, key and radio control lists, equipment and inmate/non-inmate housing check lists, cell inspection reports, laundry exchange and controlled property lists, tour reports, etc.) and inmate accountability (rosters, commitment and release reports, cell locations, etc.) records.	Destroy in office after 1 year.*	

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ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
35.	DIVISION OF CRIMINAL INFORMATION AND NATIONAL CRIME INFORMATION CENTER (DCI-NCIC) ENTRIES Records and logs listing entries and inquiries made against DCI-NCIC networks and concerning missing persons, wanted persons, stolen vehicles or other property, and other related topics.	Destroy in office 1 year after period covered by audit.*	
36.	DIVISION OF CRIMINAL INFORMATION AND NATIONAL CRIME INFORMATION CENTER (DCI-NCIC) VALIDATION RECORDS Requests and proofs of verification for DCI-NCIC or other law enforcement information networks.	Destroy in office after 1 year.*	
37.	DNA SAMPLING RECORDS Records documenting the collection of DNA samples from persons for qualifying offenses. Samples are forwarded to the N.C. State Bureau of Investigation. May include copies of judgments.	a) Destroy in office 1 year from date sample was obtained if not made part of a case file. b) If records are made part of a case file follow applicable disposition instructions for CASE HISTORY FILE: FELONIES page 137, item 17; or CASE HISTORY FILE: MISDEMEANORS page 137, item 18.	Comply with applicable provisions of G.S. §15A-266.12 regarding confidentiality of records.
38.	DOMESTIC VIOLENCE: ACTIVITY REPORTS Report concerning statistical information relating to the Domestic Violence Unit including orders served, miles driven, hours worked, and arrests made.	Follow disposition instructions for REPORTS AND STUDIES [INTERNAL ADMINISTRATION] page 46, item 58.	Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of records.

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ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
39.	DOMESTIC VIOLENCE CASE FILES: CLOSED (COPIES) Copies of court restraining orders related to domestic violence cases.	Destroy in office when administrative value ends. †* Agency Policy: Destroy in office after <u>3</u> years.	Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of records.
40.	DOMESTIC VIOLENCE RECORDS Restraining orders and related records.	a) Destroy in office after expiration of order if not made part of a case file.* b) If records are made part of a case file follow applicable disposition instructions for CASE HISTORY FILE: FELONIES page 137, item 17; or CASE HISTORY FILE: MISDEMEANORS page 137, item 18.	Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of records.
41.	DRIVER'S LICENSE REVOCATIONS FILE	Destroy in office after 1 year.	
42.	DRIVING WHILE IMPAIRED (DWI) REPORTS FILE Reports used for persons arrested for driving while impaired. May include breathalyzer analysis reports.	a) Transfer original records to County Clerk of Superior Court's office. b) Destroy in office reference copies when administrative value ends if not made part of a case file. † Agency Policy: Destroy in office after <u>3</u> years. c) If records are made part of a case file follow applicable disposition instructions for CASE HISTORY FILE: FELONIES page 137, item 17; or CASE HISTORY FILE: MISDEMEANORS page 137, item 18.	
43.	DWI KNOLL MOTIONS Copies of motions to suppress evidence and related documentation.	Destroy in office 3 years from date motion was filed.	G.S. § 20-38.6

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ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
44.	ELECTRONIC/VIDEO RECORDINGS OF INTERROGATIONS (HOMICIDE)	Destroy in office electronic or video recordings of homicide interrogations of convicted defendants 1 year after the completion of all State and Federal appeals of the conviction.	G.S. § 15A-211
45.	EMERGENCY ACTION RECORDS Response plans and procedures to be taken in the event of a fire, disaster, bomb threat, or other emergency. May include records documenting emergency drills.	Destroy in office when superseded or obsolete.	
46.	EQUIPMENT INVENTORY AND ISSUANCE RECORDS Inventories of equipment issued to all law enforcement personnel.	Destroy in office when superseded or obsolete.	
47.	EXPUNCTIONS Records concerning the expunction of a convicted individual's records. May include petitions, affidavits, and other related records.	Transfer Final Disposition Report to the State Bureau of Investigation once all records relating to the case are expunged. <i>Retention Note: If the petition is approved all records relating to that case are to be destroyed in accordance with the court order.</i>	Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of records. G.S. §15A-145 G.S. §15A-146 G.S. §90-96 G.S. §90-113-14
48.	EXTRADITION CASE RECORDS Records concerning the extradition of prisoners in and out of state. May include court orders, correspondence, including email, and other related records.	Follow applicable disposition instructions for CASE HISTORY FILE: FELONIES item 17, page 137; or CASE HISTORY FILE: MISDEMEANORS item 18, page 137.	

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ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
49.	FALSE ALARM REPORTS AND VIOLATIONS	a) Destroy in office after 1 year if not made part of a case file. b) If records are made part of a case file follow applicable disposition instructions for CASE HISTORY FILE: FELONIES page 137, item 17; or CASE HISTORY FILE: MISDEMEANORS page 137, item 18.	
50.	FEDERAL FIREARMS NOTIFICATION RECORDS Copies of records and forms provided by individuals that apply for certain federal firearm licenses.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after <u>3</u> years	18 USC 923(d)(1)(f)(iii)
51.	FEDERAL FORFEITURE RECORDS Records concerning funds received from seized assets and records concerning expenditures made with federal forfeiture funds.	Destroy in office after 3 years.*	
52.	FIELD OBSERVATION REPORTS Reports concerning field observations of suspicious persons or vehicles. May include subject's name, address, and physical description; date, time, and location of occurrence, reason for stop, name of officer conducting interview, and other related information.	a) Destroy in office when administrative value ends if not made part of case file.† Agency Policy: Destroy in office after <u>20</u> years b) If records are made part of a case file follow applicable disposition instructions for CASE HISTORY FILE: FELONIES page 137, item 17; or CASE HISTORY FILE: MISDEMEANORS page 137, item 18.	Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of records.

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ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
53.	FINGERPRINT CARDS Numerical index or similar record used to verify a subject's identity. May include fingerprints and all necessary information required to identify an individual. Fingerprint cards are often part of a case or criminal history file.	a) Transfer original copy of fingerprint records to State Bureau of Investigation in accordance with G.S. §15A-502. b) Destroy in office duplicate records after 3 years.	Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of records. G.S. §15A-502
54.	FINGERPRINT CARDS (LATENT) Latent finger and palm prints which were found at the scene of a crime without identification of suspects.	a) Transfer original copy of fingerprint records to State Bureau of Investigation in accordance with G.S. §15A-502 b) If records are made part of a case file follow applicable disposition instructions for CASE HISTORY FILE: FELONIES page 137, item 17; or CASE HISTORY FILE: MISDEMEANORS page 137, item 18.	Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of records.
55.	FIREARMS RANGE FILE Records concerning ranges approved for use and utilized by other law enforcement agencies. Includes letters of request, responses, and waiver forms executed by members of requesting agencies.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after <u>3</u> years	
56.	FIREARMS TRAINING RECORDS Documentation of results of firearms qualifications (scores) attained by each sworn member of the department during annual training with firearms for which qualification is required.	Destroy in office after 3 years.*	
57.	FORCIBLE ENTRY REPORTS Reports concerning forcible entries made by law enforcement personnel.	Destroy in office after 1 year.	

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ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
58.	FUGITIVE WARRANTS CASE RECORDS Records concerning fugitive warrant sent to a department from another jurisdiction requesting assistance in finding an individual. May include fugitive profile and warrant.	Destroy in office 1 year after case is closed.	
59.	HANDGUN PERMITS Applications filed for handguns and concealed handguns. May include lists of permit holders, records of background checks, and other related documentation.	<ul style="list-style-type: none"> a) Destroy in office all approved applications 5 years after the date of last renewal. b) Destroy in office criminal histories, background checks, and related records concerning approved applications when permit is issued. c) Destroy in office denied applications and related records 5 years from date of denial, or resolution of petition filed with district court. 	G.S. §14 Article 54B
60.	HOUSE AND SPECIAL CHECK REQUESTS Requests for patrols to inspect vacant property.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after <u>6 months</u> from patrol	
61.	IDENTIFICATION PHOTOGRAPHS Photographs (mug-shots) and negatives of persons arrested in association with formal investigations. May include driver's license photos.	<ul style="list-style-type: none"> a) Destroy in office after 3 years if not made part of a case file. b) If records are made part of a case file follow applicable disposition instructions for CASE HISTORY FILE: FELONIES page 137, item 17; or CASE HISTORY FILE: MISDEMEANORS page 137, item 18. 	Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of records.

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ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
62.	IMMIGRATION AND CUSTOMS ENFORCEMENT (ICE) DETAINEE RECORDS Records concerning individuals incarcerated in municipal detention facilities per the U.S. Illegal Immigration Reform and Immigrant Responsibility Act (IIRAIRA), Section 287(g).	Destroy in office 3 years after individual is released (transferred) from the facility.	
63.	INCIDENT/OFFENSE REPORTS Reports completed by officers responding to incidents. May include victim, suspect and witness information, damaged and stolen property reports, statement sheets, Miranda waiver forms, and other related records.	<ul style="list-style-type: none"> a) Destroy in office records not made part of a case file when administrative value ends.† Agency Policy: Destroy in office after <u>retain permanently</u> b) If records are made part of a case file follow applicable disposition instructions for CASE HISTORY FILE: FELONIES page 137, item 17; or CASE HISTORY FILE: MISDEMEANORS page 137, item 18. 	
64.	INCIDENT REPORTS: DETENTION FACILITY Detention facility incident reports. Includes narratives of incidents, lists of those involved, statements and interview reports, inmates' refusal of medical treatment, inmates' refusal to press charges, and other related records.	Destroy in office after 3 years.*	
65.	INFORMANT RECORDS Records concerning informants. May include correspondence, including email, payment records, and other related records.	<ul style="list-style-type: none"> a) Destroy in office records not made part of a case file when administrative value ends.† Agency Policy: Destroy in office after <u>retain permanently</u> b) If records are made part of a case file follow applicable disposition instructions for CASE HISTORY FILE: FELONIES page 137, item 17; or CASE HISTORY FILE: MISDEMEANORS page 137, item 18. 	Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of records.

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ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
66.	INMATE CLASSIFICATION RECORDS Records concerning classification information gathered by the detention facility while inmates are incarcerated. May include incident reports, behavioral or disciplinary reports, interviews, classification level assigned, requested housing moves, and other related records.	a) Destroy in office 3 years from date of release or transfer of inmate.* b) Destroy in office records concerning Immigration and Customs Enforcement (ICE) detainees with no state or federal charges when individual is released or transferred from the facility.	
67.	INMATE COMMITMENT RECORDS Copies of judgment and commitment papers received from the Clerk of Superior Court's office used to validate time spent incarcerated.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after <u>3 years, if generated</u>	
68.	INMATE FINANCIAL RECORDS Records concerning individual inmate funds maintained by a detention facility for use by the inmate while incarcerated. May include balance sheets listing inmate's name and number, amount of funds, dates of deposits and withdrawals, and other related information.	Destroy in office 3 years from date of release or transfer of inmate.*	
69.	INMATE GRIEVANCE RECORDS Records concerning grievances filed by inmates and actions taken.	Destroy in office 3 years from date of release or transfer of inmate.*	

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ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
70.	INMATE INCARCERATION RECORDS (ACTIVE AND INACTIVE) Records concerning non-medical information gathered on inmates in municipal detention facilities. May include entry and release summaries, detainees' arrest sheets, court commitment and release orders, work release records, pretrial release agreements, and other related records concerning the arrest and confinement of an individual.	Destroy in office 3 years from date of release or transfer of inmate.*	
71.	INMATE LAW LIBRARY (RESEARCH) REQUESTS Requests filed by inmates seeking use of a facility's law library or similar collection containing research materials.	Destroy in office 1 year from date of request.	
72.	INMATE MAIL/TELEPHONE/VISITOR RECORDS Records concerning telephone calls and mail sent and received by inmates, attorneys, ministers, or family members visiting inmates confined in municipal detention facilities. May include logs listing inmate's name, date and time of call or mail, visitor's signature and address, and other related information.	Destroy in office after 1 year.*	
73.	INMATE MEAL RECORDS Records concerning the planning and scheduling of inmate meals. May include food service daily shift reports, daily meal sheets, food order forms, kitchen checklists, lists of inmates receiving meals and other related records.	Destroy in office after 3 years.*	10A NCAC 141 .1723

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ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
74.	INMATE MEDICAL RECORDS Records concerning medical examinations, diagnoses, and treatments of inmates. May include medical information sheets and screening forms, medical histories as provided by inmate, receipt and/or release forms for medications and medical articles, laboratory and x-ray reports, blood pressure records, sick bay transfer forms, special diet authorizations, psychological evaluation forms, suicide watch sheets, progress notes, health assessment forms, dental forms, doctors' orders, transportation records to outside clinics or hospitals, and other related records. May also include authorization records for release of medical information to detention facility staff, informed consent forms, refusal of treatment forms, and release of financial responsibility forms.	Destroy in office 5 years from date of release or transfer of inmate.*	Comply with applicable provisions of G.S. §8-53 regarding confidentiality of records.
75.	INMATE PERSONAL IDENTIFICATION RECORDS Records concerning changes to be made to an inmate's incarceration file. May include personal identification changes, superior court calendar, long form dismissals, and other related records.	Destroy in office 30 days after receipt.*	
76.	INTERNAL AFFAIRS CASE RECORDS Records concerning internal investigations of alleged officer misconduct. May include complaints, investigation reports, and other related records.	a) Transfer records concerning substantiated cases as applicable to PERSONNEL RECORDS (OFFICIAL COPY) item 29, page 91. b) Destroy in office records concerning unsubstantiated cases when administrative value ends. † Agency Policy: Destroy in office after <u>retain permanently</u>	

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ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
77.	JUVENILE CASE HISTORY FILES Includes incident and arrest reports, detention orders, disposition instructions, name and address of person having legal and/or physical custody of child, fingerprint cards, photographs, correspondence, including email, with municipal, county or state juvenile services, and other related records.	a) Destroy in office when juvenile reaches 21 years of age if adjudicated for an offense that would have been a Class A, B1, B2, C, D, or E felony if committed by an adult. b) Destroy in office records related to all other cases when juvenile reaches 18 years of age.	Comply with applicable provisions of G.S. §7B Juvenile Code regarding confidentiality of records.
78.	JUVENILE DETENTION RECORDS Records concerning medical and non-medical information gathered on juvenile inmates held in municipal detention facilities.	a) Destroy in office medical records when juvenile reaches 21 years of age. b) Destroy in office non-medical records when juvenile reaches 18 years of age.	Comply with applicable provisions of G.S. §7B Juvenile Code regarding confidentiality of records.
79.	LIST OF INMATES REPORTS Lists of inmates furnished weekly to the Clerk of Superior Court.	Destroy in office when administrative value ends. † Agency Policy: Destroy in office after <u>3 years, if generated</u>	G.S. §153A-229 G.S. §7A-109.1
80.	MASTER INDEX FILE Alphabetical or numerical indexes containing information on each individual having contact with the municipal law enforcement office either as a witness, complainant, victim, or arrested person. May include indexes used to locate cases or any other record used or created by the department.	Destroy in office when superseded or obsolete.	

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ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
81.	MOBILE UNIT VIDEO TAPES Tapes and digital recordings generated by mobile audio and video recording equipment installed in patrol vehicles.	a) Destroy in office after 30 days if not made part of a case file. b) If records are made part of a case file follow applicable disposition instructions for CASE HISTORY FILE: FELONIES page 137, item 17; or CASE HISTORY FILE: MISDEMEANORS page 137, item 18.	
82.	MODIFIED DIET REQUESTS (INMATES) Records concerning requests for special diets made by inmates due to religious or medical reasons.	Destroy in office after 3 years.*	
83.	MONTHLY CONFINEMENT (JAIL) REPORTS Monthly reports submitted to the N.C. Department of Health and Human Services listing confinement figures.	Destroy in office after 3 years.*	
84.	MULTIPLE FIREARMS SALES REPORTS Reports received from dealers reporting the sale of multiple firearms.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after <u>3 years</u> .	
85.	MULTIPLE FIREARMS SALES REPORTS DESTRUCTION RECORDS Records submitted to the U.S. Attorney General's Office certifying that all multiple firearm sales reports received from dealers have been destroyed	Destroy in office after 1 year.	
86.	MUTUAL AID AGREEMENT RECORDS Records concerning officers who work with other agencies and vice versa. May include mutual aid agreements and supporting documentation.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after <u>5 years from end</u> .	

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ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
87.	OBSERVATION REPORTS Reports filed by field training officers who observe trainees.	Follow disposition instructions for EMPLOYEE TRAINING AND EDUCATIONAL RECORDS item 42, page 94.	
88.	ORDINANCE VIOLATIONS Citations issued for violations of municipal ordinances.	Destroy in office after 3 years.*	
89.	PARKING METER RECORDS Records concerning cost, locations, installation and maintenance of municipal parking meters.	Destroy in office when superseded or obsolete.	
90.	PARKING METER COLLECTION RECORDS Records of funds collected from municipal parking meters.	Destroy in office after 3 years.*	
91.	PAROLE COMMISSION NOTIFICATION REPORTS Reports submitted to the N.C. Parole Commission listing dates of incarceration, jail credit, and other related documentation.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after <u>3 years, if generated</u>	
92.	PAWNSHOP CARDS Pawnshop cards and property records submitted to the municipal law enforcement office.	a) Destroy in office after 1 year if not made part of a case file. b) If records are made part of a case file follow applicable disposition instructions for CASE HISTORY FILE: FELONIES page 137, item 17; or CASE HISTORY FILE: MISDEMEANORS page 137, item 18.	
93.	PEER COUNSELING (LAW ENFORCEMENT) Monthly report statistics, background information and lesson plans.	Destroy in office after 5 years.	

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ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
94.	PERMISSION TO SEARCH RECORDS Authorizations for officers to search property, and if necessary, confiscate property deemed pertinent to an investigation.	a) Destroy in office when administrative value ends if not made part of a case file.† Agency Policy: Destroy in office after <u>3</u> years b) If records are made part of a case file follow applicable disposition instructions for CASE HISTORY FILE: FELONIES page 137, item 17; or CASE HISTORY FILE: MISDEMEANORS page 137, item 18.	
95.	PERSONAL HISTORIES OF KNOWN OR SUSPECTED LAW BREAKERS Records collected concerning an identifiable person or group of persons in an effort to anticipate, prevent or monitor criminal activity. May include witnesses' statements, laboratory tests, surveillance, reports, investigators' or confidential informants' statements, photographs, vital statistics, and other related records.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after <u>3</u> years if no case file	Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of records.
96.	PERSONNEL INSPECTION REPORTS Inspection reports concerning individual officer's physical appearance and condition of uniform and weapons. See also EMPLOYEE PERFORMANCE REVIEW FILE item 25, page 107.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after <u>1</u> year	
97.	PHYSICAL FORCE RECORDS Reports made by any officer or employee of a detention facility who applies physical force to an inmate or arrestee.	Destroy in office after 3 years.*	

STANDARD 15: LAW ENFORCEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
98.	POLYGRAPH AND DRUG SCREENING PROGRAM Records concerning polygraph and drug screening program. Includes study, recommendations, and related material.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after <u>3</u> years	
99.	PRISONER/MENTAL PATIENT DELIVERY RECORD Verification forms completed by receiving party of prisoner/mental patient.	Destroy in office after 1 year.	
100.	PROPERTY RECORDS: CONFISCATED Itemized lists of all property confiscated by the law enforcement agency pursuant to law.	Destroy in office 1 year after disposition of property.	
101.	PROPERTY RECORDS: EVIDENCE Records used to control and track evidence. May include descriptions of property, physical evidence examination requests, and records documenting final disposition of property.	Destroy in office 1 year after disposition of property.	
102.	PROPERTY RECORDS: STOLEN/RECOVERED Records concerning the recovery of stolen property. May include descriptions of property and its value, serial numbers, and other related records. Records may be filed with original incident report.	Destroy in office 1 year after disposition of property.	
103.	PROPERTY RECORDS: UNCLAIMED Disposition records concerning unclaimed property held by municipal law enforcement office. May include descriptions of property and serial or identification numbers.	Destroy in office 1 year after disposition of property.	

STANDARD 15: LAW ENFORCEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
104.	PROPERTY RECORDS: UNCLAIMED: INMATES Records concerning unclaimed personal property stored by the department during an inmate's incarceration.	Destroy in office 90 days after release and attempt to notify former inmate.	
105.	PURSUIT LOGS Logs concerning pursuits by municipal law enforcement office personnel.	a) Destroy in office after 1 year if not made part of a case file. b) If records are made part of a case file follow applicable disposition instructions for CASE HISTORY FILE: FELONIES page 137, item 17; or CASE HISTORY FILE: MISDEMEANORS page 137, item 18.	
106.	REIMBURSEMENT REQUESTS FOR INMATES CONFINED LOCALLY Reports and supporting documentation sent to the N.C. Department of Corrections requesting state and/or federal reimbursement for inmates serving sentences of thirty days or more in a municipal detention facility.	Destroy in office after 3 years.*	G.S. §148-32.1
107.	RIDE-ALONG PROGRAM RECORDS Records concerning a law enforcement agency's ride-along program. May include citizens' applications to participate, waivers of liability, and other related records.	Destroy in office after 3 years.*	

STANDARD 15: LAW ENFORCEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
108.	SEXUAL OFFENDER RECORDS Records concerning sexual offenders living within jurisdiction.	a) Destroy in office records of persons registered in the "Sex Offender and Public Protection Program" after court petition and review by the State; or after 30 years or length of court order, whichever is greater; or when individual is known dead. b) Destroy in office records of persons registered in the "Sexually Violent Predator Program" when individual is known dead or after 90 years.	G.S. §14-208.7
109.	SHIFT ASSIGNMENT RECORDS Schedules assigning officers to the shifts they will be working. May include special assignments for extra work.	Destroy in office when superseded or obsolete.	
110.	SPECIAL ORDER RECORDS Special orders issued by a municipal law enforcement office concerning the adoption or revision of policy and established procedures on department, division, section, or individual level.	a) Retain records with historical value permanently. b) Destroy in office remaining records when superseded or obsolete.	
111.	SQUAD LEADER PROMOTION FILE Records concerning individual request and promotional potential evaluations for promotion to police squad leader for uniformed or non-uniformed positions.	Destroy in office 1 year after employee terminates service.	

STANDARD 15: LAW ENFORCEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
112.	STATISTICAL REPORTS Statistical reports and summaries of all law enforcement activities undertaken by a municipal law enforcement office. May include copies of uniform crime reports submitted to the N.C. Department of Justice.	Follow disposition instructions for REPORTS AND STUDIES (INTERNAL ADMINISTRATION) item 58, page 46.	
113.	STOLEN MOTOR VEHICLES FILE Records concerning the investigations of cases of stolen motor vehicles.	a) Destroy in office after 1 year if not made part of a case file. b) If records are made part of a case file follow applicable disposition instructions for CASE HISTORY FILE: FELONIES page 137, item 17; or CASE HISTORY FILE: MISDEMEANORS page 137, item 18.	
114.	TAXICAB INSPECTION AND LICENSING FILE	Destroy in office after 1 year.	
115.	TOWED/SEIZED VEHICLE INVENTORIES	Destroy in office after 1 year.	
116.	TRAFFIC ACCIDENT REPORTS Records concerning traffic accidents. May include general correspondence, including email, property receipts, collision reports, waivers signed by involved parties agreeing to settle damages among themselves, and other related records.	a) Transfer original collision report to the N.C. Division of Motor Vehicles within 10 days of accident. b) Destroy in office records concerning accidents not meeting N.C. Division of Motor Vehicles reporting requirements, but for which a report was made after 3 years.	
117.	TRAFFIC CITATION AND PARKING TICKET, RECORDS OF DATES TURNED IN BY POLICE OFFICER Records listing dates traffic citations and parking tickets were turned in by police personnel or parking enforcement personnel.	Destroy in office after 1 year.*	

STANDARD 15: LAW ENFORCEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
118.	TRAFFIC CITATIONS Citations issued to drivers violating motor vehicle and traffic laws. May include time, date, and location of violation, license number, violation code, officer's name, signature of person receiving citation, and other related information.	a) Transfer original to county clerk of superior court's office. b) Destroy in office department copies when administrative value ends if not made part of a case file.† Agency Policy; Destroy in office after <u>5</u> years c) If records are made part of a case file follow applicable disposition instructions for CASE HISTORY FILE: FELONIES page 137, item 17; or CASE HISTORY FILE: MISDEMEANORS page 137, item 18.	
119.	TRAFFIC STOP REPORTS Racial profiling sheet that is completed after a vehicle stop has occurred.	Destroy in office after 1 year.*	
120.	TRAINEE INTERN PROGRAM FILE Records concerning study, recommendation, and all related material relevant to the Police Intern Program for future sworn officers.	Destroy in office 1 year after employee terminates service.	
121.	TRAINING ATTENDANCE FILE Records concerning DCI training presented at the departmental level in agreement with the State Division of Criminal Information. Includes attendance and grade reports.	Destroy in office after 2 years.	
122.	TRAINING RECORDS Records concerning each course taught by law enforcement agency. May include schedules, course curriculum, attendance rosters, instructor's name, development material, and other related records.	Follow disposition instructions for EMPLOYEE TRAINING AND EDUCATIONAL RECORDS item 42, page 94.	

STANDARD 15: LAW ENFORCEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
123.	TRAINING RECORDS: PERSONNEL Records concerning the training of officers. May include records documenting in-service training schools conducted to develop skills, knowledge, and abilities; field training observation reports; supervisory career assessment forms; certificates; firearms qualifications; and other related records maintained in accordance with N.C. Administrative Code and Criminal Justice Commission standards and regulations.	Follow disposition instructions for EMPLOYEE TRAINING AND EDUCATIONAL RECORDS item 42, page 94.	
124.	TRANSFER REQUEST FILE Requests for transfer made by personnel.	Destroy in office after 1 year.	
125.	TRANSIENT SOLICITOR REGISTRATION FILE Forms from Tax Department listing vendors, salespeople, products, and duration of licenses.	Destroy in office after 2 years.	
126.	TRESPASS LAW ENFORCEMENT RECORDS Authorizations by property owners, lessees, or managers for municipal law enforcement officers to take whatever actions they deem appropriate to remove unauthorized persons and issue trespass warnings.	Destroy in office when superseded or obsolete.	
127.	UNIFORM CRIME REPORTS (UCR) Copies of reports submitted to the State Bureau of Investigation summarizing statistics on criminal activity and agency operations.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after <u>3 years</u> .	

STANDARD 15: LAW ENFORCEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
128.	VEHICLE INSPECTION AND INVENTORY REPORTS Inspection reports of patrol units and inventories of equipment assigned to each vehicle. (Records are used to identify any missing or damaged items.)	Destroy in office after 1 year.	
129.	VEHICLE TOWING RECORDS Includes recovery authorizations and consent forms completed by owners to have vehicle towed, removed, stored, or left at the scene.	a) Destroy in office after 1 year if not made part of a case file. b) If records are made part of a case file follow applicable disposition instructions for CASE HISTORY FILE: FELONIES page 137, item 17; or CASE HISTORY FILE: MISDEMEANORS page 137, item 18.	
130.	WANTED PERSONS FILE Records or lists concerning wanted persons not included in Daily Bulletin.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after <u>3 years after arrest</u> .	
131.	WARNING TICKETS Warning tickets issued by municipal law enforcement office. May include name and address of person and reason for warning.	a) Destroy in office after 1 year if not made part of a case file. b) If records are made part of a case file follow applicable disposition instructions for CASE HISTORY FILE: FELONIES page 137, item 17; or CASE HISTORY FILE: MISDEMEANORS page 137, item 18.	
132.	WARRANTS FILE Warrants issued by a court directing a person to be taken into custody to answer charge.	Return to issuing Clerk of Superior Court's office as required by law once served, canceled, withdrawn, or otherwise disposed of.	
133.	WARRANTS REGISTER Registers listing warrants served by municipal law enforcement office.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after <u>service completed</u> .	

STANDARD 15: LAW ENFORCEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
134.	WORK RELEASE EARNINGS REPORTS Inmates' work release earnings reports submitted either to the N.C. Department of Corrections or the Clerk of Superior Court.	Destroy in office after 3 years.*	G.S. §148-32.1
135.	WRECKER SERVICE RECORDS Records concerning wrecker requests or calls. May include lists of wrecker company's towing and storage rates, rotation lists, notification records when vehicles are towed from private property, and other related records.	a) Destroy in office after 1 year if not made part of a case file. b) If records are made part of a case file follow applicable disposition instructions for CASE HISTORY FILE: FELONIES page 137, item 17; or CASE HISTORY FILE: MISDEMEANORS page 137, item 18.	

STANDARD 16: PARKS AND RECREATION RECORDS
Official records and materials created and accumulated during the conduct of municipal parks and recreation programs. Comply with applicable provisions of G.S. §132-1.12 regarding confidentiality of juvenile records.

STANDARD 16: PARKS AND RECREATION RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	ACCIDENT/INCIDENT REPORTS See also WORKERS' COMPENSATION PROGRAM CLAIMS FILE item 50, page 96.	Follow disposition instructions for ACCIDENT/INCIDENT REPORTS (CUSTOMER AND EMPLOYEE) item 1, page 101.	
2.	ADMISSION RECORDS Records of admissions to municipal 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 governing body minutes.	
4.	ATHLETIC PROGRAM FILE Information, staff notes, correspondence, including email, and publications regarding athletic programs. May also include lesson plans, course descriptions, instruction manuals, schedules, team rosters, registration information, and concession operators list.	Destroy in office after 3 years.	Comply with applicable provisions of G.S. §132-1.12 regarding confidentiality of juvenile records.
5.	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 <u>3 years</u> .	

STANDARD 16: PARKS AND RECREATION RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.	CITATIONS RECORDS Citations issued by park personnel to persons who violate park rules and regulations.	Destroy in office after 2 years.	
7.	FACILITIES USE PERMITS	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 <u>3</u> years	
8.	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.	
9.	INVENTORY OF FACILITIES	Destroy in office when superseded or obsolete.	
10.	MAPS FILE May include park boundaries, facilities, landscaping, topography, and other pertinent information.	Retain in office permanently.	
11.	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 municipal employee, transfer applicable records to PAYROLL AND EARNINGS RECORDS item 33, page 56.	

STANDARD 16: PARKS AND RECREATION RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
12.	PARKS AND RECREATION AGENDA AND MEETING PACKETS FILE Includes agendas, exhibits, and copies of supporting documentation submitted and discussed during meetings of public bodies. See also PARKS AND RECREATION BOARD MINUTES item 13, page 166.	a) Retain records with historical value permanently. b) Destroy in office other records when administrative value ends.† Agency Policy: Destroy in office after <u>3</u> years	
13.	PARKS AND RECREATION BOARD MINUTES See the Microfilm section on page x for instructions on microfilming minutes.	a) The official minutes of the governing board and its subsidiary boards are considered to be permanent records. b) The official minutes of advisory boards may only be destroyed upon approval by the State Archives of North Carolina. The State Archives of North Carolina reserves the right to designate the minutes of any advisory board as permanent. 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 of North Carolina reserves the right to designate the minutes as permanent.† Agency Policy: Destroy in office after <u>3</u> years	G.S. § 143-318.10

STANDARD 16: PARKS AND RECREATION RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
14.	PARKS PLANNING FILE File includes master plans and working plans for each park property and municipal 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 21, page 36.	a) If an element of the Comprehensive Plan, destroy in office when administrative value ends. † Agency Policy: Destroy in office after <u>3</u> years 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.	
15.	POOL RECORDS File contains 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.	
16.	PROMOTIONAL LEAFLETS AND BROCHURES	a) Retain in office master set permanently. b) Destroy in office remaining copies when superseded or obsolete.	
17.	RATE AND FEE REGULATIONS	Destroy in office when superseded or obsolete.	
18.	RECREATION PROGRAMS File includes activity schedules, rules and regulations, and rosters. May include flyers and brochures for specific programs, reservation records, and copies of receipts for fees paid.	Destroy in office after 3 years.	

STANDARD 16: PARKS AND RECREATION RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
19.	RECREATIONAL EQUIPMENT RECORDS Records of equipment owned by municipal parks and recreation facilities.	Destroy in office 1 year after equipment is returned.	
20.	RESERVATION RECORDS Reservation records for municipal parks and recreational facilities.	Destroy in office after 1 year.	
21.	RELEASE FORMS	Destroy in office after 2 years.*	
22.	RULES AND REGULATIONS File consists of 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.*	
23.	SPECIAL EVENTS PROGRAM FILE Records concerning special events promoted by the municipality. Includes purchases, printing, calendars, program data, community contacts, and addresses.	Destroy in office after 3 years.*	
24.	TICKET STUBS	Destroy in office when administrative value ends. † Agency Policy: Destroy in office after <u>1</u> year	

STANDARD 17. PLANNING AND ZONING RECORDS
 Official records and materials created and accumulated during the conduct of municipal planning and zoning programs.

STANDARD 17: PLANNING AND ZONING RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	APPEARANCE COMMISSION AGENDA AND MEETING PACKETS FILE Includes agendas, exhibits, and copies of supporting documentation submitted and discussed during meetings of public bodies. See also APPEARANCE COMMISSION MINUTES item 2, page 170.	a) Retain records with historical value permanently. b) Destroy in office remaining records when administrative value ends.† Agency Policy: Destroy in office after <u>6 years from meeting</u>	

STANDARD 17: PLANNING AND ZONING RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
2.	APPEARANCE COMMISSION MINUTES See the Microfilm section on page x for instructions on microfilming minutes.	a) The official minutes of the governing board and its subsidiary boards are considered to be permanent records. b) The official minutes of advisory boards may only be destroyed upon approval by the State Archives of North Carolina. The State Archives of North Carolina reserves the right to designate the minutes of any advisory board as permanent. 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 of North Carolina reserves the right to designate the minutes as permanent.† Agency Policy: Destroy in office after <u>6 years from meeting</u>	G.S. § 143-318.10
3.	APPEARANCE COMMISSION PROJECT FILE	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after <u>6 years</u>	
4.	ASSESSMENT RECORDS FILE Copies of assessment records and supporting documentation.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after <u>payment completed</u>	

STANDARD 17: PLANNING AND ZONING RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
5.	BOARD OF ADJUSTMENT AGENDA AND MEETING PACKETS FILE Includes agendas, exhibits, and copies of supporting documentation submitted and discussed during meetings of public bodies. See also BOARD OF ADJUSTMENT MINUTES item 8, page 172.	a) Retain records with historical value permanently. b) Destroy in office other records when administrative value ends.† Agency Policy: Destroy in office after <u>6</u> years after meeting	
6.	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. §160A-388. G.S. § 1-50 (5)
7.	BOARD OF ADJUSTMENT CASE INDEX Index to cases reviewed by the board.	Retain in office permanently.	

STANDARD 17: PLANNING AND ZONING RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
8.	BOARD OF ADJUSTMENT MINUTES See the Microfilm section on page x for instructions on microfilming minutes.	a) The official minutes of the governing board and its subsidiary boards are considered to be permanent records. b) The official minutes of advisory boards may only be destroyed upon approval by the State Archives of North Carolina. The State Archives of North Carolina reserves the right to designate the minutes of any advisory board as permanent. 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 of North Carolina reserves the right to designate the minutes as permanent.† Agency Policy: Destroy in office after <u>6</u> years after meeting	G.S. § 143-318.10
9.	COMPREHENSIVE LAND USE PLAN AND AMENDMENTS Includes but is not limited to official copy of comprehensive land use plan and all background surveys, studies, reports, and draft versions of plans.	a) Retain in office permanently adopted plan and amendments. b) Destroy in office background surveys, studies, reports, and drafts 3 years after adoption of plan.	

STANDARD 17: PLANNING AND ZONING RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
10.	CONDITIONAL USE PERMIT RECORDS AND INDEX 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.	a) Destroy in office 3 years after discontinuance of use. b) Destroy in office applications for which a permit was never issued when administrative value ends.† Agency Policy: Destroy in office after <u>3</u> years	
11.	CORRESPONDENCE (PLANNING AND ZONING)	a) Transfer after 3 years correspondence, including email, with historical value to the HISTORIES FILE page 39, item 32 b) Destroy in office remaining records after 3 years.	
12.	DECLARATIONS AND BYLAWS FROM TOWNHOUSES, CONDOMINIUMS, PLANNED RESIDENTIAL DEVELOPMENTS, COMMON AREAS, ETC.	Destroy in office when administrative value ends, provided the originals have been filed in the Register of Deeds Office. If not filed in Register of Deeds Office, retain in office permanently.	
13.	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 <u>6</u> years after action	

STANDARD 17: PLANNING AND ZONING RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
14.	ENFORCEMENT CASES Records concerning municipal actions concerning housing and zoning complaints.	Destroy in office after 5 years.*	
15.	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.	
16.	FEASIBILITY STUDIES	Retain in office permanently.	
17.	MAPS, DRAWINGS, PHOTOGRAPHS (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.	Retain in office permanently.	
18.	MAPS, DRAWINGS, PHOTOGRAPHS (REFERENCE) Illustrations prepared or collected to capture background information on land use conditions for staff reference and public information.	Destroy in office when superseded or obsolete.	
19.	MAPS AND PLATS	Destroy in office when superseded or obsolete if filed in the Register of Deeds Office. If not filed in Register of Deeds Office, retain in office permanently.	
20.	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.	Retain in office permanently.	

STANDARD 17: PLANNING AND ZONING RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
21.	OPEN SPACE CLASSIFICATION CASE FILE	Retain in office permanently.	
22.	ORDINANCES Official copies of ordinances adopted by the Planning and Zoning Board.	Retain in office permanently.	
23.	PETITION & REGULATION RECORDS	Destroy in office after 5 years.*	
24.	PHOTOGRAPHS AND NEGATIVES (AERIAL)	a) Retain negatives permanently. b) If negative is not available retain photograph permanently. c) Destroy in office photographs when administrative value ends.† Agency Policy: Destroy in office after <u>superseded/obsolete</u>	
25.	PLANNING AND ZONING BOARD AGENDA AND MEETING PACKETS FILE Includes agendas, exhibits, and copies of supporting documentation submitted and discussed during meetings of public bodies. See also PLANNING AND ZONING BOARD MINUTES item 26, page 176.	a) Retain records with historical value permanently. b) Destroy in office other records when administrative value ends.† Agency Policy: Destroy in office after <u>minutes adopted</u>	

STANDARD 17: PLANNING AND ZONING RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
26.	PLANNING AND ZONING BOARD MINUTES See the Microfilm section on page x for instructions on microfilming minutes.	a) The official minutes of the governing board and its subsidiary boards are considered to be permanent records. b) The official minutes of advisory boards may only be destroyed upon approval by the State Archives of North Carolina. The State Archives of North Carolina reserves the right to designate the minutes of any advisory board as permanent. 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 of North Carolina reserves the right to designate the minutes as permanent.† Agency Policy: Destroy in office after <u>6</u> years after meeting	G.S. § 143-318.10
27.	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. See also COMPREHENSIVE PLAN item 21, page 36.	a) If an element of the Comprehensive Plan, destroy in office when administrative value ends.† Agency Policy: Destroy in office after <u>6</u> years b) If not an element of the Comprehensive Plan, retain in office permanently. c) Destroy in office background surveys, studies, reports, and drafts 3 years after adoption of plan or when superseded or obsolete, whichever comes first.	

STANDARD 17: PLANNING AND ZONING RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
28.	PLANNING REVIEW CASE FILE For required review of site plan, zoning variance, special permit, subdivision creation or enlargement, municipal 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.	a) Retain plan reviews and related records containing subdivision, historical structure, major commercial or industrial development, or capital construction, where municipality is lead agency, permanently. b) Destroy in office plan reviews and related records containing subdivision, historic structures, major commercial or industrial development, or capital construction, where municipality is not lead agency 6 years after last entry. c) Destroy in office any other mandatory reviews and related records 6 years after last entry.	G.S. § 1-50(c)
29.	PRELIMINARY SUBDIVISION AND GROUP DEVELOPMENT SITE PLANS	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after 6 years from last action	
30.	REDEVELOPMENT PLANNING RECORDS See also COMPREHENSIVE PLAN item 21, page 36.	a) If an element of the Comprehensive Plan, destroy in office when administrative value ends.† Agency Policy: Destroy in office after 6 years _____ b) If not an element of the Comprehensive Plan, retain in office permanently. c) Destroy in office background surveys, studies, reports, and drafts 3 years after adoption of plan or when superseded or obsolete, whichever comes first.	
31.	REFERRED PROJECTS	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after 6 years from last action	

STANDARD 17: PLANNING AND ZONING RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
32.	REZONING RECORDS AND INDEXES Records concerning applications to rezone property within the municipality. May include original applications, review forms, maps of areas involved, copies of investigative reports, copies of planning board minutes, notices of hearings, notices returned as undeliverable, development agreements, copies of ordinances, and copies of city or town council minutes.	Retain in office permanently.	
33.	STREET NAMES AND CHANGES OF STREET NAMES FILE Records concerning the names and addresses of streets and roads retained for administrative purposes.	Destroy in office when superseded or obsolete.	
34.	SUBDIVISION RECORDS Includes maps, plats, topographical data, names of streets, records of public utilities, action by council, etc.	Retain in office permanently.	
35.	TEMPORARY MANUFACTURED HOME PERMITS 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)
36.	VARIANCES	Retain permanently official copies in the minutes of the Planning Board.	

STANDARD 17: PLANNING AND ZONING RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
37.	ZONING COMPLIANCE PERMITS For residential uses, non-residential uses, and accessory structures.	a) Retain permits concerning subdivision, historical structure, major commercial or industrial development, or capital construction, where municipal is lead agency, permanently. b) Destroy in office permits concerning subdivision, historic structures, major commercial or industrial development, or capital construction, where municipality 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)
38.	ZONING ORDINANCES AND AMENDMENTS Ordinances and amendments adopted by the zoning board.	Retain in office permanently.	
39.	ZONING VIOLATIONS See also CORRESPONDENCE (LEGAL) item13, page 77.	Destroy in office after 6 years.*	G.S. § 1-50 (5)

STANDARD 18. PUBLIC HOUSING AUTHORITIES AND REDEVELOPMENT COMMISSION RECORDS
Official records and materials created and accumulated by public housing authorities and redevelopment commissions operated by municipalities.

STANDARD 18: PUBLIC HOUSING AND REDEVELOPMENT COMMISSION RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	APPRAISAL PROJECT FILE Evaluations of properties and structures within proposed projects. File includes financial assessments of the worth of real estate and buildings within proposed project areas. May also include assessments of architectural and historical significance and condition of the involved structures and real estate.	a) Retain records with historical value permanently. b) Destroy in office other records 5 years after completion or abandonment of project.*	
2.	CERTIFICATION FILE Records documenting the approval and certification process of all official redevelopment projects.	Retain in office permanently.	
3.	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 regrants, including the preliminary reports, audits, certificates, maps, and related correspondence, including email.	a) Destroy in office 5 years after completion of project.* b) Retain records with historical value permanently.	24 CFR 85.42 24 CFR 570.502(a)(16) 24 CFR 84.53(b) 24 CFR 570.502(b)(3)

STANDARD 18: PUBLIC HOUSING AND REDEVELOPMENT COMMISSION RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.	COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG) APPLICATION RECORDS 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.	Retain 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)
5.	ENVIRONMENTAL REVIEWS FOR COMMUNITY DEVELOPMENT BLOCK GRANT (CDGB) FILE Documents concerning community development block grant activities by budget year.	Follow Federal retention and disposition instructions.	
6.	FAÇADE PROJECT FILES Documentation of the re-granting of funds received by the municipality to restore exteriors of architecturally important structures in project areas. May include work contract, photographs, and correspondence, including email.	Retain in office permanently.	
7.	HOME INVESTMENT PARTNERSHIP ADMINISTRATIVE RECORDS Records concerning the administration of projects funded under the HOME Investment Partnership. May include both direct grants and regrants, including the preliminary reports, audits, certificates, maps, and related correspondence, including email.	a) Destroy in office 5 years after completion of project.* b) Retain records with historical value permanently.	24 CFR 92.508

STANDARD 18: PUBLIC HOUSING AND REDEVELOPMENT COMMISSION RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
8.	HOME INVESTMENT PARTNERSHIP APPLICATION RECORDS Records concerning the application and completion of projects funded under HOME Investment Partnership funds. May include both direct grants and regrants, including the initial application, and all final reports.	a) Destroy in office after 5 years* b) Retain records with historical value permanently.	24 CFR 92.508
9.	HOUSING AND URBAN DEVELOPMENT FINANCIAL RECORDS Records documenting the granting of Housing and Urban Development (HUD) funds for the rehabilitation of homes. Projects concern historic preservation, employment survey, and environmental review.	Destroy in office after 5 years.*	24 CFR 92.508
10.	HOUSING AND URBAN DEVELOPMENT HISTORICAL PROPERTIES GRANT FILES These records document the granting of Housing and Urban Development (HUD) funds for the rehabilitation of homes. These projects concern historic preservation, employment survey, and environmental review. May include copies of the plan, the original grant, final report, resolution, and related correspondence, including email.	Retain in office permanently.	
11.	HOUSING AND URBAN DEVELOPMENT GRANT AND PROJECT FILES Records documenting receipt and expenditure of Housing and Urban Development (HUD) grants for affordable housing programs.	Destroy in office after 5 years.*	24 CFR 92.508

STANDARD 18: PUBLIC HOUSING AND REDEVELOPMENT COMMISSION RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
12.	HOUSING REHABILITATION PROGRAM RECORDS	Follow the disposition instructions for the COMMUNITY DEVELOPMENT BLOCK GRANT RECORDS , items 3 and 4, pages 180-181.	
13.	LAND MARKETING AND DEVELOPMENT RECORDS Projects involving redevelopment and marketing of land.	Destroy in office 5 years after completion of project.*	24 CFR 92.508
14.	PROPERTY MANAGEMENT RECORDS Records concerning management of property owned by the municipality, authority, or commission.	Destroy in office after 5 years.*	24 CFR 92.508
15.	REHABILITATION LOAN RECORDS May include promissory note, deed of trust, insurance policies, final title, opinion of legal counsel, and request for notice.	Destroy in office 5 years after payoff of loan.*	24 CFR 92.508
16.	REDEVELOPMENT PLANS (NON-APPROVED)	Destroy in office after 2 years.	
17.	RELOCATION RECORDS Claims and records of payments.	Destroy in office 5 years after completion of project.*	24 CFR 92.508

<p>STANDARD 19. PUBLIC TRANSPORTATION SYSTEM. Records received and created by municipal transit systems and authorities necessary to meet all statutory requirements.</p> <p><i>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.</i></p>

STANDARD 19. PUBLIC TRANSPORTATION SYSTEMS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	ACCREDITATION RECORDS Records concerning compliance with those 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

STANDARD 19. PUBLIC TRANSPORTATION SYSTEMS			
ITEM #	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 <u>3 years</u> .	
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 <u>3 years</u> .	
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.	Refer to U.S. Privacy Act 5 U.S.C. 552a for information on confidentiality of patient medical information.
9.	APPLICATIONS FOR TRANSIT SERVICE 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) Records 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 (i.e. detours, festivals, parades, etc.).	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after <u>1 month</u> .	
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 <u>client deceases</u> .	

STANDARD 19. PUBLIC TRANSPORTATION SYSTEMS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
13.	DISADVANTAGED BUSINESS ENTERPRISE (DBE) RECORDS Files containing company's articles of incorporation, financial statements, signed affidavits, letters of reference, declarations, Federal Schedule A or B, and related correspondence, including email.	a) Destroy in office 5 years after company is removed from certified list. b) Destroy in office related DBE program records, including Federal Transit Administration reports, 5 years from date record was created.	49 CFR 26
14.	DISPATCH RECORDS Reports, logs, and similar records used to document dispatch activities.	Destroy in office after 5 years.	49 CFR 18.42
15.	LOST AND FOUND RECORDS Logs, sheets, and similar records documenting items recovered from agency facilities and vehicles. May include customer receipts for claimed items.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after <u>3 months from receipt</u>	
16.	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.	Destroy in office 5 years.*	49 CFR 18.42
17.	OPERATOR ACCIDENT/INCIDENT REPORTS	See ACCIDENT/INCIDENT REPORTS (CUSTOMER AND EMPLOYEE) item 1, page 101.	
18.	OPERATOR BID RECORDS Cards, sheets and similar records documenting operators' route selections and choice for a service period.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after <u>1 year</u> .	

STANDARD 19. PUBLIC TRANSPORTATION SYSTEMS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
19.	OPERATOR OBSERVATION RECORDS Records concerning monitoring operators' work performance.	See EMPLOYEE PERFORMANCE REVIEW FILE item 27, page 90.	
20.	OPERATOR SCHEDULING AND ASSIGNMENT RECORDS Logs, sheets, schedules, reports, and similar records used to track work assignments and activities of individual operators to routes and shifts. See also TIME SHEETS, CARDS, AND ATTENDANCE RECORDS item 44, page 59.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after <u>1 year</u> .	
21.	OPERATOR SHIFT INSPECTION RECORDS Reports and similar records of operator's inspections of vehicle at the beginning and end of shift.	Destroy in office after 5 years.	49 CFR 18.42
22.	RADIO DISPATCH RECORDINGS AND LOGS Recordings and logs of dispatch messages to and from transit operators.	Destroy in office after 90 days.*	
23.	RIDERSHIP REPORTS	Destroy in office after 5 years.	49 CFR 18.42
24.	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 <u>10 years</u> .	
25.	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 <u>3 years</u> .	

STANDARD 19. PUBLIC TRANSPORTATION SYSTEMS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
26.	ROUTE REQUESTS Requests from customers for additional or revised routes.	Destroy in office 3 years after resolution.	
27.	SAFETY CERTIFICATIONS Verifies 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.	
28.	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 <u>3 years, if generated</u>	
29.	SERVICE CHANGE RECORDS Records concerning changes in routes and transportation services offered by the agency.	a) Retain records with historical value permanently. b) Destroy in office remaining records 3 years after records were created or project ends, whichever occurs later.	
30.	SERVICE PERFORMANCE RECORDS Records concerning quality control performance checks conducted on agency staff, contractors, and vendors.	a) Retain records with historical value permanently. b) Destroy in office remaining records 3 years after records were created or project ends, whichever occurs later.	
31.	SERVICE PLANNING AND DEVELOPMENT RECORDS	a) Retain records with historical value permanently. b) Destroy in office remaining records 3 years after records were created or project ends, whichever occurs later.	

STANDARD 19. PUBLIC TRANSPORTATION SYSTEMS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
32.	SHELTER RECORDS Includes adopt a shelter program records, listings of shelter sites, site permission for right-of-way, easements and related documentation.	a) Retain 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 <u>life of shelter ends.</u>	
33.	SHUTTLE LOGS (SHEETS) Records concerning regularly scheduled individual ridership.	Destroy in office after 5 years.*	49 CFR 18.42
34.	TERMINAL DISPATCH RECORDS Reports, logs, and similar records used to track daily terminal operations and activities.	Destroy in office after 1 year.	
35.	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 <u>2 years</u>	
36.	TRIP REQUESTS Passenger trip requests.	Destroy in office after 5 years.	49 CFR 18.42
37.	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 <u>6 months</u>	
38.	TRANSPORTATION SYSTEM OPERATIONS REPORTS Reports and supporting records summarizing transit system operations.	Destroy in office after 5 years.	49 CFR 18.42
39.	TRANSPORTATION SYSTEM SERVICE PERFORMANCE EVALUATIONS	Destroy in office after 1 year.	

STANDARD 19. PUBLIC TRANSPORTATION SYSTEMS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
40.	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 records with historical value permanently. b) Destroy in office remaining records 5 years after records were created or project ends, whichever is longer.	49 CFR 18.42
41.	VANPOOL DRIVER APPLICATIONS Applications and supporting records submitted by persons operating vanpool vehicles.	a) Destroy in office 3 years after person leaves program. b) Destroy in office after 1 year applications for persons not accepted for program.	
42.	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
43.	VEHICLE BREAKDOWN RECORDS Reports and similar records documenting response time, location, vehicle identification and similar information. See also WORK ORDERS (VEHICLE REPAIR) item 10, page 132.	Destroy in office after 1 year.	
44.	VEHICLE OPERATOR INSTRUCTIONS	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after <u>superseded/obsolete</u>	

STANDARD 19. PUBLIC TRANSPORTATION SYSTEMS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
45.	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.*	

STANDARD 20. PUBLIC UTILITIES AND ENVIRONMENTAL MANAGEMENT RECORDS
Official records and materials created and accumulated for use by municipal sanitation, water, sewage, electrical, and gas operations. Also contains environmental management records accumulated for use by erosion and sediment control and monitoring of pollution. Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of public infrastructure detailed plans and drawings.

STANDARD 20: PUBLIC UTILITIES AND ENVIRONMENTAL MANAGEMENT RECORDS			
ITEM #	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.	AIR POLLUTION SOURCE INFORMATION For facilities which are no longer operational.	Destroy in office after 2 years.*	
3.	ANNUAL REPORTS (UTILITIES) Reports sent to the Federal regulatory agency including annual reports, power system statement, and gas reports.	Destroy in office after 5 years.	
4.	ASBESTOS DISPOSAL LOG Data concerning the disposal of asbestos. Includes lists of companies doing the removal, location, how much to be disposed, when to be removed, route and method of disposal.	Destroy in office after 1 year.*	
5.	BATTERY COLLECTION FILE	Destroy in office 5 years after reporting period is complete.	

STANDARD 20: PUBLIC UTILITIES AND ENVIRONMENTAL MANAGEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.	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 <u>3</u> years	G.S. §66-350
7.	CHRONOLOGY FILE Contains copies of inspection reports, complaints, documentation from other agencies, and correspondence, including email.	Destroy in office after 6 years.	
8.	COMMUNITY WATER SYSTEM PERMIT Permit issued by the NC Department of Environment and Natural Resources.	Destroy in office when superseded.	G.S. §130A-328
9.	COMPLAINTS (EROSION AND SEDIMENT CONTROL)	a) Transfer records as applicable to EROSION AND SEDIMENT CONTROL NOTICE OF VIOLATIONS item 39, page 198. b) Destroy other records in office after 3 years.	
10.	COMPREHENSIVE SOLID WASTE MANAGEMENT PLAN AND AMENDMENTS See also COMPREHENSIVE PLAN item 21, page 36.	d) If an element of the Comprehensive Plan, destroy in office when administrative value ends. † Agency Policy: Destroy in office after <u>3</u> years a) If not an element of the Comprehensive Plan, destroy in office when superseded or obsolete. b) Destroy in office background surveys, studies, reports, and drafts 3 years after adoption of plan or when superseded or obsolete, whichever comes first.	G.S. §130A-309.09A

STANDARD 20: PUBLIC UTILITIES AND ENVIRONMENTAL MANAGEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
11.	CONSTRUCTION DRAWINGS Maps and drawings including water and sewer, paving curb and gutter construction, property descriptions, and annexations.	Destroy in office when administrative value ends. † Agency Policy: Destroy in office after <u>retain permanently</u>	
12.	COUNTY LANDFILL RECORDS	Destroy in office after 3 years.	
13.	CUSTOMER ACCOUNT HISTORIES Records necessary to provide and bill for services. Includes applications for services.	Destroy in office when administrative value ends. †+ Agency Policy: Destroy in office after <u>5</u> years	Comply with applicable provisions of G.S. §132-1.1(c) regarding confidentiality of public enterprise billing information.
14.	CUSTOMER DEPOSIT RECORDS Records of customers required to pay a deposit to receive service.	Destroy in office 3 years after account is closed.*	Comply with applicable provisions of G.S. §132-1.1(c) regarding confidentiality of public enterprise billing information.
15.	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 records of accounts receivable file after 3 years and when released from all audits.* d) Destroy in office cashier's daily cash records for utility accounts after 1 year.	Comply with applicable provisions of G.S. §132-1.1(c) regarding confidentiality of public enterprise billing information.

STANDARD 20: PUBLIC UTILITIES AND ENVIRONMENTAL MANAGEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
16.	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)
17.	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.	
18.	DAILY DISPOSAL TICKETS Record and/or receipts concerning the disposal of materials at the landfill.	Destroy in office after 3 years.*	
19.	DAILY FACILITY OPERATORS LOGS AND REPORTS	a) Destroy in office after 3 years records concerning the operation of water treatment facilities.* b) Destroy in office after 5 years records concerning the operation of wastewater treatment facilities.*	15A NCAC 18C .1301
20.	DAILY PLANT RECORDS Includes water distribution and treatment.	Destroy in office after 3 years.	
21.	DAILY REPORT OF OPERATIONS AND COSTS	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after 3 years	
22.	DAILY TRIP REPORTS/LOGS Records concerning the number of loads dumped per day.	Destroy in office after 3 years.*	
23.	DAM CONSTRUCTION FILES	Retain for life of structure.	

STANDARD 20: PUBLIC UTILITIES AND ENVIRONMENTAL MANAGEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
24.	DAM OPERATIONS AND MAINTENANCE FILES	Retain for life of structure.	
25.	DIRECT DRAFT AUTHORIZATIONS Records authorizing direct draft payment of municipal utility bills.	Destroy in office 3 years after account is closed.*	Comply with applicable provisions of G.S. §132-1.1(c) regarding confidentiality of public enterprise billing information.
26.	DISCHARGE MONITORING REPORTS 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 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
27.	DRIVERS' DAILY REPORTS	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after 3 years	
28.	DROUGHT CONTINGENCY PLANS Water conservation plan in the event of a drought. See also COMPREHENSIVE PLAN item 21, page 36.	a) If an element of the Comprehensive Plan, destroy in office when superseded or obsolete. b) Destroy in office background surveys, studies, reports, and drafts 3 years after adoption of plan or when superseded or obsolete, whichever comes first.	

STANDARD 20: PUBLIC UTILITIES AND ENVIRONMENTAL MANAGEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
29.	ELECTRIC POWER AND NATURAL GAS FACILITY ENGINEERING AND SYSTEM PLANS Includes authorizations to construct, building plans, and specifications.	Retain in office permanently.	Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of public infrastructure detailed plans and drawings.
30.	ELECTRIC POWER AND NATURAL GAS PERMITS AND APPROVAL RECORDS Permits, approval letters, and other related documentation required by local, state, or federal ordinance, regulation, or statute.	a) Destroy in office permits 5 years after expiration, cancellation, revocation or denial.* b) Retain approval letters and supporting documentation permanently.	
31.	ELECTRIC POWER AND NATURAL GAS SYSTEM INSPECTIONS AND TESTS Includes non-compliance inspection and test records conducted by a facility.	Destroy in office after 5 years.*	
32.	ELECTRIC POWER AND NATURAL GAS SYSTEM MAINTENANCE AND REPAIR RECORDS Includes records documenting installation, location, specifications, and maintenance history of meters, lines, pipes, pumps, and similar system equipment.	a) Destroy in office 3 years after equipment is no longer owned and/or operational if like replacement occurred. b) Destroy in office 5 years after equipment is no longer owned and/or operational if unlike replacement occurred.	
33.	ELECTRIC POWER AND NATURAL GAS SYSTEM MANAGEMENT PLANS	Retain in office permanently.	Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of public infrastructure detailed plans and drawings.

STANDARD 20: PUBLIC UTILITIES AND ENVIRONMENTAL MANAGEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
34.	ELECTRIC POWER AND NATURAL GAS SYSTEM PROJECT RECORDS	a) Retain project pre-approval and final approval letters permanently. b) Destroy in office remaining records 5 years after project is completed.	
35.	ENFORCEMENT CASES: EROSION AND SEDIMENT CONTROL Includes settled legal matters and penalties.	Destroy in office 6 years after settlement.	
36.	ENGINEERING REPORTS FILE	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after <u>retain permanently</u> .	
37.	EROSION AND SEDIMENT AFFIDAVITS Forestry and agricultural affidavits clarifying land use exempt from land-disturbing activity standards.	Destroy in office after 6 years.	
38.	EROSION AND SEDIMENT CONTROL EXHIBIT RECORDS	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after <u>record expires</u> .	
39.	EROSION AND SEDIMENT CONTROL NOTICE OF VIOLATIONS Includes complaints, notices, and other information created during the course of investigation and resolution of each alleged violation.	Destroy in office 3 years after violation is corrected.	
40.	EROSION AND SEDIMENT CONTROL INSPECTIONS	Destroy in office 3 years after final site inspection.*	
41.	EROSION AND SEDIMENT CONTROL PERMIT LOGS	Destroy in office after 6 years.	

STANDARD 20: PUBLIC UTILITIES AND ENVIRONMENTAL MANAGEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
42.	EROSION AND SEDIMENT CONTROL PERMIT RECEIPT BOOKS	Destroy in office after 3 years.	
43.	EROSION AND SEDIMENT CONTROL PLANS Includes approved and disapproved plans. May include revisions and addendums.	a) Destroy approved plans in office 6 years after approval or last revision and/or addendum. b) Destroy in office non-approved plans after 3 years.	
44.	EROSION AND SEDIMENT CONTROL TRADES CERTIFICATIONS	Destroy in office when superseded or obsolete.	
45.	EXEMPTION (VARIANCE) RECORDS Exemption and variance records concerned with the installation of water, sewer, gas, or electric lines.	Destroy in office 5 years after expiration.*	40 CFR 141.33 15A NCAC 18C .1526
46.	FINAL INSPECTION REPORTS Reports concerning a municipality's acceptance of public improvements for existing infrastructure.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after <u>retain permanently</u>	
47.	FINANCIAL RESPONSIBILITY AND OWNERSHIP RECORDS Records delineating who is financially responsible for the project.	Destroy in office after 6 years.	
48.	GARBAGE SERVICE FILE	Destroy in office after 3 years*	
49.	GROUNDWATER MONITORING RECORDS Includes all groundwater monitoring wells and associated groundwater surface elevations.	Destroy in office after 5 years.*	15A NCAC 2C .0100

STANDARD 20: PUBLIC UTILITIES AND ENVIRONMENTAL MANAGEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
50.	HAZARDOUS WASTE DISPOSAL RECORDS Includes copies of manifests and other related documentation.	Destroy in office after 3 years.*	40 CFR 262.40 15A NCAC 13A .0100
51.	ILLEGAL DUMPING FILE Records concerning illegal dumping complaints received.	Destroy in office after 5 years.*	
52.	INFORMATION AND WORKING FILE Technical information concerning lift stations and maintenance, water, and sewer petition work.	Destroy in office after 3 years.*	
53.	INSPECTION FORMS Shows inspection and acceptance dates of sanitation, electric, water, gas and sewer utilities.	Destroy in office when superseded or obsolete.	
54.	INSPECTIONS (EROSION AND SEDIMENT CONTROL) Includes inspection requests, notices of violations, denial reports, sketches, plans, correspondence, including email, and similar records concerning the construction, modification or demolition of existing and new roads and construction sites.	Destroy in office after 6 years.	
55.	INSPECTOR WORKSHEETS/NOTES	a) Destroy in office 6 years after completion of project if worksheet is the only record of inspections. b) Destroy in office remaining records when administrative value ends.† Agency Policy: Destroy in office after <u>6 years</u>	

STANDARD 20: PUBLIC UTILITIES AND ENVIRONMENTAL MANAGEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
56.	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.
57.	LANDFILL INSPECTION RECORDS Records and reports completed to prevent malfunctions and deterioration, operation errors, and discharges that may cause or lead to the release of waste in the environment.	Destroy in office after 5 years.*	
58.	LANDFILL MONITORING REPORTS Gas and groundwater monitoring records and reports.	a) Retain official reports permanently. b) Destroy in office remaining records after 3 years.	
59.	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.	
60.	LANDFILL PERMITS	Destroy in office after the 5 year reporting period is complete.	G.S. §130A-294 (b1) (4)
61.	LANDFILL TONNAGE AND COST FILE	Destroy in office after the 5 year reporting period is complete.	

STANDARD 20: PUBLIC UTILITIES AND ENVIRONMENTAL MANAGEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
62.	LANDLORD AGREEMENTS Agreements to automatically transfer utility accounts to landlords when their tenant vacates a property.	Destroy in office after 3 years.*	
63.	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
64.	LIFT STATION INFORMATION FILE	Destroy in office after 3 years.*	
65.	LINE INSPECTION MAPS May include video recordings monitoring lines.	Destroy in office when superseded or obsolete.	
66.	LOAD INSPECTION RECORDS Inspections conducted to prevent the disposal of illegal and/or restricted materials in the landfill.	Destroy in office after 3 years.	
67.	MAPS (UTILITY INSTALLATIONS & DISTRIBUTIONS) Includes maps, plats, charts, and similar records showing the location of water mains, valves, hydrants, meters, etc., throughout the system.	Retain for life of system.	Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of detailed drawings of infrastructure facilities. 15A NCAC 18C .0300
68.	METER READING RECORDS (ELECTRIC, WATER, GAS) Records showing consumer consumption.	Destroy in office after 3 years.*	
69.	METER TESTING AND CALIBRATION RECORDS (ELECTRIC, WATER, GAS)	Destroy in office after 3 years.*	

ITEM #	STANDARD 20: PUBLIC UTILITIES AND ENVIRONMENTAL MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
70.	MONTHLY OPERATION SUMMARIES	Destroy in office after 3 years.*	
71.	MONTHLY PERMITS AND ACTIVITY REPORTS (EROSION AND SEDIMENT CONTROL) Customized reports used for statistical analysis of current development trends within the county. This information also is submitted to the NC Department of Environment and Natural Resources (DENR).	Destroy in office after 3 years.	
72.	MONTHLY REPORTS Reports sent to the state regulatory agency.	Destroy in office after 5 years.	
73.	MONTHLY REPORTS (LOCAL)	Destroy in office after 3 years.	
74.	NOTICE OF VIOLATIONS FOR IMPROPER DISCHARGE OR DISPOSAL FILE	Destroy in office when administrative value ends.†* Agency Policy: Destroy in office after 3 years	
75.	NOTICE TO PROPERTY OWNERS OF APPROVAL OF UTILITY INSTALLATION	Destroy in office after 2 years.	
76.	OPERATOR DAILY LOG SHEETS Copies of incinerator logs, round logs, press logs, polymer check logs, computer daily reports, and supervisor logs.	Destroy in office after 1 year.	
77.	OUTSIDE WASTE CLEARANCE RECORDS Records allowing parties outside the municipality's jurisdiction to dispose of waste at landfill.	Destroy in office 3 years after expiration of agreement.	

ITEM #	STANDARD 20: PUBLIC UTILITIES AND ENVIRONMENTAL MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
78.	PARTICIPATION CONTRACTS Contracts used to determine amount of reimbursement owed to developer. May include construction drawings.	Destroy in office 3 years after completion.*	
79.	PERIODIC INSPECTION REPORTS OF INDUSTRIAL FACILITIES	Destroy in office after 5 years.	
80.	PERMITS (EROSION AND SEDIMENT CONTROL) Records concerning permits issued for site construction.	Destroy in office after 6 years.	
81.	PRELIMINARY PLAN REVIEW FILE Preliminary plan reviews for subdivisions and construction.	Destroy in office after 2 years.*	
82.	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 Part 503.17
83.	RATE SCHEDULES	Destroy in office when superseded or obsolete.	
84.	RECYCLING MATERIAL REPORTS	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after 3 years	
85.	RECYCLING TONNAGE RECORDS Records documenting tonnage of materials collected at curb and dropped off at recycling centers.	Destroy in office after 3 years.	

STANDARD 20: PUBLIC UTILITIES AND ENVIRONMENTAL MANAGEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
86.	ROUTINE REPORTS (SANITATION) Routine reports submitted by sanitation staff.	Destroy in office after 1 year.	
87.	SANITARY LANDFILL INSPECTIONS Includes state inspection form.	Destroy in office after 1 year.	
88.	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 15A NCAC 18C .1526
89.	SCALE HOUSE VIDEO MONITORING RECORDINGS	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after <u>3</u> years	
90.	SERVICE AGREEMENTS Includes liquefied natural gas, electric, sewage, water and wastewater, and drainage maintenance agreements.	Destroy in office 3 years after termination or expiration.*	
91.	SERVICE INTERRUPTION RECORDS Includes reports, logs, or similar records documenting service interruptions.	Destroy in office after 3 years.*	
92.	SEWER JETTING AND VECTORING RECORDS Records documenting the routine cleaning of wastewater lines.	Destroy in office after 3 years.	

STANDARD 20: PUBLIC UTILITIES AND ENVIRONMENTAL MANAGEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
93.	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 Part 503.17
94.	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.	G.S. §130A-309.09A
95.	SOLID WASTE MANAGEMENT VIOLATION RECORDS 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.*	
96.	SOLID WASTE REPORTS Waste Management Annual Report, Facility Report, Tire Report, and all other similar records filed with the Department of Environment and Natural Resources.	Destroy in office after 5 years.	G.S. §130A-309.09A.
97.	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.
98.	SURETY BOND INFORMATION	Destroy in office after final inspection.	

STANDARD 20: PUBLIC UTILITIES AND ENVIRONMENTAL MANAGEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
99.	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 <u>3 years, if generated</u>	
100.	TROUT BUFFER VARIANCES Records may include denials and waivers.	a) Destroy in office 6 years after approval of permit. b) Destroy in office after 3 years plans for which a permit was not issued.	
101.	U. S. ENVIRONMENTAL PROTECTION AGENCY (EPA) REPORTS	Destroy in office after 2 years.*	
102.	VALVE OPERATION FILE	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after <u>3 years, if generated</u>	
103.	VIOLATION RECORDS Includes all documentation of actions taken to correct federal, state or local violations of water and wastewater management standards.	Destroy in office after 5 years.*	40 CFR 141.33 15A NCAC 18C .1526
104.	WASTE ELECTRONICS COLLECTION FILE	Destroy in office after 5 years.	
105.	WASTE OIL COLLECTION FILE May include records of waste oil filter collections.	Destroy in office after the 5 year reporting period is complete.	G.S. §130A-309.20
106.	WASTEWATER MAINTENANCE OPERATION REPORT	Destroy in office after 3 years.	

STANDARD 20: PUBLIC UTILITIES AND ENVIRONMENTAL MANAGEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
107.	WASTEWATER POLLUTION CONTROL AND ABATEMENT RECORDS	Destroy in office after 5 years.*	15A NCAC 2B .0500
108.	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
109.	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 and 40 CFR 141.33 (a)(b)
110.	WATER AND SEWER PROJECTS	Destroy in office 6 years after date of completion.*	
111.	WATER AND WASTEWATER FACILITY ENGINEERING AND SYSTEM PLANS Includes authorizations to construct, building plans and specifications. See also COMPREHENSIVE PLAN item 21, page36.	a) If an element of the Comprehensive Plan, destroy in office when administrative value ends.† Agency Policy: Destroy in office after <u>3 years, if generated</u> 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.	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

STANDARD 20: PUBLIC UTILITIES AND ENVIRONMENTAL MANAGEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
112.	WATER AND WASTEWATER PERMITS AND APPROVAL RECORDS 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.	a) Destroy in office permits 5 years after expiration, cancellation, revocation or denial.* b) Retain approval letters and supporting documentation permanently.	15A NCAC 18C .0300 and 2H .0115 40 CFR 122.28 (1993)
113.	WATER AND WASTEWATER SYSTEM INSPECTIONS AND TESTS Includes non-compliance inspections and test records conducted by a facility.	Destroy in office after 5 years.*	
114.	WATER AND WASTEWATER SYSTEM MAINTENANCE AND REPAIR RECORDS Includes records documenting installation, location, specifications, and maintenance history, for hydrants, meters, pipes, pumps, valves, and similar system equipment. Includes drainage system maintenance and repair records.	a) Destroy in office 3 years after equipment is no longer owned and/or operational if like replacement occurred. b) Destroy in office 5 years after equipment is no longer owned and/or operational if unlike replacement occurred.	
115.	WATER AND WASTEWATER SYSTEM MANAGEMENT PLANS	a) Retain in office permanently adopted plans and amendments. b) Destroy in office background surveys, studies, reports, and drafts 3 years after adoption of plan.	Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of detailed drawings of infrastructure facilities.

STANDARD 20: PUBLIC UTILITIES AND ENVIRONMENTAL MANAGEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
116.	WATER AND WASTEWATER SYSTEM PROJECT RECORDS	a) Retain project pre-approval and final approval letters permanently. b) Destroy in office remaining records 6 years after project is completed.	40 CFR 141.33 15A NCAC 18C .0300
117.	WATER CONSERVATION VIOLATION NOTICES	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after <u>3</u> years, if generated	
118.	WATER STOCK PURCHASE RECORDS Records documenting the purchase of water from individuals and/or companies.	Destroy in office after 3 years.*	
119.	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
120.	WATER TANKS, SPECIFICATIONS, AND BOOSTER STATIONS FILE	Destroy in office after 5 years.*	
121.	WEIGH TICKETS/SCALE RECORDS Record documenting deliveries to landfill. Includes weigh tickets, logs, readings, calibrations, reports, and correspondence, including email.	Destroy in office after 3 years.*	

STANDARD 21. STREET MAINTENANCE, PUBLIC WORKS, AND ENGINEERING RECORDS
 Official records and materials created and accumulated for constructing and maintaining municipal streets and other public works projects, and engineering records.

STANDARD 21: STREET MAINTENANCE, PUBLIC WORKS, AND ENGINEERING RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	APPRAISAL REPORTS FILE Reports prepared by independent or staff appraisers.	Destroy in office after 10 years.	
2.	CEMETERY DEEDS Copies of deeds for the purchase of cemetery plots. May include applications or deed slips.	a) Retain copy of deed in office permanently. b) Destroy other records in office when administrative value ends.† Agency Policy: Destroy in office after <u>retain permanently</u> .	
3.	CEMETERY INTERMENT RECORDS Includes name of deceased, date of interment, and location of plot.	Retain in office permanently. <i>Retention Note: If these records are maintained as an electronic database, a copy should be maintained on paper or microfilm and updated regularly.</i>	
4.	COMPLIANCE RECORDS Records documenting regulatory compliance and used to ensure compliance with environmental regulations. Includes memos, correspondence, including email, budgets, environmental regulations and other information and resources needed to assist staff to comply with environmental regulations.	Destroy in office 6 years after completion or termination of project.	

STANDARD 21: STREET MAINTENANCE, PUBLIC WORKS, AND ENGINEERING RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
5.	EMERGENCY OPERATIONS PLANS Records concerning emergency operations.	Destroy in office when superseded or obsolete.	Comply with applicable provisions of G.S. §132-1.7 regarding the confidentiality of security records.
6.	ENVIRONMENTAL ASSESSMENT RECORDS Records documenting "due diligence" (legal inquiry of property) and used for the management and construction of project sites. Contains report or summary of property evaluation. Includes but is not limited to research information, interviews, aerial photographs, photographs of site, notes from site visits and other information collected on the types of uses of the property in question.	Destroy in office 6 years after completion or termination of project.	
7.	EXCAVATION PERMITS Applications, permits, and billing information for individuals and contractors requesting to work in the municipal right-of-way for demolitions or excavations.	a) Destroy in office applications and permits 1 year after expiration. b) Destroy in office billing records after 3 years.* c) Destroy in office applications for which a permit was never issued when administrative value ends.† Agency Policy: Destroy in office after <u>2</u> years.	
8.	GRAVE OPENING ORDERS Authorizations to dig graves.	Destroy in office after 1 year.	
9.	MAINTENANCE RECORDS FILE Maintenance records pertaining to maintenance of streets, utilities, and other municipal property.	Destroy in office after 3 years.*	

STANDARD 21: STREET MAINTENANCE, PUBLIC WORKS, AND ENGINEERING RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
10.	MAPS AND SURVEY RECORDS Maps, surveys of land, drawings, CAD and CADD drawings, and related documentation. Base maps may include streets, public facilities, service routes, transportation routes, neighborhood boundaries, rights-of-way, parks, etc.	a) Retain records with historical value permanently. b) Destroy in office remaining records when administrative value ends.† Agency Policy: Destroy in office after <u>retain permanently</u> .	
11.	PEST CONTROL RECORDS Records concerning municipal pest eradication programs.	Destroy in office after 3 years.*	
12.	PLANNING FILE Includes long-range and immediate plans for paving streets and other projects.	Destroy in office 5 years after completion or cancellation.	
13.	PRE-PROJECT RECORDS Background information for projects explored but not undertaken. Records are used as a reference file and include maps, project information, tapes and the reason that the project failed.	a) Retain records with historical value permanently. b) Destroy in office remaining records when administrative value ends.† Agency Policy: Destroy in office after <u>5 years</u> .	Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of detailed drawings of infrastructure facilities.

STANDARD 21: STREET MAINTENANCE, PUBLIC WORKS, AND ENGINEERING RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
14.	PROJECT RECORDS – CORE Records used to document the design and construction of the project. Records document the history of the project and include as-built plans, certificate of completion/closure, policy correspondence, including email, covenants, final estimates, geo-technical reports, maintenance agreements, permits for right-of-way use, photographs, plans and specifications proposed, specifications, and structural calculations.	Retain originals for life of structure.	Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of detailed drawings of infrastructure facilities.
15.	PROJECT RECORDS – ENGINEERING Records used to document the engineering and technical areas of a project. File includes agreements for construction and finance, billing information, change orders, force orders, work orders, construction claims, contract documentation, contracts, council records (ordinances, resolutions, transmittals, etc.), reports, diaries and narratives, EEO information, grant records, material certifications, material testing reports, notice to proceed, payrolls for contract compliance, permit of entry, postings, pre-construction conference records, final progress payments, punch lists, regulations, shop drawings, and subcontractor information.	Destroy in office 6 years after completion or termination of project.*	Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of detailed drawings of infrastructure facilities.

STANDARD 21: STREET MAINTENANCE, PUBLIC WORKS, AND ENGINEERING RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
16.	PROJECT RECORDS - WORK PAPERS Records documenting the active stages of a project. File includes alternative designs, bid tabulations and proposals, budget material, construction schedules, working cost estimates, design information, working and construction drawings, expenditure authorization, final pre-construction estimates, job assignment notices, mailing lists, meeting notices, pre-design information, progress payments, quarterly allotment reports, reference material, survey notes and transmittals.	a) Transfer records as applicable to PROJECT RECORDS - ENGINEERING item 15, page 214. b) Destroy in office remaining records when administrative value ends. † Agency Policy: Destroy in office after <u>6</u> years	Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of detailed drawings of infrastructure facilities.
17.	PROJECT SHEETS FILE Local forms listing property owners, lot or tract size, right-of-way data, tax value, and compensation.	Destroy in office after 5 years.	
18.	PROJECT TRACKING RECORDS Records used to track progress of projects. Includes date of preliminary maps, field check, final plans, project start date, date permit issued or notice to proceed mailed, whether project is active, percent complete, date of substantial completion, date of punch list, date project accepted, date certificate of completion mailed, date received, and date sent to design.	Destroy in office when superseded or obsolete.	

STANDARD 21: STREET MAINTENANCE, PUBLIC WORKS, AND ENGINEERING RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
19.	RIGHT-OF-WAY ACQUISITION RECORDS File contains project documentation and includes record of negotiations on individual sewer projects, as-built drawings, street deeds, street vacations and real estate purchases, street widening and railroad crossing agreements, easements for sewers and retaining walls, and grade changes.	Retain in office permanently.*	Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of detailed drawings of infrastructure facilities.
20.	RIGHT-OF-WAY APPRAISAL RECORDS Series used to document property appraisals on property acquired for public right-of-way.	a) Transfer records as applicable to RIGHT-OF-WAY ACQUISITION RECORDS item 19, page 216 when property is purchased.* b) Destroy in office all other records when administrative value ends. † Agency Policy: Destroy in office after <u>3</u> years	
21.	RIGHT-OF-WAY CORRESPONDENCE FILE Includes 10-day letter of notification, notification of intent to acquire, notice of condemnation action, and other correspondence, including email, relating to right-of-way acquisitions.	Destroy in office after 3 years.*	
22.	STREET CLEANING RECORDS Reports, logs, and similar records documenting street cleaning operations.	Destroy in office after 1 year.	
23.	STREET NAME AND HOUSE NUMBER FILES Records relating to the assignment of street names and house numbers. May also include records of street name changes, and street openings and closings.	Retain in office permanently.	

ITEM #	STANDARD 21: STREET MAINTENANCE, PUBLIC WORKS, AND ENGINEERING RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
24.	STREETLIGHT FILE File contains streetlight installation, maintenance, and repair orders.	Destroy in office after 3 years.	
25.	STRUCTURAL MAINTENANCE AND ANALYSIS RECORDS Records used for maintenance, review, and analysis of permanent and temporary structures that may extend, cross or abut the public right-of-way.	a) Retain records pertaining to permanent structures for life of structure or until ownership ceases. b) Destroy in office records pertaining to temporary structures 3 years after structure is removed.	Comply with applicable provisions of G.S. §132-1.7 regarding the confidentiality of security records.
26.	SURVEY FIELD RECORDS Records used to document and establish easements and rights-of-way, and to locate reference points used during street and utility projects. Records include traverse information, tie sheets, sketches, field notes, plats, interpretation of field notes, alignments, profiles of projects, plans, grade sheets, estimates, databank ties, and other miscellaneous documents used to establish grades, rights-of-way and easements.	a) Retain records with historical value permanently. b) Destroy in office remaining records when administrative value ends.† Agency Policy: Destroy in office after <u>6</u> years	
27.	TESTING AND INSPECTION RECORDS Records used to check feasibility of construction, and to track contracts and progress or work until accepted by the municipality. Records include inspector's daily reports, correspondence, including email, as-built plans, inspection tickets, test lab results of required tests and inspections and related documentation.	Destroy in office 6 years after completion or termination of project.	G.S. § 1-50
28.	TRAFFIC ACCIDENT DATA FILE Records include data compiled on traffic accidents in the municipality.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after <u>5</u> years	

ITEM #	STANDARD 21: STREET MAINTENANCE, PUBLIC WORKS, AND ENGINEERING RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
29.	TRAFFIC ANALYSIS Analysis of municipal vehicle traffic.	Destroy in office after 5 years.	
30.	TRAFFIC CAMERA RECORDINGS Recordings from cameras used to monitor traffic.	Destroy in office or reuse after 30 days recordings not required to support known investigations or litigation.*	
31.	TRAFFIC OPERATIONS PROGRAM FILE Traffic Operation for Improved Capacity and Safety (TOPICS). Records include analysis of traffic needs.	Program discontinued. Destroy records in office.	
32.	TRAFFIC SIGNAL FILE File contains traffic signal installation, maintenance, and repair orders.	Destroy in office after 3 years.	

STANDARD 22. TAX RECORDS
 Official records and materials created and accumulated for use by municipal tax offices.

Note: Administration, use, and retention of municipal tax records should comply with applicable confidentiality provisions of G.S. §160A-208.1, G.S. §105-259, G.S. §132-1.1(b), and G.S. §132-1.2.

STANDARD 22: TAX RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	ANIMAL LICENSING RECORDS Records concerning the licensing of dogs, cats, and other animals by the municipality. Includes owner and animal information and record of fees paid.	Destroy in office after 3 years.*	G.S. § 160A-212 Comply with applicable provisions of G.S. §105-259, G.S. §132-1.1(b), G.S. §132-1.2, and G.S. §160A-208.1 regarding confidentiality of taxpayer records.
2.	ANNUAL REPORT ON PUBLIC DEPOSITS Forms INV-97 (Annual Report on Public Deposits), INV-98 (Annual Report on Collateral for Public Deposits) and INV-96 (Quarterly Reports) submitted to the State Treasurer.	After submission to the State Treasurer, destroy copies in office.	20 NCAC 07 .0502
3.	ASSESSED VALUATION AND LEVIES REPORT Form TR-2 filed with the NC Department of Revenue.	After submission to the NC Department of Revenue, destroy copies in office.	17 NCAC 01C .0319

STANDARD 22: TAX RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.	BICYCLE LICENSE PLATE RECORDS Records concerning issuance of license plates for bicycles.	Destroy in office after 1 year.*	Comply with applicable provisions of G.S. §105-259, G.S. §132-1.1(b), G.S. §132-1.2, and G.S. §160A-208.1 regarding confidentiality of taxpayer records.
5.	BICYCLE LICENSE RECEIPTS Copies of receipts issued for bicycle licenses.	Destroy in office after 1 year.*	Comply with applicable provisions of G.S. §105-259, G.S. §132-1.1(b), G.S. §132-1.2, and G.S. §160A-208.1 regarding confidentiality of taxpayer records.
6.	DELINQUENT TAXPAYER RECORDS Records documenting taxpayers who have not paid real and personal property taxes due, including unpaid notices. See also DELINQUENT TAXPAYER RECORDS; ADVERTISEMENT OF TAX LIENS AGAINST REAL PROPERTY (item 6, page 220).	Destroy in office after 10 years or 3 years after final settlement or 1 year after released by governing board, whichever occurs first.*	

ITEM #	STANDARD 22: TAX RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
7.	DELINQUENT TAXPAYER RECORDS: ADVERTISEMENT OF TAX LIENS AGAINST REAL PROPERTY Records documenting the municipal taxation officer's publication in the newspaper of delinquent taxpayer and tax sales notices. See also DELINQUENT TAXPAYER RECORDS item 6, page 220.	Destroy in office after 10 years.*	G.S. § 105-369
8.	MOTOR VEHICLE LICENSE PLATE/DECAL RECORDS Records concerning issuance of license plates/decals for motor vehicles.	Destroy in office after 1 year.*	
9.	MOTOR VEHICLE LICENSE RECEIPTS Copies of receipts issued for motor vehicle licenses.	Destroy in office after 1 year.*	Comply with applicable provisions of G.S. §105-259, G.S. §132-1.1(b), G.S. §132-1.2, and G.S. §160A-208.1 regarding confidentiality of taxpayer records.
10.	MOTOR VEHICLE RENTAL TAX	Destroy in office after 3 years.*	
11.	PREPARED FOOD AND BEVERAGE TAX	Destroy in office after 3 years.*	
12.	PRIVILEGE LICENSE CITATION RECORDS Records documenting citations issued by license inspectors for non-compliance with business license requirements.	Destroy in office after 3 years.*	

ITEM #	STANDARD 22: TAX RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
13.	PRIVILEGE LICENSES Records documenting the municipality'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 Comply with applicable provisions of G.S. §105-259, G.S. §132-1.1(b), G.S. §132-1.2, and G.S. §160A-208.1 regarding confidentiality of taxpayer records.
14.	PRIVILEGE TAX LEDGER Ledger listing individuals required to pay privilege tax.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after <u>5</u> years.	Comply with applicable provisions of G.S. §105-259, G.S. §132-1.1(b), G.S. §132-1.2, and G.S. §160A-208.1 regarding confidentiality of taxpayer records.
15.	PRIVILEGE TAX RECEIPTS Copies of receipts issued for payment of privilege tax.	Destroy in office 3 years after expiration.*	Comply with applicable provisions of G.S. §105-259, G.S. §132-1.1(b), G.S. §132-1.2, and G.S. §160A-208.1 regarding confidentiality of taxpayer records.

STANDARD 22: TAX RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
16.	REPORTS OF TAXES COLLECTED (DAILY AND WEEKLY) Reports listing taxes collected on a daily and weekly basis.	Destroy in office after 1 year.	Comply with applicable provisions of G.S. §105-259, G.S. §132-1.1(b), G.S. §132-1.2, and G.S. §160A-208.1 regarding confidentiality of taxpayer records.
17.	ROOM OCCUPANCY TAX RECORDS	Destroy in office after 3 years.*	G.S. §160A-215 Comply with applicable provisions of G.S. §105-259, G.S. §132-1.1(b), G.S. §132-1.2, and G.S. §160A-208.1 regarding confidentiality of taxpayer records.
18.	SCHEDULE "B" LICENSES Receipts of licenses issued by municipality in accordance with G.S. § 105-33.	a) Destroy in office 3 years after close of license tax year stubs or detailed settlement records. b) Destroy in office stubs 1 year after audit if settlement records are kept.	Comply with applicable provisions of G.S. §105-259, G.S. §132-1.1(b), G.S. §132-1.2, and G.S. §160A-208.1 regarding confidentiality of taxpayer records.
19.	TAX ABSTRACTS AND LISTS Complete record of real and personal property in the municipality, 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.	G.S. § 105-309 G.S. § 105-296

STANDARD 22: TAX RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
20.	TAX EXEMPT PROPERTY FILE Records of property that is exempt from taxation.	Destroy in office 5 years after property has been declared exempt.	
21.	TAX LEDGER CARDS OR SHEETS	Destroy in office 5 years after becoming obsolete.	
22.	TAX LEVY/SEIZURE RECORDS Inventory of property taken from property owner by the municipal 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 municipal law enforcement agency, execution forms to be retained by that agency. b) If levy, seizure, and sale are not made, destroy in office forms when administrative value ends.† Agency Policy: Destroy in office after <u>3 years, if generated</u>	G.S. 105-366 G.S. 105-367
23.	TAX LIEN SALES Records concerning sales held to satisfy tax liens.	Destroy in office 10 years after sale.	
24.	TAX REBATES Records concerning tax rebates given or received.	Destroy in office after 10 years.	
25.	TAX RECEIPT BOOK Record indicating taxes, fees, and penalties collected.	Destroy in office after 5 years.	Comply with applicable provisions of G.S. §105-259, G.S. §132-1.1(b), G.S. §132-1.2, and G.S. §160A-208.1 regarding confidentiality of taxpayer records.

STANDARD 22: TAX RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
26.	TAX RECEIPTS Copies of receipts for taxes, fees, and penalties collected.	a) Destroy in office paid tax receipts after 10 years.* b) Destroy in office unpaid tax receipts when approved by city/town council.	Comply with applicable provisions of G.S. §105-259, G.S. §132-1.1(b), G.S. §132-1.2, and G.S. §160A-208.1 regarding confidentiality of taxpayer records.
27.	TAX SALE CERTIFICATES	Series discontinued. Destroy in office 10 years from date of sale.	
28.	TAX SCROLLS Records indicating property (real estate and personal) valuation and taxes due.	Destroy in office after 10 years.	



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TOWN OF CHAPEL HILL

Town Hall
405 Martin Luther King Jr.
Boulevard
Chapel Hill, NC 27514

Item Overview

Item #: 6., File #: [19-0374], Version: 1

Meeting Date: 4/24/2019

Receive Upcoming Public Hearing Items and Petition Status List.

Staff:

Sabrina Oliver, Director and Town Clerk
Amy Harvey, Deputy Town Clerk

Department:

Communications and Public Affairs



Recommendation(s):

That the Council accept the reports as presented.

Background:

Two pages on our website have been created to track:

- public hearings scheduled for upcoming Council meetings; and
- petitions received, including their status and who you can call for information.

The goal is to provide, in easily available spaces, information that allows people to know when Council will be seeking their comments on a particular topic of development and to know the status of a petition submitted at Council meetings.

In addition to being on the website, these pages will be included in each agenda for Council information,

Fiscal Impact/Resources: Staff time was allocated to create the semi-automated web pages, and additional staff time will be needed for maintenance.

Council Goals: Foundational Program: Govern with quality and steward public assets



Attachments:

- [Scheduled Public Hearings <http://www.townofchapelhill.org/town-hall/mayor-and-council/council-minutes-and-videos/scheduled-agenda-items>](http://www.townofchapelhill.org/town-hall/mayor-and-council/council-minutes-and-videos/scheduled-agenda-items)
- [Status of Petitions to Council <http://www.townofchapelhill.org/town-hall/mayor-and-council/council-minutes-and-videos/petition-status>](http://www.townofchapelhill.org/town-hall/mayor-and-council/council-minutes-and-videos/petition-status)

The Agenda will reflect the text below and/or the motion text will be used during the meeting.

By accepting the report, the Council acknowledges receipt of the Scheduled Public Hearings and Status of Petitions to Council lists.

Scheduled Public Hearings

This webpage lists public hearings that are scheduled for a *specific Council meeting date*, although periodically, some may be continued to a future date. Public hearings may relate to the Land Use Management Ordinance (LUMO), Residential or Commercial Development, Budget, Transportation, or Housing issues. Meeting materials are posted at [Council Meeting Agendas, Minutes and Videos](#).

Interested in a development project not yet scheduled for Council review? See the [Development Activity Report](#) for the project's current status.

May 1

- Presentation: Recommended Budget for FY 2019-20.

May 8

- Open the Public Hearing: Recommended Budget for FY 2019-20.

May 22

- Consider a Land Use Management Ordinance Text Amendment to Establish New Zoning Districts for the Historic Rogers Road Neighborhood.
- Consider a Land Use Management Ordinance Zoning Atlas Amendment to Apply the New Zoning Districts for the Historic Rogers Road Neighborhood.

STATUS OF PETITIONS TO COUNCIL

Petitions submitted during the Town Council meetings are added to the list below, typically within five business days of the meeting date.

To contact the department responsible, click on the department name. Meeting materials are posted at [Council Meetings, Agendas, Minutes and Videos](#).

Meeting Date	Petitioner	Petition Request	Departments Responsible	Petition Status
04/10/2019	Climate Reality Group	Request for Council Support of a Resolution Seeing a Local, State, and National Goal of 100% Clean Energy by 2050 and the Creation of Green Jobs.	Town Manager Ross Tompkins , Assistant to the Town Manager Phone: 919-968-2707	
04/10/2019	Council Member Anderson	Regarding Meeting Minutes and Archives.	Communications & Public Affairs Sabrina Oliver , Communications & Public Affairs Director Phone: 919-968-2757	
03/20/2019	Julie McClintock	Regarding Text Amendment for Changes to Blue Hill Form Based Code.	Planning & Development Services Ben Hitchings , Director Phone: 919-968-2731	Staff is preparing information to respond to this request.
03/20/2019	Cheri Hardman	Request to Explore Local Control over Transit Planning and Funding.	Transit Brian Litchfield , Transit Director Phone: 919-969-4908	Staff is preparing information to respond to this request.
03/06/2019	Environmental Stewardship Advisory Board	Request to Modify the Blue Hill Form Based Code to Include a Requirement for Installing Roof-Mounted Solar Energy Systems	Planning & Development Services Ben Hitchings , Director Phone: 919-968-2731 Town Manager Ross Tompkins , Assistant to the Town Manager Phone: 919-968-2707	Staff will look at incorporating this request into future modifications to the Blue Hill Form Based Code.

Meeting Date	Petitioner	Petition Request	Departments Responsible	Petition Status
02/20/2019	Julie McClintock (for John Morris)	Request for Town-Sponsored Community Meetings for Those Affected by Durham-Orange Light Rail Transit Project.	Planning & Development Services Ben Hitchings , Director Phone: 919-968-2731 Transit Brian Litchfield , Transit Director Phone: 919-969-4908	Staff is following up with GoTriangle on this request.
02/13/2019	David Adams and Julie McClintock	Regarding Evaluation of Town Transportation Needs.	Transit Brian Litchfield , Transit Director Phone: 919-969-4908 Planning & Development Services Ben Hitchings , Director Phone: 919-968-2731	Staff is preparing information to respond to this request.
02/13/2019	Citizens	Request Regarding Coal Use and Coal Ash.	Town Manager Ross Tompkins , Assistant to the Town Manager Phone: 919-968-2707	Staff is preparing information to respond to this request.
01/30/2019	Jeff Charles	Request Regarding Police Participation in Review Process of New Developments.	Planning & Development Services Ben Hitchings , Director Phone: 919-968-2731	Staff is preparing information to respond to this request.
01/16/2019	Ann Loftin	Petition Regarding Flooding in Briarcliff and Ridgefield.	Public Works Lance Norris , Public Works Director Phone: 919-969-5100	Staff is preparing information to respond to this request.

Meeting Date	Petitioner	Petition Request	Departments Responsible	Petition Status
01/16/2019	John Morris	Regarding GoTriangle Meetings and Materials.	Planning & Development Services Ben Hitchings , Director Phone: 919-968-2731 Transit Brian Litchfield , Transit Director Phone: 919-969-4908	Staff is preparing information to share with GoTriangle.
12/05/2018	Paul Pritchard	Request to Defer Reforestation at Cleland, Rogerson, and Oakwood Intersection.	Parks & Recreation Linda Smith , Interim Director Parks and Recreation Phone: 919-968-2849	This topic was added to the 01/15/19 agenda of the Parks, Greenways and Recreation Commission, with time allocated for the neighbors to speak. Another public meeting will be scheduled later in the year.
12/05/2018	Environmental Stewardship Advisory Board	Regarding Solar Energy Systems.	Planning & Development Services Ben Hitchings , Director Phone: 919-968-2731 Town Manager Ross Tompkins , Assistant to the Town Manager Phone: 919-968-2707	Staff has updated the ESAB on the potential options for implementing this request and is scheduled to provide a report to Council in Spring 2019.
11/28/2018	Peter Lee	Regarding Traffic Concerns on Homestead Road.	Planning & Development Services Ben Hitchings , Director Phone: 919-968-2731 Public Works Lance Norris , Public Works Director Phone: 919-969-5100	At the 11/27/2018 Transportation & Connectivity Advisory Board meeting, staff shared information about the pedestrian, bicycle, and road improvements underway and planned for Homestead Road, as well as projects that are planned and under construction.

Meeting Date	Petitioner	Petition Request	Departments Responsible	Petition Status
11/07/2018	Jeff Charles	Request Regarding Offering Toxicology and Public Safety Expertise.	Town Manager Ross Tompkins , Assistant to the Town Manager Phone: 919-968-2707	On 12/21/18, the Town published a Request for Proposals from qualified firms to perform human health and ecological risk assessments for property located at 828 Martin Luther King, Jr. Blvd. The deadline for firms to respond was January 22, 2019.
10/24/2018	Jeff Charles	Regarding Request for Traffic Impact Study on Homestead Road.	Planning & Development Services Ben Hitchings , Director Phone: 919-968-2731	At the 11/27/2018 Transportation & Connectivity Advisory Board meeting, staff shared information about the pedestrian, bicycle, and road improvements underway and planned for Homestead Road, as well as projects that are planned and under construction.
10/24/2018	Justice in Action Committee	Request Regarding a New Location for the Teen Center of Chapel Hill.	Housing & Community Loryn Clark , Executive Director Phone: 919-969-5076 Community Arts and Culture	A staff workgroup, in coordination with the Mayor's Office, has been gathering data and seeking input from teens, service providers, and other stakeholders. The Council received an update on this initiative at their 01/30/19 business meeting.
10/24/2018	Susana Dancy	Regarding Town-owned Properties in Southern Area.	Planning & Development Services Ben Hitchings , Director Phone: 919-968-2731	In January 2019, staff shared the Obey Creek Compass Committee recommendations with Council. At the Council's request, Town staff are organizing a special public meeting in late March 2019 to discuss the Southern 15-501 area.

Meeting Date	Petitioner	Petition Request	Departments Responsible	Petition Status
10/24/2018	Jeff Charles	Regarding Extended Speaking Time for Individuals with Disabilities.	<p>Mayor Pam Hemminger, Mayor Phone: 919-968-2714</p> <p>Town Manager Ross Tompkins, Assistant to the Town Manager Phone: 919-968-2707</p>	Staff is preparing information to respond to this request.
10/10/2018	Jeff Charles	Regarding Creating Citizen Advisory Board for Seniors.	<p>Town Manager Ross Tompkins, Assistant to the Town Manager Phone: 919-968-2707</p>	Staff is preparing information to respond to this request.
09/19/2018	Julie McClintock of CHALT	Regarding Land Use Intensification.	<p>Planning & Development Services Ben Hitchings, Director Phone: 919-968-2731</p> <p>Public Works Lance Norris, Public Works Director Phone: 919-969-5100</p>	Staff will include the Town's new Resiliency Map as part of the map series for the Future Land Use Map. Staff is preparing information to respond to the additional requests in this petition.
06/27/2018	Susanne Kjemtrup / Brian Hageman	Transportation and Connectivity Advisory Board Request for an Electric Vehicle Provision in the Land Use Management Ordinance.	<p>Planning & Development Services Ben Hitchings, Director Phone: 919-968-2731</p>	Staff is preparing information to respond to this request.
06/13/2018	Steve Moore	Accessibility of Historical Old Chapel Hill Cemetery Files.	<p>Parks & Recreation Linda Smith, Interim Director Parks and Recreation Phone: 919-968-2849</p>	Staff digitized the files and made them available to view and download on the Town's web site. Staff is preparing a hard copy of the records to share with the Chapel Hill Historical Society.

Meeting Date	Petitioner	Petition Request	150 Departments Responsible	Petition Status
06/13/2018	Jeff Charles	Request to Form Study Group to Upgrade BikePed Path on Homestead Road.	Planning & Development Services Ben Hitchings , Director Phone: 919-968-2731	At the 11/27/2018 Transportation & Connectivity Advisory Board meeting, staff shared information about the pedestrian, bicycle, and road improvements underway and planned for Homestead Road, as well as projects that are planned and under construction.
06/13/2018	Mayor Pam Hemminger	Regarding Reviewing Policies, Procedures, and Practices for Development.	Planning & Development Services Ben Hitchings , Director Phone: 919-968-2731	Staff is preparing information to respond to this request.
06/13/2018	Ondrea Austin	CHALT's Request to Revise the Tree Ordinance.	Planning & Development Services Ben Hitchings , Director Phone: 919-968-2731	Staff is preparing information to respond to this request.
06/13/2018	Mayor pro tem Jessica Anderson	Request to Amend Bus Advertising Policy.	Transit Brian Litchfield , Transit Director Phone: 919-969-4908	At their 01/22/19 meeting, the Chapel Hill Transit Public Transit Committee considered the draft nonpublic forum transit advertising policy in order to provide feedback to the Chapel Hill Town Council on the option of amending the policy.
03/14/2018	Council Members Anderson, Gu, and Schaevitz	Request Regarding Addressing Blue Hill District Community Interests.	Planning & Development Services Ben Hitchings , Director Phone: 919-968-2731	At the 06/27/18 business meeting, the Council enacted ordinance amendments to encourage non-residential development and address building size in the district. Remaining items are scheduled to come to Council in early 2019.

Meeting Date	Petitioner	Petition Request	151 Departments Responsible	Petition Status
02/21/2018	Kimberly Brewer	Request to Make Tiny Homes a Legal and Affordable Housing Option.	Housing & Community Loryn Clark , Executive Director Phone: 919-969-5076 Planning & Development Services Ben Hitchings , Director Phone: 919-968-2731	Tiny homes are allowable almost anywhere within the Town. The State must adopt Appendix Q before the Town is able to. Staff shared findings and next steps with the petitioner, the Housing Advisory Board, and the Council.
11/29/2017	Council Members Anderson and Parker	Regarding East Rosemary Street Design Guidelines.	Planning & Development Services Ben Hitchings , Director Phone: 919-968-2731 Town Manager Ross Tompkins , Assistant to the Town Manager Phone: 919-968-2707	Staff will engage with an Urban Designer at the start of review for any projects that come forward.
09/06/2017	Tom Henkel from the Environmental Stewardship Advisory Board	Request for Modification to the Ephesus-Fordham Form-Based Code for the Purposes of Energy Efficiency.	Planning & Development Services Ben Hitchings , Director Phone: 919-968-2731	Where feasible, modifications will be considered as part of the development process for the Blue Hill Design Guidelines.
01/23/2017	Transportation and Connectivity Advisory Board	Request to Support Low/No Vision Guidelines to be Included in the Town's Engineering Manual as Stated in the April 11, 2016 Petition to Council	Public Works Lance Norris , Public Works Director Phone: 919-969-5100 Planning & Development Services Ben Hitchings , Director Phone: 919-968-2731	Request incorporated into process to update Public Works Engineering Design Manual.

Meeting Date	Petitioner	Petition Request	152 Departments Responsible	Petition Status
11/07/2016	Mayor Hemminger	Regarding Parking and Transit Needs in Downtown Area.	Planning & Development Services Ben Hitchings , Director Phone: 919-968-2731 Police Chris Blue , Police Chief Phone: 919-968-2766 Public Works Lance Norris , Public Works Director Phone: 919-969-5100	The Council received an update on these items at their February 2019 work session. The next update on the design of the Wallace Parking Deck addition will occur in early 2019.
11/07/2016	Heather Payne	Regarding Development Proposed at 111 Purefoy Road.	Planning & Development Services Ben Hitchings , Director Phone: 919-968-2731 Town Attorney Ralph Karpinos , Attorney Phone: 919-968-2746	At its 10/16/18 meeting, the Planning Commission denied the applicant's request for site plan approval. On February 21, 2019 the Board of Adjustment reversed the Planning Commission and approved the site plan request.
05/09/2016	Stormwater Management Utility Advisory Board	Request for Orange County Commissioners to Increase Staffing in Soil and Erosion Control Division and Improve Efficiency of Temporary Soil Erosion and Sediment Controls During Construction.	Public Works Lance Norris , Public Works Director Phone: 919-969-5100	Petition forwarded to Orange County. Consider changes to soil erosion and sediment control as part of Public Works Engineering Design Manual updates.
04/11/2016	Transportation and Connectivity Advisory Board	Request to Incorporate Proposed No-Vision and Low-Vision Pedestrian Facilities Guidelines into Design Manual and Development Code as Required	Public Works Lance Norris , Public Works Director Phone: 919-969-5100	Request incorporated into process to update Public Works Engineering Design Manual.

Meeting Date	Petitioner	Petition Request	Departments Responsible	Petition Status
04/11/2016	Transportation and Connectivity Advisory Board	Request for Senior Citizen Pedestrian Mobility and Complete Street Implementation	Public Works Lance Norris , Public Works Director Phone: 919-969-5100	Request incorporated into process to update Public Works Engineering Design Manual.
02/22/2016	Ken Larsen	Regarding Town Formulas for Development Parking Space	Planning & Development Services Ben Hitchings , Director Phone: 919-968-2731	Referred to the Future Land Use and Land Use Management Ordinance rewrite process, which began in Fall 2017.

Last modified on 4/18/2019 3:15:06 AM



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TOWN OF CHAPEL HILL

Town Hall
405 Martin Luther King Jr.
Boulevard
Chapel Hill, NC 27514

Item Overview

Item #: 7., File #: [19-0375], Version: 1

Meeting Date: 4/24/2019

Consider Staff Response to Environmental Stewardship Advisory Board Rooftop Solar Petition.

See attached Staff Report and related materials.

The Agenda will reflect the text below and/or the motion text will be used during the meeting.

PRESENTER: John Richardson, Community Resilience Officer

RECOMMENDATION: That the Council consider the attached legal opinion and provide feedback to the Manager about any additional steps that should be taken.



CONSIDER STAFF RESPONSE TO ENVIRONMENTAL STEWARDSHIP ADVISORY BOARD ROOFTOP SOLAR PETITION

STAFF REPORT

John Richardson, Community Resilience Officer
Ralph Karpinos, Town Attorney

<p>PETITION TOPIC Rooftop solar on new development or renovations in Chapel Hill</p>	<p>PETITIONER Environmental Stewardship Advisory Board</p>
<p>STAFF'S RECOMMENDATION That the Council consider the attached legal opinion and provide feedback to the Manager about any additional steps that should be taken.</p>	
<p>PETITION PROCESS</p> <ol style="list-style-type: none"> 1. The Council receives a petition from a Council Member, a Town Advisory Board or a member of the public. 2. The Council takes action to receive the petition and establish a course of action for further review. 3. If the petition is referred to a Town board or the Town Manager, a response to the petition is developed for the Council's consideration. 4. The Council provides additional direction to the Town board or Town Manager, as deemed appropriate. 	<p>DECISION POINTS</p> <p>Ask the staff to develop options that would:</p> <ul style="list-style-type: none"> • Expand the Council's current Energy Policy for rezonings to include rooftop solar; or • Amend the conditional use zoning sections of the Land Use Management Ordinance (LUMO) to include incentives for rooftop solar and possibly other energy efficiency measures. <p>Either of the options above could be addressed as part of Climate Action Plan implementation.</p>
<p>PETITION OVERVIEW</p> <p>On December 5th, 2018, the Environmental Stewardship Advisory Board (ESAB) submitted a petition (attached) asking the Council to consider that all new building construction and renovations in Chapel Hill which require a rezoning with a Special Use Permit be required to install roof-mounted solar energy systems over at least 80% of eligible roof areas.</p> <p>The petition included a list of detailed stipulations and referenced North Carolina General Statute § 160A-383.4. Local energy efficiency incentives.</p> <p>BOARD RECOMMENDATION</p> <p>On March 12, 2019, the ESAB reviewed and discussed a draft of this memorandum, including the possible decision points above and the legal opinion. The Board voted unanimously (7-0) to: (1) recommend that the Council modify the existing energy policy to include an expectation that developers provide roof-mounted solar in accordance with the petition; and (2) that this action inform how a future ordinance change might be formulated to incorporate incentives.</p>	<p>LEGAL OPINION</p> <p>Because the Environmental Stewardship Advisory Board cites North Carolina General Statute § 160A-383.4. Local energy efficiency incentives as the basis for its petition to Council, the Town Attorney was asked to provide a legal opinion.</p> <p>The attached legal opinion outlines the Council's options. One option is to expand the Council's current Energy Policy for rezonings with special use permits (attached) to include rooftop solar. In this way, applicants seeking a conditional use rezoning or a rezoning to a conditional use district could commit to rooftop solar—in addition to energy efficiency—and this could be cited as the Council's basis for granting such a rezoning. This option is estimated to take 2-3 months and requires an update to the existing Council resolution (attached).</p> <p>The second option would be to amend the conditional use zoning sections of the LUMO to establish incentives that could be granted at the Council's discretion in exchange for rooftop solar or other energy conservation measures. The text amendment process is estimated to be longer (typically 4-6 months) and requires additional research into calibrated incentives for rooftop solar.</p>
<p>ATTACHMENTS</p>	<ol style="list-style-type: none"> 1. Draft Staff Presentation 2. Environmental Stewardship Advisory Board Petition 3. Town Attorney's Legal Opinion 4. Council Energy Policy for Rezonings



Consider Staff Response¹⁵⁶ to Environmental Stewardship Advisory Board Rooftop Solar Petition

Date: April 24, 2019



DRAFT

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Background

- December 5, 2018, Environmental Stewardship Advisory Board (ESAB) submits a petition asking that Council require rooftop solar for all new construction and renovations
- March 12, 2019, staff presented a draft of tonight's response to the ESAB

DRAFT

Background ¹⁵⁹Continued

The ESAB voted unanimously to:

1. Recommend that Council modifies existing energy policy; and
2. The recommended action can inform a future ordinance change.

DRAFT

Staff Recommendations

- Consider the attached legal opinion; and
- Provide direction to the Manager about any additional steps that should be taken

DRAFT

Attachment 1

Petition for Installing Roof-Mounted Solar Energy Systems

Environmental Stewardship Advisory Board

November 13, 2018

Whereas: The Chapel Hill Town Council has previously passed a resolution to support local activities which reduce our carbon footprint in support of the Paris Climate Accords; and

Whereas: Energy consumption in buildings represent almost half of the energy use in all sectors of our economy; and

Whereas: Most of this building energy comes from the burning of fossil fuels, so that the reduction in building energy use will reduce the carbon footprint; and

Whereas: The Town cannot require owners to achieve a reduction in building energy use greater than that specified by the North Carolina building codes; and

Whereas: § 160A-383.4, Local Energy Efficiency Incentives, allows the Town to require the installation of certain desired equipment to reduce conventional energy use in new development for which a rezoning with a Special Use Permit is requested.

Therefore, be it resolved: The Environmental Stewardship Advisory Board asks the Town Council to require all new building construction and renovations in Chapel Hill which require a rezoning with a Special Use Permit to install roof-mounted solar energy systems over at least 80% of eligible roof areas, with the following stipulations:

- Eligible roof areas include all unshaded flat roofs and pitched roofs facing between the directions of southeast to southwest. Parking garages shall be included in these requirements if the excess energy output from their solar energy systems will be utilized in adjacent occupied buildings.
- Active solar energy systems include solar electric photovoltaic (PV), solar thermal hot water, solar thermal space heating and cooling, and solar thermal electric power. Passive solar energy systems include roof-installed daylighting structures.
- The maximum electric power output of a solar energy system shall not exceed the annual maximum instantaneous electric power demand for the building, unless energy storage is included in the system design. This stipulation may reduce the 80% rule.
- The annual solar energy produced and utilized by a solar thermal system shall satisfy at most 75% of the energy consumption of the building for space heating, space cooling, and hot water. This stipulation may reduce the 80% rule.
- The roof design may include a combination of active and passive solar energy systems.

- Adherence to these stipulations may be wholly or in-part waived for buildings that integrate non-carbon energy technologies which produce a greater carbon-reduction effect than the solar energy technologies identified herein.

Background Information:

§ 160A-383.4. Local energy efficiency incentives.

(a) Land-Use Development Incentives. - Counties and municipalities, for the purpose of reducing the amount of energy consumption by new development, and thereby promoting the public health, safety, and welfare, may adopt ordinances to grant a density bonus, make adjustments to otherwise applicable development requirements, or provide other incentives to a developer or builder within the county or municipality and its extraterritorial planning jurisdiction if the developer or builder agrees to construct new development or reconstruct existing development in a manner that the county or municipality determines, based on generally recognized standards established for such purposes, makes a significant contribution to the reduction of energy consumption.

(b) Repealed by Session Laws 2009-95, s. 1, effective June 11, 2009. (2007-241, ss. 1, 2; 2008-22, s. 1; 2009-95, s. 1.)

Attachment 2

MEMORNDUM

TO: John Richardson, Community Resilience Officer
 FROM: Ralph Karpinos, Town Attorney
 DATE: March 12, 2019
 SUBJECT: Environmental Stewardship Advisory Board Petition on Energy Efficiency

On December 5, 2018 the Chapel Hill Town Council received the attached from the Town's Environmental Stewardship Advisory Board. The petition was referred to Town Staff. You have asked me to comment on the extent to which the Town has authority to take the steps proposed in the petition.

The Board's Request:

The Board's Petition asks that the Council "require all new building construction and renovations in Chapel Hill which require a rezoning with a Special Use Permit to install roof-mounted solar energy systems over at least 80% of eligible roof areas with the following stipulations"

Legal Authority:

In support of their request, the Board cites North Carolina General Statute Sec. 160A-383.4:

§ 160A-383.4. Local energy efficiency incentives.

(a) Land-Use Development Incentives. - Counties and municipalities, for the purpose of reducing the amount of energy consumption by new development, and thereby promoting the public health, safety, and welfare, **may adopt ordinances to grant a density bonus, make adjustments to otherwise applicable development requirements, or provide other incentives to a developer or builder** within the county or municipality and its extraterritorial planning jurisdiction **if the developer or builder agrees** to construct new development or reconstruct existing development in a manner that the county or municipality determines, based on generally recognized standards established for such purposes, makes a significant contribution to the reduction of energy consumption.

(b) Repealed by Session Laws 2009-95, s. 1, effective June 11, 2009. (2007-241, ss. 1, 2; 2008-22, s. 1; 2009-95, s. 1.)

(emphasis added)

Current Town Policies:

Energy efficiency is a goal of the comprehensive plan. The Council has an energy policy for rezonings with special use permits that sets expectations around energy performance. A commitment to energy efficiency could be a condition agreed to as part of a conditional use

Attachment 2

rezoning.¹ Based on the standards for considering amending the LUMO², it could be cited as a basis for granting a requested rezoning.

Moreover, the current Town policies and goals for energy efficiency could be codified, as authorized by the Statute cited above and in the Board's petition. The Council could consider identifying, in an ordinance, the range of density bonuses or other incentives it would offer in exchange for meeting the energy efficiency standards (including, but not necessarily limited to, installation of solar roof panels).

Apart from the increased density that conditional use or general use rezoning could offer as an incentive and bonus, the Town could consider if there are other incentives it might wish to offer a developer who agrees to meet "generally recognized standards" that demonstrate a "significant contribution to reduction of energy consumption." Having a set of energy conservation goals and accompanying incentives or other bonuses spelled out in the Ordinance could provide guidance to applicants and assist preparation of development plans. Thus, the next step, should the Council wish to act on this petition, could be to identify what types of density bonuses or other incentives it wants to offer and what energy efficiency standards it would expect to see in exchange for any such incentives or bonuses.

Although the petition received proposes the council establish an ordinance requirement, I would recommend that any LUMO amendment be worded to give the Council legislative discretion to consider other factors and circumstances that cannot be foreseen. Establishing standards for bonuses that would be mandatory in order to be able to have property rezoned under a conditional use rezoning could unnecessarily constrain the Council's ability and legislative discretion to achieve other Council goals. (In other words, energy efficiency design would be a justification for a conditional rezoning and an accompanying agreed to condition but the Council would not be bound to require the energy efficiency design in order to grant a conditional rezoning. Nor would the energy efficient design proposed entitle someone to conditional rezoning.)

Requiring some energy efficiency standard to be met as a condition of issuance of a special use permit, where no rezoning is needed, would need to be administered carefully. The Statute cited above provides that the incentives (density bonuses, etc.) can be included if a developer agrees to meet energy savings standards. Where rezoning is not requested, or after a rezoning is enacted without a condition calling for energy efficiency in construction, requiring energy efficiency as a condition of a special use permit could be problematic. A special use proceeding is quasi-judicial and the Town's discretion is more limited than it is during a legislative rezoning process. Where both a rezoning and a special use permit are needed for a development, linking an agreement regarding energy efficiency to the rezoning would be preferable. Where there is only a special use permit sought, it would be advisable to seek an applicant's clear agreement to any

¹ N.C.G.S. Sec. 160A-382 provides that conditions may be included in conditional use zoning districts or conditional districts which are "mutually approved by the city and the petitioner" (property owner). The section also provides that property may be placed in a conditional use district "only in response to a petition by the owners".

² LUMO Section 4.4 states that one of the grounds for seeking an amendment to the LUMO is "to achieve the purposes of the comprehensive plan."

Attachment 2

such conditions and show the exchange of the density bonus or other benefit provided in exchange therefor.³

As for the specific requirement proposed in the petition, “roof-mounted solar energy systems over at least 80% of eligible roof areas”, this is just but one of a number of potential ways to include design components which contribute to reduction of energy construction. The Town Council and staff may want to include other options in any ordinance proposed.

The Council may wish to consider writing energy efficiency standards and incentives into the LUMO now, or as part of the broader LUMO rewrite project.

³ N.C.G.S. Sec. 160A-381(c) provides that conditions imposed on special use permits “shall not include requirements for which the city does not have authority under statute to regulate” nor requirements for which the courts have held to be unenforceable if imposed directly by the city.

Council Energy Policy

REVISED RESOLUTION

A RESOLUTION STATING THE COUNCIL'S EXPECTATIONS FOR ENERGY EFFICIENCY AND AN ENERGY MANAGEMENT PLAN AS ELEMENTS OF REZONING APPLICATIONS WITH ACCOMPANYING SPECIAL USE PERMITS (2007-04-23/R-9)

WHEREAS, Chapel Hill's Comprehensive Plan contains the following language: "The Town shall encourage site planning, landscaping, and structure design which maximize the potential for energy conservation by reducing the demand for artificial heating, cooling, ventilation, and lighting, and facilitating the use of solar and other energy resources"; and

WHEREAS, the Town of Chapel Hill has set a goal of reducing carbon emissions attributed to the municipal, commercial, residential, and institutional sectors of the Town by 60 percent by 2050; and

WHEREAS, developments regularly come before the Town Council seeking approval, but without an energy efficiency element or a demonstrated intent to utilize sustainable energy, currently defined as solar, wind, hydroelectric, and biofuels;

NOW, THEREFORE, BE IT RESOLVED by the Council of the Town of Chapel Hill that it is the expectation of the Council that applicants seeking approval of conditional use rezoning applications with accompanying Special Use Permit applications will incorporate a "20 percent more energy efficient" feature into their plans, relative to the energy efficiency standard of the American Society of Heating, Refrigeration, and Air Conditioning Engineers (ASHRAE), as amended and in effect at the time of building permit issuance.

BE IT FURTHER RESOLVED that other comparable standards generally recognized as applicable to building energy consumption, as amended and in effect at the time of building permit issuance, may be used by applicants when incorporating the "20 percent more energy efficient" feature into their plans.

BE IT FURTHER RESOLVED that it is the expectation of the Council that applicants include an Energy Management Plan in their Special Use Permit applications, to include consideration of utilizing sustainable energy, currently defined as solar, wind, biofuels, and hydroelectric power, in the proposed development.

BE IT FURTHER RESOLVED that it is the expectation of the Council that the Energy Management Plan would consider the purchase of carbon offset credits and green power production through coordination with the NC Greenpower program.

Attachment 3

BE IT FURTHER RESOLVED that the Energy Management Plan shall provide for an acceptable level of increased energy efficiency that ensures indoor air quality and adequate access to natural lighting, and allows for the proposed utilization of sustainable energy in a development.

This the 23rd day of April, 2007.

A RESOLUTION STATING THE COUNCIL'S EXPECTATIONS FOR MAXIMIZING POTENTIAL FOR ENERGY CONSERVATION AS A COMPONENT OF CONDITIONAL USE REZONING APPLICATIONS (2001-11-12/R-20)

WHEREAS, Chapel Hill's Comprehensive Plan contains the following language: "The Town shall encourage site planning, landscaping, and structure design which maximize the potential for energy conservation by reducing the demand for artificial heating, cooling, ventilation, and lighting, and facilitating the use of solar and other energy resources";

NOW, THEREFORE, BE IT RESOLVED by the Council of the Town of Chapel Hill that it is the expectation of the Council that applicants seeking approval of conditional use rezoning with accompanying special use permits will demonstrate site planning, landscaping, and structure design which maximize the potential for energy conservation and use of renewable energy by reducing the demand for artificial heating, cooling, ventilation, and lighting, and facilitating the use of solar and other energy resources.

This the 12th day of November, 2001.



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TOWN OF CHAPEL HILL

Town Hall
405 Martin Luther King Jr.
Boulevard
Chapel Hill, NC 27514

Item Overview

Item #: 8., File #: [19-0376], Version: 1

Meeting Date: 4/24/2019

Consider a Memorandum of Understanding and Agreement for Sharing Costs for Improvements to High School Road in Conjunction with the Chapel Hill-Carrboro City Schools Chapel Hill High School Redevelopment and Maintenance Building Projects.

Staff:

Maurice Jones, Town Manager
Ralph Karpinos, Town Attorney
Kumar Neppalli, Traffic Engineer
Judy Johnson, Planning Operations Manager

Department:

Manager's Office
Town Attorney's Office
Public Works
Planning

Overview: The attached Memorandum of Understanding and Agreement proposes adjustments to the planned road improvements along High School Road associated with the approved special use permit modifications for the Chapel Hill High School (under construction) and the Schools' Maintenance Building (not yet under construction).

Under the proposed Cost-Share Agreement, the approved bike lanes on both sides of High School Road would be eliminated. Instead, the Schools would construct an off-road combined bicycle-pedestrian pathway allowing the Schools substantial cost savings for the High School project underway and avoiding future expenses associated with the Maintenance Building project.

Based on changes to State Law enacted while the High School Special Use Permit Modification application was pending, the Agreement proposes that the costs of the revised improvements be shared by the Schools and the Town, as explained in more detail in the attached Technical Report.



Recommendations:







That the Council approve the Memorandum of Understanding and Agreement to adjust the High School Road improvement plans and to share the costs of the road improvements; and,
That the Council enact the attached budget ordinance amendment to allocate funding up to \$200,000 as the Town's share of the bicycle/pedestrian improvements. The Town would also cover expenses associated with the SUP-stipulated bus shelter within this monetary limit.

Decision Points:

- Does the Council approve of the change from an on-road bike lanes to an off-road combined bike-pedestrian path along High School Road?
- Does the Council approve of the sharing of the costs of these improvements?

Fiscal Impact/Resources: The attached ordinance would authorize Town funds, not to exceed \$200,000, to reimburse the Schools for the off-road multi-use path and bus shelter.

Council Goals:

<input checked="" type="checkbox"/>		Create a Place for Everyone	<input checked="" type="checkbox"/>		Develop Good Places, New Spaces
<input type="checkbox"/>		Support Community Prosperity	<input checked="" type="checkbox"/>		Nurture Our Community
<input checked="" type="checkbox"/>		Facilitate Getting Around	<input type="checkbox"/>		Grow Town and Gown Collaboration



Attachments:

- Resolution
- Budget Ordinance
- Draft Staff Presentation
- Technical Report
- High School Road MOU 320 draft

A RESOLUTION APPROVING A MEMORANDUM OF UNDERSTANDING AND AGREEMENT FOR SHARING COSTS FOR IMPROVEMENTS TO HIGH SCHOOL ROAD IN CONJUNCTION WITH CHAPEL HILL-CARRBORO CITY SCHOOLS CHAPEL HILL HIGH SCHOOL REDEVELOPMENT AND MAINTENANCE BUILDING PROJECTS (2019-04-24/R-6)

WHEREAS, the Town Council has previously approved Special Use Permit Modifications for the redevelopment of the Chapel Hill High School and expansion of the Chapel Hill Schools Maintenance Facility on High School Road (the Permits); and

WHEREAS, the Permits call for certain road and transportation improvements to be made along High School Road and nearby intersections; and

WHEREAS, recent changes to State Law have clarified the roles and authority of the State and Town to require and pay for road and transportation improvements along State and municipal roads in conjunction with school development projects; and

WHEREAS, representatives of the Town and the Schools have met and negotiated proposed adjustments to the Permits in light of the changes in State Law; and

WHEREAS, the proposed adjustments have been incorporated into a Memorandum of Understanding and Agreement; and

WHEREAS, the Council finds that the proposed modification to the road improvements on High School Road and sharing of costs to be reasonable in light of the law and the benefits to the community at large resulting from the proposed off-road bicycle/pedestrian path.

NOW, THEREFORE, BE IT RESOLVED by the Council of the Town of Chapel Hill that the Council approves the proposed Memorandum of Understanding and Agreement between the Town and the Chapel Hill-Carrboro City Schools for the sharing of costs for improvements to High School Road as presented to the Town Council and authorizes the Town Manager to sign it on behalf of the Town, subject to any minor, non-substantive technical changes deemed needed by the Manager or Attorney.

This the 24th day of April, 2019.

AN ORDINANCE TO AMEND "THE ORDINANCE CONCERNING APPROPRIATIONS AND THE RAISING OF REVENUE FOR THE FISCAL YEAR BEGINNING JULY 1, 2018" (2019-04-24/O-3)

BE IT ORDAINED by the Council of the Town of Chapel Hill that the Budget Ordinance entitled "An Ordinance Concerning Appropriations and the Raising of Revenue for the Fiscal Year Beginning July 1, 2018" as duly adopted on June 13, 2018, be and the same is hereby amended as follows:

APPROPRIATIONS	Current Budget	Increase	Decrease	Revised Budget
GENERAL FUND				
Mayor/Council	\$ 427,218	\$ -	\$ -	\$ 427,218
Town Manager/CaPA	2,669,970	-	-	2,669,970
Human Resource Dev't	1,981,352	-	-	1,981,352
Business Management	2,254,949	-	-	2,254,949
Technology Solutions	2,401,121	-	-	2,401,121
Attorney	351,379	-	-	351,379
Planning & Sustainability	2,432,516	-	-	2,432,516
Inspections	1,755,245	-	-	1,755,245
Housing and Community	843,548	-	-	843,548
Public Works	12,712,904	-	-	12,712,904
Police	13,471,302	-	-	13,471,302
Fire	9,412,341	-	-	9,412,341
Parks and Recreation	7,103,116	-	-	7,103,116
Library	3,716,049	-	-	3,716,049
Non-Departmental	<u>6,405,496</u>	<u>200,000</u>	<u>-</u>	<u>6,605,496</u>
	\$67,938,506	\$ 200,000	\$ -	\$68,138,506

REVENUES	Current Budget	Increase	Decrease	Revised Budget
GENERAL FUND				
Other Revenues	\$63,323,017	\$ -	\$ -	\$63,323,017
Appropriated Fund Balance	<u>4,615,489</u>	<u>200,000</u>	<u>-</u>	<u>4,815,489</u>
	\$67,938,506	\$ 200,000	\$ -	\$68,138,506

This the 24th day of April, 2019.

The Agenda will reflect the text below and/or the motion text will be used during the meeting.

PRESENTER: Maurice Jones, Town Manager

RECOMMENDATIONS: That the Council approve the Memorandum of Understanding and Agreement to adjust the High School Road improvement plans and to share the costs of the road improvements.

That the Council enact the attached budget ordinance amendment to allocate funding up to \$200,000 as the Town's share of the bicycle/pedestrian improvements. The Town would also cover expenses associated with the SUP-stipulated bus shelter within this monetary limit.



Memorandum of Understanding and Cost Share Agreement with CHCCS

April 24, 2019

DRAFT

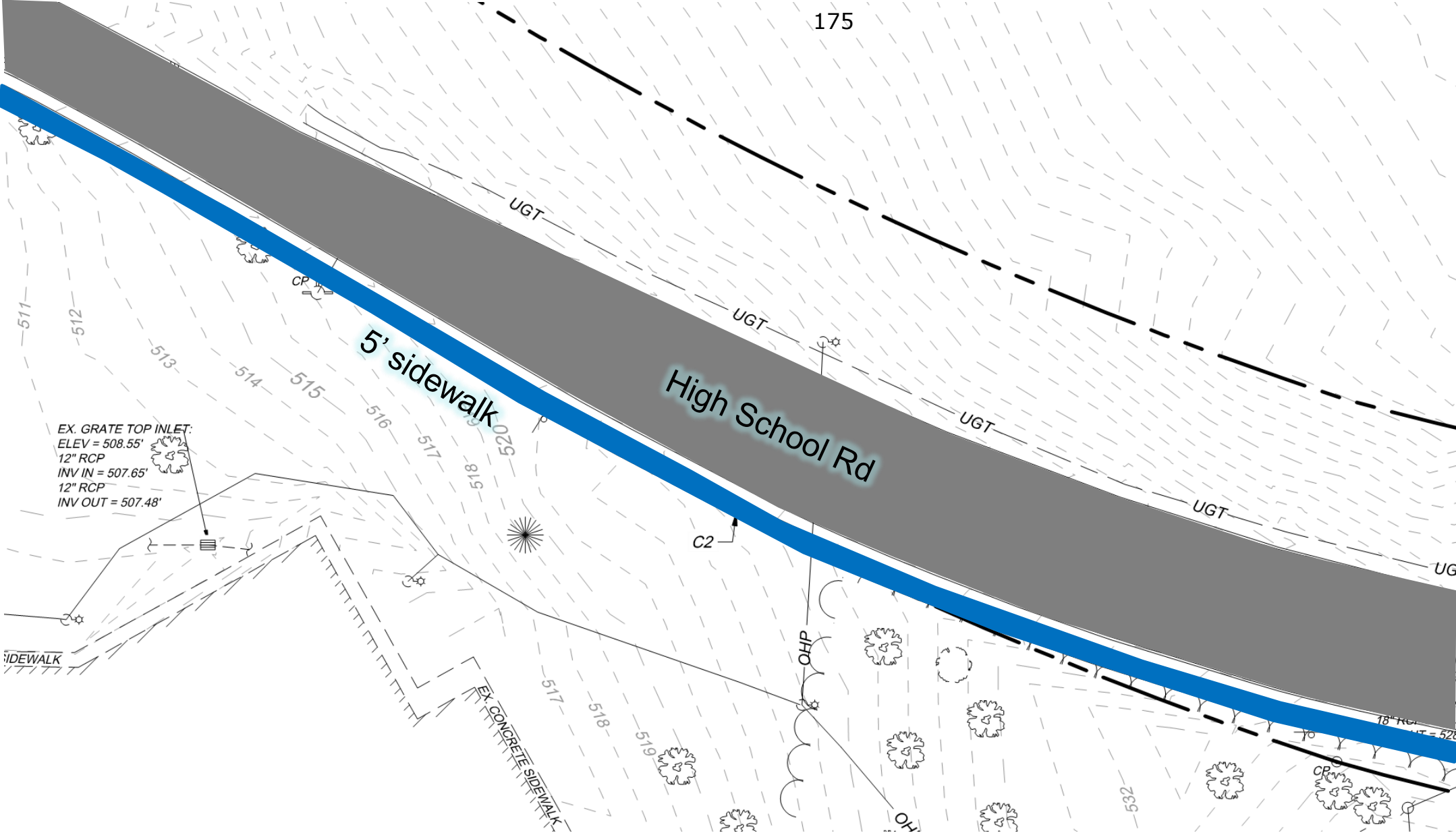
Recommendations

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- That the Council approve the attached MOU and Agreement to adjust improvements to High School Road; and
- That the Council enact budget ordinance allocating up to \$200,000 as Town's share.

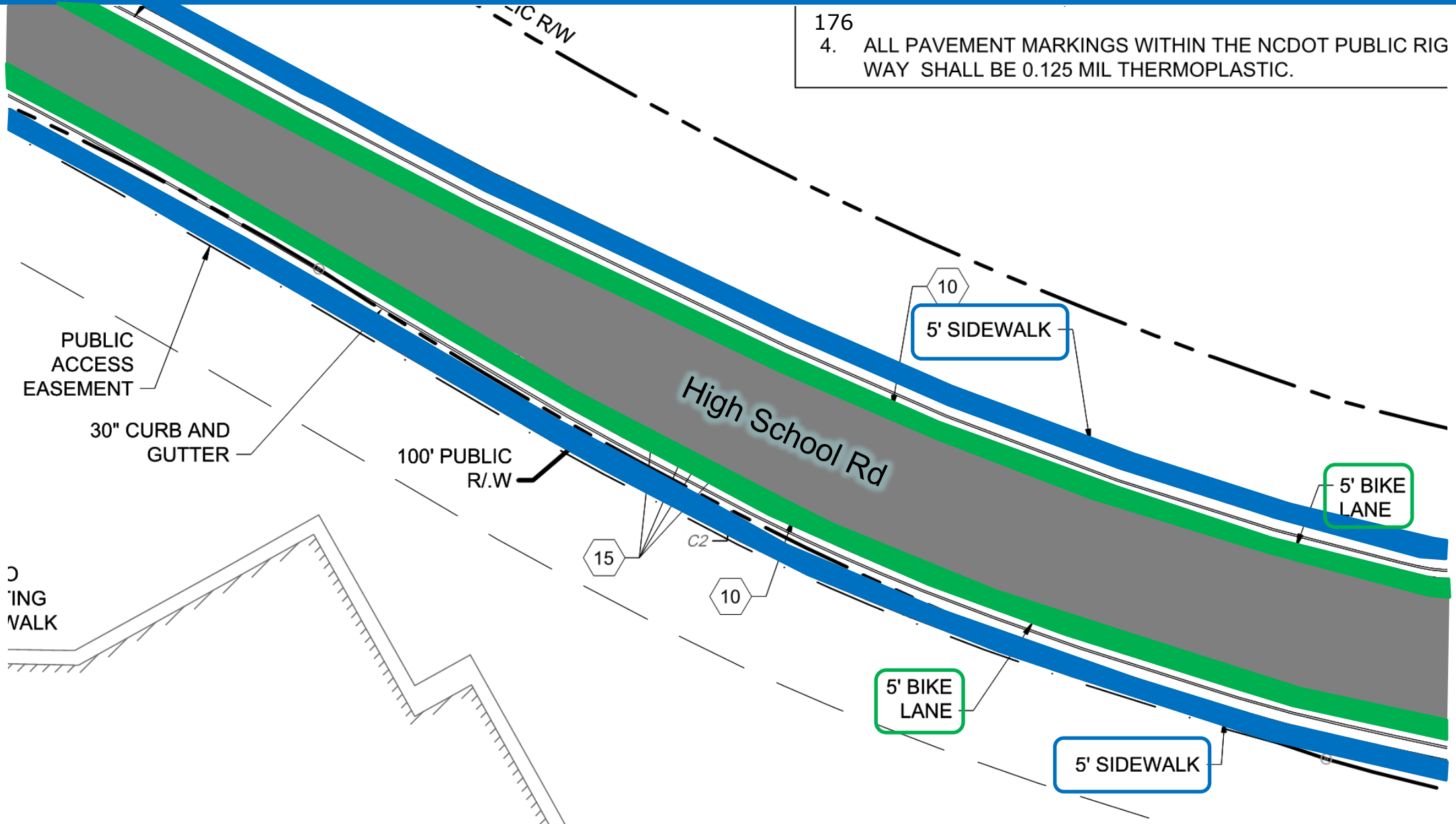
DRAFT

Existing Conditions



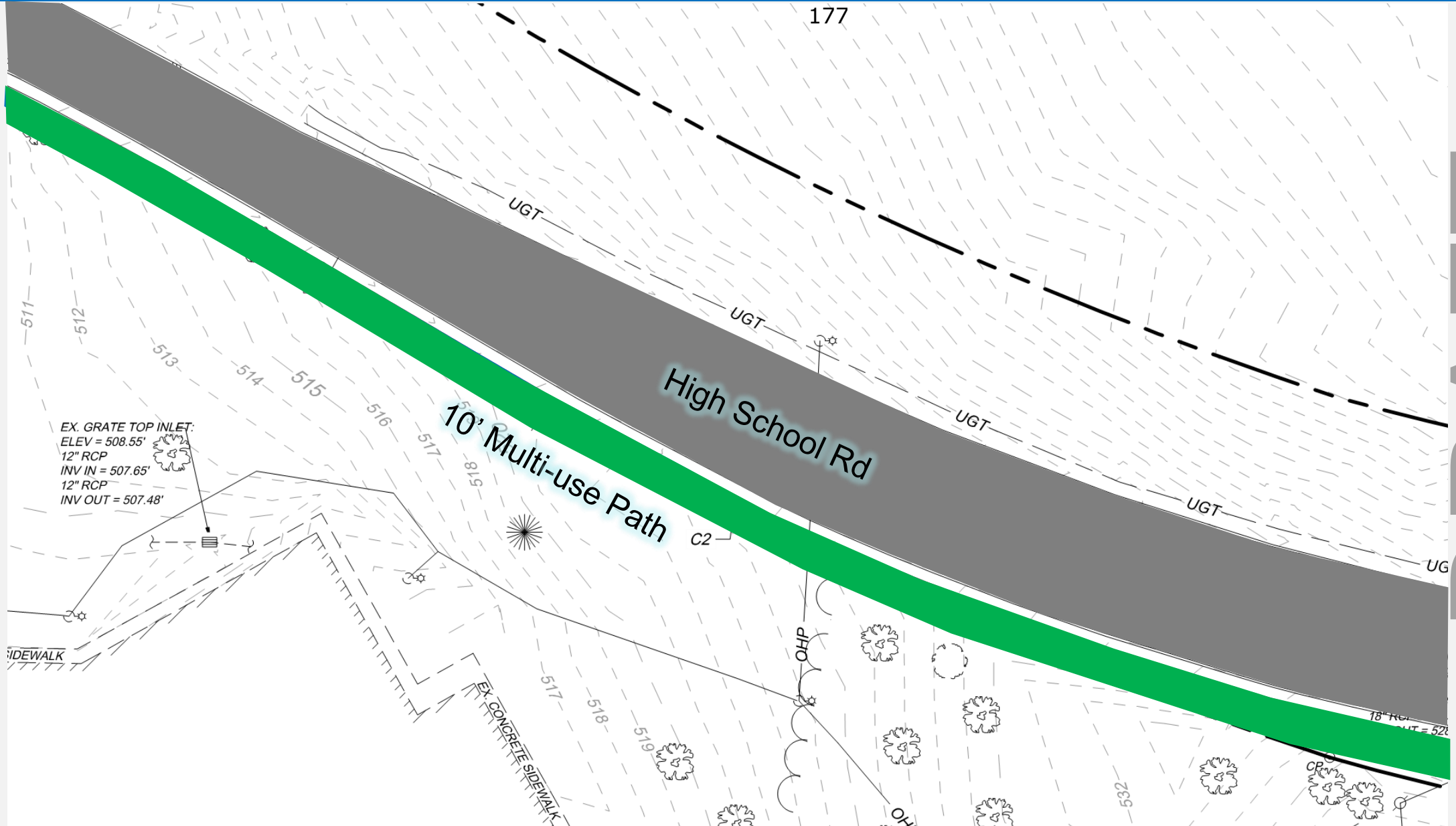
DRAFT

Approved Conditions



DRAFT

Proposed Conditions



DRAFT

Recommendations

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- That the Council approve the attached MOU and Agreement to adjust improvements to High School Road; and
- That the Council enact budget ordinance allocating up to \$200,000 as Town's share.

DRAFT



TECHNICAL REPORT: PROPOSED MEMORANDUM OF UNDERSTANDING AND AGREEMENTS FOR PEDESTRIAN/BICYCLE PATH ON HIGH SCHOOL ROAD

PURPOSE

The purpose of this report is to provide additional information regarding the Staff recommendation that the Town and Chapel Hill-Carrboro City Schools (the Schools) share the cost of revised improvements proposed for High School Road in connection with the Chapel Hill High School redevelopment project and the proposed future construction of the Schools' Maintenance facility.

The Town's share of the cost of the modified pedestrian/bicycle improvements would be one-half of the actual cost of the work, not to exceed \$200,000.

BACKGROUND

Maintenance Building Special Use Permit Modification

1. On [May 22, 2017](#)¹, the Town Council approved a special use permit modification to authorize construction of the Transit Maintenance Building on the north side of High School Road, adjacent to the current bus parking lot and maintenance facilities.
2. The permit called for construction to begin by May 2019 and to be completed by May 2021. That permit was issued in August 2017 and recorded in November 2017. The Town Manager granted a one year extension of that permit earlier this year. The project has not been started.
3. The Maintenance Building permit requires that the Schools make a payment-in-lieu of construction of a bicycle lane along High School Road from Seawell School Road to Homestead Road. It provides that the payment would be returned if the improvement was otherwise provided as part of the future redevelopment of the High School on the south side of High School Road.
4. This permit also requires that the Schools complete the sidewalk along the north side of High School Road from its current western terminus to Seawell School Road.

High School Special Use Permit Modification

1. On [May 23, 2018](#)², the Town Council approved a special use permit modification to authorize major redevelopment of the Chapel Hill High School on the south side of High School Road.
2. The permit called for construction to begin by May 2020 and to be completed by May 2023. Work on this project is underway.
3. The High School permit requires a number of road improvements including:
 - a. A dedicated right-turn lane from northbound Homestead Road onto High School Road.
 - b. Bicycle lanes and sidewalks along the entire length of High School Road.
 - c. A left turn lane from eastbound High School Road onto northbound Seawell School Road.

¹ https://chapelhill.granicus.com/MetaViewer.php?view_id=21&clip_id=3137&meta_id=163906

² <https://chapelhill.legistar.com/LegislationDetail.aspx?ID=3508303&GUID=5BB3BFB2-683F-4CB5-AB28-B28822D8C302&Options=&Search=>

The permit also requires installation of a transit shelter at the bus stop next to the High School.

State Law

1. Session Law 2017-57, entitled the "Current Operations Appropriations Act of 2017", clarified the authority and responsibility of the State and municipalities with respect to street improvements related to schools.
2. The Session Law was effective July 1, 2017.
3. Under this law, any road improvements to State roads associated with a school project required by the State to be constructed by a school system are to be reimbursed by the State Department of Transportation.
4. Under this law any road improvements to municipal streets associated with a school project required by the municipality to be constructed by a school system are to be reimbursed by the municipality.
5. The Maintenance Building project does not fall within the definition of a school under this law.

State Roads

All three roads surrounding the Maintenance Building project and the High School project (High School Road, Homestead Road and Seawell School Road) are State roads.

Communications from DOT

1. In April 2018, the Town planning staff received a letter from the State Department of Transportation commenting on the High School expansion project.
2. That letter stated that the State would require and pay for the left turn lane from eastbound High School Road onto northbound Seawell School Road.
3. Subsequent communications between DOT and Town Staff indicates that DOT will also, in an upcoming project year, pay for and construct a right-turn lane from northbound Homestead Road onto High School Road.

DISCUSSIONS WITH SCHOOL SYSTEM

Over the past few months administrative and legal representatives from the Schools and the Town have been in conversation and meetings regarding these two permits in an effort to resolve differences regarding the status of these two permits and the responsibilities of the Schools and the Town with respect to the off-site improvements called for in the two special use permits.

Based on those conversations, we now are recommending adjustments to both permits and sharing of costs of the modified required road improvements.

Specifically, we are recommending the following:

Adjustments to High School Special Use Permit

We are recommending that the staff approve a minor modification to the High School Special Use permit as explained below.

Under the permit as currently approved, it would be necessary to remove the existing sidewalk, curb and gutter to install a bike lane on the south side of High School Road. Subsequently, new curb and gutter and a new sidewalk would need to be installed.

As an alternative, we recommend that the existing curb and gutter and sidewalk remain in place. The existing sidewalk would be widened and converted into an off-road facility (multi-use path) for both pedestrians and cyclists. This would reduce the cost of the improvements on the south side of High School Road by an estimated \$250,000.

The cost of the revised plans for the south side of High School Road, together with the bus shelter, is estimated to be \$400,000 to \$425,000. Our recommendation is that Town agree to pay for one half of the actual cost of the revised, widened sidewalk and bus shelter, but not more than \$200,000.

We believe this is a reasonable compromise in light of all the circumstances including:

1. The need for these improvements to benefit not just the Schools but also the Town and its residents.
2. The fact that this adjustment to the project will achieve pedestrian and bicycle improvements called for by the original approval at a substantial cost savings and provide an off-road bicycle facility in an area which, at certain times of day, experiences heavy vehicular traffic.
3. The 2020 Comprehensive Plan theme "Getting Around" includes goals of bicycle and pedestrian connections providing links between neighborhoods, businesses, and schools.
4. The recent changes in State Law, which require the State to pay for improvements it requires to State roads for school projects and for the Town to pay for improvements it requires to Town roads for school projects. This needs to be considered in conjunction with the fact that the Town's special use permit in this case proposes to require improvements (specifically the installation of the bicycle lane) to State roads which are not required by the State. This is a circumstance not covered one way or the other by the State law.

Adjustment to Maintenance Building Special Use Permit

We also recommend that the staff approve a minor modification to the Maintenance Building Special Use permit as explained below.

By constructing the combined off-road bicycle/pedestrian facility on the south side of High School Road, there would no longer be a need to also require a bicycle lane (or payment-in-lieu thereof) on the north side of High School Road in conjunction with the Maintenance Building project.

The proposed agreement would provide that the staff approve a minor change to the special use permit for this project, to remove the Schools' need to pay for bicycle lane on the north side when that project moves forward. There would continue to be a requirement for completion of the sidewalk, or payment-in-lieu, as stipulated in that permit.

NORTH CAROLINA

ORANGE COUNTY

MEMORANDUM OF UNDERSTANDING AND AGREEMENT BETWEEN THE
CHAPEL HILL-CARRBORO CITY SCHOOLS AND THE TOWN OF CHAPEL HILL

This Memorandum of Understanding and Agreement is entered into this the ___ day of April, 2019 by and between the Chapel Hill-Carrboro City Schools (the Schools) and the Town of Chapel Hill (the Town).

WITNESSETH:

Whereas, the Schools applied for and received a Special Use Permit Modification for construction of a Maintenance Facility on the north side of High School Road, which was approved by the Town on May 22, 2017 (the Maintenance Building permit) and recorded in Book 6391 at Page 1, Orange County Register of Deeds; and

Whereas, the Schools applied for and received a Special Use Permit Modification for redevelopment of the Chapel Hill High School on the south side of High School Road, which was approved by the Town on May 23, 2018 (the High School permit) and recorded in Book 6469 at Page 289, Orange County Register of Deeds; and

Whereas both the Maintenance Building permit and the High School permit called for certain road and other transportation improvements to be constructed; and

Whereas, in light of adjustments enacted to the State Statutes regarding the requirements and procedures for installation of road improvements on state and local roads, representatives of the Schools and Town have conducted meetings to review the terms and conditions of the two special use permit modifications; and

Whereas, the parties now believe that, based on the recent revisions to State law and the overlapping terms of the two special use permits, it is appropriate that the terms and conditions of the two special use permits be adjusted.

NOW THEREFORE, the Schools and the Town hereby agree as follows:

1. The stipulations for the Maintenance Building permit shall be adjusted as follows:
 - a. Stipulation 4 is deleted. The Schools shall not be required to make a payment in lieu for installation of a bicycle lane along High School Road from Seawell School Road to Homestead Road as a condition of that permit.
2. The stipulations for the High School permit shall be adjusted as follows:
 - a. Stipulation 5, subsection a), calling for construction of a dedicated right-turn lane from northbound Homestead Road onto High School Road prior to issuance of a certificate of occupancy, shall no longer be required. The parties understand that the NC Department of Transportation intends to pay for and construct this roadway improvement, but that the improvement may not be in place prior to the Schools occupying the redeveloped High School site.

- b. Stipulation 5, subsection b), calling for construction of bicycle lanes and sidewalks along the entire length of High School Road, shall be modified to provide, instead, as follows:

The current sidewalk along the south side of High School Road shall be widened and improved, as needed, to a 10-foot wide bicycle and pedestrian path. The current street width and curb and gutter location shall remain in place, subject to any repairs needed as a result of the School improvement project.

3. The parties agree to share the cost of constructing the wider bicycle/pedestrian facility on the south side of High School Road (included in Stipulation 5, subsection b) of the High School permit as modified hereinabove) and the cost of constructing the transit shelter (included in stipulation 9 of the High School permit) as follows:
 - a. If the total cost of the wider bicycle/pedestrian facility, including reconstruction of ramps to cross entrance roads to the High School site, together with the cost of the transit shelter is \$400,000 or less, the parties shall each pay one-half of the cost of said improvements. If the total costs of all of these improvements exceed \$400,000, any of the costs exceeding \$400,000 shall be the responsibility of the Schools.
 - b. The Town shall reimburse the Schools for one half of the actual cost of construction of the bicycle/pedestrian path and transit shelter, not to exceed \$200,000, within 30 days of completion of construction and upon receipt of a statement and documentation from the Schools of the contractor's costs.
4. The Town confirms that these adjustments are minor changes that can be made administratively and do not require a modification by the Town Council of either the Maintenance Building permit or the High School permit. The Schools agree to apply for the appropriate minor modifications to both permits.
5. Other terms and conditions of the Maintenance Building permit and High School permit, not referenced herein, are not altered by this Memorandum of Understanding; provided, however, that this Agreement does alter the opportunities for modifications to either permit otherwise authorized under the Town's Land Use Management Ordinance.
6. The Schools agree to properly execute and re-record the Maintenance Building Permit and associated time extension prior to applying for final permits to begin work approved by said Permit.

[SIGNATURES ON FOLLOWING PAGES.]

IN WITNESS WHEREOF, the Chapel Hill-Carrboro City Schools and the Town of Chapel Hill have caused this Memorandum of Understanding and Agreement to be executed in their respective names effective as of the date first above written.

CHAPEL HILL-CARRBORO CITY SCHOOLS

SIGNATURE

PRINTED NAME & TITLE

WITNESS

PRINTED NAME & TITLE

Approved as to Form and Authorization

LEGAL STAFF

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

FINANCE OFFICER

DATE

IN WITNESS WHEREOF, the Chapel Hill-Carrboro City Schools and the Town of Chapel Hill have caused this Memorandum of Understanding and Agreement to be executed in their respective names effective as of the date first above written.

TOWN OF CHAPEL HILL

DEPARTMENT HEAD OR DEPUTY/TOWN MANAGER

PRINTED NAME & DEPARTMENT

ATTEST BY TOWN CLERK:

TOWN CLERK

TOWN SEAL

Town Clerk attests date this the ____ day of _____, 20 ____.

Approved as to Form and Authorization

TOWN LEGAL STAFF

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

FINANCE OFFICER

DATE



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TOWN OF CHAPEL HILL

Town Hall
405 Martin Luther King Jr.
Boulevard
Chapel Hill, NC 27514

Item Overview

Item #: 9., File #: [19-0377], Version: 1

Meeting Date: 4/24/2019

Discuss Draft Financial Policy Guidelines.

Staff:

Maurice Jones, Town Manager
Amy Oland, Director

Department:

Manager's Office
Business Management

Overview: Financial policies are central to a strategic, long-term approach to financial management. At the Council retreat on January 25, 2019, Davenport & Company, the Town's financial advisors, presented on the Town's credit rating, current and future debt portfolio, and recommended that the Town consider adopting financial policies for debt, fund balance reserves, cash management and investment strategies, and Other Post Employment Benefit (OPEB) pre-funding strategies. At the March 4, 2019 budget worksession, the Town Manager and Business Management Director presented the draft Financial Policy Guidelines for Council review. We are returning to Council to provide additional information and receive Council feedback on the draft financial policy statements and recommended policy measures.

★ **Recommendation(s):**

That the Council receive and provide feedback on the following draft financial policy statements: Debt Policy, Fund Balance Reserve Policy, Cash Management and Investment Policy, and Other Post-Employment and Benefit (OPEB) Pre-Funding Policy. Business Management staff will incorporate the feedback provided by Council with a goal to return in June for policy adoption.

Key Issues:

- The **benefits** of adopting formal, written financial policies to help governments include:
 - I. Institutionalizing good financial management practices by promoting stability and continuity.
 - II. Clarifying strategic intent for financial management by defining a shared understanding of how the organization will develop its financial practices and manage its resources to provide the best value to the community.
 - III. Defining boundaries by for actions that staff may take in order to realize the organization's strategic intent.
 - IV. Supporting the Town's excellent bond ratings which reduces the cost of borrowing.
 - V. Promoting long-term strategic thinking by articulating the organization's strategic intent because financial policies demand a long-term perspective.
 - VI. Managing risks to financial condition by ensuring that there is the accountability to not incur excessive risk in the pursuit of public goals.
 - VII. Complying with established public management best practices. The Government Finance Officers Association (GFOA) has recognized financial policies as an essential part of public financial management.
- The policy guidelines and recommended debt, fund balance, cash and investments, and OPEB pre-funding measures were developed in collaboration with Davenport & Company, the Town's financial advisors.
- The recommended measures were designed using the quantitative scoring ranges from the Town's bond rating agencies, Standard & Poor's and Moody's and by comparing the Town with the other NC

AAA peer comparative agency ratings.

- **Debt Policy**

A debt policy assists in the decision making process and supports efforts to identify conflicts, inconsistencies, and gaps in an entity's approach to project finance and debt management. An effective debt policy helps set a proper balance between limits on the use of debt financing and providing sufficient flexibility to respond to unforeseen circumstances and opportunities.

- I. Net Debt to Assessed Valuation - measures a municipality's net debt (all debt that is tax supported) compared to the value of the real property purchased as assessed. A lower number represents less risk of the government being unable to repay the debt issue.

Recommendation = Net Debt as a percentage of total assessed value of taxable property should not exceed 1.5%.

- II. Debt Service Expenditure Ratio - measures the amount committed to annual debt service as a percentage of total expenditures. A higher ratio represents less flexibility because more operating resources are being committed to a required financial obligation.

Recommendation - The ratio of debt service expenditures as a percent of total governmental fund expenditures should not exceed 15%.

- III. 10-Year Payout - measures the amount of principal that will be retired in the next ten years as a percentage of the municipality's net debt. A lower number may indicate whether a locality is back-loading its debt.

Recommendation - The aggregate ten-year principal payout ratio target should be 65% or better.

- **Fund Balance Reserve Policy**

It is important for governments to maintain adequate levels of fund balance to mitigate current and future risks (e.g. revenue shortfalls and unanticipated expenditures) and to ensure stable tax rates.

- IV. General Fund Unassigned Fund Balance % - The portion of fund balance that has not been restricted, committed, or assigned to specific purposes as a percent of the General Fund's budgeted expenditures.

Recommendation - The Town will strive to maintain a targeted Unassigned Fund Balance at the close of each fiscal year equal to 22% of General Fund Expenditures. Unassigned Fund Balance in excess of 22% of General Fund Expenditures may be appropriated from time to time for pay-as-you-go capital and other one-time uses.

- **Cash Management and Investment Policy**

A cash management policy establishes sound practices and safeguards cash receipts against theft or loss and maximizes cash flow by timely deposit of receipts. An investment policy provides guidance on the investment of public funds, including permissible instruments, standards of care for invested funds and the role of staff.

- V. Liquidity - Measures the extent to which the Town has accessibility to its cash.

Recommendation - No less than 20% of funds available for investment will be maintained in liquid investments at any point in time.

- VI. Maturity: Date on which the life of a financial instrument ends, after which it must either be

renewed, or it will cease to exist.

Recommendation - All investments will mature in no more than 36 months from their purchase date.

VII. Diversification - Process of allocating capital in a way that reduces the exposure to any one particular asset or risk.

Recommendation - No more than 5% of the Town’s investment funds may be invested in a specific company’s commercial paper and no more than 20% of the Town’s investment funds may be invested in commercial paper. No more than 25% of the Town’s investments may be invested in any one U.S. Agency’s Securities.

• **Other Post-Employment Benefit (OPEB) Pre-Funding Policy**

The OPEB Pre-Funding policy allows the Town to develop a funding strategy for the future liability related to retiree healthcare costs. Even a modest level of pre-funding will improve the plan’s funded status and balance sheet impact.







VIII. Pre-Funding Contributions - To set aside funding in advance of the required date of contribution for retiree healthcare costs.

Recommendation - The Town may contribute an additional amount to prefund benefits contributed to the trust annually as determined by the Council. The Town will contribute annually to the OPEB trust to help fund the Annually Required Contribution and work towards reducing the overall OPEB liability. In the event that funds are available over the General Fund 22% targeted fund balance amount, the Council may choose to contribute a portion of this amount to the OPEB trust.

Where is this item in its process?



Council Goals:

<input checked="" type="checkbox"/>		Create a Place for Everyone	<input checked="" type="checkbox"/>		Develop Good Places, New Spaces
<input checked="" type="checkbox"/>		Support Community Prosperity	<input checked="" type="checkbox"/>		Nurture Our Community
<input checked="" type="checkbox"/>		Facilitate Getting Around	<input checked="" type="checkbox"/>		Grow Town and Gown Collaboration



Attachments:

- Draft Financial Policies

The Agenda will reflect the text below and/or the motion text will be used during the meeting.

PRESENTER: Amy Oland, Business Management Director

RECOMMENDATION: That the Council receive and provide feedback on the draft financial policy statements.

DRAFT

Financial Policy Guidelines

For:



Town of Chapel Hill, North Carolina

Adopted: _____

FISCAL POLICY GUIDELINES

<u>Section Contents:</u>	<u>Page:</u>
• Objectives	2
• Debt Policy	3
• Fund Balance Reserve Policy	4
• Cash Management and Investment Policy	5
• Other Post Employment Benefit (OPEB) Pre-Funding Policy	6

OBJECTIVES

This fiscal policy is a statement of the guidelines and goals that will influence and guide the financial management practice. A fiscal policy that is adopted, adhered to, and regularly reviewed is recognized as the cornerstone of sound financial management. Effective fiscal policy:

- Contributes significantly to the Town's ability to insulate itself from fiscal crisis;
- Enhances short-term and long-term financial credit ability by helping to achieve the highest credit and bond ratings possible;
- Promotes long-term financial stability by establishing clear and consistent guidelines;
- Directs attention to the total financial picture of the Town rather than single issue areas;
- Promotes the view of linking long-run financial planning with day to day operations;
- Provides the Council, community and management a framework for measuring the fiscal impact of government services against established fiscal parameters and guidelines.

To these ends, the following fiscal policy statements are presented.

DEBT POLICIES

General

1. The Town will confine long-term borrowing to capital improvements or projects that cannot be financed from current revenues except where approved justification is provided.
2. The Town will utilize a balanced approach to capital funding utilizing debt financing, draws on capital reserves and/or fund balances in excess of policy targets, and current-year pay-as-you-go appropriations.
3. When the Town finances capital improvements or other projects by issuing bonds or entering into capital leases, it will repay the debt within a period not to exceed the expected useful life of the project. Target debt ratios will be annually calculated and included in the review of financial trends.
4. Where feasible, the Town will explore the usage of special assessment, revenue, or other self-supporting bonds instead of general obligation bonds.
5. Where feasible, the Town will limit the amount of debt issued each calendar year to remain Bank Qualified eligible per Internal Revenue Service (IRS) guidelines (currently \$10,000,000).

Tax Supported Debt

6. Net Debt as a percentage of total assessed value of taxable property should not exceed 1.5%. Net Debt is defined as any and all debt that is tax supported.
7. The ratio of debt service expenditures as a percent of total governmental fund expenditures should not exceed 15% with an aggregate ten-year principal payout ratio target of 65% or better.

FUND BALANCE RESERVE POLICIES

1. Unassigned Fund Balances will mean funds that remain available for appropriation by the Council after all commitments for future expenditures, required reserves defined by State statutes, and previous designations have been calculated. The Town will define these remaining amounts as “available fund balances.”
2. The Town will strive to maintain a targeted Unassigned Fund Balance, as defined by the Governmental Accounting Standards Board, at the close of each fiscal year equal to 22% of General Fund Expenditures. Unassigned Fund Balance in excess of 22% of General Fund Expenditures may be appropriated from time to time for pay-as-you-go capital and other one-time uses.
3. In the event that funds are available over and beyond the targeted amount, those funds may be transferred to the Capital Reserve Fund at the Council discretion.
4. The Town Council may, from time-to-time, utilize fund balances that will reduce Unassigned Fund Balance below the 22% target for the purposes of a declared fiscal emergency or other such purpose as to protect or enhance the long-term fiscal security of the Town. In such circumstances, the Council will adopt a plan to restore the Unassigned Fund Balance to the target level within 24 months. If restoration cannot be accomplished within such time period without severe hardship to the Town, then the Council will establish a different but appropriate time period.

CASH MANAGEMENT AND INVESTMENT POLICIES & STRATEGIES

1. It is the intent of the Town that public funds will be invested to the extent possible to reduce the need for property tax revenues. Funds will be invested with the chief objectives of safety of principal, liquidity, and yield, in that order. All deposits and investments of Town funds will be in accordance with N.C.G.S. 159.
2. The Town will use a Central Depository to maximize the availability and mobility of cash for all funds that can be legally and practically combined.
3. Cash Flows will be forecasted and investments will be made to mature when funds are projected to be needed to meet cash flow requirements.
4. Liquidity: No less than 20% of funds available for investment will be maintained in liquid investments at any point in time.
5. Maturity: All investments will mature in no more than 36 months from their purchase date.
6. Custody: All investments will be purchased “payment versus delivery” and if certificated will be held by the Finance Officer in the name of the Town. All non-certificated investment will be held in book-entry form in the name of the Town with the Town’s third party Custodian (Safekeeping Agent).
7. Authorized Investments: The Town may deposit Town funds into: Any Council approved Official Depository, if such funds are secured in accordance with N.C.G.S. 159-31. The Town may invest Town funds in: the North Carolina Capital Management Trust, U.S. Treasuries, U.S. Agency Securities specifically authorized in G.S. 159 and rated no lower than “AAA”, and Commercial Paper meeting the requirements of N.C.G.S. 159 plus having a national bond rating.
8. Diversification: No more than 5% of the Town’s investment funds may be invested in a specific company’s commercial paper and no more than 20% of the Town’s investment funds may be invested in commercial paper. No more than 25% of the Town’s investments may be invested in any one U.S. Agency’s Securities.
9. Allocation: Investment income will be allocated to each participating fund or account based on a fair and equitable formula determined by the Finance Director.

OTHER POST-EMPLOYMENT BENEFIT PRE-FUNDING POLICIES & STRATEGIES

1. By ordinance of the Town Council, the Town administers the Healthcare Benefits Plan (HCB Plan), a single-employer defined benefit plan that is used to provide postemployment benefits for all retirees of the Town who were hired before July 1, 2010, participate in the North Carolina Local Government Employees' Retirement System, and have at least five years of creditable service with the Town.
2. Retirees who qualify for coverage receive the same benefits as active employees, wherein the Town pays all or a portion of the costs of coverage for the benefits based on years of service.
3. Actuarial Valuation: The total other post-employment benefit (OPEB) liability is determined by an actuary on an annual basis. The actuary bases this calculation on several actuarial assumptions: inflation rate, salary increases, investment rate of return and healthcare cost trend rates.
4. Pay-Go Contributions: The Town is required to pay annually the projected pay-as-you-go financing requirements for the retiree healthcare benefits.
5. Pre-Funding Contributions: The Town may contribute an additional amount to prefund benefits contributed to the trust annually as determined by the Council.
6. Benefits of Pre-Funding: Multiple outside entities use the actuary information that resides in the Comprehensive Annual Financial Report to assess the creditworthiness and financial soundness of the Town. The amount of pay-go and pre-funding contributions helps reduce the total OPEB liability.
7. The Town will contribute annually to the OPEB trust to help fund the Annually Required Contribution and work towards reducing the overall OPEB liability. In the event that funds are available over the General Fund 22% targeted fund balance amount, the Council may choose to contribute a portion of this amount to the OPEB trust.