

**CITY OF NEW BERN  
BOARD OF ALDERMEN MEETING  
DECEMBER 14, 2021 – 6:00 P.M.  
CITY HALL COURTROOM  
300 POLLOCK STREET**

1. Meeting opened by Mayor Dana E. Outlaw. Prayer Coordinated by Alderman Odham. Pledge of Allegiance.
2. Roll Call.
3. Request and Petition of Citizens.

Consent Agenda

4. Approve Minutes.

\*\*\*\*\*

5. Presentation by Craven County Alcoholic Beverage Control Board.
6. Appointment of Mayor Pro Tempore for 2022 and Administration of Oath.
7. Discussion of Development of 925 Broad Street.
8. Consider Adopting a Resolution in Support of a Speed Limit Change on a Portion of South Glenburnie Road.
9. Consider Adopting a Resolution Approving the 2021 Local Government Agencies General Records and Program Records Retention and Disposition Schedules.
10. Consider Adopting a Resolution to Initiate the Upset Bid Process for 506 Darst Avenue.
11. Consider Adopting a Resolution to Extend an Encroachment Agreement for the Elks Building.
12. Consider Adopting a Resolution Supporting the Submission of a 2021 Edward Byrne Memorial Justice Assistance Grant Application.
13. Consider Adopting a Budget Ordinance Amendment for FY2021-22.
14. Consider Adopting an Ordinance to Amend the Entitlement Cities Community Development Block Grant Fund.
15. Appointment(s).

16. Attorney's Report.
17. City Manager's Report.
18. New Business.
19. Closed Session.
20. Adjourn.

INDIVIDUALS WITH DISABILITIES REQUIRING SPECIAL ASSISTANCE SHOULD CALL  
639-7501 NO LATER THAN 3 P.M. THE DATE OF THE MEETING


**Aldermen**

Sabrina Bengel  
Jameesha Harris  
Robert V. Aster  
Johnnie Ray Kinsey  
Barbara J. Best  
Jeffrey T. Odham



300 Pollock Street, P.O. Box 1129  
New Bern, NC 28563-1129  
(252) 636-4000

Dana E. Outlaw  
Mayor  
Foster Hughes  
City Manager  
Brenda E. Blanco  
City Clerk

**Memo to: Mayor and Board of Aldermen**  
**From: Foster Hughes, City Manager**   
**Date: December 09, 2021**  
**Re: December 14, 2021 Agenda Explanations**

1. **Meeting opened by Mayor Dana E. Outlaw. Prayer Coordinated by Alderman Odham. Pledge of Allegiance.**
2. **Roll Call.**
3. **Request and Petition of Citizens.**

This section of the agenda is titled Requests and Petitions of Citizens. This is an opportunity for public comment, and we thank you for coming to the Board of Aldermen meeting tonight to share your views. We value all citizen input.

Speaker comments are limited to a maximum of 4 minutes during the public comment period. At the conclusion of 4 minutes, each speaker shall leave the podium. Comments will be directed to the full board, not to an individual board member or staff member. Although the board is interested in hearing your comments, speakers should not expect any comments, action, or deliberation from the board on any issue raised during the public comment period.

In the board's discretion, it may refer issues to the appropriate city officials or staff for further investigation. If an organized group is present to speak on a common issue, please designate one person to present the group's comment, which shall be limited to a maximum of 4 minutes.

## **Consent Agenda**

### **4. Approve Minutes.**

Minutes from the November 23, 2021 regular meeting is provided for review and approval.

\*\*\*\*\*

### **5. Presentation by Craven County Alcoholic Beverage Control Board.**

A representative from the Craven County ABC Board will provide an annual briefing and present a check to the City for its portion of ABC sales.

### **6. Appointment of Mayor Pro Tempore for 2022 and Administration of Oath.**

Section 2.4 of the City's Charter provides that at the first meeting in December the Board of Aldermen will choose one of its members as Mayor Pro Tempore to serve a one-year term. The Mayor Pro Tempore shall perform the duties of the Mayor during his absence or disability as prescribed by the Charter and the General Statutes.

### **7. Discussion of Development of 925 Broad Street.**

(Ward 1) The Redevelopment Commission has discussed the development of 925 Broad Street and reviewed preliminary concepts for the property. Theresa Lee, Chairman of the Commission, has issued a memo announcing the Commission's unanimous vote on November 10, 2021 to recommend that the Governing Board consider proposals for developing the property. This information is being provided so at a future meeting the Board may offer recommendations to staff on how to proceed.

### **8. Consider Adopting a Resolution in Support of a Speed Limit Change on a Portion of South Glenburnie Road.**

(Ward 6) Greenbrier residents have requested a reduction in speed limit from 45 mph to 35 mph along the portion of South Glenburnie Road from the overpass to Martin Luther King, Jr. Boulevard. There have been numerous wrecks, particularly at the entrance of the Greenbrier community, and a reduction in speed should enhance public safety. The proposed resolution signifies the City's support of the request and, if adopted, will be forwarded to the NC Department of Transportation.

### **9. Consider Adopting a Resolution Approving the 2021 Local Government Agencies General Records and Program Records Retention and Disposition Schedules.**

In accordance with Chapters 121 and 132 of the NC General Statutes, the NC Department of Cultural Resources issues schedules establishing the minimum



amount of time records must be retained by local governments. Once issued, the City approves and adopts the schedules, thus agreeing to comply with the retention periods established. Updated schedules were issued on October 1, 2021 and consist of a general records schedule covering correspondence, fiscal documents, personnel records, etc., as well as a program records schedule that addresses law enforcement, animal services, planning and development (including Redevelopment Commission records), and other programs.

**10. Consider Adopting a Resolution to Initiate the Upset Bid Process for 506 Darst Avenue.**

(Ward 2) Mary Peterkin approached the Redevelopment Commission about the property located at 506 Darst Avenue that is located within the redevelopment boundary and owned jointly by the City and Craven County. The Commission determined it did not need the parcel and voted unanimously to recommend the Governing Board deem the property as surplus and accept a bid from Mrs. Peterkin to initiate the upset bid process. Mrs. Peterkin owns the property at 904 Queen Street, which is adjacent to the Darst Avenue property.

The offer submitted for the vacant .055-acre lot is \$2,000. Although GIS indicates the parcel contains a structure and has a total tax value of \$18,290, staff has confirmed the parcel is a vacant tract with a tax value of \$4,000 for the land. The offer represents 50% of the land value. The property was acquired by the City and County through tax foreclosure in March of 2018. Photos of the property and the tax card are attached, along with a memo from the Chairman of the Redevelopment Commission.

**11. Consider Adopting a Resolution Approving an Amendment to an Encroachment Agreement for the Elks Building.**

(Ward 1) The "Elks Building" located at 309 Middle Street includes an underground basement area that encroaches into and under the public right-of-way of Pollock Street and a sprinkler hydrant. The building also includes columns that encroach into the public right-of-way of Pollock Street. The Board approved an Encroachment Agreement in August 2017, the term of which will be modified by the proposed amendment to expire on December 31, 2121.

**12. Consider Adopting a Resolution Supporting the Submission of a 2021 Edward Byrne Memorial Justice Assistance Grant Application.**

In July of this year, the New Bern Police Department applied for the 2021 Edward Byrne Memorial Justice Assistance Grant ("JAG") Program. Funding of \$12,108 was sought for the purpose of subscribing to tip411, a web-based tool that helps law enforcement engage with the community by enabling anyone with a cellphone to text anonymous tips to authorized personnel within the agency. Notification of the grant award has been received, and no matching funds are required. The grant requires official support from the Board, as well as the opportunity for the public to comment on the application and use of funds. The public comment period has been

initiated and will remain open through December 20, 2021. The subscription to tip411 will enhance public safety within the community. A memo from Police Chief Patrick Gallagher is attached.

**13. Consider Adopting a Budget Ordinance Amendment for FY2021-22.**

This budget ordinance amendment will recognize the \$12,108 grant funds from the Edward Byrne Memorial JAG program. It also allocates \$24,230 for the holiday gift cards approved for City employees at the Board's last meeting.

**14. Consider Adopting an Ordinance to Amend the Entitlement Cities Community Development Block Grant Fund.**

Several years ago, the City was granted status as a Community Development Block Grant Entitlement City with the US Department of Housing and Urban Development ("HUD"). As an entitlement city, the City receives annual funding. The initial award for Fiscal Year 2021 was allocated at \$264,866, but HUD increased the allocation to \$268,768. This amendment will acknowledge the increase of \$3,902. A memo from Kim Ostrom, Interim Director of Finance, is attached.

**15. Appointment(s).**

- a) Lindsay Best has moved outside of the city limits of New Bern. Therefore, she is ineligible to continue serving on the Community Development Advisory Committee. Alderman Odham is asked to make a new appointment to finish out her term, which will expire on June 30, 2024.
- b) On November 24, 2020, the Board appointed Bo Wernersbach to fill the remainder of a term that had been vacated on the New Bern-Craven County Library Board. That term expires December 2021. The Board is now asked to consider reappointing Bo Wernersbach to serve a full six-year term or, in the alternative, make a new appointment.

**16. Attorney's Report.**

**17. City Manager's Report.**

**18. New Business.**

**19. Closed Session.**

**20. Adjourn.**

## **AGENDA ITEM COVER SHEET**

### **Agenda Item Title:**

Presentation by Craven County Alcoholic Beverage Control Board

<b>Date of Meeting:</b> 12/14/2021	<b>Ward # if applicable:</b> N/A
<b>Department:</b> City Clerk	<b>Person Submitting Item:</b> Brenda Blanco
<b>Call for Public Hearing:</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<b>Date of Public Hearing:</b> N/A

<b>Explanation of Item:</b>	A representative from the Craven County ABC Board will present a check to the City for its portion of ABC sales and provide an annual briefing regarding the ABC Board.
<b>Actions Needed by Board:</b>	None
<b>Backup Attached:</b>	PowerPoint presentation

<b>Is item time sensitive?</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
<b>Will there be advocates/opponents at the meeting?</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No

<b>Cost of Agenda Item:</b>
<b>If this requires an expenditure, has it been budgeted and are funds available and certified by the Finance Director?</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No

**Additional Notes:**





**abc**

**CRAVEN COUNTY**  
*established 1935*



**New Bern  
Board of Alderman  
Annual Briefing  
December 14, 2021**



1

**MISSION STATEMENT**

The mission of the Craven County ABC Board and its employees shall be to serve all Craven County and our localities responsibly by controlling the sale of spirituous liquor and promoting customer-friendly, safe, modern, and efficient stores.

**abc**

**CRAVEN COUNTY**  
*established 1935*

Craven County



2





**abc**

**LIQUOR STORE**  
established 1935

### ABC Board Membership

- Dennis "Denny" Bucher: Member
- Kenneth Morris III: Member
- Kathleen Cook: Secretary
- Carol Crayton: Vice Chairman
- Wilfred "Chip" Chagnon : Chairman

### ABC Board Management Team

- Paul Brown : General Manager
- Esther Patterson: Finance Officer

- **ALE Special Agent In Charge, Matt Knight, CCABC Enforcement**

*And The 30+ Men & Women Professionals Who Serve Our Citizens With Care & Concern*

*We Thank The Craven County Board Of Commissioners And Our Citizens*

*For Their Interest, Trust & Confidence.*



3



### CRAVEN COUNTY ABC BOARD FY 2020-21 OBJECTIVE RESULTS

#### • **Modernization & Expansion of Downtown, Havelock & James City Stores:**

- Downtown Store: Salesfloor Expansion, Interior Upgrades: HVAC System, Flooring, Lighting, Team Galley Area, Product Signage
- Havelock Store: Interior Upgrades: Flooring, Lighting, Team Galley Area, Front Store Office, Product Signage
- James City: Expansion by 33%, also Interior Upgrades: Flooring, Lighting, Team Galley Area, Front Store Office, Product Signage Video

#### • **CCABC Board was declared "Essential" by Governor Cooper**

#### • **COVID-19 Board Protocols for Citizen and Personnel Safety Put into Effect**

- Only One Store Closed for Two Days Cleaning/Sanitizing Due To COVID-19 Exposure
- Followed 10 Day Quarantine for Affected Employees

#### • **Since February 2021 Stores Have Felt Negative Effects from Liquor Industry Shortages and Distribution, Results Continue Today**

- High Product Demand of All Imports in Short Supply
- Board has Purchased Product Directly from Distributors and N.C. Distillers
- Store Personnel Worked Closely with LBD Customers to Fulfill Their Needs With Viable Substitutions

4



**CRAVEN COUNTY ABC BOARD  
FY 2021-22 GOALS & OBJECTIVES**

**MEET OR EXCEED OUR MISSION STATEMENT BY:**

- **Grow 2% Revenue to 14,997,284 Million**
- **Become More Effective In Operations:**
  - New Centralized Warehouse and Distribution of LBD (Liquor Licensees) Purchases, Target February 2022
- **New Store Location Progress:**
  - Bridgeton, NC-US 17 Corridor Warehouse and State of the Art Store, Construction begins March 15, 2022, Completion March 15, 2023
- **Improving Our "Promoting Customer Friendly Store" Policy:**
  - On-line Purchasing/Reserve of Product Prior to Visit
  - Continue to develop Store Unique Theme, Highlighting Craven County History, Location And Municipality
  - Store Layouts & Upscale "Boutique Sales" Area Improvements
- **Employee Development/Retention:**
  - Percentage Increase to Reflect New Minimum \$13hr For All Sales Associates
  - Increased Employee Professional Development Opportunities: Offer Tuition Assistance For Employees Desiring Continuing Education In Marketing & Business Majors At Craven Community College

5

**CRAVEN COUNTY ABC BOARD  
FY 2021-22 GOALS & OBJECTIVES**

**MEET OR EXCEED OUR MISSION STATEMENT BY:**

- **Complete Downtown Store Modernization Nov 2021:** 170K Budgeted for Expansion, HVAC, Flooring, Lighting, Employee Galley, Facilities Upgrades
- **Improving Our "Controls First-Safe Store" Policy:**
  - Stores are Safer with Increased Alcohol Law Enforcement Agent (ALE) , County & Local Law Enforcement "Community Policing" Presence; and Increased Enforcement Outreach & Education of Liquor By The Drink Establishments, and Maintaining in-stores COVID-19 Protocols
- **Video Capture Program In Havelock & James City Store** Installed in Parking lots to assist CC Sheriff's Office, ALE, and other Law Enforcement in 'Real-Time' Surveillance and Reporting
- **Support of Underage Drinking & Opiate Crises Programs:**
  - Provide 7% Of Gross Revenue: To Craven County For Substance Abuse Prevention, Sponsor ALE Drug And Alcohol Education Programs
  - Craven County Board Of Education/Sheriff Dept. D.A.R.E. Program Sponsorship through Partners In Education
  - Sponsorship of Boys & Girls Club Anti-Drug/Drinking and Health Life Program

6

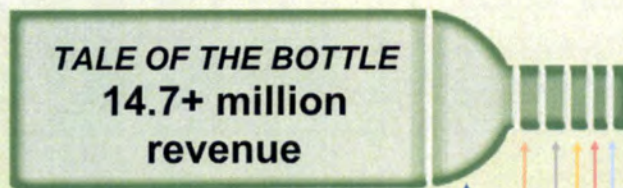
# **"86 YEARS OF SERVICE"** **2016-2021 ABC SALES IN CRAVEN COUNTY**



7

*\*CCABC may have only limited growth 2021-2022 due to present economic and post COVID-19 conditions*

The Craven County ABC Board is established and operated with no state or county funds. The sales of spirituous liquor in our five ABC stores was \$14,703,220 for the fiscal year ending June 30, 2021. Distributions benefit the state of North Carolina's General Fund and the cities and counties where alcohol sales are allowed.



State of North Carolina - General Fund	\$3,374,867	66.59%
Craven County General Fund	\$1,291,024	25.47%
Craven County - Local Alcohol Education	\$80,588	1.59%
Craven County - Rehabilitation	\$38,640	0.76%
Cities of New Bern (\$108,713), Havelock (\$31,673) & Vanceboro (\$497)	\$ 143,383	2.83%
Law Enforcement: N.C. ALE (\$56,000), Sheriff's Office (\$58,499)	\$ 114,499	2.26%
NC Dept of Health & Human Resources	\$ 15,123	0.30%
Anti Drug/Drinking Program Support: Boys & Girls Club	\$ 5,000	0.10%
<b>Total paid to Craven County</b>	<b>\$1,415,252</b>	<b>\$ 5,068,124 100.00%</b>

8





**CHEERS!**



**NEW BERN BOARD OF ALDERMAN, MAYOR,  
CITY MANAGER AND STAFF**

***THANK YOU FOR YOUR SUPPORT!***

**TOTAL \$108,713  
FOR YOUR CITIZENS FROM YOUR  
CRAVEN COUNTY ABC BOARD**

***BRIEFING CONCLUDED -- PENDING YOUR QUESTIONS?***

North Carolina  
Craven County

**OATH OF OFFICE OF MAYOR PRO TEMPORE**

I, \_\_\_\_\_, do solemnly swear that I will support the Constitution of the United States; so help me God.

\_\_\_\_\_

I, \_\_\_\_\_, do solemnly swear that I will support and maintain the Constitution and Laws of the United States and the Constitution and Laws of North Carolina, not inconsistent therewith; and that I will faithfully discharge the duties of my office as Mayor Pro Tempore; so help me, God.

\_\_\_\_\_

I, \_\_\_\_\_, do solemnly and sincerely swear that I will be faithful and bear true allegiance to the State of North Carolina and to the constitutional powers and authorities which are or may be established for the government thereof; and that I will endeavor to support, maintain and defend the Constitution of said State, not inconsistent with the Constitution of the United States, to the best of my knowledge and ability; so help me, God.

\_\_\_\_\_

The foregoing oaths were administered by me and sworn to and subscribed before me this the 14<sup>th</sup> day of December, 2021.

\_\_\_\_\_  
Brenda E. Blanco, City Clerk

## **AGENDA ITEM COVER SHEET**

### **Agenda Item Title:**

Discussion of Development of 925 Broad Street

<b>Date of Meeting:</b> 12/14/2021	<b>Ward # if applicable:</b> 1
<b>Department:</b> City Manager	<b>Person Submitting Item:</b> Foster Hughes
<b>Call for Public Hearing:</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<b>Date of Public Hearing:</b> N/A

<b>Explanation of Item:</b>	The Redevelopment Commission has discussed options for the 925 Broad Street and reviewed preliminary concepts for the property. At its November 10, 2021 meeting, the Commission voted unanimously for the Board to consider proposals for the redevelopment of 925 Broad Street.
<b>Actions Needed by Board:</b>	Consider authorizing staff to solicit design proposals for 925 Broad Street
<b>Backup Attached:</b>	Memo from Chairman of Redevelopment Commission

<b>Is item time sensitive?</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
<b>Will there be advocates/opponents at the meeting?</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No

<b>Cost of Agenda Item:</b>
<b>If this requires an expenditure, has it been budgeted and are funds available and certified by the Finance Director?</b> <input type="checkbox"/> Yes <input type="checkbox"/> No

**Additional Notes:**

*Commission Members*

Maria Cho  
Leander Morgan  
Steve Strickland  
Julian "Jay" Tripp  
Beth Walker  
Tabari Wallace  
John Young



**NEW BERN**

CITY OF NEW BERN

Redevelopment Commission of  
The City of New Bern  
303 First Street, P.O. Box 1129  
New Bern, NC 28563-1129  
(252) 639-7587

*Chair*

Theresa Lee

*Co-Chair*

Kip Peregoy


*Ex-Officio Members*

Sabrina Bengel

Barbara Best

Jameesha Harris

TO: Honorable Dana Outlaw, Mayor

FROM: Theresa Lee, Chairman Redevelopment Commission of New Bern 

DATE: November 16, 2021

SUBJECT: 925 Broad Street Development Proposals

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Mayor Outlaw,

At the June 6, 2021 Redevelopment Commission meeting Michel Cole of ColeJenest and Stone Inc. presented preliminary design options for the property located at 925 Broad Street.

At the 11/10/2021 meeting the Redevelopment Commission voted unanimously to recommend the New Bern Board of Alderman review and consider the enclosed development design proposal from ColeJenest and Stone Inc. for the redevelopment of 925 Broad St.

The minutes from the June 6 2021 Redevelopment Commission meeting are attached and include the entirety of Mr Cole's presentation.

**City of New Bern  
Redevelopment Commission Meeting**

**June 9, 2021**

**303 First Street- Development Services**

**Members Present:** Chair Theresa Lee, Co-Chair Kip Peregoy, Maria Cho, Steve Strickland, Beth Walker, Julian Tripp, John Young, Tabari Wallace

**Ex-Officio Members Present:** Alderwoman Sabrina Bengel, Alderwoman Barbara Best

**Members Excused (E)/Absent (A):** Leander Morgan (E)

**Staff Present:** Jeff Ruggieri, Director of Development Services; D'Aja Fulmore, Community Development Coordinator; Alice Wilson, GIS Manager; Nadia Abdul-Hadi, Planner I

**1. Welcome and Call to Order**

Chair Theresa Lee called this meeting to order at 6:01 PM and began with a reading of the Commission's guiding principles.

**2. Public Comment**

Local citizen, Ramona Greene, stood before the Commission to provide updates regarding Juneteenth events happening in the community. Ms. Greene began by providing a historical overview of Juneteenth. Ms. Greene told the Commission that events will commence on Friday and proceeded to briefly summarize a calendar of events.

**3. Approval of Minutes**

Minutes from the 04/28/2021 Redevelopment Commission Special Called Meeting and 05/12/2021 Regular Meeting were presented. Commissioner John Young and Co-Chair Kip Peregoy expressed corrections needing to be made for both sets of minutes. Additionally, Alderwoman Barbara Best expressed a need for correction regarding her attendance at the 04/28/2021 Special Called Meeting. Both sets of minutes were corrected by the City's Community Development Coordinator and Co-Chair Peregoy made a motion to approve the minutes. This motion was seconded by Commissioner Steve Strickland.

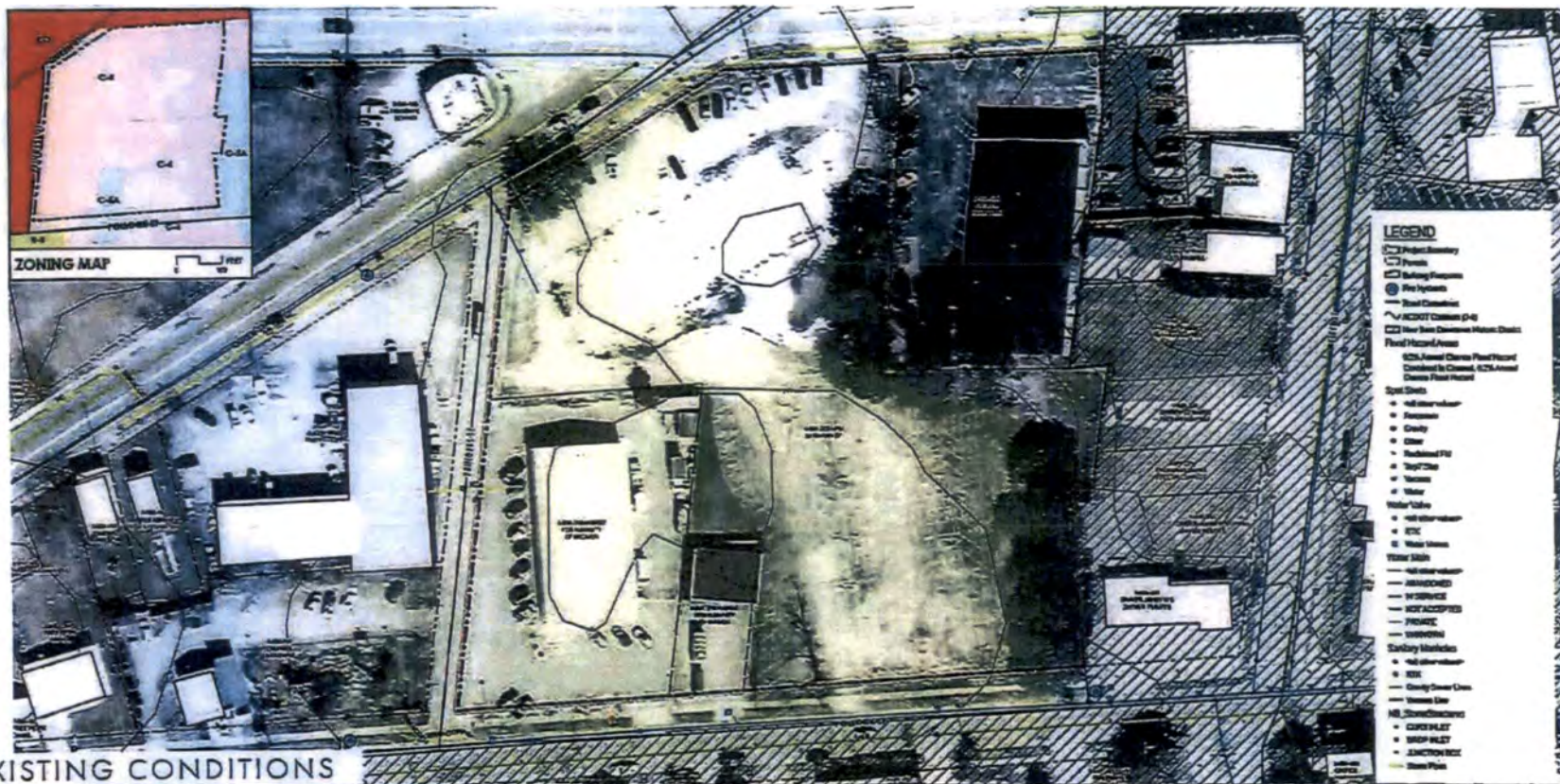
**4. Presentation: By Michael S. Cole, Sr.**

Jeff Ruggieri, director of Development Services, began with an introduction of Mr. Michael Cole. Mr. Ruggieri stated that Mr. Cole had been working at synthesizing a Redevelopment Plan for the old Days Inn site and was present at the meeting to talk about it. Mr. Cole stood before the Commission, stating that he is from Raleigh but knows a lot about New Bern. Mr. Cole explained his role in working with the development of the Carolina East Cancer Center and the Carolina Avenue project. Mr. Cole explained that his firm, ColeJenest & Stone, has completed almost 5,000 projects since founded in 1988 and won numerous design and engineering awards across every market sector. Mr. Cole then made a presentation to the Commission about the Days Inn site, stating that he has studied the land in that area and there are many options for

redevelopment. His presentation included a proposal for economic development along with apartments with multi-family units. Mr. Cole also showed examples of other cities he has worked with and told the Commission that the ultimate goal is to develop an RFP to send developers to partner with the City for redevelopment of the area.

The following slides are attached as part of Mr. Cole's presentation:





## EXISTING CONDITIONS

RAMADA INN MIXED USE DEVELOPMENT | 45476.21 | NEW BERN, NC | 06.09.2021



1" = 60'-0"

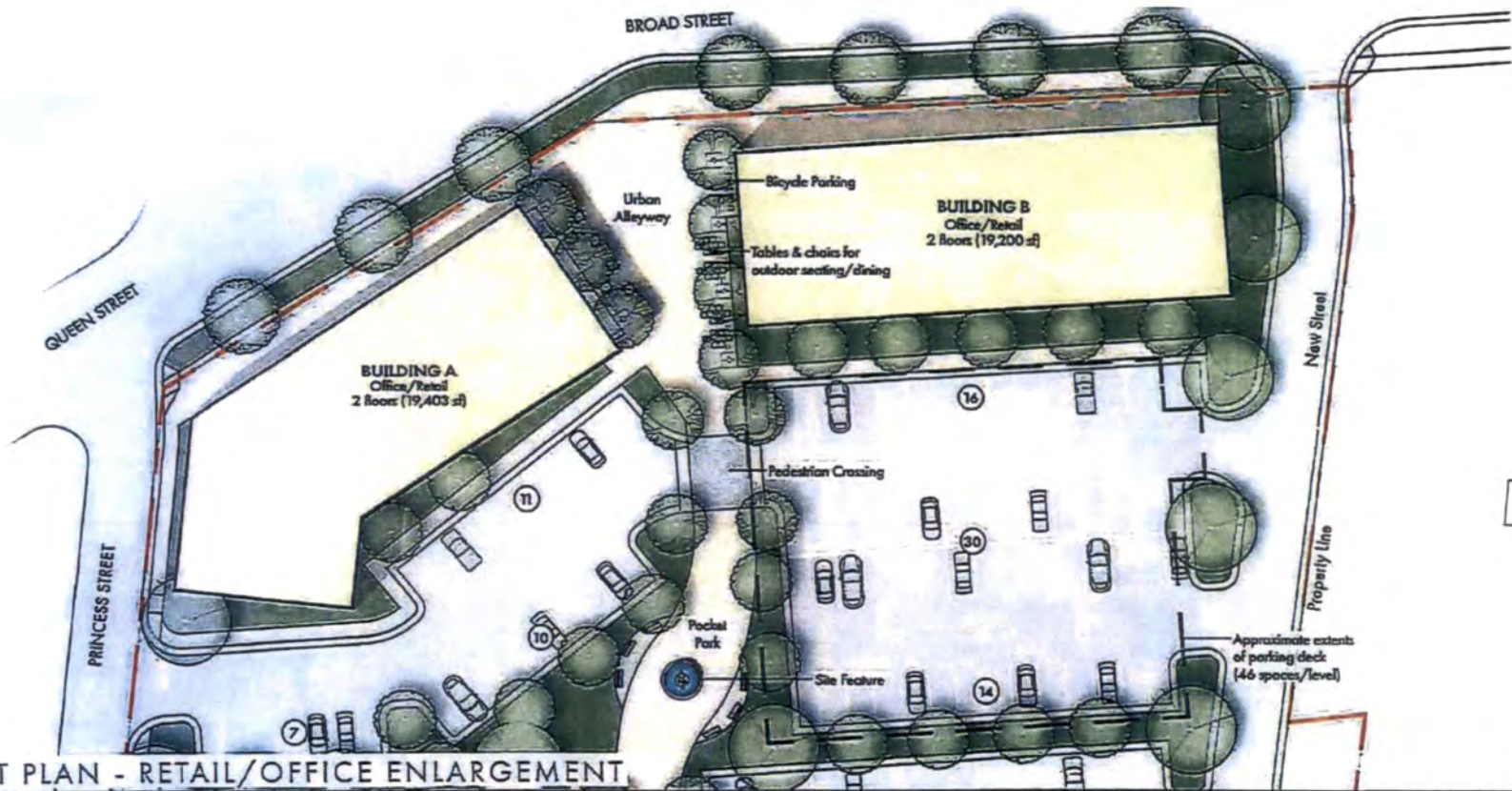


MOSELEYARCHITECTS





MOSELEYARCHITECTS



# CONCEPT PLAN - RETAIL/OFFICE ENLARGEMENT

RAMADA INN MIXED USE DEVELOPMENT | 45476.21 | NEW BERN, NC | 06.09.2021

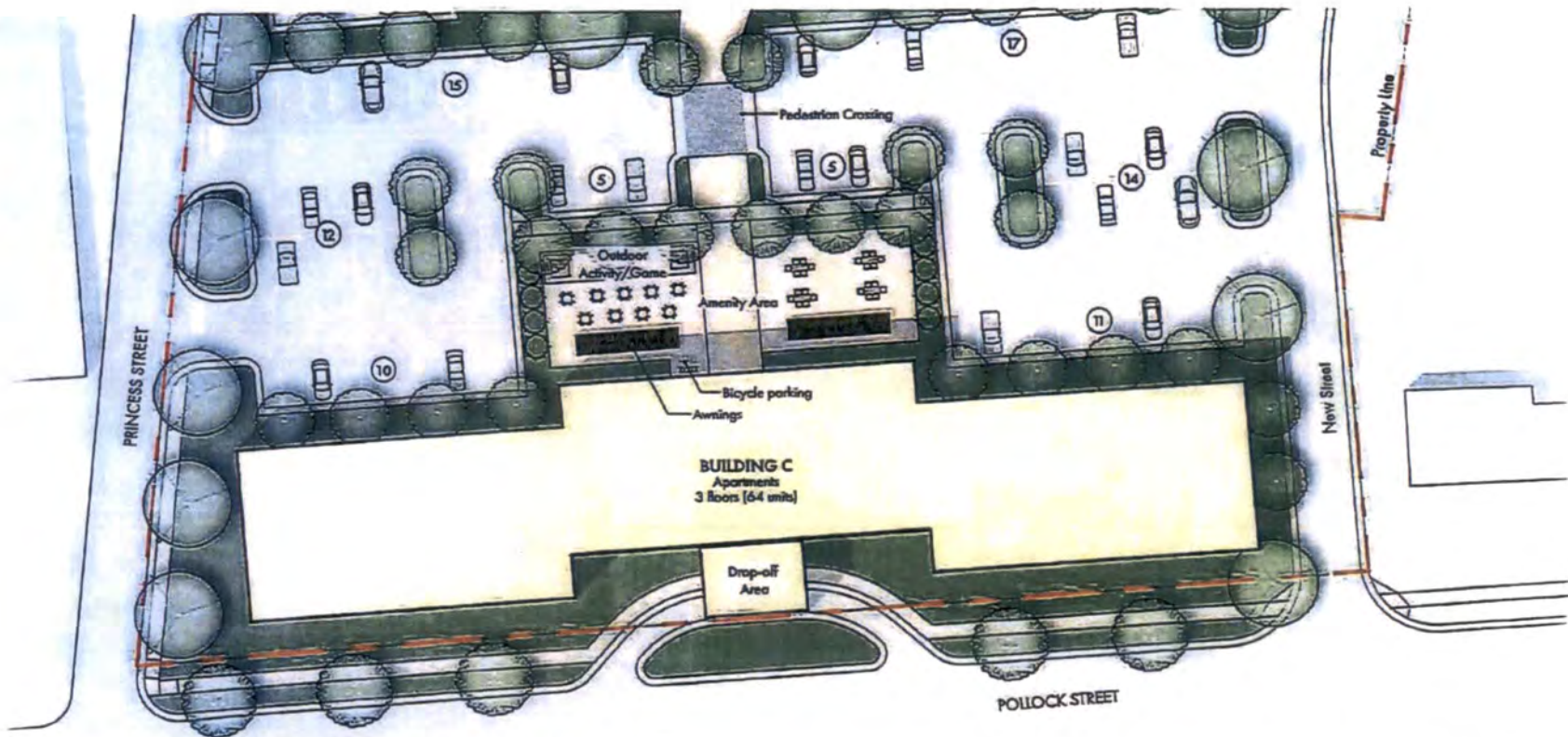


1" = 30'-0"



MOSELEYARCHITECTS





## CONCEPT PLAN - APARTMENTS ENLARGEMENT

RAMADA INN MIXED USE DEVELOPMENT | 45476.21 | NEW BERN, NC | 06.09.2021



1" = 30'-0"



MOSELEYARCHITECTS



## PRECEDENTS

RAMADA INN MIXED USE DEVELOPMENT | 45476.21 | NEW BERN, NC | 06.09.2021



MOSELEYARCHITECTS





## PRECEDENTS

RAMADA INN MIXED USE DEVELOPMENT | 45476.21 | NEW BERN, NC | 06.09.2021



MÖSELEYARCHITECTS





## PRECEDENTS

RAMADA INN MIXED USE DEVELOPMENT | 45476.21 | NEW BERN, NC | 06.09.2021



MOSELEYARCHITECTS





## PRECEDENTS

RAMADA INN MIXED USE DEVELOPMENT | 45476.21 | NEW BERN, NC | 06.09.2021



MOSELEYARCHITECTS





## PRECEDENTS

RAMADA INN MIXED USE DEVELOPMENT | 45476.21 | NEW BERN, NC | 06.09.2021



Cole Jenest  
& Stone

MOSELEYARCHITECTS

## **5. Acceptance of 602 Gaston House**

Jeff Ruggieri, director of Development Services, told the Commission that he received a proposal from the City Manager back in February who approached him concerning the property at 602 Gaston Boulevard. Mr. Ruggieri told the Commission an entire pro forma for the property had been prepared and it totals approximately \$115K to get the house repaired and on a new lot at 911 Eubanks Street. Mr. Ruggieri explained that the City attorney has requested that the Commission accept ownership through formal motion and the Board of Aldermen will then give the property to the Commission without the upset bid process. Mr. Ruggieri explained that a motion is required to accept the structure. Co-Chair Kip Peregoy made a motion for the Commission to accept the structure at 602 Gaston Boulevard. This motion was seconded by Commissioner Beth Walker. This motion carried unanimously (8-0).

## **6. Committee Updates**

Mr. Ruggieri began by providing an update for the Neighborhood Committee. Mr. Ruggieri stated that the Commission needs to focus on the removal of junk vehicles. Mr. Ruggieri stated that no one has taken advantage of the current program that will remove junk cars at no charge in the Duffyfield community. Alderwoman Sabrina Bengel stated that the price of junk is now going up and there are many people waiting to take cars to the local junkyard as a source of income. Mr. Ruggieri told commissioners he was open to receiving any feedback on how to improve the current junk car removal program.

Commissioner Maria Cho presented an itemized list of Health Committee updates that included the following:

- 1. The Health Committee recently developed a QR Code Card to increase participation in Community Health Assessment.
- 2. The Health Committee determined distribution sites and events for engagement including the Juneteenth Festival, Dodge City Convenient Store, Boys and Girls Club, Habitat for Humanity, and more.
- 3. The Health Committee is working alongside Jeff Ruggieri and Margaret Shiels to identify grant sources for a future Community Health Center.

## **7. Old Business**

Attorney Jaimee Bullock-Mosley reminded the Commission of their previous vote to enter an agreement regarding the purchase of 203 and 207 Jones Street. Mrs. Bullock-Mosley stated that the Commission's offer had been accepted and the expected close date is July 12, 2021. Mrs. Bullock-Mosley also reminded the Commission of their vote in January to acquire 6 properties on 1<sup>st</sup> Avenue from citizen, Kenny Allen. Mrs. Bullock-Mosley stated that, while it was discovered that residents were still living in some of the homes and more time was needed, Mr. Allen agreed to extend the contract to ensure the property is unencumbered.

**8. New Business**

No new business was presented. Co-Chair Kip Peregoy made a motion to adjourn the meeting.

This motion was seconded by Commissioner Strickland.

This meeting adjourned at 7:05pm.

Date approved: \_\_\_\_\_

\_\_\_\_\_  
Tharesa Lee, Chairman

Attest: \_\_\_\_\_  
D'Aja Fulmore, Recording Secretary

## **AGENDA ITEM COVER SHEET**

### **Agenda Item Title:**

Consider Adopting a Resolution in Support of a Speed Limit Change on a Portion of South Glenburnie Road

<b>Date of Meeting:</b> 12/14/2021	<b>Ward # if applicable:</b> 6
<b>Department:</b> City Clerk	<b>Person Submitting Item:</b> Brenda Blanco
<b>Call for Public Hearing:</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<b>Date of Public Hearing:</b>

<b>Explanation of Item:</b>	Greenbrier residents have requested a reduction in speed limit along the portion of S. Glenburnie Road from the overpass to MLK Jr. Boulevard. There have been numerous wrecks at the entrance to the subdivision.
<b>Actions Needed by Board:</b>	Consider adopting resolution.
<b>Backup Attached:</b>	Memo and resolution

<b>Is item time sensitive?</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
<b>Will there be advocates/opponents at the meeting?</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No

<b>Cost of Agenda Item:</b> \$0
<b>If this requires an expenditure, has it been budgeted and are funds available and certified by the Finance Director?</b> <input type="checkbox"/> Yes <input type="checkbox"/> No

**Additional Notes:**

**Aldermen**

Sabrina Bengel  
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Dana E. Outlaw  
Mayor  
Foster Hughes  
City Manager  
Brenda E. Blanco  
City Clerk

**Memorandum**

**TO:** Mayor and Board of Aldermen

**FROM:** Brenda Blanco, City Clerk

**DATE:** December 03, 2021

**SUBJECT:** Speed Limit Reduction Along South Glenburnie Road

Residents of the Greenbrier community have contacted Alderman Odham requesting a reduction of the speed limit along South Glenburnie Road from the point of the Glenburnie overpass to Martin Luther King Jr. Boulevard. This is a state-owned street with a current speed limit of 45 mph. This area of roadway is heavily traveled and is flanked on both sides by commercial businesses as well as entrances to residential communities. The current speed limit poses a safety hazard, as there have been numerous wrecks at the intersection of South Glenburnie and Greenbrier Parkway/Cardinal Road.

The proposed resolution signifies the City's support for a reduction in the speed limit to 35 mph. If adopted, the resolution will be forwarded to NCDOT and the MPO.

/beb



## **RESOLUTION**

WHEREAS, South Glenburnie Road is a major street that is heavily traveled within the city limits of New Bern; the street is flanked on each side by businesses as well as entrances to residential communities; and

WHEREAS, residents of the Greenbrier community have long expressed safety concerns with respect to the speed limit from the location of the US 70/Glenburnie interchange to Martin Luther King, Jr. Boulevard ("MLK"); several motor vehicle accidents have occurred along this stretch, particularly at the intersection of South Glenburnie Road and Greenbrier Parkway/Cardinal Road; and

WHEREAS, residents have verbally requested that the speed limit from the overpass to MLK be reduced from 45 mph to 35 mph; a reduction of speed would minimize motor vehicle accidents and provide for better public safety.

NOW, THEREFORE, BE IT RESOLVED BY THE BOARD OF ALDERMEN OF THE CITY OF NEW BERN:

1. That the City of New Bern hereby conveys support for the request made by the residents of the Greenbrier community for a reduction in the speed limit along the portion of South Glenburnie Road from the US 70/Glenburnie interchange to Martin Luther King, Jr. Boulevard; and
2. The NC Department of Transportation is asked to consider implementing this change for the enhancement and benefit of public safety.

ADOPTED THIS 14<sup>TH</sup> DAY OF DECEMBER, 2021.

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DANA E. OULTAW, MAYOR

---

BRENDA E. BLANCO, CITY CLERK

## AGENDA ITEM COVER SHEET

### Agenda Item Title:

Consider Adopting a Resolution Approving the 2021 Local Government Agencies General Records and Program Records Retention and Disposition Schedules

<b>Date of Meeting:</b> 12/14/2021	<b>Ward # if applicable:</b> N/A
<b>Department:</b> City Clerk	<b>Person Submitting Item:</b> Brenda Blanco
<b>Call for Public Hearing:</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<b>Date of Public Hearing:</b>

<b>Explanation of Item:</b>	Chapters 121 and 132 of the NC General Statutes address public records management and destruction. The State Archive Office regularly updates the record retention policy for local governments to follow. The latest schedule was issued on October 01, 2021 and needs to be adopted by the City.
<b>Actions Needed by Board:</b>	Consider adopting the resolution approving the 2021 schedules
<b>Backup Attached:</b>	Memo, resolution, and records and retention disposition schedules for general records and program records

<b>Is item time sensitive?</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
<b>Will there be advocates/opponents at the meeting?</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No

<b>Cost of Agenda Item:</b> \$0
<b>If this requires an expenditure, has it been budgeted and are funds available and certified by the Finance Director?</b> <input type="checkbox"/> Yes <input type="checkbox"/> No

**Additional Notes:**



**Aldermen**

Sabrina Bengel  
Jameesha Harris  
Robert V. Aster  
Johnnie Ray Kinsey  
Barbara J. Best  
Jeffrey T. Odham



300 Pollock Street, P.O. Box 1129  
New Bern, NC 28563-1129  
(252) 636-4000

Dana E. Outlaw  
Mayor  
Foster Hughes  
City Manager  
Brenda E. Blanco  
City Clerk

**Memorandum**

**TO:** Mayor and Board of Aldermen

**FROM:** Brenda Blanco, City Clerk

**DATE:** December 03, 2021

**SUBJECT:** Records Retention and Disposition Schedule

In accordance with Chapters 121 and 132 of the NC General Statutes, the NC Department of Cultural Resources issues schedules establishing the minimum amount of time records must be retained by local governments. Once issued, the City approves and adopts the schedules and agrees to comply with the retention periods established. The latest general records schedule was issued on October 1, 2021 and requires adoption. It will replace the schedule that was adopted by the Board in March of 2019.

In addition to the general records schedule that covers a wide-range of documents such as personnel, fiscal/payroll, correspondence, etc., a program records schedule has also been issued and will update records standards relative to law enforcement, animal services, code enforcement/inspection, planning and development (including Redevelopment Commissions), parks and recreation, fire, tax, and other programs.

/beb

# RECORDS RETENTION AND DISPOSITION SCHEDULE

## GENERAL RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES



Issued By:



NC DEPARTMENT OF  
NATURAL AND CULTURAL RESOURCES

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

October 1, 2021

## CONTENTS

<a href="#">Approval</a> .....	iv
<b>Front Matter</b>	
<a href="#">Executive Summary</a> .....	v
<a href="#">Legend for Records Schedule</a> .....	vii
<b>Records Retention and Disposition Schedule</b>	
<a href="#">Standard 1: Administration and Management Records</a> .....	1
<a href="#">Standard 2: Budget, Fiscal, and Payroll Records</a> .....	23
<a href="#">Standard 3: Geographic Information System Records</a> .....	36
<a href="#">Standard 4: Human Resources Records</a> .....	43
<a href="#">Standard 5: Information Technology Records</a> .....	61
<a href="#">Standard 6: Legal Records</a> .....	67
<a href="#">Standard 7: Public Relations Records</a> .....	75
<a href="#">Standard 8: Risk Management Records</a> .....	80
<a href="#">Standard 9: Workforce Development Records</a> .....	86
<b>Appendix</b>	
<a href="#">Managing Public Records in North Carolina</a> .....	A-1
<a href="#">Audits, Litigation, and Other Official Action</a> .....	A-5
<a href="#">Transitory Records</a> .....	A-6
<a href="#">Destruction of Public Records</a> .....	A-8
<a href="#">Sample Destructions Log</a> .....	A-10
<a href="#">Electronic Records: E-mail, Born Digital Records, and Digital Imaging</a> .....	A-11
<a href="#">Geospatial Records</a> .....	A-13
<a href="#">Security Preservation Copies of Records</a> .....	A-15
<a href="#">Disaster Assistance</a> .....	A-17
<a href="#">Staff Training</a> .....	A-18
<b>Request Forms</b>	
<a href="#">Request for Change in Records Schedule</a> .....	A-19
<a href="#">Request for Disposal of Unscheduled Records</a> .....	A-20
<a href="#">Request for Disposal of Original Records Duplicated by Electronic Means</a> .....	A-21
<a href="#">File Plan</a> .....	A-22
<a href="#">Related Records Series in Program Schedules</a> .....	A-23
<a href="#">Index</a> .....	A-30

## **2021 General Records Schedule: Local Government Agencies**

The records retention and disposition schedules and retention periods governing the records series listed herein are hereby approved. This approval extends to and includes the following standards in the **2021 General Records Schedule: Local Government Agencies**:

1. Administration and Management Records
2. Budget, Fiscal, and Payroll Records
3. Geographic Information System Records
4. Human Resources Records
5. Information Technology Records
6. Legal Records
7. Public Relations Records
8. Risk Management Records
9. Workforce Development Records

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.

### **Destructions**

G.S. § 121-5 authorizes the Department of Natural and Cultural Resources to regulate the destruction of public records. Furthermore, the local government agency agrees to comply with 07 NCAC 04M .0510 when deciding on a method of destruction. The North Carolina Administrative Code states:

“(a) Paper records which have met their required retention requirements and are not subject to legal or other audit holds should be destroyed in one of the following ways:

1. burned, unless prohibited by local ordinance;
2. shredded, or torn up so as to destroy the record content of the documents or material concerned;
3. placed in acid vats so as to reduce the paper to pulp and to terminate the existence of the documents or materials concerned; or
4. sold as waste paper, provided that the purchaser agrees in writing that the documents or materials concerned will not be resold without pulverizing or shredding the documents so that the information contained within cannot be practicably read or reconstructed.

(b) When used in an approved records retention and disposition schedule, the provision that electronic records are to be destroyed means that the data and metadata are to be overwritten, deleted, and unlinked so the data and metadata may not be practicably reconstructed.

(c) When used in an approved records retention and disposition schedule, the provision that confidential records of any format are to be destroyed means the data, metadata, and physical media are to be destroyed in such a manner that the information cannot be read or reconstructed under any means.”

All local government agencies should maintain logs of their destructions either in the minutes of their governing board or in their Records Management file. Confidential records will be destroyed in such a manner that the records cannot be practicably read or reconstructed.

***Public records, including electronic records, not listed in this schedule are not authorized to be destroyed.***



### **Audits and Litigation Actions**

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.

### **Electronic Records**

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.

Local government agencies should consider retention requirements and disposition authorities when designing and implementing electronic records management systems. Any type of electronically-created or electronically-stored information falls under the North Carolina General Assembly's definition of public records cited above. For example, e-mail, text messages, blog posts, voicemails, websites, word processing documents, spreadsheets, databases, and PDFs all fall within this definition of public records. In addition, G.S. § 132-6.1(a) specifies:

"Databases purchased, leased, created, or otherwise acquired by every public agency containing public records shall be designed and maintained in a manner that does not impair or impede the public agency's ability to permit the public inspection and examination of public records and provides a means of obtaining copies of such records. Nothing in this subsection shall be construed to require the retention by the public agency of obsolete hardware or software."

Local government agencies may scan any paper record and retain it electronically for ease of retrieval. If an agency wishes to destroy the original paper records before their assigned retention periods have been met, the agency must establish an electronic records policy, including putting into place procedures for quality assurance and documentation of authorization for records destructions approved by the Government Records Section. This electronic records policy and releases for destruction of records must be approved by the Government Records Section. Agencies should be aware that for the purpose of any audit, litigation, or public records request, they are considered the records custodian obligated to produce requested records, even if said records are being maintained electronically by an outside vendor. Therefore, contracts regarding electronically stored information should be carefully negotiated to specify how records can be exported in case a vendor goes out of business or the agency decides to award the contract to a different vendor.

### **Reference Copies**

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*."

### **Record Copy**

A record copy is defined as "The single copy of a document, often the original, that is designated as the official copy for reference and preservation."<sup>1</sup> The record copy is the one whose retention and disposition is mandated by this schedule; all additional copies are considered reference or access copies and can be destroyed when their usefulness expires. In some cases, postings to social media may be unofficial copies of information that is captured elsewhere as a record copy (e.g., a press release about an upcoming agency event that is copied to various social media platforms). Appropriately retaining record copies and disposing of reference copies requires agencies to

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<sup>1</sup> Society of American Archivists, *Dictionary of Archives Terminology*.

designate clearly what position or office is required to maintain an official record for the duration of its designated retention period.

### **Transitory Records**

Transitory records are defined as “record[s] that [have] little or no documentary or evidential value and that need not be set aside for future use.”<sup>2</sup>

North Carolina has a broad definition of public records. However, 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. They may be disposed of according to the guidance below. However, all public employees should be familiar with their appropriate retention schedule and any other applicable guidelines for their office. If there is a required retention period for these records, that requirement must be followed. 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 a DNCR records analyst.

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 and calendar invites) have minimal value once the official action these records are supporting has been completed and documented. These records may be destroyed or otherwise disposed of once the action has been resolved.

Drafts and working papers, including notes and calculations, are materials gathered or created to assist in the creation of another record. All drafts and working papers are public records subject to all provisions of Chapter 132 of the General Statutes, 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 that 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
- Drafts and working papers for presentations, workshops, and other explanations of agency policy that is already formally documented.

Forms used solely to create, update, or modify records in an electronic medium may be destroyed in office after completion of data entry and after all verification and quality control procedures, so long as these records are not required for audit or legal purposes. 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 must be retained according to the disposition instructions for the records series encompassing the forms’ function.

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<sup>2</sup> Ibid.

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 previous versions of this schedule and any localized amendments; it is to remain in effect from the date of approval until it is reviewed and updated.

**APPROVAL RECOMMENDED**

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

Sarah E. Koonts  
Sarah E. Koonts, Director  
Division of Archives and Records

**APPROVED**

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

D. Reid Wilson  
D. Reid Wilson, Secretary  
Department of Natural and Cultural  
Resources

Municipality/County: \_\_\_\_\_ City of New Bern

Effective: October 1, 2021



## EXECUTIVE SUMMARY

- ✓ Some records are covered by the Local Agency Program Retention and Disposition Schedules. See the appendix for Related Records Series Found in Local Agency Program Schedules.
- ✓ According to N.C. Gen. Stat. § 121-5(b) and N.C. Gen. Stat. § 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 Society of American Archivists, *Dictionary of Archives 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 N.C. Gen. Stat. § 121-5 and N.C. Gen. Stat. § 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 listed with the identified record series.
- ✓ 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 creates security preservation record copies for minutes and selected other records of governing bodies and commissions, adoption records, and maps and plats. Agencies can request copies of the digital images made during this process. Contact the appropriate Records Management Analyst to begin this process.



- ✓ If you have records that are not listed in this schedule, contact a Records Management Analyst. An analyst will discuss the nature of the records with you to determine if the records have historical value. If the records do not have historical value, we will ask you to complete a Request for Disposal of Unscheduled Records (page A-20) for records that are no longer being created.

## 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 Society of American Archivists, *Dictionary of Archives 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 a SEE ALSO reference. 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 (STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS).

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 ACTION, page A-5.**

**STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS**


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

ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.01	<b>ABSTRACTS OF MUNICIPAL ELECTIONS</b> Copies of abstracts prepared by the County Board of Elections and forwarded to the municipal clerk.	Destroy in office when reference value ends.± Agency Policy: Destroy in office after _____ <i>Retention Note: Official record maintained permanently by the County Board of Elections.</i>	Authority: G.S. 163-300
1.02	<b>ACCREDITATION RECORDS</b> Records documenting accreditations and certifications received by the agency. Includes applications, final reports, and other related records. Also includes evaluations of the agency by outside entities.	Destroy in office 5 years after superseded or obsolete.	Authority: 10A NCAC 48B
1.03	<b>ADMINISTRATIVE DIRECTIVES, REGULATIONS, AND RULES @</b> Records documenting requirements or directives promulgated by the agency for the conduct of a business or activity on agency premises or under agency authority.	Destroy in office when superseded or obsolete.	

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page A-5.

± 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.

@ In some cases, more specific record retention and disposition requirements can be found in the relevant program schedule. See the appendix for pointers to such records series.

ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.04	<b>AUDITS: PERFORMANCE @</b> 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 (STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS).	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 PCI attestation reports after 3 years. c) Destroy in office remaining audit reports after 10 years. d) Destroy in office documentation of corrective measures 2 years after their implementation. e) Destroy in office working papers and remaining records when superseded or obsolete.	
1.05	 <b>BLUEPRINTS AND SPECIFICATIONS @</b> 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

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page A-5.

± 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.

@ In some cases, more specific record retention and disposition requirements can be found in the relevant program schedule. See the appendix for pointers to such records series.



## 2021 GENERAL RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES



ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.06	<b>BONDS</b> Records documenting written guarantees from a third party, including bid bonds, payment bonds, performance bonds, and surety bonds.  SEE ALSO: Bids for Purchase (STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS), and Projects (below).	Destroy in office 5 years after expiration or cancellation.	
1.07	<b>BULLETINS</b> Internal information sharing materials that circulate information within the agency. Also includes memoranda and newsletters.	Destroy in office when superseded or obsolete.	
1.08	<b>BUSINESS CERTIFICATION RECORDS</b> 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 _____	
1.09	<b>BUSINESS DEVELOPMENT SUBJECT FILE</b>	Destroy in office after 3 years.	
1.10	<b>CALENDARS OF EVENTS AND APPOINTMENTS</b>	Destroy in office when superseded or obsolete.	
1.11	<b>CENSUS PROJECT RECORDS</b> 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 _____	

1: Administration and Management

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page A-5.

± 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.

@ In some cases, more specific record retention and disposition requirements can be found in the relevant program schedule. See the appendix for pointers to such records series.

ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.12	<b>CHARTER RECORDS</b> Charter and charter proceedings related to adoption, amendment and/or repeal.	Retain in office permanently.	
1.13	<b>COLLECTED DATA</b> Information and statistics compiled and analyzed for research purposes or to support the functions of the agency.  SEE ALSO: Data Warehouses (STANDARD 5: INFORMATION TECHNOLOGY RECORDS).	Destroy in office when superseded or obsolete.	If data contains confidential information, abide by relevant restrictions.

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page A-5.

± 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.

@ In some cases, more specific record retention and disposition requirements can be found in the relevant program schedule. See the appendix for pointers to such records series.

ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.14	<b>CONSTITUENT COMMENTS, COMPLAINTS, PETITIONS, AND SERVICE REQUESTS @</b> Records concerning objections, dissatisfaction, or disagreements with actions or positions taken or not taken by the agency. Includes comments and petitions submitted by constituents requesting action as well as routine requests for service. Also includes requests for reasonable accommodation 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; including constituent requests, survey of agency buildings to determine accessibility to the physically handicapped, proposals for implementation, correspondence (including e-mail), and resolutions.  SEE ALSO: Civil Rights Records (STANDARD 6: LEGAL RECORDS).	a) Transfer records as applicable to Litigation Case Records (STANDARD 6: LEGAL RECORDS). b) Destroy in office comments, complaints, petitions, and requests 1 year after resolution.* c) Destroy in office accommodation requests 2 years after resolution.*	Authority: 42 USC 12132
1.15	<b>CONSTITUENT SURVEYS</b> Surveys and related records addressing agency services, policies, and other concerns.	Destroy in office when reference value ends.± Agency Policy: Destroy in office after _____	

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page A-5.

± 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.

@ In some cases, more specific record retention and disposition requirements can be found in the relevant program schedule. See the appendix for pointers to such records series.



ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.16	<b>CORRESPONDENCE AND MEMORANDA</b> 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 <b>ELECTRONIC RECORDS</b> , page A-11. SEE ALSO: Public Bodies: Correspondence (below) and Legal Correspondence (STANDARD 6: LEGAL RECORDS).	a) Transfer correspondence (including e-mail) with historical value to History Records (below), 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>	
1.17	<b>CUSTOMER CALL CENTER RECORDINGS<sup>@</sup></b> Recordings of calls to customer service centers made for quality assurance and training purposes.	Destroy in office after 30 days.	
1.18	<b>EQUIPMENT AND VEHICLE MAINTENANCE, REPAIR, AND INSPECTION RECORDS<sup>@</sup></b> Records concerning the maintenance, repair, routine testing, and inspection of agency owned equipment and vehicles. Also includes warranties.  SEE ALSO: Grants (below), and System Maintenance Records: Hardware Repair or Service (STANDARD 5: INFORMATION TECHNOLOGY RECORDS).	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.	

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page A-5.

± 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.

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## 2021 GENERAL RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES



ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.19	<b>EQUIPMENT AND VEHICLE REFERENCE RECORDS</b> Includes operation, specification, and technical manuals. Also includes brochures, bulletins, and related documentation.	Destroy in office when superseded or obsolete.	
1.20	<b>EQUIPMENT, FACILITY, AND VEHICLE USAGE RECORDS</b> 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.	
1.21	<b>FACILITY MAINTENANCE, REPAIR, AND INSPECTION RECORDS</b> Records documenting maintenance, repair, and inspection of agency-owned facilities, including warranties on said repairs. Also includes any real property owned by the agency.  SEE ALSO: Contracts, Leases, and Agreements (STANDARD 6: LEGAL RECORDS), Property Management Records (below).	a) Destroy in office records documenting system repair and improvement (including plumbing, electrical, fire, and other systems) after 3 years. b) Destroy in office records documenting routine inspections, janitorial cleaning, environmental monitoring, and routine maintenance of facilities after 1 year. c) Destroy in office warranties 1 year after expiration.	
1.22	<b>FORMS AND TEMPLATES</b> Blank forms, templates, and letterhead used to create agency records.	Destroy in office when superseded or obsolete.	

## 1: Administration and Management

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ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.23	<b>GRANT PROPOSALS</b> Proposals submitted for grants, including applications, correspondence (including e-mail), and other related records.	a) Transfer records concerning approved grants to Grants (below). b) Destroy in office rejected or withdrawn grant proposals when reference value ends.± Agency Policy: Destroy in office after _____	
1.24	<b>GRANTS@</b> 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 any required certifications and disclosures, documentation about grants issued by the agency, and research records generated as part of a grant project.  SEE ALSO: Grants: Financial (STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS).	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 grants funded by local appropriations and other federal grants 3 years after final financial report is filed. d) Destroy in office records not relating to a specific grant 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

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## 2021 GENERAL RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES




ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.25	<b>HISTORICAL DESIGNATIONS RECORDS</b> Records concerning the awarding of historical markers by the agency. Includes applications, review materials, and list of markers.	a) Retain in office permanently the list of historical markers along with the accepted applications. b) Destroy in office after 1 year rejected applications. c) Destroy in office remaining materials after 3 years.	
1.26	<b>HISTORY RECORDS (AGENCY AND EMPLOYEES)</b> Records concerning the history of the agency and its employees. Includes published and unpublished histories, biographical data, photographs, newspaper clippings, and other related records.	a) Retain in office records with historical value permanently. b) Destroy in office remaining records when reference value ends.± Agency Policy: Destroy in office after _____	
1.27	<b>IMPROPER CONDUCT INVESTIGATIONS</b> Records concerning investigations triggered by questions about ethics or conduct within an agency, such as whistleblower reports or allegations of fraud. Includes complaints, reports, investigations, and other related records. Also includes records from an ombuds office.	Destroy in office 3 years after resolution.*	
1.28	<b>INDICES @</b> Listings of where specific information can be found.	Destroy in office when superseded or obsolete.	
1.29	<b>INTERAGENCY PROGRAMS</b> Records of programs involving more than one government agency. Includes resource materials, program information, and other related records.	Destroy in office when reference value ends.± Agency Policy: Destroy in office after _____	

1: Administration and Management

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ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.30	<b>INVENTORIES @</b> Inventories describing the type of property (including equipment and facilities other and fixed assets), its location, and related information. Also includes inventory control and usage records, such as requisitions/draw tickets, mileage logs, request forms, and other related records.	a) Destroy in office lists of properties, facilities, fixed assets, supplies, and surplus property when superseded or obsolete. b) Destroy in office inventory control and usage records after 3 years.	
1.31	<b>LEGISLATION AND REGULATORY RECORDS</b> Notices and copies of proposed or adopted state or federal legislation or regulations affecting the agency.	Destroy in office when reference value ends.± Agency Policy: Destroy in office after _____	
1.32	<b>LOGISTICS MATERIALS</b> Records concerning scheduled plans of agency personnel and activities. Includes routine notices, task lists, and arrangements.	Destroy in office when superseded or obsolete.	
1.33	<b>MAIL: UNDELIVERABLE/RETURNED</b> Outgoing agency mail returned by the post office for any reason, including insufficient postage, incorrect address, forwarding order expired, etc. Also includes outgoing e-mail returned for any reason.	Destroy in office after 30 days. <i>Retention Note: If notification is necessary for a particular process, reference the relevant case file for disposition instructions (e.g., tax notifications).</i>	
1.34 	<b>MAILING AND DISTRIBUTION RECORDS</b> 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 _____	Confidentiality: G.S. 132-1.12 G.S. 132-1.13

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ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.35	<b>MEMBERSHIP RECORDS</b> 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.	
1.36	<b>MISCELLANEOUS (NON-BUILDING) APPLICATIONS, LICENSES, AND PERMITS</b> Includes, but not limited to, applications and permits regarding free government-issued business permits, 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 _____	
1.37	 <b>OFFICE AND PROPERTY SECURITY RECORDS</b> Records concerning the security of agency offices, facilities, vehicles, equipment, property, and personnel. Includes visitors' register; security, employee, or contractor access to facilities or resources; and surveillance system reports and recordings.  SEE ALSO: Employee Security Records (STANDARD 8: RISK MANAGEMENT).	a) If the recording necessitates law enforcement action, transfer to the appropriate agency. b) If the recording becomes evidence in a personnel investigation or lawsuit, transfer to Disciplinary Actions (STANDARD 4: HUMAN RESOURCES RECORDS), or Litigation Case Records (STANDARD 6: LEGAL RECORDS). c) Destroy in office recordings not required to support known investigations or litigation after 30 days. d) Destroy in office remaining records after 1 year.	Confidentiality: G.S. 132-1.7

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ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.38	<b>ORDINANCES</b> Includes code of ordinances.  See the <b>SECURITY PRESERVATION COPIES OF RECORDS</b> section on page A-15 for instructions on imaging.	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 _____	
1.39	<b>PEST CONTROL</b> Records concerning pest abatement or eradication programs overseen by the agency.  SEE ALSO: Facility Maintenance, Repair, and Inspection Records (above).	Destroy in office after 3 years.*	
1.40	<b>PHONE LOGS</b> Records documenting calls placed and received in the course of conducting agency business.  SEE ALSO: Accounts Payable (STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS), Voice over Internet Protocol (VoIP) Records (STANDARD 5: INFORMATION TECHNOLOGY RECORDS).	Destroy in office after 1 year.	

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ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.41	<b>POLICIES AND PROCEDURES<sup>@</sup></b> 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 (STANDARD 6: LEGAL RECORDS), Policies and Procedures (Personnel) (STANDARD 4: HUMAN RESOURCES RECORDS), Electronic Records Policies and Procedures (STANDARD 5: INFORMATION TECHNOLOGY RECORDS).	a) Retain in office records with historical value permanently. b) Destroy in office remaining records when superseded or obsolete.	
1.42	<b>POLL LIST/REGISTRATION LIST/ROSTER/ AUTHORIZATION TO VOTE (ATV)<sup>@</sup></b> 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
1.43	<b>PRICE QUOTATIONS</b>	Destroy in office when reference value ends. <sup>±</sup> Agency Policy: Destroy in office after _____.	

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ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.44	<b>PROCLAMATIONS AND ORDERS</b> 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. <sup>±</sup> Agency Policy: Destroy in office after _____	
1.45	<b>PROJECTS @</b> 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 (STANDARD 5: INFORMATION TECHNOLOGY RECORDS).	a) Retain in office records with historical value permanently. b) Destroy in office remaining records 3 years after completion of project.	
1.46	<b>PROPERTY MANAGEMENT RECORDS</b> Includes appraisals of the financial valuation of agency-owned property as well as surveys, plats, and maps.  SEE ALSO: Facility Maintenance, Repair, and Inspection Records (above).	Destroy in office when superseded or obsolete.	

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## 2021 GENERAL RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES



ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.47	<b>PUBLIC BODIES: AGENDA AND MEETING PACKETS</b> Includes agendas and copies of supporting documentation and exhibits submitted and discussed during meetings of public bodies. Also includes documentation of outside meetings attended by agency personnel.  SEE ALSO: Public Bodies: Minutes (below).	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 _____	
1.48	<b>PUBLIC BODIES: APPLICATIONS FOR APPOINTMENT</b> 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 _____	
1.49	<b>PUBLIC BODIES: APPOINTMENT REPORTS</b> 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
1.50	<b>PUBLIC BODIES: AUDIO AND VIDEO RECORDINGS OF MEETINGS</b>  SEE ALSO: Public Bodies: Minutes (below).	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>	

1: Administration and Management

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ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.51	<b>PUBLIC BODIES: CORRESPONDENCE</b> Records documenting internal and external communications of governing and advisory board members. Includes correspondence (including e-mail) related to decision-making, policy development, and other high-level planning as well as logistical communications.	a) Transfer correspondence (including e-mail) with historical value to History Records (above), after 3 years. b) Destroy in office remaining records after 3 years.	
1.52	<b>PUBLIC BODIES: MEETING NOTICES</b> Includes notices and regular meeting schedules.  SEE ALSO: Affidavits of Publication (STANDARD 6: LEGAL RECORDS), Publicity Records (STANDARD 7: PUBLIC RELATIONS RECORDS).	Destroy in office after 1 year.	
1.53	<b>PUBLIC BODIES: MEMBER FILES</b> 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: Oaths of Office (STANDARD 6: LEGAL RECORDS), Public Bodies: Applications for Appointment (above).	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.	

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ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.54	<b>PUBLIC BODIES: MINUTES</b> 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 <b>SECURITY PRESERVATION COPIES OF RECORDS</b> section on page A-15 for instructions on imaging.  SEE ALSO: Ordinances (above), Public Bodies: Agenda and Meeting Packets (above), Public Bodies: Audio and Video Recordings of Meetings (above), Resolutions (below).	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 _____	Authority: G.S. 143-318.10
1.55	<b>RATE AND FEE SCHEDULES</b> @ Records relating to rates, fees, and regulations concerning agency services.	Destroy in office when superseded or obsolete.	

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ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.56	<b>REBATE PROGRAM RECORDS</b> Applications, receipts, and related records concerning rebate programs sponsored by the agency. These records document programs and incentivized actions that residents 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 _____	
1.57	<b>RECORDS MANAGEMENT</b> 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.	
1.58	<b>REFERENCE (READING) FILE</b> 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 _____	

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ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.59	<p><b>REPORTS AND STUDIES @</b></p> <p>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.</p> <p>SEE ALSO: Accident/Incident Reports (STANDARD 8: RISK MANAGEMENT RECORDS), Audits: Financial (STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS), Audits: Performance (above), Budget Reports (STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS), Civil Rights Records (STANDARD 6: LEGAL RECORDS), Financial Reports (STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS), Grants (above), Lost, Stolen, or Damaged Property Reports (STANDARD 8: RISK MANAGEMENT RECORDS), Projects (above), Public Bodies: Appointment Reports (above), Strategic Plan (below), and Unemployment Compensation Reports (STANDARD 4: HUMAN RESOURCES RECORDS).</p>	<p>a) Retain in office permanently 1 copy of all annual and biennial reports written by the agency.</p> <p>b) Retain in office permanently reports and studies prepared by request of an agency's governing body or a court.</p> <p>c) Destroy in office after 3 years reports prepared monthly, bimonthly, or semi-annually.</p> <p>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.</p> <p>e) Destroy in office when superseded or obsolete reports required to be submitted to the agency.</p> <p>f) Destroy in office remaining reports and studies when reference value ends.±</p> <p>Agency Policy: Destroy in office after _____.</p> <p><i>Retention Note: Reports and studies listed elsewhere in this schedule should be retained the specified period of time.</i></p>	

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ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.60	<b>REQUESTS FOR INFORMATION</b> Requests received and responses issued by the agency.  SEE ALSO: Public Records Requests (STANDARD 7: PUBLIC RELATIONS RECORDS).	Destroy in office after 1 year after resolution.	
1.61	<b>REQUESTS FOR PROPOSALS (RFP)</b> Proposals submitted by vendors in response to requests from agency. Also includes notices and evaluations produced by the agency.  SEE ALSO: Bids for Purchase (STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS), Price Quotations (above).	Destroy in office when reference value ends.± Agency Policy: Destroy in office after _____	
1.62	<b>RESOLUTIONS</b> File consists of resolutions indicating date, issues or policy involved, and appropriate signatures.  See the <b>SECURITY PRESERVATION COPIES OF RECORDS</b> section on page A-15 for instructions on imaging.	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 _____	

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ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.63	<b>STAFF MEETINGS FILE</b> Records concerning meetings of internal committees, groups, or task forces along with external meetings attended by agency personnel. Includes minutes, agendas, meeting packets, visual aids, presentations, notes, recordings, and other related records.	a) Retain in office records with historical value permanently. b) Destroy in office remaining records after 1 year.	
1.64	<b>STRATEGIC PLAN @</b> Long-range plan outlining policies, guidelines, and plans for future development of the agency. Includes official copy of strategic plan and all background surveys, studies, and reports. Also includes business plans as well as mission statements, goals, and objectives.	a) Retain in office strategic plans permanently. b) Destroy in office background surveys, studies, and reports 5 years after adoption of plan. c) Destroy in office business plans 2 years after execution of plan. d) Destroy in office remaining records when superseded or obsolete.	
1.65	<b>SURPLUS PROPERTY</b> Inventories and reports of agency property to be surplussed.	Destroy in office 3 years after disposition of property.*	
1.66	<b>TRACKING MATERIALS</b> 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 _____	

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2021 GENERAL RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES



ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.67	<b>TRAVEL REQUESTS</b> Requests and authorizations for travel. Includes forms and itineraries.  SEE ALSO: Price Quotations (above), Travel Reimbursements (STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS).	Destroy in office after 1 year.*	
1.68	<b>VEHICLE REGISTRATION CARDS</b> North Carolina registration cards for vehicles in the agency fleet.  SEE ALSO: Vehicle Titles (STANDARD 6: LEGAL RECORDS).	Destroy in office when superseded.	
1.69	<b>WORK ORDERS</b> 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) If this is the only record documenting completed work, follow disposition instructions for Facility Maintenance, Repair, and Inspection Records (above), or Equipment and Vehicle Maintenance, Repair, and Inspection Records (above).  b) Destroy in office remaining records 1 year after work is completed.*	

1: Administration and Management

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

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

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

ITEM #	STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
2.01	<b>ACCOUNTS PAYABLE</b> 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.	a) Destroy in office 5 years after payment documentation of reimbursement for business expenses to employees. b) Destroy in office all remaining records 3 years after payment.*	Retention: 04 NCAC 24D .0501(a)(3)(I)
2.02	<b>ACCOUNTS RECEIVABLE @</b> 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. Also includes records concerning accounts sent to NC Debt Setoff Program for collection.	Destroy in office 3 years after collection.*	G.S. 105A

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ITEM #	STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
2.03	<b>ACCOUNTS UNCOLLECTABLE</b> 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.*	
2.04	<b>ANNUAL BUDGET</b> Annual budget and budget message submitted to governing board for approval.  SEE ALSO: Budget Reports (below).	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
2.05	<b>ARBITRAGE RECORDS</b> 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
2.06	<b>AUDITS: FINANCIAL @</b> Records concerning internal and external audits. Includes reports, working papers, and related records.  SEE ALSO: Audits: Performance (STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS).	a) Retain in office 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 or obsolete.*	Authority: G.S. 159-34
2.07	<b>AUTHORIZATION FORMS</b> Authorization to purchase materials.	Destroy in office after 3 years.*	

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ITEM #	STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
2.08	<b>BANK STATEMENTS AND RECONCILIATIONS</b> Includes bank statements, canceled checks, deposit slips, and reconciliation reports.	Destroy in office after 3 years.*	
2.09	<b>BIDS FOR DISPOSAL OF PROPERTY</b> 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 (above).	Destroy in office all records after the disposition of property has been recorded in governing board's minutes.*	Authority: G.S. 153A-176
2.10	<b>BIDS FOR PURCHASE</b> 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 (STANDARD 6: LEGAL RECORDS) when bid is approved. b) Destroy in office bid records not awarded or opened after 1 year.*	Authority: G.S. 143 Article 8
2.11	<b>BOND CLOSING RECORDS</b> 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 6 years after final maturity.*	Authority: G.S. 159 Article 7

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ITEM #	STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
2.12	<b>BOND REGISTER</b> 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
2.13	<b>BONDS, NOTES, AND COUPONS</b>	Destroy in office 1 year from date of payment.	Authority: G.S. 159-139
2.14	<b>BUDGET ADMINISTRATION RECORDS</b> Records of budget administration. Includes research, correspondence (including e-mail), and other related records.	Destroy in office after 2 years.*	
2.15	<b>BUDGET EXECUTION RECORDS</b> Records of authorizations to move funds between budget codes.	Destroy in office when released from audits.	
2.16	<b>BUDGET REPORTS</b> Includes daily detail reports and monthly budget reports. Also includes contract budget and expenditure reports and summaries of tax allocations.  SEE ALSO: Annual Budget (above).	a) Destroy in office daily detail reports after 1 year.* b) Destroy in office remaining reports after 3 years.*	
2.17	<b>BUDGET REQUESTS AND WORKING PAPERS</b> 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

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ITEM #	STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
2.18	<b>BUDGET RESOLUTIONS AND ORDINANCES</b> Includes project ordinances, budget resolutions, and amendments.  SEE ALSO: Public Bodies: Minutes (STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS).	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 _____	Authority: G.S. 159-8 G.S. 159-13 G.S. 159-13.2 G.S. 159-15
2.19	<b>COST ALLOCATION PLANS</b> 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.*	
2.20	 <b>CREDIT/DEBIT/PROCUREMENT CARD RECORDS</b> 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)
2.21	<b>DONATIONS AND SOLICITATIONS</b> Records concerning requests made to agency by outside organizations. Includes applications and other related records.  SEE ALSO: Fund Drive and Event Records (STANDARD 7: PUBLIC RELATIONS RECORDS).	a) Destroy in office records supporting approved donations 1 year after payment. b) Destroy in office rejected applications after 30 days.	
2.22	 <b>ELECTRONIC FUNDS TRANSFERS (EFT)</b> 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

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## 2021 GENERAL RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES



ITEM #	STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
2.23	<b>ESCHEATS AND UNCLAIMED PROPERTY</b> Records containing information required to be included in holder reports submitted to the State Treasurer's office.	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
2.24	<b>FINANCIAL JOURNALS AND LEDGERS</b>	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.*	
2.25	<b>FINANCIAL REPORTS</b>	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.	
2.26	<b>GOVERNMENT EMPLOYEES RETIREMENT SYSTEM MONTHLY REPORTS</b> 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 _____	

2: Budget, Fiscal, and Payroll

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ITEM #	STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
2.27	<b>GRANTS: FINANCIAL @</b> 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 (STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS).	a) Destroy records supporting the expenditure of federal funds passed through NC Dept. of Health and Human Services 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 grants funded by local appropriations and 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
2.28	<b>INVESTMENTS</b> 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.± Agency Policy: Destroy in office after _____  c) Destroy in office all remaining records after 3 years.*	Authority: G.S. 159-30

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ITEM #	STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
2.29	<b>LOAN RECORDS</b> 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.*	
2.30	<b>LOCAL GOVERNMENT COMMISSION FINANCIAL STATEMENTS</b>	Destroy in office after 3 years.*	Authority: G.S. 159-33
2.31	<b>LONGEVITY PAY</b>	Destroy in office after 5 years.*	Retention: 04 NCAC 24D .0501(a)
2.32	 <b>PAYMENT CARD DATA</b> 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)

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ITEM #	STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
2.33 	<b>PAYROLL AND EARNINGS RECORDS</b> 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 employer contributions (e.g., retirement, healthcare) along with individual and group employee earnings records and payroll registers showing earnings and deductions for each pay period.  SEE ALSO: Payroll Deduction Records (below), Time Sheets, Cards, and Attendance Records (below); for 401(k) and other retirement plan payouts, see Retirement Records (STANDARD 4: HUMAN RESOURCES RECORDS).	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 5 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. 160A-168 G.S. 161E-257.2 G.S. 162A-6.1  Retention: 04 NCAC 24D .0501(a) 29 CFR 516.5(a) 29 CFR 1627.3(a)

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ITEM #	STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
2.34	<b>PAYROLL DEDUCTION RECORDS</b>  Records used to start, modify, or stop all voluntary or required deductions from payroll. Includes tax withholding (NC-4, W-4), retirement and deferred compensation, savings plans, insurance, association dues, orders of garnishment, etc. Used as proof the employee approved of the deduction(s).  SEE ALSO: Payroll and Earnings Records (above), Retirement Records (STANDARD 4: HUMAN RESOURCES RECORDS).	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. 160A-168 G.S. 161E-257.2 G.S. 162A-6.1  Retention: IRS Publication 15 29 CFR 516.6(c)(1)
2.35	<b>POWELL BILL RECORDS</b> 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.	
2.36	<b>PURCHASE ORDERS</b> Records, forms, packing slips, and attached documents concerning purchased supplies, equipment, and services.  SEE ALSO: Grants: Financial (above).	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>	
2.37	<b>QUALIFIED PRODUCTS LISTS (QPL)</b> Records identifying products approved for purchase by the agency.	Destroy in office 3 years after superseded or obsolete.*	

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ITEM #	STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
2.38	<b>REQUISITIONS</b> Requests for payment or to acquire goods or services.  SEE ALSO: Inventories (STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS).	Destroy in office after 1 year.*	
2.39	<b>SCHOLARSHIP RECORDS</b> 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.	
2.40	<b>SHIFT PREMIUM PAY</b> Authorizations and other related records concerning employees receiving shift premium pay.	Destroy in office after 5 years.*	Retention: 04 NCAC 24D .0501(a)
2.41	<b>STATEMENTS OF BACK PAY</b> 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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ITEM #	STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
2.42 	<b>TAX FORMS</b> 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 5 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. 160A-168 G.S. 161E-257.2 G.S. 162A-6.1  Retention: 04 NCAC 24D .0501(a) IRS Publication 15
2.43	<b>TAX RETURNS</b> Tax returns filed by the agency.	Destroy in office 6 years after filed.*	
2.44	<b>TIME SHEETS, CARDS, AND ATTENDANCE RECORDS</b> Records documenting the work hours and attendance of employees.  SEE ALSO: Payroll and Earnings Records (above).	Destroy in office after 5 years.*	Retention: 04 NCAC 24D .0501(a) 29 CFR 516.6(a)(1)

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ITEM #	STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
2.45	<b>TRAVEL REIMBURSEMENTS</b> Includes requests and authorizations for reimbursement for travel and related expenses.  SEE ALSO: Grants: Financial (above), Travel Requests (STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS).	Destroy in office after 5 years. *	Retention: 04 NCAC 24D .0501(a)
2.46	 <b>VENDORS</b> Files maintained on specific vendors authorized or debarred from doing business with the agency. Includes name and address, correspondence (including e-mail), and other related records.	Destroy in office when superseded or obsolete.	

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

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

ITEM #	STANDARD 3: GEOGRAPHIC INFORMATION SYSTEM (GIS) RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
3.01	<b>GEOGRAPHIC INFORMATION SYSTEM (GIS) CORE DATA</b> 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 <a href="#">North Carolina Geographic Information Coordinating Council</a>. See also <b>GEOSPATIAL RECORDS</b>, page A-13.</i>	
3.02	<b>GEOGRAPHIC INFORMATION SYSTEM (GIS) DATA DOCUMENTATION (METADATA)</b> 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).	

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ITEM #	STANDARD 3: GEOGRAPHIC INFORMATION SYSTEM (GIS) RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
3.03	<b>GEOGRAPHIC INFORMATION SYSTEM (GIS) INTERNAL STANDARDS AND PROCEDURES</b> 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.	
3.04	<b>GEOGRAPHIC INFORMATION SYSTEM (GIS) MONITORING RECORDS</b> Includes system security, quality assurance, transaction tracking, and other related activity monitoring records.	Destroy in office after 1 year.	
3.05	<b>GEOGRAPHIC INFORMATION SYSTEM (GIS) OPERATIONAL RECORDS</b> 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).	
3.06	<b>GEOGRAPHIC INFORMATION SYSTEM (GIS) PROJECT RECORDS</b>	a) Retain in office GIS datasets and accompanying documentation (metadata) with historical and/or legal value permanently.  b) Destroy in office remaining items when reference value ends.±  Agency Policy: Destroy in office after _____	

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ITEM #	STANDARD 3: GEOGRAPHIC INFORMATION SYSTEM (GIS) RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
3.07	<b>LAYERS: ADDRESS POINTS</b>  See also <b>GEOSPATIAL RECORDS</b> , page A-13.	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 <a href="#">North Carolina Geographic Information Coordinating Council</a> .  <i>Or:</i> If retained in office, your agency must comply with standards (for metadata, file naming, data sharing, and long term preservation) and procedures adopted by the <a href="#">North Carolina Geographic Information Coordinating Council</a> .	
3.08	<b>LAYERS: CORPORATE LIMITS</b>  See also <b>GEOSPATIAL RECORDS</b> , page A-13.	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 <a href="#">North Carolina Geographic Information Coordinating Council</a> .  <i>Or:</i> If retained in office, your agency must comply with standards (for metadata, file naming, data sharing, and long term preservation) and procedures adopted by the <a href="#">North Carolina Geographic Information Coordinating Council</a> .	

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ITEM #	STANDARD 3: GEOGRAPHIC INFORMATION SYSTEM (GIS) RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
3.09	<b>LAYERS: EXTRATERRITORIAL JURISDICTIONS</b>  See also <b>GEOSPATIAL RECORDS</b> , page A-13.	Paper: Retain in office permanently.  GIS dataset: Create a snapshot of dataset annually. To maintain permanently,  <i>Either:</i> Transfer snapshot to NCOneMap according to established procedures, complying with standards and procedures adopted by the <a href="#">North Carolina Geographic Information Coordinating Council</a> .  <i>Or:</i> If retained in office, your agency must comply with standards (for metadata, file naming, data sharing, and long term preservation) and procedures adopted by the <a href="#">North Carolina Geographic Information Coordinating Council</a> .	
3.10	<b>LAYERS: ORTHOIMAGERY</b>  See also <b>GEOSPATIAL RECORDS</b> , page A-13.	Create a snapshot of dataset when created. To maintain permanently,  <i>Either:</i> Transfer snapshot to NCOneMap according to established procedures, complying with standards and procedures adopted by the <a href="#">North Carolina Geographic Information Coordinating Council</a> .  <i>Or:</i> If retained in office, your agency must comply with standards (for metadata, file naming, data sharing, and long term preservation) and procedures adopted by the <a href="#">North Carolina Geographic Information Coordinating Council</a> .	

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ITEM #	STANDARD 3: GEOGRAPHIC INFORMATION SYSTEM (GIS) RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
3.11	<b>LAYERS: STREET CENTERLINE</b>  See also <b>GEOSPATIAL RECORDS</b> , page A-13.	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 <a href="#">North Carolina Geographic Information Coordinating Council</a> .  <i>Or:</i> If retained in office, your agency must comply with standards (for metadata, file naming, data sharing, and long term preservation) and procedures adopted by the <a href="#">North Carolina Geographic Information Coordinating Council</a> .	
3.12	<b>MAPPING PROJECT RECORDS</b> Includes contract maps and all deliverable products for aerial photography, orthophotography, cartographic, cadastral, and digital mapping projects.  See also <b>GEOSPATIAL RECORDS</b> , page A-13.	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 <a href="#">North Carolina Geographic Information Coordinating Council</a> .  <i>Or:</i> If retained in office, your agency must comply with standards (for metadata, file naming, data sharing, and long term preservation) and procedures adopted by the <a href="#">North Carolina Geographic Information Coordinating Council</a> .	

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ITEM #	STANDARD 3: GEOGRAPHIC INFORMATION SYSTEM (GIS) RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
3.13	<b>MAPS: PARCEL</b> Maps, including cadastral maps, and surveys of boundaries and measurements of each parcel, and information about encroachments, right-of-ways, and structures.  See also <b>GEOSPATIAL RECORDS</b> , page A-13, and Property Management Records (STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS).	Paper: Destroy in office upon State Archives approval.  GIS dataset: Create a snapshot of dataset quarterly. To maintain permanently,  <i>Either:</i> Transfer snapshot to NOneMap according to established procedures, complying with standards and procedures adopted by the <a href="#">North Carolina Geographic Information Coordinating Council</a> .  <i>Or:</i> If retained in office, your agency must comply with standards (for metadata, file naming, data sharing, and long term preservation) and procedures adopted by the <a href="#">North Carolina Geographic Information Coordinating Council</a> .	
3.14	<b>MAPS: PARKS</b> 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.  See also <b>GEOSPATIAL RECORDS</b> , page A-13.	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 <a href="#">North Carolina Geographic Information Coordinating Council</a> .  <i>Or:</i> If retained in office permanently, your agency must comply with standards (for metadata, file naming, data sharing, and long term preservation) and procedures adopted by the <a href="#">North Carolina Geographic Information Coordinating Council</a> .	

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ITEM #	STANDARD 3: GEOGRAPHIC INFORMATION SYSTEM (GIS) RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
3.15	<b>MAPS: ALL OTHER @</b> Includes field maps, soil, topographic, sales, subdivision plats, right-of-way, sectional, highway, etc. Also includes paper maps.	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.±  <i>Retention note: Contact the State Archives of North Carolina before destroying any tax maps, watershed maps, or zoning maps.</i>  Agency Policy: Destroy in office after _____	


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**STANDARD 4: HUMAN RESOURCES 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 (LPSUs), G.S. 122C-158 (area authorities), G.S. 130A-45.9 (public health authorities), G.S. 153A-98 (county), G.S. 160A-168 (municipal), G.S. 161E-257.2 (public hospitals), and G.S. 162A-6.1 (water and sewer authorities) regarding confidentiality of personnel records.


ITEM #	STANDARD 4: HUMAN RESOURCES RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.01	<b>ABOLISHED POSITIONS</b> Records concerning positions that have been abolished.	Destroy in office after 1 year.	
4.02 	<b>ADMINISTRATIVE INVESTIGATIONS</b> Records concerning the investigation of conduct problems among agency personnel.  SEE ALSO: Disciplinary Actions (below).	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. c) 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. d) Transfer investigation reports, disciplinary actions, and other related internal affairs case records to Personnel Records (Official Copy) (below).	Confidentiality: G.S. 115C Art. 21A G.S. 122C-158 G.S. 130A-45.9 G.S. 153A-98 G.S. 160A-168 G.S. 161E-257.2 G.S. 162A-6.1

4: HR

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ITEM #	STANDARD 4: HUMAN RESOURCES RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.03 	<b>APPLICATIONS FOR EMPLOYMENT</b> 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) (below) or Seasonal and Contract Worker Records (below). 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. 160A-168 G.S. 161E-257.2 G.S. 162A-6.1  Retention: 29 CFR 1602.31
4.04	<b>APPRENTICESHIP PROGRAM RECORDS</b> 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


4: HR

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ITEM #	STANDARD 4: HUMAN RESOURCES RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.05 	<b>APTITUDE AND SKILLS TESTING RECORDS</b> 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 (below).	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. 160A-168 G.S. 161E-257.2 G.S. 162A-6.1  Retention: 29 CFR 1602.31 29 CFR 1627.3(b)(1)(iv)
4.06	<b>ASBESTOS TRAINING</b> Records concerning training programs about the proper management of asbestos.  SEE ALSO: Bloodborne Pathogen Training (below), Hazardous Materials Training Records (below).	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)

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ITEM #	STANDARD 4: HUMAN RESOURCES RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.07	<b>BENEFITS RECORDS</b> 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 3 years after employee returns or eligibility expires notifications to employees or dependents informing them of their rights to continue insurance coverage after termination or during disability or family leave. d) Destroy in office remaining records 1 year after plan is terminated.	Retention: 29 CFR 1627.3(b)(2)
4.08	<b>BLOODBORNE PATHOGEN TRAINING</b> 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 (above), Hazardous Materials Training Records (below).	Destroy in office after 3 years.	Retention: 29 CFR 1910.1030(h)(2)(ii)
4.09	<b>DIRECTORIES, ROSTERS, OR INDICES</b> Includes records listing employees, their job titles, work locations, phone numbers, e-mail addresses, and similar information.	Destroy in office when superseded or obsolete.	

4: HR

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ITEM #	STANDARD 4: HUMAN RESOURCES RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.10	<b>DISABILITY SALARY CONTINUATION CLAIMS</b> 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 (LERS) or Teachers' and State Employees' Retirement System (TSERS) for action when received. b) Destroy in office remaining records after 3 years.	
4.11	<b>DISCIPLINARY ACTIONS</b> 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) (below). 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. 160A-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.



4: HR

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ITEM #	STANDARD 4: HUMAN RESOURCES RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.12	<b>DUAL EMPLOYMENT</b> Records concerning employees' requests and authorizations to accept employment with another local government agency.  SEE ALSO: Secondary Employment (below).	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.	
4.13	 <b>EDUCATIONAL LEAVE AND REIMBURSEMENT</b> Includes records requesting educational leave and tuition assistance, reimbursements, and other related records.  SEE ALSO: Leave Records (below).	a) Transfer records documenting approved leave requests to Personnel Records (Official Copy) (below). b) Destroy in office records concerning denied requests 6 months after denial.* c) 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. 160A-168 G.S. 161E-257.2 G.S. 162A-6.1
4.14	 <b>EMPLOYEE ASSISTANCE PROGRAMS</b> 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. 160A-168 G.S. 161E-257.2 G.S. 162A-6.1

4: HR

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ITEM #	STANDARD 4: HUMAN RESOURCES RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.15 	<b>EMPLOYMENT ELIGIBILITY RECORDS</b> 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. 160A-168 G.S. 161E-257.2 G.S. 162A-6.1  Retention: 8 USC 1324a(b)(3)
4.16 	<b>EMPLOYMENT SELECTION RECORDS</b> 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 (above), Aptitude and Skills Testing Records (above).	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. 160A-168 G.S. 161E-257.2 G.S. 162A-6.1  Retention: 29 CFR 1602.31 29 CFR 1627.3(b)(1)

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ITEM #	STANDARD 4: HUMAN RESOURCES RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.17 	<b>EXIT INTERVIEW RECORDS</b> 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. 160A-168 G.S. 161E-257.2 G.S. 162A-6.1
4.18 	<b>FAMILY MEDICAL LEAVE ACT (FMLA) RECORDS</b> 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 (below).	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. 160A-168 G.S. 161E-257.2 G.S. 162A-6.1  Retention: 29 CFR 825.500(b)


4: HR

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ITEM #	STANDARD 4: HUMAN RESOURCES RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.19 	<b>GRIEVANCES</b> Includes initial complaint by employee, investigation, action, summary, and disposition.  SEE ALSO: Disciplinary Actions (above), Personnel Records (Official Copy) (below).	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. 160A-168 G.S. 161E-257.2 G.S. 162A-6.1
4.20	<b>HAZARDOUS MATERIALS TRAINING RECORDS</b> Includes records showing date of training, sessions, contents or summaries of sessions, names of employees attending, and names and qualifications of instructors. May also include documentation of loans of radioactive materials for the purpose of training exercises.  SEE ALSO: Asbestos Training (above), Bloodborne Pathogen Training (above).	Destroy in office after 5 years.	Authority: 29 CFR 1910.120(p)(8)(iii) 10A NCAC 15
4.21	<b>INTERNSHIP PROGRAM</b> Records concerning interns and students who work for the agency.	Destroy in office after 2 years.	
4.22	<b>LAW ENFORCEMENT TRAINING</b> Records concerning internal training for law enforcement personnel.	Retain in office permanently.	

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ITEM #	STANDARD 4: HUMAN RESOURCES RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
<b>4.23</b> 	<b>LEAVE RECORDS</b> 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 (above), Family Medical Leave Act (FMLA) Records (above), Military Leave (below).	a) Destroy in office approved requests 3 years after return or separation of employee.* b) Destroy in office denied requests after 6 months.	Confidentiality: G.S. 115C Art. 21A G.S. 122C-158 G.S. 130A-45.9 G.S. 153A-98 G.S. 160A-168 G.S. 161E-257.2 G.S. 162A-6.1
<b>4.24</b> 	<b>MEDICAL RECORDS</b> Records for employees, contractors, and volunteers concerning asbestos, toxic substances, and bloodborne pathogen exposure; physical examinations required by the employer in connection with any personnel action, including health or physical examination reports, or certificates created in accordance with the Americans with Disabilities Act (ADA); and records of injury or illness. (Does not include worker's compensation or health insurance claim records.)  SEE ALSO: Benefits Records (above), Workers' Compensation Program Claims (below).	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 (below).</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)

4: HR

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ITEM #	STANDARD 4: HUMAN RESOURCES RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.25	<b>MILITARY LEAVE</b> Records concerning military leave, as established by the Uniformed Services Employment and Reemployment Rights Act (USERRA).  SEE ALSO: Leave Records (above).	Destroy in office 3 years after leave ends or employee separates from agency.*	Authority: 5 CFR 1208
4.26	 <b>PERFORMANCE REVIEWS</b> Information used to establish employees' goals and primary tasks. Records used to evaluate each employee's work performance.  SEE ALSO: Personnel Records (Official Copy) (below).	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. 60A-168 G.S. 161E-257.2 G.S. 162A-6.1
4.27	<b>PERSONNEL ACTION NOTICES</b> 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) (below).	Subject to the public information provision delineated in relevant General Statutes.

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ITEM #	STANDARD 4: HUMAN RESOURCES RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
<b>4.28</b> 	<b>PERSONNEL RECORDS (OFFICIAL COPY)</b> Official copy of personnel file maintained on each permanent and temporary agency employee that is eligible for benefits. 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 (above), Seasonal and Contract Worker Records (below).	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 this 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. 160A-168 G.S. 161E-257.2 G.S. 162A-6.1
<b>4.29</b> 	<b>PERSONNEL RECORDS (SUPERVISOR COPY)</b> Personnel jacket that is often maintained by supervisors.	a) Transfer records as applicable to Personnel Records (Official Copy) (above).  b) Destroy in office remaining records when reference value ends. <sup>±</sup>  Agency Policy: Destroy in office after _____	Confidentiality: G.S. 115C Art. 21A G.S. 122C-158 G.S. 130A-45.9 G.S. 153A-98 G.S. 160A-168 G.S. 161E-257.2 G.S. 162A-6.1

4: HR

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page A-5.

± 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.

@ In some cases, more specific record retention and disposition requirements can be found in the relevant program schedule. See the appendix for pointers to such records series.

ITEM #	STANDARD 4: HUMAN RESOURCES RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.30	<b>POLICIES AND PROCEDURES (PERSONNEL)</b> Official internal agency personnel policies and procedures. Also includes agreements and authorizations required of employees, orientation materials, and informational data.  SEE ALSO: Civil Rights Records (STANDARD 6: LEGAL RECORDS), and Workers' Compensation Program Administration (below).	a) Retain in office internal agency personnel policies and procedures permanently.  b) Destroy in office remaining records when superseded or obsolete.	
4.31	 <b>POLYGRAPH RECORDS</b> 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. 160A-168 G.S. 161E-257.2 G.S. 162A-6.1  Retention: 29 CFR 801.30

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ITEM #	STANDARD 4: HUMAN RESOURCES RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.32	<b>POSITION CLASSIFICATION, CONTROL, AND HISTORY</b> 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 (below).	a) Retain in office records with historical value permanently. b) Destroy in office remaining records when superseded or obsolete.	
4.33	<b>POSITION DESCRIPTIONS</b> Includes information on job title, grade, duties, agency assigned, and responsibilities.	Destroy in office 2 years after superseded.	Retention: 29 CFR 1620.32
4.34	<b>POSITION EVALUATIONS</b> Forms used to evaluate the primary purpose of a position.	Destroy in office after 1 year.	
4.35	<b>RECRUITMENT RECORDS</b> 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)


4: HR

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ITEM #	STANDARD 4: HUMAN RESOURCES RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.36	<b>RETIREMENT RECORDS</b> Includes descriptive information about retirement systems along with plans and related records outlining the terms of employee pension and other deferred compensation plans, including 401(k).  SEE ALSO: Payroll and Earnings Records; Payroll Deduction Records (STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS).	a) Destroy in office descriptive information about retirement plans 1 year after plan is terminated. b) Destroy in office records concerning employer-sponsored retirement plans 7 years after payment.* c) Transfer Local Governmental Employees' Retirement System (LERS) forms to Department of State Treasurer. d) Transfer applicable records to Personnel Records (Official Copy) (above).	Retention: 29 CFR 1627.3(b)(2)
4.37	 <b>SEASONAL AND CONTRACT WORKER RECORDS</b> Records concerning seasonal or contractual employees who are not provided with or eligible for benefits.  SEE ALSO: Personnel Records (Official Copy) (above).	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. 160A-168 G.S. 161E-257.2 G.S. 162A-6.1
4.38	<b>SECONDARY EMPLOYMENT</b> Records concerning employees' requests and authorizations to accept employment with a private entity.  SEE ALSO: Dual Employment (above.)	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.	

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ITEM #	STANDARD 4: HUMAN RESOURCES RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.39	<b>SERVICE AWARDS AND COMMENDATIONS</b> 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) (above).	Destroy in office 2 years from date of record creation or the personnel action involved.	
4.40	<b>SUGGESTIONS AND SURVEYS</b> Recommendations and feedback submitted by agency employees.	Destroy in office after 1 year.	
4.41	<b>TRAINING AND EDUCATIONAL RECORDS</b> Records concerning the delivery of training to agency personnel. Includes training manuals, syllabi and course outlines, and other related records. Also includes employee-specific records (certificates, transcripts, test scores, etc.) relating to the training, testing, or continuing education of employees.  SEE ALSO: Conferences and Workshops (STANDARD 7: PUBLIC RELATIONS RECORDS), Educational Leave and Reimbursement (above). Other required trainings are handled in Asbestos Training (above), Bloodborne Pathogen Training (above), Hazardous Materials Training Records (above), Law Enforcement Training (above).	a) Transfer records as applicable to Personnel Records (Official Copy) (above), if such training and testing is required for the position held or could affect career advancement. b) Destroy in office certifications and other qualifications 5 years after expiration or employee separation. c) Destroy in office general training materials when superseded or obsolete. d) Destroy in office remaining employee-specific records after 1 year.	Retention: 29 CFR 1627.3(b)(1)(iv)

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ITEM #	STANDARD 4: HUMAN RESOURCES RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.42 	<b>UNEMPLOYMENT COMPENSATION CLAIMS</b> Claim forms and other related records concerning unemployment compensation cases.	Destroy in office after 5 years.*	Confidentiality: G.S. 115C Art. 21A G.S. 122C-158 G.S. 130A-45.9 G.S. 153A-98 G.S. 160A-168 G.S. 161E-257.2 G.S. 162A-6.1  Retention: 04 NCAC 24D .0501(a)
4.43	<b>UNEMPLOYMENT COMPENSATION REPORTS</b> 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 5 years.*	Retention: 04 NCAC 24D .0501(a)
4.44	<b>UNEMPLOYMENT INSURANCE</b> 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.	
4.45	<b>VERIFICATION OF EMPLOYMENT RECORDS</b> Inquiries and responses concerning verification of an employee's prior or current employment with the agency.	Destroy in office after 1 year.	
4.46	<b>VOLUNTEER RECORDS</b> Records concerning individuals who volunteer to assist with various agency activities.	Destroy in office 2 years after completion of assignment.	

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ITEM #	STANDARD 4: HUMAN RESOURCES RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.47	<b>WORK SCHEDULES AND ASSIGNMENTS</b> Records concerning work, duty, shift, crew, or case schedules, rosters, or assignments.	Destroy in office after 1 year.	
4.48	<b>WORKERS' COMPENSATION PROGRAM ADMINISTRATION</b> 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.	
4.49 	<b>WORKERS' COMPENSATION PROGRAM CLAIMS</b> 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)

4: HR

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**STANDARD 5: INFORMATION TECHNOLOGY (IT) RECORDS**


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

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

ITEM #	STANDARD 5: INFORMATION TECHNOLOGY RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
5.01 	<b>AUDITS: IT SYSTEMS</b> 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 1 year after superseded or obsolete fixity check documentation. b) Destroy in office remaining records after disposition of record.*	Confidentiality: G.S. 132-6.1(c)
5.02	<b>COMPUTER AND NETWORK USAGE RECORDS</b> 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.	
5.03	<b>DATA DOCUMENTATION RECORDS</b> 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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ITEM #	STANDARD 5: INFORMATION TECHNOLOGY RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
5.04	<b>DATA MIGRATION RECORDS</b> 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.	
5.05	<b>DATA WAREHOUSES</b> Federated data gathered by the agency from other sources for the purposes of comparison and distribution.  SEE ALSO: Collected Data (STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS).	Destroy in office when superseded or obsolete.	Maintain confidentiality consistent with any restrictions placed on the data provider.
5.06	<b>DIGITIZATION AND SCANNING RECORDS</b> Records concerning data entry and imaging operations. Includes quality control records.  See also <b>REQUEST FOR DISPOSAL OF ORIGINAL RECORDS DUPLICATED BY ELECTRONIC MEANS</b> , page A-21.	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>	
5.07	 <b>ELECTRONIC RECORDS POLICIES AND PROCEDURES</b> 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)

5: IT

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ITEM #	STANDARD 5: INFORMATION TECHNOLOGY RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
5.08	<b>INFORMATION TECHNOLOGY ASSISTANCE RECORDS</b> 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.	
5.09 	<b>NETWORK AND SYSTEM SECURITY RECORDS</b> Records documenting cybersecurity efforts. Includes records concerning firewalls, anti-virus programs, intruder scanning logs, and other related records.	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)
5.10 	<b>NETWORK DIAGRAMS</b> 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)

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ITEM #	STANDARD 5: INFORMATION TECHNOLOGY RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
5.11	<b>PROJECT DOCUMENTATION</b> 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 (STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS).	a) Retain in office permanently records with historical value. b) Destroy in office remaining records 3 years after completion of project.	
5.12	<b>SOFTWARE LICENSE AND COPYRIGHT PROVISIONS RECORDS</b> 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.	
5.13	<b>SYSTEM ACCESS RECORDS</b> Records documenting access requests and authorizations, system access logs, and other related records.	Destroy in office 1 year after superseded or obsolete.	
5.14	 <b>SYSTEM DOCUMENTATION RECORDS</b> 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)

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ITEM #	STANDARD 5: INFORMATION TECHNOLOGY RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
5.15	<b>SYSTEM MAINTENANCE RECORDS: HARDWARE REPAIR OR SERVICE</b> 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 (STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS).	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.	
5.16	<b>SYSTEM MAINTENANCE RECORDS: RECORDS BACKUPS</b> Records documenting regular or essential system backups. Includes backup tape inventories, relevant correspondence (including e-mail), and related documentation.  See also <a href="#">Security Backup Files as Public Records in North Carolina: Guidelines for the Recycling, Destruction, Erasure, and Re-use of Security Backup Files</a> , available on the State Archives of North Carolina website.	Destroy in office in accordance with your office's established, regular backup plan and procedures. <sup>±</sup>  Agency Policy: Destroy in office after _____	
5.17	<b>TECHNICAL PROGRAM DOCUMENTATION</b> 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.	

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ITEM #	STANDARD 5: INFORMATION TECHNOLOGY RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
5.18	<b>VOICE OVER INTERNET PROTOCOL (VoIP) RECORDS</b> 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.	
5.19	<b>WEB MANAGEMENT AND OPERATIONS RECORDS: STRUCTURE</b> 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) (STANDARD 7: PUBLIC RELATIONS RECORDS).	Destroy in office when superseded or obsolete.	

5. IT

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**STANDARD 6: LEGAL RECORDS**

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

ITEM #	STANDARD 6: LEGAL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.01	<b>AFFIDAVITS OF PUBLICATION</b> Proof of publication provided by newspapers regarding publication of ordinances, public hearings, bid solicitations, payment of bills, public sales, etc.  SEE ALSO: Public Bodies: Meeting Notices (STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS).	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
6.02	<b>ANNEXATION RECORDS</b> Records concerning annexation of property into the city. Includes petitions, reports, correspondence (including e-mail), maps, ordinances, and public hearings.	a) Destroy in office withdrawn petitions after 1 year. b) Retain remaining records in office permanently.  <i>Retention Note: Annexation maps and ordinances must be filed with the County Register of Deeds office and the office of the Secretary of State (G.S. 160A-29, G.S. 160A-58.61 and G.S. 160A-58.90). A map must also be filed with the county board of elections (G.S. 163-288.1).</i>	
6.03	<b>AUTHENTICATIONS</b> Certificates of authentication issued by the agency.	Retain in office permanently.	

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ITEM #	STANDARD 6: LEGAL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.04	<b>CIVIL RIGHTS CASE RECORDS</b> Records concerning discrimination complaints by employees or former employees and employee requests for reasonable accommodation. Includes equal opportunity (EO) complaints.  SEE ALSO: Constituent Comments, Complaints, Petitions, and Service Requests (STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS), Personnel Records (Official Copy) (STANDARD 4: HUMAN RESOURCES RECORDS).	a) Destroy in office requests for reasonable accommodation 2 years after they become obsolete.  b) Destroy in office discrimination complaints 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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ITEM #	STANDARD 6: LEGAL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.05	<b>CIVIL RIGHTS RECORDS</b> 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.  SEE ALSO: Civil Rights Case Records (above), Constituent Comments, Complaints, Petitions, and Service Requests (STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS), Policies and Procedures (Personnel) (STANDARD 4: HUMAN RESOURCES RECORDS).	Destroy in office 3 years after superseded or obsolete.	Authority: 29 CFR 1602.1 29 CFR 1602.7 29 CFR 1608.4  Retention: 29 CFR 1602.30 29 CFR 1602.32 34 CFR 104.6(c)(2)
6.06	<b>CONDEMNATION RECORDS</b> Settled and pending condemnation cases.  SEE ALSO: Accounts Payable (STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS) for disposition of financial records.	Retain in office permanently.	

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ITEM #	STANDARD 6: LEGAL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.07	<b>CONFLICT OF INTEREST AND CONFLICT OF COMMITMENT DISCLOSURE STATEMENTS</b> Completed by the elected agency officials as well as designated staff members in order to disclose an official's status or ownership interests.	Destroy in office 1 year after completion of term or separation.	
6.08	<b>CONTRACTS, LEASES, AND AGREEMENTS @</b> 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.  SEE ALSO: Software License and Copyright Provisions Records (STANDARD 5: INFORMATION TECHNOLOGY RECORDS).	a) Retain in office contracts and agreements with historical value permanently. b) Destroy in office sealed contract records 10 years after expiration of contract.* c) Destroy in office all records related to capital improvement contracts and business associate agreements 6 years after completion, termination, or expiration.* 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.* e) Destroy in office all other contracts and agreements 3 years after completion, termination, or expiration.*	Retention: G.S. 1-47(2) G.S. 1-50(a)(5) 45 CFR 164.316 G.S. 1-52
6.09	<b>DECLARATORY RULINGS</b> Records concerning declaratory rulings issued by the agency to interpret statutes or rules as applied to a specified set of facts.	Retain in office permanently.	

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page A-5.

± 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.

@ In some cases, more specific record retention and disposition requirements can be found in the relevant program schedule. See the appendix for pointers to such records series.



ITEM #	STANDARD 6: LEGAL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.10	<b>DELEGATION OF AUTHORITY RECORDS</b> Records documenting delegations of power to authorize agency business. Includes signature authorities and powers of attorney.	Destroy in office 1 year after superseded or obsolete.	
6.11	<b>EASEMENTS AND RIGHT-OF-WAY AGREEMENTS</b> Granted to the agency.  SEE ALSO: Accounts Payable (STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS) for disposition of financial records; LOCAL PROGRAM SCHEDULE, Excavation Permits and Right-of-Way Acquisition Working Records (STANDARD 19: STREET MAINTENANCE, PUBLIC WORKS, AND ENGINEERING RECORDS).	Destroy in office 10 years after expiration of agreement.	
6.12	<b>ENCROACHMENTS</b> 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 residents to encroach upon agency property.	
6.13	<b>EXPUNCTIONS</b> Expunction orders received by local agencies.	Destroy in office when record is expunged.	

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ITEM #	STANDARD 6: LEGAL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.14	<b>INVESTIGATION AND HEARING RECORDS</b> Records concerning complaints, fraud allegations, contestments, grievances, and inquiries against individuals and other entities. Includes summaries, charges, reports, assessments and findings, hearing transcripts and evidence, decisions and sanctions, referrals, correspondence, and other related records.	Destroy in office 3 years after completion.*	
6.15	<b>LAND OWNERSHIP RECORDS</b> Includes deeds and titles.	Destroy in office 1 year after agency relinquishes ownership of land.*	
6.16	 <b>LEGAL CORRESPONDENCE</b> 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 <b>ELECTRONIC RECORDS</b> , page A-11.	Confidentiality: G.S. 132-1.1(a)
6.17	<b>LEGAL OPINIONS</b> Formal legal opinions written by counsel in response to requests concerning the governance and administration of the agency.	Retain in office permanently.	
6.18	 <b>LEGAL REVIEW RECORDS</b> 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 (above).	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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@ In some cases, more specific record retention and disposition requirements can be found in the relevant program schedule. See the appendix for pointers to such records series.

ITEM #	STANDARD 6: LEGAL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.19 	<b>LITIGATION CASE RECORDS</b> 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
6.20	<b>OATHS OF OFFICE</b>  SEE ALSO: Public Bodies: Member Files (STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS).	Transfer official copy of oath of office to the municipal clerk or the county clerk to the board of commissioners or the clerk of the governing board for permanent retention.  <i>Retention Note: The Clerk should present a copy of the oaths of elected officials to the Clerk of Superior Court for recording.</i>	Authority: G.S. 105-349 G.S. 153A-26 G.S. 160A-61 G.S. 160A-68 G.S. 160A-284  Retention: G.S. 7A-103(2)
6.21	<b>PERMISSIONS</b> 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.	

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page A-5.

± 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.

@ In some cases, more specific record retention and disposition requirements can be found in the relevant program schedule. See the appendix for pointers to such records series.

ITEM #	STANDARD 6: LEGAL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.22	<b>PRE-TRIAL RELEASE PROGRAM RECORDS</b> 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.	
6.23	<b>RELEASE FORMS</b> 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.	
6.24	<b>SETTLEMENTS</b> Records concerning pre-litigation or informal settlements.	Destroy in office 10 years after expiration.	Authority: G.S. 132-1.3
6.25	<b>VEHICLE TITLES</b> 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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**STANDARD 7: PUBLIC RELATIONS RECORDS**

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

ITEM #	STANDARD 7: PUBLIC RELATIONS RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
7.01	<b>AGENCY PUBLICATIONS</b> 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 _____	
7.02	<b>AUDIO-VISUAL RECORDINGS @</b> Recordings (including digital) and films produced by or for the agency. This does not include recordings of public meetings or security videos.  SEE ALSO: Public Bodies: Audio and Video Recordings of Meetings (STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS), Office and Property Security Records (STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS).	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 _____	
7.03	<b>COMMUNITY AWARDS @</b> 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 _____	

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page A-5.

± 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.

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ITEM #	STANDARD 7: PUBLIC RELATIONS RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
7.04	<b>CONFERENCES AND WORKSHOPS @</b> 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 (STANDARD 4: HUMAN RESOURCES RECORDS).	a) Retain in office records with historical value permanently. b) Destroy in office remaining records when superseded or obsolete.	
7.05	<b>EDUCATIONAL MATERIALS</b> Materials produced for usage by teachers or tour groups. Includes lesson plans, activities, and other related records.	Destroy in office when superseded or obsolete.	
7.06	<b>FUND DRIVE AND EVENT RECORDS</b> 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 (STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS).	a) Retain in office records with historical value permanently. b) Destroy in office remaining records when superseded or obsolete.	

7: PR

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page A-5.

± 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.

@ In some cases, more specific record retention and disposition requirements can be found in the relevant program schedule. See the appendix for pointers to such records series.

ITEM #	STANDARD 7: PUBLIC RELATIONS RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
7.07	<b>INVITATIONS</b> Invitations sent and received concerning agency and external functions.	Destroy in office after event occurs.	
7.08	<b>MEDIA FILE</b> 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 _____	
7.09	<b>POPULAR ANNUAL FINANCE REPORT</b> Comprehensive annual financial report (CAFR)	a) Retain records with historical value permanently. b) Destroy in office remaining records when superseded or obsolete.	
7.10	<b>PUBLIC HEARINGS</b> Includes agendas, minutes, notices, speaker sign-up sheets, and similar documentation.  SEE ALSO: Public Bodies: Minutes (STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS).	a) Retain in office minutes permanently. b) Destroy in office remaining records after 1 year.	

7: PR

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@ In some cases, more specific record retention and disposition requirements can be found in the relevant program schedule. See the appendix for pointers to such records series.



ITEM #	STANDARD 7: PUBLIC RELATIONS RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
7.11	<b>PUBLIC RECORDS REQUESTS</b> 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 of response; the documents that are responsive to public records requests should be handled according to their respective disposition instructions. However, if the agency also retains separate copies of the documents that are responsive to public records requests, they may also be destroyed 2 years after completion of the request.</i>	
7.12	<b>PUBLICITY RECORDS @</b> 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.*	
7.13	<b>SOCIAL MEDIA</b>  SEE ALSO: Website (Electronic) (below).	See <b>APPENDIX</b> (page A-12) for guidance in handling social media.	
7.14	<b>SPEECHES</b> 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 _____	

7: PR

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ITEM #	STANDARD 7: PUBLIC RELATIONS RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
7.15	<b>WEBSITE (ELECTRONIC)</b> 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 (STANDARD 5: INFORMATION TECHNOLOGY RECORDS).	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.	

7: PR

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page A-5.

± 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.

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**STANDARD 8: RISK MANAGEMENT RECORDS**

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


ITEM #	STANDARD 8: RISK MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
8.01	<b>ACCIDENT/INCIDENT REPORTS (CUSTOMER AND EMPLOYEE)</b>  SEE ALSO: Workers' Compensation Program Claims (STANDARD 4: HUMAN RESOURCES RECORDS).	a) Transfer records resulting in workers' compensation to Workers' Compensation Program Claims (STANDARD 4: HUMAN RESOURCES RECORDS). 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.	
8.02	<b>DECLARATIONS AND TERMINATIONS OF STATES OF EMERGENCY</b>	Retain in office permanently.	Authority: G.S. 166A-19.22

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ITEM #	STANDARD 8: RISK MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
8.03 	<b>DISASTER AND EMERGENCY MANAGEMENT PLANS</b> @ 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
8.04	<b>DISASTER RECOVERY</b> Administrative records documenting and recovery efforts for emergencies of a short duration as well as disasters inflicting widespread destruction and having long-term consequences for the agency. Includes documents coordinating activities with federal, state, and local emergency management, incident reports, inventories, and disaster relief allocations.	a) Retain in office permanently records documenting major agency disaster recovery efforts and records evaluating emergency response and efficacy. b) Destroy in office after 3 years records concerning minor or routine agency recovery operations that are managed with minimal disruption to normal operations.	
8.05	<b>EMERGENCY DRILLS AND EQUIPMENT RECORDS</b> 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.	
8.06	<b>EMERGENCY NOTIFICATIONS</b> Notifications and alerts sent to residents by Emergency Management or other agency staff regarding a current emergency.	Destroy in office after 1 year.	

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ITEM #	STANDARD 8: RISK MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
8.07	<b>EMPLOYEE SECURITY RECORDS</b> Records concerning the issuance of keys, identification cards, parking assignments, passes, etc., to employees.  SEE ALSO: Office and Property Security Records (STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS).	Destroy in office when superseded or obsolete.	
8.08	<b>FIRE, HEALTH, AND ENVIRONMENTAL SAFETY RECORDS</b> Records concerning agency safety measures. Includes reports, logs, and other related records documenting inspections of agency facilities.	a) Destroy in office inspection reports after 7 years. b) Destroy in office safety audits after 3 years. c) Destroy in office remaining records when superseded or obsolete.	
8.09	<b>FIXED NUCLEAR FACILITIES PLANS FILE</b> Records concerning emergency plans for county fixed nuclear facilities.	Destroy in office when superseded or obsolete.	
8.10	<b>FUEL OIL STORAGE TANK RECORDS</b>	Destroy in office closure records 3 years after completion of permanent closure.	Authority: 40 CFR 280.34  Retention: 40 CFR 280.74

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ITEM #	STANDARD 8: RISK MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
8.11	<p><b>HAZARDOUS MATERIALS MANAGEMENT</b></p> <p>Records documenting agency efforts to prevent and mitigate exposure to hazardous materials. Includes risk assessments, management plans, and abatement/removal records.</p> <p>SEE ALSO: Safety Data Sheets (below).</p> <p><i>Note: Title 10A of the NC Administrative Code provides guidelines about the records requirements for persons who receive, possess, use, transfer, own or acquire any sources of radiation within the State of North Carolina.</i></p>	<p>a) Retain in office permanently records documenting hazardous waste disposal sites on agency property and documenting the use of pathogens and biological toxins (select agents) at the agency.</p> <p>b) Destroy in office asbestos records 1 year after building is demolished. (<i>Note: If building is sold, transfer records to new owner.</i>)</p> <p>c) Destroy in office after 5 years records concerning the receipt, maintenance, and disposal of radioactive materials.</p> <p>d) Destroy in office 3 years after superseded or obsolete records concerning hazard mitigation plans.</p> <p>e) Destroy in office records documenting environmental and hazardous waste remediation projects 5 years after project completion.</p> <p>f) Destroy in office remaining records after 30 years.</p>	<p>Retention: 29 CFR 1910.1001(j)(3)(ii)</p>

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ITEM #	STANDARD 8: RISK MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
8.12	<b>INSURANCE POLICIES</b> 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.	
8.13	<b>LOSS CONTROL INSPECTION REPORTS</b> Self-inspections to identify potential liabilities or hazards that may exist in agency owned buildings or property.	Destroy in office when superseded or obsolete.	
8.14	<b>LOST, STOLEN, OR DAMAGED PROPERTY REPORTS</b> Includes 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.*	
8.15	<b>NATIONAL FLOOD INSURANCE PROGRAM RECORDS</b> Records concerning the participation of a local government agency in FEMA's National Flood Insurance Program (NFIP). Includes floodplain management ordinances, maps, and other related records.	a) Retain in office permanently floodplain management ordinances. b) Destroy in office copies of flood insurance rate maps, elevation certificates, and elevation information when superseded or obsolete.	

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ITEM #	STANDARD 8: RISK MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
8.16	<b>OCCUPATIONAL SAFETY AND HEALTH ADMINISTRATION (OSHA)</b> 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
8.17	<b>SAFETY DATA SHEETS</b> 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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**STANDARD 9: WORKFORCE DEVELOPMENT RECORDS**

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

ITEM #	STANDARD 9: WORKFORCE DEVELOPMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
9.01	<b>AUDIT/AUDIT RESOLUTIONS</b> Records concerning reports from financial and compliance audits conducted on Workforce Investment Act 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
9.02	<b>LOCAL AREA JOB TRAINING PLAN RECORDS</b> 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
9.03	<b>PARTICIPANT RECORDS</b> Records concerning applicants, registrants, eligible applicants/registrants, participants, terminees, and employees who submit requests for services of the Dislocated Workers Program and Workforce Investment Act programs. Includes applications, client history, Employability Development Plans, program referral, monitoring notes, pay authorizations, release forms, and Workforce Investment Act follow-up questionnaires.	Destroy in office 3 years after close of audit/final year expenditure.*	Authority: 20 CFR 652.8

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## MANAGING PUBLIC RECORDS IN NORTH CAROLINA

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

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

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

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### ***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. The Request for Change in Records Schedule form (see page A-19) can be used for such requests.
- 

### ***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. N.C. Gen. Stat. § 132-6 instructs:

“Every custodian of public records shall permit any record in the custodian’s custody to be inspected and examined at ± 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.”

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

- A.** Not all government records are open to public inspection. Exceptions to the access requirements in N.C. Gen. Stat. § 132-6 and the definition of public records in N.C. Gen. Stat. § 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. Gen. Stat. § 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. Though adoptions are confidential (not available for public inspection), they document 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/government/digital-records/digital-records-policies-and-guidelines/human-readable-preservation>) 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 constituents. Two criteria for determining historical value are inherent interest and extraordinary documentation:
- Inherent interest is created by non-routine events, by the involvement of famous parties, and by compelling contexts. For instance, foreclosure proceedings from the 1930s have high historical value because they date from the era of the Great Depression.
  - Extraordinary documentation is found in records that shed light on political, public, or social history. For instance, the records from the replevin case that returned the Bill of Rights to North Carolina hold more historical value than most property case files because of the political history intertwined with this case.

SANC has further elaborated selection criteria that help distinguish records with historical value:

- Do they protect the rights and property of residents and organizations?
- Do they have a long-term impact on residents and organizations?
- Do they document the core functions of an agency?
- Do they document high-level decision-making that shapes an agency's policies or initiatives?
- Do they summarize an agency's activities?

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. I have a lot of unsorted records. What's a good first step for getting a handle on these records?**

- A.** We encourage you to create a file plan of what records you have. When you create this plan, you can match each record to its placement on this schedule or on the appropriate retention schedule. A sample file plan is available on page A-22. Having a file plan can help you strategize how to best organize your physical or digital records. A file plan is also useful in disaster planning and scheduling destructions.



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***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.

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***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.

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***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.

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

- A.** If you are located west of Statesville, call our Western Office in Asheville at (828) 250-3103. 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

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***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 (STANDARD 1: ADMINISTRATIVE AND MANAGEMENT RECORDS) and Audits: Financial (STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS).) Should a dispute arise over an audit, the records that were audited should be retained until that dispute is resolved.

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

## TRANSITORY RECORDS

Transitory records are defined as “record[s] that [have] little or no documentary or evidential value and that need not be set aside for future use.”<sup>3</sup>

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

The Department of Natural and Cultural Resources recognizes that some records may have little or no long-term documentary or evidential value to the creating agency. These records are often called “transitory records.” The following questions and answers discuss types of transitory records commonly created in state government. They may be disposed of according to the guidance below. However, all public employees should be familiar with the *General Records Schedule: Local Government Agencies*, 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 Records Schedule: Local Government Agencies* 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

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<sup>3</sup> Society of American Archivists, *Dictionary of Archives Terminology*.



- 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
- 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/government/digital-records/digital-records-policies-and-guidelines#digital-signatures>

## DESTRUCTION OF PUBLIC RECORDS

---

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

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

---

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

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

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

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

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

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

---

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

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

If the records do not have historical value, we will ask you to complete a Request for Disposal of Unscheduled Records (page A-20) if the records are no longer being created. If the records are an active records series, an analyst will help you develop an amendment to this schedule so that you can destroy the records appropriately from this point forward.

---

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

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





919-814-6900

## Destructions Log

County/Municipality				
Division		Section		Branch
Location(s) of Records				

[illegible]

**DIVISION OF ARCHIVES AND RECORDS — GOVERNMENT RECORDS SECTION**  
<http://archives.ncdcr.gov>  
 Telephone (919) 814-6900  
 Facsimile (919) 715-3627  
 State Courier 51-81-20

**MAILING ADDRESS:**  
 4615 Mail Service Center  
 Raleigh, N.C. 27699-4615

**LOCATION:**  
 215 N. Blount Street  
 Raleigh, N.C. 27601-2823

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

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

- A. E-mail is a public record as defined by N.C. Gen. Stat. § 121-5 and § 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](#)) 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.

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

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

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### ***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. N.C. Gen. Stat. § 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.



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***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](#) (N.C. Gen. Stat. § 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.

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***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, including text messages and social media?***

- 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 3 years (see Leave Records, STANDARD 4: HUMAN RESOURCES RECORDS).



## GEOSPATIAL RECORDS

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***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.

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***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

For more information, see **STANDARD 3: GEOGRAPHIC INFORMATION SYSTEM (GIS) RECORDS**.

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***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.

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***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 <https://it.nc.gov/about/boards-commissions/gicc>.

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**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.

## SECURITY PRESERVATION COPIES OF RECORDS

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***Q. What is the advantage to having security preservation copies of records stored with the State Archives?***

- A.** Having duplicate copies of essential records in a separate location mitigates the risk that you may lose the only physical copy of a given record in a disaster or other records loss event. Maintaining offsite duplicates of records, regardless of format, is a good practice to adopt.

The State Archives creates duplicate copies on microfilm because of the durability of the medium. Silver negative microfilm does not decay for hundreds of years, ensuring that your records maintain their integrity over time.

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***Q. What records will the State Archives back up for us?***

- A.** The State Archives provides security imaging services for minutes of major decision-making boards and commissions. We will also image records of adoptions for Social Services agencies as well as maps and plats from Registers of Deeds offices. Once those records are imaged, they are converted to security microfilm. We will store the silver negative (original) microfilm in our security vault. Contact the Records Management Analyst in charge of imaging coordination for the most current information.
- 

***Q. How do I start the process of backing up the above listed records?***

- A.** We have three processes for creating backup film copies of these records. 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 Records for Security Preservation Copy** form (available online at the [State Archives of North Carolina website](#)) with each shipment. For more detailed instructions, contact a Records Management Analyst.

Secondly, 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. Contact the Records Management Analyst in charge of imaging coordination to schedule an appointment for your books to be imaged. We will make every effort to expedite the filming so that your books will be returned to you as quickly as possible.

Finally, you can submit these records to the State Archives electronically. Please see our procedures in ["Transfer of Minutes in Digital Formats for Microfilming"](#) or contact the Records Management Analyst in charge of imaging coordination for more information.

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***Q. In the event of a records loss, how do I obtain copies of the security preservation copies stored at the State Archives?***

- A.** Contact the Records Management Analyst in charge of imaging coordination who will help you 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.



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***Q. Can I obtain digital copies of the security preservation records?***

- A.** Yes, you can request digital copies of records when you submit them to the State Archives for initial reproduction. Contact the Records Management Analyst in charge of imaging coordination to initiate a request for digital duplicates.

## DISASTER ASSISTANCE

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### ***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) 250-3103. 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.

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### ***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

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***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
- Disaster preparedness and recovery
- Confidentiality
- Organizing paper and digital files
- Digital communications

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***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. To arrange a workshop, please call the State Records Center at 919-814-6900 or contact a Records Management Analyst (<https://archives.ncdcr.gov/government/local/analysts>).

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

**A.** Not at this time.

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

**A.** We can offer a virtual workshop for your agency upon request. For descriptions of available webinars, see <https://archives.ncdcr.gov/government/training/webinars>. You can also find several online tutorials available on the State Archives of North Carolina website (<https://archives.ncdcr.gov/government/training/online-tutorials-and-resources>).





## Request for Change in Local Government Records Schedule

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

### AGENCY INFORMATION

Requestor name

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

Phone and email

Mailing Address

### CHANGE REQUESTED

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

- ☐ Add a new item  
☐ Delete an existing item  
☐ Change a retention period

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

Title of Records Series in Schedule or Proposed Title:

Inclusive Dates of Records:

Proposed Retention Period:

Description of Records:

Justification for Change:

Requested by:

Signature

Title

Date

Approved by:

Signature

Requestor's Supervisor

Date



## Request for Disposal of Unscheduled Records

### AGENCY INFORMATION

Requestor name

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

Phone and email

Mailing Address

In accordance with the provisions of N.C. Gen. Stat. § 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

Concurred by:

Signature

Assistant Records Administrator  
State Archives of North Carolina

Date





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

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

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

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

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

Requested by: \_\_\_\_\_  
Signature Title Date

Approved by: \_\_\_\_\_  
Signature Requestor's Supervisor Date

Concurred by: \_\_\_\_\_  
Signature Assistant Records Administrator  
State Archives of North Carolina Date





919-814-6900

## File Plan

[illegible]

### Related Records Series Found in Local Agency Program Schedules

In some limited cases, records series with similar names and/or functions that are created and maintained by local government entities have not been superseded by the *General Records Schedule: Local Government Agencies*. These records series are described as unique records series in one of the local program retention schedules issued separately by DNCR for use by specific local agencies. This duplication occurs when records with similar names and/or functions have different retention guidance due to statutory, legal, evidentiary, or fiscal requirements. An example of this is the accounts receivable records series. In the *General Records Schedule*, the Accounts Receivable records series has a disposition instruction of "Destroy in office 3 years after collection." In the *Local Health Departments Schedule*, the Accounts Receivable: Clinical Services records series also includes the disposition instruction, "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." In both cases, the records series documents the money received by the local agency, however, the retention requirements for the Accounts Receivable: Clinical Services differ due to specific retention requirements concerning the management and dispersal of grant funds.

The purpose of this table is to provide a source for determining if the general records series item listed in the *General Records Schedule: Local Government Agencies* covers the function and/or retention requirements associated with the records created by your agency or if a specific program schedule applies. This table provides pointers to the relevant records series that can be found in one or more of the local agency program schedules.

Here's how to use the table:

- The records series found in the left-most column are listed and described in the *General Records Schedule: Local Government Agencies* and appear in this schedule with a @ beside them.

#### 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. Also includes records concerning accounts sent to NC Debt Setoff Program for collection.

- The middle column lists similar records series from one or more of the schedules that have been issued separately for use by specific local agencies.
- The right-hand column lists the local agency program schedule that includes the records series listed in the middle column. The agencies represented in the right column include, but are not limited to, local health departments, Registers of Deeds, Sheriff's offices, local social services agencies, and tax offices.

If you need further information, please contact a Records Management Analyst.

Local General Schedule Records Series	Related Records Series	Local Program Schedule
Accounts Receivable	Accounts Receivable: Clinical Services	Local Health Departments Schedule

## 2021 GENERAL RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES



Local General Schedule Records Series	Related Records Series	Local Program Schedule
Accounts Receivable (cont.)	Accounts Receivable – Client Services	LME Schedule LME-MCO Schedule
Administrative Directives, Regulations, and Rules	State Board of Elections Numbered Memos	County Board of Elections Schedule
Audits: Financial	Clinical Record Audits	Local Health Departments Schedule
	Clinical Record Audits	LME Schedule
	Clinical Record Audits	LME-MCO Schedule
Audits: Performance	Pharmacy Audit Records	Local Health Departments Schedule
Blueprints and Specifications	Blueprints and Specifications	Local Government Agencies Program Schedule
	Project Records – Core	
Community Awards	Student Awards and Honors Records	Local Public School Unit Schedule
Conferences and Workshops	Health Promotion Training Records	Local Health Departments Schedule
Constituent Comments, Complaints, Petitions, and Service Requests	Animal Complaint Records	Local Government Agencies Program Schedule
	Illegal Dumping File	
	Violations: Building and Housing	
	Violations: Solid Waste Management	
	Complaints (Law Enforcement)	
	Complaints	County Sheriff's Office
	Complaints: All Service Areas	County Social Services Agencies Schedule
	Animal Complaints	Local Health Departments Schedule
	Complaints File	LME Schedule
	Complaints File	LME-MCO Schedule
Contracts, Leases, and Agreements	School Health Provider Contracts	Local Health Departments Schedule
	Petroleum Leases Register	Register of Deeds Schedule
Disaster and Emergency Management Plans	Public Health Emergency Preparedness and Response Records	Local Health Departments Schedule
Equipment and Vehicle Maintenance, Repair, and Inspection Records	Equipment and Instrument Maintenance and Repair File	Local Health Departments Schedule
	Autopsy and Surgical Pathology: Instrument Maintenance Records	Public Hospitals Schedule
	Clinical Laboratory Records: Instrument Maintenance Records	
	Cytology Records: Instrument Maintenance Records File	
	Instrument Maintenance File	



## 2021 GENERAL RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES



Local General Schedule Records Series	Related Records Series	Local Program Schedule
Grants Grants: Financial	CDBG Records CDBG Outstanding Loan Balances CDBG Subject to Reversion of Assets Provisions or Change of Use of Real Property Continuum of Care Records Emergency Solutions Grants Records Home Investment Partnerships Program Records Housing Assistance for Persons with Disabilities Housing Opportunities for Persons with AIDS Records	Local Government Agencies Program Schedule
Indices	Board of Adjustment Case Files and Indexes	Local Government Agencies Program Schedule
	Conditional Use Permit Records and Index	
	Rezoning Records and Indexes	
	Master Client Identification File (Master Client Index)	LME Schedule LME-MCO Schedule
	Master Patient Index	Public Hospital Schedule
	Armed Forces Discharges and Index	Register of Deeds Schedule
	Chattel Mortgages and Index	
	Corporations (Incorporations) Records and Index	
	Deeds, Record of and Index	
	Deeds of Trust (Mortgages), Record of and Index	
Inventories	Highway Right-of-Way Maps and Index	
	Land Sold for Taxes and Index	
	Merchant Returns and Index	
	Mineral Rights Records and Index	
	Notaries Public Records and Index	
	Official Record Book and Index	
	Partnerships and Assumed Names Records and Index	
	Plats, Maps, and Index	
	Registration of Titles (Torrens Act) and Index	
	Surveys, Record of and Index	
Inventories	Timber Marks and Index	
	Vital Records: Births and Index	
	Vital Records: Deaths and Index	
Inventories	Drug Inventories	Local Health Departments Schedule

# 2021 GENERAL RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES



Local General Schedule Records Series	Related Records Series	Local Program Schedule
Inventories (cont.)	Drugs Inventories	Public Hospitals Schedule
Maps: All Other	Utilities: Maps (Utility Installations & Distributions)	Local Government Agencies Program Schedule
	Plats, Maps, and Index	Register of Deeds Schedule
	Maps (Utility Installations and Distributions)	Water and Sewer Authorities and Sanitary Districts Schedule
Policies and Procedures	Clinical Policies and Procedures Laboratory Procedures Manual Behavioral Health Program Policy and Procedure Records	Local Health Departments Schedule
	Laboratory Procedures/Protocol File	Public Hospitals Schedule
Poll List/Registration List/Roster/Authorization to Vote (ATV)	Poll List/Registration List/Roster/Authorization to Vote (ATV)	County Board of Elections Schedule
Projects	Appraisal Project File	Local Government Agencies Program Schedule
	Project Records – Cancelled	
	Project Records – Core	
	Project Records – Engineering & Compliance	
	State Board of Elections Correspondence and Reports	County Board of Elections Schedule
	Water and Wastewater System Project Records	Waste and Sewer Authorities and Sanitary Districts Schedule
Publicity Records	Student Publicity Records	Local Public School Unit Schedule
Rate and Fee Schedules	Fee Schedules	Local Health Departments Schedule
	Fee Schedules	LME Schedule
	Fee Schedules	LME-MCO Schedule
Recordings: Customer Call Center Recordings Audio-Visual Recordings	Traffic Video Recordings and Data Law Enforcement Audio and Video Recordings Communication Records Electronic Recordings of Interrogations	Local Government Agencies Program Schedule
	Audio and Video Recordings Communication Records Electronic Recordings of Interrogations (Juvenile and Homicide)	County Sheriff's Office

2021 GENERAL RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES



Local General Schedule Records Series	Related Records Series	Local Program Schedule
Reports and Studies	Land Development and Planning Studies and Reports Ambulance Call Reports/Patient Care Reports North Carolina Fire Incident Report Pool Records Environmental: Customer Usage Records Environmental: Discharge Monitoring Reports Environmental: Landfill Monitoring Reports Environmental: Reports Submitted to U.S. Environmental Protection Agency Utilities: Daily Water and Wastewater Facility Operators Logs Utilities: Service Interruption Records Utilities: Wastewater Maintenance Operation Reports Water Quality: Pretreatment Program Records Water Quality: Public Water Sanitary Survey Records Appraisal Reports Traffic Analysis Project Records – Core Project Records – Engineering & Compliance Alarm Call Reports Arrest Reports Chemical Analysis Records Crime Analysis Records Detention Facility Incident Reports Detention Facility Physical Force Records Incident Response Reports Inmate Death Reports Laboratory Case Records Multiple Firearms Sales Reports Multiple Firearms Sales Reports Destruction Records Traffic Accident Reports	Local Government Agencies Program Schedule
(continued on following page)		



## 2021 GENERAL RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES



Local General Schedule Records Series	Related Records Series	Local Program Schedule
Reports and Studies (cont.)	Daily Store Reports	Alcoholic Beverage Control Boards Schedule
	Monthly Law Enforcement Activity Reports	
	Monthly Operating Report to Board	
	Receiving Report	
	Sales Reports	
	Stock Difference Reports	
	Weekly Warehouse Reports	
	Campaign Contribution and Expenditure Reports	County Board of Elections Schedule
	Ballot Reports	
	State Board of Elections Correspondence and Reports	
	Voter Registration Lists and Reports	County Sheriff's Office
	Alarm Call Reports	
	Arrest Reports	
	Detention Facility Incident Reports	
	DWI Reports	
	Incident Response Reports	
	Inmate Death Reports	
	Traffic Accident Reports	
	Program Time and Activity Reports	Local Health Departments Schedule
	Medicare Disbursement Reports	
	Communicable Disease Reports	
	Test Reports	
	Adverse Drug Reaction Reports	
	Intravenous Hood Performance Reports	LME Schedule LME-MCO Schedule
	Medication Storage Inspection Reports	
	Admission/Discharge/Transfer Reports	Public Hospitals Schedule
	Communicable Disease Reports	
	Call-In Reports	
	Adverse Drug Reaction Reports	
	Intravenous Hood Performance Reports	
	Medication Storage Inspection Reports	

(continued on following page)

2021 GENERAL RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES



Local General Schedule Records Series	Related Records Series	Local Program Schedule
Reports and Studies (cont.)	Certified Facility Operators Logs and Reports Discharge Monitoring Reports Periodic Inspection Reports of Industrial Facilities Wastewater Maintenance Operation Reports	Waste and Sewer Authorities and Sanitary Districts Schedule
Strategic Plan	Land Development and Planning Studies and Reports Parks Planning File Comprehensive Plan and Amendments Environmental: Comprehensive Solid Waste Management Plan and Amendments Planning File (Street Maintenance)	Local Government Agencies Program Schedule

## 1

1099 FORMS. *SEE* TAX FORMS

## A

ABOLISHED POSITIONS, 43  
ABSTRACTS OF MUNICIPAL ELECTIONS, 1  
ACCIDENT/INCIDENT REPORTS (CUSTOMER AND EMPLOYEE), 80  
ACCOUNTS PAYABLE, 23  
ACCOUNTS RECEIVABLE, 23  
ACCOUNTS UNCOLLECTABLE, 24  
ACCREDITATION RECORDS, 1  
ADDRESS POINTS, 38  
ADMINISTRATION AND MANAGEMENT RECORDS, 1  
ADMINISTRATIVE DIRECTIVES, REGULATIONS, AND RULES, 1  
ADMINISTRATIVE INVESTIGATIONS, 43  
AFFIDAVITS OF PUBLICATION, 67  
AGENCY PUBLICATIONS, 75  
AMBULANCE SERVICE BILLS AND RECORDS FOR EMERGENCY MEDICAL SERVICE. *SEE* ACCOUNTS PAYABLE  
ANNEXATION FILE, 67  
ANNUAL BUDGET, 24  
APPLICATIONS FOR EMPLOYMENT, 44  
APPRENTICESHIP PROGRAM RECORDS, 44  
APTITUDE AND SKILLS TESTING RECORDS, 45  
ARBITRAGE RECORDS, 24  
ASBESTOS MANAGEMENT PLAN. *SEE* HAZARDOUS MATERIALS MANAGEMENT  
ASBESTOS TRAINING, 45  
AUDIO-VISUAL RECORDINGS, 75  
AUDITS  
    FINANCIAL, 24  
    IT SYSTEMS, 61  
    PERFORMANCE, 2  
AUTHENTICATIONS, 67  
AUTHORIZATION FORMS, 24

## B

BANK STATEMENTS, 25  
BANK STATEMENTS AND RECONCILIATIONS, 25  
BENEFITS RECORDS, 46  
BENEFITS REIMBURSEMENT PLAN. *SEE* BENEFITS RECORDS  
BIDS FOR DISPOSAL OF PROPERTY, 25  
BIDS FOR PURCHASE, 25  
BIOGRAPHICAL DATA. *SEE* HISTORY RECORDS

## INDEX

BLOODBORNE PATHOGEN TRAINING, 46  
BLUEPRINTS AND SPECIFICATIONS, 2  
BOND CLOSING RECORDS, 25  
BOND REGISTER, 26  
BONDS, 3  
BONDS, NOTES, AND COUPONS, 26  
BUDGET ADMINISTRATION RECORDS, 26  
BUDGET EXECUTION RECORDS, 26  
BUDGET REPORTS, 26  
BUDGET REQUESTS AND WORKING PAPERS, 26  
BUDGET RESOLUTIONS AND ORDINANCES, 27  
BUDGET, FISCAL, AND PAYROLL RECORDS, 23  
BULLETINS, 3  
BUSINESS CERTIFICATION RECORDS, 3  
BUSINESS DEVELOPMENT SUBJECT FILE, 3

## C

CALENDARS OF EVENTS AND APPOINTMENTS, 3  
CALL CENTER RECORDINGS. *SEE* CUSTOMER CALL CENTER RECORDINGS  
CANCELED CHECKS. *SEE* BANK STATEMENTS AND RECONCILIATIONS  
CASH REPORTS. *SEE* ACCOUNTS RECEIVABLE  
CENSUS PROJECT RECORDS, 3  
CHARTER RECORDS, 4  
CHECK REGISTERS. *SEE* BANK STATEMENTS AND RECONCILIATIONS  
CHECK STUBS. *SEE* BANK STATEMENTS AND RECONCILIATIONS  
CITIZEN COMPLAINTS. *SEE* CONSTITUENT COMMENTS, COMPLAINTS, PETITIONS, AND SERVICE REQUESTS  
CIVIL RIGHTS CASE RECORDS, 68  
CIVIL RIGHTS RECORDS, 69  
COLLECTED DATA, 4  
COMMUNITY AWARDS, 75  
COMPLAINTS (CONSTITUENTS). *SEE* CONSTITUENT COMMENTS, COMPLAINTS, PETITIONS, AND SERVICE REQUESTS  
COMPUTER AND NETWORK USAGE RECORDS, 61  
CONDEMNATION RECORDS, 69  
CONFERENCES AND WORKSHOPS, 76  
CONFLICTS OF COMMITMENT, 70  
CONFLICTS OF INTEREST, 70  
CONSTITUENT COMMENTS, COMPLAINTS, PETITIONS, AND SERVICE REQUESTS, 5  
CONSTITUENT SURVEYS, 5  
CONTRACT BUDGET REPORTS, 26  
CONTRACT WORKER RECORDS, 57  
CONTRACTS, LEASES, AND AGREEMENTS, 70



CORE DATA (GIS RECORDS). *SEE* GEOGRAPHIC INFORMATION SYSTEM (GIS) CORE DATA  
CORPORATE LIMITS, 38  
CORRESPONDENCE (LEGAL), 72  
CORRESPONDENCE AND MEMORANDA, 6  
COST ALLOCATION PLANS, 27  
CREDIT/DEBIT/PROCUREMENT CARD RECORDS, 27  
CUSTOMER CALL CENTER RECORDINGS, 6

## D

DAILY DETAIL REPORTS. *SEE* BUDGET REPORTS  
DATA DOCUMENTATION (METADATA) (GIS RECORDS). *SEE* GEOGRAPHIC INFORMATION SYSTEM (GIS) DATA DOCUMENTATION (METADATA)  
DATA DOCUMENTATION RECORDS, 61  
DATA MIGRATION RECORDS, 62  
DATA WAREHOUSES, 62  
DEBIT CARD PAYMENTS. *SEE* PAYMENT CARD DATA  
DEBT FINANCING. *SEE* LOAN RECORDS  
DECLARATORY RULINGS, 70  
DELEGATION OF AUTHORITY RECORDS, 71  
DEPOSITS. *SEE* ACCOUNTS RECEIVABLE  
DESTRUCTIONS LOG, 10  
DETAIL REPORT. *SEE* FINANCIAL REPORTS  
DIGITIZATION AND SCANNING RECORDS, 62  
DIRECT DEPOSIT FORMS. *SEE* ELECTRONIC FUNDS TRANSFERS  
DIRECTORIES, ROSTERS, OR INDICES, EMPLOYEE, 46  
DISABILITY SALARY CONTINUATION CLAIMS, 47  
DISASTER AND EMERGENCY MANAGEMENT PLANS, 81  
DISASTER RECOVERY, 81  
DISCIPLINARY ACTIONS, 27  
DONATIONS AND SOLICITATIONS, 27  
DRUG AND ALCOHOL PROGRAMS FILE. *SEE* EMPLOYEE ASSISTANCE PROGRAMS  
DUAL EMPLOYMENT, 48

## E

EASEMENTS AND RIGHT-OF-WAY AGREEMENTS, 71  
EDUCATIONAL ASSISTANCE, EMPLOYEE, 48  
EDUCATIONAL LEAVE AND REIMBURSEMENT, 48  
EDUCATIONAL MATERIALS, 76  
EDUCATIONAL RECORDS, EMPLOYEE, 58  
ELECTRONIC FUNDS TRANSFERS, 27  
ELECTRONIC RECORDS POLICIES AND PROCEDURES, 62  
EMERGENCY DRILLS AND EQUIPMENT RECORDS, 81  
EMERGENCY NOTIFICATIONS, 81  
EMPLOYEE ASSISTANCE PROGRAMS, 48

EMPLOYMENT ELIGIBILITY RECORDS, 49  
EMPLOYMENT SELECTION RECORDS, 49  
ENCROACHMENTS, 71  
EQUIPMENT AND VEHICLE MAINTENANCE, REPAIR, AND INSPECTION RECORDS, 6  
EQUIPMENT INVENTORIES, 10  
EQUIPMENT REFERENCE RECORDS, 7  
EQUIPMENT USAGE RECORDS, 7  
ESCHEATS AND UNCLAIMED PROPERTY, 28  
EXIT INTERVIEW RECORDS, EMPLOYEE, 50  
EXPENDITURE REPORTS. *SEE* BUDGET REPORTS  
EXPUNCTIONS, 71  
EXTRATERRITORIAL JURISDICTIONS, 39

## F

FACILITY MAINTENANCE, REPAIR AND INSPECTION RECORDS, 7  
FACILITY SERVICE AND MAINTENANCE AGREEMENTS. *SEE* CONTRACTS, LEASES, AND AGREEMENTS  
FACILITY USAGE RECORDS, 7  
FAMILY MEDICAL LEAVE ACT (FMLA) RECORDS, 50  
FEE SCHEDULES, 17  
FILE PLAN, 22  
FINANCIAL JOURNALS AND LEDGERS, 28  
FINANCIAL REPORTS, 28  
FIRE EXTINGUISHER RECORDS. *SEE* EMERGENCY DRILLS AND EQUIPMENT RECORDS  
FIRE, HEALTH, AND ENVIRONMENTAL SAFETY RECORDS, 82  
FIXED ASSETS. *SEE* INVENTORIES  
FIXED NUCLEAR FACILITIES PLANS FILE, 82  
FORMS AND TEMPLATES, 7  
FUEL OIL STORAGE TANK RECORDS, 82  
FUND DRIVE AND EVENT RECORDS, 76

## G

GEOGRAPHIC INFORMATION SYSTEM (GIS) CORE DATA, 36  
GEOGRAPHIC INFORMATION SYSTEM (GIS) DATA DOCUMENTATION (METADATA), 36  
GEOGRAPHIC INFORMATION SYSTEM (GIS) INTERNAL STANDARDS AND PROCEDURES, 37  
GEOGRAPHIC INFORMATION SYSTEM (GIS) MONITORING RECORDS, 37  
GEOGRAPHIC INFORMATION SYSTEM (GIS) OPERATIONAL RECORDS, 37  
GEOGRAPHIC INFORMATION SYSTEM (GIS) PROJECT RECORDS, 37  
GEOGRAPHIC INFORMATION SYSTEM (GIS) RECORDS, 36

GOVERNING AND ADVISORY BODY MEMBER FILES.  
SEE PUBLIC BODIES: \MEMBER FILES  
GOVERNMENT EMPLOYEES RETIREMENT SYSTEM  
MONTHLY REPORTS, 28  
GRANT PROPOSALS, 8  
GRANTS, 8  
FINANCIAL, 29  
GRIEVANCES, 51

## H

HAZARDOUS MATERIALS MANAGEMENT, 83  
HAZARDOUS MATERIALS TRAINING RECORDS, 51  
HEALTH CERTIFICATES, EMPLOYEE. SEE MEDICAL  
RECORDS  
HISTORICAL DESIGNATIONS RECORDS, 9  
HISTORY RECORDS (AGENCY AND EMPLOYEES, 9

## I

I-9 FORMS. SEE EMPLOYMENT ELIGIBILITY RECORDS  
IMAGING RECORDS, 62  
IMPROPER CONDUCT INVESTIGATIONS, 9  
INDICES, 9  
INFORMATION TECHNOLOGY (IT) RECORDS, 61  
INFORMATION TECHNOLOGY ASSISTANCE RECORDS,  
63  
INSPECTION RECORDS. SEE EQUIPMENT AND  
VEHICLE MAINTENANCE, REPAIR, AND  
INSPECTION RECORDS  
INSPECTION RECORDS, FACILITY, 7  
INSURANCE POLICIES, 84  
INTERAGENCY PROGRAMS, 9  
INTERNAL STANDARDS AND PROCEDURES (GIS  
RECORDS) \T, 37  
INTERNSHIP PROGRAM, 51  
INVENTORIES, 10  
INVESTIGATION AND HEARING RECORDS, 72  
INVESTMENTS, 29  
INVITATIONS, 77  
INVOICES. SEE ACCOUNTS PAYABLE  
IT DISASTER PREPAREDNESS AND RECOVERY PLANS.  
SEE DISASTER AND EMERGENCY MANAGEMENT  
PLANS

## L

LAND OWNERSHIP RECORDS, 72  
LAW ENFORCEMENT TRAINING, 51  
LEAVE RECORDS, 52  
LEGAL OPINIONS, 72  
LEGAL RECORDS, 67  
LEGAL REVIEW RECORDS, 72

LEGISLATION AND REGULATORY RECORDS, 10  
LARGERS MONTHLY REPORTS. SEE GOVERNMENT  
EMPLOYEES RETIREMENT SYSTEM MONTHLY  
REPORTS  
LITIGATION CASE RECORDS, 73  
LOAN RECORDS, 30  
LOCAL GOVERNMENT COMMISSION FINANCIAL  
STATEMENTS, 30  
LOGISTICS MATERIALS, 10  
LONGEVITY PAY, 30  
LOSS CONTROL INSPECTION REPORTS, 84  
LOST, STOLEN, OR DAMAGED PROPERTY REPORTS,  
84

## M

MAIL, UNDELIVERABLE/RETURNED, 10  
MAILING AND DISTRIBUTION RECORDS, 10  
MAINTENANCE RECORDS. SEE EQUIPMENT AND  
VEHICLE MAINTENANCE, REPAIR, AND  
INSPECTION RECORDS  
MAINTENANCE RECORDS, FACILITY, 7  
MANAGEMENT STUDIES. SEE REPORTS AND STUDIES  
MAPPING PROJECT RECORDS, 40  
MAPS  
ALL OTHER, 42  
PARCEL, 41  
PARKS, 41  
MAPS (PAPER). SEE MAPS: ALL OTHER  
MEDIA FILE, 77  
MEDICAL RECORDS, EMPLOYEE, 52  
MEMBERSHIP RECORDS, 11  
METADATA (GIS RECORDS). SEE GEOGRAPHIC  
INFORMATION SYSTEM (GIS) DATA  
DOCUMENTATION (METADATA)  
MILITARY LEAVE, 53  
MINUTES OF PUBLIC BODIES. SEE PUBLIC BODIES:  
MINUTES  
MISCELLANEOUS (NON-BUILDING) APPLICATIONS,  
LICENSES, AND PERMITS, 11  
MONITORING RECORDS (GIS RECORDS). SEE  
GEOGRAPHIC INFORMATION SYSTEM (GIS)  
MONITORING RECORDS

## N

NATIONAL FLOOD INSURANCE PROGRAM RECORDS,  
84  
NETWORK AND SYSTEM SECURITY RECORDS, 63  
NETWORK DIAGRAMS, 63  
NEWSPAPER CLIPPINGS. SEE HISTORY RECORDS  
NOTICES OF PUBLIC MEETINGS. SEE PUBLIC BODIES:  
MEETING NOTICES

## O

OATHS OF OFFICE, 73  
OCCUPATIONAL SAFETY AND HEALTH  
ADMINISTRATION (OSHA), 85  
OFFICE AND PROPERTY SECURITY RECORDS, 11  
OPERATIONAL RECORDS (GIS RECORDS). *SEE*  
GEOGRAPHIC INFORMATION SYSTEM (GIS)  
OPERATIONAL RECORDS  
ORDINANCE DEVELOPMENT RECORDS, 12  
ORDINANCES, 12  
ORTHOIMAGERY, 39  
OSHA, 85

## P

PARKING. *SEE* SECURITY RECORDS, EMPLOYEE  
PAYMENT CARD DATA, 30  
PAYROLL AND EARNINGS RECORDS, 31  
PAYROLL DEDUCTION RECORDS, 32  
PENSION PLAN ENROLLMENT FORMS, EMPLOYEE.  
*SEE* RETIREMENT RECORDS  
PERFORMANCE REVIEWS, EMPLOYEE, 53  
PERMISSIONS, 73  
PERSONNEL ACTION NOTICES, 53  
PERSONNEL RECORDS, 43  
PERSONNEL RECORDS (OFFICIAL COPY), 54  
PERSONNEL RECORDS (SUPERVISOR COPY), 54  
PEST CONTROL, 12  
PETITIONS (CONSTITUENT). *SEE* CONSTITUENT  
COMMENTS, COMPLAINTS, PETITIONS, AND  
SERVICE REQUESTS  
PETTY CASH. *SEE* ACCOUNTS RECEIVABLE  
PHONE LOGS, 12  
POLICIES AND PROCEDURES, 13  
POLICIES AND PROCEDURES (PERSONNEL), 55  
POLL LIST, 13  
POLYGRAPH RECORDS, EMPLOYEE, 55  
POPULAR ANNUAL FINANCE REPORT, 77  
POSITION CLASSIFICATION, 56  
POSITION CONTROL, 56  
POSITION DESCRIPTIONS, 56  
POSITION EVALUATIONS, 56  
POSITION HISTORY, 56  
POSITION REQUISITION AND ANALYSIS RECORDS.  
*SEE* POSITION CLASIFICATION, CONTROL, AND  
HISTORY  
POWELL BILL RECORDS, 32  
PRE-TRIAL RELEASE PROGRAM RECORDS, 74  
PRICE QUOTATIONS, 13  
PROCEDURES (GIS RECORDS). *SEE* GEOGRAPHIC  
INFORMATION SYSTEM (GIS) INTERNAL  
STANDARDS AND PROCEDURES

PROCLAMATIONS AND ORDERS, 14  
PROJECT DOCUMENTATION (INFORMATION  
TECHNOLOGY), 64  
PROJECT RECORDS (GIS RECORDS). *SEE* GEOGRAPHIC  
INFORMATION SYSTEM (GIS) PROJECT RECORDS  
PROJECTS, 14  
PROPERTY INVENTORIES, 10  
PROPERTY MANAGEMENT RECORDS, 14  
PUBLIC BODIES  
    \AGENDA AND MEETING PACKETS, 15  
    \APPLICATIONS FOR APPOINTMENT, 15  
    \APPOINTMENT REPORTS, 15  
    \AUDIO AND VIDEO RECORDINGS OF MEETINGS,  
        15  
    \CORRESPONDENCE, 16  
    \MEETING NOTICES, 16  
    \MEMBER FILES, 16  
    \MINUTES, 17  
PUBLIC HEARINGS, 77  
PUBLIC RECORDS REQUESTS, 78  
PUBLIC RELATIONS RECORDS, 75  
PUBLICATIONS RECEIVED. *SEE* REFERENCE (READING)  
FILE  
PUBLICITY RECORDS, 78  
PURCHASE ORDERS, 32

## Q

QUALIFIED PRODUCTS LISTS, 32

## R

RATE SCHEDULES, 17  
REBATE PROGRAM RECORDS, 18  
RECONCILIATIONS (FINANCIAL), 25  
RECORDS BACKUPS, SYSTEM MAINTENANCE  
RECORDS, 65  
RECORDS MANAGEMENT, 18  
RECRUITMENT RECORDS, 56  
REFERENCE (READING) FILE, 18  
REFUND REPORTS. *SEE* FINANCIAL REPORTS  
REGULATORY RECORDS (EXTERNAL). *SEE*  
LEGISLATION AND REGULATORY RECORDS  
RELEASE FORMS, 74  
REPAIR RECORDS. *SEE* EQUIPMENT AND VEHICLE  
MAINTENANCE, REPAIR, AND INSPECTION  
RECORDS  
REPAIR RECORDS, FACILITY, 7  
REPORTS AND STUDIES, 19  
REQUEST FOR CHANGE IN LOCAL GOVERNMENT  
RECORDS SCHEDULE, 19  
REQUEST FOR DISPOSAL OF ORIGINAL RECORDS  
DUPLICATED BY ELECTRONIC MEANS, 21



REQUEST FOR DISPOSAL OF UNSCHEDULED RECORDS, 20  
 REQUESTS FOR INFORMATION, 20  
 REQUESTS FOR PROPOSALS, 20  
 REQUISITIONS, 33  
 RESOLUTION DEVELOPMENT RECORDS, 20  
 RESOLUTIONS, 20  
 RESPIRATOR PROGRAM RECORDS. *SEE* EMERGENCY DRILLS AND EQUIPMENT RECORDS  
 RETIREMENT RECORDS, EMPLOYEE, 57  
 RETURNED CHECKS. *SEE* ACCOUNTS UNCOLLECTABLE  
 RISK MANAGEMENT RECORDS, 80

## S

SAFETY DATA SHEETS, 85  
 SALES AND USE TAX REPORTS. *SEE* TAX RETURNS  
 SALES INFORMATION. *SEE* ACCOUNTS RECEIVABLE  
 SCANNING RECORDS. *SEE* DIGITIZATION AND SCANNING RECORDS  
 SCHOLARSHIP RECORDS, 33  
 SEASONAL WORKER RECORDS, 57  
 SECONDARY EMPLOYMENT, 57  
 SECURITY RECORDS, EMPLOYEE, 82  
 SECURITY VIDEO RECORDINGS. *SEE* OFFICE AND PROPERTY SECURITY RECORDS  
 SELF-INSURER CERTIFICATIONS. *SEE* INSURANCE POLICIES  
 SERVICE AWARDS AND COMMENDATIONS, 58  
 SERVICE REQUESTS (CONSTITUENT). *SEE* CONSTITUENT COMMENTS, COMPLAINTS, PETITIONS, AND SERVICE REQUESTS  
 SETTLEMENTS, 74  
 SHIFT PREMIUM PAY, 33  
 SOCIAL MEDIA, 78, 12  
 SOFTWARE LICENSE AND COPYRIGHT PROVISIONS RECORDS, 64  
 SPACE NEED STUDIES. *SEE* REPORTS AND STUDIES  
 SPECIAL EVENT RECORDS. *SEE* FUND DRIVE AND EVENT RECORDS  
 SPEECHES, 78  
 STAFF MEETINGS FILE, 21  
 STANDARDS (GIS RECORDS), 37  
 STATE AND OTHER COUNTY PROGRAMS. *SEE* REFERENCE (READING) FILE  
 STATE OF EMERGENCY, 80  
 STATEMENTS OF BACK PAY, 33  
 STOLEN PROPERTY REPORTS, 84  
 STRATEGIC PLAN, 21  
 STREET CENTERLINE, 40  
 SUGGESTIONS, EMPLOYEE, 58  
 SURPLUS PROPERTY, 21  
 SURVEYS, EMPLOYEE, 58

SYSTEM ACCESS RECORDS (INFORMATION TECHNOLOGY), 64  
 SYSTEM DOCUMENTATION RECORDS, 64  
 SYSTEM MAINTENANCE RECORDS  
   \HARDWARE REPAIR OR SERVICE, 65  
   \RECORDS BACKUPS, 65

## T

TAX FORMS, 34  
 TAX RETURNS, 34  
 TECHNICAL PROGRAM DOCUMENTATION, 65  
 TEMPORARY EMPLOYEE RECORDS. *SEE* PERSONNEL RECORDS (OFFICIAL COPY)  
 TEXT MESSAGES, 12  
 TIME SHEETS, CARDS, AND ATTENDANCE RECORDS, 34  
 TRACKING MATERIALS, 21  
 TRAINING RECORDS, EMPLOYEE, 58  
 TRAVEL REIMBURSEMENTS, 35  
 TRAVEL REQUESTS, 22  
 TSERS MONTHLY REPORTS. *SEE* GOVERNMENT EMPLOYEES RETIREMENT SYSTEM MONTHLY REPORTS

## U

UNEMPLOYMENT COMPENSATION CLAIMS, 59  
 UNEMPLOYMENT COMPENSATION REPORTS, 59  
 UNEMPLOYMENT INSURANCE, 59  
 UTILITY USAGE LOG. *SEE* EQUIPMENT, FACILITY, AND VEHICLE USAGE RECORDS  
 UTILITY USAGE LOGS. *SEE* PHONE LOGS  
 UTILITY USAGE LOGS AND BILLS. *SEE* ACCOUNTS PAYABLE

## V

VEHICLE MAINTENANCE, REPAIR, AND INSPECTION RECORDS. *SEE* EQUIPMENT AND VEHICLE MAINTENANCE, REPAIR, AND INSPECTION RECORDS  
 VEHICLE MILEAGE LOG. *SEE* EQUIPMENT, FACILITY, AND VEHICLE USAGE RECORDS  
 VEHICLE REFERENCE RECORDS, 7  
 VEHICLE REGISTRATION CARDS, 22  
 VEHICLE TITLES, 74  
 VEHICLE USAGE RECORDS, 7  
 VENDORS, 35  
 VERIFICATION OF EMPLOYMENT RECORDS, 59  
 VETERANS COMMISSION QUARTERLY REPORTS. *SEE* REPORTS AND STUDIES  
 VOIP RECORDS, 66

VOLUNTEER RECORDS, 59  
VOUCHERS. *SEE* ACCOUNTS RECEIVABLE

## W

W-2 FORMS. *SEE* TAX FORMS  
W-4 FORMS. *SEE* TAX FORMS  
WARRANTIES. *SEE* EQUIPMENT AND VEHICLE  
MAINTENANCE, REPAIR, AND INSPECTION  
RECORDS  
WEB MANAGEMENT AND OPERATIONS RECORDS  
STRUCTURE, 66  
WEBSITE (ELECTRONIC), 79  
WORK ORDERS, 22

WORK SCHEDULES AND ASSIGNMENT RECORDS,  
EMPLOYEE, 60  
WORKERS' COMPENSATION PROGRAM  
ADMINISTRATION, 60  
WORKERS' COMPENSATION PROGRAM CLAIMS, 60  
WORKFORCE DEVELOPMENT  
LOCAL AREA JOB TRAINING PLAN RECORDS, 86  
WORKFORCE DEVELOPMENT  
AUDIT/AUDIT RESOLUTIONS, 86  
WORKFORCE DEVELOPMENT  
PARTICIPANT RECORDS, 86  
WORKFORCE DEVELOPMENT RECORDS, 86  
WORKSHOPS, 76

# **RECORDS RETENTION AND DISPOSITION SCHEDULE**

## **PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES**



Issued By:



NC DEPARTMENT OF  
NATURAL AND CULTURAL RESOURCES

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

October 1, 2021



## CONTENTS

<a href="#">Approval</a> .....	iv
<b>Front Matter</b>	
<a href="#">Executive Summary</a> .....	v
<a href="#">Legend for Records Schedule</a> .....	vi
<b>Records Retention and Disposition Schedule</b>	
<a href="#">Standard 10: Airport Authority Records</a> .....	1
<a href="#">Standard 11: Animal Services Records</a> .....	3
<a href="#">Standard 12: Code Enforcement and Inspection Records</a> .....	5
<a href="#">Standard 13: Emergency Medical Services and Fire Department Records</a> .....	12
<a href="#">Standard 14: Parks and Recreation Records</a> .....	16
<a href="#">Standard 15: Planning and Regulation of Development Records</a> .....	19
<a href="#">Standard 16: Public Housing Authorities, Redevelopment Commissions, and Entitlement Communities Records</a> .....	25
<a href="#">Standard 17: Public Transportation Systems Records</a> .....	31
<a href="#">Standard 18: Public Utilities and Environmental/Waste Management Records</a> .....	34
<a href="#">Standard 19: Street Maintenance, Public Works, and Engineering Records</a> .....	46
<a href="#">Standard 20: Law Enforcement Records (excluding Sheriff's Office)</a> .....	53
<a href="#">Standard 21: Tax Records (for municipalities)</a> .....	73
<b>Appendix</b>	
<a href="#">Managing Public Records in North Carolina</a> .....	A-1
<a href="#">Audits, Litigation, and Other Official Actions</a> .....	A-5
<a href="#">Transitory Records</a> .....	A-6
<a href="#">Destruction of Public Records</a> .....	A-8
<a href="#">Sample Destructions Log</a> .....	A-10
<a href="#">Electronic Records: E-mail, Born Digital Records, and Digital Imaging</a> .....	A-11
<a href="#">Geospatial Records</a> .....	A-13
<a href="#">Security Preservation Record Copies</a> .....	A-15
<a href="#">Disaster Assistance</a> .....	A-17
<a href="#">Staff Training</a> .....	A-18
<b>Request Forms</b>	
<a href="#">Request for Change in Records Schedule</a> .....	A-19
<a href="#">Request for Disposal of Unscheduled Records</a> .....	A-20
<a href="#">Request for Disposal of Original Records Duplicated by Electronic Means</a> .....	A-21
<a href="#">File Plan</a> .....	A-22
<a href="#">Index</a> .....	A-23

## **Program Records Schedule: Local Government Agencies**

The records retention and disposition schedules and retention periods governing the records series listed herein are hereby approved. This approval extends to and includes the following standards in the **2021 Program Records Schedule: Local Government Agencies**:

10. Airport Authority Records
11. Animal Services Records
12. Code Enforcement and Inspection Records
13. Emergency Medical Services and Fire Department Records
14. Parks and Recreation Records
15. Planning and Regulation of Development Records
16. Public Housing Authorities, Redevelopment Commissions, and Entitlement Communities Records
17. Public Transportation Systems Records
18. Public Utilities and Environmental/Waste Management Records
19. Street Maintenance, Public Works, and Engineering Records
20. Law Enforcement Records (excluding Sheriff's Offices)
21. Tax Records (for municipalities)

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.

### **Destructions**

N.C. Gen. Stat. § 121-5 authorizes the Department of Natural and Cultural Resources to regulate the destruction of public records. Furthermore, the local government agency agrees to comply with 07 NCAC 04M .0510 when deciding on a method of destruction. The North Carolina Administrative Code states:

"(a) Paper records which have met their required retention requirements and are not subject to legal or other audit holds should be destroyed in one of the following ways:

1. burned, unless prohibited by local ordinance;
2. shredded, or torn up so as to destroy the record content of the documents or material concerned;
3. placed in acid vats so as to reduce the paper to pulp and to terminate the existence of the documents or materials concerned; or
4. sold as waste paper, provided that the purchaser agrees in writing that the documents or materials concerned will not be resold without pulverizing or shredding the documents so that the information contained within cannot be practicably read or reconstructed.

(b) When used in an approved records retention and disposition schedule, the provision that electronic records are to be destroyed means that the data and metadata are to be overwritten, deleted, and unlinked so the data and metadata may not be practicably reconstructed.

(c) When used in an approved records retention and disposition schedule, the provision that confidential records of any format are to be destroyed means the data, metadata, and physical media are to be destroyed in such a manner that the information cannot be read or reconstructed under any means."

All local government agencies should maintain logs of their destructions either in the minutes of their governing board or in their Records Management file. Confidential records will be destroyed in such a manner that the records cannot be practicably read or reconstructed.



***Public records, including electronic records, not listed in this schedule are not authorized to be destroyed.***

#### **Audits and Litigation Actions**

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.

#### **Electronic Records**

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.

Local government agencies should consider retention requirements and disposition authorities when designing and implementing electronic records management systems. Any type of electronically-created or electronically-stored information falls under the North Carolina General Assembly's definition of public records cited above. For example, e-mail, text messages, blog posts, voicemails, websites, word processing documents, spreadsheets, databases, and PDFs all fall within this definition of public records. In addition, N.C. Gen. Stat. § 132-6.1(a) specifies:

“Databases purchased, leased, created, or otherwise acquired by every public agency containing public records shall be designed and maintained in a manner that does not impair or impede the public agency's ability to permit the public inspection and examination of public records and provides a means of obtaining copies of such records. Nothing in this subsection shall be construed to require the retention by the public agency of obsolete hardware or software.”

Local government agencies may scan any paper record and retain it electronically for ease of retrieval. If an agency wishes to destroy the original paper records before their assigned retention periods have been met, the agency must establish an electronic records policy, including putting into place procedures for quality assurance and documentation of authorization for records destructions approved by the Government Records Section. This electronic records policy and releases for destruction of records must be approved by the Government Records Section. Agencies should be aware that for the purpose of any audit, litigation, or public records request, they are considered the records custodian obligated to produce requested records, even if said records are being maintained electronically by an outside vendor. Therefore, contracts regarding electronically stored information should be carefully negotiated to specify how records can be exported in case a vendor goes out of business or the agency decides to award the contract to a different vendor.

#### **Reference Copies**

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*.”

#### **Record Copy**

A record copy is defined as “The single copy of a document, often the original, that is designated as the official copy for reference and preservation.”<sup>1</sup> The record copy is the one whose retention and disposition is mandated by these schedules; all additional copies are considered reference or access copies and can be destroyed when their usefulness expires. In some cases, postings to social media may be unofficial copies of information that is captured elsewhere as a record copy (e.g., a press release about an upcoming agency event that is copied to various social

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<sup>1</sup> Society of American Archivists, *Dictionary of Archives Terminology*.



media platforms). Appropriately retaining record copies and disposing of reference copies requires agencies to designate clearly what position or office is required to maintain an official record for the duration of its designated retention period.

### **Transitory Records**

Transitory records are defined as “record[s] that [have] little or no documentary or evidential value and that need not be set aside for future use.”<sup>2</sup>

North Carolina has a broad definition of public records. However, 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. They may be disposed of according to the guidance below. However, all public employees should be familiar with their appropriate retention schedule and any other applicable guidelines for their office. If there is a required retention period for these records, that requirement must be followed. 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 a DNCR records analyst.

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 and calendar invites) have minimal value once the official action these records are supporting has been completed and documented. These records may be destroyed or otherwise disposed of once the action has been resolved.

Drafts and working papers, including notes and calculations, are materials gathered or created to assist in the creation of another record. All drafts and working papers are public records subject to all provisions of Chapter 132 of the General Statutes, 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 that 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
- Drafts and working papers for presentations, workshops, and other explanations of agency policy that is already formally documented.

Forms used solely to create, update, or modify records in an electronic medium may be destroyed in office after completion of data entry and after all verification and quality control procedures, so long as these records are not required for audit or legal purposes. 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 must be retained according to the disposition instructions for the records series encompassing the forms’ function.

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. These schedules supersede previous versions of these schedules and any localized amendments; they are to remain in effect from the date of approval until they are reviewed and updated.

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<sup>2</sup> Ibid.

**APPROVAL RECOMMENDED**

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

Sarah E. Koonts  
Sarah E. Koonts, Director  
Division of Archives and Records

**APPROVED**

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

D. Reid Wilson  
D. Reid Wilson, Secretary  
Department of Natural and Cultural  
Resources

County/Municipality: City of New Bern

Effective: October 1, 2021

## EXECUTIVE SUMMARY

- ✓ Some records are covered by the *General Records Schedule: Local Government Agencies* and, therefore, are not listed separately here.
- ✓ According to N.C. Gen. Stat. § 121-5(b) and N.C. Gen. Stat. § 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 Society of American Archivists, *Dictionary of Archives 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 N.C. Gen. Stat. § 121-5 and N.C. Gen. Stat. § 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 listed with the identified record series.
- ✓ 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 creates security preservation record copies for minutes and selected other records of governing bodies and commissions, adoption records, and maps and plats. Agencies can request copies of the digital images made during this process. Contact the appropriate Records Management Analyst to begin this process.
- ✓ If you have records that are not listed in this schedule, contact a Records Management Analyst. An analyst will discuss the nature of the records with you to determine if the records have historical value. If the records do not have historical value, we will ask you to complete a [Request for Disposal of Unscheduled Records](#) (page A-19) for records that are no longer being created.



## 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 Includes 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 Society of American Archivists, *Dictionary of Archives 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 a SEE ALSO reference. 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 (STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS).

*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 A-5.**

**STANDARD 10: PROGRAM OPERATIONAL RECORDS – AIRPORT AUTHORITY RECORDS**

Official records and materials created and accumulated incidental to the operation of a county or municipal airport.

ITEM #	STANDARD 10: AIRPORT AUTHORITY RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
10.01	<b>ACCESS CONTROL RECORDS</b> Records concerning employee or contractor access to facilities or resources.	Destroy in office 1 year after expiration.	
10.02	<b>AIR SPACE CONSTRUCTION</b> Applications to construct structures which may obstruct flight space. Includes correspondence and related records.	Destroy in office after 5 years.	
10.03	<b>AIRFIELD INSPECTION</b> Records concerning airfield inspections on runway conditions, fueling agents, fire and rescue facilities, ground vehicle control and other airport condition information.	Destroy in office after 1 year.	Authority/Retention: 14 CFR 139.301
10.04	<b>AIRPORT MASTER RECORD</b> Federal Aviation Administration (FAA) form 5010 documenting basic information concerning airports.	Destroy in office when superseded or obsolete.	

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION, page A-5.

± 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.

2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES



ITEM #	STANDARD 10: AIRPORT AUTHORITY RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
10.05	<b>LAND DEVELOPMENT AND PLANNING STUDIES AND REPORTS</b> Records documenting local government and airport authority land use and development planning.	Retain in office permanently.	
10.06	<b>RADIO LOGS</b> Records of radio calls received and placed.	Destroy in office after 1 year.	

10: Airport Authority

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION, page A-5.

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



**STANDARD 11: PROGRAM OPERATIONAL RECORDS – ANIMAL SERVICES RECORDS**

Records created and received during the conduct of animal services programs.

NOTE: Some records are covered by General Records Schedule: Local Government Agencies and, therefore, are not listed separately here. See Reference (Reading) File and Reports and Studies (Administration and Management Records).



ITEM #	STANDARD 11: ANIMAL SERVICES RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
11.01	<b>ANIMAL ABUSE AND CRUELTY RECORDS</b> Includes complaints, citations and/or compliance orders, and other related records.	Destroy in office after 5 years.*	See G.S. 14-360 for definition of animal cruelty.
11.02	<b>ANIMAL COMPLAINT RECORDS</b> Includes complaints of animal nuisances.	Destroy in office after 3 years.*	
11.03	<b>ANIMAL CONTROL RECORDS</b> Records of animal control calls. Includes information regarding animal bites, animals received from residents, strays caught, animals taken to shelter or returned to owner, use of tranquilizer guns, and other related records. Also includes citations and/or compliance orders issued to animal owners for violations of government ordinances.	a) Destroy in office records concerning dangerous animals when known dead or after 10 years. b) Destroy in office animal control citations and compliance orders after 3 years.* c) Destroy in office remaining records after 1 year.	

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION, page A-5.

± 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.

## 2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES



ITEM #	STANDARD 11: ANIMAL SERVICES RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
11.04 	<b>ANIMAL LICENSING RECORDS</b> Records concerning the licensing of dogs, cats, and other animals. Includes owner and animal information and record of fees paid.	Destroy in office after 3 years.*	Confidentiality: G.S. 132-1.2 (2)
11.05 	<b>ANIMAL SHELTER RECORDS</b> Records of animals impounded at the shelter, including date of impoundment, length of impoundment, disposition of animal, and any other information required by rules adopted by the State Board of Agriculture. Also includes certificates of animal release (e.g., adoption, reclaim, transfer, return to field) and owner contact records.	Destroy in office 3 years after date of impoundment.	Authority/Retention: G.S. 19A-32.1(j)  Confidentiality (for specific counties): G.S. 132-1.15
11.06	<b>CONTROLLED SUBSTANCE EUTHANASIA LOG</b> Includes amount of controlled substances used.	Destroy in office after 2 years.	Retention: 21 CFR 1304.04
11.07	<b>HISTORIES OF PET OWNERS</b> Records concerning information for each animal owner who violates government ordinances. Includes complaint forms and other related records.	Destroy in office after 3 years.*	
11.08	<b>RABIES VACCINATION RECORDS</b> Includes rabies vaccination certificates submitted to agency by area veterinarians.	Destroy in office after 3 years.	Authority: G.S. 130A-189

## 11: Animal Services

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION, page A-5.

± 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.

## 2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES



### STANDARD 12: PROGRAM OPERATIONAL RECORDS – CODE ENFORCEMENT AND INSPECTION RECORDS

Official records and materials created and accumulated during the conduct of local government code enforcement and inspection programs.

NOTE: Some records are covered by the General Records Schedule: Local Government Agencies and, therefore, are not listed separately here.

## 12: Codes & Inspections

ITEM #	STANDARD 12: CODE ENFORCEMENT AND INSPECTION RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
12.01	<b>AIR POLLUTION SOURCE INFORMATION</b> Includes records for facilities which are no longer operational.	Destroy in office after 2 years.*	
12.02	<b>BLUEPRINTS AND SPECIFICATIONS</b> Records concerning blueprints and specifications of local government owned buildings and facilities, or drawings submitted when applying for a building permit for new construction. Includes as-built plans and related records concerning approved changes or used in determining code compliance and enforcement of building code.  SEE ALSO: GENERAL RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES, Blueprints and Specifications (STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS).	a) Retain agency blueprints and specifications for life of structure. b) Destroy in office commercial blueprints and specifications 1 year after completion of project. c) Destroy in office residential blueprints and specifications when reference value ends.± Agency Policy: Destroy in office after _____	Confidentiality: G.S. 132-1.7

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION, page A-5.

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



ITEM #	STANDARD 12: CODE ENFORCEMENT AND INSPECTION RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
12.03	<b>BUILDING AND ROAD PERMITTING AND INSPECTION RECORDS</b> Records documenting applications for permits from property owners to erect new structures or manufactured homes, or to make structural modifications, demolition, fire permits, or the installation of plumbing, electrical, or mechanical systems. Includes permits, inspection reports, inspector's worksheets, inspection requests, denial reports, sketches, correspondence (including e-mail), and contractor change forms.	a) Destroy in office permits, applications, and inspection reports (or worksheets) 6 years after Certificate of Occupancy is issued or project is complete (inactive). b) Destroy in office Certificate of Occupancy 6 years after permit is expired. c) Destroy in office remaining records, including applications for which a permit was never issued, when reference value ends.± Agency Policy: Destroy in office after _____	
12.04	<b>CONTROLLED SUBSTANCE LABS DECONTAMINATION RECORDS</b> Records concerning decontamination compliance.	Destroy in office 3 years after documented decontamination is complete.	
12.05	<b>DROUGHT CONTINGENCY PLANS</b> Includes water conservation plans in the event of a drought.	Destroy in office when superseded or obsolete.	
12.06	<b>EROSION AND SEDIMENT CONTROL ENFORCEMENT CASES</b> Includes settled legal matters and penalties. SEE ALSO: Violations: Building and Housing, below.	Destroy in office 6 years after settlement.*	

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION, page A-5.

± 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.

## 2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES



ITEM #	STANDARD 12: CODE ENFORCEMENT AND INSPECTION RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
12.07	<b>EROSION AND SEDIMENT CONTROL PLANS</b> Includes approved and disapproved plans as well as revisions and addenda.	a) Destroy in office approved plans 6 years after approval or last revision and/or addendum. b) Destroy in office non-approved plans after 3 years.	
12.08	<b>EXEMPTION (VARIANCE) RECORDS</b> Records concerning exemptions and variances concerned with the installation of water, sewer, gas, or electric lines.	a) Destroy in office 5 years after expiration.* b) Destroy in office records for which an exemption or variance was not issued after 3 years.	Retention: 40 CFR 141.33 15A NCAC 18C .1526
12.09	<b>GOING-OUT-OF-BUSINESS LICENSES</b> Records concerning licenses granted to business to hold going out of business, water and smoke damage, and distress sales.	Destroy in office 1 year expiration.	
12.10	<b>GROUNDWATER MONITORING RECORDS</b> Includes all groundwater monitoring wells and associated groundwater surface elevations.	Destroy in office after 5 years.*	Authority: 15 NCAC 2C .0100
12.11	<b>ILLEGAL DUMPING FILE</b> Records concerning illegal dumping complaints received.  SEE ALSO: Violations: Solid Waste Management, below.	Destroy in office after 5 years.*	
12.12	<b>INSPECTIONS</b> Inspections conducted by local government agencies concerning enforcement of state and local laws, codes, and ordinances.	Destroy in office after 6 years.*	


12: Codes &amp; Inspections

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION, page A-5.

± 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.

## 2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES



ITEM #	STANDARD 12: CODE ENFORCEMENT AND INSPECTION RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
12.13	<b>LEAD AND COPPER COMPLIANCE RECORDS</b> Includes all monitoring records required by federal, state, and local regulations.	Destroy in office after 12 years.*	Retention: 40 CFR 141.91
12.14	<b>LANDFILL TONNAGE AND COST FILE</b>	Destroy in office after the 5 year reporting period is complete.	
12.15	<b>PERMITS: CONSTRUCTION</b> Records documenting applications and permits regarding sign installation, fencing, swimming pools, driveways, or similar activity required by local ordinance.  SEE ALSO: GENERAL RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES, Miscellaneous (Non-Building) Applications, Licenses, and Permits (STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS).	a) Destroy in office 3 years after completion of project.  b) Destroy in office applications for which a permit was never issued when reference value ends.±  Agency Policy: Destroy in office after _____	
12.16 	<b>PERMITS: PUBLIC UTILITIES PROJECTS</b> Records documenting 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) Retain in office approval letters and supporting documentation permanently.  b) Destroy in office permits 6 years after expiration, cancellation, revocation, or denial.*	Authority: 40 CFR 122.28 15A NCAC 18C .0300  Confidentiality: 15A NCAC 02H .0115

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION, page A-5.

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2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES



ITEM #	STANDARD 12: CODE ENFORCEMENT AND INSPECTION RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
12.17	<b>RECREATIONAL VEHICLE REGISTRATION RECORDS</b> Records concerning issuance of registrations/decals for recreational vehicles. Includes, but is not limited to, golf carts, canoes, and mopeds as well as proof of insurance and renewals.	Destroy in office 1 year after expiration.*	
12.18	<b>UNSAFE BUILDINGS FILE</b> Records documenting inspections and notifications to owners of unsafe conditions relative to a particular structure.  SEE ALSO: Violations: Building and Housing, below.	Destroy in office after 6 years provided all issues have been resolved.*	
12.19	<b>VALVE OPERATION FILE</b>	Destroy in office when reference value ends. ±  Agency Policy: Destroy in office after _____	
12.20	<b>VIOLATIONS: BUILDING AND HOUSING</b> Records documenting violations of building and fire code, minimum housing, and erosion and sediment control. Includes complaints, summons, notices, appeals, and other information created or compiled during the course of investigation and resolution of each alleged violation.  SEE ALSO: Water Analysis, below.	a) Destroy building code violations in office 6 years after verification of correction.  b) Destroy remaining records in office 3 years after verification of correction.*	

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION, page A-5.

± 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.

## 2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES



ITEM #	STANDARD 12: CODE ENFORCEMENT AND INSPECTION RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
12.21	<b>VIOLATIONS: SOLID WASTE MANAGEMENT</b> Includes complaints, notices of violations, citations, investigation records, court documents, and other related records issued by solid waste environmental enforcement programs.	Destroy in office 7 years after resolution of case.*	
12.22	<b>VIOLATIONS: WATER CONSERVATION</b> Records concerning notices of water conservation violations.	Destroy in office when reference value ends. ± Agency Policy: Destroy in office after _____	
12.23	<b>WASTEWATER POLLUTION CONTROL AND ABATEMENT RECORDS</b>	Destroy in office after 5 years.*	Authority: 15A NCAC 2B .0505
12.24	<b>WASTEWATER QUALITY ANALYSIS RECORDS</b>	a) Destroy in office analysis reports after 3 years.* b) Destroy in office monitoring and calculation sheets after 1 year.*	Authority: 15A NCAC 2B .0505

## 12: Codes &amp; Inspections

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## 2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES



ITEM #	STANDARD 12: CODE ENFORCEMENT AND INSPECTION RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
12.25	<b>WATER ANALYSIS</b> Records concerning bacteriological, chemical, radiological, and physical analyses and climatological observations as well as records of actions taken to correct violations.  SEE ALSO: Violations: Building and Housing and Violations: Water Conservations, above.	a) Destroy in office records of chemical and radiological analysis after 10 years.  b) Destroy in office records of bacteriological and turbidity analysis after 5 years.  c) Destroy in office records of actions taken to correct violations 3 years after last corrective action taken.  d) Destroy in office remaining records after 5 years.	Retention: 40 CFR 141.33 15A NCAC 18C .1526
12.26	<b>WATER SYSTEM OPERATIONS RECORDS</b> Records concerning the operations of water supply, treatment, distribution, and collection. Includes backflow prevention reports, flow reports, capacity studies, pump station reports, and similar records that summarize	Destroy in office after 10 years.	Retention: 40 CFR 141.33 15A NCAC 18C .1526
12.27	<b>WATER TANKS, SPECIFICATIONS, AND BOOSTER STATIONS FILE</b>	Destroy in office after 5 years.*	

## 12: Codes &amp; Inspections

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION, page A-5.



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**STANDARD 13: PROGRAM OPERATIONAL RECORDS – EMERGENCY MEDICAL SERVICES AND FIRE DEPARTMENT RECORDS**

Official records documenting the primary functions of emergency services programs and fire departments.

Footage from body-worn cameras is scheduled by the content captured or the purpose of the footage rather than by its format. Recordings may fit under FIRE INVESTIGATION CASE FILES, DISPATCH RECORDS AND RECORDINGS, PUBLICITY RECORDS (General Schedule), TRAINING AND EDUCATIONAL RECORDS (General Schedule), and other items as appropriate. Footage is only confidential if it fits within an item where confidentiality is conferred by state or federal statute.


ITEM #	STANDARD 13: EMERGENCY MEDICAL SERVICES AND FIRE DEPARTMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
13.01 	<b>911 COMMUNICATION RECORDS AND RECORDINGS</b> Records documenting any communications made by the public with 911. Includes transcripts and recordings of 911 calls received, transcripts of text messages received by 911, and computer-aided dispatch (CAD) reports.  SEE ALSO: Dispatch Records and Recordings, below AND PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES, Communication Records (STANDARD 20: LAW ENFORCEMENT RECORDS)	Destroy in office after 30 days, if not made part of a case file.*	Confidentiality: G.S. 132-1.5 G.S. 132-1.4(c)(4)  Retention: G.S. 132-1.4(i)
13.02 	<b>AMBULANCE CALL REPORTS (ACR)/PATIENT CARE REPORTS (PCR)</b> Records concerning equipment used, patient location, nature of call, vital signs and other physical signs, care rendered, medicine ordered, etc.	a) Transfer copy of report to the admitting hospital for inclusion into patient's medical record.  b) Destroy original in office after 3 years.*	Confidentiality: G.S. 130A-12

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION, page A-5.

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## 2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES



ITEM #	STANDARD 13: EMERGENCY MEDICAL SERVICES AND FIRE DEPARTMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
13.03	<b>BUILDING AND FIRE SAFETY SYSTEM PLANS</b> Records concerning plans and fire safety systems of commercial, industrial, and government-owned properties.	Destroy in office when superseded or obsolete.	
13.04	 <b>DISPATCH RECORDS AND RECORDINGS</b> Records and recordings concerning activities during an emergency services dispatch. Includes company run reports and fire journals as well as ambulance dispatch and service run records. Also includes footage from body-worn cameras of EMS and Fire Department personnel when responding to an emergency if not otherwise included in a separate item.  SEE ALSO: 911 Communication Records and Recordings, above AND PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES, Communication Records (STANDARD 20: LAW ENFORCEMENT RECORDS).	Destroy in office after 30 days, if not made part of a case file.*	Confidentiality: G.S. 132-1.4 G.S. 143-518 45 CFR 164.501 42 U.S.C. 1395x
13.05	<b>FIRE ALARM AND AUTOMATIC EXTINGUISHER FILE</b> Records documenting licenses and insurance certificates of companies that perform installations of fire alarm and automatic extinguishing systems.	Destroy in office when superseded or obsolete.	
13.06	<b>FIRE DISPATCH FILE</b> Records concerning fire dispatch zones. Includes maps of fire dispatch zones, census tract information, annexation research, street closings, and other related material.	Destroy in office when superseded or obsolete.	


13: EMS &amp; Fire Department

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION, page A-5.

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## 2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES



ITEM #	STANDARD 13: EMERGENCY MEDICAL SERVICES AND FIRE DEPARTMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
13.07	<b>FIRE INVESTIGATION CASE FILES</b> Records concerning investigations of fire. Includes reports, photographs, evidence, and other related records.   SEE ALSO: PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES, Case File: Felonies AND Case File: Misdemeanors (STANDARD 20: LAW ENFORCEMENT RECORDS).	a) Retain in office permanently when loss of life occurs or if a publicly-owned building is involved.*  b) Destroy in office after 10 years when arson is involved.*  c) Destroy in office after 5 years when cause of fire is determined to be accidental and no loss of life occurs.*	Confidentiality: G.S. 132-1.4
13.08	<b>FIRE SAFETY INSPECTIONS AND PERMITS</b> Records documenting inspections of and permits issued for fire protection measures and procedures for systems and buildings.	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 in office permits 3 years after expiration.	
13.09	<b>NORTH CAROLINA FIRE INCIDENT REPORT</b> Includes report required by state statute to document certain fire incidents.  <i>For retention of copies of fire incident reports filed with other agencies, see: GENERAL RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES, Reports (STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS).</i>	Retain original report permanently.	Authority/Retention: G.S. 58-79-45

13: EMS &amp; Fire Department


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2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES



ITEM #	STANDARD 13: EMERGENCY MEDICAL SERVICES AND FIRE DEPARTMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
13.10 	<b>PHARMACEUTICAL AND NARCOTICS RECORDS</b> Records documenting the administration of pharmaceuticals and narcotics to patients as required by the Drug Enforcement Agency.	Destroy in office after 3 years.*	Authority: 21 CFR 1310.03  Confidentiality: G.S. 130A-12  Retention: 21 CFR 1310.04

13: EMS & Fire Department

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2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES



**STANDARD 14: PROGRAM OPERATIONAL RECORDS – PARKS AND RECREATION RECORDS**

Records created and received by Parks and Recreation departments.

ITEM #	STANDARD 14: PARKS AND RECREATION RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
14.01	<b>ADMISSION RECORDS</b> Records of admissions to parks or recreation facilities.	Destroy in office after 3 years.*	
14.02	<b>CITATIONS RECORDS</b> Citations issued by park personnel to persons who violate park rules and regulations.	Destroy in office after 2 years.	
14.03	<b>OFFICIALS FILE</b> Records concerning individuals who officiate games. Includes schedule and correspondence (including e-mail).  SEE ALSO: GENERAL RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES, Payroll and Earnings Records (STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS) or Seasonal and Contract Worker Records (STANDARD 4: HUMAN RESOURCES RECORDS) for disposition of payment records.	Destroy in office after 3 years.	


14: Parks and Recreation

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## 2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES



ITEM #	STANDARD 14: PARKS AND RECREATION RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
14.04	<b>PARKS PLANNING FILE</b> Records concerning master plans and working plans for each park property and recreational facility which show layout, topography, and proposed developments and improvements. Includes drainage and resource maps, aerial maps, site analysis drawings, construction plans, and as-built drawings.  SEE ALSO: GENERAL RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES, Strategic Plan (STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS) AND GENERAL RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES, Maps: Parks (STANDARD 3: GEOGRAPHIC INFORMATION SYSTEMS (GIS) RECORDS).	a) If an element of the Strategic Plan, destroy in office when reference value ends.±  Agency Policy: Destroy in office after _____  b) If not an element of the Strategic Plan, destroy in office when superseded or obsolete.	
14.05	<b>POOL RECORDS</b> Records concerning 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.	
14.06	 <b>RECREATION PROGRAMS</b> Records concerning athletic and recreation programs. Includes staff notes, lesson plans, course descriptions, instruction manuals, schedules, team rosters, reservation records, copies of receipts for fees paid, age verification records, and concession operators list.	a) Destroy in office program records after 3 years.  b) Destroy age verification records when reference value ends.±  Agency Policy: Destroy in office after _____	Confidentiality: G.S. 132-1.12

14: Parks and Recreation

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## 2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES



ITEM #	STANDARD 14: PARKS AND RECREATION RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
14.07	TICKET STUBS	Destroy in office when reference value ends. ±  Agency Policy: Destroy in office after _____	

14: Parks and Recreation

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**STANDARD 15: PROGRAM OPERATIONAL RECORDS – PLANNING AND REGULATION OF DEVELOPMENT RECORDS**

Official records and materials created and accumulated during the conduct of local government planning, regulation of development, and zoning programs.

Community Development Block Grants (CDBG) records are found in Standard 16: Public Housing Authorities, Redevelopment Commissions, and Entitlement Communities Records.

NOTE: Some records are covered by the Local Government Agencies General Records Retention and Disposition Schedule and, therefore, are not listed separately here.

ITEM #	STANDARD 15: PLANNING AND REGULATION OF DEVELOPMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
15.01	<b>BOARD OF ADJUSTMENT CASE FILES AND INDEXES</b> Cases submitted to the board requesting variances from current zoning ordinances. Includes indexes to cases reviewed by the board.	a) Retain indices in office permanently. b) Destroy in office case files after 6 years.*	Retention: G.S. 1-50(5)

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION, page A-5.

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## 2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES



ITEM #	STANDARD 15: PLANNING AND REGULATION OF DEVELOPMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
15.02	<b>CERTIFICATES OF APPROPRIATENESS</b> Certificates submitted by the Historic Preservation Commission allowing alterations to exterior portions of building and structures on or within historic landmarks and districts. Includes applications and other related records.	a) Retain in office certificates for life of structure and then destroy.  b) Destroy in office denied applications when reference value ends. ±  Agency Policy: Destroy in office after _____  c) Destroy in office remaining records when reference value ends. ±  Agency Policy: Destroy in office after _____	Authority: G.S. 160A-400.9
15.03	<b>COMPREHENSIVE PLAN AND AMENDMENTS</b> Official copies of comprehensive plan and all background surveys, studies, reports, draft versions of plans, and supporting documentation.  SEE ALSO: GENERAL RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES, Strategic Plan (STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS).	a) Retain in office permanently adopted plan and amendments.  b) Destroy in office remaining records 3 years after adoption of plan.	

15: Planning and Regulation of Development

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION, page A-5.

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ITEM #	STANDARD 15: PLANNING AND REGULATION OF DEVELOPMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
15.04	<b>CONDITIONAL USE PERMIT RECORDS AND INDEX</b> Records concerning applications for conditional use permits. Permits allow for the construction of buildings, on the condition that impacts on neighborhoods are mitigated. Includes original application, blueprint drawings, investigative reports, planning commission recommendations, cash receipts, and related correspondence (including e-mail). 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 reference value ends. ±  Agency Policy: Destroy in office after _____	
15.05	<b>DECLARATIONS AND BY-LAWS FROM TOWNHOUSES, CONDOMINIUMS, PLANNED RESIDENTIAL DEVELOPMENTS, COMMON AREAS, ETC.</b>	a) If not filed in Register of Deeds or similar agency, retain in office permanently.  b) If filed in Register of Deeds or similar agency, destroy in office when reference value ends. ±  Agency Policy: Destroy in office after _____	Authority: G.S. 47C-2-103
15.06	<b>ENVIRONMENTAL IMPACT STUDIES</b> Records and reports concerning the environmental impact of major projects proposed by localities and reviewed by local officials.	Retain in office permanently.	
15.07	<b>OPEN SPACE CLASSIFICATION CASE FILE</b>	Retain in office permanently.	

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## 2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES



ITEM #	STANDARD 15: PLANNING AND REGULATION OF DEVELOPMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
15.08	<b>PERMITS: TEMPORARY MANUFACTURED HOME</b> 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.	Retention: G.S. 1-50(5)
15.09	<b>PERMITS: ZONING COMPLIANCE</b> For residential uses, non-residential uses, and accessory structures.	<ul style="list-style-type: none"> <li>a) Retain in office permits concerning subdivision, historical structure, major commercial or industrial development, or capital construction, where county or municipality is lead agency, permanently.</li> <li>b) Destroy in office permits concerning subdivision, historic structures, major commercial or industrial development, or capital construction, where county or municipality is not lead agency, 6 years after last entry.</li> <li>c) Destroy in office any other permits and related records 6 years after last entry.</li> </ul>	Retention: G.S. 1-50(5)
15.10	<b>PETITION &amp; REGULATION RECORDS</b>	Destroy in office after 5 years.*	

15: Planning and Regulation of Development

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION, page A-5.

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## 2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES



ITEM #	STANDARD 15: PLANNING AND REGULATION OF DEVELOPMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
15.11	<b>PLANNING REVIEW CASE FILE</b> For required review of site plan, zoning variance, special permit, change of zoning, subdivision creation or enlargement, municipal or county planning action, or other required review; including, but not limited to, maps, plans, sketches, photographs, engineering reports, environmental impact statement and studies, copies of zoning records, project narrative, correspondence (including e-mail), 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 county or 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 county or 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.	Retention: G.S. 1-50(c)
15.12	<b>REZONING RECORDS AND INDEXES</b> Records concerning applications to rezone property within the county or municipality. Includes original applications, review forms, maps of areas involved, copies of investigative reports, copies of relevant planning board minutes, notices of hearings, and development agreements.	Retain in office permanently.	

## 15: Planning and Regulation of Development

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION, page A-5.

± 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.



## 2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES



ITEM #	STANDARD 15: PLANNING AND REGULATION OF DEVELOPMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
15.13	<b>SUBDIVISION RECORDS</b> Includes maps, plats, topographical data, names of streets, records of public utilities, action by council, etc. Also includes preliminary subdivision and group development site plans.  SEE ALSO: GENERAL RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES, Maps: Plats (STANDARD 3: GEOGRAPHIC INFORMATION SYSTEMS RECORDS).	a) If not filed in Register of Deeds or similar agency, retain in office permanently.  b) If filed in Register of Deeds or similar agency, destroy in office when reference value ends. ±  Agency Policy: Destroy in office after _____	
15.14	<b>VARIANCES</b> Includes zoning variances, watershed variances, and subdivision variances.	Retain official copies permanently in the minutes of the Board of Adjustment or other governing body.	
15.15	<b>VIOLATIONS: ZONING</b> Records concerning notices of zoning violations.	Destroy in office after 6 years.*	Retention: G.S. 1-50(5)

15: Planning and Regulation of Development

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**STANDARD 16: PROGRAM OPERATIONAL RECORDS – PUBLIC HOUSING AUTHORITIES, REDEVELOPMENT COMMISSIONS, AND ENTITLEMENT COMMUNITIES RECORDS**

Official records and materials created and received by public housing authorities, redevelopment commissions, and entitlement communities operated by local government agencies. Where there is a local funding match required to qualify for grant programs, all records should be retained according to the grant requirements listed below.

NOTES: Some records, such as those for Section 8 assistance, are covered by the Local Government Agencies General Records Retention and Disposition Schedule and, therefore, are not listed separately here. See Bond Closing Records (Budget, Fiscal, and Payroll Records), Grants (Administration and Management Records), and Grants: Financial (Budget, Fiscal, and Payroll Records). 24 CFR Parts 50-58 lay out the environmental review responsibilities of entities but do not establish specific retention requirements, so these records should be handled in accordance with the requirements of the funding source.

ITEM #	STANDARD 16: PUBLIC HOUSING AUTHORITIES, REDEVELOPMENT COMMISSIONS, AND ENTITLEMENT COMMUNITIES RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
16.01	<b>APPRAISAL PROJECT FILE</b> Evaluations of properties and structures within proposed projects. File includes financial assessments of the worth of real estate and building within proposed project areas. File 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 remaining records 5 years after completion of abandonment of project.*	

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## 2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES



ITEM #	STANDARD 16: PUBLIC HOUSING AUTHORITIES, REDEVELOPMENT COMMISSIONS, AND ENTITLEMENT COMMUNITIES RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
16.02	<b>COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG) RECORDS</b> Records concerning the administration of projects funded under the Community Development Block Grant (CDBG) program, including both direct grants and regrants. Includes applications, reports, audits, certificates, maps, and other related records.	a) Retain records with historical value permanently. b) Destroy in office rejected applications after 1 year. c) Destroy in office remaining records 4 years after execution of the closeout agreement for the grant.	Retention: 24 CFR 570
16.03	<b>COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG) RECORDS: OUTSTANDING LOAN BALANCES</b> Records concerning individual activities under the Community Development Block Grant (CDBG) program for which there are outstanding loan balances, other receivables, or contingent liabilities. Includes reports, audits, and other related records.	a) For recipients, destroy in office 3 years after the receivables or liabilities have been satisfied. b) For subrecipients, destroy in office after such receivables or liabilities have been satisfied.	Retention: 24 CFR 570.502(a)(7)(i)(B)
16.04	<b>COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG) RECORDS: SUBJECT TO REVERSION OF ASSETS PROVISIONS OR CHANGE OF USE OF REAL PROPERTY</b> Records concerning real property which was acquired or improved in whole or in part using Community Development Block Grant (CDBG) funds. Includes reports, audits, and other related records.	a) For recipients, destroy in office 3 years after these provisions no longer apply to the activity. b) For subrecipients, destroy in office when these provisions no longer apply to the activity.	Authority: 24 CFR 570.503(b)(7) 24 CFR 570.505  Retention: 24 CFR 570.502(a)(7)(i)(B)

16: Public Housing

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION, page A-5.


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## 2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES



## 16: Public Housing

ITEM #	STANDARD 16: PUBLIC HOUSING AUTHORITIES, REDEVELOPMENT COMMISSIONS, AND ENTITLEMENT COMMUNITIES RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
16.05	<b>CONTINUUM OF CARE RECORDS</b> Records documenting the participation of the agency in funding by the Department of Housing and Urban Development. Includes required Federal compliance records, program records, financial records, and other related records.	a) Destroy in office records documenting the acquisition, new construction, or rehabilitation of a project site 15 years after the date site is first occupied/used. b) Destroy in office program participant records 5 years after the expenditure of all funds from the grant under which the program participant was served. c) Destroy in office all remaining records after 5 years.	Retention: 24 CFR 578.103(c)
16.06	 <b>CRIMINAL RECORDS CHECKS</b> Records received by the local agency to screen applicants for admission to covered housing programs and for lease enforcement or eviction.	Destroy in office once the purpose for which the record was requested has been accomplished, including expiration of the period for filing a challenge to the PHA action without institution of a challenge or final disposition of any such litigation.	Confidentiality/ Retention: 24 CFR 5.903(g) 24 CFR 5.905(c)

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2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES



ITEM #	STANDARD 16: PUBLIC HOUSING AUTHORITIES, REDEVELOPMENT COMMISSIONS, AND ENTITLEMENT COMMUNITIES RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
16.07	<b>EMERGENCY SOLUTIONS GRANTS (ESG) RECORDS</b> Records documenting the participation of the agency in funding by the Department of Housing and Urban Development. Includes case management records for program participants, required federal compliance records, program records, financial records, and other related records.	a) Destroy records supporting the expenditure of federal funds passed through NC Department of Health and Human Services (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 documenting renovation of an emergency shelter 10 years after the date that ESG funds are first obligated for the renovation.  c) Destroy in office participant records 5 years after the expenditure of all funds from the grant under which the program participant was served.  d) Destroy in office all remaining records after 5 years.	Confidentiality: 24 CFR 576.500(x)  Retention: 24 CFR 576.500(y)
16.08	<b>FAÇADE PROJECT FILES</b> Records documenting the re-granting of funds received by the agency to restore exteriors of architecturally important structures in project areas. Includes contracts, photographs, and correspondence.	Retain in office permanently.	

16: Public Housing

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## 2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES



## 16: Public Housing

ITEM #	STANDARD 16: PUBLIC HOUSING AUTHORITIES, REDEVELOPMENT COMMISSIONS, AND ENTITLEMENT COMMUNITIES RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
16.09	<b>HOME INVESTMENT PARTNERSHIPS PROGRAM RECORDS</b> Records documenting the participation of the agency in funding by the Department of Housing and Urban Development. Includes records concerning designation as a participating jurisdiction, program records, project records, Community Housing Development Organizations records, financial records, program administration records, records concerning other federal requirements, and other related records.	a) Destroy in office rental assistance records 5 years after termination of assistance.* b) Destroy in office written agreements 5 years after termination.* c) Destroy in office 5 years after the affordability period terminates records of individual tenant income verifications, projects rents and inspections, and documents imposing recapture/resale restrictions. d) Destroy in office records covering displacements and acquisition 5 years after final payment.* e) Destroy in office remaining records after 5 years.*	Authority/Retention: 24 CFR 92.508
16.10	<b>HOUSING ASSISTANCE FOR PERSONS WITH DISABILITIES</b> Records documenting the participation of the agency in funding by the Department of Housing and Urban Development. Includes verifications of disability, grant agreements, performance reports, and other related records.	Destroy in office 5 years after the end of the grant term.	Retention: 24 CFR 582.301(c) 24 CFR 583.305(c)

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## 2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES



ITEM #	STANDARD 16: PUBLIC HOUSING AUTHORITIES, REDEVELOPMENT COMMISSIONS, AND ENTITLEMENT COMMUNITIES RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
16.11	<b>HOUSING OPPORTUNITIES FOR PERSONS WITH AIDS (HOPWA) RECORDS</b> Records documenting the participation of the agency in funding by the Department of Housing and Urban Development. Includes grant agreements, performance reports, and other related records.	Destroy in office after 5 years.	Authority/Retention: 24 CFR 574 24 CFR 5.106(d)
16.12	<b>LANDLORD MONITORING RECORDS</b> Records documenting monitoring of landlords of properties used in affordable or subsidized housing programs. Includes certifications and forms and other compliance-related records.	Destroy in office after 5 years.	
16.13	<b>REDEVELOPMENT PLANS</b> Records concerning redevelopment projects. Includes documentation of the review and certification process.	a) Retain in office permanently records concerning approved redevelopment projects.  b) Destroy in office remaining records 2 years after rejection.	

16: Public Housing

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**STANDARD 17: PROGRAM OPERATIONAL RECORDS – PUBLIC TRANSPORTATION SYSTEMS RECORDS**

Records received and created by area transit systems and authorities necessary to meet all statutory requirements.

NOTE: Some records are covered by the Local Government Agencies General Records Retention and Disposition Schedule and, therefore, are not listed separately here.

Comply with requirements of the Federal Transit Administration's **Best Practice Procurement Manual**, Master Agreement MA(11) Section 8 manual.

ITEM #	STANDARD 17: PUBLIC TRANSPORTATION SYSTEMS RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
17.01	<b>AMERICANS WITH DISABILITIES ACT (ADA) PARATRANSIT RECORDS</b> 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.*	Authority: 2 CFR 200.333
17.02	<b>AMERICANS WITH DISABILITIES ACT (ADA) PARATRANSIT VOUCHERS</b> Vouchers submitted by private transportation companies for reimbursement for alternative transportation of public transit clients.	Destroy in office after 5 years.*	Authority: 2 CFR 200.333
17.03	<b>AMERICANS WITH DISABILITIES ACT (ADA) PRE-TRIP INSPECTION FORMS</b>	Destroy in office after 1 year.	Authority: 2 CFR 200.333

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION, page A-5.

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## 2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES



ITEM #	STANDARD 17: PUBLIC TRANSPORTATION SYSTEMS RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
17.04	<b>APPLICATIONS FOR ART-IN-TRANSIT</b> Applications and supporting documentation submitted by regional and national artists for exhibit on agency property.	Destroy in office when reference value ends.± Agency Policy: Destroy in office after _____	
17.05	<b>APPLICATIONS FOR DISCOUNT PASSES</b> Applications, certificates of disability, and supporting documentation used to apply for discount passes.	Destroy in office 3 years after service is terminated or denied.	
17.06	<b>APPLICATIONS FOR TRANSIT SERVICE</b> Includes customer applications, eligibility assessment records, correspondence (including e-mail), health information, riders' guides, and related records.	Destroy in office 3 years after service is terminated or denied.	
17.07	<b>CUSTOMER (RIDER) IDENTIFICATION RECORDS</b> Records concerning customer identification, approvals, denials, and related information.	Destroy in office when reference value ends.± Agency Policy: Destroy in office after _____	
17.08	<b>DISADVANTAGED BUSINESS ENTERPRISE (DBE) RECORDS</b> Includes company's articles of incorporation, financial statements, signed affidavits, letters of reference, declarations, Federal Schedule A or B, and related correspondence (including e-mail).	a) Destroy in office company-specific records 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.	Authority: 2 CFR 200.333
17.09	<b>OPERATOR SHIFT INSPECTION RECORDS</b> Reports and similar records of operator's inspections of vehicle at the beginning and end of shift.	Destroy in office after 5 years.	Authority: 2 CFR 200.333

## 17: Public Transportation

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION, page A-5.

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## 2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES



## 17: Public Transportation

ITEM #	STANDARD 17: PUBLIC TRANSPORTATION SYSTEMS RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
17.10	<b>ROUTE HISTORY RECORDS</b> Includes descriptions of routes, bus stops, passenger lists, and other related records.	Destroy in office when reference value ends.± Agency Policy: Destroy in office after _____	
17.11	<b>SEAT BELT AND RESTRAINT SYSTEM RECORDS</b> Records concerning the use and installation of seat belts and other restraint systems in vehicles.	Destroy in office when reference value ends.± Agency Policy: Destroy in office after _____	
17.12	<b>TRANSIT SCHEDULES</b> Printed route schedules and related information used to generate schedules.	Destroy in office when reference value ends.± Agency Policy: Destroy in office after _____	
17.13	<b>VANPOOL DRIVER APPLICATIONS</b> Applications and supporting records submitted by persons operating vanpool vehicles.	a) Destroy in office accepted applications 3 years after person leaves program.  b) Destroy in office applications for persons not accepted for program after 1 year.	

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# 2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES



## STANDARD 18: PROGRAM OPERATIONAL RECORDS – PUBLIC UTILITIES AND ENVIRONMENTAL/WASTE MANAGEMENT RECORDS

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

ITEM #	STANDARD 18: PUBLIC UTILITIES AND ENVIRONMENTAL/WASTE MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
18.01	<b>ENVIRONMENTAL: COMPREHENSIVE SOLID WASTE MANAGEMENT PLAN AND AMENDMENTS</b>  SEE ALSO: GENERAL RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES, Strategic Plan (STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS).	a) If an element of the Strategic Plan, destroy in office when reference value ends. ±  Agency Policy: Destroy in office after _____  b) If not an element of the Strategic Plan, destroy in office when superseded or obsolete.	Authority: G.S. 130A-309.09A
18.02	<b>ENVIRONMENTAL: CUSTOMER USAGE RECORDS</b> Includes reports, plans or similar records submitted by industrial users or publicly-owned treatment works concerning intended or actual use of the wastewater treatment system.	Destroy in office after 3 years.*	Retention: 40 CFR 403.12(o)(3)
18.03	<b>ENVIRONMENTAL: DAILY DISPOSAL TICKETS</b> Record and/or receipts concerning the disposal of materials at the landfill.	Destroy in office after 3 years.*	

18: Public Utilities and Environmental/Waste

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## 2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES



## 18: Public Utilities and Environmental/Waste

ITEM #	STANDARD 18: PUBLIC UTILITIES AND ENVIRONMENTAL/WASTE MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
18.04	<b>ENVIRONMENTAL: DISCHARGE MONITORING REPORTS</b> Includes discharge and non-discharge monitoring reports submitted to state and/or federal regulatory agencies. Also includes copies of monthly reports required by National Pollution Discharge Elimination System (NPDES) permits.	a) Destroy in office NPDES reports 5 years from date of submission.* b) Destroy in office annual reports 5 years from date of submission.* c) Destroy in office daily reports after 3 years.	Retention: 40 CFR 122.41(3)(j)(2) 15A NCAC 2B .0506
18.05	<b>ENVIRONMENTAL: LANDFILL MONITORING REPORTS</b> Gas and groundwater monitoring records and reports.  SEE ALSO: GENERAL RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES, Audits: Performance (STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS).	a) Retain official reports permanently. b) Destroy in office remaining records after 3 years.	Retention: 15A NCAC 13B .1626(10)
18.06	<b>ENVIRONMENTAL: LANDFILL OPERATIONAL PLAN</b> 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.	Destroy when superseded or obsolete.*	Authority: G.S. 130A-309.09D

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## 2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES



ITEM #	STANDARD 18: PUBLIC UTILITIES AND ENVIRONMENTAL/WASTE MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
18.07	<b>ENVIRONMENTAL: LANDFILL PERMITS</b> Permits and related records of landfills owned or operated by agency. Includes amendments and hazardous waste management permits.	a) Retain construction and operation permit for life of system and then destroy.  b) Destroy in office all other permits and related records after the 5-year reporting period is complete.	Retention: G.S. 130A-294 (b1) (4)
18.08	<b>ENVIRONMENTAL: NOTICE OF VIOLATIONS FOR IMPROPER DISCHARGE OR DISPOSAL FILE</b> Notices issued by agency concerning improper non-stormwater discharge or disposal. Includes improper disposal of waste or products, chlorinated pool discharge, vehicle maintenance facility runoff, food service waste, and other unregulated commercial and industrial discharges.	Destroy in office one year after resolution.	
18.09	<b>ENVIRONMENTAL: OUTSIDE WASTE CLEARANCE RECORDS</b> Records allowing parties outside the operator's jurisdiction to dispose of waste at landfill.	Destroy in office 3 years after expiration of agreement.	
18.10	<b>ENVIRONMENTAL: REPORTS SUBMITTED TO U.S. ENVIRONMENTAL PROTECTION AGENCY (EPA)</b>	Destroy in office after 2 years.*	
18.11	<b>EROSION CONTROL: EROSION AND SEDIMENT AFFIDAVITS</b> Forestry and agricultural affidavits clarifying land use exempt from land-disturbing activity standards.	Destroy in office after 6 years.	

18: Public Utilities and Environmental/Waste

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2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES



ITEM #	STANDARD 18: PUBLIC UTILITIES AND ENVIRONMENTAL/WASTE MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
18.12	<b>EROSION CONTROL: EROSION AND SEDIMENT CONTROL EXHIBIT RECORDS</b>	Destroy in office when reference value ends. ±  Agency Policy: Destroy in office after _____	
18.13	<b>EROSION CONTROL: EROSION AND SEDIMENT CONTROL INSPECTIONS</b> Inspections conducted by agency. Includes inspection requests, notices of violations, denial reports, sketches, plans, correspondence (including e-mail), and similar records concerning the construction, modification or demolition of existing and new roads and construction sites.	Destroy in office 6 years after final site inspection.*	
18.14	<b>EROSION CONTROL: EROSION AND SEDIMENT CONTROL PERMITS</b> Records concerning permits, including permit logs, issued for site construction.	a) Destroy in office records concerning approved permits 3 years after expiration of permit. b) Destroy in office non-approved permits after 3 years.	
18.15	<b>EROSION CONTROL: EROSION AND SEDIMENT CONTROL PLANS</b> Includes approved and disapproved plans submitted to agency. Includes revisions, addendums, and records delineating who is financially responsible for the project.	a) Destroy approved plans in office 3 years after expiration. b) Destroy non-approved plans after 3 years.	Authority: 15A NCAC 04B .0118

18: Public Utilities and Environmental/Waste

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## 2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES



ITEM #	STANDARD 18: PUBLIC UTILITIES AND ENVIRONMENTAL/WASTE MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
18.16	<b>EROSION CONTROL: TROUT BUFFER VARIANCES</b> Includes denials and waivers.  SEE ALSO: PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES, Variances (STANDARD 15: PLANNING AND REGULATION OF DEVELOPMENT RECORDS).	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.	Authority: 15A NCAC 04B .0125
18.17	<b>FLOOD CONTROL: FLOOD CERTIFICATIONS</b> Records concerning lot reviews for construction projects submitted to agency.  SEE ALSO: PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES, Permits: Zoning Compliance (STANDARD 15: PLANNING AND REGULATION OF DEVELOPMENT RECORDS).	Destroy in office when superseded or obsolete.	
18.18	<b>FLOOD CONTROL: FLOOD STUDIES</b> Reviews of stream crossings for construction projects submitted to agency.	Retain in office for life of structure and then destroy.*	
18.19	<b>UTILITIES: DAILY WATER AND WASTEWATER FACILITY OPERATORS LOGS</b> Records concerning water distribution and treatment.	a) Destroy in office records concerning the operation of wastewater treatment facilities after 5 years.*  b) Destroy in office records concerning the operation of water treatment facilities after 3 years.*	Authority: 15A NCAC 18C .1301

18: Public Utilities and Environmental/Waste

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## 2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES



## 18: Public Utilities and Environmental/Waste

ITEM #	STANDARD 18: PUBLIC UTILITIES AND ENVIRONMENTAL/WASTE MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
18.20 	<b>UTILITIES: ELECTRIC POWER AND NATURAL GAS FACILITY ENGINEERING AND SYSTEM PLANS</b> Includes authorizations to construct, building plans, and specifications of privately owned utilities.  SEE ALSO: GENERAL RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES, Strategic Plan (STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS).	a) If an element of the Strategic Plan, destroy in office when reference value ends. ±  Agency Policy: Destroy in office after _____  b) If not an element of the Strategic Plan, destroy in office when superseded or obsolete.	Confidentiality: G.S. 132-1.7
18.21	<b>UTILITIES: ELECTRIC POWER AND NATURAL GAS PERMITS AND APPROVAL RECORDS</b> Permits, approval letters, and other related documentation required by local, state, or federal ordinance, regulation, or statute and issued by agency.	a) Destroy in office permits 5 years after expiration, cancellation, revocation or denial.*  b) Retain approval letters and supporting documentation permanently.	
18.22	<b>UTILITIES: ELECTRIC POWER AND NATURAL GAS SYSTEM MAINTENANCE AND REPAIR RECORDS</b> Records documenting installation, location, specifications, and maintenance history of meters, lines, pipes, pumps, and similar system equipment.	Destroy in office 3 years after equipment is no longer owned and/or operational.	
18.23 	<b>UTILITIES: ELECTRIC POWER AND NATURAL GAS SYSTEM MANAGEMENT PLANS</b>  SEE ALSO: GENERAL RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES, Strategic Plan (STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS).	Retain in office for life of system and then destroy.	Confidentiality: G.S. 132-1.7

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION, page A-5.

± 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.

2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES



ITEM #	STANDARD 18: PUBLIC UTILITIES AND ENVIRONMENTAL/WASTE MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
18.24	<b>UTILITIES: ELECTRIC POWER AND NATURAL GAS SYSTEM PROJECT RECORDS</b>	a) Retain project pre-approval and final approval letters for life of system and then destroy.  b) Destroy in office remaining records 5 years after project is completed.	
18.25	<b>UTILITIES: LANDLORD AGREEMENTS</b> Agreements to automatically transfer utility accounts to landlords when their tenant vacates a property.	Destroy in office 3 years after expiration of agreement.	
18.26	<b>UTILITIES: MAPS (UTILITY INSTALLATIONS &amp; DISTRIBUTIONS)</b> Includes maps, plats, charts, and similar records showing the location of water mains, valves, hydrants, meters, etc., throughout the system.  SEE ALSO: GENERAL RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES, Maps, All Other (STANDARD 3: GEOGRAPHIC INFORMATION SYSTEM (GIS) RECORDS).	Retain for life of system and then destroy.	Authority: 15A NCAC 18C .0300  Confidentiality: G.S. 132-1.7

18: Public Utilities and Environmental/Waste

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2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES



ITEM #	STANDARD 18: PUBLIC UTILITIES AND ENVIRONMENTAL/WASTE MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
18.27	<b>UTILITIES: METER INSTALLATION, TESTING AND CALIBRATION RECORDS (ELECTRIC, WATER, GAS)</b> Includes records concerning the installation or planned installation of meters and connecting any facility to utility system owned or operated by the agency.	a) Destroy in office records verifying installation of meter 3 years after equipment is no longer owned and/or operational.  b) Destroy in office notice to property owners of approval of utility installation after 2 years.  c) Destroy in office remaining records after reference value ends.±  Agency Policy: Destroy in office after _____	
18.28	<b>UTILITIES: PUBLIC UTILITIES INSPECTION FORMS</b> Records relating to the inspection of sanitation, electric, water, gas and sewer utilities submitted to or conducted by agency.	Destroy in office when superseded or obsolete.	

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## 2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES



ITEM #	STANDARD 18: PUBLIC UTILITIES AND ENVIRONMENTAL/WASTE MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
18.29	<b>UTILITIES: PUBLIC UTILITIES SYSTEM ENGINEERING, MAINTENANCE, AND REPAIR RECORDS</b> Includes records documenting installation, authorizations to construct, building plans, location, specifications, and maintenance history, for hydrants, pipes, pumps, valves, and similar system equipment. Includes drainage system maintenance and repair records.	a) Retain in office as built plans and specifications for life of system and then destroy. b) Destroy in office 5 years after equipment is no longer owned and/or operational if unlike replacement occurred. c) Destroy in office 3 years after equipment is no longer owned and/or operational if like replacement occurred. d) Destroy in office background surveys, studies, reports, drafts, and other records when superseded or obsolete.	Authority: 15A NCAC 18C .0300 15A NCAC 2H .0115  Confidentiality: G.S. 132-1.7
18.30	<b>UTILITIES: RECYCLING WATER RECORDS</b> Backwash recycling groundwater records.	Destroy in office when superseded or obsolete.	Authority: 40 CFR 141.76(d)
18.31	<b>UTILITIES: SERVICE INTERRUPTION RECORDS</b> Includes reports, logs, or similar records documenting service interruptions.	Destroy in office after 3 years.*	

## 18: Public Utilities and Environmental/Waste

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2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES



ITEM #	STANDARD 18: PUBLIC UTILITIES AND ENVIRONMENTAL/WASTE MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
18.32	<b>UTILITIES: TAP AND HOOK UP RECORDS</b> 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 reference value ends. ±  Agency Policy: Destroy in office after _____	Confidentiality: G.S. 132-1.1(c)
18.33	<b>UTILITIES: WATER AND WASTEWATER PERMITS AND APPROVAL RECORDS</b> Permits, approval letters, and other related documentation required by local, state, or federal ordinance, regulation, or statute for systems owned or operated by agency. Includes records regarding National Pollutant Discharge Elimination System (NPDES) permits.	a) Retain approval letters and supporting documentation permanently.  b) Destroy in office permits and other records 5 years after expiration, cancellation, revocation or denial.*	Retention: 15A NCAC 18C .0300 15A NCAC 2H .0115 40 CFR 122.28
18.34	<b>UTILITIES: WASTEWATER MAINTENANCE OPERATION REPORTS</b>	Destroy in office after 3 years.	

18: Public Utilities and Environmental/Waste

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## 2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES



ITEM #	STANDARD 18: PUBLIC UTILITIES AND ENVIRONMENTAL/WASTE MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
18.35	<b>WATER QUALITY: LABORATORY OPERATIONS RECORDS</b> Includes documentation of all analytical quality control practices, reporting units, forms, test methods, and related procedures pertaining to certification obtained by agency.  SEE ALSO: GENERAL RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES, Audits: Performance (STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS).	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.*	Authority: 15A NCAC 02H .0805(7)(G) 15A NCAC 02H .1100
18.36	<b>WATER QUALITY: PRETREATMENT PROGRAM RECORDS</b> 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.*	Retention: 15A NCAC 02H .0908(f)(1) 40 CFR 503.17
18.37	<b>WATER QUALITY: PUBLIC WATER SANITARY SURVEY RECORDS</b> Includes reports, summaries, studies, correspondence (including e-mail), and other related records documenting the sanitary condition of system.  SEE ALSO: GENERAL RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES, Audits: Performance (STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS).	a) Destroy in office 10 years after completion of survey.*  b) Destroy in office documentation of corrective measures 2 years after their implementation.	Retention: 40 CFR 141.33 15A NCAC 18C .1526

## 18: Public Utilities and Environmental/Waste

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## 2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES



## 18: Public Utilities and Environmental/Waste

ITEM #	STANDARD 18: PUBLIC UTILITIES AND ENVIRONMENTAL/WASTE MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
18.38	<b>WATER QUALITY: SEWER JETTING AND VECTORING RECORDS</b> Records documenting the routine cleaning of wastewater lines.	Destroy in office after 3 years.	
18.39	<b>WATER QUALITY: SLUDGE TREATMENT RECORDS</b> Includes analyses, certification statements, site restrictions, monitoring records, vector attraction reduction requirements, trip tickets, residual records, control plans and other related documentation conducted by or for agency.	Destroy in office after 5 years.*	Retention: 40 CFR 503.17
18.40	<b>WATER QUALITY: STORMWATER DEVIATION PERMITS</b> Permits issued to single lots. Includes applications, certifications of installations, and related records.	a) Destroy in office permits and contracts 3 years after termination or cancellation.*  b) Destroy in office inspections submitted by owner when superseded or obsolete.	
18.41	<b>WATER QUALITY: VIOLATION RECORDS</b> Includes all documentation of actions taken to correct federal, state or local violations of water and wastewater management standards by agency.	Destroy in office after 5 years.*	Retention: 40 CFR 141.33 15A NCAC 18C .1526
18.42	<b>WATER QUALITY: WATER AND WASTEWATER SYSTEM INSPECTIONS AND TESTS</b> Includes non-compliance inspections and test records conducted by a facility.	Destroy in office after 5 years.	

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# 2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES




## STANDARD 19: PROGRAM OPERATIONAL RECORDS – STREET MAINTENANCE, PUBLIC WORKS, AND ENGINEERING RECORDS

Official records and materials created and accumulated for constructing and maintaining municipal and county-maintained streets and other public works projects, and engineering records.

ITEM #	STANDARD 19: STREET MAINTENANCE, PUBLIC WORKS, AND ENGINEERING RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
19.01	<b>APPRAISAL REPORTS</b> Records appraising privately owned land for compensation in eminent domain projects.  SEE ALSO: GENERAL RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES, Easements and Right-of-Way Agreements (STANDARD 6: LEGAL RECORDS).	Destroy in office after 10 years.	
19.02	<b>CEMETERY DEEDS</b> Copies of deeds for the purchase of agency-owned cemetery plots. Includes applications or deed slips.	a) Retain 1 copy of deed in office permanently.  b) Destroy in office remaining records when reference value ends.±  Agency Policy: Destroy in office after _____	
19.03	<b>CEMETERY INTERMENT RECORDS</b> 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>	

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ITEM #	STANDARD 19: STREET MAINTENANCE, PUBLIC WORKS, AND ENGINEERING RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
19.04	<b>EXCAVATION PERMITS</b> Applications, permits, and billing information for individuals and contractors requesting to work in the county or municipal right-of-way for demolitions or excavations.	a) Destroy in office billing records after 3 years.* b) Destroy in office applications and permits 1 year after expiration. c) Destroy in office applications for which a permit was never issued when reference value ends.± Agency Policy: Destroy in office after _____	
19.05	<b>GRAVE OPENING ORDERS</b> Authorizations to dig graves in agency-owned cemeteries.	Destroy in office after 1 year.	
19.06	<b>INFRASTRUCTURE MAINTENANCE RECORDS</b> Records documenting the general maintenance and upkeep of infrastructure, including roads, traffic lights, and other public works.	Destroy in office after 3 years.	
19.07	<b>PLANNING FILE</b> Includes long-range and immediate plans for paving streets and other projects.	Destroy in office 5 years after superseded or obsolete.	
19.08	 <b>PROJECT RECORDS - CANCELLED</b> Background information for public works and engineering projects explored but not undertaken. Records are used as a reference file and include maps, project information, and the reason that the project failed.	a) Retain records with historical value permanently. b) Destroy in office remaining records when reference value ends.± Agency Policy: Destroy in office after _____	Confidentiality: G.S. 132-1.7

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2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES



ITEM #	STANDARD 19: STREET MAINTENANCE, PUBLIC WORKS, AND ENGINEERING RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
19.09	<b>PROJECT RECORDS – CORE</b> Records used to document the design and construction of public works and engineering projects. Includes final as-built plans and specifications; certificate of completion/closure; policy correspondence (including e-mail), covenants; final estimates and budgetary summaries; geo-technical reports; environmental mitigation agreements; permits for right-of-way use, photographs documenting key aspects of construction as-built; final specifications; and as-built structural calculations.	Destroy originals after life of structure ends.	Confidentiality: G.S. 132-1.7


19: Streets, Public Works, and Engineering

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2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES



ITEM #	STANDARD 19: STREET MAINTENANCE, PUBLIC WORKS, AND ENGINEERING RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
19.10	<p> <b>PROJECT RECORDS – ENGINEERING &amp; COMPLIANCE</b> Records used to document the engineering and technical areas of a public works and engineering project, as well as compliance with regulatory requirements. Includes superseded plans and specifications, agreements for construction and finance, billing information, change orders, force orders, work orders, construction claims, contract documentation, contracts, reports, diaries and narratives, EEO information, material certifications, material testing reports, notice to proceed, permit of entry, postings, pre-construction conference records, final progress payments, punch lists, regulations, shop drawings, and subcontractor information. File also includes environmental review records and proof of compliance with any mitigation measures required as a condition of project authorization.</p> <p>SEE ALSO: GENERAL RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES, Grants (STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS); GENERAL RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES, Grants: Financial (STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS); GENERAL RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES, Payroll and Earnings Records (STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS.)</p>	Destroy in office 6 years after completion or termination of project.*	Confidentiality: G.S. 132-1.7

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**2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES**


ITEM #	STANDARD 19: STREET MAINTENANCE, PUBLIC WORKS, AND ENGINEERING RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
19.11	<b>PROJECT SHEETS FILE</b> Local forms listing property owners, lot or tract size, right-of-way data, tax value, and compensation.	Destroy in office after 5 years.	
19.12	<b>RIGHT-OF-WAY ACQUISITION WORKING RECORDS</b> Includes records of negotiations on acquisition of rights-of-way related to public works and engineering projects, such as 10-day letter of notification, notification of intent to acquire, notice of condemnation action, and other correspondence (including e-mail) relating to right-of-way acquisitions.  SEE ALSO: GENERAL RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES, Easements and Right-of-Way Agreements (STANDARD 6: LEGAL RECORDS).	Destroy in office after 3 years. *	
19.13	<b>STREET NAME AND HOUSE NUMBER FILES</b> Records relating to the assignment of street names and house numbers. May also include records documenting street name changes, and non-temporary street openings and closings.	Retain in office permanently.	

19: Streets, Public Works, and Engineering


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## 2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES



ITEM #	STANDARD 19: STREET MAINTENANCE, PUBLIC WORKS, AND ENGINEERING RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
19.14	<b>STRUCTURAL MAINTENANCE AND ANALYSIS RECORDS</b> Records used for maintenance, review, and analysis of permanent and temporary structures owned by third parties that extend, cross or abut the public right-of-way.   SEE ALSO: GENERAL RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES, Blueprints and Specifications (STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS).	Destroy records pertaining to structure 3 years after the end of life of the structure.	Confidentiality: G.S. 132-1.7
19.15	<b>SURVEY FIELD RECORDS</b> 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.  SEE ALSO: GENERAL RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES, Easements and Right-of-Way Agreements (STANDARD 6: LEGAL RECORDS).	a) Retain records with historical value permanently.  b) Destroy in office remaining records when superseded or obsolete.	
19.16	<b>TRAFFIC ANALYSIS</b> Analysis of vehicle traffic within agency jurisdiction.	Destroy in office after 5 years.	

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2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES



ITEM #	STANDARD 19: STREET MAINTENANCE, PUBLIC WORKS, AND ENGINEERING RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
19.17	<b>TRAFFIC VIDEO RECORDINGS AND DATA</b> Recordings and other data used to monitor traffic levels.	Destroy in office after 30 days.*	

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## 2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES

### STANDARD 20: PROGRAM OPERATIONAL RECORDS - LAW ENFORCEMENT RECORDS (EXCLUDING SHERIFF'S OFFICES)

Records received and created by any local government law enforcement agency (excluding sheriff's offices) necessary to meet all statutory requirements. Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of law enforcement records and G.S. §153A-98 and G.S. §160A-168 regarding confidentiality of personal information of law enforcement officers.

Please note: Records created by county sheriff's offices fall under the purview of the Records Retention Schedule of County Sheriff's Offices.



ITEM #	STANDARD 20: LAW ENFORCEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
20.01	<b>ALARM CALL REPORTS</b> Reports completed by officers responding to alarm calls. Includes listings of alarm type, time received, time arrived, reason for activation, and other related information. Includes forms completed by businesses and residences naming emergency contacts, location of safe, or other related information.	a) If records are made part of a case file, follow disposition instructions for: Case File: Felonies Case File: Misdemeanors  b) Destroy in office after 30 days if not made part of a case file.	
20.02	<b>ALTERNATIVE SENTENCING PROGRAMS</b> Records documenting alternative sentencing programs. Includes work release and weekender service.	Destroy in office 3 years after individual leaves program.	
20.03	 <b>ARREST PROCESSING RECORDS</b> Records used to track a defendant's time and activities while in arrest processing. Includes time of arrival and time to and from each workstation.	Destroy in office 1 year after date of arrest.*	Confidentiality: G.S. 132-1.4

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2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES

ITEM #	STANDARD 20: LAW ENFORCEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
20.04 	<b>ARREST REPORTS</b> Reports concerning arrests made by officers.	a) If records are made part of a case file, follow disposition instructions for: Case File: Felonies Case File: Misdemeanors  b) Destroy in office 5 years from date of arrest if report is not made part of a case file.	Confidentiality: G.S. 132-1.4
20.05	<b>AUCTION RECORDS</b> Records concerning abandoned and unclaimed articles or found property in possession of law enforcement sold at public auction. May include auction receipts of monies received for items sold.	Destroy in office after 3 years.*	
20.06 	<b>CASE FILE: FELONIES</b> Includes investigative reports, complaint reports, fingerprint cards, original arrest reports, copies of warrants, special expenditure report, statements of seized and returned property, interview sheets; case status reports, photographs, court orders, correspondence; officer's notes, court dispositions, audio or video recordings, and other related records.  SEE ALSO: Electronic Recordings of Interrogations, below.	a) Destroy in office records concerning solved cases 20 years after disposition of case and exhaustion of any appeals.*  b) Retain in office records concerning unsolved cases until solved, and then follow disposition instructions in part (a).	Confidentiality: G.S. 132-1.4

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**2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES**

ITEM #	STANDARD 20: LAW ENFORCEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
20.07 	<b>CASE FILE: MISDEMEANORS</b> 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, officer's notes, court dispositions, audio or video recordings, and other related records.	a) Destroy in office records concerning solved malicious misdemeanor cases 3 years after disposition of case and exhaustion of any appeals.* b) Retain in office records concerning unsolved malicious misdemeanor cases until solved, and then follow disposition instructions in part (a). c) Destroy in office records concerning all misdemeanor cases not covered in (a) or (b) after 3 years.*	Confidentiality: G.S. 132-1.4
20.08 	<b>COMMUNICATION RECORDS</b> Recordings, printouts, and logs of telephone, radio, dispatch, 911 emergency calls or texts, and computer aided dispatch (CAD) systems incoming and/or outgoing communications. Includes time and date of call, contents of call, location of call, name of unit sent to scene, and other related information.  SEE ALSO: PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES, 911 Communication Records and Recordings AND Dispatch Records and Recordings.	a) If records are made part of a case file, follow disposition instructions for: Case File: Felonies Case File: Misdemeanors b) Destroy in office after 30 days if not made part of a case file.	Confidentiality: G.S. 132-1.4

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2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES


ITEM #	STANDARD 20: LAW ENFORCEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
20.09 	<b>COMPLAINTS</b> Records concerning complaints to which a unit responded. Includes logs listing name and address of victim, time, date, nature of complaint, responding officer's name, action taken, and other related information.	a) If records are made part of a case file, follow disposition instructions for: Case File: Felonies Case File: Misdemeanors  b) Destroy in office 3 years after resolution if not made part of a case file.	Confidentiality: G.S. 132-1.1(a)
20.10	<b>COMPOSITE INTERVIEWS</b> Summaries of interviews used to determine the physical description of suspects.	a) If records are made part of a case file, follow disposition instructions for: Case File: Felonies Case File: Misdemeanors  b) Destroy in office when reference value ends if not made part of case file.±  Agency Policy: Destroy in office after _____	
20.11 	<b>CRIME ANALYSIS RECORDS</b> Records used to anticipate, prevent, or monitor possible criminal activity. Includes crime reports, photographs, complaints, copies of citations, criminal profile information, and interoffice memoranda generated or accumulated in connection with investigations or directed patrols.	a) If records are made part of a case file, follow disposition instructions for: Case File: Felonies Case File: Misdemeanors  b) Destroy in office when reference value ends if not made part of case file.±  Agency Policy: Destroy in office after _____	Confidentiality: G.S. 132-1.4 G.S. 132-1.7(a2)  Authority/ Confidentiality/ Retention 28 CFR 23.20

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## 2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES

ITEM #	STANDARD 20: LAW ENFORCEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
20.12	<b>DETENTION FACILITY INCIDENT REPORTS</b> Detention facility incident reports. Include 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.   SEE ALSO: GENERAL RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES, Litigation Case Records (STANDARD 6: LEGAL RECORDS).	c) If records are made part of a case file, follow disposition instructions for: Case File: Felonies Case File: Misdemeanors  d) Destroy in office after 3 years if not made part of a case file.*	Confidentiality: G.S. 132-1.1(a)
20.13	<b>DETENTION FACILITY OPERATIONAL RECORDS</b> Records concerning all activities occurring during shifts at detention facilities. Includes 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.	a) If records are made part of a case file, follow disposition instructions for: Case File: Felonies Case File: Misdemeanors  b) Destroy in office when reference value ends if not made part of case file.±  Agency Policy: Destroy in office after _____	
20.14	<b>DETENTION FACILITY PHYSICAL FORCE RECORDS</b> 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.*	

## 20. Law Enforcement Records

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2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES

ITEM #	STANDARD 20: LAW ENFORCEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
20.15	<b>DIVISION OF CRIMINAL INFORMATION AND NATIONAL CRIME INFORMATION CENTER (DCI-NCIC) ENTRIES</b> 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.*	Authority: 28 USC 534
20.16	<b>DIVISION OF CRIMINAL INFORMATION AND NATIONAL CRIME INFORMATION CENTER (DCI-NCIC) VALIDATION RECORDS</b> Requests and proofs of verification for DCI-NCIC or other law enforcement information networks.	Destroy in office after 1 year.*	Authority: 28 USC 534
20.17	<b>DNA SAMPLING RECORDS</b> Records documenting the collection of DNA samples from persons for qualifying offenses. Includes copies of judgments. Original samples are forwarded to the State Crime Lab.	a) If records are made part of a case file, follow disposition instructions for: Case File: Felonies Case File: Misdemeanors  b) Destroy in office 1 year from date sample was obtained if not made part of a case file.	Authority: G.S. 15A-266.8

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2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES

ITEM #	STANDARD 20: LAW ENFORCEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
20.18 	<b>DOMESTIC VIOLENCE RECORDS</b> Restraining orders and related records.	a) If records are made part of a case file, follow disposition instructions for: Case File: Felonies Case File: Misdemeanors  b) Destroy in office after expiration of restraining order if not made part of a case file.	Confidentiality: G.S. 132-1.4
20.19	<b>DRUG AND ALCOHOL TESTING RECORDS</b> Records and reports generated when individuals suspected of being under the influence of or impaired by illegal drugs or alcohol are chemically tested. Includes reports used for persons arrested for driving while impaired by alcohol and/or drugs and breathalyzer analysis reports.  SEE ALSO: Laboratory Case Records, below.	a) Transfer original Driving While Impaired (DWI) reports to county Clerk of Superior Court's office.  b) If records are made part of a case file, follow disposition instructions for: Case File: Felonies Case File: Misdemeanors  c) Destroy in office when reference value ends if not made part of case file.±  Agency Policy: Destroy in office after _____	

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2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES

ITEM #	STANDARD 20: LAW ENFORCEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
20.20 	<b>ELECTRONIC RECORDINGS OF INTERROGATIONS</b> Electronic recordings generated by audio and/or video recording devices of custodial interrogations in an investigation of a juvenile or any person in a criminal investigation.	a) If records are made part of a case file, follow disposition instructions for: Case File: Felonies Case File: Misdemeanors  b) Destroy in office when reference value ends if not made part of case file.±  Agency Policy: Destroy in office after _____	Authority: G.S. 15A-211  Confidentiality: G.S. 7B-3001(b) G.S. 132-1.4A
20.21 	<b>FIELD OBSERVATIONS</b> Records concerning field observations of suspicious persons or vehicles. Includes 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) If records are made part of a case file, follow disposition instructions for: Case File: Felonies Case File: Misdemeanors  b) Destroy in office when reference value ends if not made part of case file.±  Agency Policy: Destroy in office after _____	Confidentiality: G.S. 132-1.4

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2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES

ITEM #	STANDARD 20: LAW ENFORCEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
20.22	<b>FINGERPRINT CARDS</b> Records used to verify a subject's identity. Includes fingerprints and all necessary information required to identify an individual. Also includes records of latent finger and palm prints that were found at the scene of a crime without identification of suspects  <i>Original fingerprint records are forwarded to the State Bureau of Investigation.</i> SEE ALSO: Juvenile Case History Identification Records, below.	a) If records are made part of a case file, follow disposition instructions for: Case File: Felonies Case File: Misdemeanors b) Destroy in office after 3 years if not made part of case file.	Confidentiality: G.S. 132-1.4 Authority: G.S. 15A-502
20.23	<b>FORCIBLE ENTRY RECORDS</b> Records concerning forcible entries made by law enforcement personnel.	Destroy in office after 1 year.	
20.24	<b>FUGITIVE WARRANTS CASE RECORDS</b> Records concerning fugitive warrants sent to a department from another jurisdiction requesting assistance in finding an individual. Includes fugitive profile and warrant.	Destroy in office when reference value ends.± Agency Policy: Destroy in office after _____	

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2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES

ITEM #	STANDARD 20: LAW ENFORCEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
20.25 	<b>IDENTIFICATION PHOTOGRAPHS</b> Photographs (mugshots) of persons arrested in association with formal investigations. Also includes driver's license photos or negatives.  SEE ALSO: Juvenile Case History Identification Records, below.	a) If records are made part of a case file, follow disposition instructions for: Case File: Felonies Case File: Misdemeanors  b) Destroy in office after 3 years if not made part of a case file.	Confidentiality: G.S. 132-1.4
20.26	<b>INCIDENT RESPONSE REPORTS</b> Reports completed by officers responding to incidents. Includes victim, suspect, and witness information; damaged and stolen property reports; statement sheets; Miranda waiver forms; and other related records.	a) If records are made part of a case file, follow disposition instructions for: Case File: Felonies Case File: Misdemeanors  b) Destroy in office when reference value ends if not made part of case file.±  Agency Policy: Destroy in office after _____	Confidentiality: G.S. 132-1.4
20.27	<b>INMATE CLASSIFICATION RECORDS</b> Records concerning classification information gathered by the detention facility while inmates are incarcerated. Also includes incident reports, behavioral or disciplinary reports, interviews, classification level assigned, requested housing moves, and other related records.	Destroy in office 3 years after inmate is released or transferred from the facility.*	

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2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES

ITEM #	STANDARD 20: LAW ENFORCEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
20.28	<b>INMATE COMMITMENT RECORDS</b> 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 reference value ends.±  Agency Policy: Destroy in office after _____	
20.29	<b>INMATE DEATH REPORTS</b> 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.*	Authority: G.S. 153A-224(b)
20.30	<b>INMATE FINANCIAL RECORDS</b> Records concerning individual inmate funds maintained by a detention facility for use by the inmate while incarcerated. Includes 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 after inmate is released or transferred from the facility.*	

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2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES

ITEM #	STANDARD 20: LAW ENFORCEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
20.31 	<b>INMATE GRIEVANCE RECORDS</b> Records concerning grievances filed by inmates and actions taken.	a) If legal action is taken and case adjudicated, destroy in office 5 years after final disposition.  b) If legal action is taken and case non-adjudicated (out-of-court claims), destroy in office 5 years after final disposition or expiration of relevant statute of limitations.  c) Destroy remaining records in office 3 years after inmate is released or transferred from the facility.*	Confidentiality: G.S. 132-1.1(a)
20.32	<b>INMATE MAIL, TELEPHONE, OR VISITOR RECORDS</b> Records concerning telephone calls and mail sent and received by inmates and individuals visiting inmates confined in county or municipal detention facilities. Includes 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.*	
20.33	<b>INMATE MEAL RECORDS</b> Records concerning the planning and scheduling of inmate meals. Includes food service daily shift reports, daily meal sheets, food order forms, kitchen checklists, lists of inmates receiving meals and other related records. File also includes records concerning requests for special diets made by inmates.	Destroy in office after 3 years.*	Retention: 10A NCAC 14J .1723

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2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES




ITEM #	STANDARD 20: LAW ENFORCEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
20.34	<b>INMATE MEDICAL RECORDS</b> Records concerning medical examinations, diagnoses, and treatments of inmates. Includes 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.  SEE ALSO: Juvenile Detention Records, below.	Destroy in office 10 years after inmate's release or parole.	Confidentiality: G.S. 8-53 45 CFR 164.502
20.35	<b>INMATE PERSONAL IDENTIFICATION RECORDS</b> Records concerning changes to be made to an inmate's incarceration file. Includes personal identification changes, superior court calendar, long form dismissals and other related records.	Destroy in office 30 days after receipt.*	

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2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES

ITEM #	STANDARD 20: LAW ENFORCEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
20.36	<b>INMATE RESEARCH REQUESTS</b> 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.	
20.37	 <b>JUVENILE CASE FILES</b> Includes incident and arrest reports, detention orders, disposition instructions, name and address of person having legal and/or physical custody of child, correspondence with county, municipal, or state juvenile services, and other related records.	a) Destroy in office records 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.	Confidentiality: G.S. 7B-3001(b)  Retention:
20.38	 <b>JUVENILE CASE HISTORY IDENTIFICATION RECORDS</b> Includes fingerprints and photographs.	a) Transfer to the State Bureau of Investigation and Federal Bureau of Investigation.  b) Destroy in office agency copies when reference value ends.*±  Agency Policy: Destroy in office after _____	Confidentiality/ Retention: G.S. 7B-2102
20.39	 <b>JUVENILE DETENTION RECORDS</b> Records concerning medical and non-medical information gathered on juvenile inmates held in county or municipal detention facilities.	a) Destroy in office medical records when juvenile reaches 30 years of age.  b) Destroy in office non-medical records when juvenile reaches 18 years of age.	Confidentiality: G.S. 7B-3001(b)

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**2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES**

ITEM #	STANDARD 20: LAW ENFORCEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
20.40 	<b>LABORATORY CASE RECORDS</b> Records concerning cases examined in a crime laboratory; includes reports, notes, charts, and other related records	Retain in office permanently.	Confidentiality: G.S. 132-1.4
20.41 	<b>LAW ENFORCEMENT AUDIO AND VIDEO RECORDINGS</b> Tapes and digital recordings generated by mobile and fixed audio and video recording devices.  Does not include Electronic Recordings of Interrogations, above.	a) If records are made part of a case file, follow disposition instructions for: Case File: Felonies Case File: Misdemeanors  b) Destroy in office after 30 days if not made part of a case file.	Confidentiality: G.S. 132-1.4A G.S. 153A-98
20.42	<b>MULTIPLE FIREARMS SALES REPORTS</b> Reports received from dealers reporting the sale of multiple firearms.	Destroy in office when reference value ends, but within 20 days after receipt. <sup>±</sup>  Agency Policy: Destroy in office after _____	Retention: 18 USC 923(g)(3)(b)
20.43	<b>MULTIPLE FIREARMS SALES REPORTS DESTRUCTION RECORDS</b> Records submitted after 6 months 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.	Authority: 18 USC 923(g)(3)(b)

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2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES


ITEM #	STANDARD 20: LAW ENFORCEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
20.44	<b>ORDINANCE VIOLATIONS CITATIONS</b> Citations issued for violations of municipal and county ordinances.	Destroy in office after 3 years.*	
20.45	<b>PAWNSHOP RECORDS</b> Pawnshop cards and property records submitted to municipal and county law enforcement offices.	a) If records are made part of a case file, follow disposition instructions for: Case File: Felonies Case File: Misdemeanors  b) Destroy in office after 1 year if not made part of a case file.	Authority: G.S. 66-391
20.46	<b>PERMISSION TO SEARCH RECORDS</b> Authorizations for officers to search property, and if necessary, confiscate property deemed pertinent to an investigation.	a) If records are made part of a case file, follow disposition instructions for: Case File: Felonies Case File: Misdemeanors  b) Destroy in office when reference value ends if not made part of a case file.±  Agency Policy: Destroy in office after _____	

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## 2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES

ITEM #	STANDARD 20: LAW ENFORCEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
20.47 	<b>PERMITS: CONCEALED WEAPONS AND HANDGUNS</b> Applications and supporting documentation filed to carry concealed weapons or purchase handguns. Includes background checks and other related records.	a) Destroy in office all approved applications after 5 years. b) Destroy in office denied applications and related records 5 years from date of denial or resolution of petition filed with district court, whichever is longer. c) Destroy in office background checks and related records concerning approved applications when permit is issued.	Authority/ Confidentiality: G.S. 14-415.17 G.S. 132-1.4 G.S. 132-1.7
20.48	<b>PRISON RAPE ELIMINATION ACT (PREA) FILE</b> Allegation, investigation, and incident review records documenting investigations into allegations of sexual abuse or sexual harassment.	Destroy in office 6 years after inmate's release.*  <i>Retention Note: If a minor is involved in the incident, records should be retained until the minor reaches age 30.</i>	Authority: 28 CFR Part 115
20.49	<b>PRISON RAPE ELIMINATION ACT (PREA) DATA FILE</b> Aggregated data for every allegation of sexual abuse at county or municipal lockups.	Destroy in office after 10 years.	Authority/Retention: 28 CFR Part 115.187 28 CFR 115.189(d)
20.50	<b>PRISONER TRANSPORT RECORD</b> Verification forms completed by receiving party of prisoner patient.	Destroy in office after 1 year.	

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## 2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES

ITEM #	STANDARD 20: LAW ENFORCEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
20.51	<b>PROPERTY RECORDS</b> Records concerning confiscated property, evidence, stolen or recovered property, and unclaimed property. Includes descriptions of property and its value, serial numbers, and other related records. Records may also be filed with original incident report.	Destroy in office 3 years after final disposition of property.	
20.52	<b>PURSUIT LOGS</b> Logs concerning pursuits by law enforcement personnel.	a) If records are made part of a case file, follow disposition instructions for: Case File: Felonies Case File: Misdemeanors  b) Destroy in office after 3 years if not made part of a case file.	
20.53	<b>RIDE-ALONG PROGRAM RECORDS</b> Records concerning a law enforcement ride-along program.	Destroy in office after 3 years.*	
20.54	<b>SEXUAL OFFENDER RECORDS</b> Records concerning sexual offenders living within jurisdiction.	a) Destroy in office records of persons registered in the "Sexually Violent Predator Program" when individual is known dead or after 90 years.  b) 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.	Authority: G.S. 14-208  Retention: G.S. 14-208.6A

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## 2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES

ITEM #	STANDARD 20: LAW ENFORCEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
20.55	<b>TRAFFIC ACCIDENT REPORTS</b> Records concerning traffic accidents. Includes general correspondence, 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 after 3 years records concerning accidents not meeting N.C. Division of Motor Vehicles reporting requirements, but for which a report was made.  c) Destroy in office duplicate reports when reference value ends. <sup>±</sup>  Agency Policy: Destroy in office after _____	Confidentiality: 18 USC 2721
20.56	 <b>TRAFFIC CITATIONS AND WARNINGS</b> Citations issued to drivers violating motor vehicle and traffic laws. Includes voided citations and warnings that do not require a fine or court appearance.	a) Transfer original citations to county Clerk of Superior Court's office.  b) If records are made part of a case file, follow disposition instructions for: Case File: Felonies Case File: Misdemeanors  c) Destroy remaining records in office after 1 year.	

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2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES

ITEM #	STANDARD 20: LAW ENFORCEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
20.57	<b>TRESPASS RECORDS</b> Authorizations by property owners, lessees, or managers for law enforcement officers to take action deemed appropriate to remove unauthorized persons and issue trespass warnings.	a) If records are made part of a case file, follow disposition instructions for: Case File: Felonies Case File: Misdemeanors  b) Destroy in office 1 year after expiration if not made part of a case file.	Authority: G.S. 14-159.12-13
20.58	<b>VEHICLE TOWING RECORDS</b> Includes recovery authorizations and consent forms completed by owners to have vehicle towed, removed, stored, or left at the scene.	a) If records are made part of a case file, follow disposition instructions for: Case File: Felonies Case File: Misdemeanors  b) Destroy in office after 1 year if not made part of a case file.	



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# 2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES

## STANDARD 21: PROGRAM OPERATIONAL RECORDS - TAX RECORDS (FOR MUNICIPALITIES)

Records received and created by a municipality for the purposes of collecting taxes. For County Tax Administration records, please refer to the separate County Tax Administration Program Schedule.

ITEM #	STANDARD 21: TAX RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
21.01 	<b>ANIMAL LICENSING RECORDS</b> 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.*	Authority: G.S. 160A-212  Confidentiality: G.S. 105-259 G.S. 132-1.1(b) G.S. 132-1.2 G.S. 160A-208.1
21.02	<b>BEER AND WINE TAXES AND RECORDS</b> Records concerning the levy of privilege taxes on beer and wine.	Destroy in office after 3 years.*	Authority: G.S. 105-133.77-79
21.03 	<b>BICYCLE LICENSE PLATE RECORDS</b> Records concerning issuance of license plates for bicycles.	Destroy in office after 1 year.*	Confidentiality: G.S. 105-259 G.S. 132-1.1(b) G.S. 132-1.2 G.S. 160A-208.1

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION, page A-5.

± 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.

2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES


ITEM #	STANDARD 21: TAX RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
21.04	<b>DELINQUENT TAXPAYER RECORDS</b> Records concerning 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, below.	Destroy in office after 10 years or 3 years after final settlement or 1 year after released by governing board, whichever comes first.*	
21.05	<b>DELINQUENT TAXPAYER RECORDS: ADVERTISEMENT OF TAX LIENS AGAINST REAL PROPERTY</b> Records concerning the municipal taxation officer's publication in the newspaper of delinquent taxpayer and tax sales notices.  SEE ALSO: Delinquent Taxpayer Records, above.	Destroy in office after 10 years.*	Authority: G.S. 105-369
21.06	<b>MOTOR VEHICLE RENTAL TAX RECORDS</b> Records concerning motor vehicle rental tax assessments.	Destroy in office after 3 years.*	
21.07	<b>MUNICIPAL VEHICLE TAX RECORDS</b> Records concerning municipal vehicle taxes levied annually.	Destroy in office after 3 years.*	Authority: G.S. 20-97(b)
21.08	<b>PREPARED FOOD AND BEVERAGE TAX RECORDS</b> Records concerning prepared food and beverage tax assessments.	Destroy in office after 3 years.*	

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION, page A-5.

± 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.



2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES

ITEM #	STANDARD 21: TAX RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
21.09	<b>PRIVILEGE LICENSES, TAXES, AND FEE RECORDS</b> Records concerning the licensing of occupations, businesses, trades, professions, and forms of amusement or entertainment and associated fees and taxes.  SEE ALSO: Animal Licensing Records (above), Beer and Wine Taxes and Records (above), Municipal Vehicle Tax Records (above), Taxicab and Limousine Tax Records (below).	Destroy in office after 3 years.*	Authority: G.S. 160A-194
21.10	 <b>ROOM OCCUPANCY TAX RECORDS</b> Records concerning the administration of room occupancy tax records for those municipalities who have adopted room occupancy taxes.	Destroy in office after 3 years.*	Authority: G.S. 160A-215  Confidentiality: G.S. 105-259 G.S. 132-1.1(b) G.S. 132-1.2 G.S. 160A-208.1

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION, page A-5.

± 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.

2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES

ITEM #	STANDARD 21: TAX RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
21.11	<b>SCHEDULE "B" LICENSES</b> Receipts of licenses issued by municipality in accordance with Article 2, Schedule B of the Revenue Laws of North Carolina. Applies to privilege licenses issued to attorneys-at-law and other professionals, installment paper dealers, and pawnbrokers.	a) Destroy in office 3 years after close of license tax year stubs or detailed settlement records. b) Destroy in office stubs 1 years after audit if settlement records are kept.	Authority: G.S. 105-41 G.S. 105-83 G.S. 105-88 G.S. 153A-152 G.S. 160A-211  Confidentiality: G.S. 105-259 G.S. 132-1.1(b) G.S. 132-1.2 G.S. 160A-208.1
21.12	<b>TAX ABSTRACTS AND LISTS</b> Records concerning 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 value.	Destroy in office after 10 years or two revaluation cycles.	Authority: G.S. 105-309 G.S. 105-296
21.13	<b>TAX EXEMPT PROPERTY FILE</b> Records concerning property that is exempt from taxation.	Destroy in office 5 years after property exemption has expired or at end of life of structure, whichever comes first.	
21.14	<b>TAX LEDGER CARDS OR SHEETS</b>	Destroy in office 5 years after superseded or obsolete.	

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION, page A-5.

± 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.

**2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES**

ITEM #	STANDARD 21: TAX RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
21.15	<b>TAX LEVY/SEIZURE RECORDS</b> Inventory of property taken from property owner by the municipal tax collector to pay back taxes.	a) Destroy in office after 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 are to be retained by that agency.  b) If levy, seizure, and sale are not made, destroy in office forms when reference value ends.±  Agency Policy: Destroy in office after _____	Authority: G.S. 105-366 G.S. 105-367
21.16	<b>TAX LIEN SALES</b> Records concerning sales held to satisfy tax liens.	Destroy in office 10 years after sale.	
21.17	<b>TAX REBATES</b> Records concerning tax rebates given or received.	Destroy in office after 10 years.	
21.18	<b>TAX SCROLLS</b> Records indicating property (real estate and personal) valuation and taxes due.	Destroy in office after 10 years.	
21.19	<b>TAXICAB AND LIMOUSINE TAX RECORDS</b> Records concerning the levy of privilege taxes on taxicabs and limousines.	Destroy in office after 3 years.*	Authority: G.S. 20-97(d)

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION, page A-5.

± 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.



## MANAGING PUBLIC RECORDS IN NORTH CAROLINA

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

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

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

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### ***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.

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### ***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.

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### ***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. The Request for Change in Records Schedule form (see page A-17) can be used for such requests.

---

### ***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. N.C. Gen. Stat. § 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.”

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

- A.** Not all government records are open to public inspection. Exceptions to the access requirements in N.C. Gen. Stat. § 132-6 and the definition of public records in N.C. Gen. Stat. § 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.

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**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.

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**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. Gen. Stat. § 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/government/digital-records/digital-records-policies-and-guidelines/human-readable-preservation>) and check with a records analyst to determine whether your permanent records require a preservation duplicate.

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***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. Two criteria for determining historical value are inherent interest and extraordinary documentation:
- Inherent interest is created by non-routine events, by the involvement of famous parties, and by compelling contexts. For instance, foreclosure proceedings from the 1930s have high historical value because they date from the era of the Great Depression.
  - Extraordinary documentation is found in records that shed light on political, public, or social history. For instance, the records from the replevin case that returned the Bill of Rights to North Carolina hold more historical value than most property case files because of the political history intertwined with this case.

SANC has further elaborated selection criteria that help distinguish records with historical value:

- Do they protect the rights and property of citizens?
- Do they have a long-term impact on citizens?
- Do they document the core functions of an agency?
- Do they document high-level decision-making that shapes an agency's policies or initiatives?
- Do they summarize an agency's activities?

Call a Records Management Analyst for further assistance in assessing historical value.

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***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.



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***Q. I have a lot of unsorted records. What's a good first step for getting a handle on these records?***

- A.** We encourage you to create a file plan of what records you have. When you create this plan, you can match each record to its placement on this schedule or on the appropriate retention schedule. A sample file plan is available on Page A-21. Having a file plan can help you strategize how to best organize your physical or digital records. A file plan is also useful in disaster planning and scheduling destructions.

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***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.

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***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.

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***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.

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***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.

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

- A.** If you are located west of Statesville, call our Western Office in Asheville at (828) 250-3103. 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

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***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 also GENERAL RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES, Audits: Performance, STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS, Audits: Financial, STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS.) Should a dispute arise over an audit, the records that were audited should be retained until that dispute is resolved.

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



## TRANSITORY RECORDS

Transitory records are defined as “record[s] that [have] little or no documentary or evidential value and that need not be set aside for future use.”<sup>3</sup>

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

The Department of Natural and Cultural Resources recognizes that some records may have little or no long-term documentary or evidential value to the creating agency. These records are often called “transitory records.” The following questions and answers discuss types of transitory records commonly created in state government. They may be disposed of according to the guidance below. However, all public employees should be familiar with the General Records Schedule for Local Government Agencies, 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 Records Schedule for Local Government Agencies 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

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<sup>3</sup> Society of American Archivists, *Dictionary of Archives Terminology*.



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

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***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/government/digital-records/digital-records-policies-and-guidelines/digital-signature-policy>

## DESTRUCTION OF PUBLIC RECORDS

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

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

---

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

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

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

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

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

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

---

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

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

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

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

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





919-814-6900

## Destructions Log

County/Municipality				
Division		Section		Branch
Location(s) of Records				

[illegible]

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

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

- A. E-mail is a public record as defined by N.C. Gen. Stat. § 121-5 and N.C. Gen. Stat. § 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](#)) 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.

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### ***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.

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### ***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. N.C. Gen. Stat. § 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.



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***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](#) (N.C. Gen. Stat. § 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, including text messages and social media?***

- 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 3 years. On the General Records Schedule: Local Government Agencies, see Leave Records (Standard 4: HUMAN RESOURCES RECORDS).



## GEOSPATIAL RECORDS

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### ***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

For more information, see **GENERAL RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES, STANDARD 3: GEOGRAPHIC INFORMATION SYSTEM (GIS) RECORDS.**

---

### ***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 <https://it.nc.gov/about/boards-commissions/gicc>.

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.



## SECURITY PRESERVATION COPIES OF RECORDS

---

### ***Q. What is the advantage to having security preservation copies of records stored with the State Archives?***

- A. Having duplicate copies of essential records in a separate location mitigates the risk that you may lose the only physical copy of a given record in a disaster or other records loss event. Maintaining offsite duplicates of records, regardless of format, is a good practice to adopt.

The State Archives creates duplicate copies on microfilm because of the durability of the medium. Silver negative microfilm does not decay for hundreds of years, ensuring that your records maintain their integrity over time.

---

### ***Q. What records will the State Archives back up for us?***

- A. The State Archives provides security imaging services for minutes of major decision-making boards and commissions. We will also image records of adoptions for Social Services agencies as well as maps and plats from Registers of Deeds offices. Once those records are imaged, they are converted to security microfilm. We will store the silver negative (original) microfilm in our security vault. Contact the Records Management Analyst in charge of imaging coordination for the most current information.
- 

### ***Q. How do I start the process of backing up the above listed records?***

- A. We have three processes for creating backup film copies of these records. 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 Records for Security Preservation Copy** form (available online at the [State Archives of North Carolina website](#)) with each shipment. For more detailed instructions, contact a Records Management Analyst.

Secondly, 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. Contact the Records Management Analyst in charge of imaging coordination to schedule an appointment for your books to be imaged. We will make every effort to expedite the filming so that your books will be returned to you as quickly as possible.

Finally, you can submit these records to the State Archives electronically. Please see our procedures in "[Transfer of Minutes in Digital Formats for Microfilming](#)" or contact the Records Management Analyst in charge of imaging coordination for more information.

---

### ***Q. In the event of a records loss, how do I obtain copies of the security preservation copies stored at the State Archives?***

- A. Contact the Records Management Analyst in charge of imaging coordination who will help you 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.



---

***Q. Can I obtain digital copies of the security preservation records?***

- A.** Yes, you can request digital copies of records when you submit them to the State Archives for initial reproduction. Contact the Records Management Analyst in charge of imaging coordination to initiate a request for digital duplicates.

## 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) 250-3103. 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
- Disaster preparedness and recovery
- 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.

To arrange a workshop, please call the State Records Center at 919-814-6900 or contact a Records Management Analyst (<https://archives.ncdcr.gov/government/local/analysts>).

---

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

**A.** Not at this time.

---

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

**A.** We can offer a virtual workshop for your agency upon request. For descriptions of available webinars, see <https://archives.ncdcr.gov/government/training/webinars>. You can also find several online tutorials available on the State Archives of North Carolina website (<https://archives.ncdcr.gov/government/training/online-tutorials-and-resources>).





## Request for Change in Local Government Records Schedule

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

### AGENCY INFORMATION

Requestor name

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

Phone and e-mail

Mailing Address

### CHANGE REQUESTED

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

- ☐ Add a new item  
☐ Delete an existing item

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

- ☐ Change a retention period

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

Title of Records Series in Schedule or Proposed Title:

Inclusive Dates of Records:

Proposed Retention Period:

Description of Records:

Justification for Change:

Requested by:

Signature

Title

Date

Approved by:

Signature

Requestor's Supervisor

Date



## Request for Disposal of Unscheduled Records

### AGENCY INFORMATION

Requestor name

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

Phone and e-mail

Mailing Address

In accordance with the provisions of N.C. GEN. STAT. § 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

Concurred by:

Signature

Assistant Records Administrator  
State Archives of North Carolina

Date



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

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

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

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

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

Requested by:

Signature

Title

Date

Approved by:

Signature

Requestor's Supervisor

Date

Concurred by:

Signature

Assistant Records Administrator  
State Archives of North Carolina

Date





919-814-6900

## File Plan

County/Municipality					
Division		Section		Branch	

[illegible]

## INDEX

- 911 COMMUNICATION RECORDS AND RECORDINGS, 12
- ADMISSION RECORDS, 16
- AFFIRMATIVE ACTION FILE (AIRPORT), 1
- AIR POLLUTION SOURCE INFORMATION, 5
- AIR SPACE CONSTRUCTION FILES, 1
- AIRFIELD INSPECTION FILES, 1
- AIRPORT ACCESS CONTROL RECORDS, 1
- AIRPORT MASTER RECORD FILES, 1
- ALARM CALL REPORTS, 53
- ALTERNATIVE SENTENCING PROGRAMS, 53
- AMBULANCE CALL REPORTS, 12
- AMERICANS WITH DISABILITIES ACT (ADA) PARATRANSIT RECORDS, 31
- AMERICANS WITH DISABILITIES ACT (ADA) PARATRANSIT VOUCHERS, 31
- AMERICANS WITH DISABILITIES ACT (ADA) PRE-TRIP INSPECTION FORMS, 31
- ANIMAL ABUSE AND CRUELTY RECORDS, 3
- ANIMAL COMPLAINT RECORDS, 3
- ANIMAL CONTROL RECORDS, 3
- ANIMAL LICENSING RECORDS (ANIMAL SERVICES), 4
- ANIMAL LICENSING RECORDS (TAX), 73
- ANIMAL SHELTER RECORDS, 4
- APPRAISAL PROJECT FILE (PUBLIC HOUSING), 25
- APPRAISAL REPORTS (STREET MAINTENANCE, PUBLIC WORKS, AND ENGINEERING), 46
- ARREST PROCESSING TRACKING RECORDS, 53
- ARREST REPORTS, 54
- ART-IN-TRANSIT APPLICATIONS, 32
- AUCTION RECORDS, 54
- AUDIO AND VIDEO RECORDINGS (LAW ENFORCEMENT), 67
- BEER AND WINE TAXES AND RECORDS, 73
- BICYCLE LICENSE PLATE RECORDS, 73
- BLUEPRINTS AND SPECIFICATIONS, 5
- BOARD OF ADJUSTMENT CASE FILE, 19
- BUILDING AND FIRE SAFETY SYSTEM PLANS, 13
- BUILDING AND ROAD PERMITTING AND INSPECTION RECORDS, 6
- CASE FILE - FELONIES, 54
- CASE FILE - MISDEMEANORS, 55
- CEMETERY DEEDS, 46
- CEMETERY INTERMENT RECORDS, 46
- CERTIFICATES OF APPROPRIATENESS, 20
- CERTIFICATION FILE. *See* Redevelopment Plans
- CHEMICAL ANALYSIS RECORDS. *See* DRUG AND ALCOHOL TESTING RECORDS
- CITATIONS RECORDS, 16
- COMMUNICATION RECORDS (LAW ENFORCEMENT), 55
- COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG) RECORDS, 26
- COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG) RECORDS: OUTSTANDING LOAN BALANCES, 26
- COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG) RECORDS: SUBJECT TO REVERSION OF ASSETS PROVISIONS OR CHANGE OF USE OF REAL PROPERTY, 26
- COMPLAINTS (LAW ENFORCEMENT), 56
- COMPOSITE INTERVIEWS, 56
- COMPREHENSIVE PLAN AND AMENDMENTS, 20
- COMPREHENSIVE SOLID WASTE MANAGEMENT PLAN & AMENDMENTS, 34
- CONTINUUM OF CARE RECORDS, 27
- CONTROLLED SUBSTANCE EUTHANASIA LOG (ANIMAL SERVICES), 4
- CONTROLLED SUBSTANCE LABS DECONTAMINATION RECORDS, 6
- CRIME ANALYSIS RECORDS, 56
- CRIMINAL RECORDS CHECKS, 27
- CUSTOMER (RIDER) IDENTIFICATION RECORDS, 32
- CUSTOMER USAGE RECORDS, 34
- DAILY DISPOSAL TICKETS (LANDFILL), 34
- DECLARATIONS AND BY-LAWS FROM TOWNHOUSES, CONDOMINIUMS, PLANNED RESIDENTIAL DEVELOPMENTS, AND COMMON AREAS, 21
- DELINQUENT TAXPAYER RECORDS, 74
- DELINQUENT TAXPAYER RECORDS - ADVERTISEMENT OF TAX LIENS AGAINST REAL PROPERTY, 74
- DESTRUCTIONS LOG, A-10
- DETENTION FACILITY INCIDENT REPORTS, 57
- DETENTION FACILITY OPERATIONAL RECORDS, 57
- DETENTION FACILITY PHYSICAL FORCE RECORDS, 57
- DISADVANTAGED BUSINESS ENTERPRISE (DBE) RECORDS, 32
- DISCHARGE MONITORING REPORTS, 35
- DISCOUNT PASSES APPLICATIONS, 32
- DISPATCH RECORDS AND RECORDINGS (EMS AND FIRE DEPARTMENT), 13
- DIVISION OF CRIMINAL INFORMATION AND NATIONAL CRIME INFORMATION CENTER (DCI-NCIC) ENTRIES, 58
- DIVISION OF CRIMINAL INFORMATION AND NATIONAL CRIME INFORMATION CENTER (DCI-NCIC) VALIDATION RECORDS, 58
- DNA SAMPLING RECORDS, 58
- DOMESTIC VIOLENCE RECORDS, 59
- DROUGHT CONTINGENCY PLANS, 6
- DRUG AND ALCOHOL TESTING RECORDS, 59



ELECTRIC POWER AND NATURAL GAS FACILITY  
     ENGINEERING & SYSTEM PLANS, 39  
 ELECTRIC POWER AND NATURAL GAS PERMITS AND  
     APPROVAL RECORDS, 39  
 ELECTRIC POWER AND NATURAL GAS SYSTEM  
     MAINTENANCE & REPAIR RECORDS, 39  
 ELECTRIC POWER AND NATURAL GAS SYSTEM  
     MANAGEMENT PLANS, 39  
 ELECTRIC POWER AND NATURAL GAS SYSTEM PROJECT  
     RECORDS, 40  
 ELECTRONIC RECORDINGS OF INTERROGATIONS, 60  
 EMERGENCY SOLUTIONS GRANTS (ESG) RECORDS, 28  
 ENVIRONMENTAL IMPACT STUDIES, 21  
 EROSION AND SEDIMENT AFFIDAVITS, 36  
 EROSION AND SEDIMENT CONTROL ENFORCEMENT CASES,  
     6  
 EROSION AND SEDIMENT CONTROL EXHIBIT RECORDS, 37  
 EROSION AND SEDIMENT CONTROL INSPECTIONS, 37  
 EROSION AND SEDIMENT CONTROL PERMITS, 37  
 EROSION AND SEDIMENT CONTROL PLANS, 7, 37  
 EXCAVATION PERMITS, 47  
 EXEMPTIONS (VARIANCE) RECORDS, 7  
 FAÇADE PROJECT FILES, 28  
 FIELD OBSERVATIONS, 60  
 FILE PLAN, 22  
 FINGERPRINT CARDS, 61  
 FIRE ALARM AND AUTOMATIC EXTINGUISHER FILE, 13  
 FIRE DISPATCH FILE, 13  
 FIRE INVESTIGATION CASE FILES, 14  
 FIRE SAFETY INSPECTIONS AND PERMITS, 14  
 FLOOD CERTIFICATIONS, 38  
 FLOOD STUDIES, 38  
 FORCIBLE ENTRY RECORDS, 61  
 FUGITIVE WARRANTS CASE RECORDS, 61  
 GOING OUT OF BUSINESS LICENSES, 7  
 GRAVE OPENING ORDERS, 47  
 GROUNDWATER MONITORING RECORDS, 7  
 HISTORIES OF PET OWNERS, 4  
 HOME INVESTMENT PARTNERSHIPS PROGRAM RECORDS,  
     29  
 HOUSING ASSISTANCE FOR PERSONS WITH DISABILITIES,  
     29  
 HOUSING OPPORTUNITIES FOR PERSONS WITH AIDS  
     (HOPWA) RECORDS, 30  
 IDENTIFICATION PHOTOGRAPHS, 62  
 ILLEGAL DUMPING FILE, 7  
 INCIDENT RESPONSE REPORTS, 62  
 INFRASTRUCTURE MAINTENANCE RECORDS, 47  
 INMATE CLASSIFICATION RECORDS, 62  
 INMATE COMMITMENT RECORDS, 63  
 INMATE DEATH REPORTS, 63  
 INMATE FINANCIAL RECORDS, 63  
 INMATE GRIEVANCE RECORDS, 64  
 INMATE MAIL, TELEPHONE, OR VISITOR RECORDS, 64  
 INMATE MEAL RECORDS, 64  
 INMATE MEDICAL RECORDS, 65  
 INMATE PERSONAL IDENTIFICATION RECORDS, 65  
 INMATE RESEARCH REQUESTS, 66  
 INSPECTIONS, 7  
 JUVENILE CASE HISTORY FILES, 66  
 JUVENILE CASE HISTORY IDENTIFICATION RECORDS, 66  
 JUVENILE DETENTION RECORDS, 66  
 LABORATORY CASE RECORDS, 67  
 LABORATORY OPERATIONS RECORDS, 44  
 LAND DEVELOPMENT AND PLANNING STUDIES AND  
     REPORTS (AIRPORT), 2  
 LAND MARKETING AND DEVELOPMENT RECORDS. *See*  
     HOME Investment Partnerships Program Records  
 LANDFILL MONITORING REPORTS, 35  
 LANDFILL OPERATIONAL PLAN, 35  
 LANDFILL PERMITS, 36  
 LANDFILL TONNAGE AND COST FILE, 8  
 LANDLORD AGREEMENTS (UTILITIES), 40  
 LANDLORD MONITORING RECORDS, 30  
 LEAD AND COPPER COMPLIANCE RECORDS, 8  
 MAPS (UTILITY INSTALLATIONS & DISTRIBUTIONS), 40  
 METER TESTING AND CALIBRATION RECORDS (ELECTRIC,  
     WATER, GAS), 41  
 MOTOR VEHICLE RENTAL TAX RECORDS, 74  
 MULTIPLE FIREARMS SALES REPORTS, 67  
 MULTIPLE FIREARMS SALES REPORTS DESTRUCTION  
     RECORDS, 67  
 MUNICIPAL VEHICLE TAX RECORDS, 74  
 NORTH CAROLINA FIRE INCIDENT REPORT, 14  
 NOTICE OF VIOLATIONS FOR IMPROPER DISCHARGE OR  
     DISPOSAL FILE, 36  
 OFFICIALS FILE, 16  
 OPEN SPACE CLASSIFICATION CASE FILE, 21  
 OPERATOR SHIFT INSPECTION RECORDS, 32  
 ORDINANCE VIOLATIONS CITATIONS, 68  
 OUTSIDE WASTE CLEARANCE RECORDS, 36  
 PARKS PLANNING FILE, 17  
 PATIENT CARE REPORTS, 12  
 PAWNSHOP RECORDS, 68  
 PERMISSION TO SEARCH RECORDS, 68  
 PERMITS  
     CONSTRUCTION, 8  
     HANDGUN, 69  
     PUBLIC UTILITIES PROJECTS, 8  
     TEMPORARY MANUFACTURED HOME, 22  
     ZONING COMPLIANCE, 22  
 PETITION & REGULATION RECORDS, 22  
 PHARMACEUTICAL AND NARCOTICS RECORDS, 15



PLANNING FILE (STREET MAINTENANCE, PUBLIC WORKS, AND ENGINEERING), 47  
 PLANNING REVIEW CASE FILE, 23  
 POOL RECORDS, 17  
 PREPARED FOOD AND BEVERAGE TAX RECORDS, 74  
 PRETREATMENT PROGRAM RECORDS, 44  
 PRISON RAPE ELIMINATION ACT (PREA) DATA FILE, 69  
 PRISON RAPE ELIMINATION ACT (PREA) FILE, 69  
 PRISONER AND MENTAL PATIENT TRANSPORT RECORD, 69  
 PRIVILEGE LICENSES, TAXES, AND FEE RECORDS, 75  
 PROJECT RECORDS – CANCELLED (PUBLIC WORKS AND ENGINEERING), 47  
 PROJECT RECORDS – CORE (PUBLIC WORKS AND ENGINEERING), 48  
 PROJECT RECORDS – ENGINEERING & COMPLIANCE, 49  
 PROJECT SHEETS FILE (STREET MAINTENANCE, PUBLIC WORKS, AND ENGINEERING RECORDS, 50  
 PROPERTY MANAGEMENT RECORDS. *See* HOME Investment Partnerships Program Records  
 PROPERTY RECORDS - STOLEN AND RECOVERED, 70  
 PUBLIC UTILITIES INSPECTION FORMS, 41  
 PUBLIC UTILITIES SYSTEM ENGINEERING, MAINTENANCE, AND REPAIR, RECORDS, 42  
 PUBLIC WATER SANITARY SURVEY RECORDS, 44  
 PURSUIT LOGS, 70  
 RABIES VACCINATION RECORDS, 4  
 RADIO LOGS (AIRPORT), 2  
 RECREATION PROGRAMS, 17  
 RECREATIONAL VEHICLE REGISTRATION RECORDS, 9  
 RECYCLING WATER RECORDS, 42  
 REDEVELOPMENT PLANS (PUBLIC HOUSING AND REDEVELOPMENT COMMISSION RECORDS), 30  
 REHABILITATION RECORDS. *See* HOME Investment Partnerships Program Records  
 RELOCATION RECORDS. *See* HOME Investment Partnerships Program Records  
 REPORTS  
     DAILY WATER AND WASTEWATER FACILITY OPERATORS LOGS, 38  
     ENVIRONMENTAL PROTECTION AGENCY (EPA), 36  
     WASTEWATER MAINTENANCE OPERATIONS, 43  
 REQUEST FOR CHANGE IN LOCAL GOVERNMENT RECORDS SCHEDULE, A-19  
 REQUEST FOR DISPOSAL OF ORIGINAL RECORDS DUPLICATED BY ELECTRONIC MEANS, A-21  
 REQUEST FOR DISPOSAL OF UNSCHEDULED RECORDS, A-20  
 REZONING RECORDS AND INDEXES, 23  
 RIDE-ALONG PROGRAM RECORDS, 70  
 RIGHT-OF-WAY ACQUISITION WORKING RECORDS, 50  
 ROOM OCCUPANCY TAX RECORDS, 75  
 ROUTE HISTORY RECORDS, 33  
 SCHEDULE "B" LICENSES, 76  
 SEAT BELT AND RESTRAINT SYSTEM RECORDS, 33  
 SERVICE INTERRUPTION RECORDS, 42  
 SEWER JETTING AND VECTORING RECORDS, 45  
 SEXUAL OFFENDER RECORDS, 70  
 SLUDGE TREATMENT RECORDS, 45  
 SOCIAL MEDIA, A-12  
 SPECIAL USE PERMIT RECORDS AND INDEX, 21  
 STORMWATER DEVIATION PERMITS, 45  
 STREET NAME AND HOUSE NUMBER FILES, 50  
 STRUCTURAL MAINTENANCE AND ANALYSIS RECORDS, 51  
 SUBDIVISION RECORDS, 24  
 SURVEY FIELD RECORDS, 51  
 TAP AND HOOK UP RECORDS, 43  
 TAX ABSTRACTS AND LISTS, 76  
 TAX EXEMPT PROPERTY FILE, 76  
 TAX LEDGER CARDS OR SHEETS, 76  
 TAX LEVY AND SEIZURE RECORDS, 77  
 TAX LIEN SALES, 77  
 TAX REBATES, 77  
 TAX SCROLLS, 77  
 TAXICAB AND LIMOUSINE TAX RECORDS, 77  
 TEXT MESSAGES, A-12  
 TICKET STUBS, 18  
 TRAFFIC ACCIDENT REPORTS, 71  
 TRAFFIC ANALYSIS, 51  
 TRAFFIC CITATIONS, 71  
 TRAFFIC VIDEO RECORDINGS AND DATA, 52  
 TRAFFIC WARNINGS, 71  
 TRANSIT SCHEDULES, 33  
 TRANSIT SERVICE APPLICATIONS, 32  
 TRESPASS RECORDS, 72  
 TROUT BUFFER VARIANCES, 38  
 UNSAFE BUILDINGS FILE, 9  
 VALVE OPERATION FILE, 9  
 VANPOOL DRIVER APPLICATIONS, 33  
 VARIANCES (PLANNING AND REGULATION OF DEVELOPMENT), 24  
 VEHICLE TOWING RECORDS, 72  
 VIOLATIONS  
     BUILDING AND HOUSING, 9  
     SOLID WASTE MANAGEMENT, 10  
     WATER CONSERVATION, 10  
     ZONING, 24  
 WASTEWATER POLLUTION CONTROL AND ABATEMENT RECORDS, 10  
 WASTEWATER QUALITY ANALYSIS RECORDS, 10  
 WATER & WASTEWATER PERMITS & APPROVAL RECORDS, 43  
 WATER & WASTEWATER SYSTEM INSPECTIONS & TESTS, 45  
 WATER ANALYSIS, 11  
 WATER QUALITY VIOLATION RECORDS, 45

WATER SYSTEM OPERATIONS RECORDS, 11

WATER TANKS, SPECIFICATIONS, AND BOOSTER STATIONS  
FILE, 11

## **AGENDA ITEM COVER SHEET**

### **Agenda Item Title:**

Consider Adopting a Resolution to Initiate the Upset Bid Process for 506 Darst Avenue

<b>Date of Meeting:</b> 12/14/2021	<b>Ward # if applicable:</b> 2
<b>Department:</b> City Clerk	<b>Person Submitting Item:</b> Brenda Blanco
<b>Call for Public Hearing:</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<b>Date of Public Hearing:</b> N/A

<b>Explanation of Item:</b>	An offer of \$2,000 has been received for the purchase of 506 Darst Avenue. This represents 50% of the tax value of the vacant lot. The property falls within the boundary of the Redevelopment Commission, and the Commission has determine it has no use for the property and supports initiating the upset bid process.
<b>Actions Needed by Board:</b>	Consider adopting resolution
<b>Backup Attached:</b>	Memo, resolution, offer to purchase, map and picture of the property, tax property card, and estimate of proceeds

<b>Is item time sensitive?</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
<b>Will there be advocates/opponents at the meeting?</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No

<b>Cost of Agenda Item:</b>
<b>If this requires an expenditure, has it been budgeted and are funds available and certified by the Finance Director?</b> <input type="checkbox"/> Yes <input type="checkbox"/> No

**Additional Notes:**



**Aldermen**

Sabrina Bengel  
Jameesha Harris  
Robert V. Aster  
Johnnie Ray Kinsey  
Barbara J. Best  
Jeffrey T. Odham



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New Bern, NC 28563-1129  
(252) 636-4000

Dana E. Outlaw  
Mayor  
Foster Hughes  
City Manager  
Brenda E. Blanco  
City Clerk

**MEMO TO:** Mayor and Board of Aldermen

**FROM:** Brenda Blanco, City Clerk

**DATE:** December 03, 2021

**SUBJECT:** Offer to Purchase 506 Darst Avenue

Mary Peterkin made an offer to purchase 506 Darst Avenue for \$2,000.00. Although GIS indicates there is a structure on the property, Public Works and Development Services have confirmed the parcel is vacant. The tax value of the 0.055-parcel is \$4,000, and the offer represents 50% of that value. The property was acquired jointly by the City and County in March 2018 through tax foreclosure. The unpaid taxes at that time, including interest, penalties, and fees, were \$3,203.76 to Craven County and \$523.67 to the City of New Bern.

The property is located within the boundaries of the Redevelopment Commission, but the Commission has found that it has no need for the small lot. At its meeting on November 10, 2021, the Commission voted unanimously to recommend the Governing Board accept Mrs. Peterkin's bid and initiate the upset bid process. Mrs. Peterkin owns an adjacent lot, and the Commission supports her proposed use of the property, as indicated in the attached memo from Chairman Tharesa Lee.

If the property is sold for the initial bid, the City is projected to receive \$182.23 and the County is projected to receive \$1,817.77 from the proceeds, less the cost to advertise.

/beb

## **RESOLUTION**

THAT WHEREAS, the City of New Bern and Craven County own certain real property identified as 506 Darst Avenue, Craven County parcel identification number 8-008-072; and

WHEREAS, North Carolina General Statute § 160A-269 permits the City to sell property by upset bid after receipt of an offer for the property; and

WHEREAS, the City and Craven County have received an offer to purchase the above described property in the amount of \$2,000.00, submitted by Mary Peterkin; and

WHEREAS, Mary Peterkin has paid the required five percent (5%) deposit on the offer; and

WHEREAS, the real property is located within the City of New Bern's redevelopment area; and

WHEREAS, the Redevelopment Commission of the City of New Bern reviewed Mary Peterkin's proposed usage of the real property on November 10, 2021, and recommends the Board of Aldermen initiate the upset bid procedure.

NOW, THEREFORE, BE IT RESOLVED BY THE BOARD OF ALDERMEN OF THE CITY OF NEW BERN:

Section 1. The Board of Aldermen of the City of New Bern authorizes the sale of its interest in the property described above through the upset bid procedure of North Carolina General Statute § 160A-269.

Section 2. The City Clerk shall cause a notice of the proposed sale to be published. The notice shall describe the property and the amount of the offer, and shall state the terms under which the offer may be upset.

Section 3. Persons wishing to upset the offer that has been received shall submit a sealed bid with their offer to the office of the City Clerk within ten (10) days after the notice of sale is published. At the conclusion of the 10-day period, the City Clerk shall open the bids, if any, and the highest such bid will become the new offer. If there is more than one bid in the highest amount, the first such bid received will become the new offer.

Section 4. If a qualifying higher bid is received, the City Clerk shall cause a new notice of upset bid to be published, and shall continue to do so until a 10-day period has passed without

any qualifying upset bid having been received. At that time, the amount of the final high bid shall be reported to the Board of Aldermen.

Section 5. A qualifying higher bid is one that raises the existing offer by not less than ten percent (10%) of the first \$1,000.00 of that offer and five percent (5%) of the remainder of that offer.

Section 6. A qualifying higher bid must also be accompanied by a deposit in the amount of five percent (5%) of the bid; the deposit may be made in cash, cashier's check or certified check. The City will return the deposit on any bid not accepted, and will return the deposit on an offer subject to upset bid if a qualifying higher bid is received. If the City and County accept the final high bid, the deposit of the final high bidder will be applied to the purchase price at closing, and if the final high bidder is unable to complete the purchase of the property, the deposit shall be forfeited.

Section 7. The terms of the final sale are:

(a) The Board of Aldermen must approve the final high offer before the sale is closed, which it may do within thirty (30) days after the final upset bid period has passed; and

(b) The buyer must pay with cash at the time of closing.

Section 8. The City reserves the right to withdraw the property from sale at any time before the final high bid is accepted, and the right to reject all bids at any time, specifically including the initial offer.

Section 9. If no qualifying upset bid is received after the initial public notice, and if the offer set forth above has not been subsequently rejected, the offer set forth above is hereby accepted, and the appropriate city officials are authorized to execute the instruments necessary to convey the property to Mary Peterkin.

ADOPTED THIS 14<sup>TH</sup> DAY OF DECEMBER, 2021.

---

DANA E. OUTLAW, MAYOR

---

BRENDA E. BLANCO, CITY CLERK



NORTH CAROLINA

OFFER TO PURCHASE AND CONTRACT

CRAVEN COUNTY

MARY J. PETERKIN

, as Buyer, hereby offers to purchase and CRAVEN COUNTY and the CITY OF NEW BERN, collectively as Seller, upon acceptance of said offer, agrees to sell and convey, all of that plot, piece or parcel of land described below (hereafter referred to as the "Property"), upon the following terms and conditions:

1. **REAL PROPERTY:** Located in or near the City of New Bern, Craven County, North Carolina, being known as and more particularly described as:

Street Address: 506 DARST AVE

Subdivision Name:

Tax Parcel ID No.: 8-008-072

Plat Reference:

Being all of that property more particularly described in Deed Book \_\_\_\_\_, Page \_\_\_\_\_ in the Craven County Registry.

2. **PURCHASE PRICE:** The purchase price is \$2000.00 and shall be paid as follows:

(a) \$2000.00, EARNEST MONEY DEPOSIT with this offer by ☐ cash ☒ bank check ☐ certified check to be held by Seller until the sale is closed, at which time it will be credited to Buyer, or until this contract is otherwise properly terminated. In the event this offer is not accepted, then all earnest monies shall be refunded to Buyer. In the event of breach of this contract by Seller, all earnest monies shall be refunded to Buyer upon Buyer's request. In the event of breach of this contract by Buyer, then all earnest monies shall be forfeited to Seller upon Seller's request, but such forfeiture shall not affect any other remedies available to Seller for such breach.

(b) \$ N/A, BALANCE of the purchase price in cash or readily available funds at Closing.

3. **CONDITIONS:**

(a) This contract is not subject to Buyer obtaining financing.

(b) The Property must be in substantially the same or better condition at Closing as on the date of this offer, reasonable wear and tear excepted.

(c) The Property is being sold subject to all liens and encumbrances of record, if any.

(d) Other than as provided herein, the Property is being conveyed "as is".

(e) This contract is subject to the provisions of G.S. §160A-269. Buyer acknowledges that this contract is subject to certain notice provisions and the rights in others to submit upset bids in accordance therewith.

(f) Title shall be delivered at Closing by QUITCLAIM DEED

4. **SPECIAL ASSESSMENTS:** Seller makes no warranty or representation as to any pending or confirmed governmental special assessments for sidewalk, paving, water, sewer, or other improvements on or adjoining the Property, or pending or confirmed owners' association special assessments. Buyer shall take title subject to all pending assessments, if any.

5. **PAYMENT OF TAXES:** Any ad valorem taxes to which the Property is subject shall be paid in their entirety by Buyer.

6. **EXPENSES:** Buyer shall be responsible for all costs with respect to any title search, title insurance, recording of the deed, and its legal fees. Seller shall pay for preparation of a deed and all other documents necessary to perform Seller's obligations under this agreement, and for any excise tax (revenue stamps) required by law.

7. **EVIDENCE OF TITLE:** Not Applicable.

8. **CLOSING:** Closing shall be defined as the date and time of recording of the deed. All parties agree to execute any and all documents and papers necessary in connection with Closing and transfer of title within thirty (30) days of the granting of final approval of the sale by Craven County's Board of Commissioners and the City of New Bern's Board of Aldermen pursuant to G.S. §160A-269. The deed is to be made to MARY J. PETERKIN.

9. **POSSESSION:** Unless otherwise provided herein, possession shall be delivered at Closing.

10. **PROPERTY INSPECTION, APPRAISAL, INVESTIGATION:**

(a) This contract is not subject to inspection, appraisal or investigation, as the Property is being bought "as is." Seller makes no representation as to water, sewer, conditions, title, access, or fitness for any intended use.

(b) **CLOSING SHALL CONSTITUTE ACCEPTANCE OF THE PROPERTY IN ITS THEN EXISTING CONDITION.**

11. **RIGHT OF ENTRY, RESTORATION AND INDEMNITY:** Buyer and Buyer's agents and contractors shall not have the right to enter upon the Property for any purpose without advance written permission of the Seller. If such permission is given, Buyer will indemnify and hold Seller harmless from all loss, damage, claims, suits or costs, which shall arise out of any contract, agreement, or injury to any person or property as a result of any activities of Buyer and Buyer's agents and contractors relating to the Property. This indemnity shall survive this contract and any termination hereof.

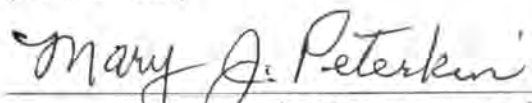
12. **OTHER PROVISIONS AND CONDITIONS:** (ITEMIZE ALL ADDENDA TO THIS CONTRACT AND ATTACH HERETO.): None.

Buyer Initials mjp Seller Initials \_\_\_\_\_

- 13. RISK OF LOSS:** The risk of loss or damage by fire or other casualty prior to Closing shall be upon Seller.
- 14. ASSIGNMENTS:** This contract may not be assigned without the written consent of all parties, but if assigned by agreement, then this contract shall be binding on the assignee and the assignee's heirs, successors or assigns (as the case may be).
- 15. PARTIES:** This contract shall be binding upon and shall inure to the benefit of the parties, i.e., Buyer and Seller and their heirs, successors and assigns. As used herein, words in the singular include the plural and the masculine includes the feminine and neuter genders, as appropriate.
- 16. SURVIVAL:** If any provision herein contained which by its nature and effect is required to be observed, kept or performed after the Closing, it shall survive the Closing and remain binding upon and for the benefit of the parties hereto until fully observed, kept or performed.
- 17. ENTIRE AGREEMENT:** This contract contains the entire agreement of the parties and there are no representations, inducements or other provisions other than those expressed herein. All changes, additions or deletions hereto must be in writing and signed by all parties.
- 18. NOTICE AND EXECUTION:** Any notice or communication to be given to a party herein may be given to the party or to such party's agent. This offer shall become a binding contract (the "Effective Date") when signed by both Buyer and Seller and such signing is communicated to the offering party. This contract is executed under seal in signed multiple originals, all of which together constitute one and the same instrument, with a signed original being retained by each party, and the parties adopt the word "SEAL" beside their signatures below.

BUYER:

(If an individual)

 (SEAL)  
Name: MARY J. PETERKIN  
Date: NOV 29, 2021  
Address: PO BOX 12761  
NEW BERN, NC 28561  
Phone: 252-633-9053

SELLER

CRAVEN COUNTY

By: \_\_\_\_\_ (SEAL)  
Its: \_\_\_\_\_  
Date: \_\_\_\_\_

(If a business entity)

CITY OF NEW BERN

By: \_\_\_\_\_ (SEAL)  
Its: \_\_\_\_\_  
Date: \_\_\_\_\_  
Address: \_\_\_\_\_  
Phone: \_\_\_\_\_

By: \_\_\_\_\_ (SEAL)  
Its: \_\_\_\_\_  
Date: \_\_\_\_\_

Buyer Initials



Seller Initials



**NEW BERN**

**CITY OF NEW BERN**

**Redevelopment Commission of  
The City of New Bern**  
303 First Street, P.O. Box 1129  
New Bern, NC 28563-1129  
(252) 639-7587

*Commission Members*

Maria Cho  
Leander Morgan  
Steve Strickland  
Julian "Jay" Tripp  
Beth Walker  
Tabari Wallace  
John Young

*Chair*

Tharesa Lee

*Co-Chair*

Kip Peregoy

*Ex-Officio Members*

Sabrina Bengel

Barbara Best

Jameesha Harris

TO: Honorable Dana Outlaw, Mayor

FROM: Tharesa Lee, Chairman Redevelopment Commission of New Bern

DATE: November 16, 2021

SUBJECT: Disposition 506 Darst Avenue (PID:8-008-072)

Mayor Outlaw,

At the 11/10/2021 meeting the Redevelopment Commission voted unanimously to recommend the New Bern Board of Alderman determine the property located at 506 Darst Ave be considered surplus property and to initiate the upset bid process for this parcel. Mary Peterkin, owner of an adjacent parcel, desires to utilize the jointly owned city/county property for additional parking to support her proposed mixed-use retail/residential redevelopment plan. The Commission found it has no need for the lot and that Ms. Peterkin's intended use is consistent with the redevelopment plan. The Redevelopment Commission supports Mrs. Peterkin's redevelopment proposal and requests the Board of Alderman surplus and initiate the upset bid process for 506 Darst Ave.





## Craven County Geographic Information System

Craven County does NOT warrant the information shown on this page and should be used ONLY for tax assessment purposes.

This report was created by Craven County GIS reporting services on 12/8/2021 2:28:16 PM

**Parcel ID :** 8-008 -072  
**Owner :** CRAVEN COUNTY & NEW BERN-CITY  
**Mailing Address :** 406 CRAVEN ST NEW BERN NC 28560  
**Property Address :** 506 DARST AVE  
**Description :** 506 DARST\$  
**Lot Description :**



**Subdivision :**

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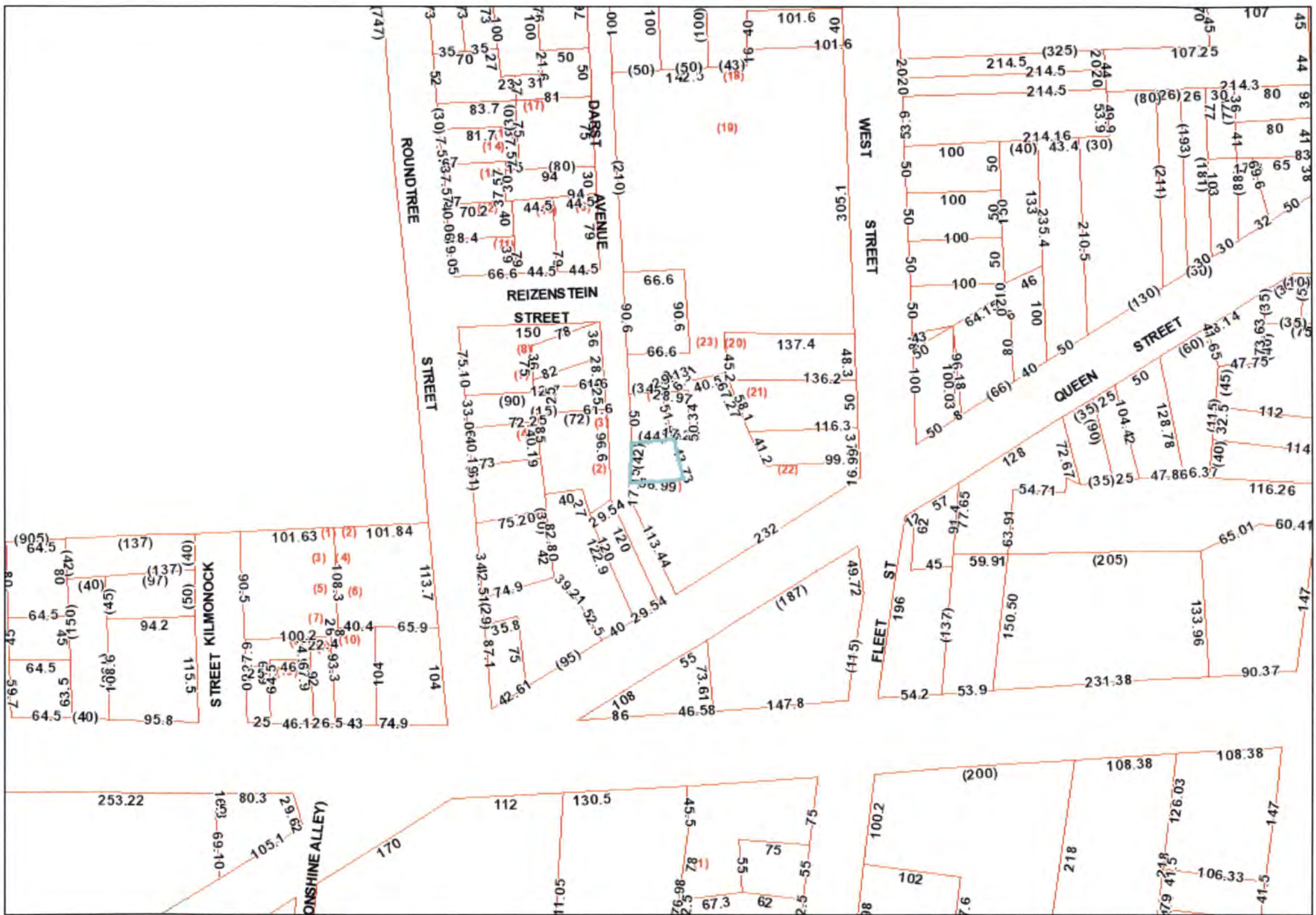
**Assessed Acreage :** 0.055      **Calculated Acreage :** 0.050  
**Deed Reference :** 3528-1868      **Recorded Date :** 3 6 2018  
**Recorded Survey :**  
**Estate Number :**  
**Land Value :** \$4,000      **Tax Exempt :** Yes  
**Improvement Value :** \$14,290      **# of Improvements :** 1  
**Total Value :** \$18,290  
**City Name :** NEW BERN      **Fire tax District :**  
**Drainage District :**      **Special District :**  
**Land use :** RESIDENTIAL - ONE FAMILY UNIT

### Recent Sales Information

SALE DATE	Sellers Name	Buyers Name	Sale Type	Sale Price
3/6/2018	WHITFIELD, LYDIA HRS	CRAVEN COUNTY & NEW BERN-CITY	STRAIGHT TRANSFER	\$4,000
1/1/1944	WHITFIELD, LYDIA	WHITFIELD, LYDIA HRS	STRAIGHT TRANSFER	\$0
1/1/1944	WHITFIELD, LYDIA	WHITFIELD, LYDIA HRS	STRAIGHT TRANSFER	\$0

### List of Improvements to Site

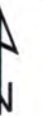
Type of Structure	Year Built	Base Area 1st Floor	Value
RESIDENTIAL CONSTRUCTION	1945	1076	\$14,290



**Craven County GIS** 506 Darst Ave - Tax PID 8-008-072

Craven County does NOT warrant the information shown on this map and should be used ONLY for tax assessment purposes. Printed on December 8, 2021 at 2:32:24 PM

1 inch = 131 feet





**506 Darst Avenue**





## ESTIMATE OF DIVISION OF PROCEEDS

Property: 506 Darst Avenue (Parcel No. 8-008-072)			
Offer Amount			\$ 2,000.00
Less: Reimb to City for publication of notice of offer (approx)		\$ -	
Balance			\$ 2,000.00
County cost reimbursement		\$ 1,765.62	
City cost reimbursement		\$ -	\$ 1,765.62
Remaining Balance			\$ 234.38
County Taxes at Foreclosure	\$ 1,222.87	22.252%	\$ 52.15
City Taxes/Priority Liens at Foreclosure	\$ 4,272.61	77.748%	\$ 182.23
Total Taxes	\$ 5,495.48		
County Total	\$ 1,817.77		
City Total	\$ 182.23		

## **AGENDA ITEM COVER SHEET**

### **Agenda Item Title:**

Consider Adopting a Resolution Approving an Amendment to an Encroachment Agreement for the Elks Building.

<b>Date of Meeting:</b> 12/14/2021	<b>Ward # if applicable:</b> 1
<b>Department:</b> Administration	<b>Person Submitting Item:</b> Foster Hughes, City Manager
<b>Call for Public Hearing:</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<b>Date of Public Hearing:</b>

<b>Explanation of Item:</b>	In August 2017, the City previously approved an encroachment agreement for the “Elks Building”. It is desirous to amend the agreement to modify the term.
<b>Actions Needed by Board:</b>	Consider adopting the resolution
<b>Backup Attached:</b>	Memo, resolution, amendment to encroachment agreement

<b>Is item time sensitive?</b> <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
<b>Will there be advocates/opponents at the meeting?</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No

<b>Cost of Agenda Item:</b>
<b>If this requires an expenditure, has it been budgeted and are funds available and certified by the Finance Director?</b> <input type="checkbox"/> Yes <input type="checkbox"/> No

**Additional Notes:**

**Aldermen**

Sabrina Bengel  
Jameesha Harris  
Robert V. Aster  
Johnnie Ray Kinsey  
Barbara J. Best  
Jeffrey T. Odham



300 Pollock Street, P.O. Box 1129  
New Bern, NC 28563-1129  
(252) 636-4000

Dana E. Outlaw  
Mayor  
Foster Hughes  
City Manager  
Brenda E. Blanco  
City Clerk

**Memorandum**

**TO:** Mayor and Board of Aldermen

**FROM:** Foster Hughes, City Manager

**DATE:** December 10, 2021

**SUBJECT:** Amendment to Encroachment Agreement for Elks Building

The "Elks Building" located at 309 Middle Street includes an underground basement area that encroaches into and under the public right-of-way of Pollock Street and a sprinkler hydrant. The building also includes columns that encroach into the public right-of-way of Pollock Street. The Board approved an Encroachment Agreement in August 2017, the term of which will be modified to expire on December 31, 2121.



**RESOLUTION**

BE IT RESOLVED BY THE BOARD OF ALDERMEN OF THE CITY OF NEW BERN:

That the Amendment to Encroachment Agreement dated \_\_\_\_\_, 202\_\_\_\_  
by and between \_\_\_\_\_, LLC and the City of New Bern, a copy of  
which is attached hereto and incorporated herein by reference, be and the same is hereby  
approved, and the Mayor and City Clerk are hereby authorized and directed to execute the same  
for and on behalf of the City.

ADOPTED THIS 14<sup>th</sup> DAY OF DECEMBER, 2021.

\_\_\_\_\_  
DANA E. OUTLAW, MAYOR

\_\_\_\_\_  
BRENDA E. BLANCO, CITY CLERK

Prepared by and return to:  
Davis Hartman Wright, PLLC  
209 Pollock Street  
New Bern, NC 28560

STATE OF NORTH CAROLINA  
COUNTY OF CRAVEN

AMENDMENT TO  
ENCROACHMENT AGREEMENT

THIS AMENDMENT TO ENCROACHMENT AGREEMENT ("Amendment") is made and entered into this \_\_\_\_ day of January, 2022, by and between the CITY OF NEW BERN, a North Carolina municipal corporation ("City"), and \_\_\_\_\_, LLC, a Delaware limited liability company ("\_\_\_\_\_").

**WITNESSETH:**

THAT WHEREAS, the City entered into an encroachment agreement with New Empire Bern, LLC dated August, 2017 and recorded in Book 3511, Page 909 in the Craven County Registry ("Encroachment Agreement") that established certain encroachment rights for the benefit of New Empire Bern, LLC and future owners of the real property more specifically described in the Encroachment Agreement (such encroachment rights referred to herein as "Encroachment Rights"); and

WHEREAS, \_\_\_\_\_, LLC has acquired the subject real property from New Empire Bern, LLC as evidenced by the deed recorded in Book \_\_\_\_\_, Page \_\_\_\_\_, in the Craven County Registry, and is therefore the successor in interest to the Encroachment Rights; and

WHEREAS, \_\_\_\_\_, LLC or its affiliated entity is making a substantial capital investment in the restoration and rehabilitation of the Elk's Building located on the subject real property, and has requested an extension to the term of the Encroachment Agreement to facilitate the financing of its investment; and

WHEREAS, given the substantial capital investment associated with the restoration and rehabilitation of the Elk's Building, and its considerable, positive economic impact on the City, the Board of Aldermen of the City of New Bern agrees to extend the term of the Encroachment

Agreement as provided herein; and

WHEREAS, the Board of Aldermen further finds that the extension of the Encroachment Agreement as provided herein will not substantially impair or hinder the use Pollock Street as a way of passage.

NOW, THEREFORE, for and in consideration of the sum of Ten and No/100 Dollars (\$10.00) in hand paid and the above premises and covenants herein contained, the receipt and sufficiency of which are hereby acknowledged, the parties hereto covenant and agree to amend the Encroachment Agreement as follows:

SECTION 1. That Paragraph 2 be deleted in its entirety and the following inserted in its stead:

“2. Term and Termination. The Basement Encroachment may exist on, over and under the public right-of-way of Pollock Street through December 31, 2121. Thereafter, and upon one year’s prior written notice from the City, the owner of the Elks Temple Property must vacate the Basement Encroachment as directed in said written notice. Upon such termination of the Basement Encroachment, the owner of the Elks Temple Property shall have no obligation to fill or otherwise improve the Basement Encroachment. The Hydrant Encroachment and Façade Encroachment may remain and continue to be used by the owner of the Elks Temple Property until removed or destroyed as provided in Section 3 herein.”

SECTION 2. That the last sentence of Paragraph 3 be deleted in its entirety and the following inserted in its stead:

“The foregoing shall not apply to the restoration or rehabilitation of the Elks Temple Property by \_\_\_\_\_ LLC or its affiliate in connection with its acquisition, development and operation of the Elks Temple Property.”

SECTION 3. That except as otherwise specifically provided herein, all other terms and conditions of the Encroachment Agreement shall remain unchanged and in full force and effect.

{SIGNATURES ON NEXT PAGE}



IN WITNESS WHEREOF, the parties hereto have caused this Amendment to be duly executed as of the day and year first above written.

\_\_\_\_\_, LLC

By: \_\_\_\_\_ (SEAL)  
\_\_\_\_\_, Manager

STATE OF \_\_\_\_\_  
COUNTY OF \_\_\_\_\_

I certify that the following person(s) personally appeared before me this day, acknowledging to me that he or she voluntarily signed the foregoing document for the purpose stated therein and in the capacity indicated: \_\_\_\_\_.

Date: \_\_\_\_\_

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

\_\_\_\_\_  
Printed Name

[official seal]

My commission expires: \_\_\_\_\_

City of New Bern, a North Carolina  
municipal corporation

By: \_\_\_\_\_  
Dana E. Outlaw, Mayor

ATTEST:

\_\_\_\_\_  
Brenda Blanco, City Clerk

STATE OF NORTH CAROLINA  
COUNTY OF CRAVEN

I, \_\_\_\_\_, a notary public in and for said county and state, do hereby certify that on the \_\_\_\_\_ day of December, 2021, before me personally appeared DANA E. OUTLAW, with whom I am personally acquainted, who, being by me duly sworn, says that he is the Mayor and that BRENDA BLANCO is the City Clerk of the City of New Bern, the municipal corporation described in and which executed the foregoing instrument; that he knows the common seal of said municipal corporation; that the seal affixed to the foregoing instrument is said common seal; that the name of the municipal corporation was subscribed thereto by the said Mayor; that the said common seal was affixed, all by order of the Board of Aldermen of said municipal corporation; and that the said instrument is the act and deed of said municipal corporation.

WITNESS my hand and notarial seal, this \_\_\_\_\_ day of December, 2021.

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

My commission expires:

\_\_\_\_\_

## **AGENDA ITEM COVER SHEET**

**Agenda Item Title:** Seeking Support for the Application that has been Submitted for the Edward Byrne Memorial Justice Assistance Grant in the Amount of \$12,108.00.

<b>Date of Meeting:</b> 12/14/2021	<b>Ward # if applicable:</b>
<b>Department:</b> Police	<b>Person Submitting Item:</b> Patrick Gallagher, Chief of Police
<b>Call for Public Hearing:</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<b>Date of Public Hearing:</b>

<b>Explanation of Item:</b>	Grant funds will be utilized to subscribe to tip411.
<b>Actions Needed by Board:</b>	Seeking Support for the Application that has been Submitted for the Edward Byrne Memorial Justice Assistance Grant in the Amount of \$12,108.00.
<b>Backup Attached:</b>	Grant Application, Memorandum

<b>Is item time sensitive?</b> <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
<b>Will there be advocates/opponents at the meeting?</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No

<b>Cost of Agenda Item:</b> \$0.00
<b>If this requires an expenditure, has it be budgeted and are funds available and certified by the Finance Director?</b> <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

**Additional Notes:**





Founded 1797

# NEW BERN

## NEW BERN POLICE DEPARTMENT

P.O. Box 1129, New Bern, NC 28563-1129

(252) 672-4100

*Police and Community Come Together Here*



Patrick L. Gallagher  
Chief of Police

**TO:** Mayor and Board of Alderman  
**FROM:** Patrick L. Gallagher, Chief of Police  
**SUBJECT:** Edward Byrne Memorial Justice Assistance Grant Program (JAG)  
**DATE:** December 3, 2021

### Background

The New Bern Police Department respectfully requests support for the application that has been submitted for grant funding from FY 2021 Edward Byrne Memorial Justice Assistance Grant Program (JAG). Grant funds would be utilized to subscribe to tip411, a web-based toolset that helps law enforcement engage with the community by enabling anyone with a cell phone to text anonymous tips to authorized personnel within the agency. Tips sent by the public are received in real time and can be responded to in seconds via an interface that allows for secure web and text-based conversations.

Additionally, this project aligns with one of BJA's key "areas of emphasis," namely technologies to support transparency and information sharing between law enforcement and the communities they service. The development of data-driven programs assists with improving public safety and build trust within the community.

### Recommendation

It is recommended that the Board of Alderman support the submitted application for the FY 2021 Edward Byrne Memorial Justice Assistance Grant Program (JAG) to receive funding in the amount of \$12,108.00 to proceed with the subscription to tip411. No matching funds required.



A Nationally Accredited Agency

Integrity – Motivation – Professionalism – Accountability – Commitment – Trust

## **RESOLUTION**

WHEREAS, since at least 2009, the City of New Bern Police Department has submitted applications for funding and received several grant awards from the Edward Byrne Memorial Justice Assistance Grant ("JAG") Program; and

WHEREAS, this year an application was submitted on June 26, 2021 seeking funding in the amount of \$12,108.00, which requires no matching funds; and

WHEREAS, if awarded, the funds will be utilized to subscribe to tip411, a web-based tool that helps law enforcement engage with the community by enabling anyone with a cellphone to text anonymous tips to authorized personnel within the agency.

NOW, THEREFORE, BE IT RESOLVED BY THE BOARD OF ALDERMEN OF THE CITY OF NEW BERN:

That support is hereby expressed for the above-mentioned application submitted to the FY2021 Edward Byrne Memorial Justice Assistance Grant Program for funding to secure a subscription to tip411, which will improve public safety within the community.

ADOPTED THIS 14<sup>TH</sup> DAY OF DECEMBER, 2021.

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DANA E. OULTAW, MAYOR

---

BRENDA E. BLANCO, CITY CLERK

### Application for Federal Assistance SF-424

**\* 1. Type of Submission:**

- ☐ Preapplication  
☒ Application  
☐ Changed/Corrected Application

**\* 2. Type of Application:**

- ☒ New  
☐ Continuation  
☐ Revision

**\* If Revision, select appropriate letter(s):**

**\* Other (Specify):**

**\* 3. Date Received:**

07/26/2021

**4. Applicant Identifier:**

**5a. Federal Entity Identifier:**

**5b. Federal Award Identifier:**

**State Use Only:**

**6. Date Received by State:**

**7. State Application Identifier:**

**8. APPLICANT INFORMATION:**

**\* a. Legal Name:**

City of New Bern

**\* b. Employer/Taxpayer Identification Number (EIN/TIN):**

566000235

**\* c. Organizational DUNS:**

0755472080000

**d. Address:**

**\* Street1:**

300 Pollock Street

**Street2:**

**\* City:**

New Bern

**County/Parish:**

**\* State:**

NC: North Carolina

**Province:**

**\* Country:**

USA: UNITED STATES

**\* Zip / Postal Code:**

28560-4945

**e. Organizational Unit:**

**Department Name:**

**Division Name:**

**f. Name and contact information of person to be contacted on matters involving this application:**

**Prefix:**

Captain

**\* First Name:**

Daren

**Middle Name:**

**\* Last Name:**

Fuller

**Suffix:**

**Title:**

**Organizational Affiliation:**

**\* Telephone Number:**

252-671-2448

**Fax Number:**

**\* Email:**

fullerd@newbernnc.gov



## Application for Federal Assistance SF-424

### \* 9. Type of Applicant 1: Select Applicant Type:

C: City or Township Government

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

\* Other (specify):

### \* 10. Name of Federal Agency:

Bureau of Justice Assistance

### 11. Catalog of Federal Domestic Assistance Number:

16.738

CFDA Title:

Edward Byrne Memorial Justice Assistance Grant Program

### \* 12. Funding Opportunity Number:

O-BJA-2021-35004

\* Title:

BJA FY 21 Edward Byrne Memorial Justice Assistance Grant (JAG) Program - Local Solicitation

### 13. Competition Identification Number:

C-BJA-2021-00149-PROD

Title:

Category 1 - Applicants with eligible allocation amounts of less than \$25,000

### 14. Areas Affected by Project (Cities, Counties, States, etc.):

Add Attachment

Delete Attachment

View Attachment

### \* 15. Descriptive Title of Applicant's Project:

City of New Bern FY21 JAG Program

Attach supporting documents as specified in agency instructions.

Add Attachments

Delete Attachments

View Attachments

**Application for Federal Assistance SF-424****16. Congressional Districts Of:**

\* a. Applicant

3

\* b. Program/Project

3

Attach an additional list of Program/Project Congressional Districts if needed.

Add Attachment

Delete Attachment

View Attachment

**17. Proposed Project:**

\* a. Start Date:

10/01/2020

\* b. End Date:

09/30/2022

**18. Estimated Funding (\$):**

* a. Federal	12,108.00
* b. Applicant	0.00
* c. State	0.00
* d. Local	0.00
* e. Other	0.00
* f. Program Income	0.00
* g. TOTAL	12,108.00

**\* 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**☐ a. This application was made available to the State under the Executive Order 12372 Process for review on☐ b. Program is subject to E.O. 12372 but has not been selected by the State for review.☒ c. Program is not covered by E.O. 12372.**\* 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)**☐ Yes☒ No

If "Yes", provide explanation and attach

Add Attachment

Delete Attachment

View Attachment

**21. \*By signing this application, I certify (1) to the statements contained in the list of certifications\*\* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances\*\* and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)**

☒ \*\* I AGREE

\*\* The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

**Authorized Representative:**

Prefix:

Mr.

\* First Name:

Foster

Middle Name:

\* Last Name:

Hughes

Suffix:

\* Title:

Interim City Manager

\* Telephone Number:

252-636-4000

Fax Number:

\* Email:

hughesf@newbernnc.gov

\* Signature of Authorized Representative:

Daren T Fuller

\* Date Signed:

07/26/2021

## DISCLOSURE OF LOBBYING ACTIVITIES

**Complete this form to disclose lobbying activities pursuant to 31 U.S.C.1352**

OMB Number: 4040-0013  
Expiration Date: 02/28/2022

<b>1. * Type of Federal Action:</b> <input type="checkbox"/> a. contract <input checked="" type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	<b>2. * Status of Federal Action:</b> <input type="checkbox"/> a. bid/offer/application <input checked="" type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	<b>3. * Report Type:</b> <input checked="" type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change
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**4. Name and Address of Reporting Entity:**  
☒ Prime    ☐ SubAwardee  
 \* Name   
 \* Street 1     Street 2   
 \* City     State     Zip   
 Congressional District, if known:

**5. If Reporting Entity in No.4 is Subawardee, Enter Name and Address of Prime:**

<b>6. * Federal Department/Agency:</b> <input style="width: 450px;" type="text" value="Bureau of Justice Assistance"/>	<b>7. * Federal Program Name/Description:</b> <input style="width: 450px;" type="text" value="Edward Byrne Memorial Justice Assistance Grant Program"/> CFDA Number, if applicable: <input style="width: 100px;" type="text" value="16.738"/>
<b>8. Federal Action Number, if known:</b> <input style="width: 450px;" type="text"/>	<b>9. Award Amount, if known:</b> \$ <input style="width: 150px;" type="text" value="12,108.00"/>

**10. a. Name and Address of Lobbying Registrant:**  
 Prefix  \* First Name  Middle Name   
 \* Last Name  Suffix   
 \* Street 1     Street 2   
 \* City     State     Zip

**b. Individual Performing Services** (including address if different from No. 10a)  
 Prefix  \* First Name  Middle Name   
 \* Last Name  Suffix   
 \* Street 1     Street 2   
 \* City     State     Zip

**11.** Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when the transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

<b>* Signature:</b> <input style="width: 250px;" type="text" value="Daren T Fuller"/>	<b>* Name:</b> Prefix <input style="width: 50px;" type="text" value="Mr."/> * First Name <input style="width: 150px;" type="text" value="Foster"/> Middle Name <input style="width: 150px;" type="text"/> * Last Name <input style="width: 150px;" type="text" value="Hughes"/> Suffix <input style="width: 80px;" type="text"/>
<b>Title:</b> <input style="width: 250px;" type="text" value="Interim City Manager"/>	<b>Telephone No.:</b> <input style="width: 150px;" type="text"/> <b>Date:</b> <input style="width: 100px;" type="text" value="07/26/2021"/>



**Edward Byrne Memorial Justice Assistance Grant (JAG) Program  
Budget Narrative – City of New Bern, NC Police Department  
FY 2021 Local Application**

**Attachment: Budget and Budget Narrative**

**Budget**

<b>Equipment</b>	<b>Cost per unit</b>	<b>Quantity</b>	<b>Total Cost</b>
Tip411 Pro Web based tools for two-way anonymous tip communications, tip management, community alerts and social media publishing	12,108	1	\$12,108.00
<b>Total Federal Request</b>			<b>\$12,108.00</b>

**Budget Narrative**

FY 2021 JAG funds are proposed for the following:

A three-year subscription with tip411 Pro, which provides web-based tools for two-way anonymous tip communications, tip management, community alerts and social media publishing. The subscription includes agency-branded iOS and Android mobile apps for citizen engagement that includes anonymous tips, crime map, push notifications and more. It will be free for the public to download. Tip411's public relations director will provide launch materials to communicate the benefit of tip411 to the media and public, and will provide ongoing support to the Department.

The tip411 Pro subscription includes custom public and private groups for targeting text and emails alerts; RSS feed ready to connect to Facebook, Twitter, LexisNexis Community Crime Maps, and the Department's website; assistance with social media setup and best practices; unlimited login credentials for administrators; unlimited receipt, response, and storage of text and web tips; unlimited alerts; unlimited opt in subscribers to community alerts; dynamically searchable tip database for correlating tip intelligence; command staff best practices and administrator training and support; and access to the tip411 promotional kit, which includes customizable templates, web banner templates and other graphical files to assist with creating awareness.

**Edward Byrne Memorial Justice Assistance Grant (JAG) Program  
Program Narrative – City of New Bern, NC Police Department  
FY 2021 Local Application**

**Attachment: Program Narrative**

The mission of the New Bern, NC Police Department is to positively impact the community by partnering with citizens and businesses to improve the quality of life and maintain a safe place to live, work and visit. The New Bern Police Department employs a community policing philosophy in an attempt to reduce crime and increase partnerships throughout the community. Throughout the year, we emphasize these partnerships and set aside time outside of typical duties to converse and socialize with members of our community. At events such as Coffee with a Cop, National Night Out, Citizens Police Academy, and many city functions, you can find officers in a relaxed setting, proactively engaging the community. Along with these events, officers attended 23 community watch meetings and conducted 718 hours of foot and bike patrols.

With JAG funding this year, the New Bern PD would like to subscribe to tip411, a web-based toolset that helps law enforcement engage with the community. Used in over 2,000 communities throughout the U.S., tip411 enables anyone with a cell phone to text anonymous tips to authorized personnel within an agency. Tips sent by the public are received in real time and can be responded to in seconds via an interface that allows for secure web and text-based conversations. The New Bern PD believes that this tool will further our community policing efforts; in particular, the anonymous tip function will help build trust between the department and the public.

**Edward Byrne Memorial Justice Assistance Grant (JAG) Program  
Program Narrative – City of New Bern, NC Police Department  
FY 2021 Local Application**

Additionally, this project aligns with one of BJA's key "areas of emphasis," namely Technologies to Support Transparency and Information Sharing between Law Enforcement and Communities. Tip411's software solutions enhance agency transparency with the capability of facilitating information sharing with the public, promoting an agency's work, and developing data-driven programs that improve public safety and build trust.

Staff in the Department's Investigations and Services Division will be responsible for collecting the data required for this program's performance measures, and will ensure the proper and timely recording of them in BJA's Performance Management Tool (PMT).



## **AGENDA ITEM COVER SHEET**

### **Agenda Item Title:**

Consider adopting an amendment to the FY 2021-22 annual adopted budget.

<b>Date of Meeting:</b> 12/14/2021	<b>Ward # if applicable:</b>
<b>Department:</b> Finance	<b>Person Submitting Item:</b> Kim Ostrom, Interim Finance Director
<b>Call for Public Hearing:</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<b>Date of Public Hearing:</b>

<b>Explanation of Item:</b>	The budget amendment allocates \$24,230 for City employee holiday gift cards and recognizes a \$12,108 grant from the Edward Byrne Memorial JAG Program.
<b>Actions Needed by Board:</b>	Adopt ordinance amendment.
<b>Backup Attached:</b>	Memo, Ordinance Amendment

<b>Is item time sensitive?</b> <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
<b>Will there be advocates/opponents at the meeting?</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No

<b>Cost of Agenda Item:</b>
<b>If this requires an expenditure, has it been budgeted and are funds available and certified by the Finance Director?</b> <input type="checkbox"/> Yes <input type="checkbox"/> No

**Additional Notes:**



TO: City Manager, Honorable Mayor and Members of the Board of Aldermen  
FROM: Kim Ostrom – Interim Finance Director  
DATE: December 3, 2021  
RE: Amendments to the FY 2021-22 Operating Budget

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The following are amendments to the Fiscal Year 2021-22 Operating Budget:

**General Fund**

The General Fund is amended to allocate \$24,230 for City employee holiday gift cards. The Board of Aldermen requested at the November 9, 2021 meeting to give City employees a gift card for the 2021 holidays to recognize their service to the City and its citizens.

**Grants Fund**

The Grants Fund is amended to recognize a grant awarded in the amount of \$12,108 from the Bureau of Justice Assistance on behalf of the Edward Byrne Memorial Justice Assistance Grant (JAG) Program. The grant does not require a match from the City.

**Requested Action**

The Board considers adopting the enclosed budget amendment at its meeting on December 14, 2021.

CITY OF NEW BERN, NORTH CAROLINA  
REQUESTED AMENDMENT TO  
Fiscal Year 2021-2022

FROM: Kim Ostrom, Interim Finance Director

Meeting Date: December 14, 2021

EXPLANATION:

The General Fund is amended to allocate \$24,230 for City employee holiday gifts cards. The Grants Fund is amended to recognize a grant in the amount of \$12,108 from the Bureau of Justice Assistance on behalf of the Edward Byrne Memorial Justice Assistance Grant ("JAG") Program. The grant does not require a match from the City.

BE IT ORDAINED BY THE BOARD OF ALDERMEN OF THE CITY OF NEW BERN  
THAT THE 2021-2022 ANNUAL BUDGET ORDINANCE IS AMENDED AS FOLLOWS:

Section 1 - Appropriations

Schedule A - GENERAL FUND

Increase: Contingency \$ 24,230

Schedule K - GRANTS FUND

Increase: Police Grants \$ 12,108

Section 2 - Estimated Revenues

Schedule A - GENERAL FUND

Increase: Fund Balance Appropriated \$ 24,230

Schedule K - GRANTS FUND

Increase: Police Grants \$ 12,108

NATURE OF TRANSACTION:

☒ ADDITIONAL REVENUE AVAILABLE FOR APPROPRIATION  
☐ TRANSFER WITHIN ACCOUNTS OF SAME FUND  
☒ OTHER: FUND BALANCE APPROPRIATION

APPROVED BY THE BOARD OF ALDERMEN AND  
ENTERED ON MINUTES DATED DECEMBER 14, 2021  
AGENDA ITEM NUMBER \_\_\_\_\_

\_\_\_\_\_  
BRENDA E. BLANCO, CITY CLERK



# State Employees' Credit Union



*New Bern/Howell Road*

December 1, 2021

City Of New Bern  
Attn: Mr. Foster Hughes  
New Bern NC

Re: Gift Cards

Dear Mr. Hughes:

SECU will be able to provide 480 gift cards—470 gift cards valued at \$50 and 10 gift cards valued at \$25. The fee for each card will be \$1—total \$480. Please provide us a check for \$24,230. Once we receive the funds we will order the gift cards and have them FEDEX to our branch. They will be ready for pick up no later than December 6, 2021.

If I can be of further assistance please let me know.

Sincerely

Beth P Posta  
Vice President/City Executive

## **AGENDA ITEM COVER SHEET**

### **Agenda Item Title:**

Consider adopting an ordinance amendment to recognize the additional amount received for the FY 2021 CDBG Entitlement Grant Award

<b>Date of Meeting:</b> 12/14/2021	<b>Ward # if applicable:</b>
<b>Department:</b> Finance	<b>Person Submitting Item:</b> Kim Ostrom, Interim Finance Director
<b>Call for Public Hearing:</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<b>Date of Public Hearing:</b>

<b>Explanation of Item:</b>	The ordinance recognizes an additional \$3,902 CDBG Entitlement award for FY 2021 received
<b>Actions Needed by Board:</b>	Adopt Ordinance Amendment
<b>Backup Attached:</b>	Memo; Budget Ordinance Amendment

<b>Is item time sensitive?</b> <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
<b>Will there be advocates/opponents at the meeting?</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No

<b>Cost of Agenda Item:</b>
<b>If this requires an expenditure, has it been budgeted and are funds available and certified by the Finance Director?</b> <input type="checkbox"/> Yes <input type="checkbox"/> No

**Additional Notes:**



TO: City Manager, Honorable Mayor and Members of the Board of Aldermen

FROM: Kim Ostrom – Interim Finance Director

DATE: December 3, 2021

RE: Ordinance Amendment to the Community Development Block Grant  
("CDBG") Entitlement Cities Fund

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### **Background**

On September 10, 2013, the Board adopted a resolution authorizing the staff to pursue Community Development Block Grant (CDBG) Entitlement City status with the U.S. Department of Housing and Urban Development (HUD), which allows the City to receive funds through an annual allocation rather than having to compete with other small cities and counties for state CDBG funds. The City of New Bern received the Entitlement City status and continues to receive annual funding awards.

### **Current**

The City's initial CDBG FY 2021 allocation amount was \$264,866 and an ordinance amendment was adopted by the Board on June 22, 2021. HUD increased the FY 2021 allocations and the City of New Bern's revised allocation is \$268,768, which is \$3,902 more than the original allocation. This ordinance amendment recognizes the increased grant amount.

### **Requested Action**

The Board considers adopting the enclosed budget amendment at its meeting on December 14, 2021.

**AN ORDINANCE TO AMEND THE GRANT ORDINANCE  
Entitlement Cities Community Development Block Grant ("CDBG") Fund**

BE IT ORDAINED BY THE BOARD OF ALDERMEN OF THE CITY OF NEW BERN:

Section 1. That Section 3 of the Entitlement Cities CDBG Grant Fund Ordinance adopted on August 12, 2014 is hereby amended to recognize subsequent year grant award revenues.

Increase: Grant Revenues \$3,902

Section 2. That Section 4 of the Entitlement Cities CDBG Grant Fund Ordinance adopted on August 12, 2014 is hereby amended to recognize additional appropriations for the grant programs.

Increase: Development Services - SRF \$3,902

Section 3. This amendment shall become effective upon adoption.

ADOPTED, THIS THE 14<sup>TH</sup> DAY OF DECEMBER, 2021

\_\_\_\_\_  
DANA E. OUTLAW, MAYOR

\_\_\_\_\_  
BRENDA E. BLANCO, CITY CLERK



**Aldermen**

Sabrina Bengel  
Jameesha Harris  
Robert V. Aster  
Johnnie Ray Kinsey  
Barbara J. Best  
Jeffrey T. Odham



**Dana E. Outlaw**  
Mayor  
**Foster Hughes**  
City Manager  
**Brenda E. Blanco**  
City Clerk

**Memorandum**

**TO:** Alderman Jeffrey Odham

**FROM:** Brenda Blanco, City Clerk

**DATE:** October 1, 2021

**SUBJECT:** Appointment to Community Development Advisory Committee

Lindsay Best has moved outside of the city limits of New Bern. Therefore, she is ineligible to continue serving on the Community Development Advisory Committee. You are asked to make a new appointment to finish out her term, which will expire on June 30, 2024.

/beb

**Aldermen**

Sabrina Bengel  
Jameesha Harris  
Robert V. Aster  
Johnnie Ray Kinsey  
Barbara J. Best  
Jeffrey T. Odham



**Dana E. Outlaw**  
Mayor  
**Foster Hughes**  
City Manager  
**Brenda E. Blanco**  
City Clerk

**Memorandum**

**TO:** Mayor Outlaw and Board of Aldermen

**FROM:** Brenda Blanco, City Clerk

**DATE:** December 03, 2021

**SUBJECT:** Appointment to New Bern-Craven County Library Board

On November 24, 2020, the Board appointed Bo Wernersbach to fill the remainder of a term that had been vacated on the New Bern-Craven County Library Board. That term expires December 2021. The Board is now asked to consider reappointing Bo Wernersbach to serve a full six-year term or, in the alternative, make a new appointment.

/beb