



Agenda

Greenville City Council

May 11, 2020

6:00 PM

This meeting will be virtual and conducted via Zoom. See the City's website (www.greenvillenc.gov) for details.

Assistive listening devices are available upon request for meetings held in the Council Chambers. If an interpreter is needed for deaf or hearing impaired citizens, please call 252-329-4422 (voice) or 252-329-4060 (TDD) no later than two business days prior to the meeting.

- I. Call Meeting To Order**
- II. Invocation - Mayor Pro-Tem Glover**
- III. Pledge of Allegiance**
- IV. Roll Call**
- V. Approval of Agenda**
- VI. Public Comment Period**

The Public Comment Period is a period reserved for comments by the public. Items that were or are scheduled to be the subject of public hearings conducted at the same meeting or another meeting during the same week shall not be discussed. A total of 30 minutes is allocated with each individual being allowed no more than 3 minutes. Individuals who registered with the City Clerk to speak will speak in the order registered until the allocated 30 minutes expires. If time remains after all persons who registered have spoken, individuals who did not register will have an opportunity to speak until the allocated 30 minutes expires.

VII. Consent Agenda

1. Minutes from the April 9, 2020 City Council Meeting
2. Approval of the General Records Schedule for Local Government Agencies
3. Resolution Designating the City's Agents for FEMA Funds for COVID-19
4. Resolution accepting dedication of rights-of-way and easements for Greenbrier Place - Section 1, Phase 2 & Revision of Lots 34, 35 & 37 Bedford West, Phase 1; Colony Woods South; Sagewood, Phase 2 and 3; Davenport Farms at Emerald Park Phase 3 Section 2 - Cluster; and Davenport Farms at Emerald Park Phase 3, Section 1 & Lot 297 Revised
5. Renewal of Municipal Agreements with the North Carolina Department of Transportation for Traffic Signal Maintenance
6. Approval to purchase replacements for the Munis, Sharepoint, and other end-of-life servers in order to facilitate software upgrades for new versions of software
7. Approval to purchase replacements for the EMC VNX 5400 Storage Area Networks (Server Data Storage) located at City Hall and the Emergency Operations Center for the City's infrastructure
8. Various tax refunds greater than \$100

VIII. New Business

9. Presentation of the City's proposed Fiscal Year 2020-2021 operating budget
10. Ordinance Approving 2019-2020 Capital Reserve Fund Designations
11. Budget ordinance amendment #10 to the 2019-2020 City of Greenville budget (Ordinance #19-031), the Capital Projects Funds (Ordinance #17-024), and the FEMA-Hurricane Project Fund (Ordinance #17-002)

IX. Review of May 14, 2020 City Council Agenda

X. City Manager's Report

XI. Comments from Mayor and City Council

XII. Adjournment



City of Greenville,
North Carolina

Meeting Date: 5/11/2020
Time: 6:00 PM

Title of Item: Minutes from the April 9, 2020 City Council Meeting

Explanation: Proposed minutes from the April 9, 2020 City Council Meeting are presented for review and approval.

Fiscal Note: No direct fiscal impact.

Recommendation: Review and approve minutes from the April 9, 2020 City Council meeting.

ATTACHMENTS:

☐ **Draft_Minutes_City_Council_April_9_2020_1128409**

DRAFT MINUTES
CITY COUNCIL MEETING
CITY OF GREENVILLE, NORTH CAROLINA
THURSDAY, APRIL 9, 2020



A meeting of the Greenville City Council was held electronically on Thursday, April 9, 2020, via Zoom, with Mayor P.J. Connelly presiding. Mayor Connelly called the meeting to order at 6:05 p.m.

Those Present:

Mayor P.J. Connelly, Mayor Pro-Tem Rose Glover, Council Member Monica Daniels, Council Member Will Bell, Council Member Rick Smiley, Council Member William Litchfield, Jr., and Council Member Brian Meyerhoeffer, Jr.

Those Absent:

None.

Also Present:

City Manager Ann E. Wall, City Attorney Emanuel McGirt, City Clerk Valerie Shiuwegar, Assistant City Manager Michael Cowin, Assistant City Manager Ken Graves; Planning & Development Services Director Thomas Barnett, Planner II Sylvia Brown, Financial Services Director Byron Hayes

APPROVAL OF THE AGENDA

Council Member Meyerhoeffer stated that the City Council had adopted rules at its March 23, 2020 meeting to allow Council Members to participate and vote by electronic means for an indefinite period due to risks to the public associated with COVID-19. He further made a motion that if a meeting is held solely by electronic means, persons desiring to speak during the Public Comment Period or during a public hearing, may do so by following the directions to participate virtually set forth on the City's website under City Council meetings link. The motion was seconded by Council Member Smiley and it was unanimously carried.

Council Member Bell made a motion to approve the agenda. Council Member Daniels seconded the motion and it was unanimously carried.

PUBLIC COMMENT PERIOD

Mayor Connelly opened the public comment period at 6:10 pm, explaining the public comment procedures and the procedures that had been put in place for an electronic meeting:



The City of Greenville will be keeping measures in place in an ongoing effort to mitigate the spread of COVID-19. These measures include barring physical attendance at the meeting, employing social distancing, and implementing remote participation. The public is encouraged to watch the City Council's meeting live on GTV9. The following procedure was put in place to provide the public with the ability to address the City Council during the Public Comment Period and Public Hearing by remote access.

- A Public Comment Period, not to exceed 30 minutes, will be held after the approval of the agenda.
- A Public Hearing, not to exceed 30 minutes for each side, may be held, if such matter is on the agenda.
- Those that wish to address the City Council during either the Public Comment Period or the Public Hearing, should call the City Clerk at 252-329-4422 to register by **the day before the meeting at 5:00 p.m.**
- Registered participants will be given an access code to speak at the meeting via Zoom, a remote conferencing service.
- Callers will be held in queue and asked to mute their phones or speakers until they are called on to speak.
- Speakers will be called in the order that they are registered.
- Individual comments are limited to three minutes and not to cover topics that are subject to a public hearing that week.
- If a person participating remotely willfully disrupts the Council meeting, then upon direction by the Mayor, such person may be removed from electronic participation, or his or her e-mail may not be read.
- The public may also email their comments along with their name, address, and topic to PublicInput@greenvillenc.gov up to and during the meeting.
 - Messages must be labeled either Public Comment or Public Hearing in the subject line.
 - If time remains during those designated periods, the comments will be read by the City Clerk into record after all registered speakers have addressed the City Council.



- Comments read by the City Clerk are subject to the time limits set by the Public Comment and Public Hearing procedures.

Mr. Xavier Guions stated his concern about the perceived lack of affordable coronavirus testing. He stated that accessibility is important to help stop the spread the virus.

Mayor Connelly stated that he would pass that information on to the County’s Public Health Director and other medical professionals.

There being no additional registered speakers and no comments received by email, Mayor Connelly closed the Public Comment Period at 6:20 p.m.

APPOINTMENTS

Environmental Advisory Commission

Council Member Meyerhoeffer continued all appointments to next month.

Historic Preservation Commission

Council Member Daniels made a motion to appoint Jake Hochard to fill an unexpired term that will expire January 2021 in replacement of Timothy Belch, who had resigned. Mayor Pro Tem Glover seconded her motion and it was carried unanimously.

Human Relations Council

Mayor Pro Tem Glover continued all appointments to next month.

Police Community Relations Committee

Council Member Bell continued all appointments to next month.

Youth Council

Mayor Pro Tem Glover made a motion to appoint DyQuan Bunns to fill an unexpired term that will expire September 30, 2020.

CONSENT AGENDA

City Manager Wall introduced the following items on the Consent Agenda:

2. Minutes from the January 2020 City Council Planning Session and the February 9, 2020 City Council Workshop



3. Approval of Application for a North Carolina Recreational Trails Program Grant
4. Reports on Bids and Contracts Awarded
5. Various tax refunds greater than \$100

Council Member Meyerhoeffer asked that Item 3 be pulled from the Consent Agenda.

Council Member Smiley made a motion to approve the remaining items on the consent agenda. Council Litchfield seconded the motion and it was approved unanimously.

NEW BUSINESS

APPROVAL OF APPLICATION FOR A NORTH CAROLINA RECREATIONAL TRAILS PROGRAM GRANT - Approved

The Recreation & Parks Department would like to apply for a NC Recreational Trails Program Grant to add additional amenities to the new and developing “adventure park”.

Council Member Meyerhoeffer stated that the application notes a pre-application deadline that expired April 8th.

City Manager Wall stated that North Carolina State Parks acknowledges the difficulty that communities are experiencing when it comes to holding their meetings and had allowed the City to submit their pre-application and follow-up after action is taken by the City Council at tonight’s meeting.

Council Member Meyerhoeffer made a motion to approve. Council Member Bell seconded the motion and it was unanimously carried.

PUBLIC HEARINGS

PUBLIC HEARING FOR THE 2020-2021 ANNUAL ACTION PLAN FOR CDBG AND HOME PROGRAMS – Approved

Planner Sylvia Brown presented the 2020-2021 Annual Action Plan that was drafted by the City’s Housing Division. The City must prepare an Annual Action Plan each year in order to receive Community Development Block Grant (CDBG) and HOME funds from the United States Department of Housing and Urban Development (HUD). The Draft Annual Action Plan was based



on the award notification in the amount of \$977,960 for CDBG and \$545,511 for HOME and local match funding of \$328,695. She stated that 2020-2021 goals include: affordable housing preservation and development, reduction of slum and blight, addressing homelessness, improvements to public facilities and infrastructure, and expansion of available public services. She provided a breakdown of programs and funding, and she listed public services funded under the plan.

Programs & Funding

	CDBG	HOME
Program Admin	\$195,592	\$190,078
Rehabilitation	\$1,102,376	\$300,000
Public Facilities	\$200,000	
Public Services	\$150,000	
Acquisition	\$150,000	
Clearance/Demolition	\$50,000	
CHDO Reserve		\$300,000
Down Payment Assistance		\$200,000
New Construction		\$1,827,382
Total	\$1,847,968	\$2,817,460

Public Service Funding

Agency	Program Title	Purpose	Recommended Award
Center for Family Violence	Crisis Recovery Services	Homeless Needs	\$22,000
Martin Pitt Partnership for Children	Parents as Teachers	Youth Development	\$20,000
Boys & Girls Clubs of the Coastal Plain	Club Academy	Youth Development	\$15,000
Habitat for Humanity	Home Building for Low-Income Families	Housing Needs	\$18,000
ECU/ Intergenerational Center	Youth Excelling for Success (YES)/IGCC FIT	Youth Development	\$15,000
Community Crossroads Center	VI-SPDAT Assessments	Homeless Needs	\$10,000



Council Member Daniels asked if there would be additional funding for COVID-19 if other organizations need it.

Planner Brown confirmed that there is a reserve funding of \$50,000 for financial literacy that could be looked into if additional non-profits were to express a need.

Planner Brown stated that the Public Comment Period had begun March 9, 2020 and ends today, April 9, 2020. She stated that in addition to today's public hearing, public meetings had been held on March 16, March 30, and April 8.

Council Member Daniels made a motion to approve the 2020-2021 Annual Action Plan. Council Member Smiley seconded the motion and it was unanimously carried.

OTHER ITEMS OF BUSINESS

FINANCIAL IMPACT OF THE COVID-19 PANDEMIC ON FISCAL YEAR 2019-2020 – Heard

Assistant City Manager Cowin provided the City Council with a presentation on the projected impact of COVID-19. He stated that the past month has been unprecedented, but the City has continued to provide key, essential services. He stated that the impact is significant and will begin as an economic issue and transition into an operational issue as adjustments are made to operations and projects to cover reduction in revenues. He stated that estimated reductions in revenue were developed around key parameters and assumptions. Since there is not historical data, it is better to keep the issue in front, be aggressive in projections, and overestimate a shortfall rather than underestimate it.

He stated that the COVID-19 pandemic is anticipated to have an economic and operational impact on the 3rd and 4th quarter of FY 2019-2020 (March 2020 – June 2020) and all of FY 2020 – 2021.

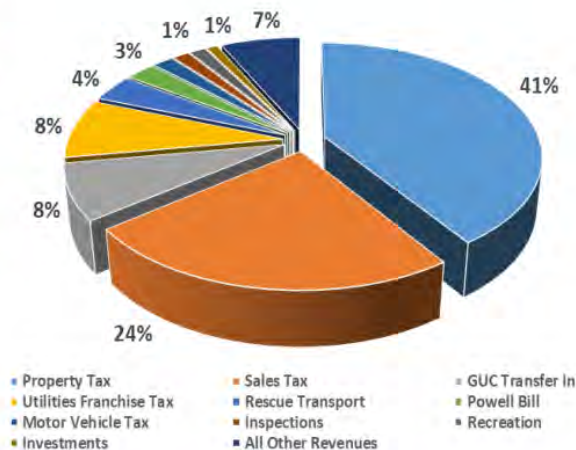
He stated that largest sources of revenue in FY 2019-2020 General Fund Budget revenue comes from property tax and sales tax. He noted that staff had stated that the City is highly dependent on sales tax at the City Council's 2020 Planning Session that was held in January. He stated that revenue collected from Recreation & Parks fees are also vulnerable with various activity and program cancellations.



FY2019-20 General Fund Budget

Property Tax	\$ 34,306,950
Sales Tax	20,404,423
GUC Transfer	6,639,369
Utility Franchise Tax	7,100,000
Rescue Transport	3,205,109
Powell Bill	2,182,000
Motor Vehicle Tax	1,568,863
Inspections	1,255,152
Recreation & Parks	1,243,876
Investments	850,000
Other Revenue	5,963,939
Total	\$ 84,719,681

Vulnerable Revenue Sources During a Short-Term Economic Downturn



Find yourself in good company

He provided the projected reduction in revenue for March 2020 – June 2020.



FY2019-20 General Fund Projected

Projected Reductions in Revenue From Budget

Sales Tax	\$ (3,099,256)	69.7%
Recreation Fees	(539,001)	12.1%
Parking Revenue	(239,213)	5.4%
Investment Income	(138,000)	3.1%
Other Revenues	(434,140)	9.8%
Total Reduction	<u>\$ (4,449,610)</u>	<u>100.0%</u>

Represents Projected Reduction in Revenue From Budget for Period of March Thru June 2020

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Assistant City Manager Cowin stated that the City would have to make operational adjustments with the goal of minimizing impacts on the City’s core public services for the safety and security of the community and short term projects that have already been encumbered. He further outlined budget restrictions that had been put into place in March 2020:

- Core public service functions maintained: Police, Fire/Rescue, Public Works/Engineering, Financial Services
- All other City functions have been identified as essential/nonessential and employee hours have been adjusted accordingly
- The following mandatory budget freezes have been implemented:
 - Hiring freeze for non-public safety positions
 - Spending freeze for non-essential services
 - Freeze on encumbrance of new contracts unless it is deemed essential to the delivery of public services.
- Recurring pay-as-you-go projects prioritized for potential freeze
 - Facility improvements, vehicle replacements, other capital projects

Assistant City Manager Cowin provided a summary of the FY 2019-2020 General Fund and stated that things will become clearer once the City receives the March 2020 sales tax revenue figures in May. He stated that property tax will be a prime concern next year with the property reevaluation



being an integral component. He further thanked City staff for their hard work and voiced his confidence in the City's ability to work through this.

 **FY2019-20 General Fund Summary**

	<u>FY2019-20 Budget</u>	<u>Revenue Reductions</u>	<u>Operating Adjustments</u>	<u>FY2019-20 Adjusted Budget</u>
Revenue	\$ 85,429,057	\$ (4,449,610)		\$ 80,979,447
Expense	87,933,726		(4,449,610)	83,484,116
Subtotal	(2,504,669)			(2,504,669)
F/B Approp	2,504,669			2,504,669
Net	\$ -			\$ -

<u>Revenue Reductions</u>		<u>Operating Adjustments</u>	
Sales Tax	\$ (4,459,523)	Spending Freeze	\$ 1,455,332
Recreation	(539,001)	Health Insurance	2,391,652
Parking	(239,213)	Cap Res Redirect	602,626
Investments	(138,000)		
Other Rev	(434,140)		
Total	\$ (5,809,877)	Total	\$ 4,449,610

Find yourself in good company

Mayor Connelly thanked Assistant City Manager Cowin and staff for the work that has been done over the past few years that has put the City in a better position to better adjust and balance an anticipated shortfall.

ADOPTION OF 2020 CITY OF GREENVILLE FEDERAL AGENDA – Approved

City Manager Wall stated that Jennifer Imo, Lobbyist with The Ferguson Group, had spent time with Council Members and Department Heads and based on those sessions compiled a list of priority projects that The Ferguson Group will use to pursue funding and legislative actions. She stated that The Ferguson Group had been instrumental in securing funds from grants including the BUILD Grant, COPS, and Lead-based paint abatement.

Council Member Meyerhoeffer made a motion to approve the 2020 City of Greenville Federal Agenda. Council Member Bell seconded the motion and it was unanimously carried.

RESOLUTION PROVIDING FOR THE SALE AND ISSUANCE OF NOT TO EXCEED \$7,850,000 GENERAL OBLIGATION STREET AND PEDESTRIAN BONDS - Approved



Finance Director Byron Hayes stated that the City is scheduled to issue \$7,850,000 from the general obligation bonds that were approved by referendum in November 2015. The sale date is scheduled for April 28, 2020.

Council Member Smiley asked for the estimated interest rates.

Director Hayes stated that the numbers in the presentation reflect a percentage rate of 3.5%, but he feels that rate will go down due to the City's current credit rating and the impact of the current economy.

Council Member Litchfield when the City expects the bonds to be issued.

Director Hayes stated that the goal is to sell at the end of April and have in cash-in-hand by the middle of May.

Council Member Bell made a motion to approve. Mayor Pro Tem seconded the motion and it carried unanimously.

CITY MANAGER'S REPORT

City Manager Wall recommended that the City Council cancel their April 20th Joint City Council-Greenville Utilities Commission (GUC) meeting. Council Member Smiley made a motion to cancel the meeting as recommended. Council Member Daniels seconded the motion and it carried unanimously.

City Manager Wall stated that the federal Family First Corona Virus Response Act mandates that local, state, and federal government employers with more than 500 employees must provide 80 hours of sick leave for COVID-19 related absences. The City has provided one year's worth of accrued sick leave to all employees and has expanded the use of that leave to allow employees to use it to supplement reduced work schedules. The Act further requires expansion of the Family Medical Leave Act (FMLA) to allow care for children if daycare is not available and allows employers to exempt essential workers, such as Police and Fire/Rescue. She stated that she has made those necessary changes to the City's Personnel Policies and asked that the City Council ratify those changes. Council Member Smiley made a motion to ratify the changes made to the City's personnel policy. Council Member Bell seconded the motion and it carried unanimously.

City Manager Wall stated that current sanitation routes are out of balance with more collection routes on Tuesday than Monday and are experiencing a significantly increased volume. She stated



that the City will be shifting some garbage collection pickup dates from Tuesday to Monday to service the routes in a more efficient manner. She stated that the change will begin on April 20th and staff will send notices to customers through mailings and robo-calls. She stated that the change would primarily impact neighbors along the south side of Dickinson Avenue.

City Manager Wall thanked City staff for their hard work through these challenging times.

COMMENTS FROM MAYOR AND CITY COUNCIL

The Mayor and City Council thanked first responders, those on the front line, and City staff for their efforts and continued service.

ADJOURNMENT

Council Member Bell moved to adjourn the meeting. The motion was seconded by Council Member Daniels. There being no further discussion, the motion passed by unanimous vote and Mayor Connelly adjourned the meeting at 7:38 p.m.

Respectfully submitted,

Valerie Shiuwegar

Valerie Shiuwegar
City Clerk



City of Greenville, North Carolina

Meeting Date: 5/11/2020
Time: 6:00 PM

Title of Item: Approval of the General Records Schedule for Local Government Agencies

Explanation: The General Records Schedule for Local Government Agencies is issued by the North Carolina Department of Natural and Cultural Resources and has an issue date of March 1, 2019. Local retention and disposition schedules are a tool for the employees of local governments across the state to use when managing records in their offices. It lists records commonly found in local government offices and gives an assessment of their value by indicating when, and if, those records should be destroyed.

These schedules are an agreement between the local government offices and the North Carolina Department of Natural and Cultural Resources, and as the inventory and schedule that the Department of Natural and Cultural Resources is directed by G.S. § 121-5(c) and G.S. § 132-8 to provide.

Fiscal Note: No direct fiscal impact

Recommendation: Approve the Local Government Agencies General Retention and Disposition Schedule.

ATTACHMENTS:

- ▣ 2019 Retention Schedule

RECORDS RETENTION AND DISPOSITION SCHEDULE

GENERAL RECORDS SCHEDULE FOR LOCAL GOVERNMENT AGENCIES



Issued By:



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

March 1, 2019

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2019 Local Government Agencies General Records Retention and Disposition Schedule

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

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

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

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

APPROVAL RECOMMENDED

Municipal/County Clerk or Manager
Title: _____



Sarah E. Koonts, Director
Division of Archives and Records

APPROVED

Head of Governing Body
Title: _____



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

Municipality/County: _____

EXECUTIVE SUMMARY

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

MANAGING PUBLIC RECORDS IN NORTH CAROLINA

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

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

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

Q. How do I get this schedule approved?

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

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

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

Q. What is “reference value”?

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

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

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

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

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

Q. What are public records?

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

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

Q. Is any person allowed to see my records?

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

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

Q. What about my confidential records?

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

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

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

Q. What do I do with permanent records?

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

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

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

Examples of records with these characteristics:

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

Q. *What is historical value?*

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

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

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

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

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

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

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

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

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

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

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

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

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

Q. *Whom can I call with questions?*

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

AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION

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

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

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

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

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

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

TRANSITORY RECORDS

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

LEGEND FOR RECORDS SCHEDULE

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



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

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

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

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

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

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

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

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

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

<p>AUDITS: PERFORMANCE</p> <p>Records concerning internal and external audits conducted to assess the function of government programs. Includes reports, working papers, corrective measures, and other related records.</p> <p>See also AUDITS: FINANCIAL, page 20, item 6.</p>
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Sample records series title and description with cross-reference included

No destruction of records may take place if litigation or audits are pending or reasonably anticipated.

See also AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS, page vi.



STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS
 Official records pertaining to the authority, operating philosophy, methods, primary functions, and routine office administration of local agencies.

ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	ABSTRACTS OF MUNICIPAL ELECTIONS 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
2.	ACCREDITATION RECORDS Records documenting accreditations and certifications received by the agency. Includes applications, final reports, and other related records.	Destroy in office 5 years after superseded or obsolete.	Authority: 10A NCAC 48B
3.	ADMINISTRATIVE DIRECTIVES, REGULATIONS, AND RULES	a) Retain in office official copy permanently. b) Destroy in office remaining records after 3 years.	
4.	AGENDA AND MEETING PACKETS Includes agendas and copies of supporting documentation submitted and discussed during meetings of public bodies. Also includes documentation of outside meetings attended by agency personnel. See also MINUTES OF PUBLIC BODIES , page 11, item 42.	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 _____	

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ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
5.	<p>APPLICATIONS FOR APPOINTMENT Applications and related records received from individuals applying for appointments to serve on public boards, commissions, councils, and committees.</p>	<p>a) Destroy in office records concerning appointed individuals 1 year after expiration of term.</p> <p>b) Destroy in office remaining records when reference value ends.† Agency Policy: Destroy in office after _____</p>	
6.	<p>APPOINTMENT REPORTS Includes annual appointment reports filed with the NC Department of the Secretary of State.</p>	Destroy in office after 2 years.	Authority: G.S. § 143-157.1
7.	<p>AUDIO AND VIDEO RECORDINGS OF MEETINGS See also MINUTES OF PUBLIC BODIES, page 11, item 42.</p>	<p>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></p>	
8.	<p>AUDITS: PERFORMANCE Records concerning internal and external audits conducted to assess the function of government programs. Includes reports, working papers, corrective measures, and other related records. See also AUDITS: FINANCIAL, page 19, item 6.</p>	<p>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.</p> <p>b) Destroy in office remaining audit reports after 10 years.</p> <p>c) Destroy in office documentation of corrective measures 2 years after their implementation.</p> <p>d) Destroy in office working papers and remaining records when superseded or obsolete.</p>	

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

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

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

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ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
23.	<p>CUSTOMER CALL CENTER RECORDINGS Recordings of calls to customer service centers made for quality assurance and training purposes.</p>	Destroy in office after 30 days.	
24.	<p>EQUIPMENT AND VEHICLE MAINTENANCE, REPAIR, AND INSPECTION RECORDS Records concerning the maintenance, repair, routine testing, and inspection of agency owned equipment and vehicles. Also includes warranties. See also GRANTS, page 8, item 31, and SYSTEM MAINTENANCE RECORDS: HARDWARE REPAIR OR SERVICE, page 40, item 15.</p>	<p>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.</p>	
25.	<p>EQUIPMENT AND VEHICLE REFERENCE RECORDS Includes operation, specification, and technical manuals. Also includes brochures, bulletins, and related documentation.</p>	Destroy in office when superseded or obsolete.	
26.	<p>EQUIPMENT, FACILITY, AND VEHICLE USAGE RECORDS Records documenting the assignment, request, and usage of agency assets. Also includes mileage and checkout logs, fuel consumption reports, reservation requests, authorizations, utility usage logs, and similar records.</p>	<p>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.</p>	

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

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

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ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
34.	INDICES Listings of where specific information can be found.	Destroy in office when superseded or obsolete.	
35.	INTERAGENCY PROGRAMS 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 _____	
36.	INVENTORIES Inventories describing the type of property (including equipment and facilities other and fixed assets), its location, and related information. Also includes inventory control and usage records, such as requisitions/draw tickets, mileage logs, request forms, and other related records.	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.	
37.	LEGISLATION AND REGULATORY RECORDS 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 _____	
38.	LOGISTICS MATERIALS Records concerning scheduled plans of agency personnel. Includes routine notices, task lists, and arrangements.	Destroy in office after 1 year.	
39.	MAIL: UNDELIVERABLE/RETURNED Outgoing agency mail returned by the post office for any reason, including insufficient postage, incorrect address, forwarding order expired, etc. Also includes outgoing e-mail returned for any reason.	Destroy in office after 30 days.	

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

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

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

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ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
49.	<p>POLICIES AND PROCEDURES</p> <p>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.</p> <p>See also CIVIL RIGHTS RECORDS, page 44, item 5, POLICIES AND PROCEDURES (PERSONNEL), page 62, item 31, and ELECTRONIC RECORDS POLICIES AND PROCEDURES, page 38, item 7.</p>	<p>a) Retain in office records with historical value permanently.</p> <p>b) Destroy in office remaining records when superseded or obsolete.</p>	
50.	<p>POLL LIST/REGISTRATION LIST/ROSTER/ AUTHORIZATION TO VOTE (ATV)</p> <p>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.</p>	<p>Contact State Archives of North Carolina prior to destroying old poll books and voter registration books.</p>	<p>Authority: G.S. § 163 Art. 15A G.S. § 163-166.7 08 NCAC 10B .0103 52 USC Chap. 205</p>
51.	<p>PRICE QUOTATIONS</p>	<p>Destroy in office when reference value ends.† Agency Policy: Destroy in office after _____.</p>	
52.	<p>PROCLAMATIONS AND ORDERS</p> <p>Proclamations and orders issued by the governing board.</p>	<p>a) Retain in office records with historical value permanently.</p> <p>b) Destroy in office remaining records when reference value ends.† Agency Policy: Destroy in office after _____.</p>	

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

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ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
57.	<p>REFERENCE (READING) FILE</p> <p>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.</p>	<p>Destroy in office when reference value ends.†</p> <p>Agency Policy: Destroy in office after _____</p>	
58.	<p>REPORTS AND STUDIES</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 CIVIL RIGHTS RECORDS, page 44, item 5, and COMPREHENSIVE PLAN, page 5, item 21.</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
59.	<p>REQUESTS FOR INFORMATION Requests received and responses issued by the agency.</p> <p>See also PUBLIC RECORDS REQUESTS, page 69, item 11.</p>	Destroy in office after 1 year after resolution.	
60.	<p>REQUESTS FOR PROPOSALS (RFP) Proposals submitted by vendors in response to requests from agency.</p> <p>See also BIDS FOR PURCHASE, page 20, item 10, and PRICE QUOTATIONS, page 13, item 51.</p>	Destroy in office when reference value ends.† Agency Policy: Destroy in office after _____	
61.	<p>RESOLUTIONS File consists of resolutions indicating date, issues or policy involved, and appropriate signatures.</p> <p>See the MICROFILM section on page 82 for instructions on microfilming.</p>	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 _____	
62.	<p>SURPLUS PROPERTY Inventories and reports of agency property to be surplussed.</p>	Destroy in office 3 years after disposition of property.*	
63.	<p>TRACKING MATERIALS Records intended to verify the receipt of information, such as certified mail receipts.</p>	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
64.	<p>TRAVEL REQUESTS Requests and authorizations for travel. Includes forms and itineraries.</p> <p>See also TRAVEL REIMBURSEMENTS, page 28, item 45, and PRICE QUOTATIONS, page 13, item 51.</p>	Destroy in office after 1 year.*	
65.	<p>VEHICLE REGISTRATION CARDS North Carolina registration cards for vehicles in the agency fleet.</p> <p>See also VEHICLE TITLES, page 49, item 23.</p>	Destroy in office when superseded.	
66.	<p>WORK ORDERS Includes date and location of work, cost of materials used and labor, type of work performed, and other related records regarding the repairs of equipment, facilities, and vehicles.</p>	<p>a) Destroy in office 1 year after work is completed.*</p> <p>b) If this is the only record documenting completed work, follow disposition instructions for FACILITY MAINTENANCE, REPAIR, AND INSPECTION RECORDS, page 7, item 27, or EQUIPMENT AND VEHICLE MAINTENANCE, REPAIR, AND INSPECTION RECORDS, page 6, item 24.</p>	

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STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS

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

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

ITEM #	STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<p>ACCOUNTS PAYABLE</p> <p>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.</p>	Destroy in office 3 years after payment.*	
2.	<p>ACCOUNTS RECEIVABLE</p> <p>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.</p>	Destroy in office 3 years after collection.*	
3.	<p>ACCOUNTS UNCOLLECTABLE</p> <p>Records of accounts deemed uncollectable, including returned checks, write-off authorizations, and other related records.</p>	Destroy in office 3 years after account is determined to be uncollectable.*	

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

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

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

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

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

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

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

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

2

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




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

2

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

2

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

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

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

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

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

3

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

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

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

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


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STANDARD 4: INFORMATION TECHNOLOGY (IT) RECORDS

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


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

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

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

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

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

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

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

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STANDARD 5: LEGAL RECORDS

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

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

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ITEM #	STANDARD 5: LEGAL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.	<p>CIVIL RIGHTS CASE RECORDS Records concerning discrimination complaints by employees or former employees and requests for reasonable accommodation. Includes equal opportunity (EO) complaints.</p> <p>See also PERSONNEL RECORDS (OFFICIAL COPY), page 61, item 29.</p>	<p>Destroy in office 1 year after final disposition of the charge or the action.*</p> <p><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></p>	<p>Retention: 29 CFR 1602.14 29 CFR 1602.31</p>
5.	<p>CIVIL RIGHTS RECORDS Records concerning documentation of personnel policies and procedures to comply with the Age Discrimination in Employment Act (ADEA), the Americans with Disabilities Act (ADA), the Equal Pay Act, the Genetic Information Nondiscrimination Act (GINA), Section 504 of the 1973 Rehabilitation Act, and the 1964 Civil Rights Act. Includes reports required by the Equal Employment Opportunity (EEO) Commission and affirmative action plans.</p> <p>See also CITIZEN COMMENTS, COMPLAINTS, PETITIONS, AND SERVICE REQUESTS, page 4, item 17, CIVIL RIGHTS CASE RECORDS, page 44, item 4, and POLICIES AND PROCEDURES (PERSONNEL), page 62, item 31.</p>	<p>Destroy in office 3 years after superseded or obsolete.</p>	<p>Authority: 29 CFR 1602.1 29 CFR 1602.7 29 CFR 1608.4</p> <p>Retention: 29 CFR 1602.30 29 CFR 1602.32</p>

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

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

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

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

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

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STANDARD 6: PERSONNEL RECORDS

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

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


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

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

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

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



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



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


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

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

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



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


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ITEM #	STANDARD 6: PERSONNEL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
29. 	<p>PERSONNEL RECORDS (OFFICIAL COPY) Official copy of personnel file maintained on each permanent and temporary agency employee. Includes basic employee information and records and forms relating to the selection or non-selection, promotion, transfer, leave, salary, suspension, and termination of employment.</p> <p>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.</p> <p>See also MEDICAL RECORDS, page 59, item 25.</p>	<p>a) Destroy in office after 30 years from date of separation information needed to document: date and amount of each increase or decrease in salary with that 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.</p> <p>b) Destroy in office information necessary to verify benefits 30 years after date of separation.</p> <p>c) Destroy in office remaining records when individual retention periods are reached as noted in individual items in the Records Retention and Disposition Schedule.</p>	Authority/ Confidentiality: G.S. § 115C Art. 21A G.S. § 122C-158 G.S. § 130A-45.9 G.S. § 153A-98 G.S. § 160-168 G.S. § 161E-257.2 G.S. § 162A-6.1
30. 	<p>PERSONNEL RECORDS (SUPERVISOR COPY) Personnel jacket that is often maintained by supervisors.</p>	<p>a) Transfer records as applicable to PERSONNEL RECORDS (OFFICIAL COPY), page 61, item 29.</p> <p>b) Destroy in office remaining records when reference value ends.† Agency Policy: Destroy in office after _____</p>	Confidentiality: G.S. § 115C Art. 21A G.S. § 122C-158 G.S. § 130A-45.9 G.S. § 153A-98 G.S. § 160-168 G.S. § 161E-257.2 G.S. § 162A-6.1


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

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

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

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

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ITEM #	STANDARD 6: PERSONNEL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
49.	<p>WORKERS' COMPENSATION PROGRAM ADMINISTRATION</p> <p>Includes program policies, guidelines, and related administrative documentation.</p>	<p>a) Retain in office records with historical value permanently.</p> <p>b) Destroy in office remaining records when superseded or obsolete.</p>	
50.	 <p>WORKERS' COMPENSATION PROGRAM CLAIMS</p> <p>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.</p> <p><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></p>	<p>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.</p>	<p>Confidentiality: G.S. § 8-53 G.S. § 97-92(b)</p>

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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.

STANDARD 7: PUBLIC RELATIONS RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<p>AGENCY PUBLICATIONS Publications created at agency expense. Also includes correspondence and other related records regarding the design and creation of agency publications.</p>	<p>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 _____</p>	
2.	<p>AUDIO-VISUAL RECORDINGS Recordings (including digital) and films produced by the agency. This does not include recordings of public meetings or security videos.</p> <p>See also AUDIO AND VIDEO RECORDINGS OF MEETINGS, page 2, item 7, and OFFICE SECURITY RECORDS, page 12, item 46.</p>	<p>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 _____</p>	
3.	<p>COMMUNITY AWARDS Records concerning awards by the agency recognizing community contributions.</p>	<p>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 _____</p>	

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

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

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

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

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

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

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ITEM #	STANDARD 8: RISK MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
9.	FUEL OIL STORAGE TANK RECORDS	Destroy in office closure records 3 years after completion of permanent closure.	Authority: 40 CFR 280.34 Retention: 40 CFR 280.74
10.	HAZARDOUS MATERIALS MANAGEMENT Records related to hazardous materials and hazard mitigation plans.	<ul style="list-style-type: none"> a) Destroy in office after 30 years records related to hazardous materials, including biowaste. b) Destroy in office after 5 years records concerning the receipt, maintenance, and disposal of radioactive materials. c) Destroy in office 3 years after superseded or obsolete records concerning hazard mitigation plans. 	
11.	INSURANCE POLICIES Records concerning automobile, theft, fire, and all other insurance policies purchased by agency. Also includes insurance audits, claims reports, surveys, endorsements, certificates of insurance, and waivers.	<ul style="list-style-type: none"> a) Destroy in office records concerning automobile and other liability insurance policies 10 years after superseded or obsolete.* b) Destroy in office certificates of insurance after 1 year. c) Destroy in office self-insurer certifications 6 years from date of termination of policy or settlement of all claims. d) Destroy in office remaining records after 1 year after superseded or obsolete. 	
12.	LOSS CONTROL INSPECTION REPORTS Self-inspections to identify potential liabilities or hazards that may exist in agency owned buildings or property.	Destroy in office when superseded or obsolete.	

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

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STANDARD 9: WORKFORCE DEVELOPMENT RECORDS

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

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

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DESTRUCTION OF PUBLIC RECORDS

Q. When can I destroy records?

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

Q. How do I destroy records?

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

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

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

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

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

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

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

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

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

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



Destructions Log

Agency			
Division	Section	Branch	
Location(s) of Records			

Records Series	Required Retention	Date Range	Volume (file drawers or MB)	Media (Paper, Electronic)		Date of Destruction	Method of Destruction	Authorization for Destruction
				P	E			

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

Q. When can I delete my e-mail?

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

GEOSPATIAL RECORDS

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

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

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

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

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

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

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

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

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

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

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

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

MICROFILM

Q. Why do you still use microfilm?

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

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

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

Q. What film services do you provide?

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

Q. How do I get my minutes filmed?

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

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

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

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

Q. Can I send you my minutes electronically?

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

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

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

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

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

DISASTER ASSISTANCE

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

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

DO NOT ATTEMPT TO MOVE OR CLEAN ANY RECORDS.

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

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

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

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

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

Q. What are essential records?

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

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

STAFF TRAINING

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

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

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

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

Q. Are workshops offered only in Raleigh?

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

Q. Is there a fee for workshops?

- A.** Not at this time.
-

Q. Are the workshops available in an online format?

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



Request for Change in Local Government Records Schedule

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

AGENCY INFORMATION

Requestor name _____

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

Phone and email _____

Mailing Address _____

CHANGE REQUESTED

Specify title and edition of records retention schedule being used: _____

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

Title of Records Series in Schedule or Proposed Title: _____

Inclusive Dates of Records: _____

Proposed Retention Period: _____

Description of Records: _____

Justification for Change: _____

Requested by: _____

Signature

Title

Date

Approved by: _____

Signature

Requestor's Supervisor

Date



Request for Disposal of Unscheduled Records

AGENCY INFORMATION

Requestor name

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

Phone and email

Mailing Address

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

RECORDS TITLE 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 Date
State Archives of North Carolina

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.

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

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 Date
State Archives of North Carolina

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City of Greenville, North Carolina

Meeting Date: 5/11/2020
Time: 6:00 PM

Title of Item: Resolution Designating the City's Agents for FEMA Funds for COVID-19

Explanation: **Abstract:** In order to file for reimbursement through the Federal Emergency Management Agency (FEMA) for COVID-19 related expenses, the City must designate agents to apply for funds. A resolution is attached naming those agents.

Explanation: On March 13, 2020, the President of the United States made Public Assistance Disaster Declaration regarding COVID-19 for multiple counties in North Carolina, including Pitt County. This action opened the door for federal disaster aid to the City through the U.S. Department of Homeland Security, Federal Emergency Management Agency (FEMA), to be made available to supplement state and local efforts in the affected area. These funds can be used to assist with the emergency work related to preparing for and responding to the event.

To apply for these funds the City of Greenville must designate a Primary and Secondary Applicant's Agent. FEMA and the North Carolina Department of Emergency Management have requested that the individuals be able to respond directly to questions and gather all necessary paperwork for successful application process.

Fiscal Note: At this time, it is uncertain the dollar amount the City plans to submit to FEMA for COVID-19.

Recommendation: City Council approve the attached resolution designating Ann E. Wall (City Manager) as Primary Agent and Byron Hayes (Financial Services Director) as Secondary Agent to facilitate this application for FEMA Funds.

ATTACHMENTS:

- ▣ **Resolution for Designation of Applicant Agents**
- ▣ **Application**

**RESOLUTION
DESIGNATION OF APPLICANT'S AGENT
North Carolina Division of Emergency Management**

Organization Name (hereafter named Organization) City of Greenville	Disaster Number: FEMA-4487DR-NC
Applicant's State Cognizant Agency for Single Audit purposes (If Cognizant Agency is not assigned, please indicate): NC Dept. of Public Safety, Division of Emergency Management	
Applicant's Fiscal Year (FY) Start Month: 07 Day: 01	
Applicant's Federal Employer's Identification Number 56 - 6000229	
Applicant's Federal Information Processing Standards (FIPS) Number NC - 37147 -	

PRIMARY AGENT	SECONDARY AGENT
Agent's Name Ann E. Wall	Agent's Name Byron Hayes
Organization City of Greenville	Organization City of Greenville
Official Position City Manager	Official Position Financial Services Director
Mailing Address P.O. Box 7207	Mailing Address P.O. Box 7207
City, State, Zip Greenville, NC 27835	City, State, Zip Greenville, NC 27835
Daytime Telephone (252) 329-4432	Daytime Telephone (252) 329-4443
Facsimile Number (252) 329-4435	Facsimile Number (252) 329-4074
Pager or Cellular Number	Pager or Cellular Number (252) 493-1817

BE IT RESOLVED BY the governing body of the Organization (a public entity duly organized under the laws of the State of North Carolina) that the above-named Primary and Secondary Agents are hereby authorized to execute and file applications for federal and/or state assistance on behalf of the Organization for the purpose of obtaining certain state and federal financial assistance under the Robert T. Stafford Disaster Relief & Emergency Assistance Act, (Public Law 93-288 as amended) or as otherwise available. BE IT FURTHER RESOLVED that the above-named agents are authorized to represent and act for the Organization in all dealings with the State of North Carolina and the Federal Emergency Management Agency for all matters pertaining to such disaster assistance required by the grant agreements and the assurances printed on the reverse side hereof. BE IT FINALLY RESOLVED THAT the above-named agents are authorized to act severally. PASSED AND APPROVED this _____ day of _____, 20__.

GOVERNING BODY	CERTIFYING OFFICIAL
Name and Title P.J. Connelly, Mayor	Name Valerie Shiuwegar
Name and Title Rose Glover, Mayor Pro-Tem	Official Position City Clerk
Name and Title	Daytime Telephone (252) 329-4422

CERTIFICATION

I, Valerie Shiuwegar, (Name) duly appointed and City Clerk (Title) of the Governing Body, do hereby certify that the above is a true and correct copy of a resolution passed and approved by the Governing Body of City of Greenville, NC (Organization) on the _____ day of _____, 20__.

Date: _____ Signature: _____

Rev. 06/02

APPLICANT ASSURANCES

The applicant hereby assures and certifies that it will comply with the FEMA regulations, policies, guidelines and requirements including OMB's Circulars No. A-95 and A-102, and FMC 74-4, as they relate to the application, acceptance and use of Federal funds for this Federally assisted project. Also, the Applicant gives assurance and certifies with respect to and as a condition for the grant that:

1. It possesses legal authority to apply for the grant, and to finance and construct the proposed facilities; that a resolution, motion or similar action has been duly adopted or passed as an official act of the applicant's governing body, authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information as may be required.
2. It will comply with the provisions of: Executive Order 11988, relating to Floodplain Management and Executive Order 11990, relating to Protection of Wetlands.
3. It will have sufficient funds available to meet the non-Federal share of the cost for construction projects. Sufficient funds will be available when construction is completed to assure effective operation and maintenance of the facility for the purpose constructed.
4. It will not enter into a construction contract(s) for the project or undertake other activities until the conditions of the grant program(s) have been met.
5. It will provide and maintain competent and adequate architectural engineering supervision and inspection at the construction site to insure that the completed work conforms with the approved plans and specifications; that it will furnish progress reports and such other information as the Federal grantor agency may need.
6. It will operate and maintain the facility in accordance with the minimum standards as may be required or prescribed by the applicable Federal, State and local agencies for the maintenance and operation of such facilities.
7. It will give the grantor agency and the Comptroller General, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the grant.
8. It will require the facility to be designed to comply with the "American Standard Specifications for Making Buildings and Facilities Accessible to, and Usable by the Physically Handicapped," Number A117.1-1961, as modified (41 CFR 101-17-7031). The applicant will be responsible for conducting inspections to insure compliance with these specifications by the contractor.
9. It will cause work on the project to be commenced within a reasonable time after receipt of notification from the approving Federal agency that funds have been approved and will see that work on the project will be prosecuted to completion with reasonable diligence.
10. It will not dispose of or encumber its title or other interests in the site and facilities during the period of Federal interest or while the Government holds bonds, whichever is the longer.
11. It agrees to comply with Section 311, P.L. 93-288 and with Title VI of the Civil Rights Act of 1964 (P.L. 83-352) and in accordance with Title VI of the Act, no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the applicant receives Federal financial assistance and will immediately take any measures necessary to effectuate this agreement. If any real property or structure is provided or improved with the aid of Federal financial assistance extended to the Applicant, this assurance shall obligate the Applicant, or in the case of any transfer of such property, any transferee, for the period during which the real property or structure is used for a purpose for which the Federal financial assistance is extended or for another purpose involving the provision of similar services or benefits.
12. It will establish safeguards to prohibit employees from using their positions for a purpose that is or gives the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties.
13. It will comply with the requirements of Title II and Title III of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 (P.L. 91-646) which provides for fair and equitable treatment of persons displaced as a result of Federal and Federally assisted programs.
14. It will comply with all requirements imposed by the Federal grantor agency concerning special requirements of law, program requirements, and other administrative requirements approved in accordance with OMB Circular A-102, P.L. 93-288 as amended, and applicable Federal Regulations.
15. It will comply with the provisions of the Hatch Act which limit the political activity of employees.
16. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act, as they apply to hospital and educational institution employees of State and local governments.
17. (To the best of his/her knowledge and belief) the disaster relief work described on each Federal Emergency Management Agency (FEMA) Project Application for which Federal Financial assistance is requested is eligible in accordance with the criteria contained in 44 Code of Federal Regulations, Part 206, and applicable FEMA Handbooks.
18. The emergency or disaster relief work therein described for which Federal Assistance is requested hereunder does not or will not duplicate benefits received for the same loss from another source.
19. It will (1) provide without cost to the United States all lands, easements and rights-of-way necessary for accomplishments of the approved work; (2) hold and save the United States free from damages due to the approved work or Federal funding.
20. This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, reimbursements, advances, contracts, property, discounts of other Federal financial assistance extended after the date hereof to the Applicant by FEMA, that such Federal Financial assistance will be extended in reliance on the representations and agreements made in this assurance and that the United States shall have the right to seek judicial enforcement of this assurance. This assurance is binding on the applicant, its successors, transferees, and assignees, and the person or persons whose signatures appear on the reverse as authorized to sign this assurance on behalf of the applicant.
21. It will comply with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973, Public Law 93-234, 87 Stat. 975, approved December 31, 1973. Section 102(a) requires, on and after March 2, 1975, the purchase of flood insurance in communities where such insurance is available as a condition for the receipt of any Federal financial assistance for construction or acquisition purposes for use in any area that has been identified by the Director, Federal Emergency Management Agency as an area having special flood hazards. The phrase "Federal financial assistance" includes any form of loan, grant, guaranty, insurance payment, rebate, subsidy, disaster assistance loan or grant, or any other form of direct or indirect Federal assistance.
22. It will comply with the insurance requirements of Section 314, PL 93-288, to obtain and maintain any other insurance as may be reasonable, adequate, and necessary to protect against further loss to any property which was replaced, restored, repaired, or constructed with this assistance.
23. It will defer funding of any projects involving flexible funding until FEMA makes a favorable environmental clearance, if this is required.
24. It will assist the Federal grantor agency in its compliance with Section 106 of the National Historic Preservation Act of 1966, as amended, (16 U.S.C. 470), Executive Order 11593, and the Archeological and Historic Preservation Act of 1966 (16 U.S.C. 469a-1 et seq.) by (a) consulting with the State Historic Preservation Officer on the conduct of investigations, as necessary, to identify properties listed in or eligible for inclusion in the National Register of Historic places that are subject to adverse effects (see 36 CFR Part 800.8) by the activity, and notifying the Federal grantor agency of the existence of any such properties, and by (b) complying with all requirements established by the Federal grantor agency to avoid or mitigate adverse effects upon such properties.
25. It will, for any repairs or construction financed herewith, comply with applicable standards of safety, decency and sanitation and in conformity with applicable codes, specifications and standards; and, will evaluate the natural hazards in areas in which the proceeds of the grant or loan are to be used and take appropriate action to mitigate such hazards, including safe land use and construction practices.

STATE ASSURANCES

The State agrees to take any necessary action within State capabilities to require compliance with these assurances and agreements by the applicant or to assume responsibility to the Federal government for any deficiencies not resolved to the satisfaction of the Regional Director.



**North Carolina Department of Public Safety
Division of Emergency Management**

APPLICANT: City of Greenville DISASTER: COVID-19
FEMA- 4487-DR-NC

PUBLIC ASSISTANCE CFDA# 97.036

STATE – APPLICANT DISASTER ASSISTANCE AGREEMENT

This Agreement made by and between the State of North Carolina, Dept. of Public Safety, Division of Emergency Management (“the State”) and City of Greenville (“the Applicant”) shall be effective on the date signed by the State and the Applicant. It shall apply to all disaster assistance funds provided by or through the State to the Applicant as a result of the disaster called **COVID-19**, and pursuant to the Disaster Declaration made by the President of the United States numbered FEMA - 4487 - DR-NC.

The designated representative of the Applicant (Applicant’s Agent) certifies that:

1. He/She has legal authority to apply for assistance on behalf of the Applicant pursuant to a resolution duly adopted or passed by the Applicant’s governing body.
2. The Applicant shall provide all necessary financial and managerial resources to meet the terms and conditions of receiving Federal and State disaster grant assistance.
3. The applicant shall use disaster assistance funds solely for the purpose for which these funds are provided and as approved by the Governor’s Authorized Representative (GAR).
4. The Applicant is aware of and shall comply with cost-sharing requirements of Federal and State disaster assistance: specifically that Federal assistance is limited to 75% of eligible expenditures, and that State assistance is limited to 25% of the eligible costs. Alternate projects selected by the Applicant may be eligible for only 75% of the approved Federal share of estimated eligible costs.
5. The Applicant shall provide the following completed documentation to the State:
 - Designation of Applicant’s Agent;
 - State-Applicant Disaster Assistance Agreement
 - Private Non-Profit Organization Certification (if required);
 - Summary of Documentation Form itemizing actual costs expended for large project payment requests;
 - Monthly Progress Reports;
 - Copies of Single Audit Reports as applicable.

If the Applicant fails to provide any of the above documentation, the State will be under no obligation to reimburse the Applicant for eligible expenses.

6. The Applicant shall establish and maintain a proper accounting system to record expenditures of disaster assistance funds in accordance with generally accepted accounting principals or as directed by the Governor's Authorized Representative. If applicable, the Applicant shall conduct audit(s) pursuant to the Single Audit Act of 1984, 31 U.S.C. §7501 *et. seq.*, 44 C.F.R. Part 14, OMB Circular A-133, "Audits of States, Local Governments and Non-profit Organizations," and applicable North Carolina laws, rules and regulations.
7. The Applicant shall provide to the State monthly Progress Reports for all open large projects funded by State and Federal disaster assistance grants. The first Progress Report will be due on the 10th day of the first month following initiation of the project and subsequent Progress Reports will be due on the 10th day of each and every month thereafter until project completion. Forms and reporting requirements will be provided by the Governor's Authorized Representative.
8. The Applicant, its employees and agents, including consultants, contractors and subcontractors to be paid with funds provided under this Agreement, shall give State and Federal agencies designated by the Governor's Authorized Representative, full access to and the right to examine all records and documents related to the use of disaster assistance funds.
9. The Applicant shall return to the State, within thirty (30) days of a request by the Governor's Authorized Representative, any funds advanced to the Applicant that are not supported by audit or other Federal or State review of documentation maintained by the Applicant.
10. The Applicant shall comply with all applicable codes and standards in the completion of eligible work to repair or replace damaged public facilities.
11. The Applicant shall comply with all applicable provisions of Federal and State statutes, rules and regulations regarding the procurement of goods and services and regarding contracts for the repair and restoration of public facilities.
12. The Applicant shall begin and complete all items of work within the time limits established by the Governor's Authorized Representative and in accordance with applicable Federal and State statutes, rules and regulations.
13. The Applicant shall request a final inspection within ninety (90) days after completion of each and every large project funded under this Agreement, or within ninety (90) days after the expiration of the time limit established for each project under Paragraph 12 above, whichever occurs first. Applicant shall present all supporting documentation to State and/or Federal inspectors at the time of final inspection. **The State, as Grantee, reserves the right to conduct a final inspection of any large project after expiration of the ninety- (90) day period and to reimburse Applicant only for costs documented at the time of final inspection.**

14. The Applicant shall comply with all applicable Federal and State statutes, rules and regulations for publicly financed or assisted contracts including, but not limited to, non-discrimination, labor standard, and access by the physically handicapped.
15. The Applicant's Designated Agent shall execute and comply with the Lobbying Prohibition document incorporated herein as Attachment A.
16. The Applicant's Designated Agent shall execute and comply with the Statement of Assurances (SF 424D) document incorporated herein as Attachment B.
17. The Applicant shall not enter into cost-plus-percentage-of-cost contracts for debris removal, emergency protective measures, or completion of disaster restoration or repair work.
18. The Applicant shall not enter into contracts for which payment is contingent upon receipt of State or Federal funds.
19. The Applicant shall not enter into any contract with any entity that is debarred or suspended from participation in Federal Assistance. The State and/or FEMA will not be under any obligation to reimburse Applicant for payments made to a debarred or suspended contractor. Applicant may search for debarred or suspended contractors on the "Excluded Parties List System" (EPLS) at the following website: www.sam.gov.
20. The Applicant shall comply with the provisions of 42 U.S.C. §5155 (Section 312 of the Stafford Act) which prohibits duplication of benefits. Applicant shall notify State immediately if any other source of funds is available to offset disaster assistance provided pursuant to this Agreement. Applicant agrees that eligible costs under this Agreement will be reduced by duplicate benefits received from any other source.
21. The Applicant shall comply with all uniform grant administration requirements required by State and Federal statutes, rules and regulations, including but not limited to, the Robert T. Stafford Disaster Relief and Emergency assistance Act, Public Law 93-288, as amended, Title 44 of the Code of Federal Regulations, applicable OMB Circulars, and policy guidance issued by the Federal Emergency Management Agency (FEMA).
22. If the Applicant pays contractors, subcontractors or consultants with funds provided through this Agreement then the Applicant shall include language in all contracts that binds the contractor, subcontractor or consultant to the terms and conditions of this Agreement with the State. Contractual arrangements with contractors, subcontractors or consultants shall in no way relieve the Applicant of its responsibilities to ensure that all funds provided through this Agreement are administered in accordance with all State and Federal requirements.

FOR THE APPLICANT:

Date

Applicant's Federal Tax I.D.
Number (required)

BY: _____

Signature

Ann Wall _____

Typed Name

City Manager _____

Title

FOR THE STATE:

Date

BY: _____

Signature

Typed Name

Title

ATTACHMENT A

LOBBYING PROHIBITION

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence either directly or indirectly an officer or employee of any State or Federal agency, a member of the N.C. Legislature, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan or cooperative agreement, the undersigned shall complete and submit Standard Form-L. "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (c) The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all recipients of funds under this Agreement shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each failure.

City of Greenville

Name of Applicant

BY: _____
Signature of Applicant's Designated Agent

ATTACHMENT B-1

OMB Approval No. 0348-0042

ASSURANCES-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0042), Washington DC 20503

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY

NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the Awarding Agency. Further, certain Federal assistance awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of the project costs) to ensure proper planning, management and completion of the project described in this application
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the assistance; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will not dispose of, modify the use of, or change the terms of the real property title, or other interest in the site and facilities without permission and instructions from the awarding agency. Will record the Federal interest in the title of real property in accordance with awarding agency directives and will include a covenant in the title of real property acquired in whole or in part with Federal assistance funds to assure non-discrimination during the useful life of the project.
4. Will comply by the requirements of the assistance awarding agency with regard to the drafting, review and approval of construction plans and specifications.
5. Will provide and maintain competent and adequate engineering supervision at the construction site to ensure that the complete work conforms with the approved plans and specifications and will furnish progress reports and such other information as may be required by the assistance awarding agency or State.
6. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
7. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
8. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-2763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
9. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
10. Will comply with all Federal statutes relating to non-discrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681 1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee 3), as amended relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended relating to nondiscrimination in the sale, rental, or financing of housing ; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

ATTACHMENT B-2

11. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal and federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
12. Will comply with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
13. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. 276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333) regarding labor standards for federally-assisted construction subagreements.
14. Will comply with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L.93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
15. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of under ground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
16. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
17. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
18. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
19. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE City Manager
APPLICANT ORGANIZATION City of Greenville	DATE SUBMITTED



City of Greenville, North Carolina

Meeting Date: 5/11/2020
Time: 6:00 PM

Title of Item: Resolution accepting dedication of rights-of-way and easements for Greenbrier Place - Section 1, Phase 2 & Revision of Lots 34, 35 & 37 Bedford West, Phase 1; Colony Woods South; Sagewood, Phase 2 and 3; Davenport Farms at Emerald Park Phase 3 Section 2 - Cluster; and Davenport Farms at Emerald Park Phase 3, Section 1 & Lot 297 Revised

Explanation: In accordance with the City's Subdivision regulations, rights-of-way and easements have been dedicated for Greenbrier Place - Section 1, Phase 2 & Revision of Lots 34, 35 & 37 Bedford West, Phase 1 (Map Book 85 at Page 89); Colony Woods South (Map Book 84 at Page 60); Sagewood, Phase 2 and 3 (Map Book 84 at Page 175); Davenport Farms at Emerald Park Phase 3 Section 2 - Cluster (Map Book 84 at Page 87); and Davenport Farms at Emerald Park Phase 3, Section 1 & Lot 297 Revised (Map Book 84 at Page 5). A resolution accepting the dedication of the aforementioned rights-of-way and easements is attached for City Council consideration. The final plats showing the rights-of-way and easements are also attached.

Fiscal Note: Funds for the maintenance of these rights-of-way and easements are included within the FY 2019-2020 budget.

Recommendation: City Council adopt the attached resolution accepting dedication of rights-of-way and easements for Greenbrier Place - Section 1, Phase 2 & Revision of Lots 34, 35 & 37 Bedford West, Phase 1; Colony Woods South; Sagewood, Phase 2 and 3; Davenport Farms at Emerald Park Phase 3 Section 2 - Cluster; and Davenport Farms at Emerald Park Phase 3, Section 1 & Lot 297 Revised.

ATTACHMENTS:

- ▣ **April_2020_Dedication_of_Rights_of_Way_Resolution_1127646**
- ▣ **Greenbrier Plat**
- ▣ **Colony Woods**
- ▣ **Sagewood**
- ▣ **Davenport Farms Cluster**
- ▣ **Davenport Farm Lot 297**

RESOLUTION NO.
A RESOLUTION ACCEPTING DEDICATION TO THE PUBLIC OF
RIGHTS-OF-WAY AND EASEMENTS ON SUBDIVISION PLATS

WHEREAS, G.S. 160A-374 authorizes any City Council to accept by resolution any dedication made to the public of land or facilities for streets, parks, public utility lines, or other public purposes, when the lands or facilities are located within its subdivision-regulation jurisdiction; and

WHEREAS, the Subdivision Review Board of the City of Greenville has acted to approve the final plats named in this resolution, or the plats or maps that predate the Subdivision Review Process; and

WHEREAS, the final plats named in this resolution contain dedication to the public of lands or facilities for streets, parks, public utility lines, or other public purposes; and

WHEREAS, the Greenville City Council finds that it is in the best interest of the public health, safety, and general welfare of the citizens of the City of Greenville to accept the offered dedication on the plats named in this resolution.

NOW, THEREFORE, BE IT RESOLVED by the City Council of the City of Greenville, North Carolina:

Section 1. The City of Greenville accepts the dedication made to the public of lands or facilities for streets, parks, public utility lines, or other public purposes offered by, shown on, or implied in the following approved subdivision plats:

Greenbrier Place - Section 1, Phase 2	
& Revision of Lots 34, 35 & 37 Bedford West. Phase 1	Map Book 85 Page 89
Colony Woods South	Map Book 84 Page 60
Sagewood, Phase 2 and 3	Map Book 84 Page 175
Davenport Farms at Emerald Park Phase 3 Section 2 – Cluster	Map Book 84 Page 87
Davenport Farms at Emerald Park Phase 3, Section 1 and Lot 297 Revised	Map Book 84 Page 5

Section 2. Acceptance of dedication of lands or facilities shall not place on the City any duty to open, operate, repair, or maintain any street, utility line, or other land or facility except as provided by the ordinances, regulations or specific acts of the City, or as provided by the laws of the State of North Carolina.

Section 3. Acceptance of the dedications named in this resolution shall be effective upon adoption of this resolution.

Adopted the 11th day of May, 2020.

P. J. Connelly, Mayor

ATTEST:

Valerie Shiuwegar, City Clerk

NORTH CAROLINA
PITT COUNTY

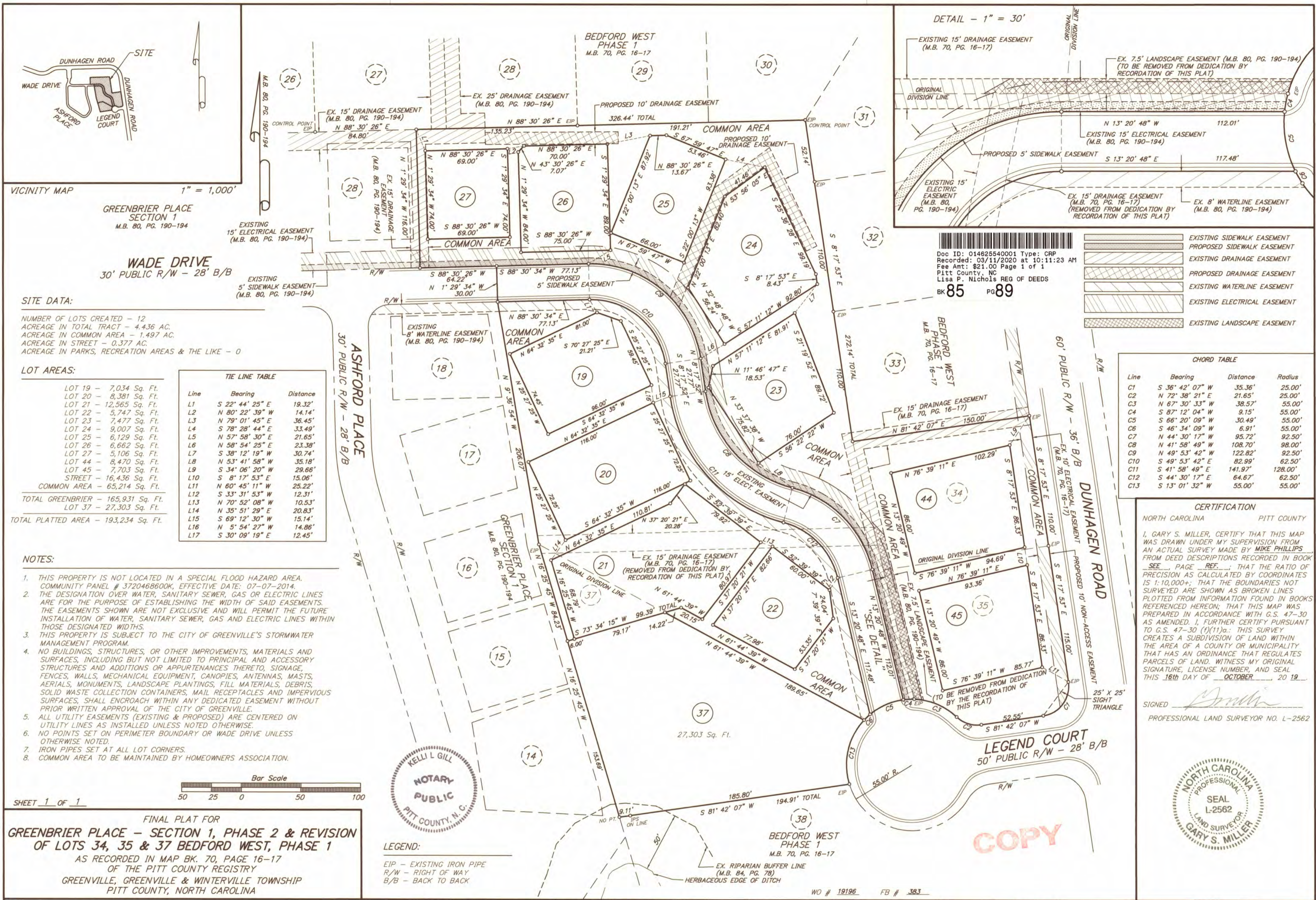
I, _____, Notary Public for said County and State, certify that Valerie Shiuwegar personally came before me this day and acknowledged that she is the City Clerk of the City of Greenville, a municipality, and that by authority duly given and as the act of the municipality, the foregoing instrument was signed in its name by its Mayor, sealed with the corporate seal, and attested by herself as its City Clerk.

WITNESS my hand and official seal this the 11th day of May, 2020.

Notary Public

My Commission Expires:

1127646



OWNER(S) GREENBRIER PLACE, LLC
ADDRESS 2285 COUNTY HOME ROAD, GREENVILLE, NC 27858
PHONE 252-341-7980

GARY S. MILLER & ASSOCIATES, P.A.
LAND SURVEYORS
1803 South Charles Blvd.
Greenville, N.C. 27858
License # C-0225

APPROVED: GSM
DATE: 10-16-19
SCALE: 1" = 50'

SOURCE OF TITLE
THIS IS TO CERTIFY THAT THE LAST INSTRUMENT(S) IN THE CHAIN OF TITLE(S) OF THIS PROPERTY AS RECORDED IN THE PITT COUNTY REGISTRY AT GREENVILLE, NORTH CAROLINA IS:

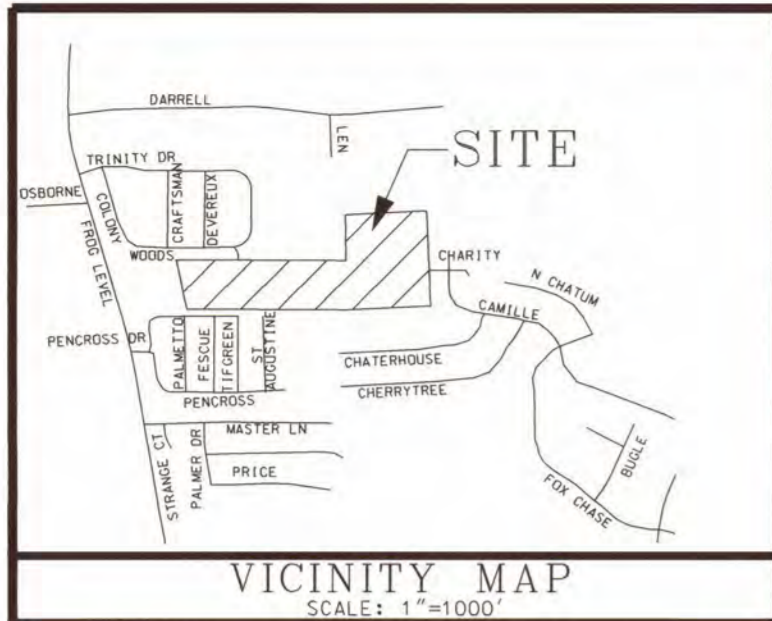
DEED BOOK	3395	PAGE	81-82
DEED BOOK	3395	PAGE	85-86
DEED BOOK	3227	PAGE	106-108
DEED BOOK	3808	PAGE	308-311
MAP BOOK	70	PAGE	16-17

OWNERS STATEMENT
THIS IS EVIDENCE THAT THIS SUBDIVISION IS MADE AT THE REQUEST OF
[Signature]
SWORN AND SUBSCRIBED TO BEFORE ME THIS 10th DAY OF March, 2020
[Signature]
NOTARY PUBLIC
MY COMMISSION EXPIRES Sept. 25, 2021

APPROVAL
THIS FINAL PLAT NO. 20-3 WAS APPROVED BY THE SUBDIVISION REVIEW BOARD IN ACCORDANCE WITH TITLE 9, CHAPTER 5 OF THE GREENVILLE CITY CODE THE 11th DAY OF March, 2020.
[Signature]
SIGNED: CITY PLANNER

DEDICATION
THE UNDERSIGNED HEREBY ACKNOWLEDGE(S) THIS PLAT AND ALLOTMENT TO BE THEIR FREE ACT AND DEED, AND HEREBY DEDICATE(S) TO PUBLIC USE AS STREETS, PARKS, PLAY-GROUNDS, OPEN SPACES AND EASEMENTS FOREVER ALL AREAS AS SHOWN OR SO INDICATED ON SAID PLAT.
[Signature]
SIGNED: ATTEST

REVIEW OFFICER
STATE OF NORTH CAROLINA
COUNTY OF PITT
1. *[Signature]*
REVIEW OFFICER OF PITT COUNTY, CERTIFY THAT THE MAP OR PLAT TO WHICH THIS CERTIFICATION IS AFFIXED MEETS ALL STATUTORY REQUIREMENTS FOR RECORDING.
[Signature]
REVIEW OFFICER
DATE: 3-11-2020



VICINITY MAP
SCALE: 1"=1000'

LEGEND

- NPS — NO POINT SET
- EIS — EXISTING IRON STAKE
- EIR — EXISTING IRON ROD
- CH — CHORD
- PT — POINT OF TANGENCY
- PC — POINT OF CURVATURE
- Δ — DELTA
- R — RADIUS
- BC — BACK OF CURB
- AC — ACRES
- CL — CURVE LENGTH
- CL — CENTERLINE
- R/W — RIGHT-OF-WAY
- ⊙ — DENOTES A CHANGE IN DIRECTION OF A LINE
- EPKN — EXISTING PARKER KALON NAIL
- NIS — NEW IRON STAKE
- CC — CONTROL CORNER
- SPKN — SET PARKER KALON NAIL

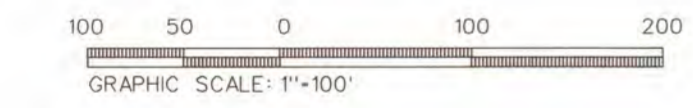
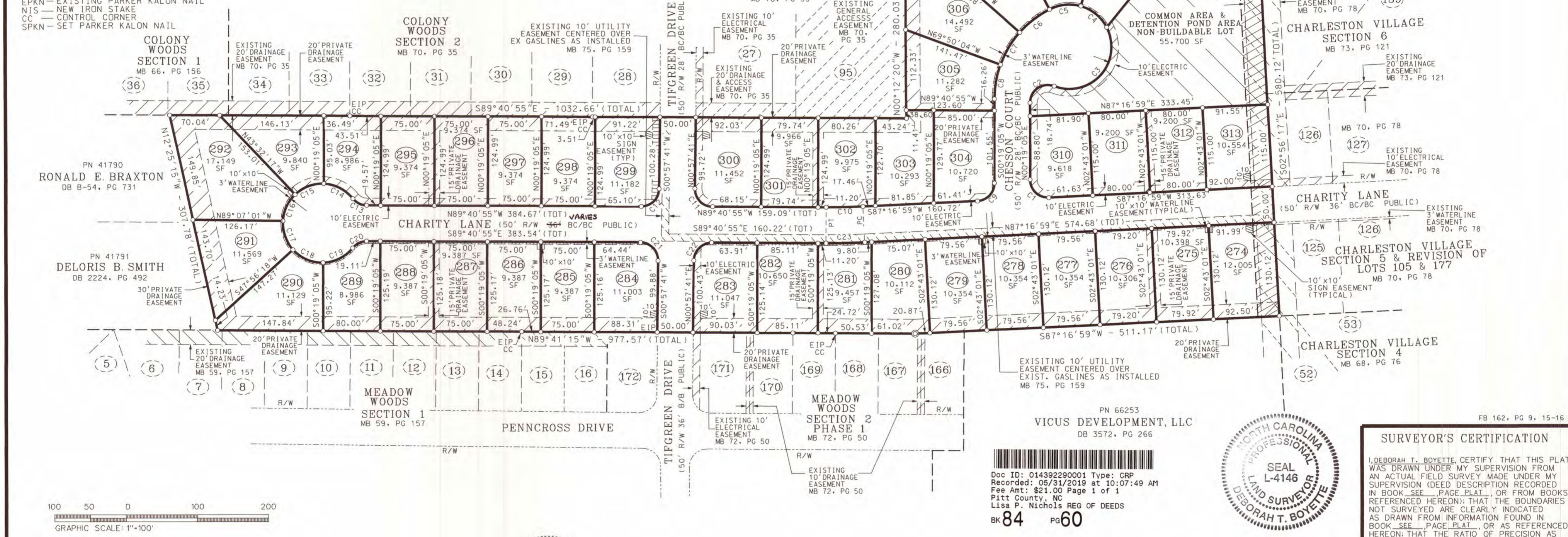
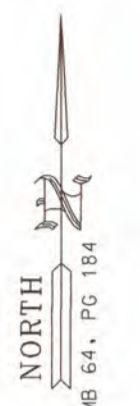
NOTES:

1. THE DESIGNATION NOTED OVER WATER, SANITARY SEWER, GAS OR ELECTRIC LINES IS FOR THE PURPOSE OF ESTABLISHING THE WIDTH OF SAID EASEMENT. THE EASEMENTS SHOWN ARE NOT EXCLUSIVE AND WILL PERMIT THE FUTURE INSTALLATION OF WATER, SANITARY SEWER, GAS AND ELECTRIC LINES WITHIN THOSE DESIGNATED WIDTHS.
2. ALL AREAS CALCULATED BY COORDINATE GEOMETRY.
3. THIS PROPERTY IS NOT LOCATED IN A SPECIAL FLOOD HAZARD AREA AS DETERMINED BY THE NATIONAL FLOOD INSURANCE PROGRAM. REFERENCE: FIRM PANEL NUMBER 3720466600J, DATED JULY 7, 2014.
4. IRON STAKES SET AT ALL LOT CORNERS UNLESS OTHERWISE NOTED.
5. NO PERMANENT STRUCTURE(S), INCLUDING BUT NOT LIMITED TO SUBDIVISION SIGNAGE, FENCES OR STORAGE BUILDINGS, SHALL BE CONSTRUCTED OR LOCATED IN ANY PUBLIC DRAINAGE EASEMENT SHOWN ON THIS PLAT WITHOUT PRIOR APPROVAL FROM THE CITY OF GREENVILLE PUBLIC WORKS DEPARTMENT.
6. NO BUILDINGS, STRUCTURES, OR OTHER IMPROVEMENTS, MATERIALS AND SURFACES, INCLUDING BUT NOT LIMITED TO PRINCIPAL AND ACCESSORY STRUCTURES AND ADDITIONS OR APPURTENANCES THERETO, SIGNAGE, FENCES, WALLS, MECHANICAL EQUIPMENT, CANOPIES, ANTENNAS, MASTS, AERIALS, MONUMENTS, LANDSCAPE PLANTINGS, FILL MATERIALS, DEBRIS, SOLID WASTE COLLECTION CONTAINERS, MAIL RECEPTACLES AND IMPERVIOUS SURFACES, SHALL ENCROACH WITHIN ANY DEDICATED EASEMENT WITHOUT PRIOR WRITTEN APPROVAL OF THE CITY OF GREENVILLE.
7. ALL PRIVATE DRAINAGE EASEMENTS AND COMMON AREA TO BE MAINTAINED BY THE COLONY WOODS SOUTH PROPERTY OWNER'S ASSOCIATION. REFERENCE DEED BOOK **3794**, PAGE **361**.

C1 R=25.00' Δ=93°02'15" L=40.60' Ch=N46°11'58"W 36.28'	C2 R=25.00' Δ=110°46'21" L=48.33' Ch=N55°42'15"E 41.15'	C3 R=59.00' Δ=138°22'27" L=142.49' Ch=N41°54'32"E 110.30'	C4 R=59.00' Δ=48°38'54" L=88.04' Ch=N50°35'41"W 46.72'	C5 R=59.00' Δ=44°01'02" L=85.33' Ch=S84°06'22"W 44.22'	C6 R=141.00' Δ=21°28'01" L=52.83' Ch=S52°31'37"W 52.52'
C7 R=141.00' Δ=21°33'14" L=53.04' Ch=S31°00'53"W 52.73'	C8 R=141.00' Δ=19°55'05" L=49.02' Ch=S10°16'39"W 48.77'	C9 R=25.00' Δ=86°58'32" L=37.95' Ch=S43°48'02"W 34.41'	C10 R=975.00' Δ=03°02'06" L=51.65' Ch=S58°48'02"W 51.64'	C11 R=25.00' Δ=90°37'58" L=39.55' Ch=S44°21'37"W 35.55'	C12 R=25.00' Δ=89°22'07" L=38.99' Ch=S45°38'23"W 35.16'
C13 R=25.00' Δ=51°18'58" L=22.39' Ch=N64°01'23"W 21.65'	C14 R=55.00' Δ=49°13'19" L=47.25' Ch=N62°58'21"W 45.81'	C15 R=55.00' Δ=50°57'15" L=44.11' Ch=S69°26'29"W 42.94'	C16 R=55.00' Δ=45°27'13" L=41.71' Ch=S24°44'12"W 40.72'	C17 R=55.00' Δ=45°04'23" L=43.27' Ch=S19°31'31"E 42.16'	C18 R=55.00' Δ=49°14'41" L=47.27' Ch=S66°40'55"E 45.83'
C19 R=55.00' Δ=49°41'32" L=47.70' Ch=N63°50'53"E 46.22'	C20 R=25.00' Δ=51°18'58" L=22.39' Ch=N64°39'25"E 21.65'	C21 R=25.00' Δ=50°37'58" L=39.55' Ch=S44°21'37"E 35.55'	C22 R=25.00' Δ=89°22'07" L=38.99' Ch=N45°38'23"E 35.16'	C23 R=1025.00' Δ=03°02'06" L=54.30' Ch=N88°48'02"E 54.29'	

SITE DATA

NUMBER OF LOTS CREATED.....	41
TOTAL AREA IN TRACT.....	13.6482 AC
AREA IN COMMON AREA.....	1.2787 AC
AREA IN PARKS, RECREATION AREAS AND THE LIKE.....	0



SHEET **1** OF **1** PN 44080 AND PN 44336

MAP FOR RECORD
COLONY WOODS SOUTH

REFERENCES: DEED BOOK 3511, PAGE 617 AND MAP BOOK 64, PAGE 184 OF THE PITT COUNTY REGISTRY

GREENVILLE, WINTERVILLE TOWNSHIP, PITT COUNTY, NORTH CAROLINA



OWNER
Kathryn W. Smith
OWNER

MELINDA C. STEPHENS
NOTARY PUBLIC
PITT COUNTY, NC

OWNER
Kathryn W. Smith
OWNER

PN 66253
VICUS DEVELOPMENT, LLC
DB 3572, PG 266

Doc ID: 014392290001 Type: CRP
Recorded: 05/31/2019 at 10:07:49 AM
Fee Amt: \$21.00 Page 1 of 1
Pitt County, NC
Lisa P. Nichols REG OF DEEDS
BK 84 PG 60



SURVEYOR'S CERTIFICATION

I, DEBORAH T. BOYETTE CERTIFY THAT THIS PLAT WAS DRAWN UNDER MY SUPERVISION FROM AN ACTUAL FIELD SURVEY MADE UNDER MY SUPERVISION (DEED DESCRIPTION RECORDED IN BOOK SEE PAGE PLAT, OR FROM BOOKS REFERENCED HEREON); THAT THE BOUNDARIES NOT SURVEYED ARE CLEARLY INDICATED AS DRAWN FROM INFORMATION FOUND IN BOOK SEE PAGE PLAT, OR AS REFERENCED HEREON; THAT THE RATIO OF PRECISION AS CALCULATED IS 1:136,671; THAT THIS MAP WAS PREPARED IN ACCORDANCE WITH G.S. 47-30 AS AMENDED.

IF FURTHER CERTIFY PURSUANT TO G.S. 47-30 (f)(1)(g), THIS SURVEY CREATES A SUBDIVISION OF LAND WITHIN A COUNTY OR MUNICIPALITY THAT HAS AN ORDINANCE THAT REGULATES PARCELS OF LAND.

WITNESS MY ORIGINAL SIGNATURE AND SEAL THIS THE 20 DAY OF May, 2019.

SIGNED *Deborah T. Boyette*
PROFESSIONAL LAND SURVEYOR L-4146

OWNER: **BILL CLARK HOMES OF GREENVILLE, LLC**
200 E. ARLINGTON BLVD., SUITE A
GREENVILLE, NC 27858
(252) 355-5805

STROUD ENGINEERING, P.A.
107-B COMMERCE STREET
GREENVILLE, NC 27858
(252) 756-9352
LICENSE NO. C-0647

SURVEYED: HOB APPROVED: DTB
DRAWN: DM DTB DATE: 10/10/18
CHECKED: DTB SCALE: 1"=100'

SOURCE OF TITLE

THIS IS TO CERTIFY THAT THE LAST INSTRUMENT(S) IN THE CHAIN OF TITLE(S) OF THIS PROPERTY AS RECORDED IN THE PITT COUNTY REGISTRY AT GREENVILLE NORTH CAROLINA IS:

DEED BOOK 3511 PAGE 617
DEED BOOK PAGE

Deborah T. Boyette
N.C. REG. NO. L-4146

OWNERS STATEMENT

THIS IS EVIDENCE THAT THIS SUB-DIVISION IS MADE AT THE REQUEST OF

SEE ABOVE SIGNATURES

OWNER

SWORN AND SUBSCRIBED TO BEFORE ME THIS 22nd DAY OF May, 2019
Melinda C. Stephens April 2, 2023
NOTARY PUBLIC, MY COMMISSION EXPIRES ON

APPROVAL

THIS FINAL PLAT, 18-42 WAS APPROVED BY THE SUBDIVISION REVIEW BOARD IN ACCORDANCE WITH TITLE 9, CHAPTER 5 OF THE GREENVILLE CITY CODE THE DAY OF _____

SIGNED *Chantae M. Gooch*
CITY PLANNER

DEDICATION

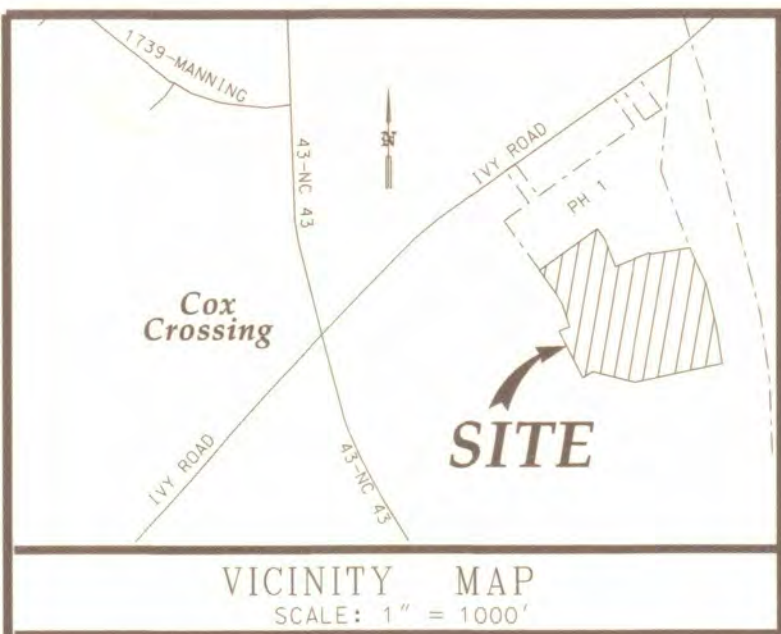
THE UNDERSIGNED HEREBY ACKNOWLEDGE(S) THIS PLAT AND ALLOTMENT TO BE THEIR FREE ACT AND DEED, AND HEREBY DEDICATES TO PUBLIC USE AS STREETS, PARKS, PLAY-GROUNDS, OPEN SPACES AND EASEMENTS FOREVER. ALL AREAS AS SHOWN OR AS INDICATED ON SAID PLAT.

SIGNED SEE ABOVE SIGNATURES
ATTEST

REVIEW OFFICER'S CERTIFICATE

I, *Chantae M. Gooch*
REVIEW OFFICER OF PITT COUNTY, CERTIFY THE MAP OR PLAT TO WHICH THIS CERTIFICATION IS AFFIXED MEETS ALL STATUTORY REQUIREMENTS FOR RECORDING.

Chantae M. Gooch
REVIEW OFFICER
DATE



LEGEND

NPS — NO POINT SET
 EIS — EXISTING IRON STAKE
 EIR — EXISTING IRON ROD
 CH — CHORD
 PT — POINT OF TANGENCY
 PC — POINT OF CURVATURE
 Δ — DELTA
 R — RADIUS
 BC — BACK OF CURB
 Ac. — ACRES
 L — CURVE LENGTH
 CL — CENTERLINE
 R/W — RIGHT-OF-WAY
 EIS — EXISTING IRON STAKE
 NIS — NEW IRON STAKE
 CC — CONTROL CORNER
 NPF — NO POINT FOUND
 EAI — EXISTING ANGLE IRON
 EIP — EXISTING IRON PIPE
 MAG — MAGNETIC
 MBL — MINIMUM BUILDING LINE
 © — CHANGE IN DIRECTION OF LINE

Doc ID: 014510360001 Type: CRP
 Recorded: 10/16/2019 at 02:39:34 PM
 Fee Amt: \$21.00 Page 1 of 1
 Pitt County, NC
 Lisa P. Nichols REG OF DEEDS
BK 84 PG 175

SITE DATA

NUMBER OF LOTS CREATED.....27
 TOTAL AREA IN TRACT.....10.7226 AC
 AREA IN COMMON AREA.....37,633 SF
 AREA IN PARKS, RECREATION
 AREAS AND THE LIKE.....0

NOTES:

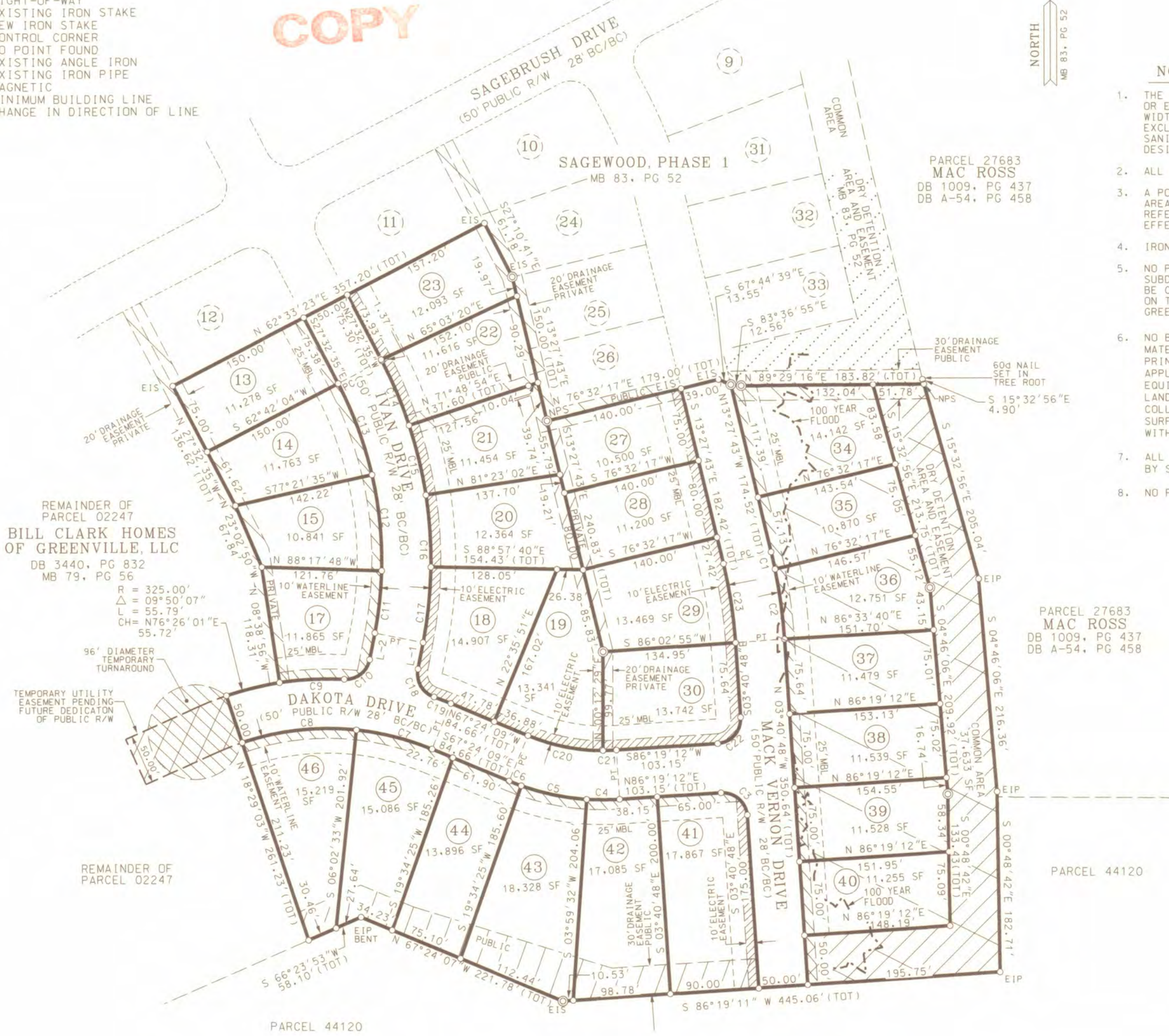
1. THE DESIGNATION NOTED OVER WATER, SANITARY SEWER, GAS OR ELECTRIC LINES IS FOR THE PURPOSE OF ESTABLISHING THE WIDTH OF SAID EASEMENT. THE EASEMENTS SHOWN ARE NOT EXCLUSIVE AND WILL PERMIT THE FUTURE INSTALLATION OF WATER, SANITARY SEWER, GAS AND ELECTRIC LINES WITHIN THOSE DESIGNATED WIDTHS.
2. ALL AREAS CALCULATED BY COORDINATE GEOMETRY.
3. A PORTION OF THIS PROPERTY IS LOCATED IN A SPECIAL FLOOD HAZARD AREA AS DETERMINED BY THE NATIONAL FLOOD INSURANCE PROGRAM. REFERENCE: FIRM PANEL NUMBER 3720560400K, EFFECTIVE DATE 07/07/2014.
4. IRON STAKES SET AT ALL LOT CORNERS UNLESS OTHERWISE NOTED.
5. NO PERMANENT STRUCTURE(S), INCLUDING BUT NOT LIMITED TO SUBDIVISION SIGNAGE, FENCES OR STORAGE BUILDINGS, SHALL BE CONSTRUCTED OR LOCATED IN ANY DRAINAGE EASEMENT SHOWN ON THIS PLAT WITHOUT PRIOR APPROVAL FROM THE CITY OF GREENVILLE PUBLIC WORKS DEPARTMENT.
6. NO BUILDINGS, STRUCTURES, OR OTHER IMPROVEMENTS, MATERIALS AND SURFACES, INCLUDING BUT NOT LIMITED TO PRINCIPAL AND ACCESSORY STRUCTURES AND ADDITIONS OR APPURTENANCES THERETO, SIGNAGE, FENCES, WALLS, MECHANICAL EQUIPMENT, CANOPIES, ANTENNAS, MASTS, AERIALS, MONUMENTS, LANDSCAPE PLANTINGS, FILL MATERIALS, DEBRIS, SOLID WASTE COLLECTION CONTAINERS, MAIL RECEPTACLES AND IMPERVIOUS SURFACES, SHALL ENCRUCH WITHIN ANY DEDICATED EASEMENT WITHOUT PRIOR WRITTEN APPROVAL OF THE CITY OF GREENVILLE.
7. ALL COMMON AREA AND PLANTED MEDIANS ARE TO BE MAINTAINED BY SAGEWOOD PROPERTY OWNER'S ASSOCIATION.
8. NO PARKING SIGNS TO BE PLACED ON ONE SIDE OF STREET.

CURVE DATA

C1 R = 525.00' Δ = 01°57'01" L = 17.87' CH = N12°29'13"W 17.87'	C2 R = 525.00' Δ = 47°49'52" L = 71.76' CH = N07°35'45"W 71.70'	C3 R = 25.00' Δ = 90°00'54" L = 39.28' CH = S48°40'48"E 35.36'
C4 R = 250.00' Δ = 07°40'19" L = 33.48' CH = S89°50'38"E 33.45'	C5 R = 250.00' Δ = 15°34'55" L = 67.99' CH = S78°13'01"E 67.78'	C6 R = 250.00' Δ = 03°01'24" L = 13.19' CH = S68°54'52"E 13.19'
C7 R = 275.00' Δ = 16°33'16" L = 79.46' CH = S75°40'48"E 79.18'	C8 R = 275.00' Δ = 24°31'34" L = 63.65' CH = N83°46'45"E 116.82'	C9 R = 325.00' Δ = 11°36'47" L = 55.87' CH = S87°09'26"W 65.76'
C10 R = 25.00' Δ = 81°46'43" L = 35.68' CH = S52°04'13"W 32.73'	C11 R = 385.00' Δ = 09°28'22" L = 76.97' CH = S06°26'24"W 63.58'	C12 R = 385.00' Δ = 4°34'01" L = 97.88' CH = S05°34'50"E 97.62'
C13 R = 385.00' Δ = 14°40'46" L = 98.64' CH = S20°12'13"E 98.37'	C14 R = 435.00' Δ = 09°21'29" L = 71.05' CH = N22°51'51"W 70.97'	C15 R = 435.00' Δ = 09°50'07" L = 72.84' CH = N13°24'02"W 72.56'
C16 R = 435.00' Δ = 09°39'20" L = 73.31' CH = N03°47'19"W 73.22'	C17 R = 435.00' Δ = 10°08'17" L = 76.97' CH = N06°06'28"E 76.87'	C18 R = 25.00' Δ = 81°46'43" L = 35.68' CH = N29°43'00"W 32.73'
C19 R = 325.00' Δ = 03°12'26" L = 18.19' CH = N69°00'22"W 18.19'	C20 R = 200.00' Δ = 22°23'25" L = 13.57' CH = N78°15'50"W 13.57'	C21 R = 200.00' Δ = 03°53'18" L = 13.57' CH = S88°15'50"W 13.57'
C22 R = 25.00' Δ = 90°00'54" L = 39.28' CH = S41°19'12"W 35.36'	C23 R = 475.00' Δ = 09°46'56" L = 81.10' CH = S08°34'16"E 81.00'	

LINE TABLE

L-1 N11°10'31"E 27.30'
L-2 S11°10'31"W 27.30'



SHEET 1 OF 1 A PORTION OF PN 02247

MAP FOR RECORD
SAGEWOOD, PHASE 2 and 3

REFERENCE: BEING A PORTION OF THE PROPERTY RECORDED IN DEED BOOK 3440, PAGE 832 OF THE PITT COUNTY REGISTRY

GREENVILLE, CHICOD TOWNSHIP, PITT COUNTY, NORTH CAROLINA

OWNER: BILL CLARK HOMES OF GREENVILLE, LLC
 200 EAST ARLINGTON BLVD.
 GREENVILLE, NC 27858
 252-355-5805

STROUD ENGINEERING, P.A.
 107-B COMMERCE STREET
 GREENVILLE, NC 27858
 (252)756-9352
 LICENSE NO. C-0647

SURVEYED:HOB/EGC	APPROVED:DTB
DRAWN: DM	DATE: 5/31/19
CHECKED:DTB	SCALE: 1" = 100'

SOURCE OF TITLE
 THIS IS TO CERTIFY THAT THE LAST INSTRUMENT(S) IN THE CHAIN OF TITLE(S) OF THIS PROPERTY AS RECORDED IN THE PITT COUNTY REGISTRY AT GREENVILLE NORTH CAROLINA IS:
 DEED BOOK 3440 PAGE 832
 DEED BOOK PAGE

Deborah T. Boyette
 N.C. LICENSE NO. L-4146

OWNERS STATEMENT

THIS IS EVIDENCE THAT THIS SUBDIVISION IS MADE AT THE REQUEST OF

Johnnie M. Smith
 OWNER: BILL CLARK HOMES OF GREENVILLE, LLC

Daniel Koel
 OWNER: BILL CLARK HOMES OF GREENVILLE, LLC

OWNER: _____
 OWNER: _____
 OWNER: _____

SWORN AND SUBSCRIBED TO BEFORE ME THIS 14th DAY OF Oct 2019
Judy R. Stroud
 NOTARY PUBLIC, MY COMMISSION EXPIRES ON 2/23/2020

PARCEL 44120
JOHNNIE M. SMITH
 DB 112, PG 238

APPROVAL

THIS FINAL PLAT, 19-39 WAS APPROVED BY THE SUBDIVISION REVIEW BOARD IN ACCORDANCE WITH TITLE 9, CHAPTER 5 OF THE GREENVILLE CITY CODE THE 16th DAY OF October, 2019.

SIGNED *[Signature]*
 CITY PLANNER

DEDICATION

THE UNDERSIGNED HEREBY ACKNOWLEDGE(S) THIS PLAT AND ALLOTMENT TO BE THEIR FREE ACT AND DEED, AND HEREBY DEDICATES TO PUBLIC USE AS STREETS, PARKS, PLAY-GROUNDS, OPEN SPACES AND EASEMENTS FOREVER. ALL AREAS AS SHOWN OR AS INDICATED ON SAID PLAT.

Johnnie M. Smith
 OWNER: BILL CLARK HOMES OF GREENVILLE, LLC

Daniel Koel
 OWNER: BILL CLARK HOMES OF GREENVILLE, LLC

OWNER: _____
 OWNER: _____
 OWNER: _____

ATTEST *Judy R. Stroud*

SURVEYOR'S CERTIFICATION

DEBORAH T. BOYETTE CERTIFY THAT THIS PLAT WAS DRAWN UNDER MY SUPERVISION FROM AN ACTUAL FIELD SURVEY MADE UNDER MY SUPERVISION (DEED DESCRIPTION RECORDED IN BOOK 3440, PAGE 832, OR FROM BOOKS REFERENCED HEREON); THAT THE BOUNDARIES NOT SURVEYED ARE CLEARLY INDICATED AS DRAWN FROM INFORMATION FOUND IN BOOK _____ PAGE _____, OR AS REFERENCED HEREON; THAT THE RATION OF PRECISION IS 1:84,448 AS PREPARED IN ACCORDANCE WITH G.S. 47-30 AS AMENDED.

IF FURTHER CERTIFY PURSUANT TO G.S. 47-30 (f)(1)(g), THIS SURVEY CREATES A SUBDIVISION OF LAND WITHIN A COUNTY OR MUNICIPALITY THAT HAS AN ORDINANCE THAT REGULATES PARCELS OF LAND.

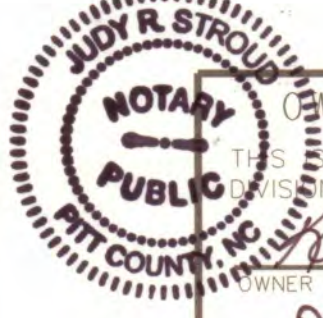
WITNESS MY ORIGINAL SIGNATURE AND SEAL THIS THE 14 DAY OF October, 2019

SIGNED *Deborah T. Boyette*
 PROFESSIONAL LAND SURVEYOR L-4146

REVIEW OFFICER'S CERTIFICATE

Bradleigh Scavious
 REVIEW OFFICER OF PITT COUNTY, CERTIFY THE MAP OR PLAT TO WHICH THIS CERTIFICATION IS AFFIXED MEETS ALL STATUTORY REQUIREMENTS FOR RECORDING.

[Signature]
 REVIEW OFFICER
 DATE 10/16/19



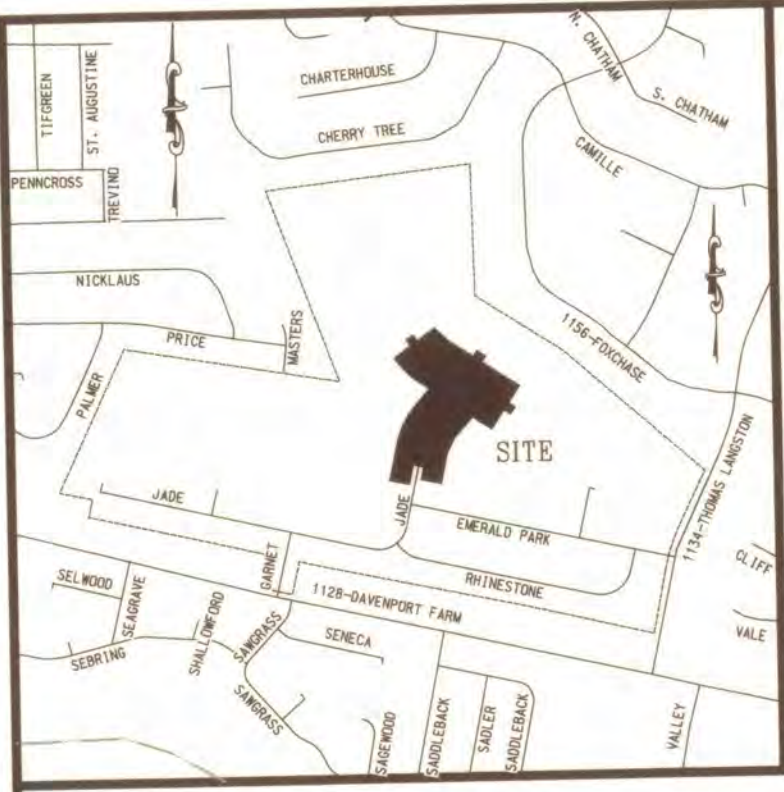
SITE DATA

AREA IN TOTAL TRACT.....	5.7408 ACRES
NUMBER OF LOTS CREATED.....	23
AREA IN COMMON AREA.....	0.0000 ACRES
AREA IN PARKS, RECREATION AND THE LIKE.....	0.00 ACRES

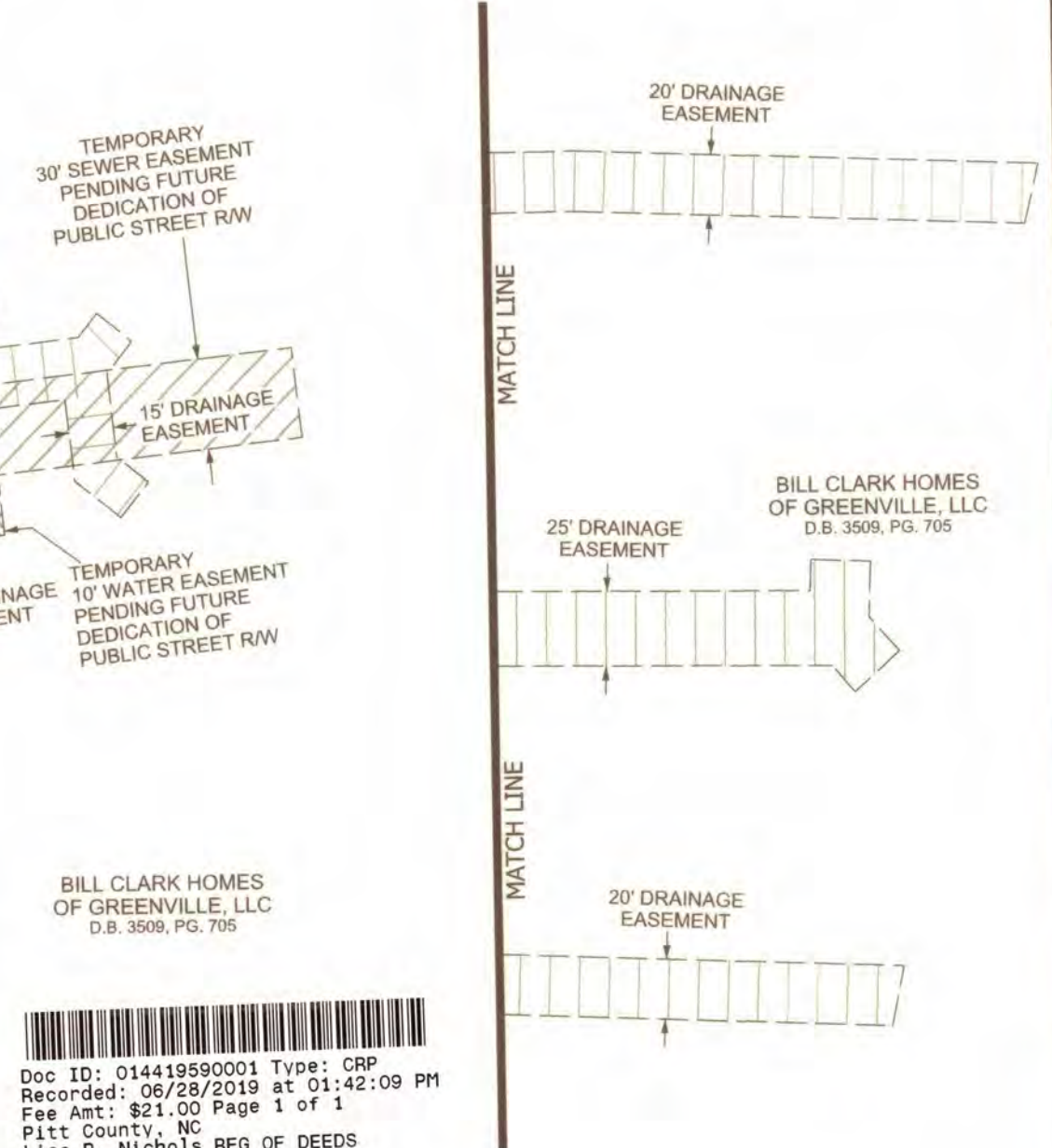
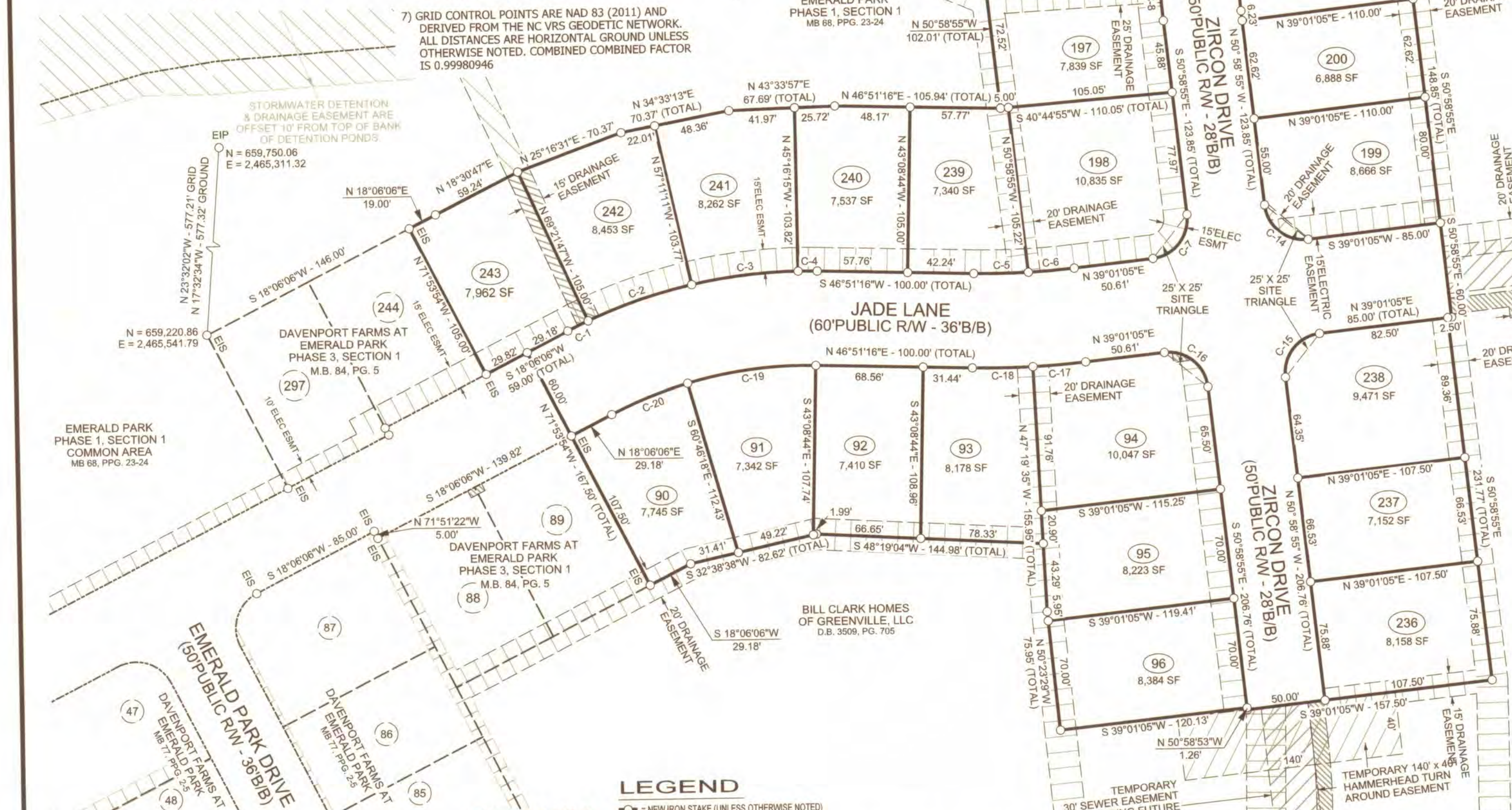
CURVE NO.	RADIUS	CURVE DATA		CHORD LENGTH
		LENGTH	CHORD BEARING	
C-1	R = 330.00'	L = 14.60'	CH = S 19°22'10"W	14.60'
C-2	R = 330.00'	L = 70.13'	CH = S 26°43'31"W	70.00'
C-3	R = 330.00'	L = 68.63'	CH = S 38°46'17"W	68.50'
C-4	R = 330.00'	L = 12.24'	CH = S 45°47'30"W	12.24'
C-5	R = 470.00'	L = 34.88'	CH = S 44°43'43"W	34.87'
C-6	R = 470.00'	L = 29.41'	CH = S 40°48'38"W	29.40'
C-7	R = 25.00'	L = 39.27'	CH = S 05°58'55"E	35.36'
C-8	R = 445.00'	L = 24.00'	CH = S 49°26'12"E	24.00'
C-9	R = 445.00'	L = 69.22'	CH = S 43°26'07"E	69.15'
C-10	R = 445.00'	L = 0.86'	CH = S 30°00'40"W	0.86'
C-11	R = 395.00'	L = 74.34'	CH = N 35°20'50"W	74.23'
C-12	R = 395.00'	L = 70.62'	CH = N 45°51'37"W	70.52'
C-13	R = 25.00'	L = 39.27'	CH = S 84°01'05"W	35.36'
C-14	R = 25.00'	L = 39.27'	CH = N 05°58'55"W	35.36'
C-15	R = 25.00'	L = 39.27'	CH = N 84°01'05"E	35.36'
C-16	R = 530.00'	L = 33.81'	CH = N 40°50'45"E	33.81'
C-17	R = 530.00'	L = 38.67'	CH = N 44°45'50"E	38.67'
C-18	R = 270.00'	L = 83.06'	CH = N 38°02'29"E	82.73'
C-19	R = 270.00'	L = 52.43'	CH = N 23°39'54"E	52.35'
C-20	R = 270.00'	L = 52.43'	CH = N 23°39'54"E	52.35'

NOTES:

- 1) THE DESIGNATION NOTED OVER WATER, SANITARY SEWER, GAS OR ELECTRIC LINES ARE FOR THE PURPOSE OF ESTABLISHING THE WIDTH OF SAID EASEMENTS. THE EASEMENTS SHOWN ARE NOT EXCLUSIVE AND WILL PERMIT THE FUTURE INSTALLATION OF WATER, SANITARY SEWER, GAS AND ELECTRIC LINES WITHIN THE DESIGNATED WIDTHS.
- 2) THIS PROPERTY IS NOT LOCATED WITHIN A 100 YEAR FLOOD PLAIN AS PER FEMA PANEL NUMBER 370191 4665 K, DATED JULY 7, 2014.
- 3) NO BUILDINGS, STRUCTURES, OR OTHER IMPROVEMENTS, MATERIALS AND SURFACES, INCLUDING BUT NOT LIMITED TO PRINCIPAL AND ACCESSORY STRUCTURES AND ADDITIONS OR APPURTENANCES THERETO, SIGNAGE, FENCES, WALLS, MECHANICAL EQUIPMENT, CANOPIES, ANTENNAS, MASTS, AERIALS, MONUMENTS, LANDSCAPE PLANTINGS, FILL MATERIALS, DEBRIS, SOLID WASTE COLLECTION CONTAINERS, MAIL RECEPTACLES AND IMPERVIOUS SURFACES, SHALL ENCRUCH WITHIN ANY DEDICATED EASEMENT WITHOUT PRIOR WRITTEN APPROVAL OF THE CITY OF GREENVILLE.
- 5) EMERALD PARK, PHASE 3 SECTION 2, IS A RESIDENTIAL CLUSTER DEVELOPMENT.
- 6) COMMON AREA TO BE MAINTAINED BY THE HOME OWNER'S ASSOCIATION AS PER DOCUMENTS RECORDED IN D.B. 2329 PG. 626, D.B. 2427 PG. 718, D.B. 3132, PG. 576, D.B. 3132, PG. 579 OF THE PITT COUNTY REGISTRY AND ANY FUTURE AMENDMENTS.
- 7) GRID CONTROL POINTS ARE NAD 83 (2011) AND DERIVED FROM THE NC VRS GEODETIC NETWORK. ALL DISTANCES ARE HORIZONTAL GROUND UNLESS OTHERWISE NOTED. COMBINED COMBINED FACTOR IS 0.99980946

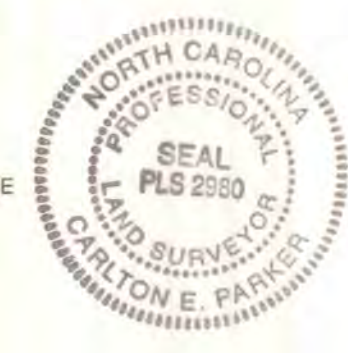


VICINITY MAP
1"=1000'



Doc ID: 014419590001 Type: CRP
Recorded: 06/28/2019 at 01:42:09 PM
Fee Amt: \$21.00 Page 1 of 1
Pitt County, NC
Lisa P. Nichols REG OF DEEDS
BK 84 PG 87

COPY



I HEREBY CERTIFY THAT THIS SURVEY CREATES A SUBDIVISION OF LAND WITHIN A COUNTY OR MUNICIPALITY THAT HAS AN ORDINANCE THAT REGULATES SUBDIVISIONS.
Carlton E. Parker
CARLTON E. PARKER

I, CARLTON E. PARKER CERTIFY THAT THIS MAP WAS DRAWN BY ME OR UNDER MY SUPERVISION FROM AN ACTUAL SURVEY BY ME OR UNDER MY SUPERVISION, THAT THE RATIO OF PRECISION AS CALCULATED IS 1:10,000+; THAT THE BOUNDARIES NOT SURVEYED ARE SHOWN AS BROKEN LINES PLOTTED FROM INFORMATION AS SHOWN ON PLAT. THAT THIS PLAT WAS PREPARED IN ACCORDANCE WITH G.S. 47-30 AS AMENDED. WITNESS MY ORIGINAL SIGNATURE, REGISTRATION NUMBER AND SEAL THIS
Carlton E. Parker
CARLTON E. PARKER L-2980

28th DAY OF JUNE A.D. 2019.
Chantae M. Gooby
Chantae M. Gooby
REVIEW OFFICER OF PITT COUNTY, CERTIFY THAT THE MAP OR PLAT TO WHICH THIS CERTIFICATION IS AFFIXED, MEETS ALL STATUTORY REQUIREMENTS FOR RECORDING.
Chantae M. Gooby 6/28/19
REVIEW OFFICER DATE

LEGEND

- = NEW IRON STAKE (UNLESS OTHERWISE NOTED)
- = EXISTING IRON PIPE
- = EXISTING IRON STAKE
- = NO POINT SET
- = CONTROL CORNER

TRACY W. GRASHA
Notary Public
North Carolina
Pitt County



MAP FOR RECORD
DAVENPORT FARMS AT EMERALD PARK
PHASE 3 SECTION 2 - CLUSTER

REFERENCE DEED BOOK 3509, PAGE 705
OF THE PITT COUNTY REGISTRY

GREENVILLE WINTERVILLE TOWNSHIP PITT COUNTY NORTH CAROLINA

OWNER: BILL CLARK HOMES OF GREENVILLE, LLC
ADDRESS: 200 E. ARLINGTON BLVD., STE R GREENVILLE, NC 27858
PHONE: (252) 355-2000



MALPASS & ASSOCIATES
(NC LICENSE NUMBER C-1289)
1645 E. ARLINGTON BLVD., SUITE D
GREENVILLE, N.C. 27858
(252) 756-1780

SURVEYED: CEP	APPROVED: CEP
DRAWN: WCO	DATE: 06/17/19
CHECKED: CEP	SCALE: 1" = 60'

SOURCE OF TITLE
THIS IS TO CERTIFY THAT THE LAST INSTRUMENT(S) IN THE CHAIN OF TITLES OF THIS PROPERTY AS RECORDED IN THE PITT COUNTY REGISTRY AT GREENVILLE, NORTH CAROLINA IS:
DEED BOOK 3509 PAGE 705
DEED BOOK - PAGE -
Carlton E. Parker
NC REGISTRATION NUMBER L-2980

OWNER'S STATEMENT
THIS IS EVIDENCE THAT THIS SUBDIVISION IS MADE AT THE REQUEST OF
Carlton E. Parker
OWNER
Daniel Kod
OWNER SWORN AND SUBSCRIBED BEFORE ME THIS 28th DAY OF June, 2019.
Tracy W. Grasha
NOTARY PUBLIC
MY COMMISSION EXPIRES: July 10, 2023

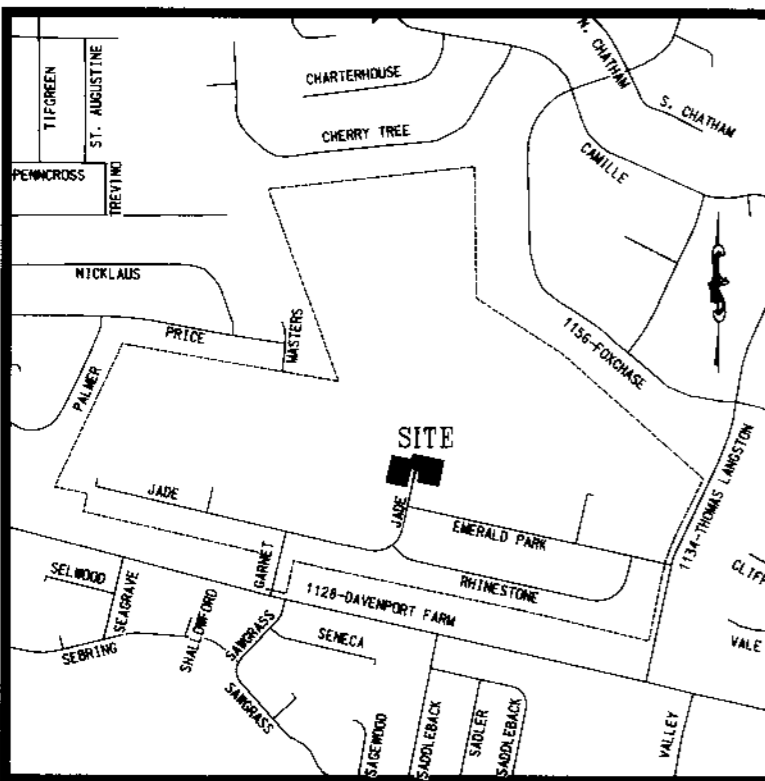
APPROVAL
THIS FINAL PLAT NUMBER 19-21 WAS APPROVED BY THE SUBDIVISION REVIEW BOARD IN ACCORDANCE WITH TITLE 9, CHAPTER 5 OF THE GREENVILLE CITY CODE ON THE 28 DAY OF June, 2019.
SIGNED: *Chantae M. Gooby*
CITY PLANNER

DEDICATION
THE UNDERSIGNED HEREBY ACKNOWLEDGE(S) THIS PLAT AND ALLOTMENT TO BE HIS FREE ACT AND AND DEED, AND HEREBY DEDICATES TO PUBLIC USE AS STREETS, PARKS, PLAYGROUNDS, OPEN SPACES AND EASEMENTS FOREVER, ALL AREAS AS SHOWN OR AS INDICATED ON SAID PLAT.
SIGNED: *Carlton E. Parker*
SIGNED: *Daniel Kod*
ATTEST: *Chantae M. Gooby*

SITE DATA

AREA IN TOTAL TRACT.....0.8719 ACRES
 NUMBER OF LOTS CREATED.....4
 AREA IN COMMON AREA.....0.0000 ACRES
 AREA IN PARKS, RECREATION AND THE LIKE.....0.00 ACRES

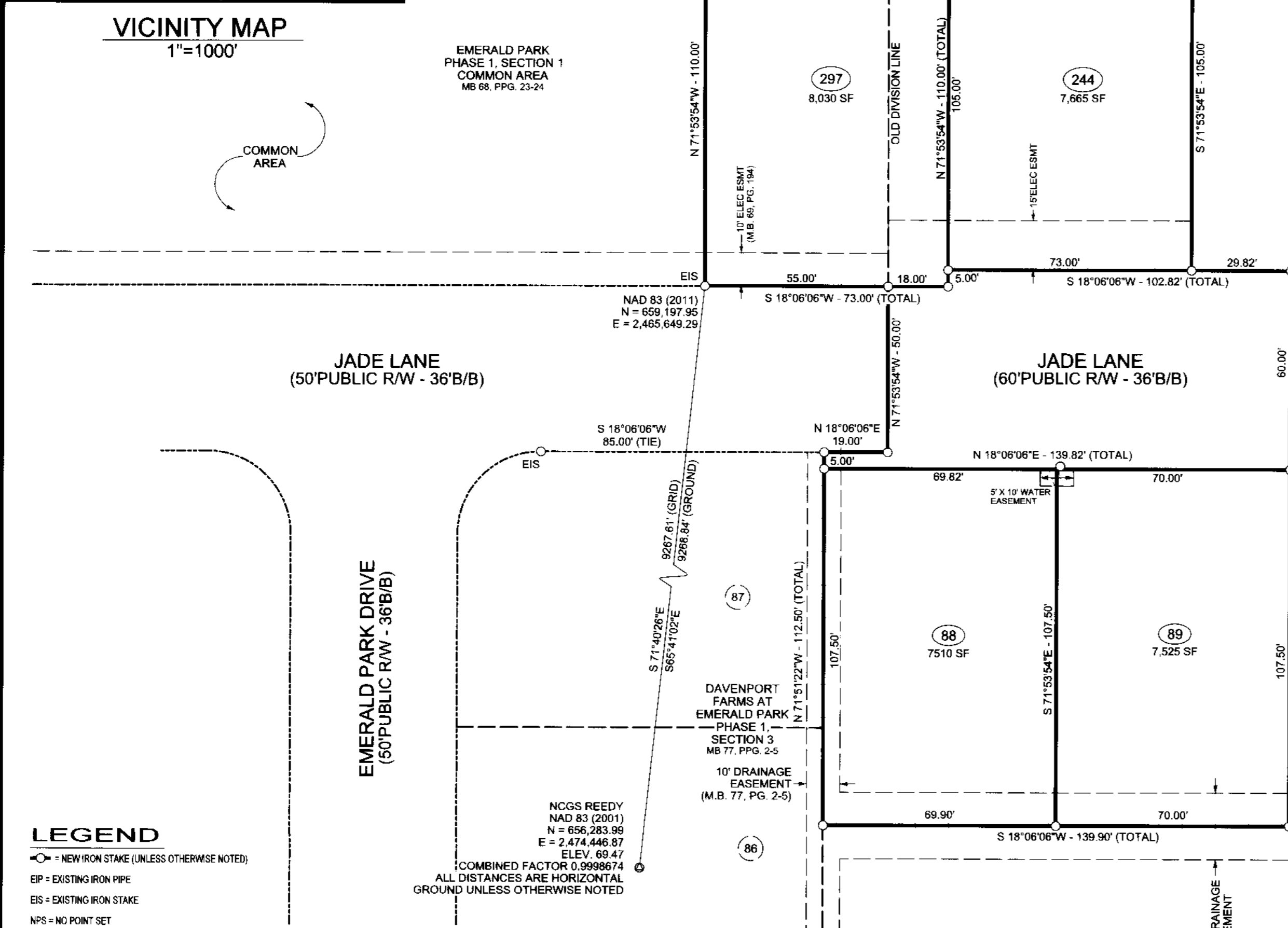
- NOTES:**
- 1) THE DESIGNATION NOTED OVER WATER, SANITARY SEWER, GAS OR ELECTRIC LINES ARE LINES ARE FOR THE PURPOSE OF ESTABLISHING THE WIDTH OF SAID EASEMENTS. THE EASEMENTS SHOWN ARE NOT EXCLUSIVE AND WILL PERMIT THE FUTURE INSTALLATION OF WATER, SANITARY SEWER, GAS AND ELECTRIC LINES WITHIN THOSE DESIGNED WIDTHS.
 - 2) THIS PROPERTY IS NOT LOCATED WITHIN A 100 YEAR FLOOD PLAIN AS PER FEMA PANEL NUMBER 370191 4665 K, DATED JULY 7, 2014.
 - 3) NO BUILDINGS, STRUCTURES, OR OTHER IMPROVEMENTS, MATERIALS AND SURFACES, INCLUDING BUT NOT LIMITED TO PRINCIPAL AND ACCESSORY STRUCTURES AND ADDITIONS OR APPURTENANCES THERETO, SIGNAGE, FENCES, WALLS, MECHANICAL EQUIPMENT, CANOPIES, ANTENNAS, MASTS, AERIALS, MONUMENTS, LANDSCAPE PLANTINGS, FILL MATERIALS, DEBRIS, SOLID WASTE COLLECTION CONTAINERS, MAIL RECEPTACLES AND IMPERVIOUS SURFACES, SHALL ENCROACH WITHIN ANY DEDICATED EASEMENT WITHOUT PRIOR WRITTEN APPROVAL OF THE CITY OF GREENVILLE.



VICINITY MAP
1"=1000'

Doc ID: 014330130001 Type: CRP
 Recorded: 03/13/2019 at 02:40:14 PM
 Fee Amt: \$21.00 Page 1 of 1
 Pitt County, NC
 Lisa P. Nichols REG OF DEEDS
 BK 84 PG 5

EMERALD PARK
 PHASE 1, SECTION 1
 COMMON AREA
 MB 68, PPG. 23-24



BILL CLARK HOMES
 OF GREENVILLE, LLC
 D.B. 3509, PG. 705

LEGEND

- NEW IRON STAKE (UNLESS OTHERWISE NOTED)
- EXISTING IRON PIPE
- EXISTING IRON STAKE
- NO POINT SET

NCGS REEDY
 NAD 83 (2001)
 N = 656,283.99
 E = 2,474,446.87
 ELEV. 69.47
 COMBINED FACTOR 0.9998674
 ALL DISTANCES ARE HORIZONTAL
 GROUND UNLESS OTHERWISE NOTED

SHEET 1 OF 1

MAP FOR RECORD
DAVENPORT FARMS AT EMERALD PARK
PHASE 3, SECTION 1 & LOT 297 REVISED

REFERENCE DEED BOOK 3509, PAGE 705
 OF THE PITT COUNTY REGISTRY

GREENVILLE WINTERVILLE TOWNSHIP PITT COUNTY NORTH CAROLINA

OWNER: BILL CLARK HOMES OF GREENVILLE, LLC
 ADDRESS: 200 E. ARLINGTON BLVD., STE R GREENVILLE, NC 27858
 PHONE: (252) 355-2000

MALPASS & ASSOCIATES
 (NC LICENSE NUMBER C-1289)
 1645 E. ARLINGTON BLVD., SUITE D
 GREENVILLE, N.C. 27858
 (252) 756-1780

SURVEYED: CEP	APPROVED: CEP
DRAWN: WCO	DATE: 1/30/19
CHECKED: CEP	SCALE: 1" = 30'



SOURCE OF TITLE
 THIS IS TO CERTIFY THAT THE LAST INSTRUMENT(S) IN THE CHAIN OF TITLES OF THIS PROPERTY AS RECORDED IN THE PITT COUNTY REGISTRY AT GREENVILLE, NORTH CAROLINA IS:

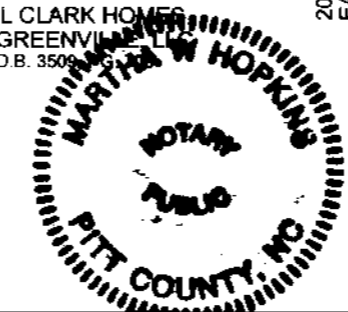
DEED BOOK 3509 PAGE 705
 DEED BOOK PAGE
 NC REGISTRATION NUMBER L-2980

OWNER'S STATEMENT
 THIS IS EVIDENCE THAT THIS SUBDIVISION IS MADE AT THE REQUEST OF
 OWNER: *Richard Smith*
 OWNER: *Daniel Koda*
 SWORN AND SUBSCRIBED BEFORE ME THIS DAY OF *March*, 2019.
 NOTARY PUBLIC
 MY COMMISSION EXPIRES: *August 28, 2023*

APPROVAL
 THIS FINAL PLAT NUMBER *19-05* WAS APPROVED BY THE SUBDIVISION REVIEW BOARD IN ACCORDANCE WITH TITLE 9, CHAPTER 5 OF THE GREENVILLE CITY CODE ON THE *12* DAY OF *March*, 2019.
 SIGNED: *Hubert H.*
 CITY PLANNER

DEDICATION
 THE UNDERSIGNED HEREBY ACKNOWLEDGE(S) THIS PLAT AND ALLOTMENT TO BE HIS FREE ACT AND DEED, AND HEREBY DEDICATES TO PUBLIC USE AS STREETS, PARKS, PLAYGROUNDS, OPEN SPACES AND EASEMENTS FOREVER, ALL AREAS AS SHOWN OR AS INDICATED ON SAID PLAT.
 SIGNED: *Richard Smith*
 SIGNED: *Daniel Koda*
 ATTEST: *Hubert H.*

I HEREBY CERTIFY THAT THIS SURVEY CREATES A SUBDIVISION OF LAND WITHIN A COUNTY OR MUNICIPALITY THAT HAS AN ORDINANCE THAT REGULATES SUBDIVISIONS.
 CARLTON E. PARKER
 I, CARLTON E. PARKER CERTIFY THAT THIS MAP WAS DRAWN BY ME OR UNDER MY SUPERVISION FROM AN ACTUAL SURVEY BY ME OR UNDER MY SUPERVISION, THAT THE RATIO OF PRECISION AS CALCULATED IS 1:10,000+, THAT THE BOUNDARIES NOT SURVEYED ARE SHOWN AS BROKEN LINES PLOTTED FROM INFORMATION AS SHOWN ON PLAT. THAT THIS PLAT WAS PREPARED IN ACCORDANCE WITH G.S. 47-30 AS AMENDED. WITNESS MY ORIGINAL SIGNATURE. REGISTRATION NUMBER AND SEAL THIS
 12TH DAY OF *March* A.D., 2019.
 CARLTON E. PARKER L-2980
 REVIEW OFFICER OF PITT COUNTY, CERTIFY THAT THE MAP OR PLAT TO WHICH THIS CERTIFICATION IS AFFIXED, MEETS ALL STATUTORY REQUIREMENTS FOR RECORDING.
 REVIEW OFFICER: *Charitae M Guobey* DATE: *3/12/19*





City of Greenville, North Carolina

Meeting Date: 5/11/2020
Time: 6:00 PM

Title of Item: Renewal of Municipal Agreements with the North Carolina Department of Transportation for Traffic Signal Maintenance

Explanation: **Abstract:** Attached for consideration are municipal agreements with the North Carolina Department of Transportation (NCDOT) for the next renewal period for Traffic Signal Maintenance, which has been ongoing since 2005. The total reimbursable amount to the City of Greenville by NCDOT is \$178,898.85 annually for performance of maintenance on NCDOT signals within the City limits.

Explanation: Attached for City Council's consideration are the municipal agreements with NCDOT for the period defining the next Traffic Signal Maintenance Agreement. The City of Greenville's Traffic Division has provided maintenance for all City-owned traffic signals since their installation. Likewise, the Traffic Division has been providing similar maintenance services for NCDOT traffic signals within the City limits since 2005. These services have continually been provided via municipal agreements since that time.

The Schedule C agreement allows for reimbursement of maintenance on signals owned and operated by NCDOT within the City limits.

The Schedule D agreement allows for reimbursement of maintenance and operation costs of signal equipment.

The Engineering Department has been in negotiations with NCDOT to craft the attached Schedule C and Schedule D agreements to commence July 1, 2020. These agreements are on an annual basis and will automatically renew for five years.

Fiscal Note: The attached agreements are provided in two separate schedules with the following annual reimbursements for each to be billed quarterly.

Schedule "C":	\$99,727.35
Schedule "D":	<u>\$79,171.50</u>
Total:	\$178,898.85 (per year)

Recommendation: City Council approve the agreements to facilitate signal maintenance by the City and related compensation by NCDOT for the life of the agreement.

ATTACHMENTS:

- ☐ **Schedule C Municipal Agreement**
- ☐ **Schedule D Municipal Agreement**

NORTH CAROLINA
PITT COUNTY

**MUNICIPAL OPERATIONS - TRAFFIC CONTROL
DEVICES
TRAFFIC SIGNALS AGREEMENT
SCHEDULE C
DATE: 4/6/2020**

NORTH CAROLINA DEPARTMENT OF
TRANSPORTATION

AND

WBS Elements:

2.1074SM

CITY OF GREENVILLE

THIS AGREEMENT is made and entered into on the last date executed below, by and between the North Carolina Department of Transportation, an agency of the State of North Carolina, hereinafter referred to as the "Department" and the City of Greenville, hereinafter referred to as the "Municipality."

WITNESSETH:

WHEREAS, the provisions of the North Carolina General Statutes (NCGS) §136-66.1 and §136-18 authorize the Municipality to contract with the Department for the installation, repair, operations, and maintenance of highway signs and markings, electric traffic signals and other traffic control devices on State Highway System streets within the Municipality; and,

WHEREAS, the Department and the Municipality have a mutual interest in the efficient and effective operation of traffic signals within the Municipality; and,

WHEREAS, the Department and the Municipality recognize that each party to this Agreement has an obligation and responsibility to provide for the safe, orderly, and efficient flow of traffic on their respective street systems; and,

WHEREAS, the Municipality finds that it is in the best public interest to operate traffic signals at certain intersections that are on the State's Highway System within or near the Municipality; and,

WHEREAS, the Department finds it desirable and advantageous to reimburse the Municipality for costs incurred when the Municipality operates traffic signals at certain intersections that are on the State Highway System within or near the Municipality;

NOW, THEREFORE, the Department and the Municipality do hereby agree as follows:

1. GENERAL PROVISIONS

COMPLIANCE WITH STATE/FEDERAL POLICY

The Municipality and/or its agent, including all contractors, subcontractors, or sub-recipients, shall comply with all applicable Federal and State policies and procedures, stated both in this Agreement and in the Department's guidelines and procedures.

FAILURE TO COMPLY - CONSEQUENCES

Failure on the part of the Municipality to comply with any of the provisions of this Agreement will be grounds for the Department to terminate participation in the costs of the Project and, if applicable, seek repayment of any reimbursed funds.

2. SCOPE OF THE PROJECT

The Municipality shall operate the traffic signals as defined in the Appendices and as indicated hereinafter:

- A. The operation of intersections on the State Highway System, both at the hardware and software levels, will be subject to the approval of the Department and will reflect the needs of traffic on both the State Highway System and the Municipal System.
- B. In the event the Department and the Municipality cannot agree on issues affecting the operation of these intersections, the decision of the Department will be final.
- C. The Municipality agrees to an annual audit of the performance of intersection equipment and systems. The audit is to be performed by the Department and the Municipality.
- D. The Municipality shall not install any traffic control devices, nor make any traffic signal phasing changes, on any State Highway System street without the prior approval of the Department, pursuant to NCGS §20-169.
- E. The Municipality shall operate the traffic signals in accordance with North Carolina General Statutes, the Department's current policies and guidelines as included in the Appendices, and all local codes and ordinances. If, in the opinion of the Department, the Municipality does not operate the traffic signals in accordance with the specified criteria, the Department shall have the right to cancel this Agreement.

F. The Department shall review and concur with any contract entered into by the Municipality for the operation of any traffic signal(s).

- Any contract entered into with another party to perform work associated with the requirements of this Agreement shall contain appropriate provisions regarding the utilization of Minority Business Enterprise/Women Business Enterprise (MBE/WBE), or as required and defined in NCGS 143-128.2 – 143-128.4 and the North Carolina Administrative Code. These provisions are incorporated into this Agreement by reference <https://connect.ncdot.gov/municipalities/Pages/Bid-Proposals-for-LGA.aspx>.
- The Municipality shall not advertise nor enter into a contract for services performed as part of this Agreement, unless the Department provides written approval of the advertisement or the contents of the contract.
- If the Municipality fails to comply with these requirements, the Department will withhold funding until these requirements are met.

3. TIME FRAME

This agreement shall be for the current state fiscal year, beginning July 1, 2020 and ending June 30, 2021. At the end of the fiscal year, the provision of services and quality of results may be reviewed by the Department and Municipality. The Agreement may be extended for additional fiscal years, contingent upon the increase of NCDOT maintenance funds by the General Assembly. Extensions may be made in one (1) year increments, incorporating any mutually agreed upon adjustments, with the end of the final fiscal year of service being June 30, 2026. On behalf of the Municipality, extensions may be authorized and executed by the Town/City Manager and/or Mayor without further resolution of the Town/City Council. The agreement may be terminated by either party upon a thirty (30) day written notice.

4. FUNDING

The eligible costs of this Project will be reimbursed from State funding.

5. REIMBURSEMENT

The Department shall reimburse the Municipality quarterly, based on an annual amount, for the operation of the traffic signals, as included below:

- A. Said reimbursement shall be limited to operational costs, which would include tasks associated with insuring the continuous, safe and efficient operation of traffic signals, traffic signal systems, and control facilities. Examples include, but are not limited to, operational performance reviews, emergency repairs to system components, periodic evaluation and adjustment to operational timing parameters, computer system and software upgrades, operational upgrades to maintain or improve safety or efficiency, etc.
- B. The Department will not reimburse operational costs for activities that do not have a direct and immediate effect on the continuous, safe and efficient operation of traffic signals, traffic signal systems, and control facilities including, but not limited to, painting of poles and signal cabinets, vegetation control adjacent to facilities, interior and exterior care of traffic control centers and parking areas, furniture for traffic control centers, etc.
- C. The Municipality agrees that it shall bear all costs for which it is unable to substantiate actual costs.
- D. Any costs incurred by the Municipality prior to written notification by the Department to proceed with the work may not be eligible for reimbursement.
- E. Equipment secured as a non-participating item by the Department (100% Municipality costs) will continue as non-participating items with respect to operations. The Department's Division Engineer will provide the necessary forms for documentation.

PROCESS

- F. The Municipality shall submit a quarterly itemized invoice to the Department for said costs no later than three (3) months after the scheduled quarterly invoicing date. This invoice will include the appropriate documentation and reflect the amount due for services performed by the Municipality during the quarter. The Department will reimburse the Municipality each quarter for work performed up to a total annual approved amount (or) amount not to exceed \$150,000 unless additional reimbursements are approved by the Department. All final invoices must be submitted within one (1) year after the work is performed or said work will be considered non-billable and will not be paid for by the Department. The Department, at its option, may elect to increase the reimbursement rates shown in the Appendices of this Agreement up to three percent (3%) each year in consideration of inflation rates and cost increases, subject to the availability of funds and the performance of the Municipality.
- G. The Department shall reimburse the Municipality upon approval by the Department's Division Engineer and the Fiscal Management Section.

6. FORCE ACCOUNT

GENERAL

Work performed by the Municipality's own forces is considered Force Account work. Force account work that is not a part of the operational work included under this Agreement is only allowed when there is a finding of cost effectiveness for the work to be performed by some method other than contract awarded by competitive bidding process. Written approval from the Department's Division Engineer is required prior to the use of force account by the Municipality. Said invoices for force account work shall show a summary of labor, labor additives, equipment, materials and other qualifying costs in conformance with the standards for allowable costs set forth in Office of Management and Budget (OMB) Circular A-87 (www.whitehouse.gov/omb/circulars/index.html). Reimbursement shall be based on the Appendices as included herein.

EMERGENCY WORK

Under current Department policy, if force account work is necessary and performed by the Municipality during emergency occurrences or occurrences that endanger public safety, additional information shall be submitted, with each quarterly invoice, to document the emergency situation, actions taken during the occurrence and the resolution. Approval must be obtained from the Department's Division Engineer before reimbursement will be made.

7. RECORDS AND REPORTS

- A. In accordance with NCGS §159-34, the Municipality shall arrange for an annual independent financial and compliance audit of its fiscal operations. The Municipality shall furnish the Department with a copy of the annual independent audit report within thirty (30) days of completion of the report, but not later than nine (9) months after the Municipality's fiscal year ends.
- B. The Municipality shall keep and maintain all books, documents, papers, accounting records, other such cost records and supporting documentation and evidence as may be appropriate to substantiate costs incurred under this Agreement. Further, the Municipality shall make such materials available at its office at all reasonable times during the Agreement period, and for three (3) years from the date of the final payment made under this agreement, for inspection and audit by the Department's Division Engineer and Financial Management Division.

8. ADDITIONAL PROVISIONS

- A. This Agreement does not transfer legal control of, or responsibility, or legal liability for the State Highway System roads described herein to the Municipality, nor does it prohibit the Department from taking any action or undertaking any responsibilities with regard to such roads. This Agreement is solely for the benefit of the Municipality and the Department and not for the benefit of any other persons, including but not limited to, members of the public or users of the State Highway System roads, and no third party rights are created, or intended to be created, by this Agreement.
- B. The Municipality shall comply with Title VI of the Civil Rights Act of 1964, (Title 49 CFR, Subtitle A, Part 21). Title VI prohibits discrimination on the basis of race, color, national origin, disability, gender, and age in all programs or activities of any recipient of Federal assistance.
- C. It is the policy of the Department not to enter into any agreement with another party that has been debarred by any government agency (Federal or State). The Municipality certifies, by signature of this agreement, that neither it nor its agents or contractors are presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from participation in this transaction by any Federal or State Department or Agency.
- D. The Municipality shall certify to the Department compliance with all applicable Federal and State laws and regulations and ordinances and shall indemnify the Department against any fines, assessments or other penalties resulting from noncompliance by any entity performing work under contract with the Municipality.
- E. The Municipality is solely responsible for all agreements, contracts, and work orders entered into or issued by the Municipality for this work. The Department shall not be held liable by the Municipality for any expenses or obligations incurred for the work except those specifically eligible for the funds and obligations as approved by the Department under the terms of this Agreement. The Department shall not reimburse the Municipality any costs that exceed the total approved funding at any time.
- F. The Municipality will indemnify and hold harmless the Department, FHWA, and the State of North Carolina, their respective officers, directors, principals, employees, agents, successors, and assigns from and against any and all claims for damage and/or liability in connection with the work performed pursuant to this Agreement. The Department shall not be responsible for any damages or claims for damages, which may be initiated by third parties.

- G. The Department must approve any assignment or transfer of the responsibilities of the Municipality set forth in this Agreement to other parties or entities.
- H. This Agreement contains the entire agreement between the parties and there are no understandings or agreements, verbal or otherwise, regarding this Agreement except as expressly set forth herein.
- I. The parties hereby acknowledge that the individual executing the Agreement on their behalf is authorized to execute this Agreement on their behalf and to bind the respective entities to the terms contained herein and that he has read this Agreement, conferred with his attorney, and fully understands its contents.
- J. A copy or facsimile copy of the signature of any party shall be deemed an original with each fully executed copy of the Agreement as binding as an original, and the parties agree that this Agreement can be executed in counterparts, as duplicate originals, with facsimile signatures sufficient to evidence an agreement to be bound by the terms of the Agreement.
- K. By Executive Order 24, issued by Governor Perdue, and NCGS §133-32, it is unlawful for any vendor or contractor (i.e. architect, bidder, contractor, construction manager, design professional, engineer, landlord, offeror, seller, subcontractor, supplier, or vendor), to make gifts or to give favors to any State employee of the Governor's Cabinet Agencies (i.e., Administration, Commerce, Environmental Quality, Health and Human Services, Information Technology, Military and Veterans Affairs, Natural and Cultural Resources, Public Safety, Revenue, Transportation, and the Office of the Governor).

IN WITNESS WHEREOF, this Agreement has been executed, in duplicate, the day and year heretofore set out on the part of the Department and the Municipality by authority duly given.

ATTEST: CITY OF GREENVILLE
BY: _____ BY: _____
TITLE: _____ TITLE: _____
DATE: _____ DATE: _____

NCGS §133-32 and Executive Order 24 prohibit the offer to, or acceptance by, any State Employee of any gift from anyone with a contract with the State, or from any person seeking to do business with the State. By execution of any response in this procurement, you attest, for your entire organization and its employees or agents, that you are not aware that any such gift has been offered, accepted, or promised by any employees of your organization.

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

(SEAL)

BY: _____
(FINANCE OFFICER)

Remittance Address:

CITY OF GREENVILLE

DEPARTMENT OF TRANSPORTATION

BY: _____
(CHIEF ENGINEER)

DATE: _____

PRESENTED TO BOARD OF TRANSPORTATION ITEM O: _____

MUNICIPAL OPERATIONS AGREEMENT – SCHEDULE C

Traffic Signal Operations Program CITY OF GREENVILLE

NOTE: The Department requires the Municipality to maintain a Level of Service “C”, or “good”, in order to provide reimbursement. If the operation falls below a Level of Service “C”, or “good”, then the Department may withhold reimbursement under this Agreement. The Department will not reimburse the Municipality for any associated additional costs if the Municipality elects to operate the signals at a higher level of service.

Key Components of a “Good” Level of Service:

1. Maximum Emergency Response Times
 - Trouble calls – 4 hours
 - Repair Knockdowns – 8 hours
 - Absence of a signal indication – Next working day
 - Repair/replace inoperative loops – 15 calendar days
2. Operational Performance Reviews
 - Perform the required minimum tasks at 6-month, 12-month and two-year intervals
 - Replace LED modules after 5 years of service
3. System Component Repairs
 - Repair equipment in a timely manner to support emergency and operational needs
 - Upgrade equipment firmware as appropriate to address items affecting operational efficiency and safety
 - Certify the proper operation of conflict monitors/malfunction management units on an annual basis

MUNICIPAL OPERATIONS AGREEMENT – SCHEDULE C

Operational Performance Review (OPR) Checklist – Traffic Signals
CITY OF GREENVILLE

		Interval		
		6 MO	12 MO	2 YEARS
	Replace Filters	x		
	Check Anchor Bolts / Extension Bolts	x		
	Check Grounding Resistance and Bonding Connections and Conductors	x		
	Check condition and operation of fan and thermostat	x		
	Measure service voltage	x		
	Check physical condition of meter / service disconnect	x		
	Visually check Line Filter and surge arrester	x		
	Test police panel switches		x	
	Perform field check of operation. Remove load switch to create red fail and observe response of monitor. Ensure stop timing is implemented.		x	
	Check operation of all indicator lights	x		

MUNICIPAL OPERATIONS AGREEMENT – SCHEDULE C

Operational Performance Review Checklist – Traffic Signals

		Interval		
		6 MO	12 MO	2 YEARS
	Tighten all terminal connections	x		
	Check programming of red monitor jumpers if present	x		
	Verify programming parameters	x		
	Verify operation per signal plan (phasing operation, timings, signal head display, pavement markings, etc.)	x		
	Verify proper operation of any preemption circuits	x		
	Check time clock settings	x		
	Verify proper operation of detection sensors, meg; replace or repair as needed	x		
	Check loop lead-ins for correct labeling and phase assignments	x		
	Verify stretch and delay programming and operation	x		

MUNCIPAL OPERATIONS AGREEMENT – SCHEDULE C

Operational Performance Review Checklist – Traffic Signals

		Interval		
		6 MO	12 MO	2 YEARS
	Check push button lamp (if applicable) for operation	x		
	Check audio operation and direction	x		
	Check condition, alignment and operation	x		
	Check condition of back plates (if used)	x		
	Clean lenses, signs and LED modules; replace as needed			x
	Inspect joints for rust and cracks at arm/upright location and at base plate		x	
	Check pole grounding and connections		x	
	Check and secure pole caps and hand hole covers		x	
	Visually inspect condition of foundation		x	

MUNCIPAL OPERATIONS AGREEMENT – SCHEDULE C

Operational Performance Review Checklist – Traffic Signals

		Interval		
		6 MO	12 MO	2 YEARS
	Check pole below grade for rot	x		
	Check guy wire, anchors, and guards; repair if needed	x		
	Check pole grounding and connections	x		
	Check all cables in pull box for pinching by lid, including level of pull box		x	
	Check lid for abnormal condition and fit		x	
	Check any special equipment (transceivers, etc.) for proper operation		x	
	Inspect condition of pavement markings	x		

MUNICIPAL OPERATIONS AGREEMENT – SCHEDULE C

Traffic Signals Reimbursement Schedule CITY OF GREENVILLE

The Department will reimburse the Municipality for operation of traffic signals on the following schedule. Place a check beside the Municipality agrees to perform under any line item if all functions are not selected. Place a check beside the value under “Total” if functions for any line item.

<u>Item</u>	Emergency Response	Operational Performance Reviews
A. Vehicular Signal Section (average of 10 head/int. or 30 section/int.)	<input type="checkbox"/> \$1.26	<input type="checkbox"/> \$10.22
B. Pedestrian Signal Head (Average of 4 heads/int.)	<input type="checkbox"/> \$3.15	<input type="checkbox"/> \$20.99
C. Fiber-Optic or LED Blank-out Sign	<input type="checkbox"/> \$12.60	<input type="checkbox"/> \$12.60
D. Pretimed Electronic Controller/Cabinet	<input type="checkbox"/> \$75.58	<input type="checkbox"/> \$138.56
E. 2-8 Assigned Phase Actuated Controller/Cabinet	<input type="checkbox"/> \$75.58	<input type="checkbox"/> \$503.84
F. 2-8 Assigned Phase Actuated Controller/Cabinet with Machine-vision Detection	<input type="checkbox"/> \$75.58	<input type="checkbox"/> \$503.84
G. Flashing Beacon Controller/Cabinet	<input type="checkbox"/> \$12.60	<input type="checkbox"/> \$125.96
H. Travel Costs for Operational Performance Reviews at Signalized Intersection (no Flashers)		<input type="checkbox"/> \$62.98

<u>Item</u>	Lump Sum Payment
CA. Replace loop (includes labor, materials, and other cost for sawcutting and sealing) ¹	<input type="checkbox"/> \$7.58 per foot of sawcut
CB. Furnish and install Lead-in Cable	<input type="checkbox"/> \$2.02 per foot installed
CC. Furnish and install Conduit	<input type="checkbox"/> \$7.03 per foot installed
CD. Furnish and install 3/8-inch messenger cable and incidental hardware	<input type="checkbox"/> \$3.19 per foot installed
CE. Furnish and install 4 or 7-conductor signal cable	<input type="checkbox"/> \$3.07 per foot installed

<u>Item</u>	<u>Lump Sum Payment</u>
CF. Furnish and install Standard size Junction Box	<input type="checkbox"/> \$369.32
CG. Furnish and install cover for Standard size Junction Box	<input type="checkbox"/> \$59.95
CH. Furnish and install Oversized Junction Box	<input type="checkbox"/> \$515.00
CI. Furnish and install cover for Oversized Junction Box	<input type="checkbox"/> \$133.90
CJ. Furnish and install Riser	<input type="checkbox"/> \$544.87
CK. Furnish and install 40-foot Class 3 Wood Pole ²	<input type="checkbox"/> \$962.02
CL. Remove and dispose of Wood Pole.	<input type="checkbox"/> \$201.00
CM. Furnish and install Guy/Anchor Assembly	<input type="checkbox"/> \$353.29
CN. Furnish and install Grounding System	<input type="checkbox"/> \$245.25
CO. Furnish 12-inch 3-Section Vehicular Signal Head ²	<input type="checkbox"/> \$149.50
CP. Furnish 12-inch 4-Section Vehicular Signal Head ²	<input type="checkbox"/> \$199.50
CQ. Furnish 12-inch 5-Section Vehicular Signal Head ²	<input type="checkbox"/> \$339.50
CR. Furnish 8-inch 3-Section Vehicular Signal Head ²	<input type="checkbox"/> \$102.20
CS. Furnish Pedestrian Signal Head ²	<input type="checkbox"/> \$104.04
CT. Furnish LED indication – 12-inch RED ball ²	<input type="checkbox"/> \$18.50
CU. Furnish LED indication – 12-inch YELLOW ball ²	<input type="checkbox"/> \$19.00
CV. Furnish LED indication – 12-inch GREEN ball ²	<input type="checkbox"/> \$19.00
CW. Furnish LED indication – 12-inch RED Arrow ²	<input type="checkbox"/> \$21.00

<u>Item</u>	<u>Lump Sum Payment</u>
CX. Furnish LED indication – 12-inch YELLOW Arrow ²	<input type="checkbox"/> \$22.50
CY. Furnish LED indication – 12-inch GREEN Arrow ²	<input type="checkbox"/> \$22.00
CZ. Furnish LED indication – 8-inch RED ball ²	<input type="checkbox"/> \$18.10
DA. Furnish LED indication – 8-inch YELLOW ball ²	<input type="checkbox"/> \$18.10
DB. Furnish LED indication – 8-inch GREEN ball ²	<input type="checkbox"/> \$18.10
DC. Furnish LED Indication – 12-inch Hand	<input type="checkbox"/> \$46.25
DD. Furnish LED indication – 12-inch Man	<input type="checkbox"/> \$85.00
DE. Furnish LED indication – 12-inch Hand/Man Overlay	<input type="checkbox"/> \$70.00
DF. Furnish LED indication – 16-inch Hand/Man Overlay with Countdown Module	<input type="checkbox"/> \$74.00
DG. Furnish Pretimed/Actuated Controller ²	<input type="checkbox"/> \$1,215.00
DH. Furnish Pole-Mounted Cabinet ²	<input type="checkbox"/> \$3,920.00
DI. Furnish Base-Mounted Cabinet with auxiliary file ²	<input type="checkbox"/> \$4,597.00
DJ. Furnish Base-Mounted Cabinet without auxiliary file ²	<input type="checkbox"/> \$4,375.00
DK. Furnish LED Blank-Out Sign ²	<input type="checkbox"/> \$2,188.00
DL. Furnish NEMA TS-2 Malfunction Management Unit ²	<input type="checkbox"/> \$649.80
DM. Furnish Type 2010 or Type 2018 Conflict Monitor with Absence of Red Monitoring ²	<input type="checkbox"/> \$510.00
DN. Furnish Type 2018 Conflict Monitor with Absence of Red Monitoring and Internet Protocol Communication ²	<input type="checkbox"/> \$645.00
DO. Furnish Detection Camera/Sensor with Enclosure ²	<input type="checkbox"/> \$1,590.00

<u>Item</u>		<u>Lump Sum Payment</u>
DP. Furnish Single Channel NEMA TS-1 Loop Detector Unit ²	<input type="checkbox"/>	\$90.00
DQ. Furnish Two-Channel NEMA TS-1 Loop Detector Unit ²	<input type="checkbox"/>	\$160.00
DR. Furnish Two-Channel NEMA TS-2 Loop Detector Unit ²	<input type="checkbox"/>	\$75.00
DS. Furnish Two-Channel TYPE 222 Loop Detector Unit ²	<input type="checkbox"/>	\$45.75
DT. Furnish and replace Audible Pedestrian Signal ²	<input type="checkbox"/>	\$436.00
DU. Perform Annual Inspection on Railroad-Interconnected Intersections	<input type="checkbox"/>	\$197.30

¹ Replacement of defective loop with loop of identical or upgraded design requires no prior approval. Upgrading of functional rectangular loops to Quadropole design requires prior approval from Division Traffic Engineer.

² Requires prior approval from Division Traffic Engineer for reimbursement of non-emergency replacements. If item is covered under warranty, Municipality will not be reimbursed without prior approval of Division Traffic Engineer.

**MUNICIPAL OPERATIONS AGREEMENT – SCHEDULE C
TRAFFIC CONTROL DEVICES – LEVEL C**

Items included on this schedule may be added or deleted to those checked above by a request in letter form signed by the Mayor, should be sent in quadruplicate to the Division Engineer accompanied by four (4) copies of the SCHEDULE with all appropriate items. If the Division Engineer approves the new SCHEDULE he should sign, as approved, all four (4) copies of the Municipality's letter of request. The Mayor forwards one copy of the letter and SCHEDULE to the DOT Controller and Local Programs Management Office, returns a copy of the letter to the Mayor and retains a copy for his file. The new SCHEDULE will then become effective at the beginning of the next quarter for reimbursement.

The Department reserves the right of verification that all selected functions are being properly performed. If it is determined that any function is not being performed, then the reimbursement will be reduced accordingly.

CITY OR TOWN

CLERK

DATE

MAYOR OR MANAGER

DEPARTMENT OF TRANSPORTATION

DIVISION ENGINEER

MUNICIPAL OPERATIONS AGREEMENT – SCHEDULE C

SIGNALS LIST - CITY OF GREENVILLE

<u>SIGNAL LOCATION</u>	<u>STATE ID</u>
Pitt St/Reade Circle @ Dickinson Ave	02-0010
5 th St @ Albemarle Ave	02-0023
10 th St @ Charles Blvd	02-0017
10 th St @ Charles St	02-0018
10 th St @ Evans St	02-0016
Charles Blvd @ Fire Tower Rd	02-0354
Arlington Blvd @ Fire Tower Rd	02-0493
Greenville Blvd @ Charles Blvd	02-0001
Greenville Blvd @ Arlington Blvd	02-0034
Greenville Blvd @ Elm St	02-0054
Greenville Blvd @ Greenville Mall	02-0142
Charles Blvd @ Red Banks Rd	02-0334
Arlington Blvd @ Evans St	02-0322
Greenville Blvd @ Red Banks Rd	02-0400
Memorial Dr @ Greenville Blvd	02-0002
Greenville Blvd @ Evans St	02-0027
Greenville Blvd @ Hooker Rd	02-0061
Memorial Dr @ Club Pines Dr	02-0333
Memorial Dr @ Country Club Dr	02-0424
Memorial Dr @ Mall Dr	02-0497
Greenville Blvd @ Landmark St	02-0531
Greenville Blvd @ Bismarck St	02-0554
Memorial Dr @ Westhaven Rd	02-0557
Evans St @ Red Banks Rd	02-0768
Memorial Dr @ Thomas Langston Rd	02-0677
Greenville Blvd @ Mall Dr	02-0777
Arlington Blvd @ Dickinson Ave	02-0634
Memorial Dr @ Arlington Blvd	02-0368
Memorial Dr @ Dickinson Ave	02-0003
Memorial Dr @ 3 rd St	02-0049
Memorial Dr @ Stantonsburg Rd	02-0053
Memorial Dr @ 5 th St	02-0090
Stantonsburg Rd @ Moye Blvd	02-0318
Memorial Dr @ Moye Blvd	02-0432
Stantonsburg Rd @ Moye Blvd	02-0500
Stantonsburg Rd @ W.H. Smith Blvd	02-0503

Stantonsburg Rd @ Arlington Blvd	02-0635
Hooker Rd/Moye Blvd @ Dickinson Ave	02-0004
Stantonsburg Rd @ Wellness Dr	02-0874
NC 11-Memorial Dr @ Reedy Branch Rd	02-0600
NC 11-Winterville Pkwy @ Fire Tower Rd	02-0426
NC 11-Winterville Pkwy @ Davenport Farm Rd	02-0541
NC 11-Winterville Pkwy @ Forlines Rd	02-0669
NC 11-Winterville Pkwy @ NC 903/Main St	02-0536
Stantonsburg Rd @ B's BBQ Rd	02-0496
US264A-Greenville Blvd @ 14 th St	02-0037
14 th St @ Elm St	02-0026
10 th St @ Ormond Wy	02-0678
10 th St @ College Hill Dr	02-0021
10 th St @ Elm St	02-0022
US264A-Greenville Blvd @ Eastbrook Dr	02-0782
US264A-Greenville Blvd @ Moseley Dr	02-0576
US264A-Greenville Blvd @ 10 th St	02-0039
10 th St @ 5 th St	02-0052
10 th St @ Portertown Rd	02-0077
Evans St @ Fire Tower Rd	02-0422
Corey Rd @ Fire Tower Rd	02-0717
14 th St @ York Rd	02-0668
14 th St @ Red Banks Rd	02-0425
14 th St @ Fire Tower Rd	02-0604
14 th St @ Charles Blvd	02-0019
14 th St @ Evans St	02-0020
14 th St @ Dickinson Ave	02-0006
Dickinson Ave at Grande Ave	02-0007
5 th St @ 14 th St @ Tyson St	02-0024
5 th St @ Moye Blvd	02-0319
10 th St @ Oxford Rd	02-0579
Memorial Dr @ Airport Rd	02-0051
Memorial Dr @ Belvoir Rd	02-0033
Greene St @ Airport Rd	02-0025
Greene St @ Belvoir Rd	02-0048
Memorial Dr @ Greene St	02-0417
Memorial Dr @ Staton Rd	02-0399
Memorial Dr @ Staton House Rd	02-0499
Memorial Dr @ US 264 EB Ramp	02-0605
Memorial Dr @ US 264 WB Ramp	02-0606
Memorial Dr @ NC 903/Stokes Hwy	02-0335
Greenville Blvd @ US 264	02-0271
MLK Jr. Hwy @ Old Creek Rd	02-0594
MLK Jr. Hwy @ Grady White Rd	02-0566

MLK Jr Hwy @ Staton Rd	02-0740
MLK Jr. Hwy @ SR 1590 (DSM)	02-0609
Evans St @ Martinsborough Rd	02-0846
NC 11-Winterville Pkwy @ Central Park Dr/Beacon Dr	02-0863
10 th St @ Oakdowne Way	02-0878
Arlington Blvd @ NC 43	02-0867
Fire Tower Rd @ Pine Branches Cl	02-0870
Fire Tower Rd @ Bayswater Rd	02-0871
Fire Tower Rd @ Ashcroft Dr/Bayswater Rd	02-0869
Evans St @ South Hall Cl	02-0877
Memorial Dr @ Tice Rd/Whitley Dr	02-0881
Evans St @ Regency Blvd	02-0884
10 th St @ Parkside Dr	02-0895
Fire Tower Rd @ Whitley Dr	02-0898
10 th St @ Silver Maple Ln	02-0909
NC 43 (Charles Blvd) @ Signature Dr	02-0908
10 th St at 14 th Street	02-0893
10 th St at Line Ave / Bancroft Ave	02-0892
Greenville Blvd @ Williams Rd	02-0910
TOTAL NUMBER OF SIGNALS	99

NORTH CAROLINA
PITT COUNTY

**MUNICIPAL OPERATIONS – COMPUTER,
COMMUNICATIONS, EQUIPMENT, AND SYSTEM
OPERATIONS FOR COMPUTERIZED TRAFFIC SIGNAL
SYSTEM AGREEMENT
SCHEDULE D**

DATE: 4/22/2020

NORTH CAROLINA DEPARTMENT OF
TRANSPORTATION

AND

WBS Element: 2.1074SM

CITY OF GREENVILLE

THIS AGREEMENT is made and entered into on the last date executed below, by and between the North Carolina Department of Transportation, an agency of the State of North Carolina, hereinafter referred to as the “Department” and the City of Greenville hereinafter referred to as the “Municipality.”

WITNESSETH:

WHEREAS, the provisions of the North Carolina General Statute (NCGS) §136-18 and §136-66.1 authorize the Municipality to contract with the Department for the installation, repair, operations and maintenance of highway signs and markings, electric traffic signals, and other traffic control devices on State Highway System streets within the Municipality; and,

WHEREAS, the Department and the Municipality have a mutual interest in the efficient and effective operation of traffic signals within the Municipality; and,

WHEREAS, the Department and the Municipality recognize that each party to this Agreement has an obligation and responsibility to provide for the safe, orderly, and efficient flow of traffic on their respective street systems; and,

WHEREAS, the Municipality finds that it is in the best public interest to enter into an Agreement with the Department to operate the computerized traffic signal system; and,

WHEREAS, the Department finds it desirable and advantageous to reimburse the Municipality for costs incurred, when the Municipality operates that portion of the computerized traffic signal system that is on the State Highway System within or near the Municipality;

NOW, THEREFORE, the Department and the Municipality do hereby agree as follows:

1. GENERAL PROVISIONS

COMPLIANCE WITH STATE/FEDERAL POLICY

The Municipality and/or its agent, including all contractors, subcontractors, or sub-recipients shall comply with all applicable Federal and State policies and procedures, stated both in this Agreement and in the Department's guidelines and procedures.

FAILURE TO COMPLY - CONSEQUENCES

Failure on the part of the Municipality to comply with any of the provisions of this Agreement will be grounds for the Department to terminate participation in the costs of the Project and, if applicable, seek repayment of any reimbursed funds.

2. SCOPE OF THE PROJECT

The Municipality shall operate the computerized traffic signal system as defined in the Appendices and as indicated hereinafter.

TIMING PLANS

- A. The Municipality shall be responsible for the evaluation and preparation of timing plans at all intersections in the traffic signal system. All traffic data needed for the evaluation and development of timing plans will be obtained by the Municipality whenever possible. The Municipality will notify the Department of any additional data that is required to evaluate and prepare the necessary timing plans. The Department shall, upon request, make available to the Municipality all current traffic count data for the existing signals.
- B. The timing plans affecting intersections on the State Highway System, utilized in system operation, will be subject to the approval of the Department and will reflect the needs of traffic on both the State Highway System and the Municipality's System. In the event the Department and the Municipality cannot agree on the selection of a given timing plan, the decision of the Department will be final.

ONGOING OPERATION OF THE SIGNAL SYSTEM

- C. The Municipality shall not install any traffic control devices, nor make any traffic signal phasing changes, on any State Highway System street without the prior approval of the Department, pursuant to NCGS §20-169.
- D. The Municipality shall operate the signal system in accordance with North Carolina General Statutes, the Department's current policies and guidelines as included in the Appendices, and all local codes and ordinances. If, in the opinion of the Department, the Municipality does not

operate the signal system in accordance with the specified criteria, the Department shall have the right to enter into a separate operational agreement with a private contractor and deduct these costs from the Department's pro-rata share under this Agreement, or from the funds allocated under NCGS §136-41.1.

- E. The Department shall review and concur with any contract entered into by the Municipality for the operation of any item(s).
- Any contract entered into with another party to perform work associated with the requirements of this Agreement shall contain appropriate provisions regarding the utilization of Minority Business Enterprises/Women Business Enterprises (MBE/WBE), or as required and defined in NCGS 143-128.2 – 128-4 and the North Carolina Administrative Code. These provisions are incorporated into this Agreement by reference <https://connect.ncdot.gov/municipalities/Pages/Bid-Proposals-for-LGA.aspx>.
 - The Municipality shall not advertise nor enter into a contract for services performed as part of this Agreement, unless the Department provides written approval of the advertisement or the contents of the contract.
 - If the Municipality fails to comply with these requirements, the Department will withhold funding until these requirements are met.
- F. The Municipality agrees to an annual audit of the performance of intersection equipment and systems. The audit is to be performed by the Department and the Municipality.

3. TIME FRAME

This agreement shall be for the current state fiscal year, beginning 7/1/2020 and ending 6/30/2021. At the end of the state fiscal year, the provision of services and quality of results may be reviewed by the Department and Municipality. The Agreement may be extended for additional fiscal years, contingent upon the availability of NCDOT maintenance funds by the General Assembly. Extensions may be made in one (1) year increments, incorporating any mutually agreed upon adjustments, up to a total of five (5) years with the end of the final fiscal year of service being 6/30/2026. On behalf of the Municipality, extensions may be authorized and executed by the Town/City Manager and/or Mayor without further resolution of the Town/City Council. The agreement may be terminated by either party upon a thirty (30) day written notice.

- A. Upon termination of each year of service, and in connection with each extension of this Agreement, the Municipality may request an adjustment of the annual rates based on actual

cost records for the prior years. This request must indicate the new rate for each Schedule D item. Each rate must be verifiable by time sheets, salary rates, materials, equipment, and other qualifying costs in conformance with the standards of allowable of costs set forth in the Office of Management and Budget (OMB) Circular A-87. This shall be actual cost incurred with the exception of equipment owned by the Municipality. Reimbursement for the rates of equipment owned by the Municipality cannot exceed the Department's rates in effect for the time period in which the work is performed.

- B. The cost records may be audited by the Department to determine any adjustments or revisions in the new rates.

4. FUNDING

The eligible costs of this Project will be reimbursed from State funding.

5. REIMBURSEMENT

The Department shall reimburse the Municipality quarterly, based on an annual amount, for the operation of the computerized traffic signal system as included below:

ELIGIBLE COSTS

- A. The reimbursement rates in this Agreement represent the Department's pro-rata share of the operational cost, which is based on the ratio of the number of State System intersections to the total number of intersections in the computerized traffic signal system. The Municipality shall maintain a current inventory list of all traffic signals within the system, and classify as city- or state-owned. The current inventory list, as included in the Appendices of this Agreement, will be used to determine the Department's pro-rata share.
- B. The Department shall reimburse the Municipality based on the annual operational amount of the computerized traffic signal system as included in the Appendices of this Agreement. This total amount includes the Department's pro-rata share of cost, as included in Provision 5A, for the salary, payroll additives of a System Operations Manager(s), Systems Operations Engineer(s) Traffic Signals System Specialist(s), or equivalent. These positions, at a minimum, shall exhibit the qualifications and perform the duties as included in the Appendices. The cost of the System Operations Manager(s), Systems Operations Engineer(s) Traffic Signals System Specialist(s), or equivalent, shall be based on the pro-rata share of time dedicated to the operation of the system.

- C. The Department shall reimburse the Municipality for operation of the Central Computer and Associated Hardware, CCTV Camera System, Communications Infrastructure, system detectors and other associated central and system field equipment. The Municipality shall be responsible for providing all needed replacement parts and equipment. Under this Agreement, the Department will reimburse the Municipality for its pro-rata share of the replacement or repair costs necessary for maintaining operability and any equipment included herein.
- D. The Municipality will not receive an annual reimbursement for fiber optic communications cable and CCTV cameras. The Department will reimburse the Municipality its pro-rata share of the actual costs for the emergency restoration of fiber optic communications and CCTV cameras. This cost shall include: fiber optic cable, interconnect centers, splice trays, fusion splicing, transceivers, Ethernet switches, labor, etc.
- E. Said reimbursement shall be limited to operational costs, which would include tasks associated with insuring the continuous, safe and efficient operation of traffic signals, traffic signal systems, and control facilities. Examples include, but are not limited to, emergency repairs to system components, periodic evaluation and adjustment to operational timing parameters, computer system and software upgrades, operational upgrades to maintain or improve safety or efficiency, etc.
- F. The Department will not reimburse operational costs for activities that do not have a direct and immediate effect on the continuous, safe and efficient operation of traffic signals, traffic signal systems, and control facilities including, but not limited to, painting of poles and signal cabinets, vegetation control adjacent to facilities, interior and exterior care of traffic control centers and parking areas, furniture for traffic control centers, etc.
- G. The Municipality agrees that it shall bear all costs for which it is unable to substantiate actual costs.
- H. Any costs incurred by the Municipality prior to written notification by the Department to proceed with the work shall not be eligible for reimbursement.
- I. The Department will reimburse the Municipality for its pro-rata share, as specified in the Appendices, for any Signal Systems operational contract in which it concurs. The Department shall have access to the contractor's records and documentation for audit, which pertains to any rates billed to the Municipality for the operation of those items for a period of five (5) years from the date of the final payment made under this agreement.

- J. Equipment secured as a non-participating item by the Department (100% Municipality costs) will continue as non-participating items with respect to operations. The Department's Division Engineer will provide the necessary documentation for non-participating items.

PROCESS

- K. The Municipality shall submit a quarterly itemized invoice including the certified status report to the Department for said costs no later than three (3) months after the scheduled quarterly invoicing date. This invoice will reflect the balance between the quarterly payments issued by the Department and the total amount not to exceed \$90,000, unless additional reimbursements are approved by the Department. All final invoices must be submitted within one (1) year after the work is performed or said work will be considered non-billable and will not be paid for by the Department. The Department, at its option, may elect to increase the reimbursement rates up to three percent (3%) each year in consideration of inflation rates and cost increases, subject to the availability of funds and the performance of the Municipality.
- L. The Department shall reimburse the Municipality upon approval by the Department's Division Engineer and the Fiscal Management Section.

6. FORCE ACCOUNT

Work performed by the Municipality's own forces is considered force account work. Force account work is only allowed when 1) there is a finding of cost effectiveness for the work to be performed by some method other than contract awarded by competitive bidding process, and 2) the force account work is in compliance with NC General Statute 143-135, found at www.ncleg.net/gascripts/Statutes/Statutes.asp. Written approval from the Division Engineer is required prior to the use of force account by the Municipality. Said invoices for force account work shall show a summary of labor, labor additives, equipment, materials and other qualifying costs in conformance with the standards for allowable costs set forth in Office of Management and Budget (OMB) Circular A-87 (http://www.whitehouse.gov/omb/circulars_a087_2004/). Reimbursement shall be based on actual cost incurred with the exception of equipment owned by the Municipality or its Project partners. Reimbursement rates for equipment owned by the Municipality or its Project partners cannot exceed the Department's rates in effect for the time period in which the work is performed, nor the maximum amount included in Appendix VI.

EMERGENCY WORK

Under current Department policy, if force account work is necessary and performed by the Municipality during emergency occurrences or occurrences that endanger public safety,

additional information shall be submitted to document the emergency situation, actions taken during the occurrence and the resolution with each quarterly invoice. Approval must be obtained from the Department Division Engineer before reimbursement is made.

7. RECORDS AND REPORTS

- A. The Municipality shall furnish the Department's Division Engineer a certified quarterly status report that details the operation of the signal system. The status report shall be certified in writing by the Systems Operations Engineer and shall indicate intersection failures, local and system detector failures, the percentage of time the computer system was off-line, the repairs that were made and the dates of said repairs/replacements. The quarterly report shall also identify any new/deleted intersections in the traffic signal system and all traffic signal timing optimization performed. The Department's Division Engineer will provide detailed guidance and reporting forms for the Municipality.
- B. In accordance with NCGS §159-34, the Municipality shall arrange for an independent financial and compliance audit of its fiscal operations. The Municipality shall furnish the Department with a copy of the independent audit report within thirty (30) days of completion of the report, but not later than nine (9) months after the Municipality fiscal year ends.
- C. The Municipality shall keep and maintain all books, documents, papers, accounting records, other such cost records and supporting documentation and evidence as may be appropriate to substantiate costs incurred under this Agreement. Further, the Municipality shall make such materials available at its office at all reasonable times during the Agreement period, and for three (3) years from the date of the final payment made under this agreement, for inspection and audit by the Department's Division Engineer and Financial Management Division and FHWA.

8. ADDITIONAL PROVISIONS

- A. This Agreement does not transfer legal control of, or responsibility, or legal liability for the State Highway System roads described herein to the Municipality, nor does it prohibit the Department from taking any action or undertaking any responsibilities with regard to such roads. This Agreement is solely for the benefit of the Municipality and the Department and not for the benefit of any other persons including, but not limited to, members of the public or users of the State Highway System roads, and no third party rights are created, or intended to be created, by this Agreement.

- B. The Municipality shall comply with Title VI of the Civil Rights Act of 1964, (Title 49 CFR, Subtitle A, Part 21). Title VI prohibits discrimination on the basis of race, color, national origin, disability, gender, and age in all programs or activities of any recipient of Federal assistance.
- C. It is the policy of the Department not to enter into any agreement with another party that has been debarred by any government agency (Federal or State). The Municipality certifies, by signature of this agreement, that neither it nor its agents or contractors are presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from participation in this transaction by any Federal or State Department or Agency.
- D. The Municipality shall certify to the Department compliance with all applicable Federal and State laws and regulations and ordinances and shall indemnify the Department against any fines, assessments or other penalties resulting from noncompliance by any entity performing work under contract with the Municipality.
- E. The Municipality is solely responsible for all agreements, contracts, and work orders entered into or issued by the Municipality for this Project. The Department shall not be held liable by the Municipality for any expenses or obligations incurred for the Project except those specifically eligible for the funds and obligations as approved by the Department under the terms of this Agreement. The Department shall not reimburse the Municipality any costs that exceed the total funding at any time.
- F. The Municipality will indemnify and hold harmless the Department, FHWA, and the State of North Carolina, their respective officers, directors, principals, employees, agents, successors, and assigns from and against any and all claims for damage and/or liability in connection with the project activities performed pursuant to this Agreement including construction of the Project. The Department shall not be responsible for any damages or claims for damages, which may be initiated by third parties.
- G. The Department must approve any assignment or transfer of the responsibilities of the Municipality set forth in this Agreement to other parties or entities.
- H. This Agreement contains the entire agreement between the parties and there are no understandings or agreements, verbal or otherwise, regarding this Agreement except as expressly set forth herein.
- I. The parties hereby acknowledge that the individual executing the Agreement on their behalf is authorized to execute this Agreement on their behalf and to bind the respective entities to

the terms contained herein and that he has read this Agreement, conferred with his attorney, and fully understands its contents.

- J. A copy or facsimile copy of the signature of any party shall be deemed an original with each fully executed copy of the Agreement as binding as an original, and the parties agree that this Agreement can be executed in counterparts, as duplicate originals, with facsimile signatures sufficient to evidence an agreement to be bound by the terms of the Agreement.

- K. By Executive Order 24, issued by Governor Perdue, and N.C. G.S. §133-32, it is unlawful for any vendor or contractor (i.e. architect, bidder, contractor, construction manager, design professional, engineer, landlord, offeror, seller, subcontractor, supplier, or vendor), to make gifts or to give favors to any State employee of the Governor's Cabinet Agencies (i.e., Administration, Commerce, Environmental Quality, Health and Human Services, Information Technology, Military and Veterans Affairs, Natural and Cultural Resources, Public Safety, Revenue, Transportation, and the Office of the Governor).

IN WITNESS WHEREOF, this Agreement has been executed, in duplicate, the day and year heretofore set out on the part of the Department and the Municipality by authority duly given.

ATTEST: _____ CITY OF GREENVILLE
BY: _____ BY: _____
TITLE: _____ TITLE: _____
DATE: _____ DATE: _____

N.C.G.S. § 133-32 and Executive Order 24 prohibit the offer to, or acceptance by, any State Employee of any gift from anyone with a contract with the State, or from any person seeking to do business with the State. By execution of any response in this procurement, you attest, for your entire organization and its employees or agents, that you are not aware that any such gift has been offered, accepted, or promised by any employees of your organization.

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

(SEAL)

BY: _____
(FINANCE OFFICER)

Remittance Address:

City of Greenville

DEPARTMENT OF TRANSPORTATION

BY: _____
(CHIEF ENGINEER)

DATE: _____

PRESENTED TO BOARD OF TRANSPORTATION ITEM O: _____

MUNICIPAL OPERATIONS AGREEMENT – SCHEDULE DCITY OF GREENVILLE

Traffic Signal System Operations

NOTE: The Department requires the Municipality to maintain a Level of Service “C”, or “good”, in order to provide reimbursement. If the operation falls below a Level of Service “C”, or “good”, then the Department may withhold reimbursement under this Agreement. If the Municipality operates at a higher level of service, the Department will not reimburse these costs.

Levels of Service

Level-of-service “A”

1. All of the signalized intersections in the Municipality’s jurisdiction are monitored by the system. All of the signalized intersections are actively controlled for at least some periods of the day (e.g. timing plans are developed and implemented).
2. All timing plans and day plans are evaluated on intervals of no greater than **six months**. On corridors with a significant annual growth in traffic volume (> 5.0%), new timing plans are identified **annually**. Required new plans are developed and implemented within **three months** of identification.
3. The Municipality has an active traffic data collection program that includes turning movement counts at all signalized intersections; the collection of average daily traffic counts; and performs travel-time/delay studies on all subsystems at **a minimum of every two years**. This data is used to evaluate system operations and performance.
4. Timing plans for newly installed intersections are implemented in conjunction with the installation of the traffic signal.
5. The Municipality has an active, on-going operational performance program for operation of the traffic signal system in which system communication components and central site hardware is tested and evaluated on intervals of **no less than two times per year**.
6. A minimum of 90% of all system detectors are operational at any given time. The maximum time to repair failed detection devices is **30 calendar days**.
7. The control center is staffed by qualified personnel during the AM & PM peak hours, and during other times of high traffic volumes (e.g. special events).
8. The Municipality uses traffic responsive timing plans where appropriate and continually monitors and updates the thresholds.

MUNICIPAL OPERATIONS AGREEMENT – SCHEDULE D

Traffic Signal System Operations

Level-of-service “B”

1. Essentially all (+90%) of the signalized intersections in the Municipality’s jurisdiction are monitored by the system. Practically all (+95%) of the monitored signalized intersections are actively controlled.
2. All timing plans and day plans are evaluated on intervals of no greater than **12 months**. On corridors with a significant annual growth in traffic volume (> 5.0%), new timing plans are identified annually. Required new plans are developed and implemented **within three months** of identification.
3. The Municipality has an active traffic data collection program that includes turning movement counts at all signalized intersections; the collection of average daily traffic counts; and performs travel-time/delay studies on all subsystems at **a minimum of every two years**. This data is used to evaluate system operations and performance.
4. Timing plans for newly installed intersections are implemented in conjunction with the installation of the traffic signal.
5. The Municipality has an active, on-going operational performance program for operation of the traffic signal system in which system communication components and central site hardware is tested and evaluated on intervals of **no less than two times per year**.
6. A minimum of 85% of all system detectors is operational at any given time. The maximum time to repair failed detection devices is **30 calendar days**.
7. The control center is staffed by qualified personnel during the AM & PM peak hours. The operations staff is on-call during other times of expected high traffic volume.
8. The Municipality uses traffic responsive timing plans where appropriate. Threshold values are evaluated **annually**.

MUNICIPAL OPERATIONS AGREEMENT – SCHEDULE D

Traffic Signal System Operations

Level-of-service “C”

1. The vast majority (+80%) of the signalized intersections in the Municipality’s jurisdiction are monitored by the system. The only traffic signals not monitored are those whose lack of proximity does not lend them to cost-effective communication. The vast majority (+80%) of monitored signals are actively controlled by the system.
2. All timing plans and day plans are evaluated on intervals of no greater than **18 months**. On corridors with a significant annual growth in traffic volume (> 5.0%), new timing plans are identified **annually**. On average, required new plans are developed and implemented within **six months** of identification.
3. The Municipality obtains the data that is used to evaluate system operations and performance.
4. Timing plans for newly installed intersections are implemented within **30 calendar days** of the installation of the traffic signal.
5. The Municipality has an active, on-going operational performance program for operation of the traffic signal system in which system communication components and central site hardware is tested and evaluated on intervals of **no less than two times per year**.
6. A minimum of 80% of all system detectors are operational at any given time. The maximum time to repair failed detection devices is **60 calendar days**.
7. The control center is staffed by qualified personnel during the AM & PM peak hours. The operations staff is on-call during other times of expected high traffic volume.
8. The Municipality uses traffic responsive timing plans where appropriate. Threshold values are evaluated **annually**.

MUNICIPAL OPERATIONS AGREEMENT – SCHEDULE D

Traffic Signal System Operations

Level-of-service “D”

1. Most (+60%) of the signalized intersections in the Municipality’s jurisdiction are monitored by the system. Signalized intersections that are in close proximity to other signalized intersections (<0.5 mile) are in operation but are not monitored by the system. Most (+60%) of the monitored signals are actively controlled by the system.
2. All timing plans and day plans are evaluated on intervals of no greater than 24 months. On corridors with a significant annual growth in traffic volume (> 5.0%), new timing plans are identified on intervals of no greater than **two years**. New plans are developed and implemented within **12 months** of identification.
3. The Municipality obtains the data is used to evaluate system operations and performance.
4. Timing plans for newly installed intersections are implemented within **60 calendar days** of the installation of the traffic signal.
5. The Municipality has an active, on-going operational performance program for operation of the traffic signal system in which system communication components and central site hardware is tested and evaluated on intervals of **no less than one time per year**.
6. A minimum of 60% of all system detectors are operational at any given time. The maximum time to repair failed detection devices is **90 calendar days**.
7. The control center is staffed during either the AM or PM peak hour; whichever is the highest volume period.
8. The Municipality has not evaluated the use of traffic responsive timing plans.

MUNICIPAL OPERATIONS AGREEMENT – SCHEDULE D

Traffic Signal System Operations

Level-of-service “F”

1. Less than half (<50%) of the signalized intersections in the Municipalities’ jurisdiction are monitored by the system. Signalized intersections that are in close proximity to other signalized intersections (<0.5 mile), are in operation but are not monitored by the system. Most (+60%) of the monitored signals are actively controlled by the system.
2. All timing plans and day plans are evaluated on intervals greater than **30 months**. On corridors with a significant annual growth in traffic volume (> 5.0%), new timing plans are identified on intervals of no greater than **two years**. On average, new plans are developed and implemented on intervals **not to exceed 18 months** after identification.
3. The Municipality does not collect data to evaluate system performance and retime signals. All data used is provided by others.
4. Timing plans for newly installed intersections are implemented **more than 90 calendar days** after installation of the traffic signal.
5. The Municipality does not have an active, on-going operational performance program for operation of the traffic signal system in which system communication components and central site hardware is tested and evaluated. The Municipality provides emergency restoration only for system communication and hardware components.
6. A minimum of 50% of all system detectors are operational at any given time. The maximum time to repair failed detection devices is **120 calendar days**.
7. The control center is staffed during either the AM or PM peak hour; whichever is the highest volume period.
8. The Municipality has not evaluated the use of traffic responsive timing plans.

APPENDIX II

MUNICIPAL OPERATIONS AGREEMENT – SCHEDULE D

SIGNALS LIST - CITY OF GREENVILLE

<u>SIGNAL LOCATION</u>	<u>CITY ID</u>	<u>STATE ID</u>
Reade St @ 3rd St	1	
Cotanche St @ 3rd St	2	
Washington St @ 3rd St	3	
Washington St @ 4th St	4	
5th St @ Reade Circle	7	
5th St @ Cotanche St	8	
5th St @ Evans St	9	
5th St @ Washington St	10	
Reade St @ Cotanche St	11	
Reade St @ Evans St	12	
Pitt St/Reade Circle @ Dickinson Ave		02-0010
5th St @ Greene St	14	
Pitt St @ 3rd St	15	
Greene St @ 3rd St	16	
Pitt St @ 1st St	17	
Greene St @ 1st St	18	
5th St @ Albemarle Ave		02-0023
5th St @ Pitt St	20	
10th St @ Charles Blvd		02-0017
10th St @ Charles St		02-0018
10th St @ Evans St		02-0016
Charles Blvd @ Fire Tower Rd		02-0354
Arlington Blvd @ Fire Tower Rd		02-0493
Arlington Blvd @ Red Banks Rd	26	
Greenville Blvd @ Charles Blvd		02-0001
Greenville Blvd @ Arlington Blvd		02-0034
Greenville Blvd @ Elm St		02-0054
Greenville Blvd @ Greenville Mall		02-0142
Charles Blvd @ Red Banks Rd		02-0334
Arlington Blvd @ Evans St		02-0322
Greenville Blvd @ Red Banks Rd		02-0400
Memorial Dr @ Greenville Blvd		02-0002
Greenville Blvd @ Evans St		02-0027
Greenville Blvd @ Hooker Rd		02-0061
Memorial Dr @ Club Pines Dr		02-0333
Memorial Dr @ Country Club Dr		02-0424
Memorial Dr @ Mall Dr		02-0497

Greenville Blvd @ Landmark St		02-0531
Greenville Blvd @ Bismarck St		02-0554
Memorial Dr @ Westhaven Rd		02-0557
Evans St @ Red Banks Rd		02-0768
Memorial Dr @ Thomas Langston Rd		02-0677
Greenville Blvd @ Mall Dr		02-0777
Hooker Rd @ Pendleton St	46	
Arlington Blvd @ Hooker Rd	47	
Arlington Blvd @ Dickinson Ave		02-0634
Memorial Dr @ Arlington Blvd		02-0368
Moye Blvd @ Farm Dr	50	
Memorial Dr @ Dickinson Ave		02-0003
Memorial Dr @ 3rd St		02-0049
Memorial Dr @ Stantonsburg Rd		02-0053
Memorial Dr @ 5th St		02-0090
Stantonsburg Rd @ Moye Blvd		02-0318
Memorial Dr @ Moye Blvd		02-0432
Stantonsburg Rd @ Allen Rd		02-0500
Stantonsburg Rd @ W.H. Smith Blvd		02-0503
Stantonsburg Rd @ Arlington Blvd		02-0635
Hooker Rd/Moye Blvd @ Dickinson Ave		02-0004
Stantonsburg Rd @ Wellness Dr		02-0874
Memorial Dr @ Reedy Branch Rd		02-0600
NC 11 Winterville Pkwy @ Fire Tower Rd		02-0426
NC 11 Winterville Pkwy @ Davenport Farm Rd		02-0541
NC 11 Winterville Pkwy @ Forlines Rd		02-0669
NC 11 Winterville Pkwy @ NC 903/Main St		02-0536
Stantonsburg Rd @ B's BBQ Rd		02-0496
Greenville Blvd @ 14th St		02-0037
14th St @ Elm St		02-0026
10th St @ Ormond Way		02-0678
10th St @ College Hill Dr		02-0021
10th St @ Elm St		02-0022
5th St @ Elm St	73	
4th St @ Elm St	74	
1st St @ Elm St	75	
Greenville Blvd @ Eastbrook Dr		02-0782
Greenville Blvd @ Moseley Dr		02-0576
Greenville Blvd @ 10th St		02-0039
10th St @ 5th St		02-0052
10th St (NC 33) @ Portertown Rd		02-0077
Evans St @ Fire Tower Rd		02-0422
Corey Rd @ Fire Tower Rd		02-0717
14th St @ York Rd		02-0668
14th St @ Red Banks Rd		02-0425
14th St @ Fire Tower Rd		02-0604
14th St @ Charles Blvd		02-0019

14th St @ Evans St		02-0020
14th St @ Dickinson Ave		02-0006
Dickinson Ave @ Grande Ave		02-0007
10th St @ 14th St		02-0893
10th St @ Line Ave/Bancroft Ave		02-0892
5th St @ 14th St @ Tyson St		02-0024
5th St @ Moye Blvd		02-0319
14th St @ Fleming St @ Tyson St	94	
14th St @ Chestnut St	95	
3rd St @ Tyson St	96	
5th St @ Founders Dr	97	
4th St @ Hickory St	98	
10th St (NC 33) @ Oxford Rd		02-0579
Memorial Dr @ Airport Rd		02-0051
Memorial Dr @ Belvoir Rd		02-0033
Greene St @ Airport Rd		02-0025
Greene St @ Belvoir Rd		02-0048
Memorial Dr @ Greene St		02-0417
Memorial Dr @ Staton Rd		02-0399
Memorial Dr @ Staton House Rd		02-0499
Memorial Dr @ US 264 EB Ramp		02-0605
Memorial Dr @ US 264 WB Ramp		02-0606
Memorial Dr @ NC 903/Stokes Highway/Briley Rd		02-0335
Greenville Blvd @ US 264		02-0271
MLK, Jr. Highway @ Old Creek Rd		02-0594
MLK, Jr. Highway @ Grady White Rd		02-0566
MLK, Jr. Highway @ Staton Rd		02-0740
MLK, Jr. Highway @ SR 1590 (DSM)		02-0609
Evans St @ Martinsborough Rd		02-0846
NC 11 Winterville Pkwy @ Beacon Dr/Sam's Club		02-0863
10th St @ Oakdowne Way		02-0878
Arlington Blvd @ Heart Dr (previously 02-0866)	120	
Arlington Blvd @ NC 43/5th St		02-0867
Fire Tower Rd @ Pine Branches		02-0870
Fire Tower Rd @ Bayswater Rd		02-0871
Fire Tower Rd @ Evans Dr/Ashcroft Dr		02-0869
Evans St @ South Hall Cl		02-0877
Memorial Dr @ Tice/Whitley Dr		02-0881
Evans St @ Regency Blvd		02-0884
10th St @ Parkside Dr		02-0895
Fire Tower Rd @ Whitley Dr		02-0898
Charles Blvd @ Signature Dr		02-0908
10th St @ Silver Maple Ln		02-0909
Greenville Blvd @ Williams Rd		02-0910

TOTAL NUMBER OF CITY SIGNALS	29	
TOTAL NUMBER OF STATE SIGNALS		99
TOTAL NUMBER OF ALL SIGNALS		128
<u>PRO-RATA SHARE</u> SCHEDULE D	DIVIDE NUMBER OF STATE SIGNALS BY THE TOTAL NUMBER OF ALL SIGNALS	77%

MUNICIPAL OPERATIONS AGREEMENT – SCHEDULE D

CCTV CAMERA LIST - CITY OF GREENVILLE

<u>CCTV LOCATION</u>	<u>CCTV ID #</u>
5th St. at Evans St.	1
Arlington Blvd. at Evans St.	2
Greenville Blvd. at Evans St.	3
Greenville Blvd. at Charles St.	4
10th St. at Evans St.	5
Memorial Dr. at Stantonsburg Rd.	6
Arlington Blvd. at Stantonsburg Rd.	7
Memorial Dr. at Fire Tower Rd.	8
10th St. at Greenville Blvd.	9
US264 at Memorial Dr.	10
Dickinson Ave. at Hooker Rd.	11
Fire Tower Rd. at Evans St.	12
TOTAL NUMBER OF CCTV CAMERAS:	12

APPENDIX IV

MUNICIPAL OPERATIONS AGREEMENT – SCHEDULE D

DETECTOR LIST - CITY OF GREENVILLE

<u>DETECTOR LOCATION</u>	<u>DET. ID #</u>
Vacant	1
Vacant	2
Memorial at Reedy Branch (NB Memorial center)	3
Memorial at Thomas Langston (SB Memorial center)	4
Greenville at Memorial (SB Memorial center)	5
Greenville at Memorial (EB Greenville inside)	6
Vacant	7
Greenville at Elm (WB Greenville outside)	8
Greenville at Mall Entrance (EB Greenville outside)	9
Greenville at Mall Entrance (WB Greenville outside)	10
Greenville at Hooker (WB Greenville inside)	11
Greenville at Evans (EB Greenville inside)	12
Greenville at Evans (WB Greenville outside)	13
Greenville at Red Banks (WB Greenville outside)	14
Greenville at Arlington (EB Greenville outside)	15
Greenville at Charles (SB Charles inside)	16
Greenville at Charles (EB Greenville outside)	17
Greenville at Arlington (WB Greenville outside)	18
Greenville at Charles (EB Greenville inside)	19
Charles at Red Banks (NB Charles outside)	20
Arlington at Red Banks (EB Red Banks outside)	21
Arlington at Red Banks (WB Red Banks outside)	22
Arlington at Red Banks (NB Arlington outside)	23
Arlington at Evans (SB Evans inside)	24
Arlington at Evans (EB Arlington inside)	25
Greenville at Charles (SB Charles inside)	26
Arlington at Evans (SB Evans outside)	27
Arlington at Evans (EB Arlington outside)	28
Vacant	29
Charles at Red Banks (NB Charles inside)	30
Arlington at Red Banks (WB Red Banks inside)	31
Arlington at Red Banks (EB Red Banks Inside)	32
Arlington at Red Banks (NB Arlington inside)	33
Greenville at Evans (EB Greenville inside)	34
Greenville at Evans (WB Greenville outside)	35
Greenville at Memorial (EB Greenville outside)	36
Greenville at Memorial (SB Memorial inside)	37

Greenville at Memorial (SB Memorial outside)	38
Greenville at Mall Dr (EB Greenville inside)	39
Memorial at Thomas Langston (SN Memorial inside)	40
Memorial at Thomas Langston (SB Memorial outside)	41
Memorial at Thomas Langston (NB Memorial inside)	42
Memorial at Thomas Langston (NB Memorial middle)	43
Memorial at Thomas Langston (NB Memorial outside)	44
Vacant	45
Vacant	46
Vacant	47
Vacant	48
Vacant	49
Vacant	50
Vacant	51
Vacant	52
Vacant	53
Vacant	54
Vacant	55
Memorial at NC903 (NB Memorial inside)	56
Memorial at NC903 (MB Memorial outside)	57
Greenville at Arlington (WB Greenville inside)	58
Greenville at Arlington (WB Greenville outside)	59
Memorial at Tice/Whitley (SB Memorial inside)	60
Memorial at Tice/Whitley (SB Memorial center)	61
Memorial at Tice/Whitley (SB Memorial outside)	62
Memorial at Tice/Whitley (NB Memorial inside)	63
Memorial at Tice/Whitley (NB Memorial center)	64
Memorial at Tice/Whitley (NB Memorial outside)	65
10 th at Oakdown (WB 10 th inside)	66
10 th at Oakdown (WB 10 th outside)	67
10 th at Oakdown (EB 10 th Inside)	68
10 th at Oakdown (EB 10 th outside)	69
Stantonsburg at Moye (EB Stantonsburg inside)	70
Stantonsburg at Moye (EB Canonsburg outside)	71
Stantonsburg at Moye (WB Stantonsburg outside)	72
Stantonsburg at Moye (WB Stantonsburg outside)	73
TOTAL NUMBER OF DETECTORS:	58

MUNICIPAL OPERATIONS AGREEMENT – SCHEDULE D

POSITION QUALIFICATIONS CITY OF GREENVILLE

TRAFFIC SIGNAL SYSTEMS OPERATIONS MANAGER, OR EQUIVALENT

EDUCATION AND EXPERIENCE

- Graduation from a four-year college or university with a major in Civil Engineering or equivalent or a minimum of 6 years of progressive transportation engineering experience; or an equivalent combination of training and directly related experience in traffic signal operations.
- Operations experience and knowledge of ITS concepts, data communications, and computerized traffic signal systems equipment.
- Excellent planning and organizational skills. Excellent oral and written communications skills including the ability to make public presentations.
- Working knowledge of the principles and practices of traffic signal timing and microcomputer applications of traffic signal optimization software (e.g., Synchro 3.2, PASSER-II, PASSER IV, TRANSYT 7F, NETSIM).
- Working knowledge of AUTOCAD or MICROSTATION and PC-BASED programs including: MS Office (Word, Excel, Access, PowerPoint), GIS, and various software programs for traffic optimization and traffic analysis.
- Regular NC driver's license required.

ESSENTIAL DUTIES

- Oversees the activities of the computerized traffic signal system operation to ensure that all required functions, activities and tasks are performed in an effective, efficient and timely manner.
- Directly manages employees in a Transportation Management Center. Is responsible for the overall direction, coordination, and evaluation of the unit.

MUNICIPAL OPERATIONS AGREEMENT – SCHEDULE D

POSITION QUALIFICATIONS

TRAFFIC SIGNAL SYSTEMS OPERATIONS MANAGER, OR EQUIVALENT

ESSENTIAL DUTIES (CONT'D)

- Supervises staff in accordance with the organization's policies and applicable laws. Responsibilities include interviewing, hiring, and training employees; planning, assigning, and directing work; appraising performance; rewarding and disciplining employees; addressing complaints and resolving problems.
- Works with supervisor to manage staffing and work assignments. Supervises traffic signal staff by assigning tasks and reviewing work on a routine basis and provides ongoing guidance and feedback.
- Provides oversight for field investigations, collection and analysis of traffic data and Measures of Effectiveness (MOEs), computes traffic parameters to refine signal timing programs for optimum systems timing efficiency and develops time-space diagrams. Ensures new signal timing plans created by changes in traffic flow patterns, land-use and population are implemented.
- Responds to the complaints and concerns of the community regarding traffic signal design and intersection safety and efficiency.
- Reviews traffic signal designs for impact on general traffic flow and provides recommendations.

MUNICIPAL OPERATIONS AGREEMENT – SCHEDULE D

POSITION QUALIFICATIONS

TRAFFIC SIGNAL SYSTEMS OPERATIONS ENGINEER, OR EQUIVALENT

EDUCATION AND EXPERIENCE

- Graduation from a four-year college or university with a major in Civil Engineering and a minimum of 3 years of progressive transportation engineering experience; or an equivalent combination of training and directly related experience in traffic signal operations.
- Operations experience and knowledge of ITS concepts, data communications, and computerized traffic signal systems equipment.
- Outstanding planning and organizational skills. Excellent oral and written communications skills including the ability to make public presentations.
- Working knowledge of the principles and practices of traffic signal timing and microcomputer applications of traffic signal optimization software (e.g., Synchro 3.2, PASSER-II, PASSER IV, TRANSYT 7F, NETSIM).
- Working knowledge of AUTOCAD or MICROSTATION and PC-BASED programs including: MS Office (Word, Excel, Access, PowerPoint), GIS, and various software programs for traffic optimization and traffic analysis.
- Regular NC driver's license required.

ESSENTIAL DUTIES

- Plans, organizes, and directs the activities of the computerized traffic signal system operation to ensure that all required functions, activities and tasks are performed in an effective, efficient and timely manner.
- Performs field investigations, collects and analyzes traffic data and Measures of Effectiveness (MOEs), computes traffic parameters to refine signal timing programs for optimum systems timing efficiency and develops time-space diagrams. Develops and implements new signal timing plans created by changes in traffic flow patterns, land-use and population.

MUNICIPAL OPERATIONS AGREEMENT – SCHEDULE D

POSITION QUALIFICATIONS

TRAFFIC SIGNAL SYSTEMS OPERATIONS ENGINEER, OR EQUIVALENT

ESSENTIAL DUTIES (CONT'D)

- Prepares and installs timing plans (traffic responsive and time-of-day/day-of-week) for all corridors; prepares and implements special event timing plans; and prepares temporary timing plans for failed detector locations.
- Maintains system databases and modifies as necessary to allow for expansion; reviews and evaluates all signalized intersections for phasing optimization; provides system data for and assists with various traffic studies and analysis projects regarding the computerized traffic signal system.
- Provides assistance to the transportation operations staff in diagnostic and operational activities.
- Interacts with and uses the features of the signal system control software to develop and modify timing plans using PC-based timing plan software.
- Manages the traffic signal system operational functions including: operation of the graphics monitoring databases; performing periodic schedule data backup; assures the periodic image and graphic backups are accomplished and safely stored.
- Coordinates with the Department on roadway construction projects, which affect the traffic operations in the computerized traffic signal system. Develops and implements temporary timing plan strategies for construction work zones, alternate routes, and incident diversion routes.
- Maintains daily control logs, event logs, timing plan ledgers and daily summary reports.

MUNICIPAL OPERATIONS AGREEMENT – SCHEDULE D

POSITION QUALIFICATIONS

TRAFFIC SIGNAL SYSTEMS SPECIALIST, OR EQUIVALENT

EDUCATION AND EXPERIENCE:

- Graduation from a two-year college or university and a minimum of 1 year of experience in traffic signal operations; or an equivalent combination of education and experience directly related to traffic signal operations.
- Knowledge of traffic signal system operations, Intelligent Transportation Systems (ITS) devices, data communications and computerized traffic signal systems equipment.
- Working knowledge of the principles and practices of traffic signal timing and microcomputer applications of traffic signal optimization software (e.g., MIST software system).
- Thorough knowledge of; ability to pay attention to detail and respond to changes in conditions; ability to coordinate work with others.
- Excellent planning and organizational skills. Excellent oral and written communications skills. Ability to maintain records.
- Working knowledge of AUTOCAD or MICROSTATION and PC-BASED programs including MS Office (Word, Excel, Access, Powerpoint); GIS and various software programs for traffic optimization and traffic analysis.
- Regular NC driver's license required.

ESSENTIAL DUTIES:

- Monitors the operations of the computerized traffic signal system operation on a daily basis to ensure that all required functions are performed in an effective, efficient and timely manner.

MUNICIPAL OPERATIONS AGREEMENT – SCHEDULE D

POSITION QUALIFICATIONS

TRAFFIC SIGNAL SYSTEMS SPECIALIST, OR EQUIVALENT

ESSENTIAL DUTIES (CONT'D)

- Installs new or revised timing plans (traffic responsive and time-of-day/day-of-week) for corridors; implements special event timing plans and prepares temporary timing plans for failed detector locations through the use of Traffic System software.
- Monitors real time traffic operations through video sources to report incidents and special event information to the appropriate agencies (NCDOT, NC State Highway Patrol, Emergency Management, etc.) and the local Police and Fire departments.
- Performs traffic signal system operational functions including: maintaining the graphics monitoring databases; performing periodic schedule data backup; assures the periodic image and graphic backups are accomplished and safely stored. Coordinates signal repair work with operations staff.
- Coordinates with local TV stations and webmasters assuring periodic image and graphic are displayed and provided.
- Maintains daily control logs, event logs, timing plan ledgers and daily summary reports.

APPENDIX VI

MUNICIPAL OPERATIONS AGREEMENT – SCHEDULE D

LEVEL OF SERVICE "C"

GREENVILLE COMPUTERIZED TRAFFIC SIGNAL CONTROL SYSTEM

ITEM	UNIT	ANNUAL RATE	PERCENT (%) UTILIZATION	QUANTITY	PRO-RATA PERCENT (Appendix II)	PRO-RATED COST
FIXED ANNUAL COSTS REIMBURSEMENT SCHEDULE						
System Operations Engineer (Salary + Additives)	Lump Sum	\$101,024.81		1	77%	\$77,789.10
Data Lines	Each	\$240.00		3	77%	\$554.40
CCTV Internet Line	Each	\$828.00		1	100%	\$828.00
PER ITEM REIMBURSEMENT SCHEDULE						
		\$				\$
		\$				\$
		\$				\$
		\$				\$
		\$				\$
		\$				\$
<u>TOTAL ANNUAL COST</u>						\$79,171.50
PER INCIDENT REIMBURSEMENT SCHEDULE						
Per Incident Reimbursements shall consist of all costs associated with repairs and/or replacement of any equipment, software and supplies used to maintain operation of GREENVILLE Computerized Traffic Signal System at a pro rata share of 77%. This includes equipment or software such as, but not limited to: Central Computer Hardware & Software (KVM switch, servers, workstations, laptops, printers, UPSs, traffic management and communication software, etc.); Maintenance Equipment (test equipment, display boards and monitors, laptop, etc.), Communications cable and equipment (core switch, routing switches, media converters, GPS clock sync equipment, fiber modems, phone lines, dialup modems, serial multiport equipment, fiber interconnect centers, fiber patch panels, hub cabinets, ethernet cables, fiber materials and equipment, network management software, etc.); CCTV Equipment (camera assemblies and cabinets, encoders, decoders, master distribution amplifier, matrix bays, multiplexor, CCTV intelligent keyboards, DVR, switches, monitors, etc.); Office supplies (fax machine, printer repair and supplies, paper, pens, pencils and miscellaneous supplies).						\$ TBD As Needed

Note: Items included on this Schedule may be added or deleted to those above by written request, signed by a Municipal Representative. The letter should be sent in quadruplicate to the Division Engineer accompanied by four copies of the revised Schedule. If the Division Engineer approves the new schedule, he will sign all copies as APPROVED; then forwards one copy of the letter and Schedule to the DOT Controller, the LPMO Contract Officer, the Municipality, and retains one for Division file. The new Schedule will then become effective at the beginning of the next cycle for reimbursement. The Department of Transportation reserves the right to verify that all listed operations functions are being properly performed. If it is determined that any authorized operations function is not being performed, the reimbursement will be reduced accordingly.

ATTEST

CITY OF GREENVILLE

CLERK

MUNICIPAL REPRESENTATIVE

DEPARTMENT OF TRANSPORTATION
DIVISION ENGINEER



City of Greenville, North Carolina

Meeting Date: 5/11/2020
Time: 6:00 PM

Title of Item: Approval to purchase replacements for the Munis, Sharepoint, and other end-of-life servers in order to facilitate software upgrades for new versions of software

Explanation: **Abstract:** The Information Technology Department is requesting to purchase hardware replacements for the Munis ERP, Microsoft Sharepoint, and other end-of-life servers utilizing current fiscal year capital funding.

Explanation: The Munis ERP system must be upgraded to a newer version of software within the next year to remain compliant. To facilitate this upgrade, aging end-of-life server infrastructure will need to be replaced with modern server infrastructure. The new software version is required to be in place to print W2s for year 2021, or the City will be out of compliance. Therefore, the hardware upgrades must take place in advance to ensure on-time completion of the Munis upgrade project.

In addition to supporting the Munis ERP requirements, this hardware will also support the City's internal software development platform, Microsoft SharePoint. The production version of this software platform (SharePoint 2010) will not be supported after October 13, 2020, thus requiring it and the internally developed applications to be upgraded as well.

The pricing for this replacement hardware is from North Carolina's 204x Infrastructure Solutions Contract. This contract provides competitive priced solutions for State agencies and local municipalities. Data Network Solutions is the selected vendor from this contract.

Fiscal Note: Funding for this purchase will come from the IT Capital Projects Fund allocated in this fiscal year for the amount of \$209,167.19 and includes 3 years of maintenance.

Recommendation: City Council approve the purchase of the new hardware utilizing available funding.

ATTACHMENTS:

☐ **DNS-CityofGreenville-04232020-Lenovo-StarterPrismPro-001**



Jason Leon
 Account Executive
 Data Network Solutions
jleon@datanetworksolutions.com
 919-649-8135
orders@DataNetworkSolutions.com

Rob Hudson
 City of Greenville
 200 West Fifth Street
 Greenville, NC 27835
rhudson@greenvillenc.gov
 252-329-4454

Quote: DNS-CityofGreenville-04232020-Lenovo-StarterPrismPro-001
Project: Lenovo Certified Node with Prism Pro

MFG	MFG PART#	DESCRIPTION	QTY	LIST PRICE	UNIT PRICE	EXTENDED PRICE
Hardware/Software:						
	7Y90S31U00	ThinkAgile HX5521 Node 3YR	3	\$0.00	\$ 17,431.24	\$ 52,293.72
	5PS7A04030	Essl Svc - 3Y 24x7x4 + YDYD	3	\$0.00	\$ 849.94	\$ 2,549.82
	7Y89S3Q700	ThinkAgile HX2321 Certified Node 3YR	3	\$0.00	\$ 10,209.12	\$ 30,627.36
	5PS7A04002	Essl Svc - 3Y 24x7x4 + YDYD	3	\$0.00	\$ 682.72	\$ 2,048.16
	7SZW100098	NTNX AOS PRO 36Month (96 Cores / 42 TiB Flash) – Prism Pro 36Month89		\$0.00	\$ 1,272.35	\$ 113,239.15
	7SZW100099	NTNX AOS PRO 36Month (96 Cores / 42 TiB Flash) – Prism Pro 36Month3		\$0.00	\$ 127.24	\$ 381.72
	7SZW100100	NTNX AOS PRO 36Month (96 Cores / 42 TiB Flash) – Prism Pro 36Month2		\$0.00	\$ 12.73	\$ 25.46
	7SZW100101	NTNX AOS PRO 36Month (96 Cores / 42 TiB Flash) – Prism Pro 36Month1		\$0.00	\$ 1.28	\$ 1.28
	7SZW100102	NTNX AOS PRO 36Month (96 Cores / 42 TiB Flash) – Prism Pro 36Month3		\$0.00	\$ 0.14	\$ 0.42
	7SZW100103	NTNX AOS PRO 36Month (96 Cores / 42 TiB Flash) – Prism Pro 36Month10		\$0.00	\$ 0.01	\$ 0.10
Installation Services:						
	Pro-Services	Horizon 7 Migration Services	4	\$ 2,200.00	\$ 2,000.00	\$ 8,000.00
TOTAL						\$ 209,167.19

Contract:

Prepared Jason Leon
 Dated: 4/23/2020 Prices valid for 30 days. Quote Expires: 05/23/2020
 DNS reserves the right to amend quotation if errors or omissions occur.
 All information contained in this quote is confidential and not to be shared with any third parties unless authorized by DNS Taxes, Shipping and Handling not included, and are billed as incurred.
 Credit Card orders are subject to a 3% surcharge.
 Returned hardware may be subject to a 25 % restocking fee.
 All returns must be within 30 days of receipt, be pre-approved and have an DNS RMA#.
 Terms are net 30 days from receipt of invoice. Accounts over 30 days subject to 18% late fees.
 **Purchase Orders can be emailed to orders@datanetworksolutions.com



City of Greenville, North Carolina

Meeting Date: 5/11/2020
Time: 6:00 PM

Title of Item: Approval to purchase replacements for the EMC VNX 5400 Storage Area Networks (Server Data Storage) located at City Hall and the Emergency Operations Center for the City's infrastructure

Explanation: **Abstract:** The Information Technology Department is requesting to purchase replacements for the current storage infrastructure using available capital funding. **Explanation:** The production storage infrastructure for the City's servers, email, databases and critical files (EMC VNX 5400) went into service in October of 2013. In order to reduce recurring costs and to maintain this system past the manufacturer's warranty, which ended in 2017, the system was placed on third-party maintenance. Third-party maintenance only supports hardware repairs, not firmware and/or software. Each additional year the support cost continues to increase. Over the last year, due to software issues within the storage environment, the City has experienced four critical outages, which affected all of the City's production servers. Software upgrades/patches are not available post-warranty; therefore, this presents great risk to the integrity and stability of the City's critical infrastructure. When consulted after the ransomware incident, EMC advised that a software upgrade was not available. Non-supported equipment poses a risk from both hardware outages and vulnerabilities ranging from software instability to increased security risks. The proposed replacement storage infrastructure is vital to the City's future technological progress, stability, and security.

The pricing for this replacement hardware is from North Carolina's 204x Infrastructure Solutions Contract. This contract provides competitive priced solutions for State agencies and local municipalities. Data Network Solutions is the selected vendor from this contract.

Fiscal Note: Funding for this purchase will come from the IT Capital Projects Fund allocated in this fiscal year for the amount \$457,217.60 and include 5 years of maintenance.

Recommendation: City Council approve the purchase of the new hardware utilizing available funding.

ATTACHMENTS:

☐ **DNS-CityofGreenville-04202020-NetApp-FAS8200-001**



Jason Leon
 Account Executive
 Data Network Solutions
 jleon@datanetworksolutions.com
 919-649-8135
 orders@DataNetworkSolutions.com

Rob Hudson
 City of Greenville
 200 West Fifth Street
 Greenville, NC 27835
 rhudson@greenvillenc.gov
 252-329-4454

Quote:	DNS-CityofGreenville-042020-NetApp-FAS8200-001
Project:	NetApp Storage FAS8200

MFG	MFG PART#	DESCRIPTION	QTY	LIST PRICE	UNIT PRICE	EXTENDED PRICE
Hardware/Software:						
	SW-2-CL-BASE	SW-2,Base,CL,Node	2	\$0.00	\$ -	\$ -
	FAS8200	FAS8200 - HEADER	2	\$0.00	\$ -	\$ -
	FAS8200A-002	FAS8200 HA System,Premium Bundle	4	\$22,500.00	\$ 9,362.33	\$ 37,449.32
	SW-2-8200A-NVE-C	SW,Data at Rest Encryption Enabled,8200A,-C	4	\$0.00	\$ -	\$ -
	SW-2-8200A-TPM-C	SW,Trusted Platform Module Enabled,8200A,-C	4	\$0.00	\$ -	\$ -
	X6566B-2-R6-C	Cable,Direct Attach CU SFP+ 10G,2M,-C	4	\$80.00	\$ 69.70	\$ 278.80
	X66032A-C	Cable,12Gb,Mini SAS HD,2m,-C	16	\$285.00	\$ 122.30	\$ 1,956.80
	X-SFP-H10GB-CU5M-R6-C	Cable,10GBase Copper SFP+ 5m,-C	16	\$139.00	\$ 121.10	\$ 1,937.60
	X66030A-C	Cable,12Gb,Mini SAS HD,0.5m,-C	12	\$185.00	\$ 79.39	\$ 952.68
	X6235-C	Chassis,FAS8200,AFF-A300,AC PS,-C	2	\$0.00	\$ -	\$ -
	DS224C-10-1.8-24S-2P-C	DSK SHLF,12G,24x1.8TB,10K,2P,-C	4	\$19,570.00	\$ 8,628.49	\$ 34,513.96
	DOC-8200-C	Documents,8200,-C	2	\$0.00	\$ -	\$ -
	DATA-AT-REST-ENCRYPTION	Data at Rest Encryption Capable Operating Sys	4	\$0.00	\$ -	\$ -
	X800E-R6-C	Power Cable,North America,-C,R6	24	\$0.00	\$ -	\$ -
	X-02659-00-C	Rail Kit,4-Post,Rnd/Sq-Hole,Adj,24-32,-C	12	\$115.00	\$ 47.85	\$ 574.20
	OS-ONTAP1-CAP2-PREM-2P-C	ONTAP,Per-0.1TB,PREMBNDL,Perf,2P,-C	3456	\$99.00	\$ 44.68	\$ 154,414.08
	OS-ONTAP1-CAP3-PREM-2P-C	ONTAP,Per-0.1TB,PREMBNDL,Ultra-Pef,2P,-C	460	\$348.00	\$ 147.26	\$ 67,739.60
	CS-WARRANTY-EXTENSION	Warranty Extension Point-of-Sale	2	\$15,467.75	\$ 10,030.34	\$ 20,060.68
	CS-A2-4R	SupportEdge Standard Part Replace 4hr	2	\$32,684.52	\$ 21,194.84	\$ 42,389.68
	FAS8200-EXP	FAS8200-EXP - HEADER	2	\$0.00	\$ -	\$ -
	DS224C-10-1.8-24S-2P-CQ	DSK SHLF,12G,24x1.8TB,10K,2P,CQ	4	\$19,570.00	\$ 8,143.14	\$ 32,572.56
	DS224C-S-96-24S-2P-CQ	SSD Shelf,12G,24x960GB,2P,CQ	2	\$43,890.00	\$ 18,262.78	\$ 36,525.56
	CS-WARRANTY-EXTENSION	Warranty Extension Point-of-Sale	2	\$4,981.80	\$ 3,230.54	\$ 6,461.08
	CS-A2-4R	SupportEdge Standard Part Replace 4hr	2	\$13,949.04	\$ 9,045.50	\$ 18,091.00
Installation Services:						
	Pro-Services	Installation and Configuration	5	\$ 2,200.00	\$ -	\$ -
		Shipping				\$ 1,300.00
TOTAL						\$ 457,217.60

Contract:

Prepared Jason Leon
 Dated: 4/20/2020 Prices valid for 30 days. Quote Expires: 05/20/2020
 DNS reserves the right to amend quotation if errors or omissions occur.
 All information contained in this quote is confidential and not to be shared with any third parties unless authorized by DNS Taxes, Shipping and Handling not included, and are billed as incurred.
 Credit Card orders are subject to a 3% surcharge.
 Returned hardware may be subject to a 25 % restocking fee.
 All returns must be within 30 days of receipt, be pre-approved and have an DNS RMA#.
 Terms are net 30 days from receipt of invoice. Accounts over 30 days subject to 18% late fees.
 **Purchase Orders can be emailed to orders@datanetworksolutions.com

Data Network Solutions, Inc.
 629 Lake Tide Drive Chapin, SC
 29036
 orders@datanetworksolutions.com
 (f) 803 932-9914
 FED Tax ID: 56-2113683



City of Greenville, North Carolina

Meeting Date: 5/11/2020
Time: 6:00 PM

Title of Item: Various tax refunds greater than \$100

Explanation: **Abstract:** Pursuant to North Carolina General Statute 105-381, refunds are being reported to City Council. These are refunds created by a change or release of value for City of Greenville taxes by the Pitt County Tax Assessor. Pitt County Commissioners have previously approved these refunds; they are before City Council for their approval as well. These refunds will be reported as they occur when they exceed \$100.

Explanation: The Director of Financial Services reports refunds of the following taxes:

Payee	Adjustment Refunds	Amount
Aimee Rodriguez	Registered Motor Vehicle	131.09
Ashby Jordan	Registered Motor Vehicle	121.76
Calvin King	Registered Motor Vehicle	117.56
Daisy Burris	Registered Motor Vehicle	131.34
Douglas Utter	Registered Motor Vehicle	143.29
Garfield Thomas	Registered Motor Vehicle	247.48
Jacob Isenhour	Registered Motor Vehicle	234.56
JBR Properties of Greenville	Registered Motor Vehicle	195.54

Larry Smart	Registered Motor Vehicle	168.26
Melvin Albritton	Individual Property Taxes	105.84
Silvestre Aguilar	Individual Property Taxes	50.00
Veronica Vizuet	Registered Motor Vehicle	110.91
	REFUND TOTAL:	1,757.63

Fiscal Note: The total refunded is \$1,757.63

Recommendation: Approval of taxes refunded by City Council



City of Greenville, North Carolina

Meeting Date: 5/11/2020
Time: 6:00 PM

Title of Item: Presentation of the City's proposed Fiscal Year 2020-2021 operating budget

Explanation: **Abstract:** City staff will present the proposed Fiscal Year 2020-2021 operating budget.

Explanation: As provided in the approved budget schedule, staff will present the City's proposed Fiscal Year 2020-2021 operating budget during the May 11, 2020, City Council meeting.

During the May 14, 2020, City Council meeting, representatives from the Pitt-Greenville Convention and Visitors Authority, Sheppard Memorial Library, and Greenville Utilities Commission will present their proposed Fiscal Year 2020-2021 budgets.

In compliance with Section 160A-148(5) of the North Carolina General Statutes, the City Council will hold a public hearing on Monday, June 8, and consider adopting the annual budget ordinance on Thursday, June 11.

Fiscal Note: The final amount for the City's budget will be determined by City Council action at the June 11, 2020, City Council meeting.

Recommendation: Receive the presentation on the proposed Fiscal Year 2020-2021 operating budget and provide feedback and direction.



City of Greenville, North Carolina

Meeting Date: 5/11/2020
Time: 6:00 PM

Title of Item: Ordinance Approving 2019-2020 Capital Reserve Fund Designations

Explanation: **Abstract:** An update on the Capital Reserve Fund will be provided, and Council is asked to consider an ordinance approving 2019-2020 Capital Reserve Fund designations based on Budget Ordinance Amendment #10, which will also be considered at the May 11, 2020 City Council meeting.

Explanation: Attached for Council consideration is an ordinance approving the 2019-2020 Capital Reserve Fund designations as included in Budget Ordinance Amendment #10. Budget Ordinance Amendment #10 includes an adjustment within the Capital Reserve designations of \$605,587 which is earmarked for the Dickinson Avenue Streetscape.

The following documents are attached:

1. Capital Reserve Fund - Detail of Designations

- This report shows the Capital Reserve Fund balance that was approved by City Council on February 10, 2020, changes to those designations, and the proposed designations as of the May 11, 2020 City Council meeting.

2. Ordinance Amending the Fund

- This document reflects the proposed projects that have been included in the Capital Reserve Fund at this time. The Local Budget and Fiscal Control Act requires that a transfer to the Capital Reserve Fund state (i) the approximate periods of time during which the monies are to be accumulated for each purpose, (ii) the approximate amounts to be accumulated for each purpose, and (iii) the sources from which monies for each purpose will be derived.

Fiscal Note: The Capital Reserve Fund balance stands at approximately \$4,298,024 and reflects the capital project priorities of the City Council as included in Budget Ordinance Amendment #10.

Recommendation: Approve 2019-2020 Capital Reserve Fund designations and adopt the Capital Reserve Fund ordinance.

ATTACHMENTS:

- ❑ **Capital_Reserve_Ordinance_1123148**
- ❑ **Capital_Reserve_Designations_1121187**

ORDINANCE NO. 20-
AN ORDINANCE AMENDING THE CAPITAL RESERVE FUND
FOR THE CITY OF GREENVILLE

THE CITY COUNCIL OF THE CITY OF GREENVILLE, NORTH CAROLINA, DOES
ORDAIN:

Section I. The Capital Reserve Fund is amended as follows:

<u>Amount</u>	<u>Sources of Monies</u>	<u>Purpose</u>	<u>Accumulation Period</u>
1,187,273	General Fund	Dickinson Avenue Streetscape	5 years
93,869	General Fund	NCDOT Projects	5 years
2,016,882	General Fund	BUILD Grant	5 years
<u>1,000,000</u>	General Fund	Industrial Site	5 years
<u>\$ 4,298,024</u>			

Section II. All ordinances and clauses of ordinances in conflict with this ordinance are hereby repealed.

Section III. This ordinance will become effective upon its adoption.

Adopted this 11th day of May, 2020.

P. J. Connelly, Mayor

ATTEST:

Valerie Shiuwegar, City Clerk

City of Greenville
Capital Reserve Fund - Detail of Designations - May, 2020

Purpose	Approved Designations February 10, 2020	Inc/(Dec)	Proposed Designations May 11, 2020
Dickinson Avenue Streetscape	1,792,860 ^A	(605,587)	1,187,273
Transportation			
DOT Project - Firetower NC43 to 14th Street	-	-	-
DOT Project - Firetower 14th Street to NC33	93,869	-	93,869
DOT Project - Evans Street Widening	-	-	-
DOT Project - 14th Street Widening	-	-	-
Street Signal Conversion	-	-	-
BUILD Grant	2,016,882	-	2,016,882
Subtotal Transportation	<u>2,110,751</u>	-	<u>2,110,751</u>
Industrial Site	1,000,000	-	1,000,000
Total	<u><u>\$ 4,903,611</u></u>	<u><u>\$ (605,587)</u></u>	<u><u>\$ 4,298,024</u></u>

^A To allocate capital reserve funding to fund capital asset purchases for Police, Recreation & Parks, and Public Works in the Vehicle Replacement fund.



City of Greenville, North Carolina

Meeting Date: 5/11/2020
Time: 6:00 PM

Title of Item: Budget ordinance amendment #10 to the 2019-2020 City of Greenville budget (Ordinance #19-031), the Capital Projects Funds (Ordinance #17-024), and the FEMA-Hurricane Project Fund (Ordinance #17-002)

Explanation: **Abstract:** This budget amendment is for City Council to review and approve proposed changes to the adopted 2019-2020 budget and other funds as identified.

Explanation: Attached for consideration at the May 11, 2020 City Council meeting is an ordinance amending the 2019-2020 City of Greenville budget (Ordinance #19-031), the Capital Projects Funds (Ordinance #17-024), and the FEMA-Hurricane Project Fund (Ordinance #17-002).

For ease of reference, a footnote has been added to each line item of the budget ordinance amendment, which corresponds to the explanation below:

<u>Item</u>	<u>Justification</u>	<u>Funds Amended</u>	<u>Net Adjustment</u>
A	Increase occupancy tax within the Public Works Capital Projects fund and move to General Fund.	General PW Capital Projects	4,610
B	Allocate NCDOT funding received for the Pedestrian Crossing project as reimbursement for the project completed with General Fund revenue.	General PW Capital Projects	216,973
C	To reallocate capital reserve funding to fund capital asset purchases for Police, Recreation & Parks, and Public Works in the Vehicle Replacement Fund.	Capital Reserve General VRF	605,587
D	To appropriate fund balance within the Stormwater Utility Fund and move to the Enterprise Capital Projects Fund for Town Creek Culvert Project.	Stormwater Enterprise Capital	942,325

E	Move funds from FEMA-Hurricane Project fund to IT Capital Projects fund for equipment replacement.	FEMA IT Capital	62,000
F	To move remaining Contingency funds to Mayor / City Council budget to cover additional contracted services expenses for the current fiscal year.	General	-

Fiscal Note:

The budget ordinance amendment affects the following funds:

	<u>2019-20</u>	-	<u>2019-20</u>
	<u>Original</u>	-	<u>Budget per</u>
<u>Fund Balance</u>	<u>Budget</u>	<u>Amendment #10</u>	<u>Amendment #10</u>
General	\$ 87,933,726	\$ 610,197	\$ 88,543,923
Debt Service	5,559,881	-	5,559,881
Public Transportation (Transit)	3,355,374	-	3,355,374
Fleet Maintenance	4,635,802	-	4,635,802
Sanitation	8,031,481	-	8,031,481
Stormwater	9,820,127	942,325	9,820,127
Housing	1,733,500	-	1,733,500
Health Insurance	14,003,384	-	14,003,384
Vehicle Replacement	4,759,009	-	4,759,009
Facilities Improvement	4,057,862	-	4,057,862
Capital Reserve	947,369	605,587	1,552,956
Convention & Visitors Authority	1,645,047	-	1,645,047
Sheppard Memorial Library	2,515,964	-	2,515,964
Public Works Capital Projects	52,704,670	10,822	52,715,492
Rec & Parks Capital Projects	10,015,052	-	10,015,052
Fire/Rescue Capital Projects	7,080,000	-	7,080,000
Donations	280,687	-	280,687
Greenways Capital Projects	6,565,846	-	6,565,846
Street Improvement Bond	16,852,567	-	16,852,567
Red Light Camera Program	1,400,000	-	1,400,000
FEMA-Hurricane Project	1,212,100	-	1,212,100
Community Development Capital	18,804,227	-	18,804,227
Special Revenue Grant	8,777,377	-	8,777,377
IT Capital Projects	3,208,991	62,000	3,270,991
Engineering Capital Projects	24,000,000	-	24,000,000

Police Capital Projects	6,701,490	-	6,701,490
Enterprise Capital Projects	42,839,245	942,325	43,781,570

Recommendation: Approve budget ordinance amendment #10 to the 2019-2020 City of Greenville budget (Ordinance #19-031), the Capital Projects Funds (Ordinance #17-024), and the FEMA-Hurricane Project Fund (Ordinance #17-002).

ATTACHMENTS:

☐ **Budget_Amend__10_1128577**

ORDINANCE NO. 20-
CITY OF GREENVILLE, NORTH CAROLINA
Ordinance (#10) Amending the 2019-20 Budget (Ordinance #19-031),
the Capital Projects Funds (Ordinance #17-024), and the FEMA-Hurricane Project Fund (Ordinance #17-002)

THE CITY COUNCIL OF THE CITY OF GREENVILLE, NORTH CAROLINA DOES ORDAIN:

Section I: Estimated Revenues and Appropriations. General Fund, of Ordinance #19-031 is hereby amended by increasing estimated revenues and appropriations in the amount indicated:

	2019-20 Revised Budget	Budget Amendment #10					Total Amend #10	2019-20 Budget per Amend #10
		A.	B.	C.	F.			
ESTIMATED REVENUES								
Property Tax	\$ 34,306,950	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 34,306,950
Sales Tax	20,404,423	-	-	-	-	-	-	20,404,423
Video Prog. & Telecom. Service Tax	869,544	-	-	-	-	-	-	869,544
Rental Vehicle Gross Receipts	165,181	-	-	-	-	-	-	165,181
Utilities Franchise Tax	7,100,000	-	-	-	-	-	-	7,100,000
Motor Vehicle Tax	1,568,863	-	-	-	-	-	-	1,568,863
Other Unrestricted Intergov't	895,982	-	-	-	-	-	-	895,982
Powell Bill	2,182,000	-	-	-	-	-	-	2,182,000
Restricted Intergov't Revenues	834,656	-	-	-	-	-	-	834,656
Licenses, Permits and Fees	4,433,229	-	-	-	-	-	-	4,433,229
Rescue Service Transport	3,205,109	-	-	-	-	-	-	3,205,109
Parking Violation Penalties, Leases,	247,302	-	-	-	-	-	-	247,302
Other Sales & Services	389,868	-	-	-	-	-	-	389,868
Other Revenues	1,052,581	-	-	-	-	-	-	1,052,581
Interest on Investments	850,000	-	-	-	-	-	-	850,000
Transfer from Other Funds	284,000	4,610	216,973	605,587	-	827,170	-	1,111,170
Transfers In GUC	6,639,369	-	-	-	-	-	-	6,639,369
Appropriated Fund Balance	2,504,669	-	(216,973)	-	-	(216,973)	-	2,287,696
Total Revenues	\$ 87,933,726	\$ 4,610	\$ -	\$ 605,587	\$ -	\$ 610,197	\$ -	\$ 88,543,923
APPROPRIATIONS								
Mayor/City Council	\$ 530,273	\$ -	\$ -	\$ -	\$ 28,000	\$ 28,000	\$ -	\$ 558,273
City Manager	2,497,630	-	-	-	-	-	-	2,497,630
City Clerk	285,386	-	-	-	-	-	-	285,386
City Attorney	531,965	-	-	-	-	-	-	531,965
Human Resources	2,887,004	-	-	-	-	-	-	2,887,004
Information Technology	3,302,329	-	-	-	-	-	-	3,302,329
Engineering	5,228,222	-	-	-	-	-	-	5,228,222
Fire/Rescue	15,908,008	-	-	-	-	-	-	15,908,008
Financial Services	2,603,807	4,610	-	-	-	4,610	-	2,608,417
Recreation & Parks	7,599,535	-	-	-	-	-	-	7,599,535
Police	26,234,326	-	-	-	-	-	-	26,234,326
Public Works	5,890,724	-	-	-	-	-	-	5,890,724
Planning & Development	3,095,657	-	-	-	-	-	-	3,095,657
OPEB	700,000	-	-	-	-	-	-	700,000
Contingency	28,000	-	-	-	(28,000)	(28,000)	-	-
Indirect Cost Reimbursement	(1,950,887)	-	-	-	-	-	-	(1,950,887)
Capital Improvements	-	-	-	-	-	-	-	-
Total Appropriations	\$ 75,371,979	\$ 4,610	\$ -	\$ -	\$ -	\$ 4,610	\$ -	\$ 75,376,589
OTHER FINANCING SOURCES								
Transfers to Other Funds	\$ 12,561,747	\$ -	\$ -	\$ 605,587	\$ -	\$ 605,587	\$ -	\$ 13,167,334
Total Other Financing Sources	\$ 12,561,747	\$ -	\$ -	\$ 605,587	\$ -	\$ 605,587	\$ -	\$ 13,167,334
Total Approp & Other Fin Sources	\$ 87,933,726	\$ 4,610	\$ -	\$ 605,587	\$ -	\$ 610,197	\$ -	\$ 88,543,923

Section II: Estimated Revenues and Appropriations. Public Works Capital Projects Fund, of Ordinance #17-024 is hereby amended by increasing estimated revenues and appropriations in the amount indicated:

	2019-20 Revised Budget	A.	B.	Total Amend #10	2019-20 Budget per Amend #10
ESTIMATED REVENUES					
Occupancy Tax	\$ 368,000	\$ 4,610	\$ -	\$ 4,610	\$ 372,610
Transfers from Other Funds	18,437,703	-	-	-	18,437,703
Other Income	2,731,245	-	-	-	2,731,245
Spec Fed/State/Loc Grant	23,748,499	-	6,212	6,212	23,754,711
Spec Fed/State/Loc Grant	944,223	-	-	-	944,223
Bond Proceeds	6,200,000	-	-	-	6,200,000
Appropriated Fund Balance	275,000	-	-	-	275,000
Total Revenues	\$ 52,704,670	\$ 4,610	\$ 6,212	\$ 10,822	\$ 52,715,492
APPROPRIATIONS					
Stantonsburg Rd./10th St Con Project	\$ 6,194,950	\$ -	\$ -	\$ -	\$ 6,194,950
Computerized Traffic Signal System	8,883,151	-	-	-	8,883,151
Sidewalk Development Project	1,616,301	-	(210,761)	(210,761)	1,405,540
GTAC Project	9,336,917	-	-	-	9,336,917
Energy Efficiency Project	777,600	-	-	-	777,600
King George Bridge Project	1,341,089	-	-	-	1,341,089
Energy Savings Equipment Project	2,591,373	-	-	-	2,591,373
Convention Center Expansion Project	4,718,000	-	-	-	4,718,000
Pedestrian Improvement Project	210,761	-	-	-	210,761
Street Lights & Cameras	1,276,225	-	-	-	1,276,225
F/R Station 3 Parking Lot	139,551	-	-	-	139,551
F/R Station 2 Bay Expansion	244,655	-	-	-	244,655
Parking Lot Enhancements	81,903	-	-	-	81,903
Street Improvements Project	11,782,805	-	-	-	11,782,805
Safe Routes to School	1,409,463	-	-	-	1,409,463
Imperial Demolition	229,178	-	-	-	229,178
Transfer to General Fund	338,181	4,610	216,973	221,583	559,764
Transfer to Street Improvement	1,002,567	-	-	-	1,002,567
Transfer to Recreation & Parks Capital	30,000	-	-	-	30,000
Transfer to Facilities Improvement	250,000	-	-	-	250,000
Transfer to IT Capital Projects Fund	250,000	-	-	-	250,000
Transfer to Enterprise Capital Projects	-	-	-	-	-
Total Appropriations	\$ 52,704,670	\$ 4,610	\$ 6,212	\$ 10,822	\$ 52,715,492

Section III: Estimated Revenues and Appropriations. IT Capital Projects Fund, of Ordinance #17-024 is hereby amended by increasing estimated revenues and appropriations in the amount indicated:

	<u>2019-20 Revised Budget</u>	<u>E.</u>	<u>Total Amend #10</u>	<u>2019-20 Budget per Amend #10</u>
ESTIMATED REVENUES				
Transfers from Other Funds	\$ 3,208,991	\$ 62,000	\$ 62,000	\$ 3,270,991
Total Revenues	<u>\$ 3,208,991</u>	<u>\$ 62,000</u>	<u>\$ 62,000</u>	<u>\$ 3,270,991</u>
APPROPRIATIONS				
Transfer to Other Funds	\$ 2,500,000	\$ -	\$ -	\$ 2,500,000
IT Hardware Upgrade	708,991	62,000	62,000	770,991
Total Appropriations	<u>\$ 3,208,991</u>	<u>\$ 62,000</u>	<u>\$ 62,000</u>	<u>\$ 3,270,991</u>

Section IV: Estimated Revenues and Appropriations. Enterprise Capital Projects Fund, of Ordinance #17-024 is hereby amended by increasing estimated revenues and appropriations in the amount indicated:

	<u>2019-20 Revised Budget</u>	<u>D.</u>	<u>Total Amend #10</u>	<u>2019-20 Budget per Amend #10</u>
ESTIMATED REVENUES				
Spec Fed/State/Local Grants	\$ 195,490	\$ -	\$ -	\$ 195,490
State Revolving Loans	16,340,571	-	-	16,340,571
Bond Proceeds/Town Creek Culvert	14,199,712	-	-	14,199,712
Transfer from Other Funds	12,103,472	942,325	942,325	13,045,797
Total Revenues	<u>\$ 42,839,245</u>	<u>\$ 942,325</u>	<u>\$ 942,325</u>	<u>\$ 43,781,570</u>
APPROPRIATIONS				
Stormwater Drain Maint Improvement	\$ 1,281,000	\$ -	\$ -	\$ 1,281,000
Town Creek Culvert Project	34,292,975	942,325	942,325	35,235,300
Watershed Masterplan Project	7,265,270	-	-	7,265,270
Total Appropriations	<u>\$ 42,839,245</u>	<u>\$ 942,325</u>	<u>\$ 942,325</u>	<u>\$ 43,781,570</u>

Section V: Estimated Revenues and Appropriations. Vehicle Replacement Fund, of Ordinance #19-031 is hereby amended by increasing estimated revenues and appropriations in the amount indicated:

	<u>2019-20 Original Budget</u>	<u>C.</u>	<u>Total Amend #10</u>	<u>2019-20 Budget per Amend #10</u>
ESTIMATED REVENUES				
Sale of Property	\$ 227,460	\$ -	\$ -	\$ 227,460
Other Revenues	51,000	-	-	51,000
Transfer from City Departments	4,171,719	(605,587)	(605,587)	3,566,132
Transfer from Sanitation Fund	250,000	-	-	250,000
Transfer from General Fund	-	605,587	605,587	605,587
Appropriated Fund Balance	58,830	-	-	58,830
Total Revenues	<u>\$ 4,759,009</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 4,759,009</u>
APPROPRIATIONS				
Capital Equipment	\$ 4,759,009	\$ -	\$ -	\$ 4,759,009
Total Appropriations	<u>\$ 4,759,009</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ 4,759,009</u>

Section VI: Estimated Revenues and Appropriations. FEMA-Hurricane Project Fund, of Ordinance #17-002 is hereby amended by increasing estimated revenues and appropriations in the amount indicated:

	2019-20 Revised Budget	E.	Total Amend #10	2019-20 Budget per Amend #10
ESTIMATED REVENUES				
North Carolina Division of Emergency Management	\$ 2,211,500	\$ -	\$ -	\$ 2,211,500
Transfer from General Fund	600	-	-	600
Total Revenues	\$ 2,212,100	\$ -	\$ -	\$ 2,212,100
APPROPRIATIONS				
City Property	\$ 473,248	\$ -	\$ -	\$ 473,248
Debris Removal	1,442,334	(62,000)	(62,000)	1,380,334
Transfer to Other Funds	296,518	62,000	62,000	358,518
Total Appropriations	\$ 2,212,100	\$ -	\$ -	\$ 2,212,100

Section VII: Estimated Revenues and Appropriations. Stormwater Management Utility Fund, of Ordinance #19-031 is hereby amended by increasing estimated revenues and appropriations in the amount indicated:

	2019-20 Original Budget	D.	Total Amend #10	2019-20 Budget per Amend #10
ESTIMATED REVENUES				
Stormwater Utility Fee	\$ 5,941,000	\$ -	\$ -	\$ 5,941,000
Appropriated Fund Balance	3,879,127	942,325	942,325	4,821,452
Total Revenues	\$ 9,820,127	\$ 942,325	\$ 942,325	\$ 10,762,452
APPROPRIATIONS				
Public Works	\$ 2,148,056	\$ -	\$ -	\$ 2,148,056
Engineering	3,362,262	-	-	3,362,262
Capital Projects	2,513,544	-	-	2,513,544
Transfer Out	1,296,265	942,325	942,325	2,238,590
Preventative Maintenance	500,000	-	-	500,000
Total Appropriations	\$ 9,820,127	\$ 942,325	\$ 942,325	\$ 10,762,452

Section VIII: Estimated Revenues and Appropriations. Capital Reserve Fund, of Ordinance #19-031 is hereby amended by increasing estimated revenues and appropriations in the amount indicated:

	2019-20 Revised Budget	C.	Total Amend #10	2019-20 Budget per Amend #10
ESTIMATED REVENUES				
Transfers from General Fund	\$ 806,882	\$ -	\$ -	\$ 806,882
Appropriated Fund Balance	140,487	605,587	605,587	746,074
Total Revenues	\$ 947,369	\$ 605,587	\$ 605,587	\$ 1,552,956
APPROPRIATIONS				
Increase in Reserve	\$ 806,882	\$ -	\$ -	\$ 806,882
Transfer to Facilities Improvement	140,487	-	-	140,487
Transfer to General Fund	-	605,587	605,587	605,587
Total Appropriations	\$ 947,369	\$ 605,587	\$ 605,587	\$ 1,552,956

Section IX: All ordinances and clauses of ordinances in conflict with this ordinance are hereby repealed:

Adopted this 11th day of May, 2020

P. J. Connelly, Mayor

ATTEST:

Valerie P. Shiuwegar, City Clerk