



AGENDA

Regular Meeting – September 18, 2014
Board Room – 12:00 noon

Call to Order - Ascertain Quorum

12:00

[Chair John Minges]

1. Approval of Minutes
[Chair John Minges]

Regular Meeting: August 21, 2014

Acceptance of the Agenda

[Chair John Minges]

Public Hearing

The Public Hearing is a period reserved for comments by the public. Each individual is allowed no more than 5 minutes. Individuals who register with the Executive Secretary to speak will speak in the order registered.

Action Items

2. Review of Monthly Financial Statements – July 31, 2014 and August 31, 2014
[Jeff McCauley]
3. Consideration of Adoption of Firm Wholesale Water Supply Rate Schedule – W-4
[Randy Emory]
4. Recommended Award of Capital Outlay Project for Replacement of 800 MHz Digital Mobile Radio System
[Roger Jones]
5. Consideration of Adoption of Records Retention and Disposition Schedule
[Phil Dixon]

Information Items

6. Updates from Joint Pay and Benefits Committee and Property Committee
[Chair John Minges]
7. General Manager's Report
[Tony Cannon]

8. Board Chair's Remarks/Report

[Chair John Minges]

9. Board Members' Remarks

[Board]

Notice of Upcoming Meetings/Functions:

[Chair John Minges]

Joint GUC Board of Commissioners/Greenville City Council Meeting,

Monday, September 22, 2014, 6:00 p.m., Board Room

GUC Workshop, Tuesday, October 14, 2014, 5:30 p.m., Board Room

GUC Regular Meeting, Thursday, October 16, 2014, 12 noon, Board Room

Closed Session

N.C.G.S. Section 143-318.11(a)(3) To consult with an attorney employed or retained by the public body in order to preserve the attorney – client privilege between the attorney and the public body, which privilege is hereby acknowledged.

Adjournment

[Chair John Minges]

1:00



Agenda Item # 1

Meeting Date: September 18, 2014

Item:	Approval of Minutes
Contact:	Amy Quinn
Explanation:	Regular Meeting: August 21, 2014
Previous Board Actions:	N/A
Fiscal Note:	N/A
Recommended Action(s):	Approval of minutes as presented or amended

GREENVILLE UTILITIES COMMISSION

GREENVILLE, NORTH CAROLINA

Thursday, August 21, 2014

The Board of Commissioners of the Greenville Utilities Commission met in the Greenville Utilities Board Room in regular session at 12:00 noon with the following members, and others present, and Chair John Minges presiding.

Commission Members Present:

John Minges, Chair
Chip Little
Don Mills
Virginia Hardy

Rebecca Blount
Barbara Lipscomb
Dennis Mitchell
Joel Butler

Commission Staff Present:

Tony Cannon, General Manager/CEO
Todd Rouse
Jeff McCauley
George Reel
Roger Jones
Sandy Barnes
Randy Emory
Anthony Miller
Richie Shreves
Jeff Byrd
Brandon Butler
Matt McLawhorn
Daniel Dilda
Connie McGowan

Keith Jones
Amy Quinn
Scott Mullis
Lou Norris
Sue Hatch
Kristen Slocum
Tony Godwin
Emily Barnes
Carl Smith
Freddie Martin
Joey Dash
David Guy
Justin McLawhorn
Dustin Sauls

Others Present:

Phil Dixon, Commission Attorney; Scott Dixon, Dixon Law Office; Richard Croskery, GUC Liaison; and John Chaffee, NC East Alliance

Chair Minges called the meeting to order and ascertained that a quorum was present.

APPROVAL OF MINUTES (Agenda Item 1)

A motion was made by Dr. Hardy, seconded by Ms. Lipscomb, to approve the July 17, 2014 Regular Meeting minutes as presented.

Acceptance of the Agenda

A motion was made by Ms. Lipscomb, seconded by Ms. Blount, to accept the agenda as presented. The motion carried unanimously.

Introduction of New Commissioner

Chair Minges introduced and welcomed our new commissioner, Joel Butler. Mr. Butler is the Chief External Affairs Officer and President of Vidant Health Foundation and Vidant Medical. He is involved in many community activities.

Recognition:

Tony Cannon, General Manager/ CEO, welcomed Electric Distribution Engineer Jeff Byrd and his team that recently competed in the North Carolina Association of Municipal Electric Systems (NCAMES) Rodeo. Mr. Byrd stated that GUC has some of the best linemen in the country and we are blessed to have them with us. Most are apprentices and just starting out. Mr. Byrd recognized Dustin Sauls who is part of the tree group and is cross trained to do line work to pitch in when needed. Justin McLawhorn won second in the egg climb. These events are designed to test their skills. Daniel Dilda won second in the hurt man rescue and third in the fuse change out. Matt McLawhorn won first in the egg climb and second in the fuse change out. David Guy won second overall in the apprentice category. It was noted that Brandon Butler scored a 100 on the written test and won third in the egg climb and first overall. David Guy and Brandon Butler will represent NCAMES in the apprentice division at the APPA Rodeo in California.

In the journeyman division, having five or more years of experience, Joey Dash won second on the written test and fourth overall. He will represent the NCAMES in the journeyman division at the annual APPA Rodeo in California this year.

Also, Connie McGowan had high score in the hurt man.

On a side note, Mr. Byrd accepted the infamous ALS (Amyotrophic Lateral Sclerosis) Ice Bucket Challenge. The electric crew and Mr. Byrd challenged Mr. Cannon, the Board of Commissioners and GUC employees to raise \$2,000 for ALS or he would get doused with ice cold water.

REVIEW OF MONTHLY FINANCIAL STATEMENT JULY 31, 2014 (PRELIMINARY) (Agenda Item 2)

Key financial metrics for the combined funds for the period ending July 31 (preliminary):

Average Investment Yield: 0.34%

	Current Month			Year to Date		
	Actual	Budget	Last Year	Actual	Budget	Last Year
Electric	\$524,919	\$735,704	\$324,968	\$524,919	\$735,704	\$324,968
Water	184,604	142,848	(28,065)	184,604	142,848	(28,065)
Sewer	172,200	120,477	151,191	172,200	120,477	151,191
Gas	(392,340)	(413,122)	(360,550)	(392,340)	(413,122)	(360,550)
Combined	\$489,383	\$585,907	\$87,544	\$489,383	\$585,907	\$87,544

Mr. Jeff McCauley provided a presentation on the Financial Statement for July 2014 (Preliminary).

The month of July was approximately 15% cooler than July 2013.

The rainfall was approximately 9 inches which is 8% more than July 2013.

In summary, overall year to date results through the end of July are positive and the days of cash on hand and fund balance remain stable.

A motion was made by Mr. Mitchell seconded by Mr. Little, to accept the Financial Statement for July 31, 2014 (Preliminary). The motion carried unanimously.

CONSIDERATION OF DESIGNATING FIRST TENNESSEE BANK AS AN OFFICIAL BANKING DEPOSITORY FOR GREENVILLE UTILITIES COMMISSION (Agenda Item 3)

Mr. McCauley announced that in accordance with Section 159-31(a) of the Local Government Budget and Fiscal Control Act, the governing board shall designate its official banking depositories. Bank of America, BB&T, Carter Bank and Trust, First Citizens Bank, PNC Bank, Southern Bank and Trust, Trust Atlantic Bank, Vantage South Bank, and Wells Fargo Bank currently serve as official banking depositories for GUC.

In order of priority, GUC's investment goals are safety, liquidity, and yield. Additional goals include diversification by limiting our risk with any one deposit relationship and the ability to easily and swiftly transfer funds when needed.

The State Treasurer monitors compliance with collateralization requirements for banking institutions, and First Tennessee Bank has been designated by the State Treasurer's Office as an institution that is using the Pooling Method of collateralizing for public funds.

First Tennessee Bank is headquartered out of Memphis, TN. For the first quarter ended 2014, First Tennessee Bank had \$16.7 billion in deposits and \$23.7 billion in total assets.

Mr. McCauley stated that GUC would like to consider designating First Tennessee Bank as an office banking depository.

A motion was made by Mr. Little, seconded by Mr. Mills to approve designating First Tennessee Bank to serve as an official banking depository for GUC. The motion carried unanimously.

CONSIDERATION OF NEW WATER PURCHASE AGREEMENT WITH THE TOWN OF WINTERVILLE (Agenda Item 4)

Mr. Randy Emory, Director of Water Resources, stated that staff has previously advised the Board that the Town of Winterville had requested a long term firm water supply agreement with GUC. This agreement would differ from GUC's other existing water supply agreements in that it would be for a firm water supply, as compared to the interruptible supply provisions in GUC's agreements with Farmville, Greene County, Bethel and Stokes Regional Water Corporation. GUC has been supplying water to Winterville, on an interruptible basis, since 2002.

GUC's willingness to enter into a long term firm water supply agreement with Winterville was predicated on the completion of a Tar River Water Supply Analysis to confirm ample water supply is available. As previously presented to the Board, the Tar River Water Supply Analysis was completed and indicated that GUC can safely withdraw in excess of 60 MGD from the Tar River. GUC's current average day withdrawal from the Tar River is 12.2 MGD.

The rates and charges were developed by GUC's Water and Wastewater Rate Consultant, Raftelis Financial Consultants and under the terms of the proposed agreement, GUC agrees to sell and Winterville agrees to purchase 375,000 gallons per day.

The agreement provides for Winterville to be charged an initial water rate of \$1.86 per thousand gallons for the first 375,000 gallons per day and to be charged the industrial volume rate contained in Water Rate Schedule W-2 for all volumes over 375,000 gallons per day. Adjustment of these rates would be made anytime the GUC Board of Commissioners approves changes in the existing water rates. In addition, Winterville will pay a monthly capital charge of \$6,000. The agreement is for an initial term of 20 years, renewable in five year increments upon mutual agreement between GUC and Winterville.

Staff recommends that the General Manager/CEO be authorized to execute the Water Purchase Agreement with the Town of Winterville.

There was brief discussion on the amount of water Winterville plans to purchase and if other neighboring towns have inquired about moving from an interruptible supply to a firm supply.

A motion was made by Mr. Mills, seconded by Ms. Lipscomb, to authorize the General Manager/CEO to execute the Water Purchase Agreement with the Town of Winterville. The motion carried unanimously.

RECOMMENDED AWARD OF CONTRACT FOR CONSTRUCTION SERVICES FOR THE LIQUEFIED NATURAL GAS (LNG) FACILITY PHASE IIB EXPANSION PROJECT (Agenda Item 5)

Mr. Anthony Miller, Director of Gas Systems, gave a brief history of the LNG Plant. GUC built the LNG plant in 1997 to avoid increase costs in order to keep rates competitive. He reminded the Board that the LNG Facility Phase IIB Expansion Project involves the installation of two (2)

55,000 gallon LNG storage tanks, a third impoundment system, and a second LNG pump skid at the existing LNG facility, which will increase the storage capacity of the plant by 50% for a total capacity of 300,000 gallons (24,650 Dts) of LNG. The board previously approved for this LNG Facility Phase IIB Expansion Project a capital projects budget of \$4,000,000 and authorized the General Manager/CEO to execute a Purchase Agreement with Chart, Inc. for \$1,478,700 and an Engineering Service Agreement with Northstar, Inc. for \$600,000.

In order to move ahead with the construction of the impoundment system, electrical system upgrades, piping installation and civil site work, staff advertised a Request for Bids for Construction Services. The two bids received were Edwards, Inc. in the amount of \$1,083,754.00 and C.A. Lewis, Inc. in the amount of \$1,085,400.00.

Edwards, Inc. provided the lowest responsive, responsible bid and staff recommends that the construction services contract be awarded to them. Edwards, Inc. provided similar services for the previous LNG facility expansion and staff is very familiar and pleased with their work. The bid of \$1,083,754.00 is within the \$1,100,000.00 estimated cost for construction services.

The construction phase of this project is projected to be completed by November 21, 2014. Upon completion of Phase IIB, the LNG Plant will have reached complete build-out as proposed in the initial concept design of the facility. The total project cost, including design, materials, construction, and installation is projected to be within the \$4,000,000 budget amount.

A motion was made by Dr. Hardy, seconded by Mr. Mills to authorize the General Manager/CEO to execute a Construction Services Contract with Edwards, Inc. in the amount of \$1,083,754.00. The motion carried unanimously.

CONSIDERATION OF THE PURCHASE OF REAL PROPERTY FOR UTILIZATION AT THE COMPRESSED NATURAL GAS (CNG) FUELING FACILITY SITE (Agenda Item 6)

Mr. Anthony Miller, Director of Gas Systems, announced that Greenville Utilities Commission has identified a property suitable for the construction of the Compressed Natural Gas Fueling Facility Project (GCP 91) that also meets the proximity criteria of the project's anchor load, Waste Industries, Inc.

The recommended property is located between Belvoir Highway and Easy Street off of Memorial Drive, and the owner has agreed to a purchase price of \$175,000. This purchase price is well within the budgeted amount of \$200,000.

A motion was made by Ms. Blount, seconded by Dr. Hardy to approve the purchase of real property and recommend similar action by City Council of the City of Greenville. The motion carried unanimously.

CONSIDERATION OF AMENDMENT TO GUC BYLAWS (Agenda Item 7)

Mr. Phil Dixon, Commission Attorney, informed the Board that this item was presented to the Board at the July meeting for information and to provide notice of intent to amend the GUC

Bylaws at this meeting. Article IX of the GUC Bylaws provides that the Bylaws may be amended from time to time. The procedure for amending the Bylaws is for notice to be provided at a regularly scheduled Board meeting, with the amendments being considered at the next regularly scheduled Board meeting. The amendments must be approved by the majority of the Board. Since 1996 the Board of Commissioners has amended the Bylaws nine times.

Mr. Dixon stated that in this day and age of substantial advances in technology, it is essential that public bodies use technology in order to ensure that the business of the public can be conducted in a timely manner with input from as many members of the Board of Commissioners as possible. The law recognizes that a public body may conduct “electronic” meetings, which has been the common custom and practice of the Commission.

Additionally, in order to educate new Commissioners, it is recommended that the orientation sessions delivered by the General Manager/CEO and key staff be required of each Commissioner. The last key amendments to the GUC Bylaws are to replace the office of Vice-Chair with Chair-Elect and to include the Past-Chair (when continuing to serve on the Board) as a member of the Executive Committee.

Mr. Dixon announced that as required by the Bylaws, notice to amend the Bylaws was provided at the July 17, 2014 Regular Board Meeting. These proposed amendments to GUC’s Bylaws were provided for review.

Ms. Lipscomb shared with the board her concerns of electronic participation. Mr. Dixon assured the group that prior to the open meetings law it was common practice to participate by telephone. It was discussed that there has not been abuse of this practice and the intent to have the collective wisdom of the group to participate in meetings and that electronic participation is allowable when needed.

A motion was made by Dr. Hardy and seconded by Mr. Mills to approve the proposed amendments to the GUC’s Bylaws. The motion carried unanimously.

UPDATE ON OTHER POST-EMPLOYMENT BENEFITS (OPEB) UNFUNDED LIABILITY (Agenda Item 8)

Mr. Jeff McCauley, Chief Financial Officer, provided a presentation on the status of Greenville Utilities’ Other Post-Employee Benefits (OPEB) Unfunded Liability. He provided some background and stated that OPEB includes medical and vision benefits paid by the Commission on behalf of retirees. It also includes life insurance for any retiree that was hired before 1975 (\$7,000 per retiree).

Mr. McCauley noted that OPEB does not include pension payments or death benefits through the North Carolina Government Employee Retirement System or any defined contribution plans, such as a 401(k).

After July 1, 2011 GUC established an OPEB Trust and increased prefunding contributions by \$50,000 per year to a maximum of \$500,000 per year. This year's contribution will be \$400,000. The structure was changed to a tiered structure based on years of service and minimum age. It also provides a stipend of \$250 per month to retirees 65 and older who are eligible for Medicare.

These changes were necessary due to Governmental Accounting Standards Boards (Statement 45) which recognized cost of OPEB when earned (over the course of an employee's career), rather than when paid (after the employee retires).

In summary, Mr. McCauley indicated that the new OPEB Benefit reporting requirements became effective for GUC June 30, 2008. The Board desired to have a sustainable benefit structure that brought the unfunded liability to \$-0- within a reasonable period of time. The new Benefit Structure approved by the Board for employees hired after July 1, 2011 did not impact existing employees and continues to provide sustainable OPEB benefits for employees hired after July 1, 2011. With the new OPEB Benefits Structure combined with scheduled funding the unfunded actuarial accrued liability is currently projected to be reduced to \$-0- by 2041.

NORTH CAROLINA'S EASTERN ALLIANCE PRESENTATION – JOHN CHAFFEE (Agenda Item 9)

Mr. Tony Cannon introduced John Chaffee of the North Carolina's Eastern Alliance, also known as NC East Alliance. Mr. Cannon thought it would be beneficial for the Board to learn about the new organization. Mr. Chaffee informed the Board that NC East Alliance represents regional economic development serving 11 counties in eastern North Carolina. It is a private not-for-profit formed in the early 2000s. Its strategic priorities are public relations, marketing and business attraction as well as workforce development, education and regional advocacy. Mr. Chaffee explained why regionalism works and how the regional and collaborative efforts are rewarded. Mr. Chaffee is the President and CEO of NC East Alliance and he shared that he would like Greenville Utilities to join as a member of the organization. Board Members will be elected from the group of members. Currently there are eleven members on the board with a maximum of twenty one members in the future as the organization grows. The minimum cost to join as a member is \$25,000.

Mr. Cannon reminded the Board that at a previous Board Retreat it was a directive at that time for GUC as a utility to be more involved in economic development.

GENERAL MANAGER'S REPORT (Agenda Item 10)

1. Informational Reading

Bids, Statistical Data Report, Sewer Spill Tracking Report, and Load Management Report were provided.

The following bids were awarded by the General Manager/CEO during the past month and were reported for information:

GREENVILLE UTILITIES COMMISSION
TABULATION OF PROPOSALS RECEIVED

SECURITY OFFICER SERVICES
JULY 3, 2014 at 4:00 PM

VENDOR PROPOSAL RATING
Universal Protection Service, LLC. *
DSI Security Services
Night Hawk Security and Consulting, LLC.
Encompass Southeast Security

*Indicates recommended award based on the vendor's submitted proposal and qualifications.

CUSTODIAL MAINTENANCE SERVICES
JULY 10, 2014 at 3:00 PM

VENDOR	WEEKLY \$ RATE
A & B Cleaning Service, Inc.	\$2,835.65*
Facilico	2,835.62
The Budd Group	3,109.59
Service Master Facilities Maintenance	3,942.00

*Indicates recommended award based on the lowest responsible, responsive bid, vendor references and qualifications.

Load Management Report

The Duke Energy Progress (DEP) monthly peak occurred on July 2, 2014, for the hour ending at 5:00 p.m. GUC's load management system was in full operation during this period. As a result, the estimated avoided demand costs amount to \$587,549.

2. Key Performance Indicators (KPIs)

The following KPIs highlighted for this month were provided in the dashboard format along with the corresponding scorecard:

- Typical Monthly Bill Comparison – Electric Summer
- Installation of New Services - Water
- Response Time to Cut Gas Lines/Leaks
- Connections Per Employee

3. Commendations

The following are compliment records from customers:

Juanita Bullock, Billing Specialist I, received a compliment by customer Charlotte Limerick. Ms. Limerick called Juanita's supervisor to inform GUC how very pleased she was with the equal pay renewal letter that she had received recently. She said the letter was more informative than in the past. She stated "Juanita has been so helpful and kind when I call in with questions on my account."

Rebecca Latham, Customer Contact Representative II, received a compliment from customer Deborah Stallings. Ms. Stalling called GUC's Interim Director of Customer Relations, Scott Mullis, to thank Rebecca for providing exceptional service and treating her very nicely.

Jim Rapin, Energy Services Officer, received a compliment from customers Jill and Charles Schwartz. They wrote a letter to Interim Director of Customer Relations, Scott Mullis. They are long time residences of 30 years and have had numerous individuals and companies provide services and advice to maintain and improve their residence. When they called GUC for an energy audit, Jim Rapin responded and assessed the efficiency of their residence in terms of heating, a/c and all the factors related to climate control. They stated that Mr. Rapin is a gentleman who represents the finest example of excellent service to the customer.

Dan Oglesby, Energy Services Officer, received a compliment from Lynn McCord. She emailed him to thank him for explaining different options that she could use to replace her air conditioner unit.

Dan Oglesby received another email from Jennifer Little of the Grapevine Show on Star 94.3. She wrote to thank him for previous support and information provided on the show as the listeners learned a lot from the segment.

The General Managers' Office received a letter from Scout Executive John Akerman. Mr. Akerman wrote to thank GUC for the support and leadership that Mr. Jeff McCauley has provided to the Scouts in his troop at the Occoneechee Council's Camp Durant. He appreciates the leadership and volunteering.

Keith Dixon, Customer Contact Representative I, received an email from Tony Cannon, General Manager and CEO. Mr. Cannon shared with Keith a situation where he was in Raleigh and had lunch with Mr. and Mrs. Carl Rogers. The Rogers had recently purchased property in Greenville and established service with GUC. Their perception of dealing with utility companies changed based on the outstanding customer service that Keith provided. They were very appreciative of his professionalism and excellent attention to their needs. Mr. Cannon thanked Keith for going the extra mile and placing GUC in a positive light.

Sandy Woolard, Customer Contract Representative I, received a thank you from customer Ann VanVooren. Ms. VanVooren emailed Sandy's supervisor to inform her of the great customer service Sandy provided. Sandy assisted her through a process to ensure her that there would be no interruption in her service.

Customer Caroline Craig sent a twitter message to thank GUC for excellent customer service.

Scott Mullis, Interim Customer Relations Director, received a Certificate of Special Recognition for attending the top rated workshop, Manage Bad Debt with Tools you Already Have, at CS Week in San Antonio, Texas.

The July/August 2014 ElectriCities Hometown Connection featured an article and photo with Tony Cannon. Mr. Cannon was in attendance at the Wilson City Council Meeting on April 17th where Wilson Energy was being honored by the American Public Power Association with its Golden Tree Award for the city's efforts to protect and plan forest areas. Mr. Cannon presented the Golden Tree Award to Wilson Energy's David Deschamps and Bob Arrington.

In the July/August 2014 ElectriCities Hometown Connection was the review of the 53rd NCAMES Lineman's Rodeo that was held this past May in Hickory, North Carolina. The article listed the top honors from the Journeyman and Apprentice Category. This list included GUC's Joey Dash, Brandon Butler and David Guy.

4. Other

Due to unexpected changes with Good Reader last night, our IT department will not be able to update the Commissioner iPads as planned. This will be rescheduled.

Mr. Miller, Director of Gas Systems, and Mr. Cannon were made aware of some changes being proposed by the Federal Reserve which would impact our ability to have prepaid natural gas. Currently about 10% of our gas is bought under a prepaid contract at a significant discount. Primarily banks and financial holding companies participate in this. Due to other industries, the Federal Reserve plans to prohibit these type of transactions which has a negative impact on Greenville Utilities. Mr. Cannon stated that he is going to Washington, DC next week to meet with Senator Hagan's staff, as she is on the banking committee of the senate, to make them aware that it will negatively impact Greenville Utilities and others. Chair Minges and Mr. Cannon have also written a letter to send to Senator Hagan.

Mr. Cannon discussed a future planning retreat for the GUC Board of Commissioners. He stated that these retreats are typically planned every two years. The topic is usually a governance workshop facilitated by APPA. The consensus of the Board of Commissioners was to begin planning for the retreat this fall and to include a half day governance workshop with American Public Power Association (APPA) and a half day would be used as a planning workshop.

BOARD CHAIR'S REMARKS/REPORT (Agenda Item 11)

Chair Minges reminded the group of the upcoming meetings.

- GUC Regular Meeting, Thursday, September 18, 2014, 12:00 noon, Board Room
- Joint GUC/COG Meeting, Monday, September 22, 2014, 6:00 p.m. Board Room

He announced the September 9 Workshop has been canceled.

Mr. Minges thanked Dr. Hardy for her service as Chair and informed her that her name plate is now on the wall plaque as past chair.

CLOSED SESSION:

Upon motion by Dr. Hardy, seconded by Mr. Mills, the Greenville Utilities Board of Commissioners unanimously agreed to enter Closed Session at 1:25 p.m. pursuant to N.C.G.S. Section 143-318.11(a)(3):

To consult with an attorney employed or retained by the public body in order to preserve the attorney-client privilege between the attorney and the public body, which privilege is hereby acknowledged.

Upon motion by Mr. Mills, seconded by Ms. Blount, the Board of Commissioners unanimously agreed to return to Open Session.

Chair Minges informed the full Board of the Committee appointments. John Minges, Chip Little, Don Mills and Virginia Hardy as Immediate past Chair will serve on the Executive Committee. Don Mills and Joel Butler will serve on the Pay and Benefits Committee. Rebecca Blount, Chip Little, Don Mills and Dennis Mitchell will serve on the Finance Committee. The Marketing and Public Relations Committee includes Rebecca Blount, Dennis Mitchell, Virginia Hardy and Joel Butler.

The Property Committee members include John Minges, Barbara Lipscomb, Chip Little and Phil Flowers (former Commissioner). A new Legal and Legislative Committee was created and includes Rebecca Blount, Virginia Hardy, Joel Butler and Barbara Lipscomb.

Mr. Cannon asked if we should add for consideration of joining the NC East Alliance on the September agenda. There was discussion to determine more about their funding for the organization. It was determined that the pros and cons of becoming a member could be discussed at the fall retreat and planning workshop.

Chair Minges then announced without objection, the Board of Commissioners would stand adjourned at 1:49 p.m.

Respectfully submitted,

Amy Carson Quinn, Executive Secretary

APPROVED:

Don Mills, Secretary



Agenda Item # 2

Meeting Date: August 18, 2014

Item: Review of Monthly Financial Statements for July 31, 2014 and August 31, 2014

Contact: Jeff McCauley

Explanation: July 31, 2014 Financial Statement:

The Financial Statement for July 2014 is attached.

Key financial metrics for the combined funds for the period ending July 2014:

Operating Cash	\$78,421,443	Days of Cash on Hand	123
Less Current Liabilities	<u>(\$23,402,331)</u>		
Fund Balance	\$55,019,112	Days of Cash on Hand After Liabilities	86

Fund Balance Available for Appropriation: 20.0%

Average Investment Yield: 0.34%

	Current Month			Year to Date		
	Actual	Budget	Last Year	Actual	Budget	Last Year
Electric	\$498,835	\$735,704	\$324,968	\$498,835	\$735,704	\$324,968
Water	175,398	117,519	(28,065)	175,398	117,519	(28,065)
Sewer	159,451	89,575	151,191	159,451	89,575	151,191
Gas	(372,791)	(413,122)	(360,550)	(372,791)	(413,122)	(360,550)
Combined	\$460,893	\$529,676	\$87,544	\$460,893	\$529,676	\$87,544

August 31, 2014 Financial Statement:

The Financial Statement for August 2014 is attached.

Key financial metrics for the combined funds for the period ending August 31:

Operating Cash	\$ 75,698,808	Days of Cash on Hand	118
Less Current Liabilities	<u>(\$22,886,241)</u>		
Fund Balance	\$52,812,567	Days of Cash on Hand After Liabilities	82

Fund Balance Available for Appropriation: 19.2%

Average Investment Yield: 0.36%

	Current Month			Year to Date		
	Actual	Budget	Last Year	Actual	Budget	Last Year
Electric	\$670,334	\$441,245	(\$254,038)	\$1,169,169	\$1,176,949	\$70,930
Water	(96,878)	95,844	(104,438)	78,520	238,692	(132,503)
Sewer	73,381	75,093	(18,911)	232,832	195,570	132,280
Gas	(123,280)	(405,635)	(416,858)	(496,071)	(818,757)	(777,408)
Combined	\$523,557	\$206,547	(\$794,245)	\$984,450	\$792,454	(\$706,701)

**Previous Board
Actions:**

N/A

Fiscal Note:

**Recommended
Action(s):**

Accept July 31, 2014 and August 31, 2014 Financial Statements.

GREENVILLE UTILITIES COMMISSION

Financial Report

July 31, 2014



Greenville
Utilities

GREENVILLE UTILITIES COMMISSION
July 31, 2014

I. Key Financial Highlights

<u>A. Days Cash On Hand</u>	<u>July 2014</u>	<u>July 2013</u>	<u>July 2012</u>		<u>July 2012</u>	<u>Combined Funds</u>
Electric Fund	86	79	75			
Water Fund	153	154	190			
Sewer Fund	283	336	361			
Gas Fund	<u>395</u>	<u>423</u>	<u>461</u>			
Combined Funds	123	117	115			
<u>B. Fund Balance Available for Appropriation</u>	<u>Electric</u>	<u>Water</u>	<u>Sewer</u>	<u>Gas</u>	<u>Combined Funds</u>	
Operating cash	\$45,428,008	\$4,470,499	\$7,485,793	\$21,037,143	\$78,421,443	
Current liabilities	(\$19,298,405)	(\$1,458,194)	(\$869,505)	(\$1,776,227)	(\$23,402,331)	
Fund balance available for appropriation	\$26,129,603	\$3,012,305	\$6,616,288	\$19,260,916	\$55,019,112	
Percentage of total budgeted expenditures	13.2%	17.6%	34.6%	46.1%	20.0%	
Days unappropriated fund balance on hand	49	103	250	362	86	

<u>C. Portfolio Management</u>	<u>Fiscal Year 2015</u>	<u>Fiscal Year 2014</u>	<u>Fiscal Year 2013</u>
Interest Earnings	\$24,050	\$15,243	\$24,926
Yield	0.34%	0.21%	0.33%
July			

II. Fund Performance

- | <u>Electric</u> | <u>July 2014</u> | <u>July 2013</u> | <u>July 2012</u> |
|--|------------------|------------------|------------------|
| Number of Accounts | 64,868 | 64,480 | 63,874 |
| • Volumes billed to customers are 8,547,188 kWh more than last year but 22,964,229 kWh less than budget. | | | |
| • Revenues from retail rates and charges are \$923,194 less than last year and \$1,333,163 less than budget. | | | |
| • Total revenues are \$873,916 less than last year and \$1,248,220 less than budget. | | | |
| • Total expenditures are \$1,047,783 less than last year and \$1,011,351 less than budget. | | | |
| • Revenues exceed expenditures by \$498,835 compared to excess revenues of \$324,968 for last July. | | | |

- | <u>Water</u> | <u>July 2014</u> | <u>July 2013</u> | <u>July 2012</u> |
|--|------------------|------------------|------------------|
| Number of Accounts | 35,137 | 34,860 | 34,635 |
| • Volumes billed to customers are 25,753 kgalions more than last year but 3,428 kgalions less than budget. | | | |
| • Revenues from retail rates and charges are \$174,414 more than last year but \$38,716 less than budget. | | | |
| • Total revenues are \$189,471 more than last year but \$16,473 less than budget. | | | |
| • Total expenditures are \$13,992 less than last year and \$74,352 less than budget. | | | |
| • Revenues exceed expenditures by \$175,398 compared to deficit revenues of \$28,065 for last July. | | | |

GREENVILLE UTILITIES COMMISSION

July 31, 2014

<u>Sewer</u>	<u>July 2014</u>	<u>July 2013</u>	<u>July 2012</u>
Number of Accounts	28,799	28,555	28,272
• Revenues from retail rates and charges are \$164,047 more than last year but \$89,939 less than budget.			
• Total revenues are \$167,002 more than last year but \$82,143 less than budget.			
• Total expenditures are \$158,742 more than last year but \$152,019 less than budget.			
• Revenues exceed expenditures by \$159,451 compared to excess revenues of \$151,191 for last year.			

<u>Gas</u>	<u>July 2014</u>	<u>July 2013</u>	<u>July 2012</u>
Number of Accounts	22,458	22,359	22,222
• Total volumes billed to customers are 30,016 ccfs less than last year and 198,518 ccfs less than budget.			
• Revenues from retail rates and charges are \$97,742 more than last year but \$115,233 less than budget.			
• Total revenues are \$99,768 more than last year but \$120,706 less than budget.			
• Total expenditures are \$112,009 more than last year but \$161,037 less than budget.			
• Expenditures exceed revenues by \$372,791 compared to deficit revenues of \$360,550 for last year.			

	<u>July 2014</u>	<u>July 2013</u>	<u>July 2012</u>	<u>YTD %</u>
<u>Volumes Billed</u>	<u>July 2014</u>	<u>July 2013</u>	<u>July 2012</u>	<u>Change</u>
Electric (kwh)	144,531,180	135,983,992	147,400,376	-1.9%
Water (kgal)	301,737	275,984	335,066	-9.9%
Sewer (kgal)	217,415	207,559	228,438	-4.8%
Gas (ccf)	447,574	433,090	421,269	6.2%
Firm	<u>682,982</u>	<u>727,482</u>	<u>848,137</u>	<u>-6.1%</u>
Interruptible	1,130,556	1,160,572	1,269,406	-10.9%
Total	1,130,556	1,160,572	1,269,406	-10.9%

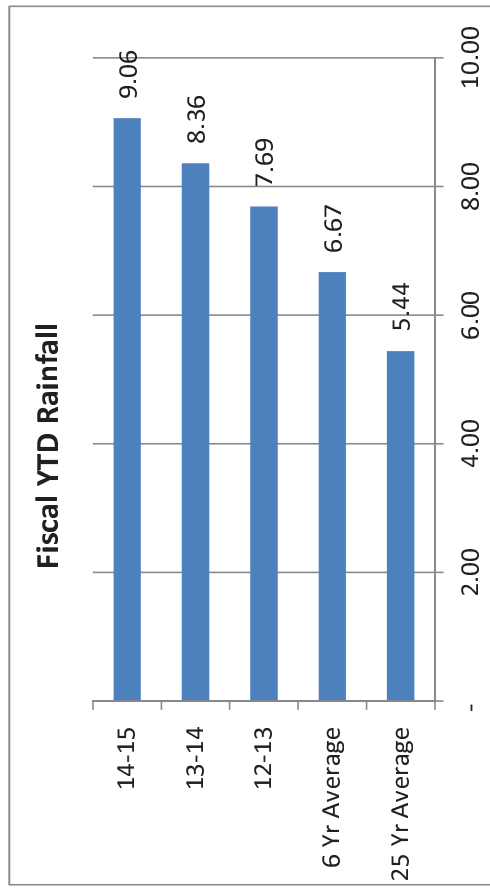
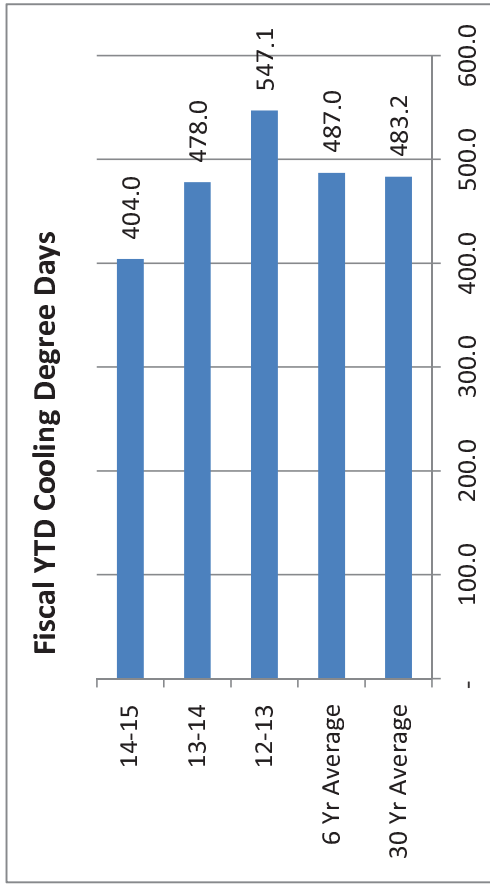
<u>IV. Cooling Degree Day Information</u>	<u>Fiscal Year 2015</u>	<u>Fiscal Year 2014</u>	<u>% Change</u>
July	404.0	478.0	-15.5%
		<u>6 Year Average</u>	<u>30 Year Average</u>
		487.0	483.2

Commissioners Executive Summary

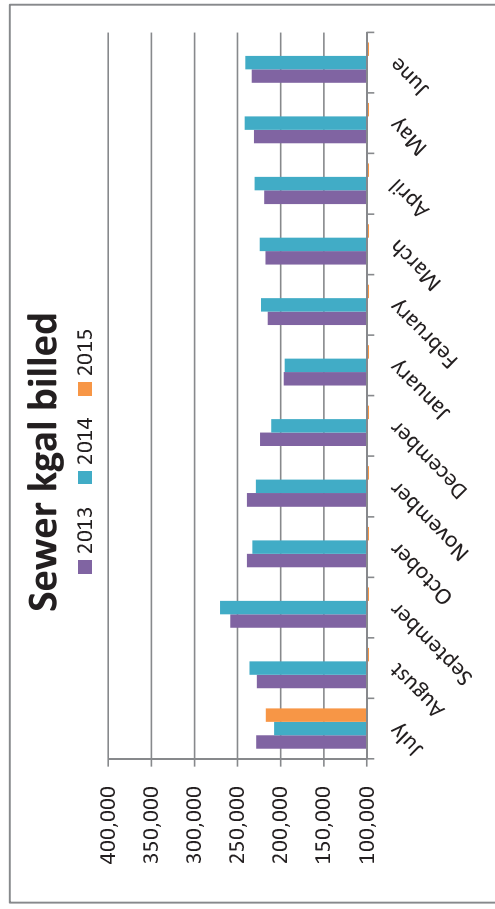
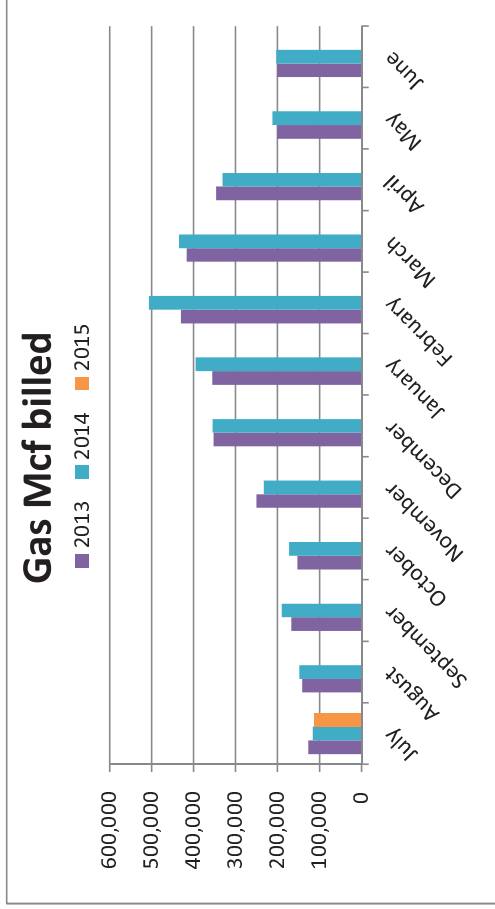
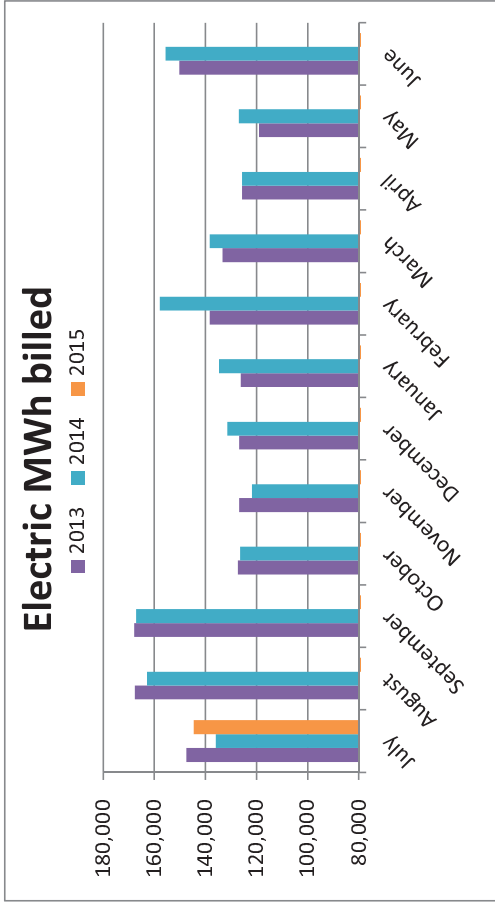
July 31, 2014

	Current Month			Year To Date		
	Actual	Budget	Last Year	Actual	Budget	Last Year
Electric						
Revenues	18,159,153	19,407,373	19,033,069	18,159,153	19,407,373	19,033,069
Expenses	17,660,318	18,671,669	18,708,101	17,660,318	18,671,669	18,708,101
Net Revenues	498,835	735,704	324,968	498,835	735,704	324,968
Water						
Revenues	1,438,949	1,455,422	1,249,478	1,438,949	1,455,422	1,249,478
Expenses	1,263,551	1,337,903	1,277,543	1,263,551	1,337,903	1,277,543
Net Revenues	175,398	117,519	(28,065)	175,398	117,519	(28,065)
Sewer						
Revenues	1,539,435	1,621,578	1,372,433	1,539,435	1,621,578	1,372,433
Expenses	1,379,984	1,532,003	1,221,242	1,379,984	1,532,003	1,221,242
Net Revenues	159,451	89,575	151,191	159,451	89,575	151,191
Gas						
Revenues	1,558,452	1,679,158	1,458,684	1,558,452	1,679,158	1,458,684
Expenses	1,931,243	2,092,280	1,819,234	1,931,243	2,092,280	1,819,234
Net Revenues	(372,791)	(413,122)	(360,550)	(372,791)	(413,122)	(360,550)
Total Revenues	22,695,989	24,163,531	23,113,664	22,695,989	24,163,531	23,113,664
Total Expenses	22,235,096	23,633,855	23,026,120	22,235,096	23,633,855	23,026,120
Net Operating Revenues	460,893	529,676	87,544	460,893	529,676	87,544

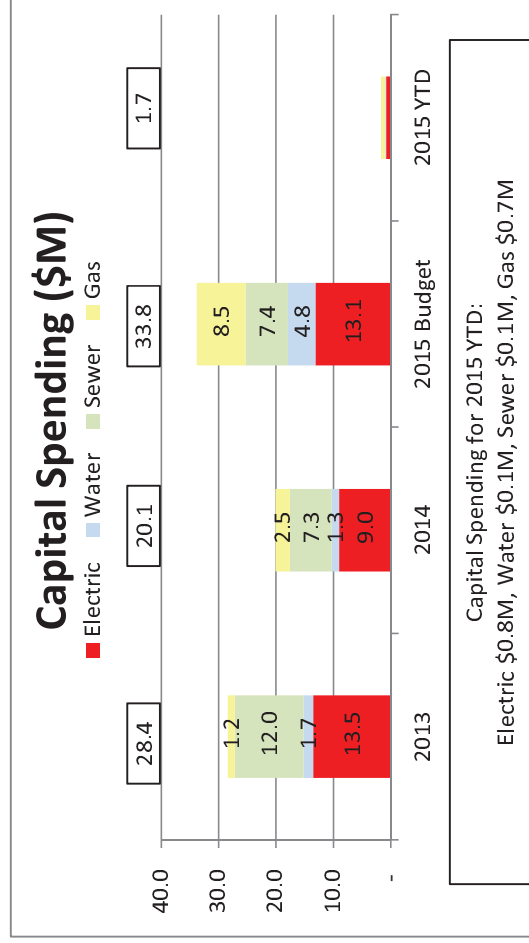
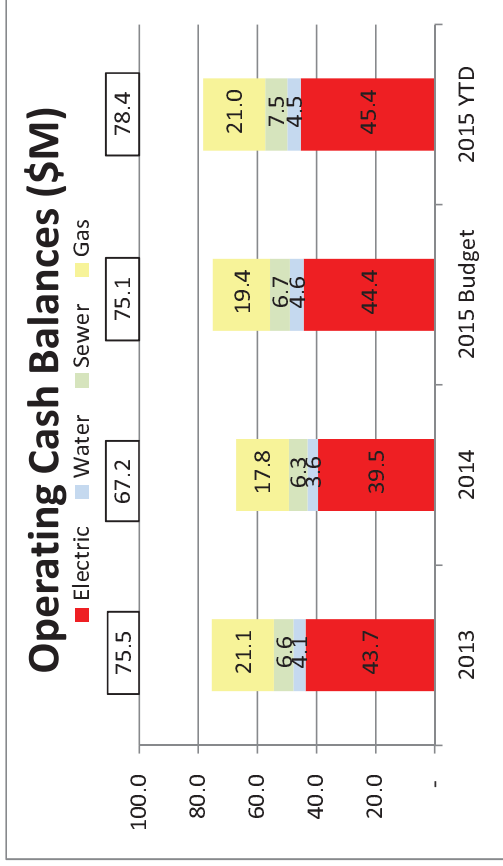
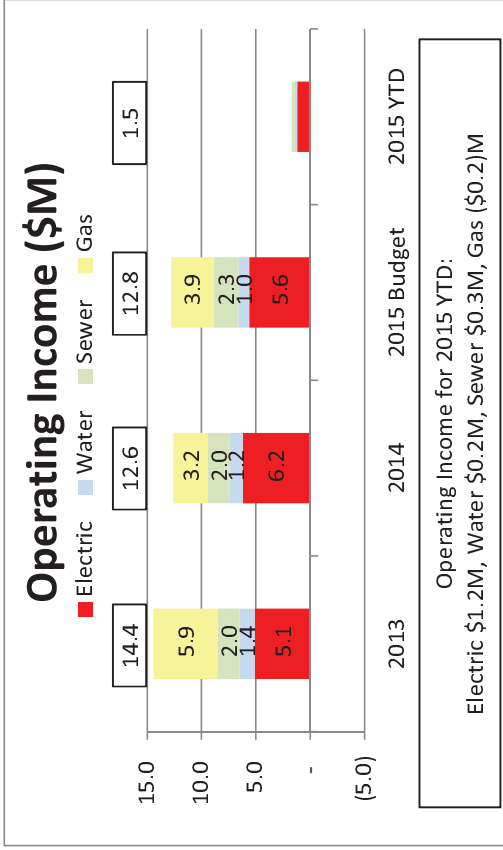
Weather



Customer Demand



Financial Trends



Greenville Utilities Commission
Revenue and Expenses - Combined
July 31, 2014

Line #	CURRENT FISCAL YEAR						PRIOR FISCAL YEAR				
	Current Month		Current Month		Variance Favorable (Unfavorable)	YTD Budget	Total Original Budget	% of Original Budget	Current Month		Change Prior YTD to Current YTD
	Actual	Budget	Actual	Budget					Actual	YTD Actual	
REVENUE:											
1	\$22,340,543	\$23,890,414	(\$1,549,871)	\$23,890,414	(\$1,549,871)	\$272,437,218	8.2%	\$22,803,684	\$22,803,684	(\$463,141)	
2	175,701	143,501	32,200	143,501	32,200	1,722,000	10.2%	182,460	182,460	(6,759)	
3	14,155	8,084	6,071	8,084	6,071	97,000	14.6%	10,220	10,220	3,935	
4	142,258	104,949	37,309	104,949	37,309	1,259,334	11.3%	101,600	101,600	40,658	
5	23,332	16,583	6,749	16,583	6,749	199,000	11.7%	15,700	15,700	7,632	
6	\$22,695,989	\$24,163,531	(\$1,467,542)	\$24,163,531	(\$1,467,542)	\$275,714,552	8.2%	\$23,113,664	\$23,113,664	(\$417,675)	
EXPENDITURES:											
7	\$4,107,231	\$4,354,948	\$247,717	\$4,354,948	\$247,717	\$54,780,069	7.5%	\$3,933,656	\$3,933,656	\$173,575	
8	15,635,856	16,767,026	1,131,170	16,767,026	1,131,170	187,353,562	8.3%	16,709,065	16,709,065	(1,073,209)	
9	689,892	565,337	(124,555)	565,337	(124,555)	6,929,153	10.0%	586,977	586,977	102,915	
10	1,262,280	1,406,112	143,832	1,406,112	143,832	16,873,335	7.5%	1,262,288	1,262,288	(8)	
11	479,523	479,523	-	479,523	-	5,754,275	8.3%	474,134	474,134	5,389	
12	60,314	60,909	595	60,909	595	730,908	8.3%	60,000	60,000	314	
13	-	-	-	-	-	400,000	0.0%	-	-	-	
14	\$22,235,096	\$23,633,855	\$1,398,759	\$23,633,855	\$1,398,759	\$272,821,302	8.2%	\$23,026,120	\$23,026,120	(\$791,024)	
15	\$460,893	\$529,676	(\$68,783)	\$529,676	(\$68,783)	\$2,893,250		\$87,544	\$87,544	\$373,349	
Combined Equity/Deficit											\$373,349

Greenville Utilities Commission
Revenue and Expenses - Electric Fund
July 31, 2014

Line #	CURRENT FISCAL YEAR				PRIOR FISCAL YEAR							
	Current Month Actual	Current Month Budget	Variance Favorable (Unfavorable)	YTD Actual	YTD Budget	Variance Favorable (Unfavorable)	Total Original Budget	% of Original Budget	Current Month Actual	YTD Actual	Change Prior YTD to Current YTD	
CUSTOMER DEMAND:												
1	64,868								64,480			
2	167,649,030	172,376,296	4,727,266	167,649,030	172,376,296	4,727,266	1,701,641,619	9.9%	173,857,391	173,857,391	(6,208,361)	
3	144,531,180	167,495,409	(22,964,229)	144,531,180	167,495,409	(22,964,229)	1,653,459,119	8.7%	135,983,992	135,983,992	8,547,188	
REVENUE:												
4	\$17,909,894	\$19,243,057	(\$1,333,163)	\$17,909,894	\$19,243,057	(\$1,333,163)	\$195,673,311	9.2%	\$18,833,088	\$18,833,088	(\$923,194)	
5	118,790	80,834	37,956	118,790	80,834	37,956	970,000	12.2%	114,102	114,102	4,688	
6	13,855	7,917	5,938	13,855	7,917	5,938	95,000	14.6%	9,720	9,720	4,135	
7	104,263	67,232	37,031	104,263	67,232	37,031	806,781	12.9%	68,615	68,615	35,648	
8	12,351	8,333	4,018	12,351	8,333	4,018	100,000	12.4%	7,544	7,544	4,807	
9	\$18,159,153	\$19,407,373	(\$1,248,220)	\$18,159,153	\$19,407,373	(\$1,248,220)	\$197,645,092	9.2%	\$19,033,069	\$19,033,069	(\$873,916)	
EXPENDITURES:												
10	\$1,846,491	\$1,827,841	(\$18,650)	\$1,846,491	\$1,827,841	(\$18,650)	\$22,981,989	8.0%	\$1,786,520	\$1,786,520	\$59,971	
11	14,518,442	15,712,855	1,194,413	14,518,442	15,712,855	1,194,413	159,980,862	9.1%	15,716,997	15,716,997	(1,198,555)	
12	580,563	344,861	(235,702)	580,563	344,861	(235,702)	4,224,436	13.7%	497,709	497,709	82,854	
13	284,071	354,766	70,695	284,071	354,766	70,695	4,257,201	6.7%	283,985	283,985	86	
14	370,437	370,437	-	370,437	370,437	-	4,445,241	8.3%	362,890	362,890	7,547	
15	60,314	60,909	595	60,314	60,909	595	730,908	8.3%	60,000	60,000	314	
16	-	-	-	-	-	-	220,000	0.0%	-	-	-	
17	\$17,660,318	\$18,671,669	\$1,011,351	\$17,660,318	\$18,671,669	\$1,011,351	\$196,840,637	9.0%	\$18,708,101	\$18,708,101	(\$1,047,783)	
18	\$498,835	\$735,704	(\$236,869)	\$498,835	\$735,704	(\$236,869)	\$804,455		\$324,968	\$324,968	\$173,867	

Note 1: kWh billed does not include volumes delivered in the current month and billed in the next month.

Greenville Utilities Commission
Revenue and Expenses - Water Fund
July 31, 2014

Line #	CURRENT FISCAL YEAR				PRIOR FISCAL YEAR							
	Current Month Actual	Current Month Budget	Variance Favorable (Unfavorable)	YTD Actual	YTD Budget	Variance Favorable (Unfavorable)	Total Original Budget	% of Original Budget	Current Month Actual	YTD Actual	Change Prior YTD to Current YTD	
CUSTOMER DEMAND:												
1	35,137								34,860			
2	394,062	408,349	14,287	394,062	408,349	14,287	-	n/a	352,770	352,770	41,292	
3	282,229	276,795	5,434	282,229	276,795	5,434	3,237,371	8.7%	262,420	262,420	19,809	
4	19,508	28,370	(8,862)	19,508	28,370	(8,862)	580,858	3.4%	13,564	13,564	5,944	
5	301,737	305,165	(3,428)	301,737	305,165	(3,428)	3,818,229	7.9%	275,984	275,984	25,753	
REVENUE:												
6	\$1,351,530	\$1,390,246	(\$38,716)	\$1,351,530	\$1,390,246	(\$38,716)	\$15,843,276	8.5%	\$1,177,116	\$1,177,116	\$174,414	
7	37,716	22,001	15,715	37,716	22,001	15,715	770,243	4.9%	24,727	24,727	12,989	
8	29,796	25,500	4,296	29,796	25,500	4,296	306,000	9.7%	30,284	30,284	(488)	
9	300	167	133	300	167	133	2,000	15.0%	500	500	(200)	
10	16,140	14,675	1,465	16,140	14,675	1,465	176,083	9.2%	14,017	14,017	2,123	
11	3,467	2,833	634	3,467	2,833	634	34,000	10.2%	2,834	2,834	633	
12	\$1,438,949	\$1,455,422	(\$16,473)	\$1,438,949	\$1,455,422	(\$16,473)	\$17,131,602	8.4%	\$1,249,478	\$1,249,478	\$189,471	
EXPENDITURES:												
13	\$906,662	\$945,837	\$39,175	\$906,662	\$945,837	\$39,175	\$11,880,073	7.6%	\$921,289	\$921,289	(\$14,627)	
14	25,217	42,065	16,848	25,217	42,065	16,848	514,369	4.9%	18,055	18,055	7,162	
15	331,672	350,001	18,329	331,672	350,001	18,329	4,200,009	7.9%	338,199	338,199	(6,527)	
16	-	-	-	-	-	-	60,000	0.0%	-	-	-	
17	\$1,263,551	\$1,337,903	\$74,352	\$1,263,551	\$1,337,903	\$74,352	\$16,654,451	7.6%	\$1,277,543	\$1,277,543	(\$13,992)	
18	\$175,398	\$117,519	\$57,879	\$175,398	\$117,519	\$57,879	\$477,151		(\$28,065)	(\$28,065)	\$203,463	

Note 1: Kgallons Billed - Wholesale and Charges - Wholesale represents sales to the Town of Bethel, the Town of Farmville, Greene County, the Town of Winterville and Stokes Regional Water Corporation.

Greenville Utilities Commission
Revenue and Expenses - Sewer Fund
July 31, 2014

Line #	CURRENT FISCAL YEAR				PRIOR FISCAL YEAR							
	Current Month Actual	Current Month Budget	Variance Favorable (Unfavorable)	YTD Actual	YTD Budget	Variance Favorable (Unfavorable)	Total Original Budget	% of Original Budget	Current Month Actual	YTD Actual	Change Prior YTD to Current YTD	
CUSTOMER DEMAND:												
1	28,799								28,555			
2	317,700	266,013	(51,687)	317,700	266,013	(51,687)	3,423,436	9.3%	348,830	348,830	(31,130)	
3	210,033	225,157	(15,124)	210,033	225,157	(15,124)	2,633,412	8.0%	200,689	200,689	9,344	
4	7,382	5,334	2,048	7,382	5,334	2,048	87,318	8.5%	6,870	6,870	512	
5	217,415	230,491	(13,076)	217,415	230,491	(13,076)	2,720,730	8.0%	207,559	207,559	9,856	
REVENUE:												
6	\$1,464,241	\$1,554,180	(\$89,939)	\$1,464,241	\$1,554,180	(\$89,939)	\$18,177,545	8.1%	\$1,300,194	\$1,300,194	\$164,047	
7	41,337	29,872	11,465	41,337	29,872	11,465	488,981	8.5%	30,476	30,476	10,861	
8	19,227	25,834	(6,607)	19,227	25,834	(6,607)	310,000	6.2%	30,931	30,931	(11,704)	
9	12,462	10,442	2,020	12,462	10,442	2,020	125,281	9.9%	9,657	9,657	2,805	
10	2,168	1,250	918	2,168	1,250	918	15,000	14.5%	1,175	1,175	993	
11	\$1,539,435	\$1,621,578	(\$82,143)	\$1,539,435	\$1,621,578	(\$82,143)	\$19,116,807	8.1%	\$1,372,433	\$1,372,433	\$167,002	
EXPENDITURES:												
12	\$820,304	\$922,179	\$101,875	\$820,304	\$922,179	\$101,875	\$11,571,878	7.1%	\$678,423	\$678,423	\$141,881	
13	29,062	56,069	27,007	29,062	56,069	27,007	678,169	4.3%	18,520	18,520	10,542	
14	530,618	553,755	23,137	530,618	553,755	23,137	6,645,055	8.0%	524,299	524,299	6,319	
15	-	-	-	-	-	-	60,000	0.0%	-	-	-	
16	\$1,379,984	\$1,532,003	\$152,019	\$1,379,984	\$1,532,003	\$152,019	\$18,955,102	7.3%	\$1,221,242	\$1,221,242	\$158,742	
17	\$159,451	\$89,575	\$69,876	\$159,451	\$89,575	\$69,876	\$161,705		\$151,191	\$151,191	\$8,260	
Sewer Fund Equity/Deficit												

Note 1: Kgalions Billed - Wholesale and Rates and Charges - Wholesale represents sales to the Town of Bethel and the Town of Grimesland.

Greenville Utilities Commission
Revenue and Expenses - Gas Fund
July 31, 2014

Line #	CURRENT FISCAL YEAR						PRIOR FISCAL YEAR						
	Current Month		Current Month Budget		Variance Favorable (Unfavorable)	YTD Budget	YTD Actual	Variance Favorable (Unfavorable)	Total Original Budget	% of Original Budget	Current Month Actual	YTD Actual	Change Prior YTD to Current YTD
	Actual	Budget	Actual	Budget									
CUSTOMER DEMAND:													
1	22,458										22,359		
2	1,588,774	1,417,354	1,417,354	(171,420)	1,417,354	1,417,354	(171,420)	35,611,905	4.5%	1,558,890	1,558,890	29,884	
3	1,529,901	1,375,967	1,375,967	(153,934)	1,375,967	1,375,967	(153,934)	34,572,037	4.4%	1,444,780	1,444,780	85,121	
4	447,574	401,083	401,083	46,491	447,574	401,083	46,491	17,224,500	2.6%	433,090	433,090	14,484	
5	682,982	927,991	927,991	(245,009)	682,982	927,991	(245,009)	15,919,500	4.3%	727,482	727,482	(44,500)	
6	1,130,556	1,329,074	1,329,074	(198,518)	1,130,556	1,329,074	(198,518)	33,144,000	3.4%	1,160,572	1,160,572	(30,016)	
REVENUE:													
7	\$1,535,825	\$1,651,058	\$1,651,058	(\$115,233)	\$1,535,825	\$1,651,058	(\$115,233)	\$41,483,862	3.7%	\$1,438,083	\$1,438,083	\$97,742	
8	7,888	11,333	11,333	(3,445)	7,888	11,333	(3,445)	136,000	5.8%	7,143	7,143	745	
9	9,393	12,600	12,600	(3,207)	9,393	12,600	(3,207)	151,189	6.2%	9,311	9,311	82	
10	5,346	4,167	4,167	1,179	5,346	4,167	1,179	50,000	10.7%	4,147	4,147	1,199	
11	\$1,558,452	\$1,679,158	\$1,679,158	(\$120,706)	\$1,558,452	\$1,679,158	(\$120,706)	\$41,821,051	3.7%	\$1,458,684	\$1,458,684	\$99,768	
EXPENDITURES:													
12	\$533,774	\$659,091	\$659,091	\$125,317	\$533,774	\$659,091	\$125,317	\$8,346,129	6.4%	\$547,424	\$547,424	(\$13,650)	
13	1,117,414	1,054,171	1,054,171	(63,243)	1,117,414	1,054,171	(63,243)	27,372,700	4.1%	992,068	992,068	125,346	
14	55,050	122,342	122,342	67,292	55,050	122,342	67,292	1,512,179	3.6%	52,693	52,693	2,357	
15	115,919	147,590	147,590	31,671	115,919	147,590	31,671	1,771,070	6.5%	115,805	115,805	114	
16	109,086	109,086	109,086	-	109,086	109,086	-	1,309,034	8.3%	111,244	111,244	(2,158)	
17	-	-	-	-	-	-	-	60,000	0.0%	-	-	-	
18	\$1,931,243	\$2,092,280	\$2,092,280	\$161,037	\$1,931,243	\$2,092,280	\$161,037	\$40,371,112	4.8%	\$1,819,234	\$1,819,234	\$112,009	
19	(\$372,791)	(\$413,122)	(\$413,122)	\$40,331	(\$372,791)	(\$413,122)	\$40,331	\$1,449,939		(\$360,550)	(\$360,550)	(\$12,241)	
Gas Fund Equity/Deficit													

GREENVILLE UTILITIES COMMISSION
STATEMENT OF REVENUES, EXPENSES, AND CHANGES IN FUND NET ASSETS
July 31, 2014

Line Nos.		Major Funds				Total
		Electric Fund	Water Fund	Sewer Fund	Gas Fund	
1	OPERATING REVENUES:					
	Charges for services	\$ 18,042,538	\$ 1,419,341	\$ 1,524,806	\$ 1,543,713	\$ 22,530,398
2	Other operating revenues	62,846	7,423	10,616	5,791	86,676
3	Total operating revenues	18,105,384	1,426,764	1,535,422	1,549,504	22,617,074
4	OPERATING EXPENSES:					
	Administration and general	734,904	222,598	203,803	228,616	1,389,921
5	Operations and maintenance	1,111,586	684,063	616,501	305,159	2,717,309
6	Purchased power and gas	14,518,442	-	-	1,117,414	15,635,856
7	Depreciation	583,206	309,401	389,080	128,700	1,410,387
8	Total operating expenses	16,948,138	1,216,062	1,209,384	1,779,889	21,153,473
9	Operating income (Loss)	1,157,246	210,702	326,038	(230,385)	1,463,601
10	NONOPERATING REVENUES (EXPENSES):					
	Interest income	10,898	3,783	1,879	7,490	24,050
11	Debt interest expense and service charges	(55,279)	(89,146)	(143,425)	(18,060)	(305,910)
12	Other nonoperating revenues	41,421	19,985	12,363	3,602	77,371
	Other nonoperating expenses	-	-	-	-	-
13	Net nonoperating revenues	(2,960)	(65,378)	(129,183)	(6,968)	(204,489)
14	Income before contributions and transfers	1,154,286	145,324	196,855	(237,353)	1,259,112
15	CONTRIBUTIONS AND TRANSFERS:					
	Capital Contributions	-	-	-	-	-
	Transfer to City of Greenville, General Fund	(370,437)	-	-	(109,086)	(479,523)
16	Transfer to City of Greenville, street light reimbursement	(60,314)	-	-	-	(60,314)
17	Total operating transfers	(430,751)	-	-	(109,086)	(539,837)
18	CHANGES IN NET ASSETS	723,535	145,324	196,855	(346,439)	719,275
19	NET ASSETS, BEGINNING OF MONTH	116,433,748	67,518,829	98,156,650	49,186,361	331,295,588
20	NET ASSETS, END OF MONTH	\$ 117,157,283	\$ 67,664,153	\$ 98,353,505	\$ 48,839,922	\$ 332,014,863

GREENVILLE UTILITIES COMMISSION
STATEMENT OF CASH FLOWS
FISCAL YEAR TO DATE
July 31, 2014

Line #	Electric	Water	Sewer	Gas	Total
SOURCES					
1	\$ 1,157,246	\$ 210,702	\$ 326,038	\$ (230,385)	\$ 1,463,601
2	583,206	309,401	389,080	128,700	1,410,387
3	66,275	(217,961)	(220,122)	(45,963)	(417,771)
4	12,350	3,467	2,169	5,347	23,333
5	1,819,077	305,609	497,165	(142,301)	2,479,550
USES					
6	(370,437)	-	-	(109,086)	(479,523)
7	(60,314)	-	-	-	(60,314)
8	-	-	(3,666)	-	(3,666)
9	(580,563)	(25,217)	(29,062)	(55,050)	(689,892)
10	(1,011,314)	(25,217)	(32,728)	(164,136)	(1,233,395)
11	807,763	280,392	464,437	(306,437)	1,246,155
CAPITAL PROJECTS					
12	-	11,268	10,517	-	21,785
13	(1,452)	316	(290)	2,143	717
14	(1,268)	(17)	(16)	(1,610)	(2,911)
15	(204,071)	(45,209)	(77,430)	(182,401)	(509,111)
16	(206,791)	(33,642)	(67,219)	(181,868)	(489,520)
17	600,972	246,750	397,218	(488,305)	756,635
18	\$ 40,390,649	\$ 6,847,842	\$ 7,022,917	\$ 27,791,150	\$ 82,052,558
CASH AND INVESTMENT & REVENUE BOND PROCEEDS					
June 30, 2014					
19	\$ 40,991,621	\$ 7,094,592	\$ 7,420,135	\$ 27,302,845	\$ 82,809,193
CASH AND INVESTMENT & REVENUE BOND PROCEEDS					
July 31, 2014					
20	40,103,603	5,134,700	6,239,906	26,775,644	78,253,853
21	888,018	1,959,892	1,180,229	527,201	4,555,340
22	40,991,621	7,094,592	7,420,135	27,302,845	82,809,193
Revenue Bond Proceeds subtotal					
23	45,428,008	4,470,499	7,485,793	21,037,143	78,421,443
24	(5,324,405)	664,201	(1,245,887)	5,738,501	(167,590)
25	40,103,603	5,134,700	6,239,906	26,775,644	78,253,853
Operating Fund Capital Project Fund					

GREENVILLE UTILITIES COMMISSION
STATEMENT OF NET ASSETS
July 31, 2014

Line #	Electric Fund	Water Fund	Sewer Fund	Gas Fund	Total
ASSETS					
CURRENT ASSETS:					
Cash and Investments - Operating Fund	\$ 45,428,008	\$ 4,470,499	\$ 7,485,793	\$ 21,037,143	\$ 78,421,443
Cash and Investments - Capital Projects Fund ¹	(5,324,405)	(326,158)	(2,407,784)	5,738,501	(2,319,846)
Accounts receivable, net	22,479,014	1,770,408	1,902,015	1,597,493	27,748,930
Due from other governments	568,299	153,974	329,654	117,184	1,169,111
Due from City of Greenville	118,342	-	-	-	118,342
Inventories	4,593,607	637,595	197,502	635,533	6,064,237
Prepaid expenses and deposits	760,483	189,684	184,671	163,152	1,297,990
Total current assets	68,623,348	6,896,002	7,691,851	29,289,006	112,500,207
NON CURRENT ASSETS:					
Restricted cash and cash equivalents:					
Bond funds	888,018	1,959,892	1,180,229	527,201	4,555,340
Capacity fees	-	990,359	1,161,897	-	2,152,256
Total restricted cash and cash equivalents	888,018	2,950,251	2,342,126	527,201	6,707,596
Notes receivable	-	443,465	-	-	443,465
Capital assets:					
Land, easements and construction in progress	12,282,623	4,218,965	30,453,377	4,233,471	51,188,436
Other capital assets, net of depreciation	80,767,241	86,480,093	114,583,452	26,347,331	308,178,117
Total capital assets	93,049,864	90,699,058	145,036,829	30,580,802	359,366,553
Total non-current assets	93,937,882	94,092,774	147,378,955	31,108,003	366,517,614
TOTAL ASSETS	162,561,230	100,988,776	155,070,806	60,397,009	479,017,821
LIABILITIES					
CURRENT LIABILITIES:					
Accounts payable and accrued expenses	16,323,285	521,298	236,158	1,868,115	18,948,856
Customer deposits	2,771,656	511,247	1,698	342,068	3,626,669
Accrued interest payable	203,851	307,084	446,205	75,106	1,032,246
Unearned revenue ²	-	118,581	185,460	-	304,041
Current portion of compensated absences	710,219	313,622	324,279	264,242	1,612,362
Current maturities of long-term debt	2,745,501	2,910,306	4,184,728	1,174,310	11,014,845
Total current liabilities	22,754,512	4,682,138	5,378,528	3,723,841	36,539,019
NON CURRENT LIABILITIES:					
Compensated absences	52,860	97,142	69,316	62,383	281,701
Long-term debt, excluding current portion	17,463,482	26,342,853	49,418,430	6,107,448	99,332,213
Other post-employment benefits	5,133,093	2,202,490	1,851,027	1,663,415	10,850,025
Total non current liabilities	22,649,435	28,642,485	51,338,773	7,833,246	110,463,939
TOTAL LIABILITIES	45,403,947	33,324,623	56,717,301	11,557,087	147,002,958
NET ASSETS					
Invested in Capital Assets, net of related debt	73,728,899	63,405,791	92,613,900	23,826,245	253,574,835
Unrestricted	43,428,384	4,258,362	5,739,605	25,013,677	78,440,028
TOTAL NET ASSETS	\$ 117,157,283	\$ 67,664,153	\$ 98,353,505	\$ 48,839,922	\$ 332,014,863

¹ Negative cash balances in the Capital Projects funds reflect reimbursements due from revenue bonds, SRF loans and grants.

² Unearned revenue includes prepaid water and sewer tap fees.

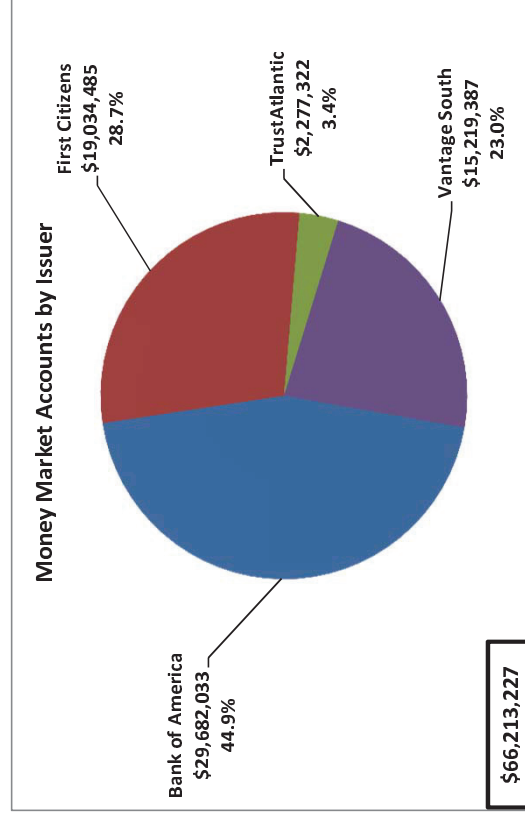
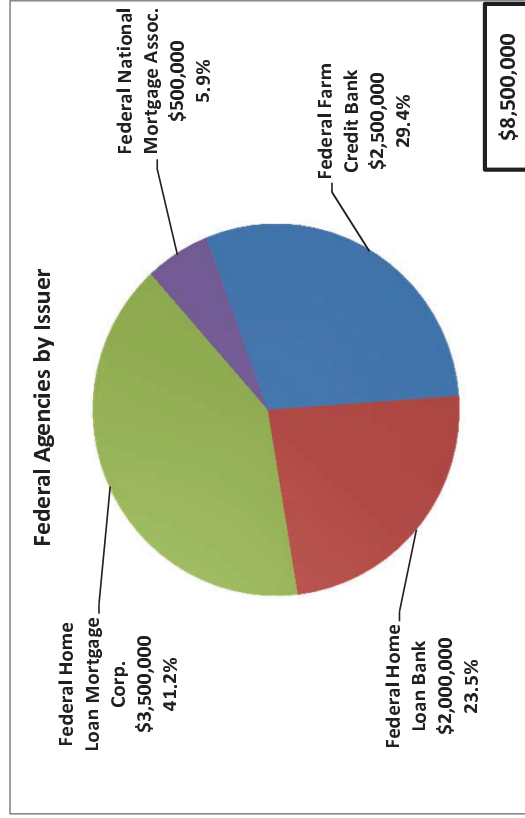
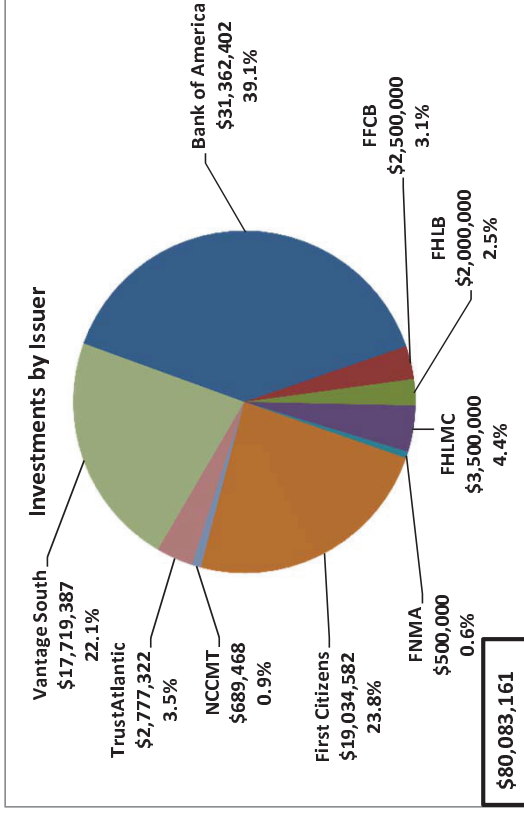
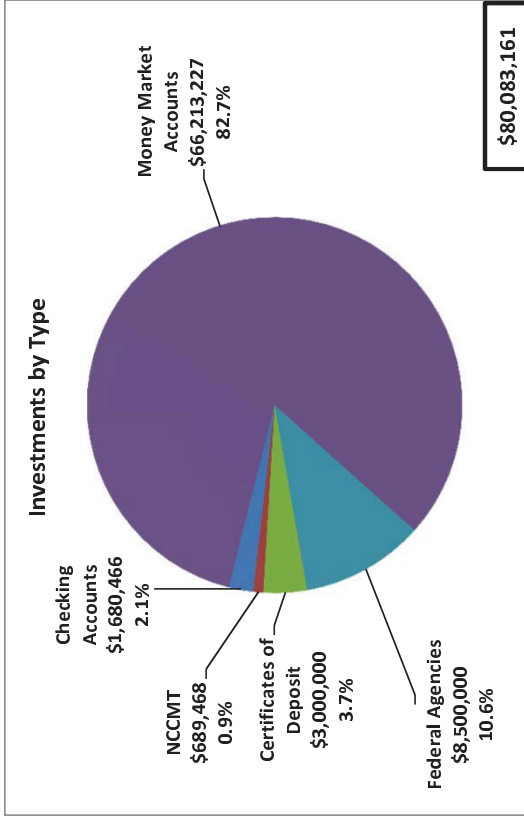
Capital Projects Summary Report
July 31, 2014

Project #	Project Name	Total Estimated		Board Approval	Current		Month		Project		Estimated Completion Date	
		Project Costs	Original Budget		Approved Budget	To Date Expenditures	To Date Expenditures	Year To Date Expenditures	To Date Expenditures	Budget Expended		% of Budget
ECP-128	Business Application Master Plan	15,900,000	244,732	11/18/2008	1,366,246	-	-	-	806,666	-	59.0%	9/30/2013
ECP-136	OPTICS Phase 3A	11,272,000	11,272,000	5/17/2012	11,272,000	4,343	4,343	8,234,177	-	-	73.0%	6/30/2015
ECP-139	Telephone System Replacement	550,000	550,000	12/20/2012	550,000	-	-	545,974	-	-	99.3%	Complete
ECP-141	OPTICS Phase 3B	14,405,000	14,405,000	6/13/2013	14,405,000	297,052	297,052	2,823,836	-	-	19.6%	2/1/2016
OCP-100	New Operations Center	-	4,100,000	6/12/2014	4,100,000	-	-	-	-	-	0.0%	12/31/2022
WCP-120	Water/Sewer Meter ERT/Low Lead Compliance Changeout	3,125,000	3,125,000	6/12/2014	3,125,000	-	-	-	-	-	0.0%	6/30/2019
Total Shared Capital Projects		\$ 45,252,000	\$ 33,696,732		\$ 34,818,246	\$ 301,395	\$ 301,395	\$ 12,410,653	\$ 12,410,653	\$ 301,395	35.6%	
ECP-132	Substation Modernization	3,000,000	3,000,000	4/20/2010	3,000,000	446	446	2,688,358	-	-	89.6%	6/30/2015
ECP-133	Sugg Parkway Transmission Line	1,700,000	1,700,000	5/17/2011	1,700,000	-	-	-	-	-	0.0%	n/a
ECP-134	Sugg Parkway Substation	3,400,000	3,400,000	5/17/2011	3,400,000	-	-	-	-	-	0.0%	n/a
ECP-135	Frog Level Substation Improvements	1,500,000	1,500,000	6/7/2011	1,500,000	-	-	979,298	-	-	65.3%	Complete
ECP-137	Generator EPA Carbon Monoxide Emission Reduction	450,000	450,000	8/16/2012	450,000	-	-	237,352	-	-	52.7%	12/31/2014
ECP-138	Greenville 230 KV South POD Substation	6,000,000	300,000	9/20/2012	4,500,000	-	-	106,274	-	-	2.4%	7/31/2015
ECP-140	Outage Management Systems	400,000	400,000	3/21/2013	400,000	-	-	176,621	-	-	44.2%	12/31/2014
ECP-142	Bells Fork-Hollywood Substation Upgrade	2,370,000	2,370,000	6/13/2013	4,240,000	35,431	35,431	234,933	-	-	5.5%	6/30/2015
ECP-143	Frog Level & MacGregor Downs Substation Feeder Expansions	700,000	700,000	10/17/2013	700,000	15,854	15,854	118,997	-	-	17.0%	1/31/2015
ECP-144	10th Street Connector Project	1,535,000	1,535,000	12/19/2013	1,535,000	-	-	-	-	-	0.0%	TBD by NCDOT
Total Electric Capital Projects		\$ 111,559,000	\$ 82,748,464		\$ 91,061,492	\$ 654,521	\$ 654,521	\$ 29,363,139	\$ 29,363,139	\$ 654,521	32.2%	
WCP-104	Tar River Available Water Supply	885,000	885,000	7/29/2008	1,270,000	-	-	1,242,636	-	-	97.8%	12/31/2013
WCP-113	NCDOT Hwy 43 Water Improvements Project - Phase II	352,000	352,000	7/20/2010	352,000	-	-	198,547	-	-	56.4%	TBD by NCDOT
WCP-115	WTP Impoundment Dredging	350,000	350,000	6/13/2013	350,000	-	-	-	-	-	0.0%	TBD
WCP-116	WTP Sedimentation Basin Upgrade	355,000	355,000	6/13/2013	600,000	-	-	79,885	-	-	13.3%	6/30/2015
WCP-117	WTP Upgrade Phase I	-	1,900,000	6/12/2014	1,900,000	-	-	-	-	-	0.0%	7/31/2016
WCP-118	Water Biofiltration Upgrade	1,600,000	1,600,000	6/12/2014	1,600,000	-	-	-	-	-	0.0%	1/0/1900
WCP-119	Water Filter Backwash Piping Upgrades	550,000	550,000	6/12/2014	550,000	-	-	-	-	-	0.0%	1/0/1900
Total Water Capital Projects		\$ 4,092,000	\$ 5,992,000		\$ 6,622,000	\$ -	\$ -	\$ 1,521,068	\$ 1,521,068	\$ -	23.0%	
SCP-99	Sterling Pointe Pump Station and Force Main Project	11,693,599	1,034,000	3/25/2008	9,900,000	-	-	9,177,926	-	-	92.7%	12/31/2014
SCP-100	Westside Pump Station and Force Main Project	15,695,532	1,300,000	9/16/2008	15,287,369	-	-	14,018,767	-	-	91.7%	6/30/2015
SCP-113	NCDOT Hwy 43 Sewer Improvements Project - Phase II	266,000	266,000	7/20/2010	266,000	-	-	198,221	-	-	74.5%	TBD by NCDOT
SCP-114	Chicot School Project	480,000	200,000	7/19/2011	480,000	-	-	5,680	-	-	1.2%	6/30/2014
SCP-115	Southwest Commercial Park Sewer Extension Project	300,000	300,000	11/17/2011	300,000	-	-	286,675	-	-	95.6%	1/31/2014
SCP-116	Sanitary Sewer Outfall Rehabilitation Project - Phase III	2,000,000	84,053	3/15/2012	1,950,000	-	-	1,883,207	-	-	96.6%	12/31/2013
SCP-117	WWTP Ultraviolet Disinfection Equip. Replacement	3,360,000	3,360,000	6/13/2013	3,360,000	-	-	181,768	-	-	5.4%	2/28/2016
SCP-118	Southside Pump Station Upgrade	3,450,000	3,450,000	6/13/2013	3,450,000	-	-	85	-	-	0.0%	6/30/2016
SCP-119	Sewer PLC Replacement for FS, GMR & JP Pump Station	-	600,000	6/12/2014	600,000	-	-	-	-	-	0.0%	1/0/1900
SCP-120	Sewer Biosolids Processing Upgrades	-	6,800,000	6/12/2014	6,800,000	-	-	-	-	-	0.0%	7/31/2017
SCP-121	Sewer Harris Mill Interceptor	524,000	524,000	6/12/2014	524,000	-	-	-	-	-	0.0%	12/31/2015
Total Sewer Capital Projects		\$ 37,769,131	\$ 17,918,053		\$ 42,917,369	\$ -	\$ -	\$ 25,752,329	\$ 25,752,329	\$ -	60.0%	
GCP-87	NC 33 Main Extension and Old River Road Main Replacement	1,300,000	1,300,000	10/20/2011	1,300,000	811	811	237,228	811	811	0.1%	12/31/2015
GCP-88	GUC-PNG Multiple Gas Facilities Upgrade Project	5,000,000	2,850,000	11/15/2012	2,650,000	22,758	22,758	84,657	22,758	22,758	9.0%	5/31/2014
GCP-89	Western Loop High Pressure Gas Main Extension	2,850,000	2,850,000	6/13/2013	2,850,000	47,392	47,392	565,372	47,392	47,392	3.0%	12/31/2015
GCP-90	LNG Plant Tank Additions	4,000,000	4,000,000	6/13/2013	4,000,000	48,077	48,077	-	48,077	48,077	14.1%	12/31/2014
GCP-91	Natural Gas Vehicle Fueling Station	2,500,000	2,500,000	6/12/2014	2,500,000	-	-	-	-	-	0.0%	8/31/2015
Total Gas Capital Projects		\$ 15,650,000	\$ 13,300,000		\$ 13,300,000	\$ 119,038	\$ 119,038	\$ 888,068	\$ 888,068	\$ 119,038	6.7%	
Grand Total Capital Projects		\$ 214,322,131	\$ 153,655,249		\$ 188,719,107	\$ 1,074,954	\$ 1,074,954	\$ 69,935,257	\$ 69,935,257	\$ 1,074,954	37.1%	

*Capital Projects Funds
July 31, 2014*

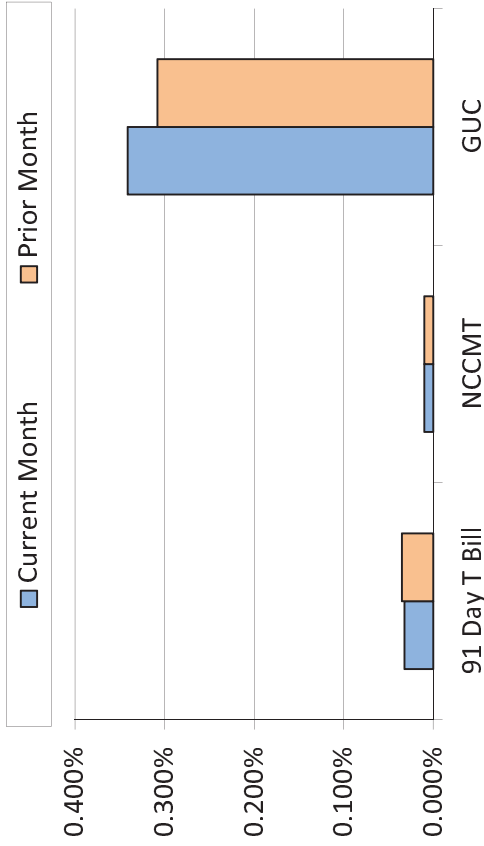
Electric Capital Projects			
Current Commitments	\$	211	211
2008B Revenue Bonds			
Future Commitments			
Fund Balance and Interest Income	2,478,108		
2007 Revenue Bonds	184		
2008A Revenue Bonds	1	<u>2,478,293</u>	
	\$		\$ 2,478,504
Total funds for Electric Capital Projects			
Water Capital Projects			
Future Commitments			
Fund Balance and Interest Income	1,529,924		
Capacity Fees	990,349		
2008A Revenue Bonds	302,506	<u>2,822,779</u>	
	\$		\$ 2,822,779
Total funds for Water Capital Projects			
Sewer Capital Projects			
Future Commitments			
Fund Balance and Interest Income	296,046		
Acreage Fees	737,126		
Capacity Fees	1,161,897		
2008A Revenue Bonds	88,606	<u>2,283,675</u>	
	\$		\$ 2,283,675
Total funds for Sewer Capital Projects			
Gas Capital Projects			
Future Commitments			
Fund Balance and Interest Income	8,034,943		
2008A Revenue Bonds	1	<u>8,034,943</u>	
	\$		\$ 8,034,944
Total funds for Gas Capital Projects			
Grand total funds for Capital Projects			
	\$		\$ 15,619,902

Investment Portfolio Diversification July 31, 2014

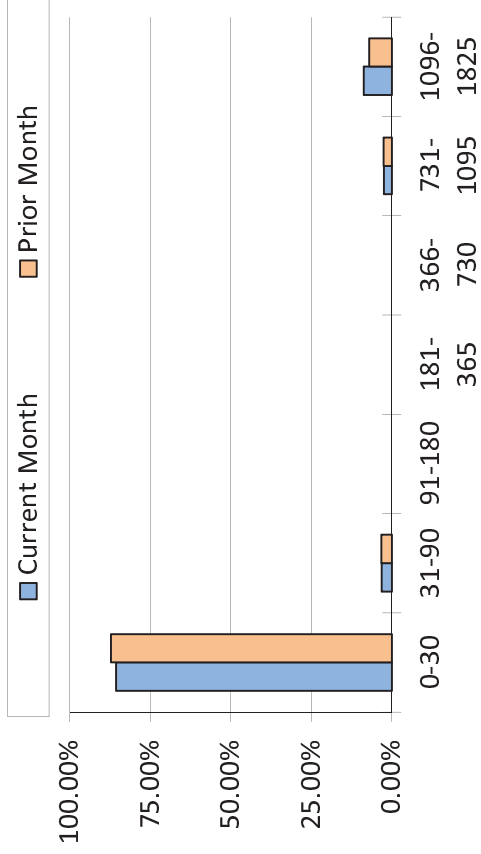


Cash and Investment Report
July 31, 2014

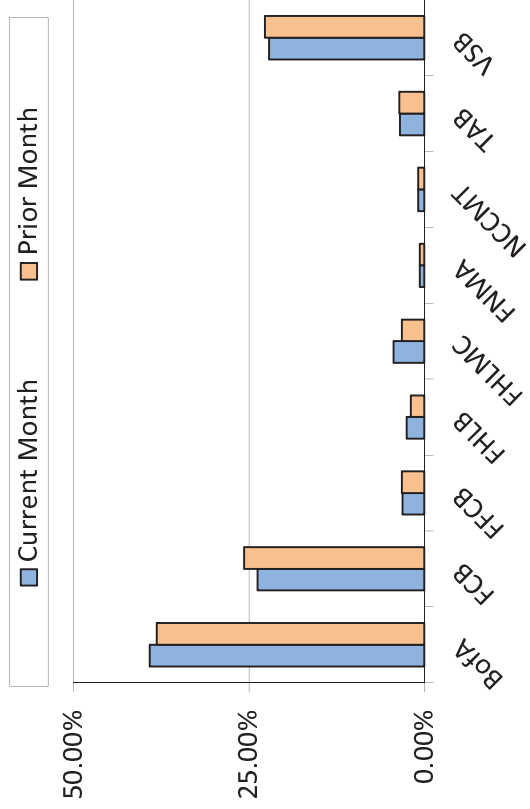
Yield Comparison



Days to Maturity
Percent of Portfolio



Portfolio by Issuer



GUC Investments Summary by Issuer July 31, 2014

Issuer	Number of Investments	Par Value	Market Value	% of Portfolio	Average YTM 365	Average Days to Maturity
Bank of America	2	31,362,402.18	31,362,402.18	39.17	0.189	1
First Citizens Bank	2	19,034,581.72	19,034,581.72	23.77	0.050	1
Federal Farm Credit Bank	4	2,500,000.00	2,501,004.00	3.12	1.752	1,650
Federal Home Loan Bank	4	2,000,000.00	1,995,430.00	2.49	1.391	1,579
Federal Home Loan Mort Corp	6	3,500,000.00	3,493,419.00	4.36	1.506	1,417
Federal National Mort Assoc	1	500,000.00	497,739.00	0.62	0.750	871
N C Capital Management Trust	2	689,467.98	689,467.98	0.86	0.022	1
Trust/Atlantic Bank	2	2,777,321.55	2,777,321.55	3.47	0.354	312
Vantage South Bank	2	17,719,387.32	17,719,387.32	22.13	0.371	9
Total and Average	25	80,083,160.75	80,070,752.75	100.00	0.341	172

GUC Investments

Portfolio Management

Portfolio Details - Investments

July 31, 2014

CUSIP	Investment #	Issuer	Average Balance	Purchase Date	Par Value	Market Value	Book Value	Stated Rate	YTM 360	YTM 365	Days to Maturity	Maturity Date
Certificates of Deposit - Bank												
SYST62	762	TrustAtlantic Bank		04/28/2014	500,000.00	500,000.00	500,000.00	1.650	1.627	1.650	1,731	04/28/2019
SYST54	754	Vantage South Bank		09/25/2013	2,500,000.00	2,500,000.00	2,500,000.00	0.500	0.493	0.500	55	09/25/2014
		Subtotal and Average	3,000,000.00		3,000,000.00	3,000,000.00	3,000,000.00	0.682	0.682	0.692	334	
NC Capital Management Trust												
SYST33	33	N C Capital Management Trust			589,262.59	589,262.59	589,262.59	0.010	0.010	0.010	1	
SYST45	745	N C Capital Management Trust			100,205.39	100,205.39	100,205.39	0.090	0.089	0.090	1	
		Subtotal and Average	686,682.06		689,467.98	689,467.98	689,467.98	0.021	0.021	0.022	1	
Passbook/Checking Accounts												
SYST35	735	Bank of America			1,680,369.13	1,680,369.13	1,680,369.13	0.001	0.001	0.001	1	
SYST06	706	First Citizens Bank		07/01/2014	97.00	97.00	97.00	0.001	0.001	0.001	1	
		Subtotal and Average	1,667,208.65		1,680,466.13	1,680,466.13	1,680,466.13	0.001	0.001	0.001	1	
Money Market Accounts												
SYST33	733	Bank of America			29,682,033.05	29,682,033.05	29,682,033.05	0.200	0.197	0.200	1	
SYST04	704	First Citizens Bank			19,034,484.72	19,034,484.72	19,034,484.72	0.050	0.049	0.050	1	
SYST05	705	TrustAtlantic Bank			2,277,321.55	2,277,321.55	2,277,321.55	0.070	0.069	0.070	1	
SYST03	703	Vantage South Bank			15,219,387.32	15,219,387.32	15,219,387.32	0.350	0.345	0.350	1	
		Subtotal and Average	63,487,158.34		66,213,226.64	66,213,226.64	66,213,226.64	0.184	0.184	0.187	1	
Federal Agency Coupon Securities												
3133EDB50	755	Federal Farm Credit Bank		12/04/2013	500,000.00	500,106.50	500,000.00	1.200	1.184	1.200	1,221	12/04/2017
3133EDKR2	763	Federal Farm Credit Bank		04/30/2014	1,000,000.00	1,002,739.00	1,000,000.00	1.870	1.844	1.870	1,733	04/30/2019
3133EDN81	766	Federal Farm Credit Bank		06/12/2014	500,000.00	499,129.00	500,000.00	1.850	1.825	1.850	1,776	06/12/2019
3133EDP48	771	Federal Farm Credit Bank		06/24/2014	500,000.00	499,029.50	500,000.00	1.970	1.943	1.970	1,788	06/24/2019
313383VM0	758	Federal Home Loan Bank		12/03/2013	500,000.00	499,986.50	500,820.00	1.800	1.739	1.764	1,488	08/28/2018
3130A25V4	767	Federal Home Loan Bank		06/18/2014	500,000.00	499,547.50	500,000.00	0.500	0.493	0.500	1,782	06/18/2019
3130A2D78	768	Federal Home Loan Bank		06/26/2014	500,000.00	498,105.00	500,000.00	1.300	1.282	1.300	1,243	12/26/2017
3130A2F68	773	Federal Home Loan Bank		07/09/2014	500,000.00	497,791.00	500,000.00	2.000	1.973	2.000	1,803	07/09/2019
3134G4NJ3	756	Federal Home Loan Mort Corp		12/20/2013	500,000.00	498,694.00	500,000.00	0.720	0.710	0.720	872	12/20/2016
3134G4NJ3	757	Federal Home Loan Mort Corp		12/20/2013	500,000.00	498,694.00	500,000.00	0.720	0.710	0.720	872	12/20/2016
3134G5D5	765	Federal Home Loan Mort Corp		05/21/2014	1,000,000.00	998,694.00	1,000,000.00	2.000	1.973	2.000	1,754	05/21/2019
3134G5AF2	769	Federal Home Loan Mort Corp		07/09/2014	500,000.00	498,812.50	500,000.00	2.000	1.973	2.000	1,803	07/09/2019
3134G5AF2	770	Federal Home Loan Mort Corp		07/09/2014	500,000.00	498,812.50	500,000.00	2.000	1.973	2.000	1,803	07/09/2019
3134G5AG0	772	Federal Home Loan Mort Corp		06/30/2014	500,000.00	499,712.00	500,000.00	1.100	1.085	1.100	1,064	06/30/2017
3136G1Y94	759	Federal National Mort Assoc		12/19/2013	500,000.00	497,739.00	500,000.00	0.750	0.740	0.750	871	12/19/2016

GUC Investments
Portfolio Management
Portfolio Details - Investments
July 31, 2014

CUSIP	Investment #	Issuer	Average Balance	Purchase Date	Par Value	Market Value	Book Value	Stated Rate	YTM 360	YTM 365	Days to Maturity
	Subtotal and Average		8,113,723.23		8,500,000.00	8,487,592.00	8,500,820.00		1.486	1.507	1,492
	Total and Average		76,954,772.28		80,083,160.75	80,070,752.75	80,083,980.75		0.336	0.341	172

GREENVILLE UTILITIES COMMISSION

Financial Report

August 31, 2014



Greenville
Utilities

GREENVILLE UTILITIES COMMISSION
August 31, 2014

I. Key Financial Highlights

A. <u>Days Cash On Hand</u>	<u>August 2014</u>	<u>August 2013</u>	<u>August 2012</u>	
Electric Fund	84	76	76	
Water Fund	135	134	170	
Sewer Fund	256	259	286	
Gas Fund	<u>365</u>	<u>371</u>	<u>400</u>	
Combined Funds	118	109	112	
B. <u>Fund Balance Available for Appropriation</u>	<u>Electric</u>	<u>Water</u>	<u>Sewer</u>	<u>Gas</u>
Operating cash	\$44,020,779	\$4,177,697	\$7,350,501	\$20,149,831
Current liabilities	(\$18,752,127)	(\$1,531,473)	(\$928,883)	(\$1,673,758)
Fund balance available for appropriation	\$25,268,652	\$2,646,224	\$6,421,618	\$18,476,073
Percentage of total budgeted expenditures	12.8%	15.4%	33.6%	44.2%
Days unappropriated fund balance on hand	48	85	224	334
				82
				<u>Combined Funds</u>
				\$75,698,808
				(\$22,886,241)
				\$52,812,567
				19.2%

II. Fund Performance

C. <u>Portfolio Management</u>	<u>Fiscal Year 2015</u>	<u>Fiscal Year 2014</u>	<u>Fiscal Year 2013</u>	
	<u>Interest Earnings</u>	<u>Interest Earnings</u>	<u>Interest Earnings</u>	<u>Yield</u>
July	\$24,050	\$15,243	\$24,926	0.33%
August	\$27,757	\$14,596	\$23,469	0.32%
II. <u>Fund Performance</u>	<u>August 2014</u>	<u>August 2013</u>	<u>August 2012</u>	
Electric				
Number of Accounts	65,434	65,097	64,786	
• YTD volumes billed to customers are 262,412 kWh less than last year and 32,892,552 kWh less than budget.				
• YTD revenues from retail rates and charges are \$1,455,353 less than last year and \$2,376,540 less than budget.				
• YTD total revenues are \$1,384,172 less than last year and \$2,196,206 less than budget.				
• YTD total expenditures are \$2,482,411 less than last year and \$2,188,426 less than budget.				
• YTD revenues exceed YTD expenditures by \$1,169,169 compared to excess revenues of \$70,930 for last year.				
Water	<u>August 2014</u>	<u>August 2013</u>	<u>August 2012</u>	
Number of Accounts	35,528	35,255	35,207	
• YTD volumes billed to customers are 24,939 kgallons more than last year but 16,654 kgallons less than budget.				
• YTD revenues from retail rates and charges are \$234,017 more than last year but \$157,854 less than budget.				
• YTD total revenues are \$287,299 more than last year but \$117,299 less than budget.				

GREENVILLE UTILITIES COMMISSION
August 31, 2014

- YTD total expenditures are \$76,276 more than last year and \$42,873 more than budget.
- YTD revenues exceed YTD expenditures by \$78,520 compared to deficit revenues of \$132,503 for last year.

<u>Sewer</u>	<u>August 2014</u>	<u>August 2013</u>	<u>August 2012</u>
Number of Accounts	29,168	28,912	28,822
• YTD revenues from retail rates and charges are \$288,734 more than last year but \$166,658 less than budget.			
• YTD total revenues are \$234,631 more than last year but \$187,390 less than budget.			
• YTD total expenditures are \$134,079 more than last year but \$224,652 less than budget.			
• YTD revenues exceed YTD expenditures by \$232,832 compared to excess revenues of \$132,280 for last year.			

<u>Gas</u>	<u>August 2014</u>	<u>August 2013</u>	<u>August 2012</u>
Number of Accounts	22,422	22,282	22,221
• YTD total volumes billed to customers are 175,700 ccf's more than last year but 37,846 ccf's less than budget.			
• YTD revenues from retail rates and charges are \$346,241 more than last year but \$89,928 less than budget.			
• YTD total revenues are \$386,218 more than last year but \$57,826 less than budget.			
• YTD total expenditures are \$104,881 more than last year but \$380,512 less than budget.			
• YTD expenditures exceed YTD revenues by \$496,071 compared to deficit revenues of \$777,408 for last year.			

<u>III. Volumes Billed</u>	<u>August 2014</u>	<u>YTD FY 2015</u>	<u>August 2013</u>	<u>YTD FY 2014</u>	<u>August 2012</u>	<u>YTD FY 2013</u>	<u>YTD % Change</u>
Electric (kwh)	154,094,822	298,626,002	162,904,422	298,888,414	167,571,854	314,972,230	-5.2%
Water (kgal)	301,506	603,243	302,320	578,304	329,961	665,027	-9.3%
Sewer (kgal)	226,578	443,993	236,271	443,830	227,522	455,960	-2.6%
Gas (ccf)	535,516	983,090	491,904	924,994	438,522	859,791	14.3%
Firm	<u>1,153,094</u>	<u>1,836,076</u>	<u>990,990</u>	<u>1,718,472</u>	<u>974,564</u>	<u>1,822,701</u>	<u>0.7%</u>
Interruptible	1,688,610	2,819,166	1,482,894	2,643,466	1,413,086	2,682,492	5.1%
Total							

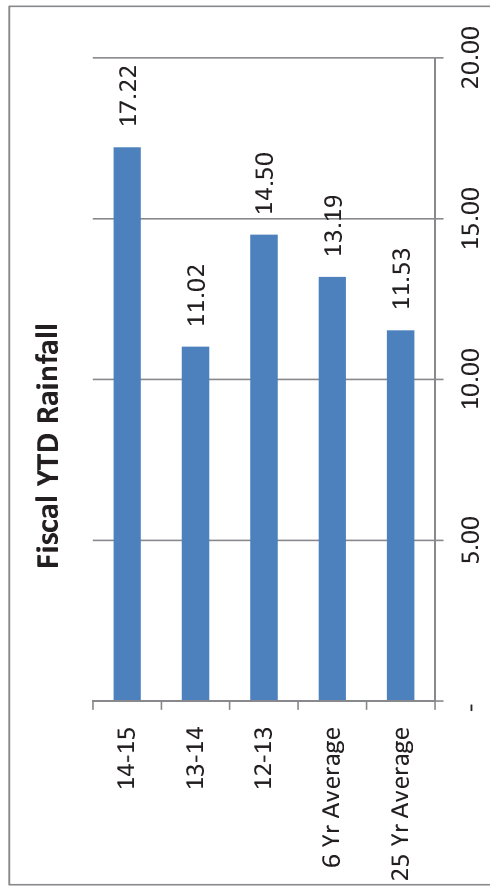
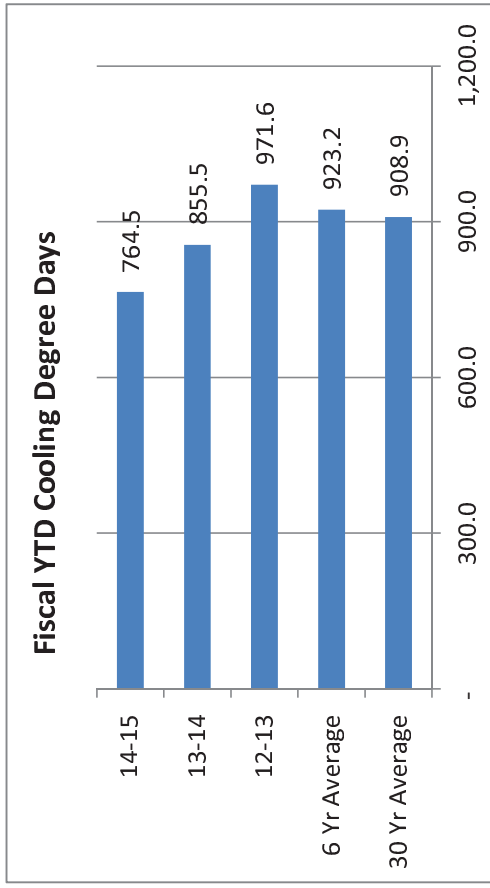
<u>IV. Cooling Degree Day Information</u>	<u>Fiscal Year 2015</u>	<u>Fiscal Year 2014</u>	<u>% Change</u>	<u>6 Year Average</u>	<u>30 Year Average</u>
July	404.0	478.0	-15.5%	487.0	483.2
August	<u>360.5</u>	<u>377.5</u>	<u>-4.5%</u>	<u>436.2</u>	<u>425.7</u>
YTD	<u>764.5</u>	<u>855.5</u>	<u>-10.6%</u>	<u>923.2</u>	<u>908.9</u>

Commissioners Executive Summary

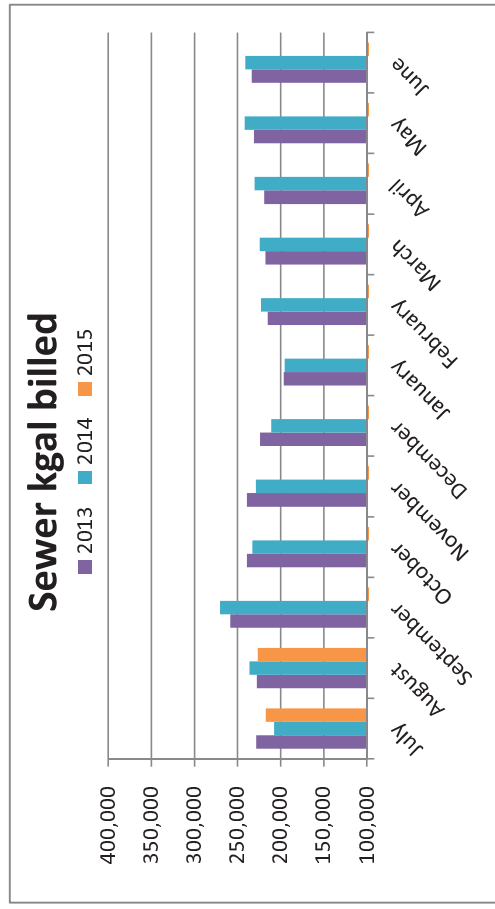
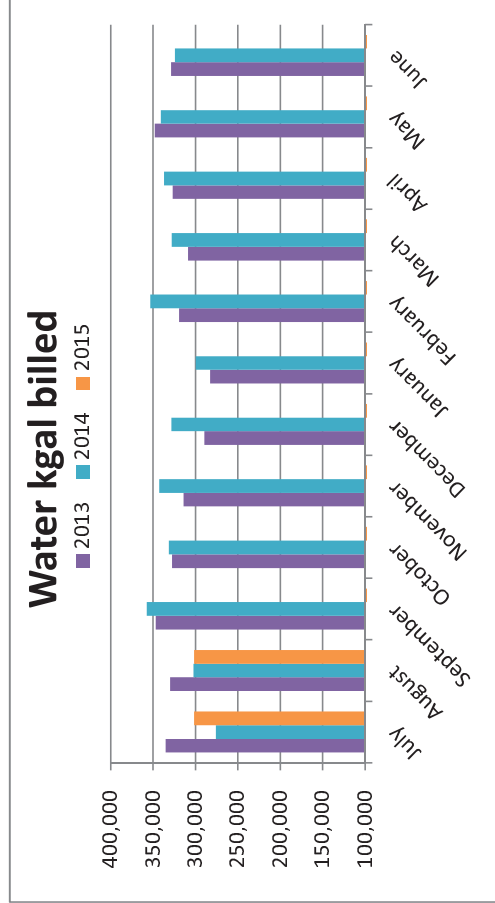
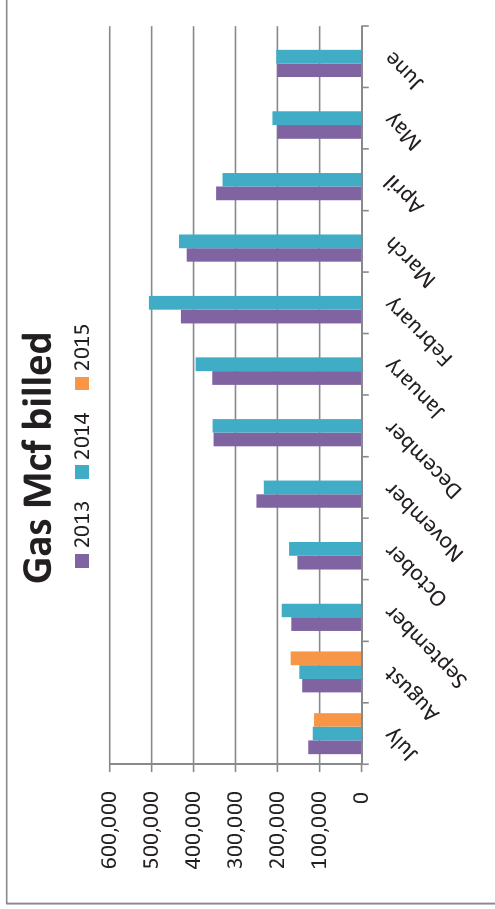
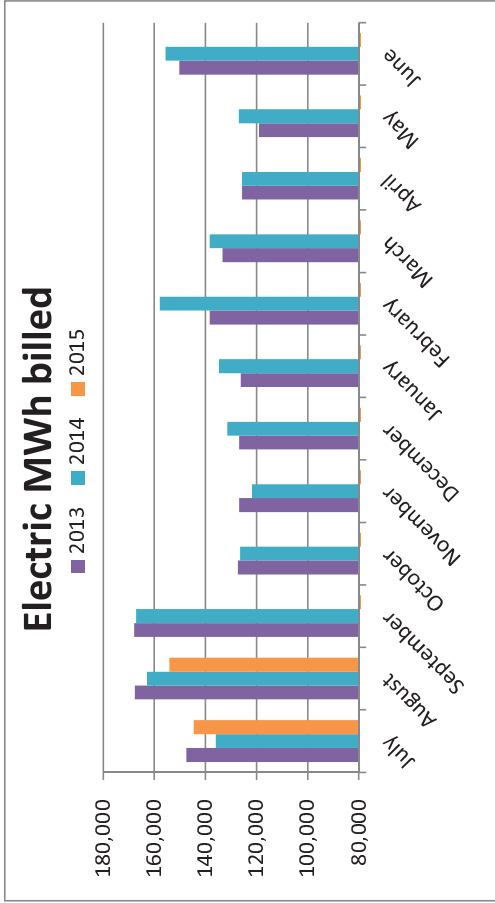
August 31, 2014

	Current Month			Year To Date		
	Actual	Budget	Last Year	Actual	Budget	Last Year
Electric						
Revenues	18,060,469	19,008,455	18,570,725	36,219,622	38,415,828	37,603,794
Expenses	17,390,135	18,567,210	18,824,763	35,050,453	37,238,879	37,532,864
Net Revenues	670,334	441,245	(254,038)	1,169,169	1,176,949	70,930
Water						
Revenues	1,418,250	1,493,747	1,320,422	2,857,199	2,974,498	2,569,900
Expenses	1,515,128	1,397,903	1,424,860	2,778,679	2,735,806	2,702,403
Net Revenues	(96,878)	95,844	(104,438)	78,520	238,692	(132,503)
Sewer						
Revenues	1,592,751	1,667,096	1,525,122	3,132,186	3,319,576	2,897,555
Expenses	1,519,370	1,592,003	1,544,033	2,899,354	3,124,006	2,765,275
Net Revenues	73,381	75,093	(18,911)	232,832	195,570	132,280
Gas						
Revenues	1,928,715	1,865,835	1,642,265	3,487,167	3,544,993	3,100,949
Expenses	2,051,995	2,271,470	2,059,123	3,983,238	4,363,750	3,878,357
Net Revenues	(123,280)	(405,635)	(416,858)	(496,071)	(818,757)	(777,408)
Total Revenues	23,000,185	24,035,133	23,058,534	45,696,174	48,254,895	46,172,198
Total Expenses	22,476,628	23,828,586	23,852,779	44,711,724	47,462,441	46,878,899
Net Operating Revenues	523,557	206,547	(794,245)	984,450	792,454	(706,701)

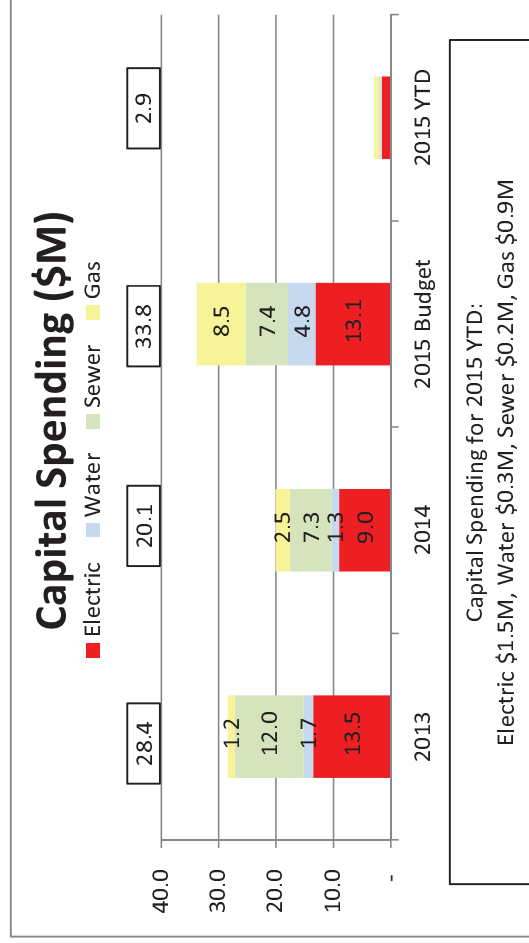
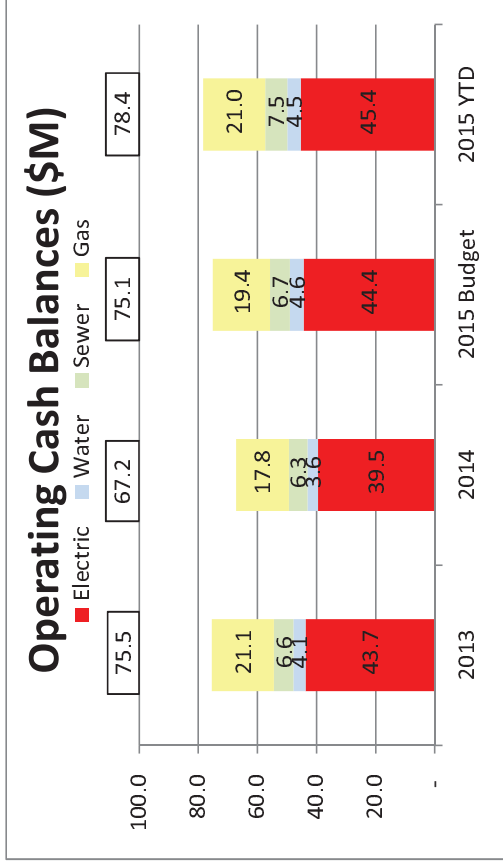
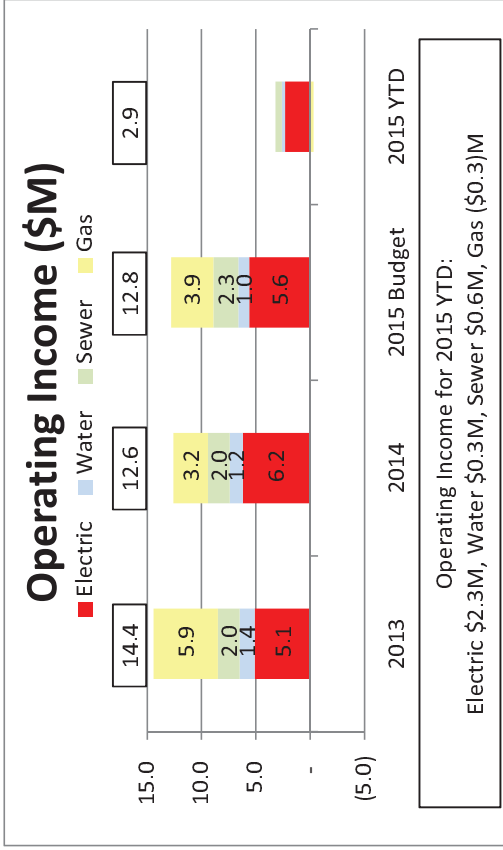
Weather



Customer Demand



Financial Trends



Greenville Utilities Commission
Revenue and Expenses - Combined
August 31, 2014

Line #	CURRENT FISCAL YEAR				PRIOR FISCAL YEAR							
	Current Month Actual	Current Month Budget	Variance Favorable (Unfavorable)	YTD Actual	YTD Budget	Variance Favorable (Unfavorable)	Total Original Budget	% of Original Budget	Current Month Actual	YTD Actual	Change Prior YTD to Current YTD	
REVENUE:												
1	\$22,593,597	\$23,762,016	(\$1,168,419)	\$44,934,140	\$47,708,661	(\$2,774,521)	\$272,437,218	16.5%	\$22,724,804	\$45,528,488	(\$594,348)	
2	193,812	143,501	50,311	369,513	287,002	82,511	1,722,000	21.5%	186,667	369,127	386	
3	10,748	8,084	2,664	24,903	16,168	8,735	97,000	25.7%	9,600	19,820	5,083	
4	174,958	104,949	70,009	317,216	209,898	107,318	1,259,334	25.2%	123,036	224,636	92,580	
5	27,070	16,583	10,487	50,402	33,166	17,236	199,000	25.3%	14,427	30,127	20,275	
6	\$23,000,185	\$24,035,133	(\$1,034,948)	\$45,696,174	\$48,254,895	(\$2,558,721)	\$275,714,552	16.6%	\$23,058,534	\$46,172,198	(\$476,024)	
EXPENDITURES:												
7	\$4,336,852	\$4,354,948	\$18,096	\$8,444,083	\$8,709,896	\$265,813	\$54,780,069	15.4%	\$4,804,923	\$8,738,579	(\$294,496)	
8	15,263,224	16,561,757	1,298,533	30,899,080	33,328,783	2,429,703	187,353,562	16.5%	16,354,768	33,063,833	(2,164,753)	
9	671,653	565,337	(106,316)	1,361,545	1,130,674	(230,871)	6,929,153	19.6%	546,666	1,133,643	227,902	
10	1,262,280	1,406,112	143,832	2,524,560	2,812,224	287,664	16,873,335	15.0%	1,262,288	2,524,576	(16)	
11	479,523	479,523	-	959,046	959,046	-	5,754,275	16.7%	474,134	948,268	10,778	
12	63,096	60,909	(2,187)	123,410	121,818	(1,592)	730,908	16.9%	60,000	120,000	3,410	
13	400,000	400,000	-	400,000	400,000	-	400,000	100.0%	350,000	350,000	50,000	
14	\$22,476,628	\$23,828,586	\$1,351,958	\$44,711,724	\$47,462,441	\$2,750,717	\$272,821,302	16.4%	\$23,852,779	\$46,878,899	(\$2,167,175)	
15	\$523,557	\$206,547	\$317,010	\$984,450	\$792,454	\$191,996	\$2,893,250		(\$794,245)	(\$706,701)	\$1,691,151	

Greenville Utilities Commission
Revenue and Expenses - Electric Fund
August 31, 2014

Line #	CURRENT FISCAL YEAR						PRIOR FISCAL YEAR				
	Current Month Actual	Current Month Budget	Variance Favorable (Unfavorable)	YTD Actual	YTD Budget	Variance Favorable (Unfavorable)	Total Original Budget	% of Original Budget	Current Month Actual	YTD Actual	Change Prior YTD to Current YTD
CUSTOMER DEMAND:											
1	64,434								65,097		
2	162,221,533	168,802,849	6,581,316 (4,141,216)	329,870,563	341,179,145	11,308,582 (32,892,552)	1,701,641,619	19.4%	166,267,790	340,125,181	(10,254,618)
3	154,094,822	158,236,038		298,626,002	331,518,554		1,653,459,119	18.1%	162,904,422	298,888,414	(262,412)
REVENUE:											
4	\$17,800,762	\$18,844,139	(\$1,043,377)	\$35,710,656	\$38,087,196	(\$2,376,540)	\$195,673,311	18.3%	\$18,332,921	\$37,166,009	(\$1,455,353)
5	139,839	80,834	59,005	258,629	161,668	96,961	970,000	26.7%	119,885	233,987	24,642
6	10,348	7,917	2,431	24,203	15,834	8,369	95,000	25.5%	9,600	19,320	4,883
7	94,964	67,232	27,732	199,227	134,464	64,763	806,781	24.7%	101,317	169,932	29,295
8	14,556	8,333	6,223	26,907	16,666	10,241	100,000	26.9%	7,002	14,546	12,361
9	\$18,060,469	\$19,008,455	(\$947,986)	\$36,219,622	\$38,415,828	(\$2,196,206)	\$197,645,092	18.3%	\$18,570,725	\$37,603,794	(\$1,384,172)
EXPENDITURES:											
10	\$1,872,603	\$1,827,841	(\$44,762)	\$3,719,094	\$3,655,682	(\$63,412)	\$22,981,989	16.2%	\$2,096,429	\$3,882,949	(\$163,855)
11	14,159,823	15,388,396	1,228,573 (75,244)	28,678,265	31,101,251	2,422,986 (310,946)	159,980,862	17.9%	15,354,076	31,071,073	(2,392,808)
12	420,105	344,861	70,695	1,000,668	689,722	310,946	4,224,436	23.7%	474,883	972,592	28,076
13	284,071	354,766	70,695	568,142	709,532	141,390	4,257,201	13.3%	283,985	567,970	172
14	370,437	370,437	-	740,874	740,874	-	4,445,241	16.7%	362,890	725,780	15,094
15	63,096	60,909	(2,187)	123,410	121,818	(1,592)	730,908	16.9%	60,000	120,000	3,410
16	220,000	220,000	-	220,000	220,000	-	220,000	100.0%	192,500	192,500	27,500
17	\$17,390,135	\$18,567,210	\$1,177,075	\$35,050,453	\$37,238,879	\$2,188,426	\$196,840,637	17.8%	\$18,824,763	\$37,532,864	(\$2,482,411)
18	\$670,334	\$441,245	\$229,089	\$1,169,169	\$1,176,949	(\$7,780)	\$804,455		(\$254,038)	\$70,930	\$1,098,239

Note 1: kWh billed does not include volumes delivered in the current month and billed in the next month.

Greenville Utilities Commission
Revenue and Expenses - Water Fund
August 31, 2014

Line #	CURRENT FISCAL YEAR				PRIOR FISCAL YEAR							
	Current Month Actual	Current Month Budget	Variance Favorable (Unfavorable)	YTD Actual	YTD Budget	Variance Favorable (Unfavorable)	Total Original Budget	% of Original Budget	Current Month Actual	YTD Actual	Change Prior YTD to Current YTD	
CUSTOMER DEMAND:												
1	35,528			603,243	619,897	(16,654)			302,320	578,304	24,939	
2	393,754	404,080	10,326	787,816	812,429	24,613	4,404,580	17.9%	35,255	743,350	44,466	
3	284,877	261,434	23,443	567,106	559,741	7,365	3,237,371	17.5%	390,580	554,527	12,579	
4	16,629	47,794	(31,165)	36,137	60,156	(24,019)	580,858	6.2%	292,107	23,777	12,360	
5	301,506	309,228	(7,722)	603,243	619,897	(16,654)	3,818,229	15.8%	10,213	578,304	24,939	
REVENUE:												
6	\$1,336,917	\$1,430,726	(\$93,809)	\$2,688,447	\$2,846,301	(\$157,854)	\$15,843,276	17.0%	\$1,277,314	\$2,454,430	\$234,017	
7	33,929	19,846	14,083	71,645	41,847	29,798	770,243	9.3%	19,417	44,144	27,501	
8	21,996	25,500	(3,504)	51,792	51,000	792	306,000	16.9%	25,805	56,089	(4,297)	
9	400	167	233	700	334	366	2,000	35.0%	-	500	200	
10	21,226	14,675	6,551	37,366	29,350	8,016	176,083	21.2%	(4,903)	9,114	28,252	
11	3,782	2,833	949	7,249	5,666	1,583	34,000	21.3%	2,789	5,623	1,626	
12	\$1,418,250	\$1,493,747	(\$75,497)	\$2,857,199	\$2,974,498	(\$117,299)	\$17,131,602	16.7%	\$1,320,422	\$2,569,900	\$287,299	
EXPENDITURES:												
13	\$953,118	\$945,837	(\$7,281)	\$1,859,780	\$1,891,674	\$31,894	\$11,880,073	15.7%	\$1,014,518	\$1,935,807	(\$76,027)	
14	170,338	42,065	(128,273)	195,555	84,130	(111,425)	514,369	38.0%	19,643	37,698	157,857	
15	331,672	350,001	18,329	663,344	700,002	36,658	4,200,009	15.8%	338,199	676,398	(13,054)	
16	60,000	60,000	-	60,000	60,000	-	60,000	100.0%	52,500	52,500	7,500	
17	\$1,515,128	\$1,397,903	(\$117,225)	\$2,778,679	\$2,735,806	(\$42,873)	\$16,654,451	16.7%	\$1,424,860	\$2,702,403	\$76,276	
18	(\$96,878)	\$95,844	(\$192,722)	\$78,520	\$238,692	(\$160,172)	\$477,151		(\$104,438)	(\$132,503)	\$211,023	

Note 1: Kgallons Billed - Wholesale and Charges - Wholesale represents sales to the Town of Bethel, the Town of Farmville, Greene County, the Town of Winterville and Stokes Regional Water Corporation.

Greenville Utilities Commission
Revenue and Expenses - Sewer Fund
August 31, 2014

Line #	CURRENT FISCAL YEAR				PRIOR FISCAL YEAR							
	Current Month Actual	Current Month Budget	Variance Favorable (Unfavorable)	YTD Actual	YTD Budget	Variance Favorable (Unfavorable)	Total Original Budget	% of Original Budget	Current Month Actual	YTD Actual	Change Prior YTD to Current YTD	
CUSTOMER DEMAND:												
1	29,168								28,912			
2	362,080	290,251	(71,829)	679,780	556,264	(123,516)	3,423,436	19.9%	303,310	652,140	27,640	
3	218,194	225,684	(7,490)	428,227	455,317	(27,090)	2,633,412	16.3%	219,610	420,299	7,928	
4	8,384	12,814	(4,430)	15,766	18,148	(2,382)	87,318	18.1%	16,661	23,531	(7,765)	
5	226,578	238,498	(11,920)	443,993	473,465	(29,472)	2,720,730	16.3%	236,271	443,830	163	
REVENUE:												
6	\$1,511,998	\$1,557,815	(\$45,817)	\$2,976,239	\$3,142,897	(\$166,658)	\$18,177,545	16.4%	\$1,387,311	\$2,687,505	\$288,734	
7	46,951	71,755	(24,804)	88,288	101,627	(13,339)	488,981	18.1%	93,300	123,776	(35,488)	
8	21,527	25,834	(4,307)	40,754	51,668	(10,914)	310,000	13.1%	29,387	60,318	(19,564)	
9	9,617	10,442	(825)	22,079	20,884	1,195	125,281	17.6%	13,765	23,422	(1,343)	
10	2,658	1,250	1,408	4,826	2,500	2,326	15,000	32.2%	1,359	2,534	2,292	
11	\$1,592,751	\$1,667,096	(\$74,345)	\$3,132,186	\$3,319,576	(\$187,390)	\$19,116,807	16.4%	\$1,525,122	\$2,897,555	\$234,631	
EXPENDITURES:												
12	\$898,633	\$922,179	\$23,546	\$1,718,937	\$1,844,358	\$125,421	\$11,571,878	14.9%	\$961,841	\$1,640,264	\$78,673	
13	30,119	56,069	25,950	59,181	112,138	52,957	678,169	8.7%	5,393	23,913	35,268	
14	530,618	553,755	23,137	1,061,236	1,107,510	46,274	6,645,055	16.0%	524,299	1,048,598	12,638	
15	60,000	60,000	-	60,000	60,000	-	60,000	100.0%	52,500	52,500	7,500	
16	\$1,519,370	\$1,592,003	\$72,633	\$2,899,354	\$3,124,006	\$224,652	\$18,955,102	15.3%	\$1,544,033	\$2,765,275	\$134,079	
17	\$73,381	\$75,093	(\$1,712)	\$232,832	\$195,570	\$37,262	\$161,705		(\$18,911)	\$132,280	\$100,552	

Note 1: Kgalions Billed - Wholesale and Rates and Charges - Wholesale represents sales to the Town of Bethel and the Town of Grimesland.

Greenville Utilities Commission
Revenue and Expenses - Gas Fund
August 31, 2014

Line #	CURRENT FISCAL YEAR				PRIOR FISCAL YEAR					
	Current Month Actual	Current Month Budget	YTD Actual	YTD Budget	Variance Favorable (Unfavorable)	Total Original Budget	% of Original Budget	Current Month Actual	YTD Actual	Change Prior YTD to Current YTD
CUSTOMER DEMAND:										
1	22,422							22,282		
2	1,722,800	1,577,607	3,311,574	2,994,961	(316,613)	35,611,905	9.3%	1,723,520	3,282,410	29,164
3	1,661,375	1,531,541	3,191,276	2,907,508	(283,768)	34,572,037	9.2%	1,627,990	3,072,770	118,506
4	535,516	404,993	983,090	806,076	177,014	17,224,500	5.7%	491,904	924,994	58,096
5	1,153,094	1,122,945	1,836,076	2,050,936	(214,860)	15,919,500	11.5%	990,990	1,718,472	117,604
6	1,688,610	1,527,938	2,819,166	2,857,012	(37,846)	33,144,000	8.5%	1,482,894	2,643,466	175,700
REVENUE:										
7	\$1,863,040	\$1,837,735	\$3,398,865	\$3,488,793	(\$89,928)	\$41,483,862	8.2%	\$1,614,541	\$3,052,624	\$346,241
8	10,450	11,333	18,338	22,666	(4,328)	136,000	13.5%	11,590	18,733	(395)
9	49,151	12,600	58,544	25,200	33,344	151,189	38.7%	12,857	22,168	36,376
10	6,074	4,167	11,420	8,334	3,086	50,000	22.8%	3,277	7,424	3,996
11	\$1,928,715	\$1,865,835	\$3,487,167	\$3,544,993	(\$57,826)	\$41,821,051	8.3%	\$1,642,265	\$3,100,949	\$386,218
EXPENDITURES:										
12	\$612,498	\$659,091	\$1,146,272	\$1,318,182	\$171,910	\$8,346,129	13.7%	\$732,135	\$1,279,559	(\$133,287)
13	1,103,401	1,173,361	2,220,815	2,227,532	6,717	27,372,700	8.1%	1,000,692	1,992,760	228,055
14	51,091	122,342	106,141	244,684	138,543	1,512,179	7.0%	46,747	99,440	6,701
15	115,919	147,590	231,838	295,180	63,342	1,771,070	13.1%	115,805	231,610	228
16	109,086	109,086	218,172	218,172	-	1,309,034	16.7%	111,244	222,488	(4,316)
17	60,000	60,000	60,000	60,000	-	60,000	100.0%	52,500	52,500	7,500
18	\$2,051,995	\$2,271,470	\$3,983,238	\$4,363,750	\$380,512	\$40,371,112	9.9%	\$2,059,123	\$3,878,357	\$104,881
19	(\$123,280)	(\$405,635)	(\$496,071)	(\$818,757)	\$322,686	\$1,449,939		(\$416,858)	(\$777,408)	\$281,337

GREENVILLE UTILITIES COMMISSION
STATEMENT OF REVENUES, EXPENSES, AND CHANGES IN FUND NET ASSETS
August 31, 2014

Line Nos.		Major Funds				Total
		Electric Fund	Water Fund	Sewer Fund	Gas Fund	
1	OPERATING REVENUES:					
	Charges for services	\$ 17,950,950	\$ 1,393,242	\$ 1,580,475	\$ 1,873,490	\$ 22,798,157
2	Other operating revenues	50,218	7,818	7,668	5,793	71,497
3	Total operating revenues	18,001,168	1,401,060	1,588,143	1,879,283	22,869,654
4	OPERATING EXPENSES:					
	Administration and general	866,545	321,291	297,259	307,011	1,792,106
5	Operations and maintenance	1,226,057	691,828	661,375	365,488	2,944,748
6	Purchased power and gas	14,159,823	-	-	1,103,401	15,263,224
7	Depreciation	583,207	309,401	389,079	128,700	1,410,387
8	Total operating expenses	16,835,632	1,322,520	1,347,713	1,904,600	21,410,465
9	Operating income (Loss)	1,165,536	78,540	240,430	(25,317)	1,459,189
10	NONOPERATING REVENUES (EXPENSES):					
	Interest income	12,836	4,130	2,297	8,494	27,757
11	Debt interest expense and service charges	(55,279)	(89,146)	(143,425)	(18,060)	(305,910)
12	Other nonoperating revenues	44,746	23,100	24,458	43,358	135,662
13	Net nonoperating revenues	2,303	(61,916)	(116,670)	33,792	(142,491)
14	Income before contributions and transfers	1,167,839	16,624	123,760	8,475	1,316,698
15	CONTRIBUTIONS AND TRANSFERS:					
	Transfer to City of Greenville, General Fund	(370,437)	-	-	(109,086)	(479,523)
16	Transfer to City of Greenville, street light reimbursement	(63,096)	-	-	-	(63,096)
17	Total operating transfers	(433,533)	-	-	(109,086)	(542,619)
18	CHANGES IN NET ASSETS	734,306	16,624	123,760	(100,611)	774,079
19	NET ASSETS, BEGINNING OF MONTH	\$117,157,283	\$67,664,153	\$98,353,505	\$48,839,922	332,014,863
20	NET ASSETS, END OF MONTH	\$ 117,891,589	\$ 67,680,777	\$ 98,477,265	\$ 48,739,311	\$ 332,788,942

GREENVILLE UTILITIES COMMISSION
STATEMENT OF REVENUES, EXPENSES, AND CHANGES IN FUND NET ASSETS
FISCAL YEAR TO DATE
August 31, 2014

Line Nos.		Major Funds				Total	Last Year
		Electric Fund	Water Fund	Sewer Fund	Gas Fund		
OPERATING REVENUES:							
1	Charges for services	\$ 35,993,488	\$ 2,812,583	\$ 3,105,281	\$ 3,417,203	\$ 45,328,555	\$ 45,917,435
2	Other operating revenues	113,064	15,241	18,284	11,584	158,173	193,278
3	Total operating revenues	36,106,552	2,827,824	3,123,565	3,428,787	45,486,728	46,110,713
OPERATING EXPENSES:							
4	Administration and general	1,601,449	543,889	501,062	535,627	3,182,027	3,505,315
5	Operations and maintenance	2,337,643	1,375,891	1,277,876	670,647	5,662,057	5,583,264
6	Purchased power and gas	28,678,265	-	-	2,220,815	30,899,080	33,063,833
7	Depreciation	1,166,413	618,802	778,159	257,400	2,820,774	2,549,674
8	Total operating expenses	33,783,770	2,538,582	2,557,097	3,684,489	42,563,938	44,702,086
9	Operating income (Loss)	2,322,782	289,242	566,468	(255,702)	2,922,790	1,408,627
NONOPERATING REVENUES (EXPENSES):							
10	Interest income	23,734	7,913	4,176	15,984	51,807	29,839
11	Debt interest expense and service charges	(110,558)	(178,292)	(286,850)	(36,120)	(611,820)	(651,748)
12	Other nonoperating revenues	86,167	43,085	36,821	46,960	213,033	84,402
13	Net nonoperating revenues	(657)	(127,294)	(245,853)	26,824	(346,980)	(537,507)
14	Income before contributions and transfers	2,322,125	161,948	320,615	(228,878)	2,575,810	871,120
CONTRIBUTIONS AND TRANSFERS:							
15	Transfer to City of Greenville, General Fund	(740,874)	-	-	(218,172)	(959,046)	(948,268)
16	Transfer to City of Greenville, street light reimbursement	(123,410)	-	-	-	(123,410)	(120,000)
17	Total operating transfers	(864,284)	-	-	(218,172)	(1,082,456)	(1,068,268)
18	CHANGES IN NET ASSETS	1,457,841	161,948	320,615	(447,050)	1,493,354	(197,148)
19	BEGINNING NET ASSETS	116,433,748	67,518,829	98,156,650	49,186,361	331,295,588	325,811,666
20	ENDING NET ASSETS	\$ 117,891,589	\$ 67,680,777	\$ 98,477,265	\$ 48,739,311	\$ 332,788,942	\$ 325,614,518

¹ Other, nonoperating revenues include miscellaneous non-operating revenue and capital projects revenue.

GREENVILLE UTILITIES COMMISSION
STATEMENT OF CASH FLOWS
FISCAL YEAR TO DATE
August 31, 2014

Line #	Electric	Water	Sewer	Gas	Total	Last Year
SOURCES						
1	\$ 2,322,782	\$ 289,242	\$ 566,468	\$ (255,702)	\$ 2,922,790	\$ 1,408,627
2	1,166,413	618,802	778,159	257,400	2,820,774	2,549,674
3	(1,357,744)	(294,749)	(296,787)	(280,805)	(2,230,085)	(497,555)
4	26,908	7,249	4,826	11,421	50,404	30,127
5	2,158,359	620,544	1,052,666	(267,686)	3,563,883	3,490,873
USES						
6	(740,874)	-	-	(218,172)	(959,046)	(948,268)
7	(123,410)	-	-	-	(123,410)	(120,000)
8	(892,873)	(437,400)	(664,340)	(601,750)	(2,596,363)	(2,544,543)
9	(1,000,668)	(195,555)	(59,181)	(106,141)	(1,361,545)	(1,133,643)
10	(2,757,825)	(632,955)	(723,521)	(926,063)	(5,040,364)	(4,746,454)
11	(599,466)	(12,411)	329,145	(1,193,749)	(1,476,481)	(1,255,581)
NET INCREASE (DECREASE) - OPERATING CASH						
CAPITAL PROJECTS						
12	-	-	-	-	-	1,463,229
13	-	20,960	33,026	-	53,986	53,043
14	(3,174)	664	(650)	4,563	1,403	(288)
15	(2,091)	(16)	(17)	(37,232)	(39,356)	109,374
16	(479,942)	(105,274)	(142,495)	(622,437)	(1,350,148)	(2,185,802)
17	(485,207)	(83,666)	(110,136)	(655,106)	(1,334,115)	(560,444)
18	(1,084,673)	(96,077)	219,009	(1,848,855)	(2,810,596)	(1,816,025)
NET INCREASE (DECREASE) - OPERATING & CAPITAL						
CASH AND INVESTMENT & REVENUE BOND PROCEEDS						
June 30, 2014						
19	\$ 40,390,649	\$ 6,847,842	\$ 7,022,917	\$ 27,791,150	\$ 82,052,558	\$ 84,585,304
20	\$ 39,305,976	\$ 6,751,765	\$ 7,241,926	\$ 25,942,295	\$ 79,241,962	\$ 82,769,279
CASH AND INVESTMENT & REVENUE BOND PROCEEDS						
August 31, 2014						
21	38,417,958	4,791,873	6,061,697	25,415,094	74,686,622	77,453,374
22	888,018	1,959,892	1,180,229	527,201	4,555,340	5,315,905
23	39,305,976	6,751,765	7,241,926	25,942,295	79,241,962	82,769,279
Revenue Bond Proceeds subtotal						
24	44,020,779	4,177,697	7,350,501	20,149,831	75,698,808	74,196,427
25	(5,602,821)	614,176	(1,288,804)	5,265,263	(1,012,186)	3,256,947
26	38,417,958	4,791,873	6,061,697	25,415,094	74,686,622	77,453,374
Operating Fund Capital Project Fund						

GREENVILLE UTILITIES COMMISSION
STATEMENT OF NET ASSETS
August 31, 2014

Line #	Electric Fund	Water Fund	Sewer Fund	Gas Fund	Total
ASSETS					
CURRENT ASSETS:					
Cash and Investments - Operating Fund	\$ 44,020,779	\$ 4,177,697	\$ 7,350,501	\$ 20,149,831	\$ 75,698,808
Cash and Investments - Capital Projects Fund ¹	(5,602,821)	(385,875)	(2,459,854)	5,265,263	(3,183,287)
Accounts receivable, net	23,118,384	1,833,597	1,990,434	1,817,293	28,759,708
Due from other governments	630,141	169,974	340,031	160,312	1,300,458
Due from City of Greenville	118,373	-	-	-	118,373
Inventories	4,871,862	691,663	190,402	626,715	6,380,642
Prepaid expenses and deposits	747,829	181,999	177,178	157,960	1,264,966
Total current assets	67,904,547	6,669,055	7,588,692	28,177,374	110,339,668
NON CURRENT ASSETS:					
Restricted cash and cash equivalents:					
Bond funds	888,018	1,959,892	1,180,229	527,201	4,555,340
Capacity fees	-	1,000,051	1,171,050	-	2,171,101
Total restricted cash and cash equivalents	888,018	2,959,943	2,351,279	527,201	6,726,441
Notes receivable	-	440,846	-	-	440,846
Capital assets:					
Land, easements and construction in progress	13,013,130	4,456,118	30,555,867	4,379,140	52,404,255
Other capital assets, net of depreciation	80,184,035	86,170,692	114,194,373	26,218,631	306,767,731
Total capital assets	93,197,165	90,626,810	144,750,240	30,597,771	359,171,986
Total non-current assets	94,085,183	94,027,599	147,101,519	31,124,972	366,339,273
TOTAL ASSETS	161,989,730	100,696,654	154,690,211	59,302,346	476,678,941
LIABILITIES					
CURRENT LIABILITIES:					
Accounts payable and accrued expenses	15,774,304	546,752	249,002	1,450,228	18,020,286
Customer deposits	2,832,558	525,301	1,748	349,593	3,709,200
Accrued interest payable	160,316	347,605	499,996	37,541	1,045,458
Due to City of Greenville	19,867	-	-	-	19,867
Unearned revenue ²	-	118,581	185,460	-	304,041
Current portion of compensated absences	710,219	313,622	324,279	264,242	1,612,362
Current maturities of long-term debt	1,951,442	2,521,531	3,613,688	628,185	8,714,846
Total current liabilities	21,448,706	4,373,392	4,874,173	2,729,789	33,426,060
NON CURRENT LIABILITIES:					
Compensated absences	52,860	97,142	69,316	62,383	281,701
Long-term debt, excluding current portion	17,463,482	26,342,853	49,418,430	6,107,448	99,332,213
Other post-employment benefits	5,133,093	2,202,490	1,851,027	1,663,415	10,850,025
Total non current liabilities	22,649,435	28,642,485	51,338,773	7,833,246	110,463,939
TOTAL LIABILITIES	44,098,141	33,015,877	56,212,946	10,563,035	143,889,999
NET ASSETS					
Invested in Capital Assets, net of related debt	74,670,259	63,722,318	92,898,351	24,389,339	255,680,267
Unrestricted	43,221,330	3,958,459	5,578,914	24,349,972	77,108,675
TOTAL NET ASSETS	\$ 117,891,589	\$ 67,680,777	\$ 98,477,265	\$ 48,739,311	\$ 332,788,942

¹ Negative cash balances in the Capital Projects funds reflect reimbursements due from revenue bonds, SRF loans and grants.

² Unearned revenue includes prepaid water and sewer tap fees.

Capital Projects Summary Report
August 31, 2014

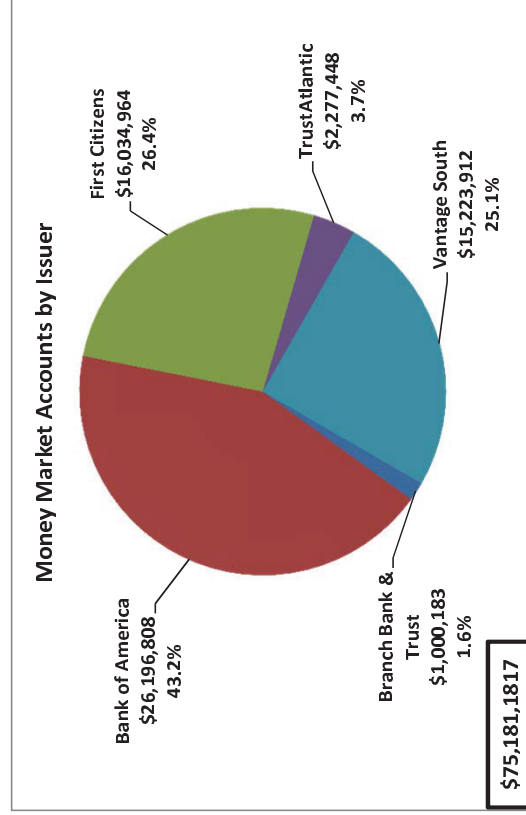
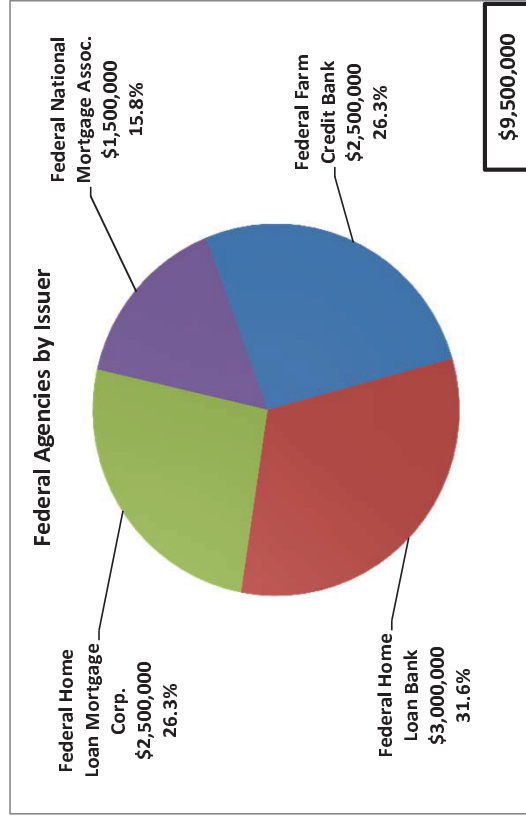
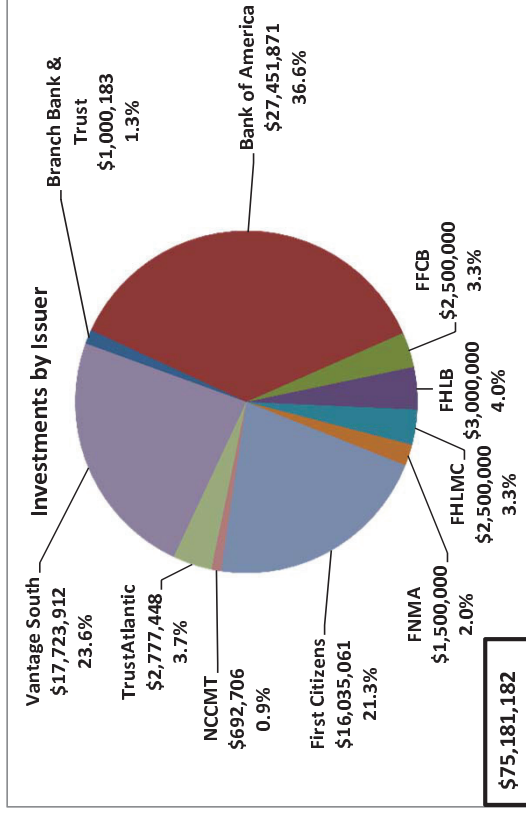
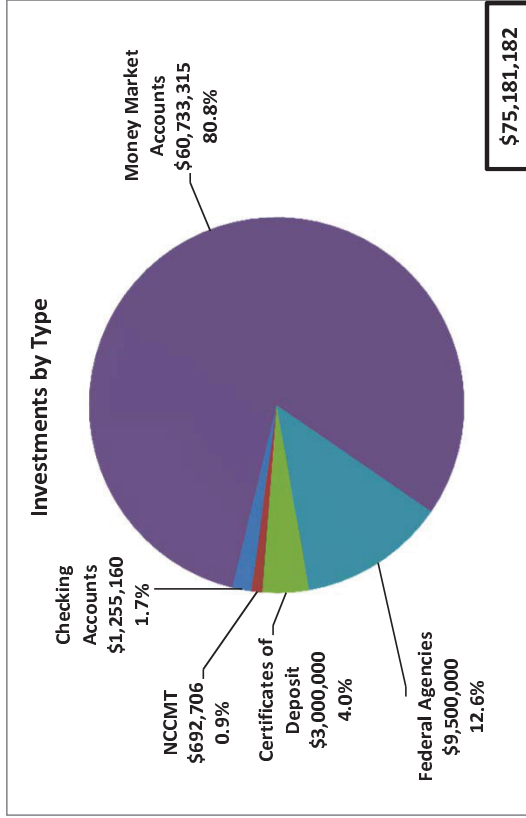
Project #	Project Name	Total Estimated		Current		Month		Year To Date		Project		Estimated Completion Date
		Project Costs	Original Budget	Approved Budget	To Date Expenditures	To Date Expenditures	Expenditures	To Date Expenditures	Expenditures	Budget Expended	% of Budget	
ECP-128	Business Application Master Plan	15,900,000	244,732	1,366,246	-	-	806,666	-	-	-	806,666	59.0%
ECP-136	OPTICS Phase 3A	11,272,000	11,272,000	11,272,000	51,380	55,723	8,285,557	-	-	-	8,285,557	73.5%
ECP-139	Telephone System Replacement	550,000	550,000	550,000	-	-	545,974	-	-	-	545,974	99.3%
ECP-141	OPTICS Phase 3B	14,405,000	14,405,000	14,405,000	394,052	691,104	3,217,889	-	-	-	3,217,889	22.3%
OCP-100	New Operations Center	-	4,100,000	4,100,000	-	-	-	-	-	-	-	0.0%
WCP-120	Water/Sewer Meter ERT/Low Lead Compliance Changeout	3,125,000	3,125,000	3,125,000	-	-	-	-	-	-	-	0.0%
Total Shared Capital Projects		\$ 45,252,000	\$ 33,696,732	\$ 34,818,246	\$ 445,432	\$ 746,827	\$ 12,856,086	\$ -	\$ -	\$ -	\$ 12,856,086	36.9%
ECP-132	Substation Modernization	3,000,000	3,000,000	3,000,000	320	766	2,688,678	-	-	-	2,688,678	89.6%
ECP-133	Sugg Parkway Transmission Line	1,700,000	1,700,000	1,700,000	-	-	-	-	-	-	-	0.0%
ECP-134	Sugg Parkway Substation	3,400,000	3,400,000	3,400,000	-	-	-	-	-	-	-	0.0%
ECP-135	Frog Level Substation Improvements	1,500,000	1,500,000	1,500,000	-	-	979,298	-	-	-	979,298	65.3%
ECP-137	Generator EPA Carbon Monoxide Emission Reduction	450,000	450,000	450,000	-	-	237,352	-	-	-	237,352	52.7%
ECP-138	Greenville 230 KV South POD Substation	6,000,000	300,000	4,500,000	-	-	106,274	-	-	-	106,274	2.4%
ECP-140	Outage Management Systems	400,000	400,000	400,000	-	-	176,621	-	-	-	176,621	44.2%
ECP-142	Bells Fork-Hollywood Substation Upgrade	2,370,000	2,370,000	4,240,000	15,463	50,894	250,396	-	-	-	250,396	5.9%
ECP-143	Frog Level & MacGregor Downs Substation Feeder Expansions	700,000	700,000	700,000	65,863	81,717	184,860	-	-	-	184,860	26.4%
ECP-144	10th Street Connector Project	1,535,000	1,535,000	1,535,000	-	-	-	-	-	-	-	0.0%
Total Electric Capital Projects		\$ 111,559,000	\$ 82,748,464	\$ 91,061,492	\$ 972,510	\$ 1,627,031	\$ 30,335,651	\$ -	\$ -	\$ -	\$ 30,335,651	33.3%
WCP-104	Tar River Available Water Supply	885,000	885,000	1,270,000	-	-	1,242,636	-	-	-	1,242,636	97.8%
WCP-113	NCDOT Hwy 43 Water Improvements Project - Phase II	352,000	352,000	352,000	-	-	198,547	-	-	-	198,547	56.4%
WCP-115	WTP Impoundment Dredging	350,000	350,000	350,000	-	-	-	-	-	-	-	0.0%
WCP-116	WTP Sedimentation Basin Upgrade	355,000	355,000	600,000	-	-	79,885	-	-	-	79,885	13.3%
WCP-117	WTP Upgrade Phase I	-	1,900,000	1,900,000	-	-	-	-	-	-	-	0.0%
WCP-118	Water Biofiltration Upgrade	1,600,000	1,600,000	1,600,000	-	-	-	-	-	-	-	0.0%
WCP-119	Water Filter Backwash Piping Upgrades	550,000	550,000	550,000	-	-	-	-	-	-	-	0.0%
Total Water Capital Projects		\$ 4,092,000	\$ 5,992,000	\$ 6,622,000	\$ -	\$ -	\$ 1,521,068	\$ -	\$ -	\$ -	\$ 1,521,068	23.0%
SCP-99	Sterling Pointe Pump Station and Force Main Project	11,693,599	1,034,000	9,900,000	-	-	9,177,926	-	-	-	9,177,926	92.7%
SCP-100	Westside Pump Station and Force Main Project	15,695,532	1,300,000	15,287,369	-	5,000	14,023,767	-	-	-	14,023,767	91.7%
SCP-113	NCDOT Hwy 43 Sewer Improvements Project - Phase II	266,000	266,000	266,000	-	-	198,221	-	-	-	198,221	74.5%
SCP-114	Chicot School Project	480,000	200,000	480,000	-	-	5,680	-	-	-	5,680	1.2%
SCP-115	Southwest Commercial Park Sewer Extension Project	300,000	300,000	300,000	-	-	286,675	-	-	-	286,675	95.6%
SCP-116	Sanitary Sewer Outfall Rehabilitation Project - Phase III	2,000,000	84,053	1,950,000	-	-	1,883,207	-	-	-	1,883,207	96.6%
SCP-117	WWTP Ultraviolet Disinfection Equip. Replacement	3,360,000	3,360,000	3,360,000	-	-	181,768	-	-	-	181,768	5.4%
SCP-118	Southside Pump Station Upgrade	3,450,000	3,450,000	3,450,000	-	-	85	-	-	-	85	0.0%
SCP-119	Sewer PLC Replacement for FS, GMR & JP Pump Station	-	600,000	600,000	-	-	-	-	-	-	-	0.0%
SCP-120	Sewer Biosolids Processing Upgrades	-	6,800,000	6,800,000	-	-	-	-	-	-	-	0.0%
SCP-121	Sewer Harris Mill Interceptor	524,000	524,000	524,000	-	-	-	-	-	-	-	0.0%
Total Sewer Capital Projects		\$ 37,769,131	\$ 17,918,053	\$ 42,917,369	\$ -	\$ 5,000	\$ 25,757,329	\$ -	\$ -	\$ 5,000	\$ 25,757,329	60.0%
GCP-87	NC 33 Main Extension and Old River Road Main Replacement	1,300,000	1,300,000	1,300,000	7,536	8,346	8,346	-	-	-	8,346	0.6%
GCP-88	GUC-PNG Multiple Gas Facilities Upgrade Project	5,000,000	2,650,000	2,650,000	(132,394)	(109,636)	104,834	-	-	-	104,834	4.0%
GCP-89	Western Loop High Pressure Gas Main Extension	2,850,000	2,850,000	2,850,000	11,402	58,795	96,060	-	-	-	96,060	3.4%
GCP-90	LNG Plant Tank Additions	4,000,000	4,000,000	4,000,000	507,376	555,453	1,072,748	-	-	-	1,072,748	26.8%
GCP-91	Natural Gas Vehicle Fueling Station	2,500,000	2,500,000	2,500,000	-	-	-	-	-	-	-	0.0%
Total Gas Capital Projects		\$ 15,650,000	\$ 13,300,000	\$ 13,300,000	\$ 393,920	\$ 512,958	\$ 1,281,988	\$ -	\$ -	\$ 512,958	\$ 1,281,988	9.6%
Grand Total Capital Projects		\$ 214,322,131	\$ 153,655,249	\$ 188,719,107	\$ 1,811,862	\$ 2,891,816	\$ 71,752,122	\$ -	\$ -	\$ 2,891,816	\$ 71,752,122	38.0%

*Capital Projects Funds
August 31, 2014*

Electric Capital Projects			
Current Commitments	\$	211	211
2008B Revenue Bonds			
Future Commitments			
Fund Balance and Interest Income	2,478,108		
2007 Revenue Bonds	184		
2008A Revenue Bonds	1	<u>2,478,293</u>	
Total funds for Electric Capital Projects	\$		<u>2,478,504</u>
Water Capital Projects			
Future Commitments			
Fund Balance and Interest Income	1,529,924		
Capacity Fees	990,349		
2008A Revenue Bonds	302,506	<u>2,822,779</u>	
Total funds for Water Capital Projects	\$		<u>2,822,779</u>
Sewer Capital Projects			
Future Commitments			
Fund Balance and Interest Income	296,046		
Acreage Fees	737,126		
Capacity Fees	1,161,897		
2008A Revenue Bonds	88,606	<u>2,283,675</u>	
Total funds for Sewer Capital Projects	\$		<u>2,283,675</u>
Gas Capital Projects			
Future Commitments			
Fund Balance and Interest Income	8,034,943		
2008A Revenue Bonds	1	<u>8,034,943</u>	
Total funds for Gas Capital Projects	\$		<u>8,034,944</u>
Grand total funds for Capital Projects	\$		<u><u>15,619,902</u></u>

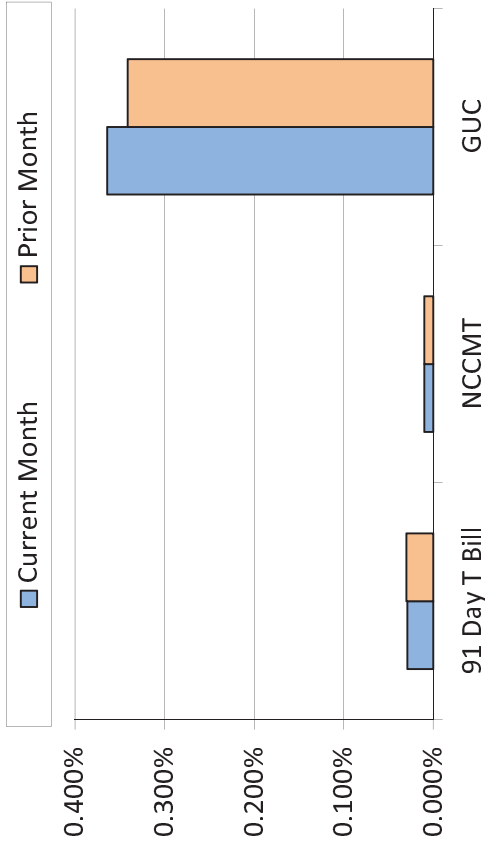
Investment Portfolio Diversification

August 31, 2014

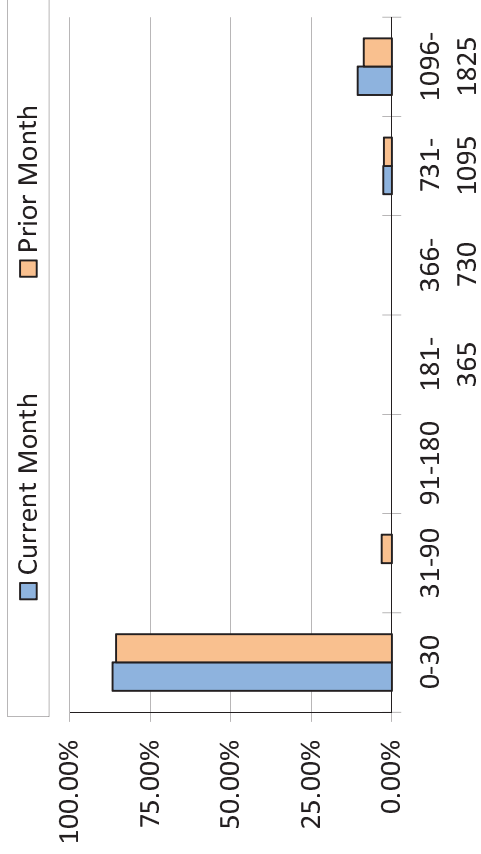


Cash and Investment Report
August 31, 2014

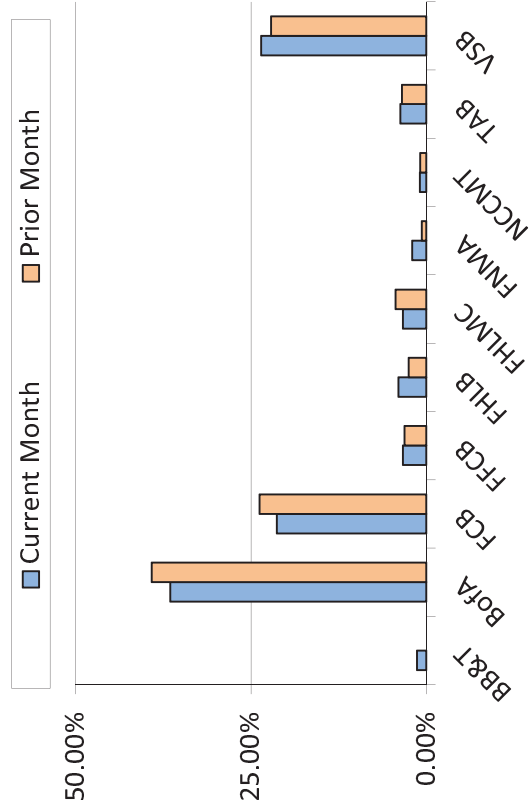
Yield Comparison



Days to Maturity
Percent of Portfolio



Portfolio by Issuer



GUC Investments Summary by Issuer August 31, 2014

Issuer	Number of Investments	Par Value	Market Value	% of Portfolio	Average YTM 365	Average Days to Maturity
Branch Bank & Trust Co.	1	1,000,183.34	1,000,183.34	1.33	0.010	1
Bank of America	2	27,451,871.27	27,451,871.27	36.51	0.191	1
First Citizens Bank	2	16,035,060.78	16,035,060.78	21.32	0.050	1
Federal Farm Credit Bank	4	2,512,780.00	2,512,780.00	3.34	1.752	1,619
Federal Home Loan Bank	6	3,000,000.00	3,002,915.50	3.99	1.219	1,639
Federal Home Loan Mort Corp	5	2,500,000.00	2,501,396.00	3.33	1.308	1,252
Federal National Mort Assoc	3	1,500,000.00	1,497,567.50	1.99	1.583	1,492
N C Capital Management Trust	2	692,706.38	692,706.38	0.92	0.079	1
TrustAtlantic Bank	2	2,777,448.21	2,777,448.21	3.69	0.354	307
Vantage South Bank	2	17,723,912.07	17,723,912.07	23.57	0.371	4
Total and Average	29	75,181,182.05	75,195,841.05	100.00	0.364	204

GUC Investments
Portfolio Management
Portfolio Details - Investments
August 31, 2014

CUSIP	Investment #	Issuer	Average Balance	Purchase Date	Par Value	Market Value	Book Value	Stated Rate	YTM 360	YTM 365	Days to Maturity	Maturity Date
Certificates of Deposit - Bank												
SY5762	762	TrustAtlantic Bank		04/28/2014	500,000.00	500,000.00	500,000.00	1.650	1.627	1.650	1,700	04/28/2019
SY5754	754	Vantage South Bank		09/25/2013	2,500,000.00	2,500,000.00	2,500,000.00	0.500	0.493	0.500	24	09/25/2014
		Subtotal and Average	3,000,000.00		3,000,000.00	3,000,000.00	3,000,000.00		0.682	0.692	303	
NC Capital Management Trust												
SY533	33	N C Capital Management Trust			92,480.45	92,480.45	92,480.45	0.010	0.010	0.010	1	
SY5745	745	N C Capital Management Trust			600,225.93	600,225.93	600,225.93	0.090	0.089	0.090	1	
		Subtotal and Average	690,880.34		692,706.38	692,706.38	692,706.38		0.078	0.079	1	
Passbook/Checking Accounts												
SY5735	735	Bank of America			1,255,063.11	1,255,063.11	1,255,063.11	0.001	0.001	0.001	1	
SY5706	706	First Citizens Bank		07/01/2014	97.00	97.00	97.00	0.001	0.001	0.001	1	
		Subtotal and Average	947,719.99		1,255,160.11	1,255,160.11	1,255,160.11		0.001	0.001	1	
Money Market Accounts												
SY5774	774	Branch Bank & Trust Co.		08/13/2014	1,000,183.34	1,000,183.34	1,000,183.34	0.010	0.010	0.010	1	
SY5733	733	Bank of America			26,196,808.16	26,196,808.16	26,196,808.16	0.200	0.197	0.200	1	
SY5704	704	First Citizens Bank			16,034,963.78	16,034,963.78	16,034,963.78	0.050	0.049	0.050	1	
SY5705	705	TrustAtlantic Bank			2,277,448.21	2,277,448.21	2,277,448.21	0.070	0.069	0.070	1	
SY5703	703	Vantage South Bank			15,223,912.07	15,223,912.07	15,223,912.07	0.350	0.345	0.350	1	
		Subtotal and Average	63,652,079.50		60,733,315.56	60,733,315.56	60,733,315.56		0.187	0.190	1	
Federal Agency Coupon Securities												
3133EDB60	755	Federal Farm Credit Bank		12/04/2013	500,000.00	501,171.50	500,000.00	1.200	1.184	1.200	1,190	12/04/2017
3133EDKR2	763	Federal Farm Credit Bank		04/30/2014	1,000,000.00	1,007,204.00	1,000,000.00	1.870	1.844	1.870	1,702	04/30/2019
3133EDN81	766	Federal Farm Credit Bank		06/12/2014	500,000.00	502,249.00	500,000.00	1.850	1.825	1.850	1,745	06/12/2019
3133EDP48	771	Federal Farm Credit Bank		06/24/2014	500,000.00	502,155.50	500,000.00	1.970	1.943	1.970	1,757	06/24/2019
313383VM0	758	Federal Home Loan Bank		12/03/2013	500,000.00	501,370.50	500,820.00	1.800	1.739	1.764	1,457	08/28/2018
3130A25V4	767	Federal Home Loan Bank		06/18/2014	500,000.00	500,305.00	500,000.00	0.500	0.493	0.500	1,751	06/18/2019
3130A2D78	768	Federal Home Loan Bank		06/26/2014	500,000.00	499,722.00	500,000.00	1.300	1.282	1.300	1,212	12/26/2017
3130A2F68	773	Federal Home Loan Bank		07/09/2014	500,000.00	500,912.50	500,000.00	2.000	1.973	2.000	1,772	07/09/2019
3030A2RZ1	777	Federal Home Loan Bank		08/26/2014	500,000.00	500,139.50	500,000.00	0.500	0.493	0.500	1,820	08/26/2019
3130A2UH7	778	Federal Home Loan Bank		08/27/2014	500,000.00	500,466.00	500,000.00	1.250	1.233	1.250	1,821	08/27/2019
3134G4NU3	756	Federal Home Loan Mort Corp		12/20/2013	500,000.00	499,579.00	500,000.00	0.720	0.710	0.720	841	12/20/2016

Portfolio GUC
CP
PM (PRF_PM2) 7.3.0

GUC Investments
Portfolio Management
Portfolio Details - Investments
August 31, 2014

CUSIP	Investment #	Issuer	Average Balance	Purchase Date	Par Value	Market Value	Book Value	Stated Rate	YTM 360	YTM 365	Days to Maturity	Maturity Date
Federal Agency Coupon Securities												
3134G4NU3	757	Federal Home Loan Mort Corp		12/20/2013	500,000.00	499,579.00	500,000.00	0.720	0.710	0.720	841	12/20/2016
3134G5AF2	769	Federal Home Loan Mort Corp		07/09/2014	500,000.00	500,933.00	500,000.00	2.000	1.973	2.000	1,772	07/09/2019
3134G5AF2	770	Federal Home Loan Mort Corp		07/09/2014	500,000.00	500,933.00	500,000.00	2.000	1.973	2.000	1,772	07/09/2019
3134G5AG0	772	Federal Home Loan Mort Corp		06/30/2014	500,000.00	500,372.00	500,000.00	1.100	1.085	1.100	1,033	06/30/2017
3136G1Y94	759	Federal National Mort Assoc		12/19/2013	500,000.00	498,805.50	500,000.00	0.750	0.740	0.750	840	12/19/2016
3136G23P0	776	Federal National Mort Assoc		08/20/2014	500,000.00	498,454.50	500,000.00	2.000	1.973	2.000	1,814	08/20/2019
3136G23X3	779	Federal National Mort Assoc		08/28/2014	500,000.00	500,307.50	500,000.00	2.000	1.973	2.000	1,822	08/28/2019
Subtotal and Average			8,581,465.16		9,500,000.00	9,514,659.00	9,500,820.00		1.420	1.440	1,509	
Total and Average			76,872,145.00		75,181,182.05	75,195,841.05	75,182,002.05		0.359	0.364	204	

Portfolio GUC
CP
PM (PRF_PM2) 7.3.0

Financial Report

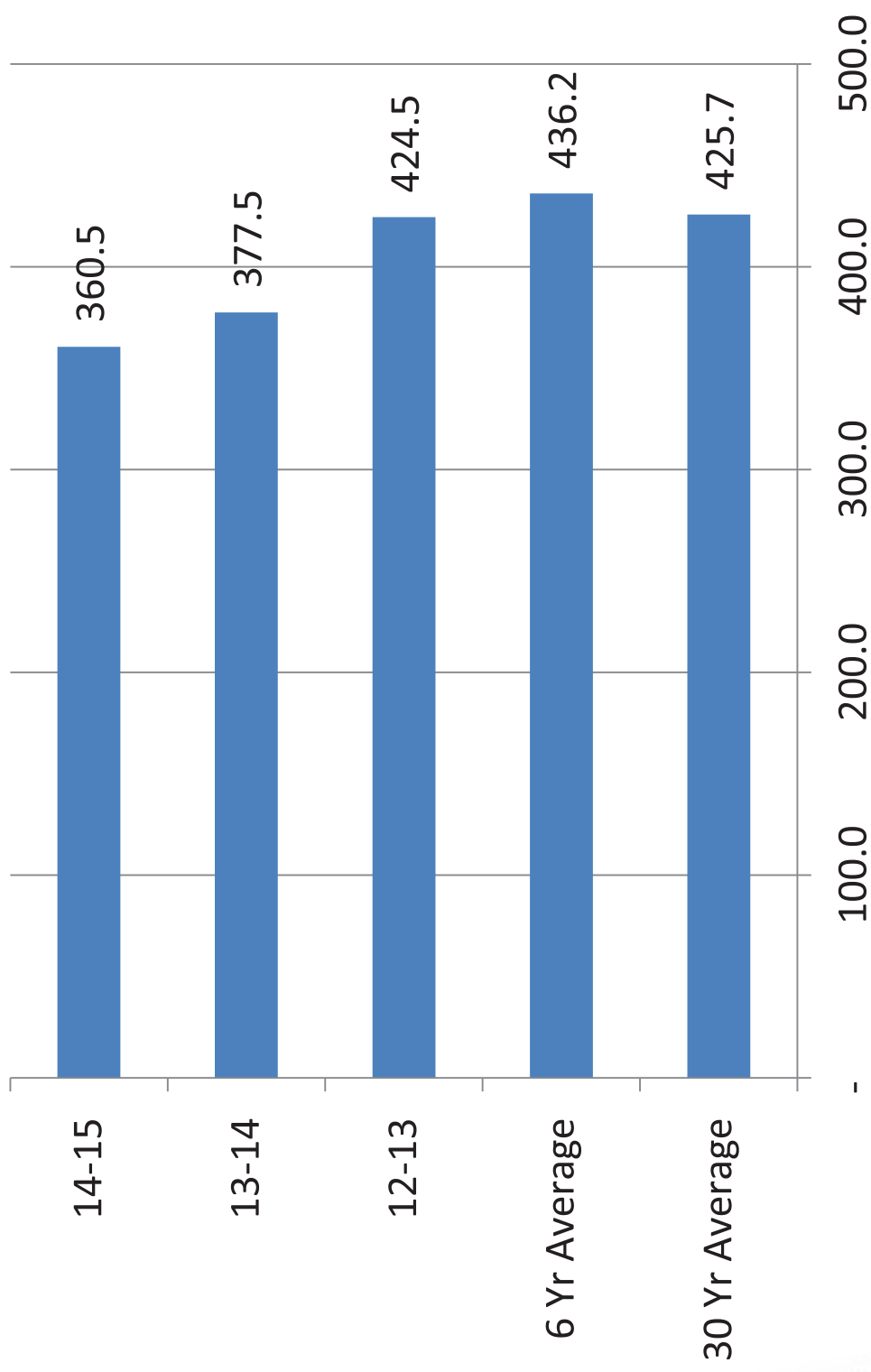
August 31, 2014



Greenville
UTILITIES

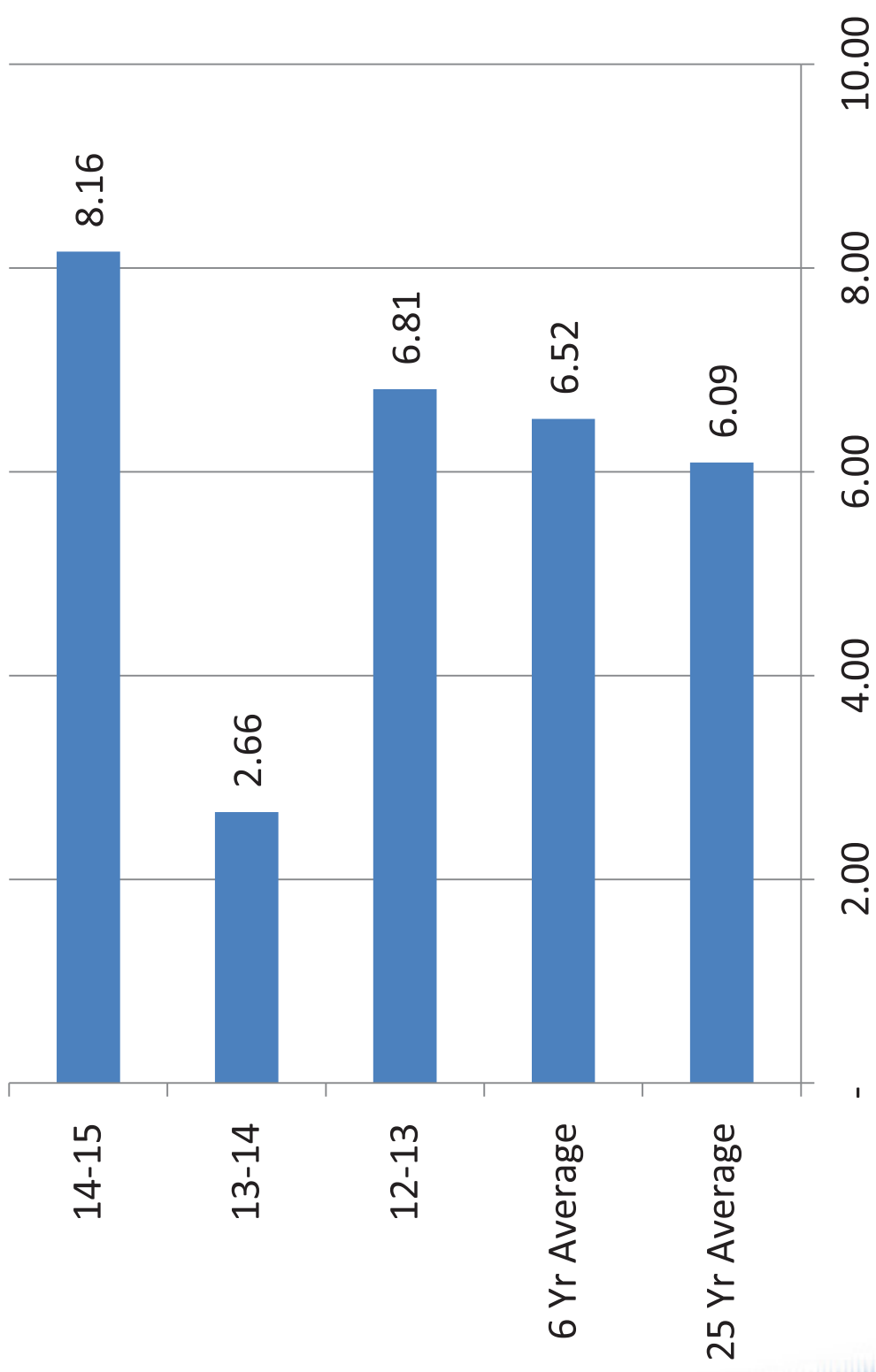
Weather Impact

August cooling degree days



Weather Impact (cont.)

August rainfall



Growth in Customer Connections

Annual Comparison: August

	13-14	12-13	11-12	10-11	09-10
Electric	337	311	89	439	544
Water	273	48	300	(11)	380
Sewer	256	90	271	171	367
Gas	140	61	98	223	246

Growth (August 2013 – August 2014)

Consumption (Volumes Billed)

Fund	August 2014	August 2013	% Chg
Electric kWh	154,094,822	162,904,422	-5.4%
Water Kgal	301,506	302,320	-0.3%
Sewer kgal	226,578	236,271	-4.1%
Gas Ccf	1,688,610	1,482,894	13.9%

Growth (August 2013 – August 2014)

Consumption (Volumes Billed)

Fund	YTD August 2014	YTD August 2013	% Chg
Electric kWh	298,626,002	298,888,414	-0.1%
Water Kgal	603,243	578,304	4.3%
Sewer kgal	443,993	443,830	0.0%
Gas Ccf	2,819,166	2,643,466	6.6%

Key Performance Indicators

<i>August 2014</i>				
Fund	Operating Cash Balance	Days Cash on Hand	Fund Balance	
Electric	\$44,020,779	84	12.8%	
Water	\$4,177,697	135	15.4%	
Sewer	\$7,350,501	256	33.6%	
Gas	\$20,149,831	365	44.2%	
Combined	\$75,698,808	118	19.2%	
Current Liabilities	(\$22,886,241)			
Fund Balance Available for Appropriation	\$52,812,567	82		

Fund Equity/Deficit

<i>August 2014</i>					
	Actual	Budget	Prior Year	Change Prior Year to Actual	
Electric	\$670,334	\$441,245	(\$254,038)	\$924,372	
Water	(\$96,878)	\$95,844	(\$104,438)	\$7,560	
Sewer	\$73,381	\$75,093	(\$18,911)	\$92,292	
Gas	(\$123,280)	(\$405,635)	(\$416,858)	\$293,578	
Combined	\$523,557	\$206,547	(\$794,245)	\$1,317,802	

YTD Fund Equity/Deficit

<i>August 2014</i>				
	Actual	Budget	Prior Year	Change Prior Year to Actual
Electric	\$1,169,169	\$1,176,949	\$70,930	\$1,098,239
Water	\$78,520	\$238,692	(\$132,503)	\$211,023
Sewer	\$232,832	\$195,570	\$132,280	\$100,552
Gas	(\$496,071)	(\$818,757)	(\$777,408)	\$281,337
Combined	\$984,450	\$792,454	(\$706,701)	\$1,691,151

Portfolio Management

	August 2014	August 2013	August 2012
Interest Earnings	\$27,757	\$14,596	\$23,469
Yield	0.36%	0.20%	0.32%

Summary

- Overall positive YTD results - \$984,450
- Electric Fund – \$1,169,169
- Water Fund – \$78,520
- Sewer Fund – \$232,832
- Gas Fund – (\$496,071)
- Days cash on hand and fund balance remain stable

The background of the cover is a deep blue with a subtle grid pattern of small squares. A large, glowing blue arc curves across the middle. In the lower portion, there are faint, overlapping images of US dollar bills and a line graph with a downward-pointing arrow. The text is centered in the upper half.

Greenville Utilities

Financial Report

August 31, 2014



Agenda Item # 3

Meeting Date: September 18, 2014

Item:	Consideration of Adoption of Firm Wholesale Water Supply Rate Schedule W-4
Contact:	Randy Emory
Explanation:	<p>The Board approved a firm wholesale water supply agreement with the Town of Winterville at its August 21, 2014 meeting.</p> <p>The existence of a Firm Wholesale Water Supply Agreement with Winterville, and potentially other public water systems in the future, generates a need for the Commission to have a <u>Firm Wholesale Water Supply To Public Water Systems</u> Rate Schedule. This schedule stipulates the conditions under which firm wholesale water supply service will be provided.</p> <p>This rate schedule is similar to others previously adopted by the Board which cover Interruptible Service (W-3), Wastewater Service to Municipalities (S-4), and Sewer Only Customers (S-5)</p>
Previous Board Actions:	None
Fiscal Note:	N/A
Recommended Action(s):	Staff recommends adoption of the attached Water Rate Schedule W-4, Firm Wholesale Water Supply To Public Water Systems

GREENVILLE UTILITIES COMMISSION

WATER RATE SCHEDULE W-4 FIRM WHOLESAL WATER SUPPLY TO PUBLIC WATER SYSTEMS

I. APPLICABILITY

This rate schedule is applicable to water supply service to any public water system, for the purpose of the Commission providing firm wholesale water supply service to the public water system. This rate schedule shall only be available to public water supply systems for the wholesale purchase of water intended for resale.

II. AVAILABILITY

Firm wholesale water supply service will only be available to public water systems, which have, by executed Water Purchase Agreement with the Commission, agreed to comply with all terms and conditions of service as set forth in the legal agreement and the Commission's Utility Regulations.

Public Water Systems receiving service under this schedule shall be responsible for furnishing, owning, operating and properly maintaining all water system facilities necessary to serve the system's customers.

III. METER READING AND BILLING

The provision and maintenance of metering equipment at systems interconnection points shall be in accordance with the terms of the Water Purchase Agreement. Commission personnel shall read the meter(s) and the Commission shall render a bill to the system on a monthly basis.

IV. MONTHLY CHARGE

The Commission shall bill the public water system on a monthly basis, based on the volume of water supplied by the Commission. Rates, fees and charges shall be as stipulated in the Water Purchase Agreement,

Water Rate Schedule W-4
Firm Wholesale Water Supply to Public Water Systems

V. GENERAL PROVISIONS

- (a) Water supplied under this rate schedule shall meet the Primary and Secondary Water Quality Standards established by the State of North Carolina.
- (b) Water supply services supplied hereunder shall be at a single point, or multiple points of metering, as established by mutual agreement.
- (c) Billing, payments and penalties will be handled in accordance with the Commission's existing policies, or as such practices may be changed or amended.
- (d) The Commission, or by mutual agreement the customer, shall install metering and booster pumping facilities on an as needed basis. Such equipment shall be owned, operated and maintained by the Commission. The point of delivery shall be the discharge side of the Commission's water supply delivery service facilities and the Commission will not be liable to the Customer or any of his agents, servants, or employees, or to any person whomsoever for any loss, damage, or injury to person or property resulting from said water supply or its use after it leaves said point of delivery, all risk thereof and therefrom being assumed by the Customer, except when caused by the exclusive negligence or willful acts of employees of the Commission. The Commission's representatives shall have the right of ingress and egress to the Customer's property at any time for any purpose involving the service of water as provided under this rate schedule.
- (e) Service under this rate schedule is subject to the rules, regulations and tax levies of duly constituted regulatory bodies having jurisdiction over either or both parties.
- (f) Commission agrees that all metering and booster pumping facilities owned by the Commission will be installed according to applicable codes and regulations and maintained in a safe condition.

Water Rate Schedule W-4
Firm Wholesale Water Supply to Public Water Systems

VI. PAYMENTS

Bills are due when rendered, and subject to a 1% penalty if not paid by the due date. For additional information, refer to Utility Regulations, Part D, Customer Service Policy.

VII. TERMS OF CONTRACT

Per written agreement.

Effective October 1, 2014



**Greenville
Utilities**

Agenda Item # 4

Meeting Date: September 18, 2014

Item:	Recommended Award of Capital Outlay Project for Replacement of 800 MHz Digital Mobile Radio System
Contact:	Roger Jones
Explanation:	<p>GUC operates a primary and backup 800 MHz Analog Radio System. The primary site located at the Wastewater Treatment Plant (WWTP) is an eight channel system. The backup site located at the Wal Mart water tower is a three channel system. The primary site has been in service since January 1998. The backup system was purchased in September 1999. The existing system is approaching end of life and the equipment manufacturer will no longer support or provide repair parts for the system after 2016.</p> <p>In response to the Request For Proposals (RFP) for the Design, Specifications, and Quotation of a 800 MHz Digital Mobile Radio System, three proposals were received. After review of the proposals, the Electric Department and Finance Department recommend the award per the vendor's submitted proposal, references, and qualifications to Wireless Communications Inc.</p> <p>The proposed equipment will replace the primary and backup site's tower equipment, all user equipment and dispatch consoles. The proposed equipment will offer fifteen channels at the primary site and five channels at the backup site. System features include digital trunking and encryption of radio communications, AVL (Automatic Vehicle Location) and cell phone integration.</p>
Previous Board Actions:	N/A
Fiscal Note:	The 800 MHz Digital Mobile Radio System will be funded by capital outlay for fiscal year 2014/2015. The 800 MHz Digital Mobile Radio System estimated cost is \$786,000.
Recommended Action(s):	Award of Capital Outlay Project for the Replacement of 800 MHz Digital Mobile Radio System to Wireless Communications Inc.



**Greenville
Utilities**

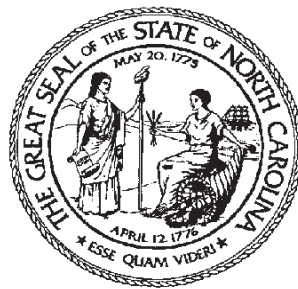
Agenda Item # 5

Meeting Date: September 18, 2014

Item:	Consideration of Adoption of Records Retention and Disposition Schedule
Contact:	Phil Dixon
Explanation:	<p>Chapters 121 and 132 of the General Statutes of North Carolina provide that records that do not have further use or value for official business, research, or reference purposes after the respective retention period, specified in the “Municipal Records Retention and Disposition Schedule,” are authorized to be destroyed or otherwise disposed of by the agency or official having custody of them without further reference to or approval. This schedule was created by the North Carolina Division of Archives and History and is updated approximately every 10 years to ensure that valuable records are preserved and that records of a temporary nature are disposed of when no longer required.</p> <p>The Government Records Branch has revised and reissued the Municipal Retention and Disposition Schedule. The new schedule requires each local government to define when administrative value ends for many types of records. This is a new change in the law.</p> <p>Adoption of the Records Retention and Disposition Schedule will authorize GUC departments to destroy outdated public records upon their reaching the ages approved in the schedule.</p>
Previous Board Actions:	Board adopted the current Municipal Records Retention and Disposition Schedule on November 17, 2009.
Fiscal Note:	N/A
Recommended Action(s):	Adopt proposed Municipal Records Retention and Disposition Schedule and authorize the General Manager/CEO and Board Chair to sign the approval form on behalf of GUC.

RECORDS RETENTION AND DISPOSITION SCHEDULE

MUNICIPAL



Issued By:



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

September 10, 2012

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MUNICIPAL
Records Retention and Disposition Schedule

The records retention and disposition schedule and retention periods governing the records series listed herein are hereby approved. In accordance with the provision of Chapters 121 and 132 of the *General Statutes of North Carolina*, it is agreed that the records do not and will not have further use or value for official business, research, or reference purposes after the respective retention periods specified herein and are authorized to be destroyed or otherwise disposed of by the agency or official having custody of them without further reference to or approval of either party to this agreement. However, records subject to audit or those legally required for ongoing official proceedings must be retained until released from such audits or official proceedings, notwithstanding the instructions of this schedule. *Public records including electronic records not listed in this schedule are not authorized to be destroyed.*

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

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

APPROVAL RECOMMENDED

Executive Secretary

General Manager/CEO

APPROVED

Chair

Municipality: Greenville Utilities Commission

September 18, 2014

EXECUTIVE SUMMARY

- ✓ According to G.S. §121-5 and G.S. §132-3, you may only destroy public records with the consent of the Department of Cultural Resources (DCR). The State Archives of North Carolina is the division of DCR charged with administering a records management program. This schedule is the primary way the State Archives of North Carolina gives its consent. Without approving this schedule, your municipality is obligated to obtain the State Archives of North Carolina's permission to destroy *any* record, no matter how insignificant.
- ✓ Each record series listed on this schedule has specific disposition instructions which will indicate how long that series must be kept in your offices. In some cases, the disposition instructions are simply "Retain in office permanently," which means that those records must be kept in your offices forever. In other cases, the retention period may be "destroy in office when administrative value ends." Administrative value is defined as, "the usefulness of records to support ancillary operations and the routine management of an organization." Your agency must establish and enforce internal policies by setting minimum retention periods for the records that the State Archives of North Carolina has scheduled with the disposition instructions, "destroy when administrative value ends."
- ✓ Email is a record as defined by G.S. §121-5 and G.S. §132. It is the content of the email that is critical when determining the retention period of a particular email, including attachments, not the media in which the records were created. Email should be retained in the same manner as its paper counterpart. It is important for all agency employees and officials to determine the appropriate record series for specific emails and retain them according to the disposition instructions.
- ✓ The State Archives of North Carolina recommends that all municipal employees and officials take our online tutorials in order to familiarize themselves with records management principles and practices. The State Archives of North Carolina's online tutorials include topics such as records management, utilizing the retention schedule, email management, and scanning guidelines.
- ✓ The State Archives of North Carolina provides microfilming of the minutes of major decision-making boards and commissions in a municipality. Once those records are filmed, we will store the silver negative (original) in our security vault.
- ✓ There is a nominal fee for filming and duplicating film. Contact the Records Management Analyst assigned to your municipality for the most current information.

MANAGING PUBLIC RECORDS IN NORTH CAROLINA

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

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

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

Q. *How do I get it approved?*

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

Q. *Do I have to have all of the records listed on this schedule?*

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

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

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

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

- A.** According to North Carolina General Statutes §121 and §132, every document, paper, letter, map, book, photograph, film, sound recording, magnetic or other tape, electronic data processing record, artifact, or other documentary material, regardless of physical form or characteristic, made or received in connection with the transaction of public business by any state, county, municipal agency, or other political subdivision of government is considered a public record and may not be disposed of, erased, or destroyed without specific guidance from the State Archives of North Carolina. The State Archives of North Carolina recognizes that many records exist that may have very short-term value to the creating agency. These records may be destroyed or otherwise disposed of when their reference value ends. However, all public employees should be familiar with specific records retention and disposition schedules and applicable guidelines for their office and the Public Records law (G.S. §132). When in doubt about whether a record has short-term value, or whether it has special significance or importance, retain the record in question.
-

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

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

Q. *I can’t find some of my records on this schedule.*

- A.** Sometimes the records are listed in a different standard than how you organize them in your office. Be sure to check the Index and utilize the “search box” function on the PDF version of the schedule. If you still cannot locate your records on the schedule, then contact the Records Management Analyst assigned

to your municipality. We will work with you to amend this records schedule to include records so that you may destroy them appropriately.

Q. *What are public records?*

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

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

Q. *Can anyone see my records?*

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

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

Q. *What about my confidential records?*

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

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

A. Yes, even if a report, permit, or other record has not been finalized. Any record that is not confidential by law must be copied when a request is received, whether it is "finished" or not.

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

A. Permanent records should be maintained in the office that created the records, forever. Permanent records must also have a security preservation duplicate, which is either a paper or microfilm copy.

Q. *What is historical value?*

A. Historical records document significant events, actions, decisions, conditions, relationships, and similar developments. These records have administrative, legal, fiscal, or evidential importance for the government or its citizens. Call the Records Management Analyst assigned to your municipality for further assistance.

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

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

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

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

Q. *Our old records are stored in the attic, basement or off-site building, etc. Do we have to let anyone who asks see them?*

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

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

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

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

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

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

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

Q. *Whom can I call with questions?*

- A.** If you are located west of about Statesville, call our Western Office in Asheville at (828) 296-7230 extension 224. East of Statesville, all the way to the coast, call our Raleigh office at (919) 807-7350.

AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS

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

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

Records used during routine audits may be destroyed when the governing body accepts the audit, if the records have completed the retention period listed in this schedule. If time remains in the retention period, the records must be maintained for the remainder of the period. The auditor's working papers must be kept according to the schedule. (See [AUDITS: PERFORMANCE](#) Item 7, page 2 and [AUDITS: FINANCIAL](#) Item 6, page 26.) Should a dispute arise over an audit, the records that were audited should be retained until that dispute is resolved.

The attorney representing the municipality 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.

DESTRUCTION OF PUBLIC RECORDS

Q. *When can I destroy records?*

- A.** Each record series listed on this schedule has specific disposition instructions that indicate how long that series must be kept in your offices. In some cases, the disposition instructions are “Retain in office permanently,” which means that those records must be kept in your offices forever. (See also the question below, “*How should I deal with my permanent records?*”)
-

Q. *How do I destroy records?*

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

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

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

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

If the records do not have historical value, we will ask you to complete a [Request for Disposal of Unscheduled Records](#) (located at the end of this schedule) if the records are not currently created. If the records are an active records series, your analyst will help you develop an amendment to this schedule so that you can continue to destroy the records appropriately.

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

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

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

- A.** We recommend that you report on your records retention activities to your Board of Commissioners on an annual basis. This report does not need to be detailed, but it is important that significant destructions be entered into the minutes of the Board.

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

Q. *When can I delete my email?*

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

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

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

Other publications will be particularly helpful in managing your email (available online at the State Archives of North Carolina website):

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

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

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

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

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

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

A. You may scan any record, including permanent records. You will need to get approval from our agency in order to destroy paper originals that have been digitized. Your office should follow the instructions in the *North Carolina Guidelines for Managing Public Records Produced by Information Technology Systems* to conduct the Self-Warranty process, develop an Electronic Records Policy, and complete a copy of the [Request for Disposal of Original Records Duplicated by Electronic Means](#), (located at the end of this schedule). Then submit all three to us.

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

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

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

Non-permanent records may be retained in any format, and therefore you may be approved to destroy hard copy originals after proper imaging. You will have to take precautions with records that you must keep more than about 10 years. Computer systems do not have long life cycles. Each time you change computer systems, you will have to convert all records to the new system so that you can assure their preservation and provide access. Your office will still be required to conduct the Self-Warranty process, establish an Electronic Records Policy, and submit the [Request for Disposal of Original Records Duplicated by Electronic Means](#) form for our approval.

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

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

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

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

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

MICROFILM

Q. *Why do you still use microfilm?*

A. Microfilm is a legally acceptable replacement for original records, as outlined in G.S. §8-45 and §153A-436. Microfilm can be read with nothing more sophisticated than a magnifying glass. There is no software to keep current. Usually, deterioration in the film itself can be detected by visual inspection. Our office 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 State Archives of North Carolina provides microfilming of minutes of major decision-making boards and commissions in a municipality. Once those records are filmed, we will store the silver original in our security vault. There is a nominal fee for filming and duplicate film. Contact the Records Management Analyst assigned to your municipality for the most current information.

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

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

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

Q. *What if I need my books while they’re being filmed?*

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

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

A. Not at this time. We require originals or photocopies of the approved minutes, complete with signatures. We are currently working on standards and procedures for an electronic transfer system for minutes. Please contact the Records Management Analyst in charge of minutes microfilming for more information.

Q. *I have some old minutes that aren’t signed. Can they still be filmed?*

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

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

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

DISASTER ASSISTANCE

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

- A.** Secure the area, and keep everyone out until fire or other safety professionals allow entry. Then, call our Raleigh office at (919) 807-7353 for the Head of the Government Records Branch or (919) 807-7339 for the State Archivist. If you're in the western part of the state, call our Asheville Office at (828) 296-7230 extension 224. On nights and weekends, call your local emergency management office.

DO NOT ATTEMPT TO MOVE OR CLEAN ANY RECORDS.

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

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

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

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

- A.** We provide training to interested governments on disaster preparation. We discuss the roles of proper inventories, staff training, and advance contracts with recovery vendors. If you would like to have this workshop presented, just call the Records Management Analyst assigned to your municipality.
-

STAFF TRAINING

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

- A.** We have a group of prepared workshops that we can offer at any time at various locations throughout the state. Contact your Records Management Analyst if you are interested in having one of the workshops presented to your agency. We will work with you directly to develop training suited to your specific needs. Our basic workshops are:
- **Managing Public Records in North Carolina** – our basic introduction to the Public Records law and records management;
 - **Scanning Public Records: Laying the Groundwork** – considerations and procedures to establish an imaging system;
 - **Email as a Public Record** – considerations, tips and tricks on managing, filing, and public access to your email;
 - **Disaster Preparedness and Recovery** – how to be prepared for disasters, and what will have to be done after a disaster happens.

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

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

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

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

Q. *Is there a fee for workshops?*

- A.** Not at this time.

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

- A.** Not at this time. However, there are several online tutorials available on the State Archives of North Carolina website, including:
- **Managing Public Records for Local Agencies-** Our basic introduction to the Public Records law and records management.
 - **Managing Your Inbox: Email as a Public Record-** Public employees increasingly rely on electronic mail (email) as a quick and useful communication tool for carrying out government business. However, email presents many challenges. This tutorial will help you learn how to properly manage, retain and dispose of your email.
 - **Managing Electronic Public Records: Recognizing Perils and Avoiding Pitfalls-** More and more government employees use computers as they conduct their daily business. While computers are invaluable tools that store large amounts of data that can be easily searched, depending solely upon electronic records can be dangerous. In this tutorial you will learn some of the problems associated with electronic records and you will receive advice on how to protect those records.

STANDARD-1. ADMINISTRATION AND MANAGEMENT RECORDS
 Official records pertaining to the authority, operating philosophy, methods, primary functions, and routine administration of municipal offices.

STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS			
ITEM #	RECORD 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 administrative value ends.† Agency Policy: Destroy in office after 2 years <i>Retention note: Official record maintained permanently by the County Board of Elections.</i>	G.S. § 163-300
2.	ADMINISTRATIVE DIRECTIVES, POLICIES, PROCEDURES, REGULATIONS, RULES	Retain in office permanently.	
3.	AGENDA AND MEETING PACKETS FILE Includes agendas, exhibits, and copies of supporting documentation submitted and discussed during meetings of public bodies. See also MINUTES OF PUBLIC BODIES item 44, page 10.	a) Retain records with historical value permanently. b) Destroy in office other records when administrative value ends.† Agency Policy: Destroy in office after 5 years	
4.	APPLICATIONS FOR APPOINTMENT Applications and related records received from individuals applying for appointments to serve on public boards, commissions, councils and committees.	a) Destroy in office records concerning appointed individuals 1 year after expiration of term. b) Destroy in office remaining records after 1 year.	

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

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

STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
5.	APPOINTMENTS REPORTING RECORDS Includes public boards, commissions, councils and committees annual appointment reports filed with the NC Department of the Secretary of State and related records.	Destroy in office after 2 years.	G.S. § 143-157.1
6.	ASSOCIATIONS AND ORGANIZATIONS FILE Records concerning associations, organizations, groups, etc., that have some form of association or relationship with the agency.	a) Retain records with historical value permanently. b) Destroy in office remaining records when administrative value ends. † Agency Policy: Destroy in office after 1 year	
7.	AUDITS: PERFORMANCE Records concerning internal and external audits conducted to assess the function of government programs. Includes reports, working papers, and related records. See also AUDITS: FINANCIAL item 6, page 26.	a) Retain reports permanently. b) Destroy in office working papers and remaining records 3 years after the date of the report.	
8.	AUDIO AND VIDEO RECORDINGS OF MEETINGS	Destroy in office after approval of official written minutes.	
9.	BEER AND WINE LICENSES Issuance and payment records.	Destroy in office 3 years after expiration.*	
10.	BLUEPRINTS AND SPECIFICATIONS Blueprints and specifications of municipally owned buildings and facilities. May include as-built plans and related records concerning approved changes.	Retain in office for life of structure.	Comply with applicable provisions of G.S. §132-1.7 regarding the confidentiality of security records.

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

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

STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS

ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
11.	BUSINESS CERTIFICATION RECORDS Applications and supporting documentation submitted by businesses to be certified as a Small Business Enterprise (SBE) or other classification.	a) Destroy in office 3 years after most recent recertification. b) Destroy in office applications for which a certification was never issued when administrative value ends.† Agency Policy: N/A	
12.	BUSINESS DEVELOPMENT SUBJECT FILES	Destroy in office after 3 years or when superseded	
13.	BULLETINS	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after 1 year	
14.	CALENDARS OF EVENTS AND APPOINTMENTS	Destroy in office when superseded or obsolete.	
15.	CENSUS PROJECT FILE Records created to assist the U.S. Census Bureau and county agencies with the decennial census.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after next census	
16.	CHARTER RECORDS Charter and charter proceedings related to adoption, amendment and/or repeal.	Retain in office permanently.	
17.	CITIZEN COMPLAINTS AND SERVICE REQUESTS Records concerning objections, dissatisfaction, or disagreements with actions or positions taken or not taken by a municipal agency. May include routine requests for service or information.	Destroy in office 1 year after resolution.*	

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

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STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
18.	CITIZEN REBATE PROGRAM RECORDS	<ul style="list-style-type: none"> 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 administrative value ends.† Agency Policy: Destroy in office after 1 year 	
19.	CITIZEN SURVEYS Surveys and related records addressing town services, policies and other concerns.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after 2 years	
20.	COMPREHENSIVE PLAN Long-range plan outlining policies, guidelines and plans for future development of the municipality. Includes but is not limited to official copy of comprehensive plan and all background surveys, studies, reports, and draft versions of plans.	<ul style="list-style-type: none"> a) Retain official copy in office permanently. b) Destroy in office background surveys, studies, reports, and drafts 3 years after adoption of plan. 	
21.	CONFERENCES AND WORKSHOPS FILE Records concerning conferences and workshops conducted or attended by municipal employees. See also EMPLOYEE TRAINING AND EDUCATIONAL RECORDS item 28, page 107.	<ul style="list-style-type: none"> a) Retain records with historical value permanently. b) Destroy in office remaining records when administrative value ends.† Agency Policy: Destroy in office after 1 year 	
22.	CONTRACTOR COMPLIANCE MONITORING FILES	Destroy in office 5 years after contract expiration.	

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

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STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
23.	<p>CORRESPONDENCE AND MEMORANDA Administrative and management correspondence/memoranda written or received by the office concerning agency authority, operating philosophy, purpose, methods, and any other function.</p> <p>For information on handling email, See Electronic Records and Digital Imaging page viii.</p>	<p>a) Transfer after 3 years correspondence, including email with historical value to the HISTORIES FILE item 39, page 8.</p> <p>b) Destroy in office routine administrative correspondence and memoranda when administrative value ends.† Agency Policy: Destroy in office after 3 years</p> <p>c) Destroy in office remaining records after 3 years.</p> <p><i>Retention Note: The correspondence, including email, of the city manager and department heads have historical value and should be retained.</i></p>	
24.	<p>CUSTOMER CALL CENTER RECORDINGS Recordings made of calls to customer service centers for quality assurance and training purposes.</p>	<p>Destroy in office when administrative value ends.† Agency Policy: Destroy in office after 90 days</p>	
25.	<p>DONATIONS AND SOLICITATIONS</p>	<p>Destroy in office after 1 year.</p>	
26.	<p>EMPLOYEE SECURITY RECORDS Records concerning the issuance of keys, identification cards, pass, parking permits, etc., to employees.</p>	<p>Destroy in office when administrative value ends.† Agency Policy: Destroy in office after 1 year post employment</p>	

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

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STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
27.	<p>EQUIPMENT AND FACILITY USAGE RECORDS Records concerning the assignment, request and usage of agency assets. May include mileage and check-out logs, fuel consumption reports, facility reservation requests, authorizations and similar records relating to the assignment and use of agency owned property.</p> <p>See also VEHICLE USAGE RECORDS item 8, page 53.</p>	<p>a) Destroy in office after 3 years if records are used for allocating costs or determining payment under rental or lease agreements.*</p> <p>b) Destroy in office remaining records after 1 year.</p>	
28.	<p>EQUIPMENT AND PROPERTY INVENTORIES Inventories describing the type of property or equipment, its location and related information.</p>	Destroy in office when superseded or obsolete.	
29.	<p>EQUIPMENT AND VEHICLE REFERENCE FILE Includes operation, specification and technical manuals, brochures, bulletins, and related documentation.</p>	Destroy in office when superseded or obsolete.	
30.	<p>EQUIPMENT MAINTENANCE, REPAIR AND INSPECTION RECORDS Records concerning the maintenance, repair and inspection of municipally owned equipment.</p> <p>See also GRANTS item 37, page 8.</p>	<p>a) Destroy in office records documenting routine inspections, janitorial cleaning and maintenance of equipment after 1 year.</p> <p>b) Retain for life of equipment records documenting all other equipment maintenance and repairs.</p>	

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

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STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
31.	FACILITY ACCESSIBILITY FILE Records concerning compliance with the Americans with Disabilities Act (ADA). May include survey of municipal buildings to determine accessibility to the physically handicapped, federal regulations, proposals for implementing the act, correspondence, including email, resolutions, and solutions to access problems.	Destroy in office after 5 years.*	29 CFR 1602
32.	FACILITY MAINTENANCE, REPAIR AND INSPECTION RECORDS Records concerning the maintenance, repair and inspection of municipal owned facilities. See also GRANTS item 37, page 8.	a) Destroy in office records documenting routine inspections, janitorial cleaning and maintenance of facilities after 1 year. b) Destroy in office records concerning all other facility maintenance, repair and inspection (including plumbing, electrical, fire and other systems) in office after 3 years.	
33.	FUND DRIVE AND EVENT RECORDS Records concerning the promotion and organization of fund drives and other special events in which the agency participated.	a) Retain records with historical value permanently. b) Destroy in office remaining records after 1 year.	
34.	GOALS AND OBJECTIVES	a) Retain records with historical value permanently. b) Destroy in office remaining records when superseded or obsolete.	
35.	GOING-OUT-OF-BUSINESS LICENSES Licenses granted to business to hold going out of business, water and smoke damage, and distress sales.	Destroy in office 1 year after expiration.	G.S. §66-77
36.	GRANT CONTRACT APPEALS CASES	Destroy in office 10 years after final action or decision.*	

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

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STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
37.	GRANT PROPOSALS Proposals submitted for grants. File may include applications, correspondence, including email, and other related records.	<ul style="list-style-type: none"> a) Transfer records concerning approved grants to GRANTS item 37, page 8 if approved. b) Destroy in office rejected or withdrawn grant proposals when administrative value ends.† Agency Policy: Destroy in office after 1 year 	
38.	GRANTS Records concerning approved federal, state, and private grants. May include applications, reports, records of equipment purchased with grant funds, and all relevant programmatic records. See also GRANTS: FINANCIAL item 36, page 30.	<ul style="list-style-type: none"> a) Destroy in office records relating to specific non-continuing grants 5 years after termination or when released from audit.* b) Destroy in office yearly records relating to specific continuing grants 5 years after annual financial report is filed. c) Destroy in office records not relating to a specific grant or to grants not funded after 1 year. 	09 NCAC 03M.0703
39.	HISTORIES FILE (AGENCY AND EMPLOYEES) Records concerning the history of the organization and its employees. May include published and unpublished histories, biographical data, photographs, newspaper clippings, and other related records.	<ul style="list-style-type: none"> a) Retain records with historical value permanently. b) Destroy in office remaining records when superseded or obsolete. 	
40.	INDEX FILE Listing of where specific information can be found.	Destroy in office when superseded or obsolete.	
41.	LEGISLATION AND REGULATORY RECORDS Notices and copies of proposed or adopted state or federal legislation or regulations affecting the agency.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after 5 years	

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

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STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
42.	MAILING AND DISTRIBUTION RECORDS Includes mailing and meeting notification lists, Sunshine Lists and related documentation of transactions with the U.S. Postal Service or private carriers.	a) Destroy in office Sunshine Lists when superseded or obsolete. b) Destroy in office all other records when administrative value ends.† Agency Policy: Destroy in office after 1 year	Comply with applicable provisions of G.S. §132-1.13 regarding confidentiality of electronic mailing lists and G.S. §132-1.12 regarding confidentiality of juvenile records.
43.	MANAGEMENT STUDIES Internal studies by administrators and staff throughout all agency offices. File may include studies, surveys, statistical reports, memoranda, cost analysis, projections, problem solving and comparable data that examine any aspect of the agency administration.	a) Retain records with historical value permanently. b) Destroy in office remaining records when superseded or obsolete.	

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

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STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
44.	<p>MINUTES OF PUBLIC BODIES As defined by G.S. § 143-318.10 (b), includes official and reference copies of the governing board and all subsidiary and advisory boards. Subsidiary boards are defined as boards that exercise or are authorized to exercise legislative, policy-making, quasi-judicial, or administrative functions. Also includes minutes of subcommittees of the governing board and its subsidiary and advisory boards.</p> <p>See the Microfilm section on page x for instructions on microfilming.</p>	<p>a) The official minutes of the governing board and its subsidiary boards are permanent records.</p> <p>b) The official minutes of advisory boards may only be destroyed upon approval by the Department of Cultural Resources (DCR). DCR reserves the right to designate the minutes of any advisory board as permanent.</p> <p>c) Minutes of committees or subcommittees may be destroyed when administrative value ends, if the minutes or actions and decisions of the committee are entered as part of the minutes of the parent board. If minutes or actions and decisions of the committee or subcommittee in question are not entered as part of the minutes of the parent board, DCR reserves the right to designate the minutes as permanent. †</p> <p>Agency Policy: Permanent</p>	G.S. § 143-318.10
45.	<p>MINUTES (STAFF MEETINGS) Minutes of meetings including all referenced and attached documentation.</p>	<p>a) Retain records with historical value permanently.</p> <p>b) Destroy in office remaining records when administrative value ends. †</p> <p>Agency Policy: N/A (minutes of staff meetings are not required); however, if staff produces notes of staff meetings for reasons beyond personal use, these notes shall be maintained according to the Retention Schedule according to the document type per this Schedule</p>	G.S. § 143-318.10(c)

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

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STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
46.	<p>MISCELLANEOUS (NON-BUILDING) APPLICATIONS AND PERMITS Includes, but not limited to, applications and permits regarding burning, special events, and landscape establishment.</p> <p>See also MISCELLANEOUS (BUILDING) APPLICATIONS AND PERMITS item 19, page 38.</p>	<p>a) Destroy in office 1 year after expiration of permit.</p> <p>b) Destroy in office applications for which a permit was never issued when administrative value ends.† Agency Policy: Destroy in office after 1 year</p>	
47.	<p>NOTICES OF PUBLIC MEETINGS Includes notices and regular meeting schedules.</p> <p>See also AFFIDAVITS OF PUBLICATION item 1, page 91.</p>	<p>Destroy in office when administrative value ends.† Agency Policy: Destroy in office after 1 year</p>	
48.	<p>OFFICE SECURITY RECORDS Records concerning the security of municipal offices, facilities, vehicles, equipment, and personnel. May include visitor's register, security, employee or contractor access to facilities or resources, and surveillance system reports and recordings.</p>	<p>a) Destroy in office or reuse after 30 days recordings not required to support known investigations or litigation</p> <p>b) Destroy in office all remaining records after 1 year.</p>	<p>Comply with applicable provisions of G.S. §132-1.7 regarding the confidentiality of security records.</p>
49.	<p>ORDINANCES Includes code of ordinances and ordinance development records.</p> <p>See the Microfilm section on page x for instructions on microfilming.</p>	<p>a) Retain official copy permanently.</p> <p>b) Destroy in office additional copies (including tabled or failed ordinances) when administrative value ends.† Agency Policy: Destroy in office after 1 year</p> <p>c) Destroy in office development records when ordinance is no longer in effect or when administrative value ends.† Agency Policy: Destroy in office after 1 year</p>	

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

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STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
50.	ORGANIZATION RECORDS Includes organizational charts, reorganization studies and similar records describing the arrangement and administrative structure of the agency.	a) Retain records with historical value permanently. b) Destroy in office all other copies when superseded or obsolete.	
51.	PARKING FILE Records concerning staff parking assignments.	Destroy in office when superseded or obsolete.	
52.	PEST CONTROL RECORDS Records concerning municipal pest eradication programs.	Destroy in office after 3 years*	
53.	PETITIONS (CITIZEN) Petitions signed by citizens requesting action by agency.	Destroy in office after 1 year.*	
54.	PLANNING AND DEVELOPMENT FILE Records concerning the formulation, planning and adoption of policies, procedures and functions of the agency and its departments.	a) Retain records with historical value permanently. b) Destroy in office remaining records when administrative value ends.† Agency Policy: Destroy in office after 1 year	
55.	POLL LIST/REGISTRATION LIST/ROSTER/ AUTHORIZATION TO VOTE (ATV) Lists documenting registered electors and votes cast prior to County Board of Elections taking over municipal elections. Includes electronic or paper ATV related records such as ATV books, forms, unused stickers, lists, registers, indexes, or similar record used to verify persons are registered voters at each polling location.	Contact State Archives of North Carolina prior to destroying old poll books and voter registration books.	G.S. §163 Article 15A G.S. §163-166.7 08 NCAC 10B .0103 42 U.S.C. 1973gg et seq.

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

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STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
56.	PROCLAMATIONS AND ORDERS Proclamation and orders issued by the city/town council.	Destroy in office 1 year after recording in minutes.	
57.	PROJECTS FILE Includes project correspondence, including email, final reports, specifications and contract documents, notices to proceed, cost estimates, change orders, performance and payment bonds and similar documentation.	a) Retain records with historical value permanently. b) Destroy in office remaining records 3 years after completion of project.	
58.	PUBLIC HEARING RECORDS Includes agendas, minutes, speaker sign up sheets and similar documentation.	a) Retain minutes permanently. b) Destroy in office remaining records when administrative value ends.† Agency Policy: Destroy in office after minutes are approved	
59.	PUBLIC RECORDS DISCLOSURE FILE Formal requests submitted by persons seeking access to municipal records.	Destroy in office 2 years after resolution.*	
60.	PUBLICATIONS RECEIVED Includes books, magazines, periodicals, pamphlets, brochures, journals and newspapers, whether printed or electronic.	Destroy in office when superseded or obsolete.	
61.	QUARTERLY UTILIZATION REPORTS Reports relating to municipal business and economic development programs.	Destroy in office 1 year after submission of report.	

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

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STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
62.	RECORDS MANAGEMENT FILE Includes correspondence, including email, with state and/or federal agencies, records disposition documentation and copies of records retention and disposition schedules.	a) Retain records concerning the final disposition of records permanently. b) Destroy in office remaining records when superseded or obsolete.	
63.	RECREATIONAL VEHICLE REGISTRATION RECORDS Records concerning issuance of registrations/decals for recreational vehicles including, but not limited to, golf carts, canoes, and mopeds. May include proof of insurance and renewals.	Destroy in office 1 year after expiration.*	
64.	REFERENCE (READING) FILE Subject file containing informational copies of records organized by areas of interest.	Destroy in office when superseded or obsolete.	

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

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STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
65.	<p>REPORTS AND STUDIES (INTERNAL ADMINISTRATION) Records concerning the performance of a department, program, or project, as well as those created for planning purposes. May include all annual, semi-annual, or irregularly prepared reports and studies generated by an agency or prepared by consultants hired by the agency.</p>	<p>a) Retain in office 1 copy of all biennial and annual reports permanently.</p> <p>b) Retain reports and studies prepared by request of an agency's governing body or a court permanently.</p> <p>c) Destroy in office reports prepared monthly, bimonthly, or semi-annually after 3 years.</p> <p>d) Destroy in office activity reports concerning workload measurements, time studies, number of jobs completed, etc., prepared on a daily or other periodic basis after 1 year.</p> <p>e) Destroy in office remaining reports and studies when administrative value ends.† Agency Policy: Destroy in office after 1 year; or 5 years if related to Class & Pay Study</p> <p><i>Retention Note: Reports and studies listed elsewhere in this schedule should be retained the specified period of time.</i></p>	
66.	<p>REQUESTS FOR PROPOSALS Proposals submitted by vendors in response to requests from departments. See also BIDS FOR PURCHASE item 9, page 26.</p>	<p>Destroy in office when administrative value ends.† Agency Policy: Destroy in office after 3 years</p>	
67.	<p>REQUISITIONS FILE Requests for payment of parts and inventory items.</p>	<p>Destroy in office after 1 year.</p>	

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

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STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
68.	RESEARCH AND STUDIES FILE (ADMINISTRATIVE) Includes feasibility studies, planning and land use studies, transportation system plans, and similar documents and supporting records with potential long-term value.	a) Retain records with historical value permanently. b) Destroy in office remaining records when administrative value ends.† Agency Policy: Destroy in office after 1 year	
69.	RESOLUTIONS File consists of resolutions indicating date, issues or policy involved, and appropriate signatures. See the Microfilm section on page x for instructions on microfilming.	a) Retain one copy permanently. b) Destroy in office additional copies (including those tabled or failed) when administrative value ends. c) Destroy in office development records when administrative value ends.† Agency Policy: Destroy in office after 1 year	
70.	SURPLUS PROPERTY FILE	Destroy in office 3 years after disposition of property.*	
71.	TELEPHONE USAGE LOGS AND REPORTS	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after 1 year	
72.	TRAVEL REQUESTS	Destroy in office after 1 year.*	
73.	VETERANS COMMISSION QUARTERLY REPORTS	Destroy in office after 5 years.	
74.	WORK ORDERS (EQUIPMENT REPAIR) Records include date and location or work, cost of materials used and labor, type of work performed and similar information.	a) Destroy in office 1 year after work is completed.* b) If this is the only record documenting work completed, follow disposition instructions for EQUIPMENT MAINTENANCE, REPAIR AND INSPECTION RECORDS item 29, page 6.	

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STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
75.	<p>WORK ORDERS (FACILITY REPAIR) Records include date and location of work, cost of materials used and labor, type of work performed and similar information.</p>	<p>a) Destroy in office 1 year after work is completed.* b) If this is the only record documenting work completed, follow disposition instructions for FACILITY MAINTENANCE, REPAIR AND INSPECTION RECORDS item 31, page 7.</p>	

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

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STANDARD-2. AIRPORT AUTHORITY RECORDS

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

STANDARD-2: AIRPORT AUTHORITY RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	AIR SPACE CONSTRUCTION FILES Applications to construct structures which may obstruct flight space. May include correspondence and related records.	Destroy in office after 5 years.	
2.	AIRFIELD INSPECTION FILES Records concerning airfield inspections on runway conditions, fire and rescue facilities, ground vehicle control and other airport condition information.	Destroy in office after 1 year.	14 CFR 139.301.
3.	AIRPORT CERTIFICATION MANUAL Manual containing a description of operating procedures, facilities and equipment, responsibility assignments, and any other information needed by personnel concerned with operating the airport.	a) Destroy in office when superseded or obsolete. b) Retain records with historical value permanently.	14 CFR 139.201

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STANDARD-2: AIRPORT AUTHORITY RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.	<p>AIRPORT COMMISSION MINUTES</p> <p>See the Microfilm section on page x for instructions on microfilming minutes.</p>	<p>a) The official minutes of the governing board and its subsidiary boards are permanent records.</p> <p>b) The official minutes of advisory boards may only be destroyed upon approval by the Department of Cultural Resources (DCR). The DCR reserves the right to designate the minutes of any advisory board as permanent.</p> <p>c) Minutes of committees or subcommittees may be destroyed when administrative value ends, if the minutes or actions and decisions of the committee are entered as part of the minutes of the parent board. If minutes or actions and decisions of the committee or subcommittee in question are not entered as part of the minutes of the parent board, DCR reserves the right to designate the minutes as permanent.†</p> <p>Agency Policy: N/A</p>	
5.	<p>AIRPORT MASTER RECORD FILES</p> <p>Federal Aviation Administration (FAA) form 5010 documenting basic information concerning airports</p>	<p>Destroy in office when superseded.</p>	
6.	<p>COMMUNICATIONS RECORDINGS</p> <p>Audio recordings of radio and telephone communications and complaint calls.</p>	<p>Destroy in office after 30 days if not made part of a case file. *</p>	
7.	<p>LAND DEVELOPMENT AND PLANNING STUDIES AND REPORTS</p> <p>Records documenting local government and airport authority land use and development planning.</p>	<p>Retain in office permanently.</p>	

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

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STANDARD-2: AIRPORT AUTHORITY RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
8.	RADIO LOGS Records of radio calls received and placed.	Destroy in office after 1 year.	

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STANDARD-3. ANIMAL CONTROL AND SHELTER RECORDS

Records and materials regarding conduct of municipal animal control and shelter programs.

STANDARD-3: ANIMAL CONTROL AND SHELTER RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<p>ACTIVITY REPORTS (ANIMAL CONTROL) Daily, weekly and monthly reports to County Health Department, Department of Health Services, etc., providing statistics regarding complaints answered, dogs and cats impounded, impounded animals euthanized, vaccinations, and dog and cat bites reported.</p> <p>See also REPORTS AND STUDIES (INTERNAL ADMINISTRATION), item 65, page 15.</p>	Destroy in office after 1 year.	
2.	<p>ANIMAL ADOPTION RECORDS Includes pre-adoption records and agreements.</p>	Destroy in office after 2 years.	
3.	<p>ANIMAL ABUSE CASES</p>	Destroy in office after 5 years.*	
4.	<p>ANIMAL BITE RECORDS Includes copies of bite reports filed with the local Public Health Department.</p> <p>See also DANGEROUS ANIMAL RECORDS, item 11, page 23.</p>	Destroy in office after 3 years.*	G.S. §130A-196, 197, 198.

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

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STANDARD-3: ANIMAL CONTROL AND SHELTER RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
5.	ANIMAL COMPLAINT RECORDS Includes complaints of animal abuse and nuisances. See also DANGEROUS ANIMAL RECORDS , item 11, page 23.	Destroy in office after 3 years.*	
6.	ANIMAL CONTROL CITATIONS/COMPLIANCE ORDERS Includes citations and/or compliance orders issued to animal owners of violations of municipal ordinances. See also DANGEROUS ANIMAL RECORDS , item 11, page 23.	Destroy in office after 3 years.*	
7.	ANIMAL CONTROL RECORDS Reports of animal control calls. May include information regarding animal bites, animals received from citizens, strays caught, animals taken to shelters or returned to owner, use of tranquilizer guns, and other related information.	a) Destroy in office records concerning dangerous animals until known dead or after 10 years. b) Destroy in office records concerning animal abuse cases after 5 years. c) Destroy in office remaining records after 1 year.	
8.	ANIMAL CRUELTY RECORDS Includes complaints, citations and/or compliance orders, and similar records.	Destroy in office when administrative value ends.†* Agency Policy: N/A	G.S. §14-360
9.	CERTIFICATES OF ANIMAL RELEASE Certificates verifying health of animals examined and released by municipal animal control.	Destroy in office after 1 year.	

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

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

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STANDARD-3: ANIMAL CONTROL AND SHELTER RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
17.	SHELTER DISPOSITION SHEETS Sheets filed on each animal processed by the animal shelter, containing information on whether the animal is reclaimed by the owner, adopted or euthanized.	Destroy in office after 1 year.	
18.	VACCINATION RECORDS Includes rabies vaccination certificates sent to municipal animal control by area veterinarians.	Destroy in office after 3 years.	

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

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STANDARD-4. BUDGET, FISCAL AND PAYROLL RECORDS
Records created and accumulated incidental to the managerial control, budgeting, disbursement, collection and accounting of the municipal offices.

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

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

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STANDARD-4: BUDGET, FISCAL AND PAYROLL RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.	<p>AUDITS: FINANCIAL Records concerning internal and external financial statements and related financial audits. Includes reports, working papers, and related records. See also AUDITS: PERFORMANCE item 7, page 2.</p>	<p>a) Retain reports permanently. b) Destroy in office working papers and remaining records 3 years after the date of the report.*</p>	G.S. § 159-34
7.	<p>AUTHORIZATION FORMS Authorization to purchase materials.</p>	Destroy in office after 3 years.*	
8.	<p>BANK STATEMENTS, CANCELED CHECKS, DEPOSIT SLIPS, RECONCILIATIONS, AND WARRANTS May include credit card and purchasing card statements and receipts.</p>	Destroy in office after 3 years.*	
9.	<p>BIDS FOR PURCHASE Records concerning quotes to supply products and services. May include advertisements, requests for proposals, tabulations, bid bonds, awards letters, records of bids, good faith effort documentation, and related records concerning accepted and rejected bids.</p>	<p>a) Destroy in office successful (awarded) construction (capital improvements) bid records 6 years after completion or termination of project.* b) Destroy in office all other successful (awarded) bid records 3 years after purchase.* c) Destroy in office unsuccessful bid records not awarded or opened after 1 year.*</p>	G.S. § 143 Article 8
10.	<p>BIDS FOR DISPOSAL OF PROPERTY Records concerning the disposal of surplus property. May include various disposition procedures used, such as sealed bids and public auction.</p>	Destroy in office all records after the disposition of property has been recorded in governing board's minutes.*	G.S. § 160A Article 12

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

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STANDARD-4: BUDGET, FISCAL AND PAYROLL RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
11.	BILLING AND CLAIMS Records used as the basis for payment of bills and claims for damages made by and against the agency.	Destroy in office 3 years after settlement.*	
12.	BILLS OF SALE Records of sale of municipal property and equipment.	Destroy in office after 3 years.*	
13.	BOND AND OTHER DEBT FINANCIAL RECORDS Includes banks statements, reconciliation records, requisitions, and notices of principal and interest due.	Destroy in office 3 years after entire issuance has been satisfied.*	
14.	BOND CLOSING RECORDS Includes applications, agreements, tax records, contracts, official statements, legal opinions, ratings letters, public hearing bonds, title insurance, deeds of trust, and other related records.	Destroy in office 3 years after entire issuance has been satisfied.*	G.S. § 159 Article 7
15.	BONDS, NOTES AND COUPONS	Destroy in office 1 year from date of payment.	G.S. § 159-139
16.	BOND REGISTER Records of all bonds, notes, and coupons issued detailing the purpose of issuance, the date of issue, serial numbers (if any), denomination, maturity date, and total principal amount.	Retain in office permanently.	G.S § 159-130
17.	BUDGET RESOLUTIONS AND ORDINANCES Includes copies of budget, annual balanced budget, and project ordinances, resolutions, and amendments.	a) Retain official copies in the minutes of the governing board permanently. b) Destroy in office remaining copies when administrative value ends.† Agency Policy: Destroy in office after 5 years	G.S § 159-8 G.S. § 159-13 G.S. § 159-13.2 G.S § 159-15

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

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STANDARD-4: BUDGET, FISCAL AND PAYROLL RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
18.	BUDGET REQUESTS AND WORKING PAPERS Includes budget requests, cost estimates, expenditures, program requests, salary and wage lists, correspondence, including email, and related records.	Destroy in office after 3 years.*	G.S. § 159-10
19.	CASH RECEIPTS	Destroy in office after 3 years.*	
20.	CHECK REGISTERS, VARIOUS FUNDS Register listing for all checks written for various funds.	Destroy in office after 3 years.*	
21.	CHECK STUBS Stubs for checks written on agency accounts.	a) Destroy in office official/audit copies after 3 years.* b) Destroy in office remaining records after 1 year.	
22.	CONTRACT BUDGET AND EXPENDITURE REPORTS Reports concerning agency budget transactions.	Destroy in office after 3 years.*	
23.	COST ALLOCATION PLANS	Destroy in office after 3 years.*	
24.	CREDIT CARD AND DEBIT SLIPS Records of payments received from customers in the transaction of municipal business.	Destroy in office after 3 years.*	
25.	CREDIT CARD USE FILE Records of assignment of municipal credit cards and purchasing cards	Destroy in office after 1 year.*	
26.	DAILY CASH REPORTS Daily status of cash. Reports include receipts, disbursements, cash and invested balances.	Destroy in office after 1 year.*	

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

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STANDARD-4: BUDGET, FISCAL AND PAYROLL RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
27.	DAILY DETAIL REPORTS	Destroy in office after 1 year.*	
28.	DEPOSITS	a) Destroy in office official/audit copies after 3 years.* b) Destroy in office remaining records after 1 year.	G.S. § 159-32
29.	DETAIL REPORT FILE (FINANCIAL RECORDS FOR GENERAL FUND OR GENERAL LEDGER)	a) Destroy in office annual reports after 3 years.* b) Destroy in office all other reports after 1 year.	
30.	DIRECT DEPOSIT APPLICATIONS/AUTHORIZATIONS Includes related records such as bank account numbers and routing numbers.	Destroy in office when superseded or obsolete.	Comply with applicable confidentiality provisions of G.S. §132-1.10(b)(5) regarding personal identifying information.
31.	DISTRICT INVESTMENT RECORDS	Destroy in office after 3 years.*	
32.	ESCHEAT AND UNCLAIMED PROPERTY FILE	Destroy in office after 10 years.*	Comply with applicable provisions of G.S. §116B-60 and §116B-73.
33.	EXPENDITURE REPORTS	Destroy in office after 3 years.*	
34.	FACILITY SERVICE AND MAINTENANCE AGREEMENTS See also GRANTS: FINANCIAL item 36, page 30.	a) Destroy in office depreciation schedules 3 years after asset is fully depreciated or disposed. b) Destroy in office remaining records after 3 years.*	

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

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STANDARD-4: BUDGET, FISCAL AND PAYROLL RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
35.	FINANCIAL JOURNALS AND LEDGERS	a) Destroy in office year-end summaries of receipts and disbursements after 3 years.* b) Destroy in office daily, monthly or quarterly transaction detail journals and ledgers after 1 year.*	
36.	GRANTS: FINANCIAL Records concerning approved federal, state, and private grants. May include all relevant accounting, purchasing, payroll, and financial records. See also GRANTS item 37, page 8.	Destroy in office 5 years after submission of final report.*	09 NCAC 03M.0703
37.	INSURANCE FILE Certificates of insurance and related records provided by insurance providers as proof of coverage. See also BILLING AND CLAIMS item 11, page 27, and GRANTS: FINANCIAL item 36, page 30.	Destroy in office 3 years from date of termination, expiration, or settlement of all claims.*	
38.	INVESTMENT RECORDS Includes fund information, portfolio listings and reports, balance sheets, requests to invest and withdraw, notices, and other related account activity documentation.	Destroy in office after 3 years.*	G.S. § 159-30
39.	INVOICES	Destroy in office after 3 years.*	
40.	LOAN RECORDS Records concerning loans made to the municipality. May include promissory notes.	Destroy in office 3 years after loan is satisfied.*	

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

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STANDARD-4: BUDGET, FISCAL AND PAYROLL RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
41.	LOCAL GOVERNMENT COMMISSION FINANCIAL STATEMENTS	Destroy in office after 3 years.*	G.S. §159-33 and §159-33.1.
42.	LOCAL GOVERNMENT EMPLOYEES RETIREMENT SYSTEM MONTHLY REPORTS	Destroy in office after 3 years.*	
43.	MONTHLY BUDGET REPORTS	Destroy in office after 3 years.*	
44.	PAID CHECKS, BILLS AND VOUCHERS	Destroy in office after 3 years.*	
45.	PAYROLL AND EARNINGS RECORDS Records containing information such as the name, social security number, number of hours worked, compensation rate, deductions, and total wages paid each employee per payroll period. May include individual and group employee earnings records and payroll registers showing earnings and deductions for each pay period.	<ul style="list-style-type: none"> a) Transfer records documenting personnel actions to PERSONNEL RECORDS (OFFICIAL COPY) item 47, page 112. b) Destroy in office 30 years from date of separation records used for retirement or similar benefits verification. c) Destroy in office all remaining records after 4 years.* 	<p>Comply with applicable provisions of G.S. §160A-168 regarding confidentiality of personnel records.</p> <p>FICA Reg. § 316001-1 29 CFR 516.2, 516.5 29 CFR 1627.3(a)</p>
46.	PAYROLL DEDUCTION RECORDS Records used to start, modify, or stop all voluntary or required deductions from payroll. May include bank payments, savings plans, insurance, association dues, NC-4 forms, orders of garnishment, etc. Used as proof the employee approved of the deduction(s). Does not include federal tax deduction records.	<ul style="list-style-type: none"> a) Destroy in office deduction authorization forms and records when superseded or obsolete.* b) Destroy in office remaining records after 4 years.* 	Comply with applicable provisions of G.S. §160A-168 regarding confidentiality of personnel records.

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

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STANDARD-4: BUDGET, FISCAL AND PAYROLL RECORDS		
ITEM #	RECORD SERIES TITLE	CITATION
		DISPOSITION INSTRUCTIONS
47.	POPULAR ANNUAL FINANCE REPORT	<p>a) Retain records with historical value permanently.</p> <p>b) Destroy in office other records when administrative value ends.† Agency Policy: Destroy in office after 5 years</p>
48.	POWELL BILL RECORDS Records include certified statements, expenditures reports, information sheets, financial statements submitted to the North Carolina Department of Transportation and all other related documentation.	Destroy in office after 3 years if released from all audits.*
49.	PURCHASE ORDERS Records, forms, packing slips and attached documents concerning purchased supplies, equipment, and services. See also GRANTS: FINANCIAL item 36, page 30.	<p>a) Destroy capital improvement purchase orders 6 years after completion or termination of project.*</p> <p>b) Destroy in office all other purchase orders after 3 years.*</p> <p><i>Retention note: Packing slips may be destroyed upon verification of items received if they are not the only record of the purchase of the item.</i></p>
50.	PURCHASING REPORTS AND LOGS Reports and logs containing quote information such as vendor name, item descriptions, price, award dates, and related information.	Destroy in office after 1 year.*
51.	RECIPIENT CHECK AND CANCELLATION REGISTERS	Destroy in office after 3 years.*

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

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STANDARD-4: BUDGET, FISCAL AND PAYROLL RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
52.	ROOM OCCUPANCY TAX REPORTS	Destroy in office after 3 years.*	Comply with applicable provisions of G.S. §153A-148.1 regarding confidentiality of taxpayer income/receipts.
53.	TELEPHONE LOGS (BILLINGS) Log used to record telephone calls, charges, and costs.	Destroy in office after 1 year.*	
54.	TIME SHEETS, CARDS, AND ATTENDANCE RECORDS Records concerning the work hours and attendance of employees.	a) Destroy in office 30 years from date of separation records used for retirement or similar benefits verification. b) Destroy in office all remaining records after 3 years.*	29 CFR 516.6 29 CFR 825.500
55.	TRAVEL REIMBURSEMENTS Includes authorizations and requests for reimbursement for travel and related expenses. See also GRANTS: FINANCIAL item 36, page 30.	Destroy in office after 3 years.*	
56.	VENDOR FILE Records concerning specific vendors. May include accounts payable activity, Federal Tax Identification Number, name and address, correspondence, including email, and related records.	Destroy in office when superseded or obsolete.	
57.	VOUCHER REGISTERS FILE	Destroy in office after 3 years.*	
58.	VOUCHERS	Destroy in office after 3 years.*	

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

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STANDARD-4: BUDGET, FISCAL AND PAYROLL RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
59.	<p>WITHHOLDING TAX FILE Records concerning individual employee's income taxes. May include wage and income tax reports, IRS forms W-2, W-3, W-4, 1099, and similar records of withheld federal and state income taxes. May also include IRS form 941 and other records of municipal tax liabilities to the IRS and NC Department of Revenue.</p>	<p>a) Destroy in office 30 years from date of separation records used for retirement or similar benefits verification.</p> <p>b) Destroy in office all remaining records after 4 years.*</p>	<p>Comply with applicable provisions of G.S. §160A-168 regarding confidentiality of personnel records.</p> <p>29 CFR 1627.3 26 CFR 31.6001-1 26 CFR 31.6001-4</p>

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

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STANDARD-5. BUILDING INSPECTION RECORDS

Official records and materials created and accumulated during the conduct of municipal building inspection programs.

In accordance with G.S. §153A-373, "The inspection department shall keep complete, and accurate records in convenient form of each application received, each permit issued, each inspection and reinspection made, and each defect found, each certificate of compliance granted, and all other work and activities of the department. These records shall be kept in the manner and for the periods prescribed by the North Carolina Department of Cultural Resources. The department shall submit periodic reports to the Board of Commissioners and to the Commissioner of Insurance as the Board or the Commissioner may require." (1969, s. 1: c.822, s.1; 1983, c.377, s.6.)

STANDARD-5: BUILDING INSPECTION RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	BLUEPRINTS AND SPECIFICATIONS Blueprints, drawings, and specifications submitted when applying for a building permit for new construction. Used in determining code compliance and enforcement of building code.	<ul style="list-style-type: none"> a) Destroy in office residential blueprints and specifications when administrative value ends.† Agency Policy: Destroy in office after 1 year after building permit expires b) Destroy in office commercial blueprints and specifications 1 year after issuance of certificate of occupancy. c) Retain governmental blueprints and specifications for life of structure. 	Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of government building detailed plans and drawings.
2.	BUILDING AND FIRE CODE VIOLATIONS CASES Includes complaints, notices, and other information created or compiled during the course of investigation and resolution of each alleged violation. May include appeals.	Destroy in office 3 years after verification of correction.	

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

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STANDARD-5: BUILDING INSPECTION RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
3.	BUILDING INSPECTION REPORTS Records concerning existing building inspections.	a) Destroy in office inspections with no defects after 6 years. b) Destroy in office inspections with noted defects 6 years after defect is corrected.	
4.	BUILDING PERMITS AND APPLICATIONS Applications from property owners to erect new structures or to make structural modifications to existing ones and permits allowing the construction. May include contractor change forms.	a) Destroy in office 6 years after issuance of certificate of occupancy and/or expiration of permit. b) Destroy in office applications for which a permit was never issued when administrative value ends.† Agency Policy: Destroy in office after 1 year	
5.	BUILDING PERMIT LOG Record showing permit number, date, name of owner, cost of construction, permit date, and receipts.	Destroy in office after 6 years.	
6.	BUILDING PERMIT RECEIPT BOOKS	Destroy in office after 3 years.*	
7.	BUILDING TRADES CERTIFICATIONS	Destroy in office when superseded or obsolete.	
8.	BURNING PERMITS (BUILDING INSPECTIONS) Records concerning permits issued during the site construction.	a) Destroy in office after 3 years. b) Destroy in office applications for which a permit was never issued when administrative value ends.† Agency Policy: Destroy in office after 5 years	
9.	CERTIFICATES OF OCCUPANCY Records indicating buildings in the city which have been inspected and approved for occupancy.	Destroy in office after 6 years.	

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

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STANDARD-5: BUILDING INSPECTION RECORDS		
ITEM #	RECORD SERIES TITLE	CITATION
10.	CONSTRUCTION REPORTS	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after 5 years
11.	CONTRACTORS LICENSING	Destroy in office when superseded or obsolete.
12.	DEMOLITION FILE. Records relating to demolition and clearance of buildings deemed unfit for habitation. File includes building inspection reports, letter to property owners, and demolition documents.	Destroy in office after 6 years.*
13.	ENCROACHMENTS OF RIGHT-OF-WAY APPLICATIONS AND PERMITS	c) Destroy in office 3 years after case is resolved. d) Destroy in office applications for which a permit was never issued when administrative value ends.† Agency Policy: Destroy in office after 1 year
14.	INSPECTIONS Inspection requests, notices of violations, denial reports, sketches, plans, correspondence, including email, and similar records concerning the construction, modification or demolition of existing and new buildings, or the installation of plumbing, electrical or mechanical systems.	Destroy in office 6 years after completion of project.
15.	INSPECTOR WORKSHEETS	a) Destroy in office 6 years after completion of project if worksheet is only record of inspections. b) Destroy in office remaining records when administrative value ends.† Agency Policy: Destroy in office after 1 year

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STANDARD-5: BUILDING INSPECTION RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
16.	MAPS, PLATS AND DRAWINGS Maps, blueprint drawings and plats of subdivisions generally showing roads, bodies of water, dimensions of lots, sewage and lines, etc.	<ul style="list-style-type: none"> a) If filed in Register of Deeds or similar agency, destroy in office when administrative value ends.† Agency Policy: Permanent b) Retain in office all other records permanently. 	
17.	MANUFACTURED HOME PERMITS	<ul style="list-style-type: none"> a) Destroy in office 6 years after issuance of certificate of occupancy and/or expiration of permit. b) Destroy in office applications for which a permit was never issued after 3 years. 	
18.	MINIMUM HOUSING FILE Records of rental properties containing information relative to violations and complaints. May include certified return receipts, zoning violation notices, municipal court ordinance complaints, summonses, decisions, copy permits and photographs.	Destroy in office 3 years after verification of correction.*	
19.	MISCELLANEOUS (BUILDING) APPLICATIONS AND PERMITS Applications and permits regarding sign installation, fencing, swimming pools, driveways or similar activity required by local ordinance. See also MISCELLANEOUS (NON-BUILDING) APPLICATIONS AND PERMITS item 45, page 11.	<ul style="list-style-type: none"> a) Destroy in office 3 years after completion of project. b) Destroy in office applications for which a permit was never issued when administrative value ends.† Agency Policy: Destroy in office after 1 year 	

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STANDARD-5: BUILDING INSPECTION RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
20.	MONTHLY BUILDING PERMITS AND CONSTRUCTION REPORTS Customized reports used for statistical analysis of current development trends within the municipality. This information also is submitted to the U. S. Department of Commerce & Bureau of the Census.	Destroy in office after 3 years.	
21.	NORTH CAROLINA SEDIMENTATION AND POLLUTION CONTROL COMMISSION File contains documentation of sedimentation control measures to be used on individual projects.	Destroy in office after 3 years.	
22.	PERIODIC INSPECTION REPORTS	Destroy in office 6 years from date of inspection.	
23.	SEWAGE DISPOSAL SYSTEM INSPECTION REPORTS Reports show home structure and water line diagram. Reports are used to indicate sewage hookups and to comply with municipal code.	Destroy in office 2 years after inspection.	
24.	STANDARD BUILDING CODES	Destroy in office when superseded or obsolete.	
25.	STREET ADDRESS LOG A master list of current streets and house numbers.	Destroy in office when superseded or obsolete.	
26.	STREET INFORMATION	Destroy in office when superseded or obsolete.	
27.	SUBSTANDARD HOUSING INSPECTIONS REPORTS	Destroy in office after 6 years.	

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STANDARD-5: BUILDING INSPECTION RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
28.	TRADE PERMITS (ELECTRICAL, GAS, MECHANICAL, AND PLUMBING)	<ul style="list-style-type: none"> a) Destroy in office 6 years after issuance. b) Destroy in office applications for which a permit was never issued when administrative value ends. † Agency Policy: Destroy in office after 1 year 	
29.	UNSAFE BUILDINGS FILE Notification to owner of unsafe conditions relative to a particular structure.	Destroy in office after 6 years provided all issues have been resolved.*	

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

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

STANDARD-6. EMERGENCY SERVICES AND FIRE DEPARTMENT RECORDS

Official records explaining the authority, operating philosophy, proposed methods, and primary functions of municipal emergency services programs and municipal fire departments.

STANDARD-6: EMERGENCY SERVICES AND FIRE DEPARTMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	911 COMMUNICATION RECORDS Printouts of 911 calls received and computer-aided dispatch (CAD) reports. Reports may list time and date of call, contents of call, location of call, name of unit dispatched and other related information.	Destroy in office after 3 years, if not made part of a case file.*	Comply with applicable provisions of GS §132-1.4 (i), and GS §132-1.5.
2.	911 FILE Information regarding the implementation, training, and operations of the 911 system.	Destroy in office after 5 years.	
3.	911 TAPE RECORDINGS	Destroy in office after 30 days, if not made part of a case file.*	Comply with applicable provisions of GS §132-1.4(i), and GS§132-1.5.
4.	ACCIDENT FILE Records concerning personnel and municipally owned property damage.	Destroy in office 3 years after resolution.*	
5.	ACTIVITY REPORTS Reports on an individual, shift, project and other basis submitted on a daily, weekly, or other basis.	Destroy in office after 3 years.	

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

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

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

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STANDARD-6: EMERGENCY SERVICES AND FIRE DEPARTMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
13.	CONSOLIDATED MONTHLY REPORTS	Destroy in office after 5 years.	
14.	DAILY LOG Log, journal, blotter or similar record showing activities of a fire department or emergency services.	Destroy in office after 1 year.	
15.	DISASTER AND EMERGENCY MANAGEMENT PLANS Records concerning preparedness, evacuations, and operations in the event of a disaster (natural, accidental, or malicious). Includes but not limited to official copy of comprehensive plan and all background surveys, studies, reports, and draft versions of plans. See also COMPREHENSIVE PLAN item 19, page 4.	<ul style="list-style-type: none"> a) if an element of the Comprehensive Plan, destroy in office when administrative value ends.† Agency Policy: Destroy in office 1 year after superseded b) if not an element of the Comprehensive Plan, destroy in office when superseded or obsolete. c) Destroy in office background surveys, studies, reports, and drafts 3 years after adoption of plan or when superseded or obsolete, whichever comes first. 	Comply with applicable provisions of G.S. §132-1.7 regarding the confidentiality of security records.
16.	DISPATCH FILE Records relating to fire dispatch zones. May include maps of fire dispatch zones, census tract information, annexation research, street closings, and other related material.	Destroy in office when superseded or obsolete.	
17.	DISPATCH RECORDINGS Recordings made of activities during an emergency services dispatch.	Destroy in office after 30 days, if not made part of a case file.*	Comply with applicable provisions of GS §132-1.4(i), and GS§132-1.5.
18.	EMERGENCY NOTIFICATIONS	Destroy in office when superseded or obsolete.	

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

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STANDARD-6: EMERGENCY SERVICES AND FIRE DEPARTMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
19.	EMERGENCY SERVICES BILLING RECORDS Records concerning billing of patients transported and treated by emergency services personnel.	Destroy in office after 3 years*	
20.	EMERGENCY SERVICES CORRESPONDENCE	a) Transfer after 3 years correspondence, including email, with historical value to the HISTORIES FILE item 39, page 8. b) Destroy in office remaining records after 3 years.	
21.	EQUIPMENT RECORDS (APPARATUS AND MAINTENANCE FILE) Records concerning maintenance performed on fire department equipment.	Destroy in office 1 year after disposal or replacement of equipment.	
22.	EQUIPMENT RECORDS (APPARATUS OPERATING EXPENSE FILE) Operating expense (maintenance, repair costs, etc.) records for fire department equipment.	Destroy in office after 2 years.	
23.	EQUIPMENT RECORDS (APPARATUS TEST REPORTS) Reports showing results of fire equipment tests.	Destroy in office 1 year after disposal or replacement of equipment.	
24.	EQUIPMENT RECORDS (EQUIPMENT ISSUED TO FIREFIGHTERS AND EMERGENCY PERSONNEL) FILE	Destroy in office when superseded or obsolete.	
25.	EQUIPMENT RECORDS (HOSE RECORDS) Records concerning the age, repair, etc. of fire hoses.	Destroy in office after 2 years.	
26.	EQUIPMENT RECORDS (HOSE TESTS) Routine tests to determine if hoses are in proper working order.	Destroy in office after 2 years.	

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

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STANDARD-6: EMERGENCY SERVICES AND FIRE DEPARTMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
27.	EVACUATION PLANS	Destroy in office when superseded or obsolete.	
28.	EXPOSURE RECORDS Reports detailing when a fire department or emergency personnel are exposed to toxic fumes, smoke, or chemicals during the course of fire fighting.	Destroy in office exposure records 40 years from date of exposure or 30 years from date of separation.* <i>Retention note: If part of a workers compensation claim, follow disposition for WORKERS' COMPENSATION PROGRAM CLAIMS FILE item 62, page 115.</i>	29 CFR 1910.1020 (d)(ii)
29.	FEDERAL ASSISTANCE PROGRAMS REFERENCE RECORDS	Destroy in office when administrative value ends. † Agency Policy: Destroy in office after 5 years	
30.	FIRE ALARM AND AUTOMATIC EXTINGUISHER FILE Certificates, licenses, and insurance certificates of companies that perform installations of fire alarm and automatic extinguishing systems.	Destroy in office when superseded or obsolete.	
31.	FIRE ALARM JOURNAL Journal or other listing of alarms answered by the fire department.	Destroy in office after 3 years.	
32.	FIRE INSPECTION REPORTS Inspections and permits issued of buildings and systems for proper fire protection measures and procedures.	a) Destroy in office inspections with no defects after 3 years. b) Destroy in office inspections with noted defects 3 years after defects are corrected.* c) Destroy permits in office after 3 years.	

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

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STANDARD-6: EMERGENCY SERVICES AND FIRE DEPARTMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
33.	<p>FIRE INVESTIGATION CASE FILES Includes detailed information regarding circumstances of the incident including location, information on damage and injuries, and possible cause of incident. May also include photographs and evidence log. See also FIRE INVESTIGATION RECORDS item 34, page 46.</p>	<p>a) Destroy in office after 5 years when cause of fire is determined to be accidental and no loss of life occurs* b) Destroy in office after 10 years when arson is involved.* c) Retain in office permanently when loss of life occurs or if a publicly-owned building is involved.*</p>	
34.	<p>FIRE INVESTIGATION RECORDS Reports and correspondence, including email, of fires investigated by department personnel. See also FIRE INVESTIGATION CASE FILES item 33, page 46.</p>	<p>Destroy in office when administrative value ends if not made part of a case file.† Agency Policy: Destroy in office after 5 years</p>	
35.	<p>FIRE LIMITS ORDINANCES Ordinances passed by city/town council establishing and defining fire limits which shall include principal business portions of the municipality.</p>	<p>Retain in office permanently.</p>	
36.	<p>FIXED NUCLEAR FACILITIES PLANS FILE Includes emergency plans for municipal fixed nuclear facilities.</p>	<p>Destroy in office after 3 years.</p>	
37.	<p>HYDRANT RECORDS (LOCATION AND MAIN SIZE) Records showing location and size of water mains of fire hydrants.</p>	<p>Destroy in office when superseded or obsolete.</p>	

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

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STANDARD-6: EMERGENCY SERVICES AND FIRE DEPARTMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
38.	HYDRANT RECORDS (MAINTENANCE AND TEST FILE) Results of tests of fire hydrants and routine maintenance records.	a) Destroy in office inspection and test records after 2 years. b) Retain maintenance records for life of the hydrant.	
39.	INVENTORY RECORDS FILE Records of inventories of fire stations and equipment.	Destroy in office 3 years after replacement or disposal.	
40.	LOCAL EMERGENCY PLANNING COMMITTEE MINUTES See the Microfilm section on page x for instructions on microfilming minutes.	Retain in office permanently.	
41.	LOCAL EMERGENCY PLANS	Destroy in office when superseded or obsolete.	
42.	NATIONAL FLOOD INSURANCE PROGRAM RECORDS	Retain in office permanently.	
43.	NORTH CAROLINA FIRE CASUALTY REPORT Report filed with the N.C. State Fire Commission.	Destroy in office after 5 years.	
44.	NORTH CAROLINA FIRE INCIDENT REPORT Report filed with the N.C. State Fire Commission, county fire marshal, town or city council, or county commissioners.	Destroy in office after 5 years.	G.S. §58-79-45
45.	NORTH CAROLINA FIRE ASSOCIATION RECORDS	Destroy in office when administrative value ends. † Agency Policy: N/A	

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

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STANDARD-6: EMERGENCY SERVICES AND FIRE DEPARTMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
46.	NORTH CAROLINA FIREMAN'S PENSION FUND PRINTOUT Documentation of annual leave, history report, position summary, N.C. Fireman's Pension Fund.	Destroy in office when superseded or obsolete.	
47.	NOTIFICATION TO CORRECT Notification to owner, agent, or occupant of building to correct violation or defect noted at the time of inspection.	Destroy in office 1 year after subsequent inspection reveals defect or violation has been corrected.*	
48.	NUCLEAR CIVIL PROTECTION PLAN	Destroy in office when superseded or obsolete.	
49.	OPERATIONS FILE	a) Transfer correspondence, including email, with historical value to the HISTORIES FILE item 39, page 8 after 3 years. b) Destroy in office remaining records after 3 years.	
50.	PATIENT CARE REPORTS Records showing equipment used, patient location, nature of call, vital signs and other physical signs, care rendered, medicine ordered, etc.	Follow disposition instructions for AMBULANCE CALL REPORTS (ACR)/PATIENT CARE REPORTS (PCR) item 6, page 42.*	
51.	PHARMACEUTICAL RECORDS	Destroy in office after 3 years.*	
52.	PLANS Plans of buildings and fire safety systems of commercial and industrial properties.	Destroy in office when superseded or obsolete.	
53.	PUMP TEST RECORDS Results of tests conducted on pumping equipment.	Destroy in office after 2 years.	

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

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STANDARD-6: EMERGENCY SERVICES AND FIRE DEPARTMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
54.	RADIOLOGICAL DEFENSE (RADEF) DATA BANK RADIOACTIVE MATERIAL INVENTORY	Destroy in office after loan of radioactive materials ends.	
55.	RADIOLOGICAL DATA STATION FILE	Destroy in office when administrative value ends.† Agency Policy: N/A	
56.	RADIOLOGICAL EQUIPMENT INVENTORY	Destroy in office when superseded or obsolete.	
57.	RESOLUTIONS ON ESTABLISHMENT OF LOCAL AGENCY	Destroy in office when administrative value ends.† Agency Policy: Permanent	
58.	SAFETY COMMITTEE AGENDA AND MEETING PACKETS FILE Includes agendas, exhibits, and copies of supporting documentation submitted and discussed during meetings of public bodies. See also MINUTES OF PUBLIC BODIES item 44, page 10.	a) Retain records with historical value permanently. b) Destroy in office other records when administrative value ends.† Agency Policy: Destroy in office after minutes are approved	

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

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STANDARD-6: EMERGENCY SERVICES AND FIRE DEPARTMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
59.	<p>SAFETY COMMITTEE MINUTES As defined by G.S. § 143-318.10 (b), includes official and reference copies of the governing board and all subsidiary and advisory boards. Subsidiary boards are defined as boards that exercise or are authorized to exercise legislative, policy-making, quasi-judicial, or administrative functions. Also includes minutes of subcommittees of the governing board and its subsidiary and advisory boards.</p> <p>See the Microfilm section on page x for instructions on microfilming.</p>	<p>a) The official minutes of the governing board and its subsidiary boards are considered to be permanent records.</p> <p>b) The official minutes of advisory boards may only be destroyed upon approval by the State Archives of North Carolina. The State Archives of North Carolina reserves the right to designate the minutes of any advisory board as permanent.</p> <p>c) Minutes of committees or subcommittees may be destroyed when administrative value ends, if the minutes or actions and decisions of the committee are entered as part of the minutes of the parent board. If minutes or actions and decisions of the committee or subcommittee in question are not entered as part of the minutes of the parent board, the State Archives of North Carolina reserves the right to designate the minutes as permanent. †</p> <p>Agency Policy: Permanent</p>	G.S. § 143-318.10
60.	SHELTER FACILITIES LISTING	Destroy in office when superseded or obsolete.	
61.	STATE OF EMERGENCY ORDINANCES	Retain in office permanently.	
62.	<p>SUPERFUND AUTHORIZATION RECOVERY ACT INFORMATION FILE Information concerning the location of hazardous waste in the community.</p>	Destroy in office when superseded or obsolete.	

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

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STANDARD-6: EMERGENCY SERVICES AND FIRE DEPARTMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
63.	TRAINING AND EDUCATION FILE	<p>a) Transfer records documenting training received to PERSONNEL RECORDS (OFFICIAL COPY) item 47, page 112, or VOLUNTEER FIREFIGHTERS PERSONNEL RECORDS item 65, page 51.</p> <p>b) Destroy in office remaining records when administrative value ends.† Agency Policy: Destroy in office after 30 years</p>	
64.	VOLUNTEER FIRE/RESCUE DEPARTMENT LOGS	Destroy in office after 3 years.*	
65.	VOLUNTEER FIREFIGHTERS PERSONNEL RECORDS Official copy of personnel file maintained on each volunteer fireman. May include basic information and records and forms relating to the duties, service, suspension, and termination of the volunteer.	<p>Destroy in office 30 years from date of separation.*</p> <p>See also VOLUNTEER FIREFIGHTERS MEDICAL RECORDS item 66, page 51.</p>	
66.	VOLUNTEER FIREFIGHTERS MEDICAL RECORDS Records concerning asbestos, toxic substances, and blood-borne pathogen exposure, medical examinations required by state or federal law, and records of injury or illness. (Does not include Worker's Compensation or health insurance claim records.)	<p>a) Destroy in office exposure records 40 years from date of exposure or 30 years from date of separation.*</p> <p>b) Destroy in office records pertaining to job-related illness and injury after 5 years.</p> <p>c) Destroy in office results of routine medical examinations and similar records after 1 year.</p> <p><i>Retention Note: Records must be maintained separately from an employee's personnel jacket.</i></p>	29 CFR 1910.1020 (d)(ii)

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STANDARD-7. FLEET MAINTENANCE RECORDS

Records and materials created and accumulated during the use and maintenance of municipal vehicle fleets.

STANDARD-7: FLEET MAINTENANCE RECORDS		
ITEM #	RECORD SERIES TITLE	CITATION
1.	BUDGET ESTIMATES AND REQUESTS FILE Records consisting of requests for purchases and estimated costs.	Destroy in office after 1 year.
2.	FUEL AND OIL TICKETS Records of fuel and oil deliveries to vehicles.	Destroy in office after 3 years.*
3.	MOTOR VEHICLE RECORDS Records on each vehicle showing make, model, original cost, mileage, and cost of operation.	Destroy in office after disposal of vehicle.
4.	SHOP WORK ORDERS Records include work completed and costs.	Destroy in office after 3 years.
5.	STOCK CONTROL AND INVENTORIES Inventory of materials and supplies used to maintain stock.	Destroy in office when superseded or obsolete.
6.	VEHICLE MAINTENANCE, REPAIR AND INSPECTION RECORDS Records concerning the maintenance, repair and inspection of municipally owned vehicles. See also GRANTS item 37, page 8.	a) Destroy in office records documenting routine inspections, janitorial cleaning and maintenance of vehicles after 1 year. b) Retain records documenting all other maintenance and repairs for life of vehicle.

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STANDARD-7: FLEET MAINTENANCE RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
7.	VEHICLE REGISTRATION CARDS North Carolina registration cards for vehicles in the municipal fleet.	Retain in vehicle until superseded.	
8.	VEHICLE USAGE RECORDS Records concerning the assignment, request and usage of municipal vehicles. May include mileage and checkout logs, fuel consumption reports, authorizations and similar records relating to the assignment and use of municipal vehicles.	a) Destroy in office after 3 years if records are used for allocating costs or determining payment under rental or lease agreements.* b) Destroy in office remaining records after 1 year.	
9.	VEHICLE YEAR-TO-DATE REPORT Running record of mileage and cost of operation of each vehicle.	Destroy in office after disposal of vehicle.	
10.	WORK ORDERS (VEHICLE REPAIR) Records include date and location of work, cost of materials used and labor, type of work performed and similar information.	a) Destroy in office 1 year after work is completed.* b) If this is the only record documenting that work was completed follow disposition instructions for VEHICLE MAINTENANCE, REPAIR AND INSPECTION RECORDS item 6, page 52.	

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

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STANDARD-8. INFORMATION TECHNOLOGY (IT) RECORDS

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

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

STANDARD-8: INFORMATION TECHNOLOGY RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	COMPUTER AND NETWORK USAGE RECORDS Records documenting usage of electronic devices and networks. This series may include but is not limited: login files, system usage files, individual program usage files and records of use of the internet by employees.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after 3 years	Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of public security information and G.S. 132-6.1 (c) on the confidentiality of records regarding "hardware or software security, passwords, or security standards, procedures, processes, configurations, software, and codes."
2.	DIGITIZATION AND SCANNING RECORDS Records concerning imaging operations. This series may include but is not limited to: scanning and data entry quality control records and audit reports.	Destroy in office after 3 years.	

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STANDARD-8: INFORMATION TECHNOLOGY RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
3.	DISASTER PREPAREDNESS AND RECOVERY PLANS Records concerning the protection and reestablishment of data processing services and equipment in case of a disaster. (Disaster preparedness and recovery plans should be stored in secure, off-site location.)	<ul style="list-style-type: none"> a) Retain records documenting past disaster recovery permanently. b) Destroy all other records in office when superseded or obsolete. 	Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of public security information and G.S. 132-6.1 (c) on the confidentiality of records regarding “hardware or software security, passwords, or security standards, procedures, processes, configurations, software, and codes.”
4.	INFORMATION TECHNOLOGY ASSISTANCE RECORDS This series documents troubleshooting and problem-solving assistance provided by agency information systems personnel to users of the systems. This series may include but is not limited to: help desk assistance requests, resolution records, and related documentation.	Destroy in office 1 year after work is completed.	

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

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STANDARD-8: INFORMATION TECHNOLOGY RECORDS

ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
5.	<p>NETWORK AND SYSTEM SECURITY RECORDS Records documenting the security of network and system. This series may include but is not limited to records concerning: firewalls, anti-virus programs, and intruder scanning logs.</p>	<p>Destroy in office after 3 years.*</p>	<p>Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of public security information and G.S. 132-6.1 (c) on the confidentiality of records regarding “hardware or software security, passwords, or security standards, procedures, processes, configurations, software, and codes.”</p>
6.	<p>NETWORK DIAGRAMS This series documents 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>	<p>Destroy in office when superseded or obsolete.</p>	<p>Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of public security information and G.S. 132-6.1 (c) on the confidentiality of records regarding “hardware or software security, passwords, or security standards, procedures, processes, configurations, software, and codes.”</p>

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

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STANDARD-8: INFORMATION TECHNOLOGY RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
7.	<p>PROJECT DOCUMENTATION FILES Records created to design, develop, control, or monitor a specific project or group projects. This series may include but is not limited to: statements of work, assessments, maintenance agreements and testing records.</p>	<p>a) Retain records with historical value permanently. b) Destroy in office remaining records 3 years after completion of project.</p>	
8.	<p>SOFTWARE LICENSE AND COPYRIGHT PROVISIONS RECORDS These records document compliance with agency software license and copyright provisions. This series may include but is not limited to: software licenses, correspondence, and related documentation.</p>	<p>Destroy in office 1 year after life of system.</p>	
9.	<p>SYSTEM ACCESS RECORDS This series documents user permissions and access to information, programs or applications within a system.</p>	<p>Destroy in office when administrative value ends.† Agency Policy: Destroy in office after 3 years</p>	<p>Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of public security information and G.S. 132-6.1 (c) on the confidentiality of records regarding “hardware or software security, passwords, or security standards, procedures, processes, configurations, software, and codes.”</p>

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STANDARD-8: INFORMATION TECHNOLOGY RECORDS

ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
10.	<p>SYSTEM DOCUMENTATION RECORDS This series documents operating systems, application programs, structure and form of datasets, system structure, and system-to-system communication. This series may include but is not limited to: system overviews, dataset inventories, server name, IP address, purpose of the system, vendor-supplied documentation, installed software, and current source code.</p>	<p>Destroy in office 3 years after superseded or obsolete.</p>	<p>Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of public security information and G.S. 132-6.1 (c) on the confidentiality of records regarding “hardware or software security, passwords, or security standards, procedures, processes, configurations, software, and codes.”</p>
11.	<p>SYSTEM MAINTENANCE RECORDS: HARDWARE REPAIR OR SERVICE This series documents inspections, maintenance, and repairs of agency computer systems that are owned or leased. This series may include, but is not limited to: computer equipment inventories and service records.</p>	<p>a) Destroy in office records documenting routine inspections and maintenance of equipment after 1 year. b) Retain for life of equipment records documenting all other equipment maintenance and repairs.</p>	
12.	<p>SYSTEM MAINTENANCE RECORDS: RECORDS BACKUPS This series documents regular or essential system backups. This series may include but is not limited to: backup tape inventories, relevant correspondence, and related documentation.</p>	<p>Destroy in office in accordance with your office’s established, regular backup plan and procedures.† Agency Policy: Destroy in office after 2 years <i>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.</i></p>	

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

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STANDARD-8: INFORMATION TECHNOLOGY RECORDS		
ITEM #	RECORD SERIES TITLE	CITATION
13.	<p>WEB MANAGEMENT AND OPERATIONS RECORDS: STRUCTURE</p> <p>This series consists of site maps that show the directory structure into which content pages are organized and commercial, off-the-shelf software configuration files used to operate the site and establish its look and feel. This series may include but is not limited to server environment configuration specifications.</p>	<p>DISPOSITION INSTRUCTIONS</p> <p>Destroy in office when superseded or obsolete.</p>

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

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STANDARD-9. LAW ENFORCEMENT RECORDS

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

STANDARD-9: LAW ENFORCEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	ABANDONED MOTOR VEHICLES (AMV) FILE Records concerning abandoned motor vehicles towed. Includes releases, sales and notifications.	Destroy in office after 3 years.	
2.	ACCREDITATION RECORDS Records concerning compliance with those standards outlined by professional law enforcement agencies' accreditation programs.	Destroy in office 1 year after accreditation is obtained, renewed, or no longer valid.*	
3.	ACTIVITY REPORTS Reports of activities of officers on each shift or special detail worked. Includes lists of information on occurrence of all criminal activity, complaints and arrests, traffic violations and accidents, rescue service calls, hours worked, miles traveled, location of call, type of call, time of call, papers served, and other related information. (This information is normally collected by the day and month for statistical reporting.)	Follow disposition instructions for REPORTS AND STUDIES (INTERNAL ADMINISTRATION) item 65, page 15.	

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

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STANDARD-9: LAW ENFORCEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.	ALARM CALL REPORTS Reports completed by officers responding to alarm calls. Includes listings of alarm type, time received, time arrived, reason for activation, and other related information. May include forms completed by businesses naming emergency contacts, location of safe, and other related information.	a) Destroy in office when administrative value ends if records are not made part of a case file.† Agency Policy: Destroy in office after 3 years b) If records are made part of a case file follow applicable disposition instructions for CASE HISTORY FILE: FELONIES item 17, page 64; or CASE HISTORY FILE: MISDEMEANORS item 18, page 64.	
5.	ALERTS FILE Notices received from or sent to various law enforcement agencies concerning lost property, wanted persons, arrests, missing persons, and other related topics. Also known as Be On the Lookouts (BOLO).	Destroy in office when administrative value ends if records are not made part of a case file.† Agency Policy: Destroy in office after 3 years	
6.	ALTERNATIVE SENTENCING PROGRAMS Records documenting alternative sentencing programs including work release and weekend service.	Destroy in office 3 years after individual leaves program.	
7.	AMBULANCE CALL RECORDS Records concerning emergency calls accompanied by law enforcement personnel.	Destroy in office after 5 years.	
8.	ARREST PROCESSING: DWI TRACKING RECORDS Records used to track a defendant's time and activities while in arrest processing. May include time of arrival, time to and from each workstation, time to and from the magistrate's office, time allowed to use the telephone, and notes documenting any unusual and/or violent behavior.	Destroy in office 2 years after date of arrest.	Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of records.

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

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STANDARD-9: LAW ENFORCEMENT RECORDS

ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
9.	<p>ARREST PROCESSING: TRACKING RECORDS Records used to track a defendant's time and activities while in arrest processing. May include time of arrival and time to and from each workstation, time to and from the magistrate's office, time allowed to use the telephone, and notes documenting any unusual and/or violent behavior.</p>	<p>Destroy in office 1 year after date of arrest.</p>	<p>Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of records.</p>
10.	<p>ARREST REPORTS Reports concerning arrests made by officers. May include complete name, alias or nickname of person arrested; residence, sex, age, date of birth, physical description, offense committed, car make, license number, occupation, telephone numbers; witness information, name of arresting officer(s), and other related information.</p>	<p>a) Destroy in office 5 years from date of last arrest if report is not made part of a case file. b) If records are made part of a case file follow disposition instructions for CASE HISTORY FILE: FELONIES item 17, page 64; or CASE HISTORY FILE: MISDEMEANORS item 18, page 64.</p>	<p>Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of records.</p>
11.	<p>AUCTION RECORDS Records concerning abandoned and unclaimed articles and found property sold at public auction. May include auction receipts of monies received for items sold.</p>	<p>Destroy in office after 3 years.*</p>	
12.	<p>AUTOMOBILES AND PROPERTY IN STORAGE: SALES AND REPORTS RECORDS Records detailing the sale of automobiles and property confiscated by law enforcement personnel.</p>	<p>Destroy in office 1 year after sale or other disposition of property.</p>	

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

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STANDARD-9: LAW ENFORCEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
13.	BASIC TRAINING SCHOOLS Police academy basic course records used to verify course content and hours of topical coverage when needed for court purposes. Includes curriculum and course schedules, instructor listings, trainee rosters, attendance data, and exam grades.	Destroy in office after 20 years.*	
14.	BICYCLE REGISTRATION	Destroy in office after 1 year.	
15.	BINGO LICENSE RECORDS Copies of bingo licenses issued by the North Carolina Dept. of Crime Control and Public Safety. May include related records such as notification letters and applications.	Destroy in office when administrative value ends. † Agency Policy: N/A	
16.	BREATHALYZER RECORDS File includes preventative maintenance records, lists of qualified operators, and other records related to breathalyzers used by the agency.	Destroy in office after 3 years.	

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

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STANDARD-9: LAW ENFORCEMENT RECORDS

ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
17.	<p>CASE HISTORY FILE: FELONIES Includes investigative reports, complaint reports, fingerprint cards, original arrest reports, copies of warrants, special expenditure reports, statements of seized and returned property, interview sheets, case status reports, photographs, court orders, correspondence, including email, officer's notes, laboratory tests, court dispositions, and other related records.</p> <p>See also ELECTRONIC/VIDEO RECORDINGS OF INTERROGATIONS (HOMICIDE) item 44, page 71.</p>	<p>a) Destroy in office records concerning solved cases after 20 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.</p> <p>b) Retain in office records concerning unsolved cases until solved, and then follow disposition instructions in part (a).</p>	Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of records.
18.	<p>CASE HISTORY FILE: MISDEMEANORS Includes investigative reports, complaint reports, fingerprint cards, original arrest reports, copies of warrants, special expenditure reports, statements of seized and returned property, interview sheets, case status reports, photographs, court orders, correspondence, including email, officer's notes, laboratory tests, court dispositions, and other related records.</p>	<p>a) Destroy in office records concerning solved malicious misdemeanor cases after 3 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.</p> <p>b) Retain in office records concerning unsolved malicious misdemeanor cases until solved, and then follow disposition instructions in part (a).</p> <p>c) Destroy in office records concerning all misdemeanor cases not covered in (a) or (b) after 3 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.</p>	Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of records.

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

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STANDARD-9: LAW ENFORCEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
19.	CASE HISTORY FILE: CASES NOT OFFICIALLY INVESTIGATED Records related to complaints not officially investigated.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after 5 years	Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of records.
20.	CHEMICAL ANALYSIS RECORDS Records and reports generated when individuals suspected of being under the influence of illegal drugs or alcohol are chemically tested.	a) Destroy in office when administrative value ends if records are not made part of a case file.† Agency Policy: Destroy in office after 5 years b) If records are made part of a case file follow applicable disposition instructions for CASE HISTORY FILE: FELONIES item 17, page 64; or CASE HISTORY FILE: MISDEMEANORS item 18, page 64.	
21.	CITIZEN COMPLAINTS/ADMINISTRATIVE INVESTIGATION RECORDS Citizen complaints against law enforcement officers. May include administrative investigation reports initiated within the municipal law enforcement office. See also INTERNAL AFFAIRS CASE RECORDS item 76, page 78.	Destroy in office 1 year after resolution.*	
22.	COMMENDATION LETTERS Letters received commending law enforcement officers for outstanding performance.	Transfer to the agency personnel office to be incorporated into official personnel file 1 year after employee terminates service.	

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STANDARD-9: LAW ENFORCEMENT RECORDS

ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
23.	COMMUNICATIONS RECORDS Tapes, printouts, and logs of telephone, radio, dispatch, 911 emergency calls, and computer aided dispatch (CAD) systems incoming and/or outgoing communications. May include time and date of call, contents of call, location of call, name of unit sent to scene, and other related information.	a) Destroy in office after 30 days if records are not made part of a case file.* b) If records are made part of a case file follow disposition instructions for CASE HISTORY FILE: FELONIES item 17, page 64; or CASE HISTORY FILE: MISDEMEANORS item 18, page 64.	Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of records, and G.S. §132-1.5.
24.	COMMUNICATIONS RECORDS (REQUESTS AND RECEIPTS)	Destroy in office after 1 year if inquiry is closed.*	
25.	COMPLAINTS FILE Records concerning complaints to which a unit responded. May include logs listing name and address of victim, time, date, nature of complaint, responding officer's name, action taken, and other related information.	a) Destroy in office when administrative value ends if records are not made part of a case file.† Agency Policy: Permanent b) If records are made part of a case file follow applicable disposition instructions for CASE HISTORY FILE: FELONIES item 17, page 64; or CASE HISTORY FILE: MISDEMEANORS item 18, page 64.	Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of records.
26.	COMPOSITE INTERVIEWS Summaries of interviews used to determine the physical description of suspects. May include race, sex, build, weight, eye and hair color, skin tone, weapon description, and other related information.	a) Destroy in office when administrative value ends if not made part of case file.† Agency Policy: Destroy in office after 5 years b) If records are made part of a case file follow disposition instructions for CASE HISTORY FILE: FELONIES item 17, page 64; or CASE HISTORY FILE: MISDEMEANORS item 18, page 64.	

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

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STANDARD-9: LAW ENFORCEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
27.	CONFIDENTIAL FUNDS FILE Records concerning the use of confidential funds for vice/narcotics and special investigations.	Destroy in office after 3 years. *	
28.	CRIME ANALYSIS RECORDS Records used to anticipate, prevent, or monitor possible criminal activity. May include crime reports, photographs, complaints, copies of citations, criminal profile information, and interoffice memoranda generated or accumulated in connection with investigations or directed patrols.	a) Destroy in office when administrative value ends if not made part of case file.† Agency Policy: Destroy in office after 5 years b) If records are made part of a case file follow disposition instructions for CASE HISTORY FILE: FELONIES item 17, page 64; or CASE HISTORY FILE: MISDEMEANORS item 18, page 64.	Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of records.
29.	CRIME PREVENTION RECORDS Records concerning municipal law enforcement office and community meetings and other functions which seek to prevent or monitor possible criminal activity. May include meeting schedules and agendas and other related records.	a) Retain records with historical value permanently. b) Destroy in office remaining records when administrative value ends.† Agency Policy: N/A	
30.	CRIMINAL HISTORY RECORDS Records concerning the arrest history of individuals. May include summary sheets or cards, arrest reports, mug shots, fingerprint cards, and other related records.	a) Destroy in office when administrative value ends if not made part of case file.† Agency Policy: Destroy in office after 5 years b) If records are made part of a case file follow disposition instructions for CASE HISTORY FILE: FELONIES item 17, page 64; or CASE HISTORY FILE: MISDEMEANORS item 18, page 64.	Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of records.

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STANDARD-9: LAW ENFORCEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
31.	DAILY BULLETINS Daily bulletins used to provide officers with information concerning stolen vehicles, missing persons, new warrants, wanted persons, and any other specific complaint or incident. May include “be on the lookout” records and forms.	Destroy in office when administrative value ends.† Agency Policy: N/A	
32.	DEATH OF INMATE REPORTS Reports filed by office upon the death of an inmate. A report must be sent to the county health director and N.C. Department of Health and Human Services, within five days of the death.	Destroy in office after 3 years.*	G.S. §153A-225
33.	DETENTION FACILITY INSPECTION REPORTS Inspection reports of municipal detention facilities. May include reports made by the N.C. Department of Health and Human Services.	a) Destroy in office after 1 year from date of report if no violations are recorded. b) If violations are recorded destroy in office 1 year after corrective action was approved.	
34.	DETENTION FACILITY OPERATIONAL RECORDS Records concerning all activities occurring during shifts at detention facilities. May include end of duty (shift change reports, key and radio control lists, equipment and inmate/non-inmate housing check lists, cell inspection reports, laundry exchange and controlled property lists, tour reports, etc.) and inmate accountability (rosters, commitment and release reports, cell locations, etc.) records.	Destroy in office after 1 year.*	

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STANDARD-9: LAW ENFORCEMENT RECORDS

ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
35.	<p>DIVISION OF CRIMINAL INFORMATION AND NATIONAL CRIME INFORMATION CENTER (DCI-NCIC) ENTRIES Records and logs listing entries and inquiries made against DCI-NCIC networks and concerning missing persons, wanted persons, stolen vehicles or other property, and other related topics.</p>	<p>Destroy in office 1 year after period covered by audit.*</p>	
36.	<p>DIVISION OF CRIMINAL INFORMATION AND NATIONAL CRIME INFORMATION CENTER (DCI-NCIC) VALIDATION RECORDS Requests and proofs of verification for DCI-NCIC or other law enforcement information networks.</p>	<p>Destroy in office after 1 year.*</p>	
37.	<p>DNA SAMPLING RECORDS Records documenting the collection of DNA samples from persons for qualifying offenses. Samples are forwarded to the N.C. State Bureau of Investigation. May include copies of judgments.</p>	<p>a) Destroy in office 1 year from date sample was obtained if not made part of a case file. b) If records are made part of a case file follow disposition instructions for CASE HISTORY FILE: FELONIES item 17, page 64; or CASE HISTORY FILE: MISDEMEANORS item 18, page 64.</p>	<p>Comply with applicable provisions of G.S. §15A-266.12 regarding confidentiality of records.</p>
38.	<p>DOMESTIC VIOLENCE: ACTIVITY REPORTS Report concerning statistical information relating to the Domestic Violence Unit including orders served, miles driven, hours worked, and arrests made.</p>	<p>Follow disposition instructions for REPORTS AND STUDIES (INTERNAL ADMINISTRATION) item 65, page 15.</p>	<p>Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of records.</p>

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STANDARD-9: LAW ENFORCEMENT RECORDS

ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
39.	DOMESTIC VIOLENCE CASE FILES: CLOSED (COPIES) Copies of court restraining orders related to domestic violence cases.	Destroy in office when administrative value ends.†* Agency Policy: Destroy in office after 1 year	Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of records.
40.	DOMESTIC VIOLENCE RECORDS Restraining orders and related records.	a) Destroy in office after expiration of order if not made part of a case file.* b) If records are made part of a case file follow disposition instructions for CASE HISTORY FILE: FELONIES item 17, page 64; or CASE HISTORY FILE: MISDEMEANORS item 18, page 64.	Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of records.
41.	DRIVER'S LICENSE REVOCATIONS FILE	Destroy in office after 1 year.	
42.	DRIVING WHILE IMPAIRED (DWI) REPORTS FILE Reports used for persons arrested for driving while impaired. May include breathalyzer analysis reports.	a) Transfer original records to County Clerk of Superior Court's office. b) Destroy in office reference copies when administrative value ends if not made part of a case file.† Agency Policy: Destroy in office after 5 years c) If records are made part of a case file follow disposition instructions for CASE HISTORY FILE: FELONIES item 17, page 64; or CASE HISTORY FILE: MISDEMEANORS item 18, page 64.	
43.	DWI KNOLL MOTIONS Copies of motions to suppress evidence and related documentation.	Destroy in office 3 years from date motion was filed.	G.S. § 20-38.6

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STANDARD-9: LAW ENFORCEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
44.	ELECTRONIC/VIDEO RECORDINGS OF INTERROGATIONS (HOMICIDE)	Destroy in office electronic or video recordings of homicide interrogations of convicted defendants 1 year after the completion of all State and Federal appeals of the conviction.	G.S. § 15A-211
45.	EMERGENCY ACTION RECORDS Response plans and procedures to be taken in the event of a fire, disaster, bomb threat, or other emergency. May include records documenting emergency drills.	Destroy in office when superseded or obsolete.	
46.	EQUIPMENT INVENTORY AND ISSUANCE RECORDS Inventories of equipment issued to all law enforcement personnel.	Destroy in office when superseded or obsolete.	
47.	EXPUNCTIONS Records concerning the expunction of a convicted individual's records. May include petitions, affidavits, and other related records.	Transfer Final Disposition Report to the State Bureau of Investigation once all records relating to the case are expunged. <i>Retention Note: If the petition is approved all records relating to that case are to be destroyed in accordance with the court order.</i>	Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of records. G.S. §15A-145 G.S. §15A-146 G.S. §90-96 G.S §90-113-14
48.	EXTRADITION CASE RECORDS Records concerning the extradition of prisoners in and out of state. May include court orders, correspondence, including email, and other related records.	Follow applicable disposition instructions for CASE HISTORY FILE: FELONIES item 17, page 64; or CASE HISTORY FILE: MISDEMEANORS item 18, page 64.	

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STANDARD-9: LAW ENFORCEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
49.	FALSE ALARM REPORTS AND VIOLATIONS	<p>a) Destroy in office after 1 year if not made part of a case file.</p> <p>b) If records are made part of a case file follow disposition instructions for CASE HISTORY FILE: FELONIES item 17, page 64; or CASE HISTORY FILE: MISDEMEANORS item 18, page 64.</p>	18 USC 923(d)(1)(f)(iii)
50.	FEDERAL FIREARMS NOTIFICATION RECORDS Copies of records and forms provided by individuals that apply for certain federal firearm licenses.	Destroy in office when administrative value ends. † Agency Policy: N/A	
51.	FEDERAL FORFEITURE RECORDS Records concerning funds received from seized assets and records concerning expenditures made with federal forfeiture funds.	Destroy in office after 3 years.*	
52.	FIELD OBSERVATION REPORTS Reports concerning field observations of suspicious persons or vehicles. May include subject's name, address, and physical description; date, time, and location of occurrence, reason for stop, name of officer conducting interview, and other related information.	<p>a) Destroy in office when administrative value ends if not made part of case file. † Agency Policy: Destroy in office after 5 years</p> <p>b) If records are made part of a case file follow disposition instructions for CASE HISTORY FILE: FELONIES item 17, page 64; or CASE HISTORY FILE: MISDEMEANORS item 18, page 64.</p>	Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of records.

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STANDARD-9: LAW ENFORCEMENT RECORDS

ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
53.	<p>FINGERPRINT CARDS Numerical index or similar record used to verify a subject's identity. May include fingerprints and all necessary information required to identify an individual. Fingerprint cards are often part of a case or criminal history file.</p>	<p>a) Transfer original copy of fingerprint records to State Bureau of Investigation in accordance with G.S. §15A-502. b) Destroy in office duplicate records after 3 years.</p>	<p>Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of records. G.S. §15A-502</p>
54.	<p>FINGERPRINT CARDS (LATENT) Latent finger and palm prints which were found at the scene of a crime without identification of suspects.</p>	<p>a) Transfer original copy of fingerprint records to State Bureau of Investigation in accordance with G.S. §15A-502 b) If records are made part of a case file follow disposition instructions for CASE HISTORY FILE: FELONIES item 17, page 64; or CASE HISTORY FILE: MISDEMEANORS item 18, page 64.</p>	<p>Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of records.</p>
55.	<p>FIREARMS RANGE FILE Records concerning ranges approved for use and utilized by other law enforcement agencies. Includes letters of request, responses, and waiver forms executed by members of requesting agencies.</p>	<p>Destroy in office when administrative value ends. † Agency Policy: N/A</p>	
56.	<p>FIREARMS TRAINING RECORDS Documentation of results of firearms qualifications (scores) attained by each sworn member of the department during annual training with firearms for which qualification is required.</p>	<p>Destroy in office after 3 years.*</p>	
57.	<p>FORCIBLE ENTRY REPORTS Reports concerning forcible entries made by law enforcement personnel.</p>	<p>Destroy in office after 1 year.</p>	

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STANDARD-9: LAW ENFORCEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
58.	FUGITIVE WARRANTS CASE RECORDS Records concerning fugitive warrant sent to a department from another jurisdiction requesting assistance in finding an individual. May include fugitive profile and warrant.	Destroy in office 1 year after case is closed.	
59.	HANDGUN PERMITS Applications filed for handguns and concealed handguns. May include lists of permit holders, records of background checks, and other related documentation.	<p>a) Destroy in office all approved applications 5 years after the date of last renewal.</p> <p>b) Destroy in office criminal histories, background checks, and related records concerning approved applications when permit is issued.</p> <p>c) Destroy in office denied applications and related records 5 years from date of denial, or resolution of petition filed with district court.</p>	G.S. §14 Article 54B
60.	HOUSE AND SPECIAL CHECK REQUESTS Requests for patrols to inspect vacant property.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after 1 year	
61.	IDENTIFICATION PHOTOGRAPHS Photographs (mug-shots) and negatives of persons arrested in association with formal investigations. May include driver's license photos.	<p>a) Destroy in office after 3 years if not made part of a case file.</p> <p>b) If record is made part of a case file follow disposition instructions for CASE HISTORY FILE: FELONIES item 17, page 64; or CASE HISTORY FILE: MISDEMEANORS item 18, page 64.</p>	Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of records.

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STANDARD-9: LAW ENFORCEMENT RECORDS

ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
62.	IMMIGRATION AND CUSTOMS ENFORCEMENT (ICE) DETAINEE RECORDS Records concerning individuals incarcerated in municipal detention facilities per the U.S. Illegal Immigration Reform and Immigrant Responsibility Act (IIRAIRA), Section 287(g).	Destroy in office 3 years after individual is released (transferred) from the facility.	
63.	INCIDENT/OFFENSE REPORTS Reports completed by officers responding to incidents. May include victim, suspect and witness information, damaged and stolen property reports, statement sheets, Miranda waiver forms, and other related records.	a) Destroy in office records not made part of a case file when administrative value ends.† Agency Policy: Destroy in office after 5 years b) If record is made part of a case file follow disposition instructions for CASE HISTORY FILE: FELONIES item 17, page 64; or CASE HISTORY FILE: MISDEMEANORS item 18, page 64.	
64.	INCIDENT REPORTS: DETENTION FACILITY Detention facility incident reports. Includes narratives of incidents, lists of those involved, statements and interview reports, inmates' refusal of medical treatment, inmates' refusal to press charges, and other related records.	Destroy in office after 3 years.*	
65.	INFORMANT RECORDS Records concerning informants. May include correspondence, including email, payment records, and other related records.	a) Destroy in office records not made part of a case file when administrative value ends.† Agency Policy: Destroy in office after 5 years b) If record is made part of a case file follow disposition instructions for CASE HISTORY FILE: FELONIES item 17, page 64; or CASE HISTORY FILE: MISDEMEANORS item 18, page 64.	Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of records.

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

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STANDARD-9: LAW ENFORCEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
66.	INMATE CLASSIFICATION RECORDS Records concerning classification information gathered by the detention facility while inmates are incarcerated. May include incident reports, behavioral or disciplinary reports, interviews, classification level assigned, requested housing moves, and other related records.	a) Destroy in office 3 years from date of release or transfer of inmate.* b) Destroy in office records concerning Immigration and Customs Enforcement (ICE) detainees with no state or federal charges when individual is released or transferred from the facility.	
67.	INMATE COMMITMENT RECORDS Copies of judgment and commitment papers received from the Clerk of Superior Court's office used to validate time spent incarcerated.	Destroy in office when administrative value ends. † Agency Policy: N/A	
68.	INMATE FINANCIAL RECORDS Records concerning individual inmate funds maintained by a detention facility for use by the inmate while incarcerated. May include balance sheets listing inmate's name and number, amount of funds, dates of deposits and withdrawals, and other related information.	Destroy in office 3 years from date of release or transfer of inmate.*	
69.	INMATE GRIEVANCE RECORDS Records concerning grievances filed by inmates and actions taken.	Destroy in office 3 years from date of release or transfer of inmate.*	

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

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STANDARD-9: LAW ENFORCEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
70.	<p>INMATE INCARCERATION RECORDS (ACTIVE AND INACTIVE)</p> <p>Records concerning non-medical information gathered on inmates in municipal detention facilities. May include entry and release summaries, detainees' arrest sheets, court commitment and release orders, work release records, pretrial release agreements, and other related records concerning the arrest and confinement of an individual.</p>	Destroy in office 3 years from date of release or transfer of inmate.*	
71.	<p>INMATE LAW LIBRARY (RESEARCH) REQUESTS</p> <p>Requests filed by inmates seeking use of a facility's law library or similar collection containing research materials.</p>	Destroy in office 1 year from date of request.	
72.	<p>INMATE MAIL/TELEPHONE/VISITOR RECORDS</p> <p>Records concerning telephone calls and mail sent and received by inmates, attorneys, ministers, or family members visiting inmates confined in municipal detention facilities. May include logs listing inmate's name, date and time of call or mail, visitor's signature and address, and other related information.</p>	Destroy in office after 1 year.*	
73.	<p>INMATE MEAL RECORDS</p> <p>Records concerning the planning and scheduling of inmate meals. May include food service daily shift reports, daily meal sheets, food order forms, kitchen checklists, lists of inmates receiving meals and other related records.</p>	Destroy in office after 3 years.*	10A NCAC 14J .1723

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

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STANDARD-9: LAW ENFORCEMENT RECORDS

ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
74.	<p>INMATE MEDICAL RECORDS Records concerning medical examinations, diagnoses, and treatments of inmates. May include medical information sheets and screening forms, medical histories as provided by inmate, receipt and/or release forms for medications and medical articles, laboratory and x-ray reports, blood pressure records, sick bay transfer forms, special diet authorizations, psychological evaluation forms, suicide watch sheets, progress notes, health assessment forms, dental forms, doctors' orders, transportation records to outside clinics or hospitals, and other related records. May also include authorization records for release of medical information to detention facility staff, informed consent forms, refusal of treatment forms, and release of financial responsibility forms.</p>	Destroy in office 5 years from date of release or transfer of inmate.*	Comply with applicable provisions of G.S. §8-53 regarding confidentiality of records.
75.	<p>INMATE PERSONAL IDENTIFICATION RECORDS Records concerning changes to be made to an inmate's incarceration file. May include personal identification changes, superior court calendar, long form dismissals, and other related records.</p>	Destroy in office 30 days after receipt.*	
76.	<p>INTERNAL AFFAIRS CASE RECORDS Records concerning internal investigations of alleged officer misconduct. May include complaints, investigation reports, and other related records.</p>	a) Transfer records concerning substantiated cases as applicable to PERSONNEL RECORDS (OFFICIAL COPY) item 47, page 112. b) Destroy in office records concerning unsubstantiated cases when administrative value ends.† Agency Policy: Destroy in office after 5 years	

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

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STANDARD-9: LAW ENFORCEMENT RECORDS

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

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

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STANDARD-9: LAW ENFORCEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
81.	MOBILE UNIT VIDEO TAPES Tapes and digital recordings generated by mobile audio and video recording equipment installed in patrol vehicles.	a) Destroy in office after 30 days if not made part of a case file. b) If record is made part of a case file follow disposition instructions for CASE HISTORY FILE: FELONIES item 17, page 64; or CASE HISTORY FILE: MISDEMEANORS item 18, page 64.	
82.	MODIFIED DIET REQUESTS (INMATES) Records concerning requests for special diets made by inmates due to religious or medical reasons.	Destroy in office after 3 years.*	
83.	MONTHLY CONFINEMENT (JAIL) REPORTS Monthly reports submitted to the N.C. Department of Health and Human Services listing confinement figures.	Destroy in office after 3 years.*	
84.	MULTIPLE FIREARMS SALES REPORTS Reports received from dealers reporting the sale of multiple firearms.	Destroy in office when administrative value ends.† Agency Policy: N/A	
85.	MULTIPLE FIREARMS SALES REPORTS DESTRUCTION RECORDS Records submitted to the U.S. Attorney General's Office certifying that all multiple firearm sales reports received from dealers have been destroyed	Destroy in office after 1 year.	
86.	MUTUAL AID AGREEMENT RECORDS Records concerning officers who work with other agencies and vice versa. May include mutual aid agreements and supporting documentation.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after 5 years	

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

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STANDARD-9: LAW ENFORCEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
87.	OBSERVATION REPORTS Reports filed by field training officers who observe trainees.	Follow disposition instructions for EMPLOYEE TRAINING AND EDUCATIONAL RECORDS item 28, page 107.	
88.	ORDINANCE VIOLATIONS Citations issued for violations of municipal ordinances.	Destroy in office after 3 years.*	
89.	PARKING METER RECORDS Records concerning cost, locations, installation and maintenance of municipal parking meters.	Destroy in office when superseded or obsolete.	
90.	PARKING METER COLLECTION RECORDS Records of funds collected from municipal parking meters.	Destroy in office after 3 years.*	
91.	PAROLE COMMISSION NOTIFICATION REPORTS Reports submitted to the N.C. Parole Commission listing dates of incarceration, jail credit, and other related documentation.	Destroy in office when administrative value ends.† Agency Policy: N/A	
92.	PAWNSHOP CARDS Pawnshop cards and property records submitted to the municipal law enforcement office.	a) Destroy in office after 1 year if not made part of a case file. b) If records are made part of a case file follow disposition instructions for CASE HISTORY FILE: FELONIES item 17, page 64; or CASE HISTORY FILE: MISDEMEANORS item 18, page 64.	
93.	PEER COUNSELING (LAW ENFORCEMENT) Monthly report statistics, background information and lesson plans.	Destroy in office after 5 years.	

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STANDARD-9: LAW ENFORCEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
94.	PERMISSION TO SEARCH RECORDS Authorizations for officers to search property, and if necessary, confiscate property deemed pertinent to an investigation.	a) Destroy in office when administrative value ends if not made part of a case file.† Agency Policy: N/A b) If records are made part of a case file follow disposition instructions for CASE HISTORY FILE: FELONIES item 17, page 64; or CASE HISTORY FILE: MISDEMEANORS item 18, page 64.	
95.	PERSONAL HISTORIES OF KNOWN OR SUSPECTED LAW BREAKERS Records collected concerning an identifiable person or group of persons in an effort to anticipate, prevent or monitor criminal activity. May include witnesses' statements, laboratory tests, surveillance, reports, investigators' or confidential informants' statements, photographs, vital statistics, and other related records.	Destroy in office when administrative value ends.† Agency Policy: N/A	Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of records.
96.	PERSONNEL INSPECTION REPORTS Inspection reports concerning individual officer's physical appearance and condition of uniform and weapons. See also EMPLOYEE PERFORMANCE REVIEW FILE item 25, page 107.	Destroy in office when administrative value ends.† Agency Policy: N/A	
97.	PHYSICAL FORCE RECORDS Reports made by any officer or employee of a detention facility who applies physical force to an inmate or arrestee.	Destroy in office after 3 years.*	

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

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STANDARD-9: LAW ENFORCEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
98.	POLYGRAPH AND DRUG SCREENING PROGRAM Records concerning polygraph and drug screening program. Includes study, recommendations, and related material.	Destroy in office when administrative value ends.† Agency Policy: Permanent	
99.	PRISONER/MENTAL PATIENT DELIVERY RECORD Verification forms completed by receiving party of prisoner/mental patient.	Destroy in office after 1 year.	
100.	PROPERTY RECORDS: CONFISCATED Itemized lists of all property confiscated by the law enforcement agency pursuant to law.	Destroy in office 1 year after disposition of property.	
101.	PROPERTY RECORDS: EVIDENCE Records used to control and track evidence. May include descriptions of property, physical evidence examination requests, and records documenting final disposition of property.	Destroy in office 1 year after disposition of property.	
102.	PROPERTY RECORDS: STOLEN/RECOVERED Records concerning the recovery of stolen property. May include descriptions of property and its value, serial numbers, and other related records. Records may be filed with original incident report.	Destroy in office 1 year after disposition of property.	
103.	PROPERTY RECORDS: UNCLAIMED Disposition records concerning unclaimed property held by municipal law enforcement office. May include descriptions of property and serial or identification numbers.	Destroy in office 1 year after disposition of property.	

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

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STANDARD-9: LAW ENFORCEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
104.	PROPERTY RECORDS: UNCLAIMED: INMATES Records concerning unclaimed personal property stored by the department during an inmate's incarceration.	Destroy in office 90 days after release and attempt to notify former inmate.	
105.	PURSUIT LOGS Logs concerning pursuits by municipal law enforcement office personnel.	a) Destroy in office after 1 year if not made part of a case file. b) If record is made part of a case file follow disposition instructions for CASE HISTORY FILE: FELONIES item 17, page 64; or CASE HISTORY FILE: MISDEMEANORS item 18, page 64.	
106.	REIMBURSEMENT REQUESTS FOR INMATES CONFINED LOCALLY Reports and supporting documentation sent to the N.C. Department of Corrections requesting state and/or federal reimbursement for inmates serving sentences of thirty days or more in a municipal detention facility.	Destroy in office after 3 years.*	G.S. §148-32.1
107.	RIDE-ALONG PROGRAM RECORDS Records concerning a law enforcement agency's ride-along program. May include citizens' applications to participate, waivers of liability, and other related records.	Destroy in office after 3 years.*	

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

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STANDARD-9: LAW ENFORCEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
108.	SEXUAL OFFENDER RECORDS Records concerning sexual offenders living within jurisdiction.	<p>a) Destroy in office records of persons registered in the “Sex Offender and Public Protection Program” after court petition and review by the State; or after 30 years or length of court order, whichever is greater; or when individual is known dead.</p> <p>b) Destroy in office records of persons registered in the “Sexually Violent Predator Program” when individual is known dead or after 90 years.</p>	G.S. §14-208.7
109.	SHIFT ASSIGNMENT RECORDS Schedules assigning officers to the shifts they will be working. May include special assignments for extra work.	Destroy in office when superseded or obsolete.	
110.	SPECIAL ORDER RECORDS Special orders issued by a municipal law enforcement office concerning the adoption or revision of policy and established procedures on department, division, section, or individual level.	<p>a) Retain records with historical value permanently.</p> <p>b) Destroy in office remaining records when superseded or obsolete.</p>	
111.	SQUAD LEADER PROMOTION FILE Records concerning individual request and promotional potential evaluations for promotion to police squad leader for uniformed or non-uniformed positions.	Destroy in office 1 year after employee terminates service.	

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STANDARD-9: LAW ENFORCEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
112.	STATISTICAL REPORTS Statistical reports and summaries of all law enforcement activities undertaken by a municipal law enforcement office. May include copies of uniform crime reports submitted to the N.C. Department of Justice.	Follow disposition instructions for REPORTS AND STUDIES (INTERNAL ADMINISTRATION) item 65, page 15.	
113.	STOLEN MOTOR VEHICLES FILE Records concerning the investigations of cases of stolen motor vehicles.	a) Destroy in office after 1 year if not made part of a case file. b) If record is made part of a case file follow disposition instructions for CASE HISTORY FILE: FELONIES item 17, page 64; or CASE HISTORY FILE: MISDEMEANORS item 18, page 64.	
114.	TAXICAB INSPECTION AND LICENSING FILE	Destroy in office after 1 year.	
115.	TOWED/SEIZED VEHICLE INVENTORIES	Destroy in office after 1 year.	
116.	TRAFFIC ACCIDENT REPORTS Records concerning traffic accidents. May include general correspondence, including email, property receipts, collision reports, waivers signed by involved parties agreeing to settle damages among themselves, and other related records.	a) Transfer original collision report to the N.C. Division of Motor Vehicles within 10 days of accident. b) Destroy in office records concerning accidents not meeting N.C. Division of Motor Vehicles reporting requirements, but for which a report was made after 3 years.	
117.	TRAFFIC CITATION AND PARKING TICKET, RECORDS OF DATES TURNED IN BY POLICE OFFICER Records listing dates traffic citations and parking tickets were turned in by police personnel or parking enforcement personnel.	Destroy in office after 1 year.*	

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

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STANDARD-9: LAW ENFORCEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
118.	TRAFFIC CITATIONS Citations issued to drivers violating motor vehicle and traffic laws. May include time, date, and location of violation, license number, violation code, officer's name, signature of person receiving citation, and other related information.	a) Transfer original to county clerk of superior court's office. b) Destroy in office department copies when administrative value ends if not made part of a case file.† Agency Policy: Destroy in office after 5 years c) If record is made part of a case file follow disposition instructions for CASE HISTORY FILE: FELONIES item 17, page 64; or CASE HISTORY FILE: MISDEMEANORS item 18, page 64.	
119.	TRAFFIC STOP REPORTS Racial profiling sheet that is completed after a vehicle stop has occurred.	Destroy in office after 1 year.*	
120.	TRAINEE INTERN PROGRAM FILE Records concerning study, recommendation, and all related material relevant to the Police Intern Program for future sworn officers.	Destroy in office 1 year after employee terminates service.	
121.	TRAINING ATTENDANCE FILE Records concerning DCI training presented at the departmental level in agreement with the State Division of Criminal Information. Includes attendance and grade reports.	Destroy in office after 2 years.	
122.	TRAINING RECORDS Records concerning each course taught by law enforcement agency. May include schedules, course curriculum, attendance rosters, instructor's name, development material, and other related records.	Follow disposition instructions for EMPLOYEE TRAINING AND EDUCATIONAL RECORDS item 28, page 107.	

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STANDARD-9: LAW ENFORCEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
123.	TRAINING RECORDS: PERSONNEL Records concerning the training of officers. May include records documenting in-service training schools conducted to develop skills, knowledge, and abilities; field training observation reports; supervisory career assessment forms; certificates; firearms qualifications; and other related records maintained in accordance with N.C. Administrative Code and Criminal Justice Commission standards and regulations.	Follow disposition instructions for EMPLOYEE TRAINING AND EDUCATIONAL RECORDS item 28, page 107.	
124.	TRANSFER REQUEST FILE Requests for transfer made by personnel.	Destroy in office after 1 year.	
125.	TRANSIENT SOLICITOR REGISTRATION FILE Forms from Tax Department listing vendors, salespeople, products, and duration of licenses.	Destroy in office after 2 years.	
126.	TRESPASS LAW ENFORCEMENT RECORDS Authorizations by property owners, lessees, or managers for municipal law enforcement officers to take whatever actions they deem appropriate to remove unauthorized persons and issue trespass warnings.	Destroy in office when superseded or obsolete.	
127.	UNIFORM CRIME REPORTS (UCR) Copies of reports submitted to the State Bureau of Investigation summarizing statistics on criminal activity and agency operations.	Destroy in office when administrative value ends. † Agency Policy: N/A	

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STANDARD-9: LAW ENFORCEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
128.	VEHICLE INSPECTION AND INVENTORY REPORTS Inspection reports of patrol units and inventories of equipment assigned to each vehicle. (Records are used to identify any missing or damaged items.)	Destroy in office after 1 year.	
129.	VEHICLE TOWING RECORDS Includes recovery authorizations and consent forms completed by owners to have vehicle towed, removed, stored, or left at the scene.	a) Destroy in office after 1 year if not made part of a case file. b) If record is made part of a case file follow disposition instructions for CASE HISTORY FILE: FELONIES item 17, page 64; or CASE HISTORY FILE: MISDEMEANORS item 18, page 64.	
130.	WANTED PERSONS FILE Records or lists concerning wanted persons not included in Daily Bulletin.	Destroy in office when administrative value ends.† Agency Policy: N/A	
131.	WARNING TICKETS Warning tickets issued by municipal law enforcement office. May include name and address of person and reason for warning.	a) Destroy in office after 1 year if not made part of a case file. b) If record is made part of a case file follow disposition instructions for CASE HISTORY FILE: FELONIES item 17, page 64; or CASE HISTORY FILE: MISDEMEANORS item 18, page 64.	
132.	WARRANTS FILE Warrants issued by a court directing a person to be taken into custody to answer charge.	Return to issuing Clerk of Superior Court's office as required by law once served, canceled, withdrawn, or otherwise disposed of.	
133.	WARRANTS REGISTER Registers listing warrants served by municipal law enforcement office.	Destroy in office when administrative value ends.† Agency Policy: N/A	

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STANDARD-9: LAW ENFORCEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
134.	WORK RELEASE EARNINGS REPORTS Inmates' work release earnings reports submitted either to the N.C. Department of Corrections or the Clerk of Superior Court.	Destroy in office after 3 years.*	G.S. §148-32.1
135.	WRECKER SERVICE RECORDS Records concerning wrecker requests or calls. May include lists of wrecker company's towing and storage rates, rotation lists, notification records when vehicles are towed from private property, and other related records.	a) Destroy in office after 1 year if not made part of a case file. b) If record is made part of a case file follow disposition instructions for CASE HISTORY FILE: FELONIES item 17, page 64; or CASE HISTORY FILE: MISDEMEANORS item 18, page 64.	

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STANDARD-10. LEGAL RECORDS

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

STANDARD-10: LEGAL RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	AFFIDAVITS OF PUBLICATION Proof of publication provided by newspapers regarding publication of ordinances, public hearings, bid solicitations, payment of bills, public sales etc. See also NOTICES OF PUBLIC MEETINGS item 46, page 11.	a) Retain permanently if record provides only evidence of publication. b) Destroy in office remaining records after 3 years.*	G.S. § 1-600
2.	ANNEXATION RECORDS Records concerning annexation of property into the city. Includes petitions, reports, correspondence, including email, maps, ordinances, and public hearings.	Retain in office permanently. <i>Retention Note: Annexation maps and ordinances must be filed with the County Register of Deeds office. G.S. §160A-29, G.S. §160A-58.61 and G.S. §160A-58.90.</i>	
3.	COMPLAINTS (DISCRIMINATION) Records concerning discrimination charges. May include charges made under the Age Discrimination in Employment Act, Americans with Disability Act, Housing and Urban Development Act, and the Civil Rights Act of 1964.	Destroy in office 2 years after final disposition of the charge.*	

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STANDARD-10: LEGAL RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
3.	<p>CONDEMNATION RECORDS Settled and pending condemnation cases.</p> <p>See also ACCOUNTS PAYABLE item 1, page 25 for disposition of financial records.</p>	Retain in office permanently.	
4.	<p>CONTRACTS AND AGREEMENTS Contracts and agreements for construction, equipment, supplies, services, special programs, and projects. May include franchise agreements, hold harmless agreements, good faith effort documentation and memoranda of understanding.</p>	<p>a) Destroy in office construction (capital improvements) contracts 6 years after completion or termination of project.*</p> <p>b) Destroy in office all other contracts and agreements 3 years after expiration, termination, or completion.*</p> <p>c) Retain contracts and agreements with historical value permanently.</p>	
5.	<p>CORRESPONDENCE (LEGAL) Correspondence, including email, and related records concerning actions taken to recover debts, fines and penalties; and to assure violations are addressed.</p>	<p>Destroy in office 5 years after resolution.*</p> <p>See also Electronic Records and Digital Imaging page viii.</p>	Comply with provisions of G.S. § 132-1.1(a) regarding the confidentiality of written communications by legal counsel.
6.	<p>CRIMINAL JUSTICE PARTNERSHIP PROGRAM RECORDS Includes client case files and related records pertaining to Day Reporting Centers, Pre-Trial Release Programs, and all other Criminal Justice Partnership Program initiatives.</p>	Destroy in office 5 years from date of service termination.	

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STANDARD-10: LEGAL RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
7.	<p>EASEMENTS AND RIGHT-OF-WAY AGREEMENTS Granted to and by the agency.</p> <p>See also ACCOUNTS PAYABLE item 1, page 25 for disposition of financial records</p>	Retain in office permanently.	
8.	<p>ENCROACHMENTS FILE Records concerning conflicts on land or water rights or obligations.</p>	Retain in office permanently.	
9.	<p>INSURANCE POLICIES Records concerning purchased accident, sickness, automobile, theft, fire, life, and all other insurance policies purchased by the municipality.</p>	<p>a) Destroy in office when superseded or obsolete if no outstanding litigation.*</p> <p>b) Destroy other records in office 6 years after settlement.</p>	
10.	<p>LEASES FILE Records concerning leases for property leased by and from other parties and agency property leased to the public.</p> <p>See also GRANTS item 37, page 8.</p>	Destroy in office records 3 years after termination of lease.*	
11.	<p>LEGAL OPINIONS Formal legal opinions written by counsel in response to requests concerning the governance and administration of local government.</p>	Retain in office permanently.	

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

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STANDARD-10: LEGAL RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
12.	<p>LEGAL REVIEW RECORDS</p> <p>Includes legal reviews of bylaws and charges to boards and commissions, conflict of interest, and all other departmental matters as requested.</p> <p>See also LEGAL OPINIONS item 11, page 93.</p>	<p>a) Retain records with historical value permanently.</p> <p>b) Destroy in office remaining records when administrative value ends or at expiration of relevant statute of limitations.† Agency Policy: Permanent</p>	<p>Comply with applicable provisions of G.S. §132-1.1(a) regarding the confidentiality of written communications by legal counsel.</p>
13.	<p>LITIGATION CASE RECORDS</p> <p>Civil suits to which the municipality is a party. May include affidavits, agreements, appeals, bills, briefs, citations, commitments, complaints, discharges, motions, notices, pleas, releases, statements, testimony, verdicts, waivers, warrants, and writs.</p>	<p>a) Retain cases having precedent or historical value permanently.</p> <p>b) Destroy in office adjudicated cases 5 years after final disposition.</p> <p>c) Destroy in office non-adjudicated cases (out-of-court claims) 5 years after final disposition or expiration of relevant statute of limitations.</p> <p><i>Retention Note: Records are retained by the Clerk of Superior Court's office in each county.</i></p>	<p>Comply with applicable provisions of G.S. §132-1.1(a) regarding the confidentiality of written communications by legal counsel.</p>
14.	<p>OATHS OF OFFICE FILE</p>	<p>a) Transfer official copy to the Clerk to the Board.</p> <p>b) Destroy remaining records in office 3 years after official termination.</p> <p><i>Retention Note: The Clerk to the Board should present a copy of the oaths of elected officials to the Clerk of Superior Court for recording. The Clerk to the Board maintains the original oaths.</i></p>	

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

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STANDARD-10: LEGAL RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
15.	ORDINANCE AND RESOLUTION DEVELOPMENT RECORDS Records concerning the analysis and development of ordinances and resolutions submitted before the governing board for approval.	Destroy in office development records when ordinance is no longer in effect.	
16.	OWNERSHIP RECORDS (DEEDS, TITLES)	Destroy in office 1 year after municipality relinquishes ownership of land.*	
17.	PRE-TRIAL RELEASE PROGRAM RECORDS	Destroy in office 5 years from date of service termination.	
18.	VEHICLE TITLES Titles of municipally owned vehicles.	Dispose of in accordance with Division of Motor Vehicles procedures for title transfer upon disposition of vehicle.	
19.	WARRANTIES Warranties that accompany equipment or commodities purchased by the agency.	Destroy in office 1 year after expiration of warranty.	

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

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STANDARD-11. PARKS AND RECREATION RECORDS
 Official records and materials created and accumulated during the conduct of municipal parks and recreation programs. Comply with applicable provisions of G.S. §132-1.12 regarding confidentiality of juvenile records.

STANDARD-11: PARKS AND RECREATION RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	ACCIDENT/INCIDENT REPORTS See also <u>WORKERS' COMPENSATION PROGRAM CLAIMS FILE</u> item 62, page 115.	Follow disposition instructions for ACCIDENT/INCIDENT REPORTS (CUSTOMER AND EMPLOYEE) item 1, page 160.	
2.	ADMISSION RECORDS Records of admissions to municipal parks or recreation facilities.	Destroy in office after 3 years.*	
3.	ANNUAL ACTIVITY REPORT Copies of financial and statistical reports sent to governing body.	Destroy in office after incorporation into governing body minutes.	
4.	ATHLETIC PROGRAM FILE Information, staff notes, correspondence, including email, and publications regarding athletic programs. May also include lesson plans, course descriptions, instruction manuals, schedules, team rosters, registration information, and concession operators list.	Destroy in office after 3 years.	Comply with applicable provisions of G.S. §132-1.12 regarding confidentiality of juvenile records.
5.	BIRTH CERTIFICATES (REFERENCE COPIES) Copies of each participant's birth certificate to verify age and register individual for participation.	Destroy in office when administrative value ends.† Agency Policy: N/A	

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

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STANDARD-11: PARKS AND RECREATION RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.	CITATIONS RECORDS Citations issued by park personnel to persons who violate park rules and regulations.	Destroy in office after 2 years.	
7.	FACILITIES USE PERMITS	a) Destroy in office after 3 years. b) Destroy in office applications for which a permit was never issued when administrative value ends. † Agency Policy: Destroy in office after 30 days	
8.	INTERNATIONAL FEDERATION OF PARKS AND RECREATION ADMINISTRATION FILE Records concerning general and technical material associated with the International Federation.	Destroy in office when superseded or obsolete.	
9.	INVENTORY OF FACILITIES	Destroy in office when superseded or obsolete.	
10.	MAPS FILE May include park boundaries, facilities, landscaping, topography, and other pertinent information.	Retain in office permanently.	
11.	OFFICIALS FILE Records concerning individuals who officiate games. Includes payroll, schedule, and related correspondence, including email.	a) Destroy in office after 3 years. b) If official is a municipal employee, transfer applicable records to PAYROLL AND EARNINGS RECORDS item 45, page 31.	

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

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STANDARD-11: PARKS AND RECREATION RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
12.	<p>PARKS AND RECREATION AGENDA AND MEETING PACKETS FILE</p> <p>Includes agendas, exhibits, and copies of supporting documentation submitted and discussed during meetings of public bodies.</p> <p>See also PARKS AND RECREATION BOARD MINUTES item 13, page 98.</p>	<p>a) Retain records with historical value permanently.</p> <p>b) Destroy in office other records when administrative value ends.† Agency Policy: N/A</p>	
13.	<p>PARKS AND RECREATION BOARD MINUTES</p> <p>See the Microfilm section on page x for instructions on microfilming minutes.</p>	<p>a) The official minutes of the governing board and its subsidiary boards are considered to be permanent records.</p> <p>b) The official minutes of advisory boards may only be destroyed upon approval by the State Archives of North Carolina. The State Archives of North Carolina reserves the right to designate the minutes of any advisory board as permanent.</p> <p>c) Minutes of committees or subcommittees may be destroyed when administrative value ends, if the minutes or actions and decisions of the committee are entered as part of the minutes of the parent board. If minutes or actions and decisions of the committee or subcommittee in question are not entered as part of the minutes of the parent board, the State Archives of North Carolina reserves the right to designate the minutes as permanent.† Agency Policy: N/A</p>	G.S. § 143-318.10

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

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STANDARD-11: PARKS AND RECREATION RECORDS		
ITEM #	RECORD SERIES TITLE	CITATION
14.	<p>PARKS PLANNING FILE File includes master plans and working plans for each park property and municipal recreational facility which show layout, topography, and proposed developments and improvements. May include drainage and resource maps, aerial maps, site analysis drawings, construction plans, and as-built drawings. See also COMPREHENSIVE PLAN item 19, page 4.</p>	<p>DISPOSITION INSTRUCTIONS</p> <p>a) If an element of the Comprehensive Plan, destroy in office when administrative value ends.† Agency Policy: N/A</p> <p>b) If not an element of the Comprehensive Plan, destroy in office when superseded or obsolete.</p> <p>c) Destroy in office background surveys, studies, reports, and drafts 3 years after adoption of plan or when superseded or obsolete, whichever comes first.</p>
15.	<p>POOL RECORDS File contains monthly reports indicating operational data, chemicals used, chlorination levels and other information relating to pool construction, maintenance, and health and safety.</p>	<p>Destroy in office after 1 year.</p>
16.	<p>PROMOTIONAL LEAFLETS AND BROCHURES</p>	<p>a) Retain in office master set permanently.</p> <p>b) Destroy in office remaining copies when superseded or obsolete.</p>
17.	<p>RATE AND FEE REGULATIONS</p>	<p>Destroy in office when superseded or obsolete.</p>
18.	<p>RECREATION PROGRAMS File includes activity schedules, rules and regulations, and rosters. May include flyers and brochures for specific programs, reservation records, and copies of receipts for fees paid.</p>	<p>Destroy in office after 3 years.</p>

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

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STANDARD-11: PARKS AND RECREATION RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
19.	RECREATIONAL EQUIPMENT RECORDS Records of equipment owned by municipal parks and recreation facilities.	Destroy in office 1 year after equipment is returned.	
20.	RESERVATION RECORDS Reservation records for municipal parks and recreational facilities.	Destroy in office after 1 year.	
21.	RELEASE FORMS	Destroy in office after 2 years.*	
22.	RULES AND REGULATIONS File consists of rules and regulations relating to use of park facilities and equipment issued by the Parks and Recreation Board.	Destroy in office 5 years after rules are revoked or superseded.*	
23.	SPECIAL EVENTS PROGRAM FILE Records concerning special events promoted by the municipality. Includes purchases, printing, calendars, program data, community contacts, and addresses.	Destroy in office after 3 years.*	
24.	TICKET STUBS	Destroy in office when administrative value ends. † Agency Policy: N/A	

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STANDARD-12. PERSONNEL RECORDS

Official records and materials created and accumulated incidental to the employment, qualifications, training, and pay status of municipal employees. Comply with applicable provisions of G.S. §160A-168 regarding confidentiality of personnel records.

STANDARD-12: PERSONNEL RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	ABOLISHED POSITION FILE	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after 5 years	
2.	ADDRESS FILE	Destroy in office when superseded or obsolete.	
3.	ADS AND NOTICES OF OVERTIME, PROMOTION, AND TRAINING OPPORTUNITIES	Destroy in office 1 year from date record was made.	29 CFR 1627.3
4.	AFFIRMATIVE ACTION FILE	a) Destroy in office all reports, analyses, and statistical data after 5 years. b) Destroy in office affirmative action plans 5 years from date superseded.	29 CFR 30.8(b)(e) 29 CFR 1608.4
5.	APPRENTICESHIP PROGRAM RECORDS	Destroy in office 5 years from the date of enrollment.	29 CFR 30.8(e)
6.	APTITUDE AND SKILLS TESTING RECORDS Records concerning aptitude and skills tests required of job applicants or of current employees to qualify for promotion or transfer. May include civil service examinations. See also EMPLOYMENT SELECTION RECORDS item 32, page 109.	a) Destroy in office applicant and employee test papers 2 years from date record was created. b) Destroy in office validation studies and copies of tests 2 years after no longer in use. c) Destroy in office records relating to the planning and administration of tests after 2 years.	29 CFR 1602.31 29 CFR 1602.40 29 CFR 1602.49

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

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STANDARD-12: PERSONNEL RECORDS

ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
7.	CAFETERIA PLAN (FLEXIBLE SPENDING) RECORDS Records concerning incentive systems in which employees can select the fringe benefits they want from a menu of available alternatives.	<ul style="list-style-type: none"> a) Destroy in office administrative records 3 years after completion of all audits.* b) Destroy in office yearly enrollment records after 1 year. c) Destroy in office claim records and receipts 3 years after completion of all audits.* 	
8.	COBRA RECORDS (CONSOLIDATED OMNIBUS BUDGET RECONCILIATION ACT) Includes notifications, election and claim forms, rejection letters and similar information.	Destroy in office 3 years from date eligibility ended.	29 USC 1161 26 USC 4980B 42 USC 300bb-1
9.	DEFERRED COMPENSATION FILE	Destroy in office when administrative value ends.†	Agency Policy: Destroy in office upon employment termination with the exception of beneficiary designation(s). Beneficiary designations(s) become part of the personnel file and should be destroyed 30 years after separation.
10.	DISABILITY SALARY CONTINUATION CLAIMS Forms used by disabled employees to apply for salary continuation benefits.	<ul style="list-style-type: none"> a) Transfer original forms to Local Government Retirement System for action when received. b) Destroy in office reference copies after 1 year. 	
11.	DISCIPLINARY FILE Correspondence, including email, and other records concerning disciplinary action taken against employees by personnel or supervisory staff, including records documenting terminations. May include records created by civil service boards when considering, or reconsidering an appeal or an adverse action against an employee.	<ul style="list-style-type: none"> a) Transfer records as applicable to PERSONNEL RECORDS (OFFICIAL COPY) item 47, page 112. b) Destroy in office all remaining records 2 years after resolution of all actions. 	29 CFR 1602.14 29 CFR 1602.31 29 CFR 1602.40 29 CFR 1602.49 29 CFR 1627.3

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

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

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

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STANDARD-12: PERSONNEL RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
13.	DUAL EMPLOYMENT FILE. Records concerning employees' requests and authorizations to accept secondary employment	<ul style="list-style-type: none"> a) Destroy in office approved requests and related records 1 year after employee terminates outside employment. b) Destroy in office unapproved requests and related records after 6 months. 	
14.	EDUCATIONAL LEAVE AND REIMBURSEMENT FILE. See also PERSONNEL RECORDS (OFFICIAL COPY) item 47, page 112	<ul style="list-style-type: none"> a) Destroy in office other records concerning approved requests when released from all audits. b) Destroy in office records concerning disapproved requests 6 months after disapproval.* 	
15.	EMPLOYEE BENEFITS REGISTER	Destroy in office after 2 years.	
16.	EMPLOYEE CERTIFICATION AND QUALIFICATION RECORDS Records concerning certification or qualification as required for employment, continued employment, or promotion. See also EMPLOYMENT APPLICATIONS AND RESUMES item 30, page 108.	<ul style="list-style-type: none"> a) Destroy in office certificates 5 years after date of separation. b) Destroy in office all remaining records 2 years after resolution of all actions. 	
17.	EMPLOYEE DIRECTORIES, ROSTERS OR INDEXES Includes records listing employees, their job titles, work locations, phone numbers, email addresses, and similar information.	Destroy in office when superseded or obsolete.	

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STANDARD-12: PERSONNEL RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
18.	<p>EMPLOYEE EDUCATIONAL ASSISTANCE PROGRAM RECORDS</p> <p>Includes records requesting tuition assistance, repayments, and other related records.</p> <p>See also PERSONNEL RECORDS (OFFICIAL COPY) item 47, page 112.</p>	<p>Destroy in office 3 years after completion, denial, repayment, or removal from program.*</p>	
19.	<p>EMPLOYEE ELIGIBILITY RECORDS</p> <p>Includes the United States Immigration and Naturalization Services, Employment Eligibility Verification (I-9) forms.</p>	<p>a) Destroy in office certificates, I-9 forms and statements, 3 years after individual was hired or 1 year from date of separation.</p> <p>b) Destroy in office registers after 2 years.</p>	8 USC 1324(b)
20.	<p>EMPLOYEE EXIT INTERVIEW RECORDS</p> <p>See also PERSONNEL RECORDS (OFFICIAL COPY) item 47, page 112.</p>	<p>Destroy in office after 1 year.</p>	
21.	<p>EMPLOYEE HEALTH CERTIFICATES</p> <p>Includes health or physical examination reports or certificates created in accordance with Title VII and the Americans with Disabilities Act (ADA).</p>	<p>a) Transfer records as applicable to PERSONNEL RECORDS (OFFICIAL COPY) item 47, page 112.</p> <p>b) Destroy all other records in office 2 years after resolution of all actions.</p>	29 CFR 1602.31

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STANDARD-12: PERSONNEL RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
22.	EMPLOYEE MEDICAL RECORDS Records concerning asbestos, toxic substances, and blood-borne pathogen exposure, medical examinations required by state or federal law, and records of injury or illness. (Does not include Worker's Compensation or health insurance claim records.)	<p>a) Destroy in office exposure records 40 years from date of exposure or 30 years from date of separation.*</p> <p>b) Destroy in office records pertaining to job-related illness and injury after 5 years.</p> <p>c) Destroy in office results of medical examinations required in connection with personnel actions and similar records after 1 year.</p> <p><i>Retention Note: Records must be maintained separately from an employee's personnel jacket.</i></p>	<p>29 CFR 1627.3</p> <p>29 CFR 1630.14</p> <p>29 CFR 1904.4</p> <p>29 CFR 1910</p>
23.	EMPLOYEE PENSION AND BENEFITS PLANS Includes plans and related records outlining the terms of employee pension plans; life, health, and disability insurance, seniority and merit systems; and deferred compensation plans, including amendments.	<p>Destroy in office 1 year after plan is terminated.</p>	<p>29 CFR 1627.3</p>
24.	EMPLOYEE PENSION AND BENEFIT PLAN ENROLLMENT FORMS Forms providing personal identifying data, beneficiary information, option selection, and similar information.	<p>a) Transfer pension and deferred compensation enrollment forms to PERSONNEL RECORDS (OFFICIAL COPY) item 47, page 112.</p> <p>b) Destroy life, health, and disability insurance enrollment forms 4 years after termination of coverage.</p>	

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STANDARD-12: PERSONNEL RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
25.	<p>EMPLOYEE PERFORMANCE REVIEW FILE Information used to establish employees' goals and primary tasks. Records used to evaluate each employee's work performance.</p> <p>See also PERSONNEL RECORDS (OFFICIAL COPY) item 47, page 112.</p>	<p>a) Destroy in office supervisor approved and signed work plans after 3 years.</p> <p>b) Destroy in office remaining records when administrative value ends.† Agency Policy: Destroy in office after 5 years</p>	
26.	<p>EMPLOYEE POLYGRAPH RECORDS Includes statements informing employee of the time, place and reasons for the test. Copy of notice sent to examiner identifying employee to be tested. Copies of opinions, reports, or similar records generated by the examiner and provided to the agency.</p>	<p>Destroy in office 3 years from the date the test was given, or from the date the test was requested if no examination was given.</p>	29 CFR 801.30
27.	<p>EMPLOYEE SUGGESTIONS</p>	<p>Destroy in office when administrative value ends.† Agency Policy: Destroy in office after 1 year</p>	
28.	<p>EMPLOYEE TRAINING AND EDUCATIONAL RECORDS Includes employee-specific records (certificates, transcripts, test scores, etc.) and non-employee-specific records (training manuals and aids, syllabi, course outlines, attendance rosters, etc.) relating to the training, testing, or continuing education of employees.</p>	<p>a) Transfer employee-specific records as applicable to PERSONNEL RECORDS (OFFICIAL COPY) item 47, page 112 if such training and testing is required for the position held or could affect career advancement.</p> <p>b) Destroy in office non-employee-specific records 1 year from date record was created.</p> <p>c) Destroy in office remaining records when administrative value ends.† Agency Policy: Destroy in office after 1 year</p>	29 CFR 1627.3

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STANDARD-12: PERSONNEL RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
29.	EMPLOYEE WORK SCHEDULES AND ASSIGNMENT RECORDS Records concerning work, duty, shift, crew, or case schedules, rosters, or assignments.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after 1 year	
30.	EMPLOYMENT APPLICATIONS AND RESUMES Records submitted by job applicants for vacant positions or by current employees for promotion, transfer, or training opportunities. May include applications, transcripts, resumes, letters of reference and similar records	<p>a) Transfer application, resumes, transcripts and similar records as applicable to PERSONNEL RECORDS (OFFICIAL COPY) item 47, page 112.</p> <p>b) Destroy in office all remaining records concerning individuals hired 2 years from date record was created or received, or the personnel action involved.</p> <p>c) Destroy in office records concerning individuals not hired 2 years after date of receipt, if no charge of discrimination has been filed. If charge has been filed, destroy in office 1 year after resolution of charge.*</p> <p>d) Destroy in office unsolicited applications/resumes, and those received after posted closing dates 2 years after receipt.</p>	<p>29 CFR 1602.31</p> <p>29 CFR 1602.40</p> <p>29 CFR 1602.49</p>
31.	EMPLOYMENT LISTINGS, ADVERTISEMENTS AND ANNOUNCEMENTS	Destroy in office after 2 years.	29 CFR 1602

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STANDARD-12: PERSONNEL RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
32.	<p>EMPLOYMENT SELECTION RECORDS Records concerning the selection of applicants for vacant positions or of current employees for promotion, transfer, or training opportunities. May include interview documentation, rosters, eligibility lists, test ranking sheets, justification statements, background and criminal history checks, health or physical examinations, and similar records.</p> <p>See also APTITUDE AND SKILLS TESTING RECORDS item 6, page 101.</p>	<p>a) Transfer records as applicable to PERSONNEL RECORDS (OFFICIAL COPY) item 47, page 112.</p> <p>b) Destroy in office all remaining records 2 years after resolution of all actions.</p>	<p>29 CFR 1602.31 29 CFR 1602.40 29 CFR 1602.49 29 CFR 1627.3</p>
33.	<p>EQUAL EMPLOYMENT OPPORTUNITY (EEO) CASE RECORDS Records concerning discrimination complaints and requests for reasonable accommodation received and resolved by the municipality.</p> <p>See also PERSONNEL RECORDS (OFFICIAL COPY) item 47, page 112.</p>	<p>Destroy in office 2 years after resolution of case.*</p>	<p>29 CFR 1602.31</p>
34.	<p>EQUAL EMPLOYMENT OPPORTUNITY (EEO) RECORDS AND REPORTS Reports filed with the Equal Employment Opportunity Commission (EEOC) in accordance with the provisions of Title VII and the Americans with Disabilities Act (ADA). May include compiled documentation used to complete EEO reports.</p>	<p>Destroy in office after 3 years.</p>	<p>29 CFR 1602</p>

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STANDARD-12: PERSONNEL RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
35.	EQUAL PAY RECORDS Includes reports, studies, aggregated or summarized data, and similar documentation compiled to comply with the Equal Pay Act.	Destroy in office after 2 years.	29 CFR 1620.32
36.	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.	Destroy in office 3 years after leave ends.*	29 CFR 825.500(b)
37.	FRINGE BENEFITS FILE	Destroy in office when administrative value ends.† Agency Policy: Destroy in office upon employee termination with the exception of beneficiary designation(s). Beneficiary designation(s) become part of the personnel file and should be destroyed 30 years after separation	
38.	GRIEVANCE FILE Includes initial complaint, investigations, actions, summary, and disposition. May include disciplinary correspondence, including email. See also DISCIPLINARY FILE item 11, page 102 and PERSONNEL RECORDS (OFFICIAL COPY) item 47, page 112.	Destroy in office after 2 years.	
39.	HEALTH INSURANCE FILE Completed claim forms and other records concerning employees covered by health plans.	Destroy in office after 2 years.*	
40.	INCREMENTS FILE	Destroy in office when released from all audits.	

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

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

41.	INTERNSHIP PROGRAM FILE Records concerning interns and students.	Destroy in office after 3 years.	
42.	LEAVE FILE Records concerning employee leave including requests for and approval of sick, vacation, overtime, buy-back, shared, donated, military, etc.	a) Destroy in office records concerning military service leave 5 years after returning from active duty.* b) Destroy in office records concerning non-military service leave after 5 years.*	
43.	LEAVE WITHOUT PAY FILE	Destroy in office 5 years after return of employee or termination of employment.	
44.	LONGEVITY PAY REQUESTS	Destroy in office when released from all audits.	
45.	MERIT AND SENIORITY SYSTEM RECORDS	a) Destroy in office employee-specific records after 3 years. b) Destroy in office system and plan records 1 year after no longer in effect.	29 CFR 1627.3
46.	PERSONNEL ACTION NOTICES Records used to create or change information in the personnel records of individual employees concerning such issues as hiring, termination, transfer, pay grade, position or job title, name change and leave.	a) Transfer records as applicable to <u>PERSONNEL RECORDS (OFFICIAL COPY)</u> item 47, page 112. b) Destroy in office all remaining records 2 years from date record was created, received, or the personnel action involved.	

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

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STANDARD-12: PERSONNEL RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
47.	<p>PERSONNEL RECORDS (OFFICIAL COPY) Official copy of personnel file maintained on each agency employee. May include basic employee information and records and forms relating to the selection or non-selection, promotion, transfer, leave, salary, suspension, and termination of employment.</p> <p>See also EMPLOYEE MEDICAL RECORDS item 22, page 106.</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 municipality; Date and type of each promotion, demotion, transfer, suspension, separation, or other change in position classification with that municipality; Date and general description of the reasons for each promotion with that municipality; Date and type of each dismissal, suspension, or demotion for disciplinary reasons taken by the municipality. If the disciplinary action was a dismissal, a copy of the written notice of the final decision of the municipality setting forth the specific acts or omissions that are the basis of the dismissal.</p> <p>b) Destroy in office information used to verify benefits 30 years after date of separation.</p> <p>c) Destroy remaining records in office when individual retention periods are reached as noted in individual items in the Records Retention and Disposition Schedule.</p>	G.S. § 160A-168 (Municipal Employees)
48.	<p>PERSONNEL RECORDS (REFERENCE COPY) Duplicate copy of official personnel jacket that is often maintained below the department level by supervisors.</p>	<p>a) Transfer records as applicable to PERSONNEL RECORDS (OFFICIAL COPY) item 47, page 112.</p> <p>b) Destroy in office remaining records when administrative value ends.[†] Agency Policy: Destroy in office after 1 year</p>	

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

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STANDARD-12: PERSONNEL RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
49.	POLICIES AND PROCEDURES (PERSONNEL)	<p>a) Retain official copy of internal agency personnel policies permanently.</p> <p>b) Destroy in office reference copies and external policy procedures when superseded or obsolete.</p>	
50.	POSITION CLASSIFICATION/POSITION HISTORY FILE See also POSITION DESCRIPTION RECORDS item 52, page 113.	<p>a) Retain records with historical value permanently.</p> <p>b) Destroy in office when superseded or obsolete.</p>	
51.	POSITION CONTROL FILE Records concerning personnel actions and position control, status of each established permanent, temporary full-time, or part-time position, and other related topics.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after 5 years	
52.	POSITION DESCRIPTION RECORDS Includes information on job title, grade, duties, agency assigned, duties and responsibilities.	Destroy in office 2 years from the date record is superseded.	29 CFR 1620.32
53.	POSITION REQUISITION AND ANALYSIS RECORDS Records used to fill vacant positions and request new positions.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after 5 years	
54.	SALARY SURVEY RECORDS	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after 5 years	

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

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STANDARD-12: PERSONNEL RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
55.	<p>SERVICE AWARDS AND COMMENDATIONS Includes award and selection committee reports, nominations, selection criteria, and similar employee recognition or incentive programs administrative records.</p> <p>See also PERSONNEL RECORDS (OFFICIAL COPY) item 47, page 112.</p>	<p>Destroy in office 2 years from date record was created, received, or the personnel action involved.</p>	
56.	<p>TEMPORARY EMPLOYEE RECORDS Records concerning temporary employees who were not provided with or eligible for benefits. Does not include personnel records created for specific federal programs.</p>	<p>a) If employee is a municipal employee, transfer applicable records to PERSONNEL RECORDS (OFFICIAL COPY) item 47, page 112.</p> <p>b) If the employee is a temporary service company employee, destroy in office 5 years from date of separation.</p>	
57.	<p>UNEMPLOYMENT COMPENSATION CLAIMS Claim form and other related records concerning unemployment compensation cases.</p>	<p>Destroy in office after 3 years.*</p>	
58.	<p>UNEMPLOYMENT COMPENSATION REPORTS Quarterly reports showing month-to-date wages, month-to-date compensation, year-to-date wages, and year-to-date compensation for each employee. May be filed with Employment Security Commission.</p>	<p>Destroy in office after 3 years.*</p>	
59.	<p>UNEMPLOYMENT INSURANCE FILE</p>	<p>a) Transfer original records to the N.C. Department of Commerce, Unemployment Insurance Division, when received.</p> <p>b) Destroy in office remaining records after 2 years.</p>	

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

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

STANDARD-12: PERSONNEL RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
60.	VOLUNTEER RECORDS Records concerning individuals who volunteered to assist with various agency activities and/or serve on boards.	Destroy in office 3 years from date of last inquiry or entry.	
61.	WORKERS' COMPENSATION PROGRAM (ADMINISTRATIVE) FILE Includes program policies, guidelines, and related administrative documentation.	a) Retain records with historical value permanently. b) Destroy in office when administrative value ends. † Agency Policy: Destroy in office after 5 years	
62.	WORKERS' COMPENSATION PROGRAM CLAIMS FILE Records concerning workers' compensation claims filed by employees' supervisors concerning accidental injuries or illnesses suffered on the job. May include Employer's Report of Injury to Employee (Form 19), accident investigation reports, medical reports, reference copies of medical invoices, and other related records. Also includes reference copies. (Records concerning claims filed for injuries that occurred prior to July 5, 1994 are considered permanent records in compliance with <i>Hylar v. GTE Prods. Co.</i> , 333 N. C. 258 S.E.2d 698 (1993).)	a) Retain in office permanently records concerning claims filed for injuries that occurred prior to July 5, 1994. Transfer official copy of claim records to the Industrial Commission in compliance with G.S. §97-92(a), and in accordance with municipal personnel policy. Retain in office permanently records concerning claims filed for injuries that occurred on or after July 5, 1994, for which the Industrial Commission form "Employee's Claim for Additional Medical Compensation Pursuant to N.C. Gen. Stat. §97-25.1" (Form 18M) has been filed. Destroy remaining records in office 5 years after closing, in accordance with G.S. §97-24(c), if no litigation, claim, audit, or other official action involving the records has been initiated.* b) If official action has been initiated, transfer to LITIGATION CASE RECORDS item 13, page 94.	Comply with applicable provisions of G.S. § 8-53 regarding the confidentiality of physician-patient records.

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

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

<p>STANDARD-13. PLANNING AND ZONING RECORDS Official records and materials created and accumulated during the conduct of municipal planning and zoning programs.</p>
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STANDARD-13: PLANNING AND ZONING RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<p>APPEARANCE COMMISSION AGENDA AND MEETING PACKETS FILE Includes agendas, exhibits, and copies of supporting documentation submitted and discussed during meetings of public bodies. See also APPEARANCE COMMISSION MINUTES item 2, page 117.</p>	<p>a) Retain records with historical value permanently. b) Destroy in office remaining records when administrative value ends.† Agency Policy: N/A</p>	

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

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STANDARD-13: PLANNING AND ZONING RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
2.	<p>APPEARANCE COMMISSION MINUTES</p> <p>See the Microfilm section on page x for instructions on microfilming minutes.</p>	<p>a) The official minutes of the governing board and its subsidiary boards are considered to be permanent records.</p> <p>b) The official minutes of advisory boards may only be destroyed upon approval by the State Archives of North Carolina. The State Archives of North Carolina reserves the right to designate the minutes of any advisory board as permanent.</p> <p>c) Minutes of committees or subcommittees may be destroyed when administrative value ends, if the minutes or actions and decisions of the committee are entered as part of the minutes of the parent board. If minutes or actions and decisions of the committee or subcommittee in question are not entered as part of the minutes of the parent board, the State Archives of North Carolina reserves the right to designate the minutes as permanent. †</p> <p>Agency Policy: N/A</p>	G.S. § 143-318.10
3.	APPEARANCE COMMISSION PROJECT FILE	<p>Destroy in office when administrative value ends. †</p> <p>Agency Policy: N/A</p>	
4.	ASSESSMENT RECORDS FILE Copies of assessment records and supporting documentation.	<p>Destroy in office when administrative value ends. †</p> <p>Agency Policy: N/A</p>	

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

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STANDARD-13: PLANNING AND ZONING RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
5.	<p>BOARD OF ADJUSTMENT AGENDA AND MEETING PACKETS FILE</p> <p>Includes agendas, exhibits, and copies of supporting documentation submitted and discussed during meetings of public bodies.</p> <p>See also BOARD OF ADJUSTMENT MINUTES item 8, page 119.</p>	<p>a) Retain records with historical value permanently.</p> <p>b) Destroy in office other records when administrative value ends.[†] Agency Policy: N/A</p>	
6.	<p>BOARD OF ADJUSTMENT CASE FILE</p> <p>Cases submitted to the board requesting variances from current zoning ordinances.</p>	<p>Destroy in office 6 years after resolution of case.*</p>	<p>G.S. §160A-388. G.S. § 1-50 (5)</p>
7.	<p>BOARD OF ADJUSTMENT CASE INDEX</p> <p>Index to cases reviewed by the board.</p>	<p>Retain in office permanently.</p>	

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

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STANDARD-13: PLANNING AND ZONING RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
8.	<p>BOARD OF ADJUSTMENT MINUTES</p> <p>See the Microfilm section on page x for instructions on microfilming minutes.</p>	<p>a) The official minutes of the governing board and its subsidiary boards are considered to be permanent records.</p> <p>b) The official minutes of advisory boards may only be destroyed upon approval by the State Archives of North Carolina. The State Archives of North Carolina reserves the right to designate the minutes of any advisory board as permanent.</p> <p>c) Minutes of committees or subcommittees may be destroyed when administrative value ends, if the minutes or actions and decisions of the committee are entered as part of the minutes of the parent board. If minutes or actions and decisions of the committee or subcommittee in question are not entered as part of the minutes of the parent board, the State Archives of North Carolina reserves the right to designate the minutes as permanent. †</p> <p>Agency Policy: N/A</p>	G.S. § 143-318.10
9.	<p>COMPREHENSIVE LAND USE PLAN AND AMENDMENTS</p> <p>Includes but is not limited to official copy of comprehensive land use plan and all background surveys, studies, reports, and draft versions of plans.</p>	<p>a) Retain in office permanently adopted plan and amendments.</p> <p>b) Destroy in office background surveys, studies, reports, and drafts 3 years after adoption of plan.</p>	

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

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STANDARD-13: PLANNING AND ZONING RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
10.	CONDITIONAL USE PERMIT RECORDS AND INDEX Records concerning applications for conditional use permits. Permits allow for the construction of buildings on the condition that impacts on neighborhoods are mitigated. May include original application, blueprint drawings, investigative reports, planning commission recommendations, cash receipts, and related correspondence, including email. Includes sign permits and temporary use permits. Also includes reference copies of variances or exceptions from zoning regulations granted by the Board of Adjustment.	a) Destroy in office 3 years after discontinuance of use. b) Destroy in office applications for which a permit was never issued when administrative value ends.† Agency Policy: N/A	
11.	CORRESPONDENCE (PLANNING AND ZONING)	a) Transfer correspondence, including email, with obvious historical value to the HISTORIES FILE item 39, page 8 after 3 years. b) Destroy in office remaining records after 3 years.	
12.	DECLARATIONS AND BYLAWS FROM TOWNHOUSES, CONDOMINIUMS, PLANNED RESIDENTIAL DEVELOPMENTS, COMMON AREAS, ETC.	Destroy in office when administrative value ends, provided the originals have been filed in the Register of Deeds Office. If not filed in Register of Deeds Office, retain in office permanently.	
13.	EASEMENT RELEASE REQUEST FILE Approved and denied easement release requests. Includes form letters, memos, reference copies of maps, and resolutions approved by the Planning Board.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after 5 years	

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

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STANDARD-13: PLANNING AND ZONING RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
14.	ENFORCEMENT CASES Records concerning municipal actions concerning housing and zoning complaints.	Destroy in office after 5 years.*	
15.	ENVIRONMENTAL IMPACT STUDIES Records and reports concerning the environmental impact of major projects proposed by localities and reviewed by local officials.	Retain in office permanently.	
16.	FEASIBILITY STUDIES	Retain in office permanently.	
17.	MAPS, DRAWINGS, PHOTOGRAPHS (OFFICIAL) Official representation of comprehensive plan, and zoning boundaries established and/or enforced by the agency. May include blueprint maps, which show streets, property lines, zoning boundaries, and area classifications.	Retain in office permanently.	
18.	MAPS, DRAWINGS, PHOTOGRAPHS (REFERENCE) Illustrations prepared or collected to capture background information on land use conditions for staff reference and public information.	Destroy in office when superseded or obsolete.	
19.	MAPS AND PLATS	Destroy in office when superseded or obsolete if filed in the Register of Deeds Office. If not filed in Register of Deeds Office, retain in office permanently.	
20.	MASTER SUMMARY (LOG OR REGISTER) Maintained by planning agency to record receipt of planning or zoning reviews and projects, and to record subsequent action taken.	Retain in office permanently.	

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

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STANDARD-13: PLANNING AND ZONING RECORDS		
ITEM #	RECORD SERIES TITLE	CITATION
		DISPOSITION INSTRUCTIONS
21.	OPEN SPACE CLASSIFICATION CASE FILE	Retain in office permanently.
22.	ORDINANCES Official copies of ordinances adopted by the Planning and Zoning Board.	Retain in office permanently.
23.	PETITION & REGULATION RECORDS	Destroy in office after 5 years. *
24.	PHOTOGRAPHS AND NEGATIVES (AERIAL)	a) Retain negatives permanently. b) If negative is not available retain photograph permanently. c) Destroy in office photographs when administrative value ends. † Agency Policy: Permanent
25.	PLANNING AND ZONING BOARD AGENDA AND MEETING PACKETS FILE Includes agendas, exhibits, and copies of supporting documentation submitted and discussed during meetings of public bodies. See also PLANNING AND ZONING BOARD MINUTES item 26, page 123.	a) Retain records with historical value permanently. b) Destroy in office other records when administrative value ends. † Agency Policy: N/A

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

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STANDARD-13: PLANNING AND ZONING RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
26.	<p>PLANNING AND ZONING BOARD MINUTES</p> <p>See the Microfilm section on page x for instructions on microfilming minutes.</p>	<p>a) The official minutes of the governing board and its subsidiary boards are considered to be permanent records.</p> <p>b) The official minutes of advisory boards may only be destroyed upon approval by the State Archives of North Carolina. The State Archives of North Carolina reserves the right to designate the minutes of any advisory board as permanent.</p> <p>c) Minutes of committees or subcommittees may be destroyed when administrative value ends, if the minutes or actions and decisions of the committee are entered as part of the minutes of the parent board. If minutes or actions and decisions of the committee or subcommittee in question are not entered as part of the minutes of the parent board, the State Archives of North Carolina reserves the right to designate the minutes as permanent. †</p> <p>Agency Policy: N/A</p>	G.S. § 143-318.10
27.	<p>PLANNING AND ZONING STUDIES</p> <p>Studies, plans and reports of the planning and zoning department, board, or commission. Records are used as background information for reports, ordinances, resolutions, etc.</p> <p>See also COMPREHENSIVE PLAN item 19, page 4.</p>	<p>a) If an element of the Comprehensive Plan, destroy in office when administrative value ends. †</p> <p>Agency Policy: N/A</p> <p>b) If not an element of the Comprehensive Plan, retain in office permanently.</p> <p>c) Destroy in office background surveys, studies, reports, and drafts 3 years after adoption of plan or when superseded or obsolete, whichever comes first.</p>	

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

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STANDARD-13: PLANNING AND ZONING RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
28.	PLANNING REVIEW CASE FILE For required review of site plan, zoning variance, special permit, subdivision creation or enlargement, municipal planning action, or other required review, including but not limited to maps, plans, sketches, photographs, engineering reports, environmental impact statement and studies, copies of zoning records, project narrative, correspondence, including email, and record of final determination.	<p>a) Retain plan reviews and related records containing subdivision, historical structure, major commercial or industrial development, or capital construction, where municipality is lead agency, permanently.</p> <p>b) Destroy in office plan reviews and related records containing subdivision, historic structures, major commercial or industrial development, or capital construction, where municipality is not lead agency 6 years after last entry.</p> <p>c) Destroy in office any other mandatory reviews and related records 6 years after last entry.</p>	G.S. § 1-50(c)
29.	PRELIMINARY SUBDIVISION AND GROUP DEVELOPMENT SITE PLANS	Destroy in office when administrative value ends. † Agency Policy: N/A	
30.	REDEVELOPMENT PLANNING RECORDS See also COMPREHENSIVE PLAN item 19, page 4.	<p>a) If an element of the Comprehensive Plan, destroy in office when administrative value ends. † Agency Policy: N/A</p> <p>b) If not an element of the Comprehensive Plan, retain in office permanently.</p> <p>c) Destroy in office background surveys, studies, reports, and drafts 3 years after adoption of plan or when superseded or obsolete, whichever comes first.</p>	
31.	REFERRED PROJECTS	Destroy in office when administrative value ends. † Agency Policy: N/A	

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

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STANDARD-13: PLANNING AND ZONING RECORDS		
ITEM #	RECORD SERIES TITLE	CITATION
32.	<p>REZONING RECORDS AND INDEXES Records concerning applications to rezone property within the municipality. May include original applications, review forms, maps of areas involved, copies of investigative reports, copies of planning board minutes, notices of hearings, notices returned as undeliverable, development agreements, copies of ordinances, and copies of city or town council minutes.</p>	Retain in office permanently.
33.	<p>STREET NAMES AND CHANGES OF STREET NAMES FILE Records concerning the names and addresses of streets and roads retained for administrative purposes.</p>	Destroy in office when superseded or obsolete.
34.	<p>SUBDIVISION RECORDS Includes maps, plats, topographical data, names of streets, records of public utilities, action by council, etc.</p>	Retain in office permanently.
35.	<p>TEMPORARY MANUFACTURED HOME PERMITS Records created to temporarily authorize the location of a manufactured home on the same lot as a single family residence.</p>	Destroy in office 6 years after permit expires. G.S. § 1-50 (5)
36.	<p>VARIANCES</p>	Retain permanently official copies in the minutes of the Planning Board.

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

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STANDARD-13: PLANNING AND ZONING RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
37.	ZONING COMPLIANCE PERMITS For residential uses, non-residential uses, and accessory structures.	<ul style="list-style-type: none"> a) Retain permits concerning subdivision, historical structure, major commercial or industrial development, or capital construction, where municipal is lead agency, permanently. b) Destroy in office permits concerning subdivision, historic structures, major commercial or industrial development, or capital construction, where municipality is not lead agency 6 years after last entry. c) Destroy in office any other permits and related records 6 years after last entry. 	G.S. § 1-50 (5)
38.	ZONING ORDINANCES AND AMENDMENTS Ordinances and amendments adopted by the zoning board.	Retain in office permanently.	
39.	ZONING VIOLATIONS See also CORRESPONDENCE (LEGAL) item 5, page 92.	Destroy in office after 6 years.*	G.S. § 1-50 (5)

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

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STANDARD-14. PUBLIC HOUSING AUTHORITIES AND REDEVELOPMENT COMMISSION RECORDS

Official records and materials created and accumulated by public housing authorities and redevelopment commissions operated by municipalities.

STANDARD-14: PUBLIC HOUSING AND REDEVELOPMENT COMMISSION RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	APPRAISAL PROJECT FILE Evaluations of properties and structures within proposed projects. File includes financial assessments of the worth of real estate and buildings within proposed project areas. May also include assessments of architectural and historical significance and condition of the involved structures and real estate.	a) Retain records with historical value permanently. b) Destroy in office other records 5 years after completion or abandonment of project.*	
2.	CERTIFICATION FILE Records documenting the approval and certification process of all official redevelopment projects.	Retain in office permanently.	
3.	COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG) ADMINISTRATIVE RECORDS Records concerning the administration of projects funded under the Community Development Block Grant program (CDBG). May include both direct grants and regrants, including the preliminary reports, audits, certificates, maps, and related correspondence, including email.	a) Destroy in office 5 years after completion of project.* b) Retain records with historical value permanently.	24 CFR 85.42 24 CFR 570.502(a)(16) 24 CFR 84-53(b) 24 CFR 570.502(b)(3)

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

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STANDARD-14: PUBLIC HOUSING AND REDEVELOPMENT COMMISSION RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.	COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG) APPLICATION RECORDS Records concerning the application and completion of projects funded under CDBG funds. May include both direct grants and regrants, including the initial application, and all final reports.	Retain in office 5 years after promissory note is released to client or lender.*	24 CFR 85.42 24 CFR 570.502(a)(16) 24 CFR 84.53(b) 24 CFR 570.502(b)(3)
5.	ENVIRONMENTAL REVIEWS FOR COMMUNITY DEVELOPMENT BLOCK GRANT (CDGB) FILE Documents concerning community development block grant activities by budget year.	Follow Federal retention and disposition instructions.	
6.	FAÇADE PROJECT FILES Documentation of the re-granting of funds received by the municipality to restore exteriors of architecturally important structures in project areas. May include work contract, photographs, and correspondence, including email.	Retain in office permanently.	
7.	HOME INVESTMENT PARTNERSHIP ADMINISTRATIVE RECORDS Records concerning the administration of projects funded under the HOME Investment Partnership. May include both direct grants and regrants, including the preliminary reports, audits, certificates, maps, and related correspondence, including email.	a) Destroy in office 5 years after completion of project.* b) Retain records with historical value permanently.	24 CFR 92.508

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

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STANDARD-14: PUBLIC HOUSING AND REDEVELOPMENT COMMISSION RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
8.	HOME INVESTMENT PARTNERSHIP APPLICATION RECORDS Records concerning the application and completion of projects funded under HOME Investment Partnership funds. May include both direct grants and regrants, including the initial application, and all final reports.	a) Destroy in office after 5 years* b) Retain records with historical value permanently.	24 CFR 92.508
9.	HOUSING AND URBAN DEVELOPMENT FINANCIAL RECORDS Records documenting the granting of Housing and Urban Development (HUD) funds for the rehabilitation of homes. Projects concern historic preservation, employment survey, and environmental review.	Destroy in office after 5 years.*	24 CFR 92.508
10.	HOUSING AND URBAN DEVELOPMENT HISTORICAL PROPERTIES GRANT FILES These records document the granting of Housing and Urban Development (HUD) funds for the rehabilitation of homes. These projects concern historic preservation, employment survey, and environmental review. May include copies of the plan, the original grant, final report, resolution, and related correspondence, including email.	Retain in office permanently.	
11.	HOUSING AND URBAN DEVELOPMENT GRANT AND PROJECT FILES Records documenting receipt and expenditure of Housing and Urban Development (HUD) grants for affordable housing programs.	Destroy in office after 5 years.*	24 CFR 92.508

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

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STANDARD-14: PUBLIC HOUSING AND REDEVELOPMENT COMMISSION RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
12.	HOUSING REHABILITATION PROGRAM RECORDS	Follow the disposition instructions for the COMMUNITY DEVELOPMENT BLOCK GRANT RECORDS , items 3 and 4, pages 127-128.	
13.	LAND MARKETING AND DEVELOPMENT RECORDS Projects involving redevelopment and marketing of land.	Destroy in office 5 years after completion of project.*	24 CFR 92.508
14.	PROPERTY MANAGEMENT RECORDS Records concerning management of property owned by the municipality, authority, or commission.	Destroy in office after 5 years.*	24 CFR 92.508
15.	REHABILITATION LOAN RECORDS May include promissory note, deed of trust, insurance policies, final title, opinion of legal counsel, and request for notice.	Destroy in office 5 years after payoff of loan.*	24 CFR 92.508
16.	REDEVELOPMENT PLANS (NON-APPROVED)	Destroy in office after 2 years.	
17.	RELOCATION RECORDS Claims and records of payments.	Destroy in office 5 years after completion of project.*	24 CFR 92.508

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

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STANDARD-15. PUBLIC RELATIONS RECORDS

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

STANDARD-15: PUBLIC RELATIONS RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	ADVERTISEMENTS Includes advertisements of special events and services concerning the agency which appear in newspapers, journals, newsletters etc.	a) Destroy advertisements in office 3 years after expiration.* b) Destroy in office billing information and other fiscal records when released from all audits. c) Retain records with historical value permanently.	
2.	AGENCY PUBLICATIONS Publications created at agency expense.	a) Retain records with historical value permanently. b) Destroy remaining copies in office when administrative value ends.† Agency Policy: Destroy in office 1 year after expiration or 1 year after superseded	
3.	AUDIO-VISUAL RECORDINGS (PUBLIC RELATIONS) Recordings (including digital) and films produced by the agency. This does not include recordings of public meetings.	a) Retain records with historical value permanently. b) Destroy remaining records in office when administrative value ends.† Agency Policy: Destroy in office 1 year after expiration or 1 year after superseded	

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

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STANDARD-15: PUBLIC RELATIONS RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.	NEWS AND PRESS RELEASES News and press releases issued concerning programs, activities, and services of the agency.	a) Retain records with historical value permanently. b) Destroy in office remaining items when administrative value ends.† Agency Policy: Permanent	
5.	PUBLIC RELATIONS FILE Records concerning overall public relations of municipal/administrative offices. May include procedures, correspondence (including email), photographic materials, and other related records.	Destroy in office after 5 years.	
6.	SPEECHES Speeches made by agency officials.	a) Retain records with historical value permanently. b) Destroy in office remaining items when administrative value ends.† Agency Policy: Destroy in office after 1 year	
7.	WEBSITE (ELECTRONIC) FILE Electronic records concerning the administration and maintenance of the agency's website. (A network administrator or information systems office may maintain electronic files.)	a) Retain records with historical value permanently. Can be maintained as website snapshots or via Web crawler. b) Erase/destroy in office remaining records when superseded or obsolete. <i>Retention Note: Preserve copy of web page after every major change in design and/or content.</i>	

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

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<p>STANDARD-16. PUBLIC TRANSPORTATION SYSTEM. Records received and created by municipal transit systems and authorities necessary to meet all statutory requirements.</p> <p><i>Comply with requirements of the Federal Transit Administration's Best Practice Procurement Manual, Master Agreement MA(11) Section 8 manual, and 49 CFR 18 regarding retention, access, security, and confidentiality of records where applicable.</i></p>

STANDARD-16. PUBLIC TRANSPORTATION SYSTEMS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	ACCREDITATION RECORDS Records concerning compliance with those standards outlined by accreditation programs.	Destroy in office 1 year after superseded.*	
2.	AGENCY LOGS (SHEETS) Records concerning individual agency ridership.	Destroy in office after 3 years.*	49 CFR 18.42
3.	AMERICANS WITH DISABILITIES ACT (ADA) PARATRANSIT RECORDS Includes driver's daily assignments, dispatch records, logs of passenger pick-ups and drop-offs, manifests, trip requests, and appeal forms.	Destroy in office after 5 years.*	49 CFR 18.42
4.	AMERICANS WITH DISABILITIES ACT (ADA) PARATRANSIT VOUCHERS Vouchers submitted by private transportation companies for reimbursement for alternative transportation of public transit clients.	Destroy in office after 5 years.*	49 CFR 18.42
5.	AMERICANS WITH DISABILITIES ACT (ADA) PRE-TRIP INSPECTION FORMS	Destroy in office after 1 year.	49 CFR 18.42

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

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STANDARD-16. PUBLIC TRANSPORTATION SYSTEMS

ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.	APPLICATIONS FOR ART-IN-TRANSIT Applications and supporting documentation submitted by regional and national artists for exhibit on agency property.	Destroy in office when administrative value ends.† Agency Policy: N/A	
7.	APPLICATIONS FOR AWARDS Applications and supporting documentation used to apply for various public and private awards.	Destroy in office when administrative value ends.† Agency Policy: N/A	
8.	APPLICATIONS FOR DISCOUNT PASSES Applications, certificates of disability, and supporting documentation used to apply for discount passes.	Destroy in office 3 years after service is terminated or denied.	Refer to U.S. Privacy Act 5 U.S.C. 552a for information on confidentiality of patient medical information.
9.	APPLICATIONS FOR TRANSIT SERVICE Customer applications, eligibility assessment records, correspondence, including email, health information, riders' guides, and related records.	Destroy in office 3 years after service is terminated or denied.	
10.	CALL IN LOGS (SHEETS) Records concerning on-demand service requests.	Destroy in office after 5 years.*	49 CFR 18.42
11.	CUSTOMER (RIDER) ALERTS Records alerting customers of changes in regular service (i.e. detours, festivals, parades, etc.).	Destroy in office when administrative value ends.† Agency Policy: N/A	
12.	CUSTOMER (RIDER) IDENTIFICATION RECORDS Records concerning customer identification, approvals, denials, and related information.	Destroy in office when administrative value ends.† Agency Policy: N/A	

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

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STANDARD-16. PUBLIC TRANSPORTATION SYSTEMS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
13.	DISADVANTAGED BUSINESS ENTERPRISE (DBE) RECORDS Files containing company's articles of incorporation, financial statements, signed affidavits, letters of reference, declarations, Federal Schedule A or B, and related correspondence, including email.	a) Destroy in office 5 years after company is removed from certified list. b) Destroy in office related DBE program records, including Federal Transit Administration reports, 5 years from date record was created.	49 CFR 26
14.	DISPATCH RECORDS Reports, logs, and similar records used to document dispatch activities.	Destroy in office after 5 years.	49 CFR 18.42
15.	LOST AND FOUND RECORDS Logs, sheets, and similar records documenting items recovered from agency facilities and vehicles. May include customer receipts for claimed items.	Destroy in office when administrative value ends. † Agency Policy: N/A	
16.	NATIONAL TRANSIT DATABASE (NTD) REPORT Annual report submitted to the Federal Transit Administration and used as the basis for calculating each system's funding. May include records (data) used to generate reports regardless of format.	Destroy in office 5 years.*	49 CFR 18.42
17.	OPERATOR ACCIDENT/INCIDENT REPORTS	See ACCIDENT/INCIDENT REPORTS (CUSTOMER AND EMPLOYEE) item 1, page 160.	
18.	OPERATOR BID RECORDS Cards, sheets and similar records documenting operators' route selections and choice for a service period.	Destroy in office when administrative value ends. † Agency Policy: N/A	

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

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STANDARD-16. PUBLIC TRANSPORTATION SYSTEMS

ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
19.	OPERATOR OBSERVATION RECORDS Records concerning monitoring operators' work performance.	See EMPLOYEE PERFORMANCE REVIEW FILE item 25, page 107.	
20.	OPERATOR SCHEDULING AND ASSIGNMENT RECORDS Logs, sheets, schedules, reports, and similar records used to track work assignments and activities of individual operators to routes and shifts. See also TIME SHEETS, CARDS, AND ATTENDANCE RECORDS item 54, page 33.	Destroy in office when administrative value ends. † Agency Policy: N/A	
21.	OPERATOR SHIFT INSPECTION RECORDS Reports and similar records of operator's inspections of vehicle at the beginning and end of shift.	Destroy in office after 5 years.	49 CFR 18.42
22.	RADIO DISPATCH RECORDINGS AND LOGS Recordings and logs of dispatch messages to and from transit operators.	Destroy in office after 90 days.*	
23.	RIDERSHIP REPORTS	Destroy in office after 5 years.	49 CFR 18.42
24.	ROUTE HISTORY RECORDS Includes descriptions of routes, bus stops, passenger lists and other related records.	Destroy in office when administrative value ends. † Agency Policy: N/A	
25.	ROUTE MAINTENANCE RECORDS Logs, sheets, and related records used to record needed road improvements.	Destroy in office when administrative value ends. † Agency Policy: N/A	

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

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STANDARD-16. PUBLIC TRANSPORTATION SYSTEMS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
26.	ROUTE REQUESTS Requests from customers for additional or revised routes.	Destroy in office 3 years after resolution.	
27.	SAFETY CERTIFICATIONS Verifies that system elements such as vehicles, trolley and train cars, tracks, station components and operating procedures comply with safety requirements.	Retain in office for life of structure or vehicle.	
28.	SEAT BELT AND RESTRAINT SYSTEM RECORDS Records concerning the use and installation of seat belts and other restraint systems in vehicles.	Destroy in office when administrative value ends.† Agency Policy: N/A	
29.	SERVICE CHANGE RECORDS Records concerning changes in routes and transportation services offered by the agency.	a) Retain records with historical value permanently. b) Destroy in office remaining records 3 years after records were created or project ends, whichever occurs later.	
30.	SERVICE PERFORMANCE RECORDS Records concerning quality control performance checks conducted on agency staff, contractors, and vendors.	a) Retain records with historical value permanently. b) Destroy in office remaining records 3 years after records were created or project ends, whichever occurs later.	
31.	SERVICE PLANNING AND DEVELOPMENT RECORDS	a) Retain records with historical value permanently. b) Destroy in office remaining records 3 years after records were created or project ends, whichever occurs later.	

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

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STANDARD-16. PUBLIC TRANSPORTATION SYSTEMS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
32.	SHELTER RECORDS Includes adopt a shelter program records, listings of shelter sites, site permission for right-of-way, easements and related documentation.	a) Retain shelter blueprints for life of structure. b) Destroy in office remaining records when administrative value ends, or when site is no longer used.† Agency Policy: N/A	
33.	SHUTTLE LOGS (SHEETS) Records concerning regularly scheduled individual ridership.	Destroy in office after 5 years.*	49 CFR 18.42
34.	TERMINAL DISPATCH RECORDS Reports, logs, and similar records used to track daily terminal operations and activities.	Destroy in office after 1 year.	
35.	TICKET CONSIGNMENT RECORDS Logs, notebooks, and related records used to track tickets and passes provided to customers.	Destroy in office when administrative value ends.† Agency Policy: N/A	
36.	TRIP REQUESTS Passenger trip requests.	Destroy in office after 5 years.	49 CFR 18.42
37.	TRANSIT SCHEDULES Printed route schedules and related information used to generate schedules.	Destroy in office when administrative value ends.† Agency Policy: N/A	
38.	TRANSPORTATION SYSTEM OPERATIONS REPORTS Reports and supporting records summarizing transit system operations.	Destroy in office after 5 years.	49 CFR 18.42
39.	TRANSPORTATION SYSTEM SERVICE PERFORMANCE EVALUATIONS	Destroy in office after 1 year.	

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STANDARD-16. PUBLIC TRANSPORTATION SYSTEMS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
40.	TRANSPORTATION SYSTEM STATISTICAL RECORDS Reports and supporting records showing passenger trips, mileage, service hours, on-time performance, missed and/or late trips, road call, ridership, and similar statistical information.	a) Retain records with historical value permanently. b) Destroy in office remaining records 5 years after records were created or project ends, whichever is longer.	49 CFR 18.42
41.	VANPOOL DRIVER APPLICATIONS Applications and supporting records submitted by persons operating vanpool vehicles.	a) Destroy in office 3 years after person leaves program. b) Destroy in office after 1 year applications for persons not accepted for program.	
42.	VANPOOL MONTHLY USAGE REPORTS Includes logs, sheets, reports and similar records documenting starting and ending mileage, total miles driven, route locations, passenger rosters, and similar information.	Destroy in office after 5 years.	49 CFR 18.42
43.	VEHICLE BREAKDOWN RECORDS Reports and similar records documenting response time, location, vehicle identification and similar information. See also WORK ORDERS (VEHICLE REPAIR) item 10, page 53.	Destroy in office after 1 year.	
44.	VEHICLE OPERATOR INSTRUCTIONS	Destroy in office when administrative value ends. † Agency Policy: N/A	

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

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STANDARD-16. PUBLIC TRANSPORTATION SYSTEMS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
45.	VEHICLE USAGE LOGS (SHEETS) Includes date vehicle was used, pick-up and delivery locations, starting and ending mileage, total miles driven and signature of driver.	Destroy in office after 1 year.*	

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

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STANDARD-17. PUBLIC UTILITIES AND ENVIRONMENTAL MANAGEMENT RECORDS

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

STANDARD-17: PUBLIC UTILITIES AND ENVIRONMENTAL MANAGEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	ABANDONED UTILITY LINE RECORDS Records documenting the location of abandoned utility lines.	Retain in office until abandoned line is removed.	
2.	AIR POLLUTION SOURCE INFORMATION For facilities which are no longer operational.	Destroy in office after 2 years.*	
3.	ANNUAL REPORTS (UTILITIES) Reports sent to the Federal regulatory agency including annual reports, power system statement, and gas reports.	Destroy in office after 5 years.	
4.	ASBESTOS DISPOSAL LOG Data concerning the disposal of asbestos. Includes lists of companies doing the removal, location, how much to be disposed, when to be removed, route and method of disposal.	Destroy in office after 1 year.*	
5.	BATTERY COLLECTION FILE	Destroy in office 5 years after reporting period is complete.	

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

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STANDARD-17: PUBLIC UTILITIES AND ENVIRONMENTAL MANAGEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.	CABLE TELEVISION FRANCHISE RECORDS Includes contracts, agreements, and notice of franchise.	a) Retain in office contracts, agreements, and notice of franchise for life of the franchise. b) Destroy in office remaining records when administrative value ends.† Agency Policy: N/A	G.S. §66-350
7.	CHRONOLOGY FILE Contains copies of inspection reports, complaints, documentation from other agencies, and correspondence, including email.	Destroy in office after 6 years.	
8.	COMMUNITY WATER SYSTEM PERMIT Permit issued by the NC Department of Environment and Natural Resources.	Destroy in office when superseded.	G.S. §130A-328
9.	COMPLAINTS (EROSION AND SEDIMENT CONTROL)	a) Transfer records as applicable to EROSION AND SEDIMENT CONTROL NOTICE OF VIOLATIONS item 39, page 147. b) Destroy other records in office after 3 years.	
10.	COMPREHENSIVE SOLID WASTE MANAGEMENT PLAN AND AMENDMENTS See also COMPREHENSIVE PLAN item 19, page 4.	d) If an element of the Comprehensive Plan, destroy in office when administrative value ends.† Agency Policy: Permanent a) If not an element of the Comprehensive Plan, destroy in office when superseded or obsolete. b) Destroy in office background surveys, studies, reports, and drafts 3 years after adoption of plan or when superseded or obsolete, whichever comes first.	G.S. §130A-309.09A

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

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STANDARD-17: PUBLIC UTILITIES AND ENVIRONMENTAL MANAGEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
11.	CONSTRUCTION DRAWINGS Maps and drawings including water and sewer, paving curb and gutter construction, property descriptions, and annexations.	Destroy in office when administrative value ends.† Agency Policy: Permanent	
12.	COUNTY LANDFILL RECORDS	Destroy in office after 3 years.	
13.	CUSTOMER ACCOUNT HISTORIES Records necessary to provide and bill for services. Includes applications for services.	Destroy in office when administrative value ends.†* Agency Policy: Destroy in office after 5 years	Comply with applicable provisions of G.S. §132-1.1(c) regarding confidentiality of public enterprise billing information.
14.	CUSTOMER DEPOSIT RECORDS Records of customers required to pay a deposit to receive service.	Destroy in office 3 years after account is closed.*	Comply with applicable provisions of G.S. §132-1.1(c) regarding confidentiality of public enterprise billing information.
15.	CUSTOMER FINANCIAL RECORDS Billing and receipt records concerning customer accounts. Includes billing adjustment records.	<ul style="list-style-type: none"> a) Destroy in office utility bills and receipts after 3 years. b) Destroy in office copies of notices of unpaid bills after payment or deemed uncollectable. c) Destroy in office records of accounts receivable file after 3 years and when released from all audits.* d) Destroy in office cashier's daily cash records for utility accounts after 1 year. 	Comply with applicable provisions of G.S. §132-1.1(c) regarding confidentiality of public enterprise billing information.

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

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STANDARD-17: PUBLIC UTILITIES AND ENVIRONMENTAL MANAGEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
16.	CUSTOMER USAGE RECORDS Includes reports, plans or similar records submitted by industrial users or publicly-owned treatment works concerning intended or actual use of the system.	Destroy in office after 3 years.*	40 CFR 403.12(o)(3)
17.	CUSTOMER WORK ORDERS Includes service orders such as to connect and disconnect service or other maintenance functions.	Destroy in office 1 year after completion of work.	
18.	DAILY DISPOSAL TICKETS Record and/or receipts concerning the disposal of materials at the landfill.	Destroy in office after 3 years.*	
19.	DAILY FACILITY OPERATORS LOGS AND REPORTS	a) Destroy in office after 3 years records concerning the operation of water treatment facilities.* b) Destroy in office after 5 years records concerning the operation of wastewater treatment facilities.*	15A NCAC 18C .1301
20.	DAILY PLANT RECORDS Includes water distribution and treatment.	Destroy in office after 3 years.	
21.	DAILY REPORT OF OPERATIONS AND COSTS	Destroy in office when administrative value ends. † Agency Policy: Destroy in office after 1 year	
22.	DAILY TRIP REPORTS/LOGS Records concerning the number of loads dumped per day.	Destroy in office after 3 years.*	
23.	DAM CONSTRUCTION FILES	Retain for life of structure.	

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

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STANDARD-17: PUBLIC UTILITIES AND ENVIRONMENTAL MANAGEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
24.	DAM OPERATIONS AND MAINTENANCE FILES	Retain for life of structure.	
25.	DIRECT DRAFT AUTHORIZATIONS Records authorizing direct draft payment of municipal utility bills.	Destroy in office 3 years after account is closed.*	Comply with applicable provisions of G.S. §132-1.1(c) regarding confidentiality of public enterprise billing information.
26.	DISCHARGE MONITORING REPORTS Includes discharge and non-discharge monitoring reports submitted to state and/or federal regulatory agencies. Also includes copies of monthly reports required by National Pollution Discharge Elimination System permits.	<ul style="list-style-type: none"> a) Destroy in office daily reports after 3 years. b) Destroy in office National Pollutant Discharge Elimination System (NPDES) reports 5 years from date of submission.* c) Destroy in office annual reports 5 years from date of submission.* 	<p>40 CFR 122.41(3)(j)(2)</p> <p>15A NCAC 2B .0506</p>
27.	DRIVERS' DAILY REPORTS	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after 1 year	
28.	DROUGHT CONTINGENCY PLANS Water conservation plan in the event of a drought. See also COMPREHENSIVE PLAN item 19, page 4.	<ul style="list-style-type: none"> a) If an element of the Comprehensive Plan, destroy in office when superseded or obsolete. b) Destroy in office background surveys, studies, reports, and drafts 3 years after adoption of plan or when superseded or obsolete, whichever comes first. 	

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

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STANDARD-17: PUBLIC UTILITIES AND ENVIRONMENTAL MANAGEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
29.	ELECTRIC POWER AND NATURAL GAS FACILITY ENGINEERING AND SYSTEM PLANS Includes authorizations to construct, building plans, and specifications.	Retain in office permanently.	Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of public infrastructure detailed plans and drawings.
30.	ELECTRIC POWER AND NATURAL GAS PERMITS AND APPROVAL RECORDS Permits, approval letters, and other related documentation required by local, state, or federal ordinance, regulation, or statute.	a) Destroy in office permits 5 years after expiration, cancellation, revocation or denial.* b) Retain approval letters and supporting documentation permanently.	
31.	ELECTRIC POWER AND NATURAL GAS SYSTEM INSPECTIONS AND TESTS Includes non-compliance inspection and test records conducted by a facility.	Destroy in office after 5 years.*	
32.	ELECTRIC POWER AND NATURAL GAS SYSTEM MAINTENANCE AND REPAIR RECORDS Includes records documenting installation, location, specifications, and maintenance history of meters, lines, pipes, pumps, and similar system equipment.	a) Destroy in office 3 years after equipment is no longer owned and/or operational if like replacement occurred. b) Destroy in office 5 years after equipment is no longer owned and/or operational if unlike replacement occurred.	
33.	ELECTRIC POWER AND NATURAL GAS SYSTEM MANAGEMENT PLANS	Retain in office permanently.	Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of public infrastructure detailed plans and drawings.

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

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STANDARD-17: PUBLIC UTILITIES AND ENVIRONMENTAL MANAGEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
34.	ELECTRIC POWER AND NATURAL GAS SYSTEM PROJECT RECORDS	a) Retain project pre-approval and final approval letters permanently. b) Destroy in office remaining records 5 years after project is completed.	
35.	ENFORCEMENT CASES: EROSION AND SEDIMENT CONTROL Includes settled legal matters and penalties.	Destroy in office 6 years after settlement.	
36.	ENGINEERING REPORTS FILE	Destroy in office when administrative value ends. † Agency Policy: Destroy in office 6 years after project closes	
37.	EROSION AND SEDIMENT AFFIDAVITS Forestry and agricultural affidavits clarifying land use exempt from land-disturbing activity standards.	Destroy in office after 6 years.	
38.	EROSION AND SEDIMENT CONTROL EXHIBIT RECORDS	Destroy in office when administrative value ends. † Agency Policy: Destroy in office 6 years after project closes	
39.	EROSION AND SEDIMENT CONTROL NOTICE OF VIOLATIONS Includes complaints, notices, and other information created during the course of investigation and resolution of each alleged violation.	Destroy in office 3 years after violation is corrected.	
40.	EROSION AND SEDIMENT CONTROL INSPECTIONS	Destroy in office 3 years after final site inspection.*	
41.	EROSION AND SEDIMENT CONTROL PERMIT LOGS	Destroy in office after 6 years.	

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STANDARD-17: PUBLIC UTILITIES AND ENVIRONMENTAL MANAGEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
42.	EROSION AND SEDIMENT CONTROL PERMIT RECEIPT BOOKS	Destroy in office after 3 years.	
43.	EROSION AND SEDIMENT CONTROL PLANS Includes approved and disapproved plans. May include revisions and addendums.	a) Destroy approved plans in office 6 years after approval or last revision and/or addendum. b) Destroy in office non-approved plans after 3 years.	
44.	EROSION AND SEDIMENT CONTROL TRADES CERTIFICATIONS	Destroy in office when superseded or obsolete.	
45.	EXEMPTION (VARIANCE) RECORDS Exemption and variance records concerned with the installation of water, sewer, gas, or electric lines.	Destroy in office 5 years after expiration.*	40 CFR 141.33 15A NCAC 18C .1526
46.	FINAL INSPECTION REPORTS Reports concerning a municipality's acceptance of public improvements for existing infrastructure.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office 6 years after the project closes	
47.	FINANCIAL RESPONSIBILITY AND OWNERSHIP RECORDS Records delineating who is financially responsible for the project.	Destroy in office after 6 years.	
48.	GARBAGE SERVICE FILE	Destroy in office after 3 years*	
49.	GROUNDWATER MONITORING RECORDS Includes all groundwater monitoring wells and associated groundwater surface elevations.	Destroy in office after 5 years.*	15A NCAC 2C .0100

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

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STANDARD-17: PUBLIC UTILITIES AND ENVIRONMENTAL MANAGEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
50.	HAZARDOUS WASTE DISPOSAL RECORDS Includes copies of manifests and other related documentation.	Destroy in office after 3 years.*	40 CFR 262.40 15A NCAC 13A .0100
51.	ILLEGAL DUMPING FILE Records concerning illegal dumping complaints received.	Destroy in office after 5 years.*	
52.	INFORMATION AND WORKING FILE Technical information concerning lift stations and maintenance, water, and sewer petition work.	Destroy in office after 3 years.*	
53.	INSPECTION FORMS Shows inspection and acceptance dates of sanitation, electric, water, gas and sewer utilities.	Destroy in office when superseded or obsolete.	
54.	INSPECTIONS (EROSION AND SEDIMENT CONTROL) Includes inspection requests, notices of violations, denial reports, sketches, plans, correspondence, including email, and similar records concerning the construction, modification or demolition of existing and new roads and construction sites.	Destroy in office after 6 years.	
55.	INSPECTOR WORKSHEETS/NOTES	a) Destroy in office 6 years after completion of project if worksheet is the only record of inspections. b) Destroy in office remaining records when administrative value ends. † Agency Policy: Destroy in office 6 years after the project closes	

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

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STANDARD-17: PUBLIC UTILITIES AND ENVIRONMENTAL MANAGEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
56.	LABORATORY OPERATIONS RECORDS Includes documentation of all analytical quality control practices, reporting units, forms, test methods, and related procedures pertaining to certification.	a) Destroy in office samples, raw data, analysis reports and related documentation after 5 years.* b) Destroy in office records concerning certification 2 years after expiration, cancellation, revocation, or denial.*	15A NCAC 02H .0805(7)(g) and .1100.
57.	LANDFILL INSPECTION RECORDS Records and reports completed to prevent malfunctions and deterioration, operation errors, and discharges that may cause or lead to the release of waste in the environment.	Destroy in office after 5 years.*	
58.	LANDFILL MONITORING REPORTS Gas and groundwater monitoring records and reports.	a) Retain official reports permanently. b) Destroy in office remaining records after 3 years.	
59.	LANDFILL OPERATIONAL PLAN Describes the intended schedule of construction, description of on-site waste handling procedures during active life of the facility, contingency plans, description of maintenance of installed equipment, and any other information pertaining to the operation, maintenance, monitoring, or inspections as may be required by federal and state law.	Retain in office permanently.	
60.	LANDFILL PERMITS	Destroy in office after the 5 year reporting period is complete.	G.S. §130A-294 (b1) (4)
61.	LANDFILL TONNAGE AND COST FILE	Destroy in office after the 5 year reporting period is complete.	

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

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STANDARD-17: PUBLIC UTILITIES AND ENVIRONMENTAL MANAGEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
62.	LANDLORD AGREEMENTS Agreements to automatically transfer utility accounts to landlords when their tenant vacates a property.	Destroy in office after 3 years.*	
63.	LEAD AND COPPER COMPLIANCE RECORDS Includes all monitoring records required by federal, state and local regulations.	Destroy in office after 12 years.*	40 CFR 141.91
64.	LIFT STATION INFORMATION FILE	Destroy in office after 3 years.*	
65.	LINE INSPECTION MAPS May include video recordings monitoring lines.	Destroy in office when superseded or obsolete.	
66.	LOAD INSPECTION RECORDS Inspections conducted to prevent the disposal of illegal and/or restricted materials in the landfill.	Destroy in office after 3 years.	
67.	MAPS (UTILITY INSTALLATIONS & DISTRIBUTIONS) Includes maps, plats, charts, and similar records showing the location of water mains, valves, hydrants, meters, etc., throughout the system.	Retain for life of system.	Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of detailed drawings of infrastructure facilities. 15A NCAC 18C .0300
68.	METER READING RECORDS (ELECTRIC, WATER, GAS) Records showing consumer consumption.	Destroy in office after 3 years.*	
69.	METER TESTING AND CALIBRATION RECORDS (ELECTRIC, WATER, GAS)	Destroy in office after 3 years.*	

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

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STANDARD-17: PUBLIC UTILITIES AND ENVIRONMENTAL MANAGEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
70.	MONTHLY OPERATION SUMMARIES	Destroy in office after 3 years.*	
71.	MONTHLY PERMITS AND ACTIVITY REPORTS (EROSION AND SEDIMENT CONTROL) Customized reports used for statistical analysis of current development trends within the county. This information also is submitted to the NC Department of Environment and Natural Resources (DENR).	Destroy in office after 3 years.	
72.	MONTHLY REPORTS Reports sent to the state regulatory agency.	Destroy in office after 5 years.	
73.	MONTHLY REPORTS (LOCAL)	Destroy in office after 3 years.	
74.	NOTICE OF VIOLATIONS FOR IMPROPER DISCHARGE OR DISPOSAL FILE	Destroy in office when administrative value ends.†* Agency Policy: Destroy in office after 5 years	
75.	NOTICE TO PROPERTY OWNERS OF APPROVAL OF UTILITY INSTALLATION	Destroy in office after 2 years.	
76.	OPERATOR DAILY LOG SHEETS Copies of incinerator logs, round logs, press logs, polymer check logs, computer daily reports, and supervisor logs.	Destroy in office after 1 year.	
77.	OUTSIDE WASTE CLEARANCE RECORDS Records allowing parties outside the municipality's jurisdiction to dispose of waste at landfill.	Destroy in office 3 years after expiration of agreement.	

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

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STANDARD-17: PUBLIC UTILITIES AND ENVIRONMENTAL MANAGEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
78.	PARTICIPATION CONTRACTS Contracts used to determine amount of reimbursement owed to developer. May include construction drawings.	Destroy in office 3 years after completion.*	
79.	PERIODIC INSPECTION REPORTS OF INDUSTRIAL FACILITIES	Destroy in office after 5 years.	
80.	PERMITS (EROSION AND SEDIMENT CONTROL) Records concerning permits issued for site construction.	Destroy in office after 6 years.	
81.	PRELIMINARY PLAN REVIEW FILE Preliminary plan reviews for subdivisions and construction.	Destroy in office after 2 years.*	
82.	PRETREATMENT PROGRAM RECORDS Includes annual pretreatment reports, records of monitoring activities and results, water quality records and other related documentation.	a) Destroy in office permits and supporting documentation 5 years after expiration, cancellation, revocation, or denial.* b) Destroy in office remaining records after 3 years.*	15A NCAC 02H .0908(f)(1) 40 CFR Part 503.17
83.	RATE SCHEDULES	Destroy in office when superseded or obsolete.	
84.	RECYCLING MATERIAL REPORTS	Destroy in office when administrative value ends. † Agency Policy: N/A	
85.	RECYCLING TONNAGE RECORDS Records documenting tonnage of materials collected at curb and dropped off at recycling centers.	Destroy in office after 3 years.	

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

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STANDARD-17: PUBLIC UTILITIES AND ENVIRONMENTAL MANAGEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
86.	ROUTINE REPORTS (SANITATION) Routine reports submitted by sanitation staff.	Destroy in office after 1 year.	
87.	SANITARY LANDFILL INSPECTIONS Includes state inspection form.	Destroy in office after 1 year.	
88.	SANITARY SURVEY RECORDS Includes reports, summaries, studies, correspondence including email, and other related records documenting the sanitary condition of system.	Destroy in office 10 years after completion of survey.*	40 CFR 141.33 15A NCAC 18C .1526
89.	SCALE HOUSE VIDEO MONITORING RECORDINGS	Destroy in office when administrative value ends.† Agency Policy: N/A	
90.	SERVICE AGREEMENTS Includes liquefied natural gas, electric, sewage, water and wastewater, and drainage maintenance agreements.	Destroy in office 3 years after termination or expiration.*	
91.	SERVICE INTERRUPTION RECORDS Includes reports, logs, or similar records documenting service interruptions.	Destroy in office after 3 years.*	
92.	SEWER JETTING AND VECTORING RECORDS Records documenting the routine cleaning of wastewater lines.	Destroy in office after 3 years.	

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

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STANDARD-17: PUBLIC UTILITIES AND ENVIRONMENTAL MANAGEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
93.	SLUDGE TREATMENT RECORDS Includes analyses, certification statements, site restrictions, monitoring records, vector attraction reduction requirements, trip tickets, residual records, control plans and other related documentation.	Destroy in office after 5 years.*	40 CFR Part 503.17
94.	SOLID WASTE CONVENIENCE CENTER FILE Annual reports to the Department of Environment & Natural Resources – Division of Pollution Prevention & Environmental Assistance.	Destroy in office after the 5 year reporting period is complete.	G.S. §130A-309.09A
95.	SOLID WASTE MANAGEMENT VIOLATION RECORDS Includes complaints, notices of violations, citations, investigation records, court documents, and other related records produced by solid waste environmental enforcement programs.	Destroy in office 7 years after resolution of case.*	
96.	SOLID WASTE REPORTS Waste Management Annual Report, Facility Report, Tire Report, and all other similar records filed with the Department of Environment and Natural Resources.	Destroy in office after 5 years.	G.S. §130A-309.09A.
97.	SOLID WASTE SERVICE FILE Includes requests for service, billing records, and payment records.	Destroy in office after 3 years.*	Comply with applicable provisions of G.S. §132-1.1(c) regarding confidentiality of public enterprise billing information.
98.	SURETY BOND INFORMATION	Destroy in office after final inspection.	

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

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STANDARD-17: PUBLIC UTILITIES AND ENVIRONMENTAL MANAGEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
99.	TAP AND HOOK UP RECORDS Applications, permits, contracts, logs, or similar records documenting location and installation of water and wastewater hookup and taps.	a) Destroy in office permits and contracts 3 years after termination or cancellation.* b) Destroy in office denied applications and remaining records when administrative value ends.† Agency Policy: Destroy in office after 5 years	
100.	TROUT BUFFER VARIANCES Records may include denials and waivers.	a) Destroy in office 6 years after approval of permit. b) Destroy in office after 3 years plans for which a permit was not issued.	
101.	U. S. ENVIRONMENTAL PROTECTION AGENCY (EPA) REPORTS	Destroy in office after 2 years.*	
102.	VALVE OPERATION FILE	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after 5 years	
103.	VIOLATION RECORDS Includes all documentation of actions taken to correct federal, state or local violations of water and wastewater management standards.	Destroy in office after 5 years.*	40 CFR 141.33 15A NCAC 18C .1526
104.	WASTE ELECTRONICS COLLECTION FILE	Destroy in office after 5 years.	
105.	WASTE OIL COLLECTION FILE May include records of waste oil filter collections.	Destroy in office after the 5 year reporting period is complete.	G.S. §130A-309.20
106.	WASTEWATER MAINTENANCE OPERATION REPORT	Destroy in office after 3 years.	

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

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STANDARD-17: PUBLIC UTILITIES AND ENVIRONMENTAL MANAGEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
107.	WASTEWATER POLLUTION CONTROL AND ABATEMENT RECORDS	Destroy in office after 5 years.*	15A NCAC 2B .0500
108.	WASTEWATER QUALITY ANALYSIS RECORDS	a) Destroy in office monitoring and calculation sheets after 1 year.* b) Destroy in office analysis reports after 3 years.*	15A NCAC 2B .0500
109.	WATER ANALYSIS Includes bacteriological, chemical, radiological, and physical analyses and climatological observations. Also includes records of actions taken to correct violations.	a) Destroy in office records of bacteriological and turbidity analysis after 5 years. b) Destroy in office records of chemical and radiological analysis after 10 years. c) Destroy in office records of actions taken to correct violations 3 years after last corrective action taken. d) Destroy in office other records after 5 years.	15A NCAC 18C .1526 and 40 CFR 141.33 (a)(b)
110.	WATER AND SEWER PROJECTS	Destroy in office 6 years after date of completion.*	
111.	WATER AND WASTEWATER FACILITY ENGINEERING AND SYSTEM PLANS Includes authorizations to construct, building plans and specifications. See also COMPREHENSIVE PLAN item 19, page 4.	a) If an element of the Comprehensive Plan, destroy in office when administrative value ends.† Agency Policy: Destroy in office 1 year after superseded b) If not an element of the Comprehensive Plan, destroy in office when superseded or obsolete. c) Destroy in office background surveys, studies, reports, and drafts 3 years after adoption of plan or when superseded or obsolete, whichever comes first.	Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of detailed drawings of infrastructure facilities. 15A NCAC 18C .0300 and 2H .0115

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

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STANDARD-17: PUBLIC UTILITIES AND ENVIRONMENTAL MANAGEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
112.	WATER AND WASTEWATER PERMITS AND APPROVAL RECORDS Permits, approval letters, and other related documentation required by local, state, or federal ordinance, regulation, or statute. Includes records regarding National Pollutant Discharge Elimination System (NPDES) permits.	a) Destroy in office permits 5 years after expiration, cancellation, revocation or denial.* b) Retain approval letters and supporting documentation permanently.	15A NCAC 18C .0300 and 2H .0115 40 CFR 122.28 (1993)
113.	WATER AND WASTEWATER SYSTEM INSPECTIONS AND TESTS Includes non-compliance inspections and test records conducted by a facility.	Destroy in office after 5 years.*	
114.	WATER AND WASTEWATER SYSTEM MAINTENANCE AND REPAIR RECORDS Includes records documenting installation, location, specifications, and maintenance history, for hydrants, meters, pipes, pumps, valves, and similar system equipment. Includes drainage system maintenance and repair records.	a) Destroy in office 3 years after equipment is no longer owned and/or operational if like replacement occurred. b) Destroy in office 5 years after equipment is no longer owned and/or operational if unlike replacement occurred.	
115.	WATER AND WASTEWATER SYSTEM MANAGEMENT PLANS	a) Retain in office permanently adopted plans and amendments. b) Destroy in office background surveys, studies, reports, and drafts 3 years after adoption of plan.	Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of detailed drawings of infrastructure facilities.

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

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STANDARD-17: PUBLIC UTILITIES AND ENVIRONMENTAL MANAGEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
116.	WATER AND WASTEWATER SYSTEM PROJECT RECORDS	a) Retain project pre-approval and final approval letters permanently. b) Destroy in office remaining records 6 years after project is completed.	40 CFR 141.33 15A NCAC 18C .0300
117.	WATER CONSERVATION VIOLATION NOTICES	Destroy in office when administrative value ends. † Agency Policy: Destroy in office after 5 years	
118.	WATER STOCK PURCHASE RECORDS Records documenting the purchase of water from individuals and/or companies.	Destroy in office after 3 years.*	
119.	WATER SYSTEM OPERATIONS RECORDS Includes backflow prevention reports, flow reports, capacity studies, pump station reports and similar records that summarize the operations of water supply, treatment, distribution and collection.	Destroy in office after 10 years.*	40 CFR 141.33 15A NCAC 18C .1526
120.	WATER TANKS, SPECIFICATIONS, AND BOOSTER STATIONS FILE	Destroy in office after 5 years.*	
121.	WEIGH TICKETS/SCALE RECORDS Record documenting deliveries to landfill. Includes weigh tickets, logs, readings, calibrations, reports, and correspondence, including email.	Destroy in office after 3 years.*	

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

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STANDARD-18. RISK MANAGEMENT RECORDS

Official records created and accumulated for use by municipal risk management offices.

STANDARD-18: RISK MANAGEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<p>ACCIDENT/INCIDENT REPORTS (CUSTOMER AND EMPLOYEE)</p> <p>See also WORKERS' COMPENSATION PROGRAM CLAIMS FILE item 62, page 115.</p>	<p>a) Transfer records resulting in workers' compensation to WORKERS' COMPENSATION PROGRAM CLAIMS FILE item 62, page 115.</p> <p>b) Destroy in office remaining employee claims 3 years after settlement or denial of claim.*</p> <p>c) Destroy in office non-employee accident reports 3 years after settlement or denial of claim.*</p> <p>d) Destroy in office reports that do not result in claims or official action after 3 years.</p> <p>e) Destroy in office reports of minors after minor has reached age of 21.</p>	
2.	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>	29 CFR 1910.1001(j)(3)(ii)

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

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STANDARD-18: RISK MANAGEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
3.	ASBESTOS TRAINING RECORDS	a) Destroy in office employee-specific records 1 year after separation. b) Destroy other records in office when superseded or obsolete.	29 CFR 1910.1001(m)(4)
4.	BLOODBORNE PATHOGEN TRAINING RECORDS Includes records showing date of training sessions, contents or summaries of sessions, names of employees attending, and names and qualification of instructors.	Destroy in office after 3 years.	29 CFR 1910.1030(h)(2)(ii)
5.	CLAIM COST REPORTS AND/OR STATEMENTS	Destroy in office after 3 years.*	
6.	DISASTER AND EMERGENCY MANAGEMENT PLANS Records concerning preparedness, evacuations, and operations in the event of a disaster (natural, accidental, or malicious).	Destroy in office when superseded or obsolete.	Comply with applicable provisions of G.S. §132-1.7 regarding the confidentiality of security records.
7.	EMPLOYEE MEDICAL EXPOSURE RECORDS Records concerning the exposure of employees to potential hazardous materials, including asbestos and bloodborne pathogens.	Destroy in office exposure records 40 years from date of exposure or 30 years from date of separation.*	29 CFR 1910.1020
8.	FIRE AND SAFETY FILE	Destroy in office when superseded or obsolete.	
9.	FUEL OIL STORAGE TANK RECORDS	Destroy in office closure records 3 years after completion of permanent closure.	40 CFR 280.34 40 CFR 280.74

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

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STANDARD-18: RISK MANAGEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
10.	HAZARDOUS MATERIALS TRAINING RECORDS Includes records showing date of training sessions, contents or summaries of sessions, names of employees attending, and names and qualifications of instructors.	Destroy in office after 5 years.	29 CFR 1910.120(p)(8)(iii); 29 CFR 1910.120 Appendix E
11.	HEALTH AND SAFETY RECORDS Records concerning agency safety measures. May include reports, logs and similar records documenting health and safety inspections of agency facilities.	Destroy in office when superseded or obsolete.	
12.	HOLD HARMLESS AGREEMENTS Agreements assuming liability. These agreements may be between the local government and an individual or a business. See also CONTRACTS AND AGREEMENTS item 4, page 92.	Destroy in office 3 years after date of termination or settlement of all claims.*	
13.	INSURANCE AUDITS, SURVEYS AND REPORTS	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after 5 years	
14.	LOSS CONTROL INSPECTION REPORTS Self-inspections to identify potential liabilities or hazards that may exist in agency-owned buildings or property.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after 5 years	
15.	LOST AND STOLEN PROPERTY REPORTS Includes reports of vandalism.	Destroy in office after 3 years.*	

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

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STANDARD-18: RISK MANAGEMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
16.	MATERIAL SAFETY DATA SHEETS Forms supplied to local government agencies from manufacturers and distributors of hazardous materials.	Destroy in office 30 years after materials have been disposed of according to manufacturer's instructions. <i>Retention Note: A data sheet for a mixture may be discarded if the new data sheet includes the same hazardous chemicals as the original formulation. If the formulation is different, both data sheets must be retained for 30 years. Data sheets may also be discarded if some other record identifying the substances used, where they were used, and when they were used is retained the required 30 year period.</i>	29 CFR 1910.1200
17.	NOTIFICATION OF PENALTY ASSESSMENT FILE	Destroy in office after 6 years.	
18.	OCCUPATIONAL SAFETY AND HEALTH ADMINISTRATION (OSHA) FILE Records concerning injury or illness, extent and outcomes, summary totals for calendar year, and OSHA forms 101 and 200.	Destroy in office after 5 years.	
19.	RESPIRATOR PROGRAM RECORDS Includes respirator fit test records.	Destroy in office when administrative value ends. † Agency Policy: N/A	
20.	SELF-INSURER CERTIFICATION FILE	Destroy in office 6 years from date of termination or settlement of all claims.	
21.	U.S. BUREAU OF LABOR STATISTICS AND SUMMARY FILE	Destroy in office when administrative value ends. † Agency Policy: Destroy in office after 5 years	

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

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STANDARD-19. STREET MAINTENANCE, PUBLIC WORKS, AND ENGINEERING RECORDS

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

STANDARD-19: STREET MAINTENANCE, PUBLIC WORKS, AND ENGINEERING RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	APPRAISAL REPORTS FILE Reports prepared by independent or staff appraisers.	Destroy in office after 10 years.	
2.	CEMETERY DEEDS Copies of deeds for the purchase of cemetery plots. May include applications or deed slips.	a) Retain copy of deed in office permanently. b) Destroy other records in office when administrative value ends. [†] Agency Policy: N/A	
3.	CEMETERY INTERMENT RECORDS Includes name of deceased, date of interment, and location of plot.	Retain in office permanently. <i>Retention Note: If these records are maintained as an electronic database, a copy should be maintained on paper or microfilm and updated regularly.</i>	
4.	COMPLIANCE RECORDS Records documenting regulatory compliance and used to ensure compliance with environmental regulations. Includes memos, correspondence, including email, budgets, environmental regulations and other information and resources needed to assist staff to comply with environmental regulations.	Destroy in office 6 years after completion or termination of project.	

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

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STANDARD-19: STREET MAINTENANCE, PUBLIC WORKS, AND ENGINEERING RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
5.	EMERGENCY OPERATIONS PLANS Records concerning emergency operations.	Destroy in office when superseded or obsolete.	Comply with applicable provisions of G.S. §132-1.7 regarding the confidentiality of security records.
6.	ENVIRONMENTAL ASSESSMENT RECORDS Records documenting "due diligence" (legal inquiry of property) and used for the management and construction of project sites. Contains report or summary of property evaluation. Includes but is not limited to research information, interviews, aerial photographs, photographs of site, notes from site visits and other information collected on the types of uses of the property in question.	Destroy in office 6 years after completion or termination of project.	
7.	EXCAVATION PERMITS Applications, permits, and billing information for individuals and contractors requesting to work in the municipal right-of-way for demolitions or excavations.	<ul style="list-style-type: none"> a) Destroy in office applications and permits 1 year after expiration. b) Destroy in office billing records after 3 years.* c) Destroy in office applications for which a permit was never issued when administrative value ends.† Agency Policy: Destroy in office after 1 year 	
8.	GRAVE OPENING ORDERS Authorizations to dig graves.	Destroy in office after 1 year.	
9.	MAINTENANCE RECORDS FILE Maintenance records pertaining to maintenance of streets, utilities, and other municipal property.	Destroy in office after 3 years.*	

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

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STANDARD-19: STREET MAINTENANCE, PUBLIC WORKS, AND ENGINEERING RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
10.	MAPS AND SURVEY RECORDS Maps, surveys of land, drawings, CAD and CADD drawings, and related documentation. Base maps may include streets, public facilities, service routes, transportation routes, neighborhood boundaries, rights-of-way, parks, etc.	a) Retain records with historical value permanently. b) Destroy in office remaining records when administrative value ends.† Agency Policy: Destroy in office after 1 year	
11.	PEST CONTROL RECORDS Records concerning municipal pest eradication programs.	Destroy in office after 3 years.*	
12.	PLANNING FILE Includes long-range and immediate plans for paving streets and other projects.	Destroy in office 5 years after completion or cancellation.	
13.	PRE-PROJECT RECORDS Background information for projects explored but not undertaken. Records are used as a reference file and include maps, project information, tapes and the reason that the project failed.	a) Retain records with historical value permanently. b) Destroy in office remaining records when administrative value ends.† Agency Policy: Destroy in office after 5 years	Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of detailed drawings of infrastructure facilities.

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

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

STANDARD-19: STREET MAINTENANCE, PUBLIC WORKS, AND ENGINEERING RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
14.	<p>PROJECT RECORDS – CORE</p> <p>Records used to document the design and construction of the project. Records document the history of the project and include as-built plans, certificate of completion/closure, policy correspondence, including email, covenants, final estimates, geo-technical reports, maintenance agreements, permits for right-of-way use, photographs, plans and specifications proposed, specifications, and structural calculations.</p>	Retain originals for life of structure.	Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of detailed drawings of infrastructure facilities.
15.	<p>PROJECT RECORDS – ENGINEERING</p> <p>Records used to document the engineering and technical areas of a project. File includes agreements for construction and finance, billing information, change orders, force orders, work orders, construction claims, contract documentation, contracts, council records (ordinances, resolutions, transmittals, etc.), reports, diaries and narratives, EEO information, grant records, material certifications, material testing reports, notice to proceed, payrolls for contract compliance, permit of entry, postings, pre-construction conference records, final progress payments, punch lists, regulations, shop drawings, and subcontractor information.</p>	Destroy in office 6 years after completion or termination of project.*	Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of detailed drawings of infrastructure facilities.

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

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STANDARD-19: STREET MAINTENANCE, PUBLIC WORKS, AND ENGINEERING RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
16.	<p>PROJECT RECORDS - WORK PAPERS Records documenting the active stages of a project. File includes alternative designs, bid tabulations and proposals, budget material, construction schedules, working cost estimates, design information, working and construction drawings, expenditure authorization, final pre-construction estimates, job assignment notices, mailing lists, meeting notices, pre-design information, progress payments, quarterly allotment reports, reference material, survey notes and transmittals.</p>	<p>a) Transfer records as applicable to PROJECT RECORDS - ENGINEERING item 15, page 167.</p> <p>b) Destroy in office remaining records when administrative value ends.† Agency Policy: Destroy in office after 6 years</p>	Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of detailed drawings of infrastructure facilities.
17.	<p>PROJECT SHEETS FILE Local forms listing property owners, lot or tract size, right-of-way data, tax value, and compensation.</p>	Destroy in office after 5 years.	
18.	<p>PROJECT TRACKING RECORDS Records used to track progress of projects. Includes date of preliminary maps, field check, final plans, project start date, date permit issued or notice to proceed mailed, whether project is active, percent complete, date of substantial completion, date of punch list, date project accepted, date certificate of completion mailed, date received, and date sent to design.</p>	Destroy in office when superseded or obsolete.	

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

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STANDARD-19: STREET MAINTENANCE, PUBLIC WORKS, AND ENGINEERING RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
19.	RIGHT-OF-WAY ACQUISITION RECORDS File contains project documentation and includes record of negotiations on individual sewer projects, as-built drawings, street deeds, street vacations and real estate purchases, street widening and railroad crossing agreements, easements for sewers and retaining walls, and grade changes.	Retain in office permanently.*	Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of detailed drawings of infrastructure facilities.
20.	RIGHT-OF-WAY APPRAISAL RECORDS Series used to document property appraisals on property acquired for public right-of-way.	a) Transfer records as applicable to <u>RIGHT-OF-WAY ACQUISITION RECORDS</u> item 20, page 169 when property is purchased.* b) Destroy in office all other records when administrative value ends.† Agency Policy: Destroy in office after 5 years	
21.	RIGHT-OF-WAY CORRESPONDENCE FILE Includes 10-day letter of notification, notification of intent to acquire, notice of condemnation action, and other correspondence, including email, relating to right-of-way acquisitions.	Destroy in office after 3 years.*	
22.	STREET CLEANING RECORDS Reports, logs, and similar records documenting street cleaning operations.	Destroy in office after 1 year.	
23.	STREET NAME AND HOUSE NUMBER FILES Records relating to the assignment of street names and house numbers. May also include records of street name changes, and street openings and closings.	Retain in office permanently.	

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

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STANDARD-19: STREET MAINTENANCE, PUBLIC WORKS, AND ENGINEERING RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
24.	STREETLIGHT FILE File contains streetlight installation, maintenance, and repair orders.	Destroy in office after 3 years.	
25.	STRUCTURAL MAINTENANCE AND ANALYSIS RECORDS Records used for maintenance, review, and analysis of permanent and temporary structures that may extend, cross or about the public right-of-way.	a) Retain records pertaining to permanent structures for life of structure or until ownership ceases. b) Destroy in office records pertaining to temporary structures 3 years after structure is removed.	Comply with applicable provisions of G.S. §132-1.7 regarding the confidentiality of security records.
26.	SURVEY FIELD RECORDS Records used to document and establish easements and rights-of-way, and to locate reference points used during street and utility projects. Records include traverse information, tie sheets, sketches, field notes, plats, interpretation of field notes, alignments, databank of projects, plans, grade sheets, estimates, databank ties, and other miscellaneous documents used to establish grades, rights-of-way and easements.	a) Retain records with historical value permanently. b) Destroy in office remaining records when administrative value ends.† Agency Policy: Destroy in office after 5 years	
27.	TESTING AND INSPECTION RECORDS Records used to check feasibility of construction, and to track contracts and progress or work until accepted by the municipality. Records include inspector's daily reports, correspondence, including email, as-built plans, inspection tickets, test lab results of required tests and inspections and related documentation.	Destroy in office 6 years after completion or termination of project.	G.S. § 1-50
28.	TRAFFIC ACCIDENT DATA FILE Records include data compiled on traffic accidents in the municipality.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after 5 years	

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

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STANDARD-19: STREET MAINTENANCE, PUBLIC WORKS, AND ENGINEERING RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
29.	TRAFFIC ANALYSIS Analysis of municipal vehicle traffic.	Destroy in office after 5 years.	
30.	TRAFFIC CAMERA RECORDINGS Recordings from cameras used to monitor traffic.	Destroy in office or reuse after 30 days recordings not required to support known investigations or litigation.*	
31.	TRAFFIC OPERATIONS PROGRAM FILE Traffic Operation for Improved Capacity and Safety (TOPICS). Records include analysis of traffic needs.	Program discontinued. Destroy records in office.	
32.	TRAFFIC SIGNAL FILE File contains traffic signal installation, maintenance, and repair orders.	Destroy in office after 3 years.	

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

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STANDARD-20. TAX RECORDS

Official records and materials created and accumulated for use by municipal tax offices.

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

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

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

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STANDARD-20: TAX RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.	BICYCLE LICENSE PLATE RECORDS Records concerning issuance of license plates for bicycles.	Destroy in office after 1 year.*	Comply with applicable provisions of G.S. §105-259, G.S. §132-1.1(b), G.S. §132-1.2, and G.S. §160A-208.1 regarding confidentiality of taxpayer records.
5.	BICYCLE LICENSE RECEIPTS Copies of receipts issued for bicycle licenses.	Destroy in office after 1 year.*	Comply with applicable provisions of G.S. §105-259, G.S. §132-1.1(b), G.S. §132-1.2, and G.S. §160A-208.1 regarding confidentiality of taxpayer records.
6.	DELINQUENT TAXPAYER RECORDS Records documenting taxpayers who have not paid real and personal property taxes due, including unpaid notices. See also DELINQUENT TAXPAYER RECORDS: ADVERTISEMENT OF TAX LIENS AGAINST REAL PROPERTY item 7, page 174.	Destroy in office after 10 years or 3 years after final settlement or 1 year after released by governing board, whichever occurs first.*	

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

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STANDARD-20: TAX RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
7.	<p>DELINQUENT TAXPAYER RECORDS: ADVERTISEMENT OF TAX LIENS AGAINST REAL PROPERTY Records documenting the municipal taxation officer's publication in the newspaper of delinquent taxpayer and tax sales notices.</p> <p>See also DELINQUENT TAXPAYER RECORDS item 6, page 173.</p>	Destroy in office after 10 years.*	G.S. § 105-369
8.	<p>MOTOR VEHICLE LICENSE PLATE/DECAL RECORDS Records concerning issuance of license plates/decals for motor vehicles.</p>	Destroy in office after 1 year.*	
9.	<p>MOTOR VEHICLE LICENSE RECEIPTS Copies of receipts issued for motor vehicle licenses.</p>	Destroy in office after 1 year.*	Comply with applicable provisions of G.S. §105-259, G.S. §132-1.1(b), G.S. §132-1.2, and G.S. §160A-208.1 regarding confidentiality of taxpayer records.
10.	MOTOR VEHICLE RENTAL TAX	Destroy in office after 3 years.*	
11.	PREPARED FOOD AND BEVERAGE TAX	Destroy in office after 3 years.*	
12.	<p>PRIVILEGE LICENSE CITATION RECORDS Records documenting citations issued by license inspectors for non-compliance with business license requirements.</p>	Destroy in office after 3 years.*	

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

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STANDARD-20: TAX RECORDS

ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
13.	<p>PRIVILEGE LICENSES Records documenting the municipality's issuance of business privilege and license renewal notices, receipts, and periodic reports.</p>	<p>Destroy in office 3 years after license expires.*</p>	<p>G.S. § 105-33 G.S. § 105-37.1 G.S. § 105-38.1 G.S. § 105-40 G.S. § 105-105</p> <p>Comply with applicable provisions of G.S. §105-259, G.S. §132-1.1(b), G.S. §132-1.2, and G.S. §160A-208.1 regarding confidentiality of taxpayer records.</p>
14.	<p>PRIVILEGE TAX LEDGER Ledger listing individuals required to pay privilege tax.</p>	<p>Destroy in office when administrative value ends.† Agency Policy: N/A</p>	<p>Comply with applicable provisions of G.S. §105-259, G.S. §132-1.1(b), G.S. §132-1.2, and G.S. §160A-208.1 regarding confidentiality of taxpayer records.</p>
15.	<p>PRIVILEGE TAX RECEIPTS Copies of receipts issued for payment of privilege tax.</p>	<p>Destroy in office 3 years after expiration.*</p>	<p>Comply with applicable provisions of G.S. §105-259, G.S. §132-1.1(b), G.S. §132-1.2, and G.S. §160A-208.1 regarding confidentiality of taxpayer records.</p>

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

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

STANDARD-20: TAX RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
16.	REPORTS OF TAXES COLLECTED (DAILY AND WEEKLY) Reports listing taxes collected on a daily and weekly basis.	Destroy in office after 1 year.	Comply with applicable provisions of G.S. §105-259, G.S. §132-1.1(b), G.S. §132-1.2, and G.S. §160A-208.1 regarding confidentiality of taxpayer records.
17.	ROOM OCCUPANCY TAX RECORDS	Destroy in office after 3 years.*	G.S. §160A-215 Comply with applicable provisions of G.S. §105-259, G.S. §132-1.1(b), G.S. §132-1.2, and G.S. §160A-208.1 regarding confidentiality of taxpayer records.
18.	SCHEDULE "B" LICENSES Receipts of licenses issued by municipality in accordance with G.S. § 105-33.	a) Destroy in office 3 years after close of license tax year stubs or detailed settlement records. b) Destroy in office stubs 1 year after audit if settlement records are kept.	Comply with applicable provisions of G.S. §105-259, G.S. §132-1.1(b), G.S. §132-1.2, and G.S. §160A-208.1 regarding confidentiality of taxpayer records.
19.	TAX ABSTRACTS AND LISTS Complete record of real and personal property in the municipality, based on assessment lists. Includes name and address of taxpayer along with descriptions of property owned and estimated values.	Destroy in office after 10 years or two revaluation cycles.	G.S. § 105-309 G.S. § 105-296

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

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

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

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STANDARD-20: TAX RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
26.	TAX RECEIPTS Copies of receipts for taxes, fees, and penalties collected.	a) Destroy in office paid tax receipts after 10 years.* b) Destroy in office unpaid tax receipts when approved by city/town council.	Comply with applicable provisions of G.S. §105-259, G.S. §132-1.1(b), G.S. §132-1.2, and G.S. §160A-208.1 regarding confidentiality of taxpayer records.
27.	TAX SALE CERTIFICATES	Series discontinued. Destroy in office 10 years from date of sale.	
28.	TAX SCROLLS Records indicating property (real estate and personal) valuation and taxes due.	Destroy in office after 10 years.	

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

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STANDARD-21. WORKFORCE DEVELOPMENT RECORDS

Records and materials created and accumulated during the conduct of state and federally funded programs offering employment and training assistance to dislocated workers and disadvantaged youth and adults. Some municipal administrative offices coordinate funding, technical support, and oversight for the following services: Workforce Investment Act program, Welfare-to-Work program, Job Training and Partnership Act programs, and Worker Training Trust Fund programs.

Workforce Development records currently function under the following state and federal laws and regulations, including Workforce Investment Act of 1998, Public Law 105-220 (August 1998), Workforce Investment Act (WIA): Final Rule 20 CFR Part 652 (August 11, 2000), Welfare-to-Work Grants Programs as authorized under Title IV-A of the Social Security Act and amended by the Personal Responsibility and Work Opportunity Reconciliation Act of 1996 and Title V of the Balanced Budget Act of 1997, North Carolina Employment and Training Act Program, G.S. §143B-438.13, and 29 CFR Part 97.42 (the Uniform Administrative Requirements).

STANDARD-21: WORKFORCE DEVELOPMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	FEDERAL REGULATIONS FOR WORKFORCE INVESTMENT ACT RECORDS Records include instructions from federal government regarding how program money is spent and parameters for eligibility.	Destroy in office when superseded or obsolete.	
2.	(WIA) AUDIT/AUDIT RESOLUTIONS Records concerning reports from financial and compliance audit conducted on WIA programs in accordance with OMB A-133. May include audit reports and correspondence, including email, concerning audits and audit resolutions for the local area. Also includes federal and state audits.	Destroy in office after 3 years.	OMB Circular A-133 29 CFR 97.26

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

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STANDARD-21: WORKFORCE DEVELOPMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
3.	(WIA) CIRCULAR AND ISSUANCES RECORDS State guidelines from the Division of Employment and Training regarding the administration of the Workforce Development Program.	a) Destroy in office state guidelines when superseded or obsolete. b) Destroy in office local guidelines when superseded or obsolete.	
4.	(WIA) LOCAL AREA JOB TRAINING PLAN RECORDS Records concerning the local board's bid process for contracting workforce development programs.	Destroy in office when superseded or obsolete.	
5.	(WIA) LOCAL AREA POLICIES	a) Transfer items with obvious historical value to HISTORIES FILE item 39, page 8. b) Destroy in office remaining records when administrative value ends.† Agency Policy: N/A	
6.	(WIA) NON-EXPENDABLE PROPERTY RECORDS Records of property purchased with Workforce Development funds. May include inventory in numerical sequence identifying date of purchase, acquisition cost, serial number, location of inventory, and contracting agency.	a) Retain in office records concerning acquisition and ownership permanently. b) Destroy in office remaining records after 3 years.*	

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

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STANDARD-21: WORKFORCE DEVELOPMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
7.	(WIA) PARTICIPANT RECORDS Records concerning applicants, registrants, eligible applicants/registrants, participants, trainees, and employees who submit requests for services of the Dislocated Workers Program and Workforce Investment Act programs. May include applications, client histories, Employment Development Plans, program referrals, monitoring notes, pay authorizations, release forms, and WIA follow-up questionnaires.	Destroy in office 3 years after close of audit or final year expenditure.*	
8.	(WIA) PROPERTY RECORDS Records concerning property or equipment purchased with federal funds. Provides complete history of purchased property from request of purchase through final disposition.	Destroy in office upon final disposition of the equipment.	
9.	(WIA) RECIPIENT/PARTICIPANT COMPLAINTS AND ACTIONS RECORDS Includes participants' and sub-grant recipients' or contractors' grievances, which are non-criminal.	Destroy in office 3 years from the date of resolution of the complaint.*	
10.	(WIA) STATE JOB TRAINING PLAN RECORDS Records concerning the State Board's bid process for contracting Workforce Investment Act programs.	Destroy in office when superseded or obsolete.	

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

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STANDARD-21: WORKFORCE DEVELOPMENT RECORDS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
11.	<p>WORKFORCE DEVELOPMENT BOARD AGENDA AND MEETING PACKETS FILE</p> <p>Includes agendas, exhibits, and copies of supporting documentation submitted and discussed during meetings of public bodies.</p> <p>See also WORKFORCE DEVELOPMENT BOARD MINUTES item 12, page 182.</p>	<p>a) Retain records with historical value permanently.</p> <p>b) Destroy in office other records when administrative value ends.† Agency Policy: N/A</p>	
12.	<p>WORKFORCE DEVELOPMENT BOARD MINUTES</p> <p>See the Microfilm section on page x for instructions on microfilming minutes.</p>	<p>a) The official minutes of the governing board and its subsidiary boards are considered to be permanent records.</p> <p>b) The official minutes of advisory boards may only be destroyed upon approval by the State Archives of North Carolina. The State Archives of North Carolina reserves the right to designate the minutes of any advisory board as permanent.</p> <p>c) Minutes of committees or subcommittees may be destroyed when administrative value ends, if the minutes or actions and decisions of the committee are entered as part of the minutes of the parent board. If minutes or actions and decisions of the committee or subcommittee in question are not entered as part of the minutes of the parent board, the State Archives of North Carolina reserves the right to designate the minutes as permanent.† Agency Policy: N/A</p>	G.S. § 143-318.10

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

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REQUEST FOR CHANGE IN RECORDS SCHEDULE

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

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

INSTRUCTIONS

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

CHANGE REQUESTED

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

TITLE OF RECORDS SERIES IN SCHEDULE OR PROPOSED TITLE

INCLUSIVE DATES OF RECORDS _____ **APPROXIMATE VOLUME OF RECORDS** _____

DESCRIPTION OF RECORDS

PROPOSED RETENTION PERIOD

Requested by: _____, _____, _____
Signature Title Date

REQUEST FOR DISPOSAL OF UNSCHEDULED RECORDS

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

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

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 or administrative purposes.

RECORDS TITLE	DESCRIPTION	INCLUSIVE DATES	QUANTITY	MICROFILMED? (YES OR NO)	RETENTION PERIOD

Requested by: _____, _____, _____
Signature Title Date

Approved by: _____, _____, _____
Signature (Requestor's supervisor) Date

Concurred by: _____, _____, _____
(except as indicated) Signature Assistant Records Administrator State Archives of North Carolina Date

Request for Disposal of Original Records Duplicated by Electronic Means

If you have questions, call (919) 807-7350 and ask for the Records Management Analyst assigned to your agency.

This form is used to request approval from the Department of Cultural Resources to dispose of non-permanent paper records which 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 which 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:		

Record 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 Requestor Date

Approved by: _____, _____, _____
Signature Requestor's Supervisor Date

Concurred by: _____, _____, _____
Signature Assistant Records Administrator State Archives of North Carolina Date

Certification of the Preparation of Records for Microfilming

Name of the county, municipality, or other public body that produced these records:

Examples: [City of Raleigh] [Martin County] [Triangle Transit Authority] [High Country Council of Governments]

Name of the board, council, department, or agency:

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Agenda Item # 6

Meeting Date: September 18, 2014

Item:	Updates from Joint Pay and Benefits Committee and Property Committee
Contact:	Chair John Minges
Explanation:	Chair Minges will provide the Board with updates from the August 19, 2014 Joint Pay and Benefits Committee meeting and August 28, 2014 Property Committee meeting.
Previous Board Actions:	N/A
Fiscal Note:	N/A
Recommended Action(s):	N/A



Agenda Item # 7

Meeting Date: September 18, 2014

Item:	General Manager's Report
Contact:	Tony Cannon
Explanation:	<p>1. Informational Reading</p> <p>Bid, Statistical Data Report, Sewer Spill Tracking Report, and Load Management Report are attached.</p> <p>The Management Team will be available at the meeting to answer any questions regarding work activities.</p> <p>2. Key Performance Indicators (KPIs)</p> <p>Attached is a list of GUC's Tier 1 corporate Key Performance Indicators (KPIs). We have the following KPIs in the dashboard format for your review as well as the corresponding scorecard:</p> <ul style="list-style-type: none">• Typical Monthly Bill Comparison – Sewer• Installation of New Services - Gas• Duration of Electric Interruptions (CAIDI)• Miles Driven without a Preventable Vehicle Incident <p>3. Commendations</p> <p>4. Other</p>
Previous Board Actions:	N/A
Fiscal Note:	N/A
Recommended Action(s):	No Action Required

GREENVILLE UTILITIES COMMISSION

TABULATION OF BIDS RECEIVED

FOR ONE (1) NATURAL GAS ENGINE DRIVEN GENERATOR AND TRANSFER SWITCH

JULY 31, 2014

<u>VENDORS</u>	<u>DELIVERY TIME</u>	<u>UNIT PRICE</u>
Gregory Poole Power Systems	11 Weeks	\$ 103,435.00*
Palmer Generator	9 Weeks	104,963.00
Pitt Electric, Inc.	10-12 Weeks	119,700.00
Leete Generator	14-16 Weeks	122,483.00

*Indicates recommended award based on the lowest responsible, responsive bid.

Recommended for Award



John Daughton, Gas Systems Supervisor

8/6/14

Date



Anthony Miller, Director of Gas Systems

8/6/2014

Date



Jeff McCauley, Chief Financial Officer

8/7/14

Date

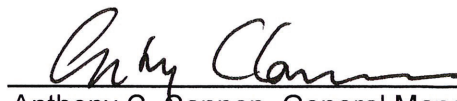


George Reel, Interim Chief Administrative Officer

8-8-14

Date

Approved for Award



Anthony C. Cannon, General Manager/CEO

8-11-14

Date

GREENVILLE UTILITIES COMMISSION

STATISTICAL DATA

August 2014

	This Month	Same Month Last Year	% Change	Total To Date Past 12 Months	Total To Date Prior Past 12 Months	% Change
ENVIRONMENT						
High Temperature, F	93	96				
Low Temperature, F	61	54				
Degree Days Heating	0.0	0.0		3,184.0	3,115.4	
Degree Days Cooling	360.5	377.5		1,718.0	1,713.0	
Rainfall, Inches	8.16	2.66		60.88	51.31	
River Level-Mean Sea Level						
High, FT	11.3	3.7				
Low, FT	2.1	1.2				
Average, FT	5.7	2.6				
ELECTRIC						
Peak Demand, KW	293,347	298,974				
Demand Reduction, KW	54,040	54,300				
KWH Purchased (x1000)	162,222	166,268	-2.4%	1,731,247	1,690,765	2.4%
KWH Billed (x1000)	154,095	162,904	-5.4%	1,684,585	1,640,581	2.7%
System Losses, Percent				2.70%	2.97%	
Average Cost/KWH	\$0.0899	\$0.0925				
NATURAL GAS						
MCF Purchased	169,460	166,055	2.1%	3,275,654	3,156,307	3.8%
MCF Billed	168,861	148,289	13.9%	3,313,639	3,138,111	5.6%
System Losses, Percent				-1.16%	0.58%	
Average Cost/MCF	6.46	6.13				
WATER						
Peak Day, MG	14.169	13.946				
Average Day, MG	12.702	12.599				
Total Pumped, MG	393.8	390.6	0.8%	4,566.7	4,340.8	5.2%
Total Billed, MG	301.5	302.3	-0.3%	3,947.5	3,770.9	4.7%
System Losses, Percent				13.56%	13.13%	
WASTEWATER						
Peak Day, MG	14.80	10.43				
Average Day, MG	11.68	9.78				
Total Flow, MG	362.08	303.31	19.4%	3,871.27	3,811.90	1.6%
CUSTOMER ACCOUNTS						
Active Services E/W/G	123,384	122,634	0.6%			
Req Meter Connects	2,801	2,416	15.9%	22,623	23,009	-1.7%
Req Meter Disconnects	1,316	1,192	10.4%	12,638	12,799	-1.3%
Meters Repaired	401	682	-41.2%	3,909	5,558	-29.7%

KW = Kilowatts
KWH = Kilowatthours

MCF = Thousand Cubic Feet
MG = Million Gallons

Water Resources Department
Sewer Spill Tracking Report
September 2013-August 2014



No.	Date of Spill	Report Date	Location	Manholes		Volume Gallons	Surface Water	If yes, where?		Reportable Yes/No	News Release Req'd. Issued	Notice of Discharge Req'd. Issued	Cause of Spill	Corrective Action
				Upstream	Downstream			Name	Volume Gallons					
1	10/17/13	10/21/13	Between MH 10K-110 and MH 104	10K-110	10K-110	450	Yes	Green Mill Run	450	Yes	No	No	Debris in line	2c
2	01/15/14	01/16/14	Intersection of Clarendon St. and Granville Rd	8G-059	8G-059	20	Yes	Fork Swamp	20	Yes	No	No	Debris in line	2c
3	01/26/14	01/27/14	East 10th St. near East W right Road	10K-048	10K-048	4823	Yes	Green Mill Run	4823	Yes	Yes	No	Grease	2a
4	03/29/14	04/02/14	505 West 5th Street near Elizabeth St	7M-137	7M-137	1520	Yes	Tar River	1520	Yes	Yes	No	Debris in line	2c
5	05/11/14	05/13/14	MH 4M-014 near 605 B's BBQ Rd.	4M-014	4M-014	100	Yes	Tar River	100	Yes	No	No	Grease	2a
6	07/17/14	07/21/14	MH 8K-057 near 1206 S. Charles Blvd.	8K-057	8K-057	550	Yes	Green Mill Run	550	Yes	No	No	Contractor Damage	1b
7	08/20/14	08/21/14	MH 3K-047 Intersection of Stantonsburg Rd and Grovemont Dr.	3K-047	3K-047	200	Yes	Green Mill Run	200	Yes	No	No	Other (Vandalism)	2f
8	08/20/14	08/21/14	MH 6B-002 in front of 400 W. Fietlower Rd.	6B-002	6B-002	30	Yes	Fork Swamp	30	Yes	No	No	Debris in line	2c

Note: No spills in September, November, December, February, April and June

Summary
Total Number of Spills = 8 (8 Reportable; 0 Non-Reportable)
Total Spill Volume = 7,693 gallons or 0.0002% of Total Wastewater Flow

Cause	Number of Each	Volume (gals.)
a. Grease	2	4,923
b. Contractor Damage/Error	1	550
c. Debris	4	2,020
d. Roots	0	0
e. Pipe Failure	0	0
f. Other	1	200

Corrective Action Code
1. Permanent Repair
2. Cleared Blockage & Priority Cleaning Scheduled

GREENVILLE UTILITIES COMMISSION

LOAD MANAGEMENT REPORT

August, 2014

The DEP monthly peak occurred on August 22, 2014 for the hour ending at 4:00 P.M. Our load management system was in full operation during this period with the following estimated reductions observed:

	Estimated KW Load Reduction	Estimated Avoided Demand Costs
<u>Direct Load Control:</u>		
Voltage Adjustment @ Stage 3 (4.6%)	6,800.0	\$85,408
Air Conditioning Demand Reduction	5,200.0	\$65,312
Water Heater Demand Reduction	9,700.0	\$121,832
Heat Pump/Heat Strip Demand Reduction	0.0	\$0
GUC Generator Reduction:	9,056.0	\$113,743
<u>Commercial Load Control:</u>		
Commercial Customer Coincident Peak Load Reduction (Estimated):	224.0	\$2,813
<u>Interruptible Load Control:</u>		
Industrial Customer Generators	17,194.0	\$215,957
Other Industrial Customer Curtailments	5,869.0	\$73,715
<u>Total Load Control:</u>	54,043.0	\$678,780
<u>NCEMPA Shifted Peak Credit:</u>		
Power Agency Policy Credit for Contribution to Shifted Peak	0.0	\$0
<u>Total Load Reduction and Avoided Costs:</u>	54,043.0	\$678,780

Additional Notes and Comments:

- | | |
|--|----------------|
| 1) Duke Energy Progress (DEP) System Peak: | 11,649 MW |
| 2) GUC Coincident Peak (Less Winterville Demand): | 293,347 KW |
| 3) Local Temperature at Coincident Peak, per PGV: | 90 Degrees F |
| 4) Local "Feels Like" Temperature at Coincident Peak, per PGV: | 98 Degrees F |
| 5) Applicable NCEMPA Demand Rate Charge: | \$12.56 Per KW |

Tier 1: Corporate Key Performance Indicators (KPI)

CUSTOMER

- Customer Satisfaction
- Billing Process Accuracy
- Installation of New Services
- Duration of Electric Interruptions (CAIDI)
- Duration of Electric Interruptions (SAIDI)
- Frequency of Interruptions in Service – Electric (SAIFI)
- Response Time to Unplanned Electric Outages
- Response Time to Cut Gas Lines/Leaks
- Response Time to Water Leaks/Breaks
- Typical Monthly Bill Comparisons

FINANCIAL

- Overtime Costs
- Bond Rating
- Days Operating Cash On Hand
- Debt Service Coverage
- Fund Balance (available for appropriation)
- Net Margin
- Return on Assets
- Return on Equity

INTERNAL BUSINESS PROCESSES

- Connections Per Employee
- Operating Cost Per Customer
- System Losses – Electric
- System Losses – Gas
- System Losses – Water
- Disruption of Service – Water
- Preventable Vehicle Accident Rate

EMPLOYEES & ORGANIZATIONAL CAPACITY

- Hours Worked Without a Lost Workday Injury
- Restricted Workday Injuries Per 200,000 Hours Worked
- Capital Spending Ratio
- Degree of Asset Depreciation

Corporate KPIs








Customer

Indicator	Goal/Caution	Value	Status
Customer Satisfaction	75.00%	86.00%	
Billing Process Accuracy	99.800%	99.992%	
Install New Service (Electric)	3.00	1.00	
Install New Service (Gas)	14	14	
Install New Service (Water/Sewer)	6	5	
Duration of Interruptions - Electric (CAIDI)	82.00	34.86	
Duration of Interruptions - Electric (SAIDI)	65.00	40.70	
Interruptions in Service - Electric (SAIFI)	0.79	1.17	
Response Time to Unplanned Outages	30.00	13.34	
Response Time to Cut Gas Lines/Leaks	0:30:00	0:22:06	
Response Time to Water Leaks	1:00	0:50	
Typical Bill Comparison - Residential Electric Winter	\$129	\$116	
Typical Bill Comparison - Residential Electric Summer	\$131	\$127	
Typical Bill Comparison - Residential Gas	\$70	\$69	
Typical Bill Comparison - Residential Water	\$33	\$29	
Typical Bill Comparison - Residential Sewer	\$42	\$38	





Financial

Indicator	Goal/Caution	Value	Status
Overtime Costs	3%	6%	
Bond Rating	75	80	
Days Operating Cash on Hand	97	118	
Debt Service Coverage	1.75	2.62	
Fund Balance (Available for Appropriation)	16.0%	19.2%	
Net Margin	2.75%	2.92%	
Return on Assets	1.60%	1.60%	
Return on Equity	2.50%	2.40%	

Internal Business Processes

Indicator	Goal/Caution	Value	Status
Connections per Employee	337	345	
Operating Cost per Customer	\$350	\$332	
System Losses - Electric	3.00%	2.63%	
System Losses - Gas	1.50%	0.82%	
System Losses - Water (less than 13.5%)	13.5%	9.8%	
Disruption of Service- Water	6:00	1:30	
Miles Driven Without Preventable Vehicle Incident	1,000,000	181,433	

Employee & Organizational Capacity

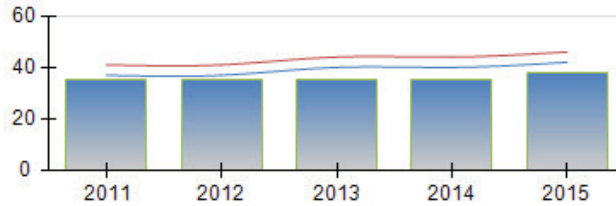
Indicator	Goal/Caution	Value	Status
Million Hour	3,000,000	41,887	
OSHA Recordable Incident Rate	1.00	2.69	
Capital Spending Ratio	150%	125%	
Degree of Asset Depreciation	50%	46%	



Typical Bill Comparison: Residential Sewer

Sewer bills for residential users are compared against similar water utilities at 6000 gallons and are monitored on an annual basis to determine if GUC rates are competitive with other sewer utility providers. The target is to be at or below the median of the benchmarked utilities.

Value: \$38 **Caution:** \$42 **Warning:** \$46



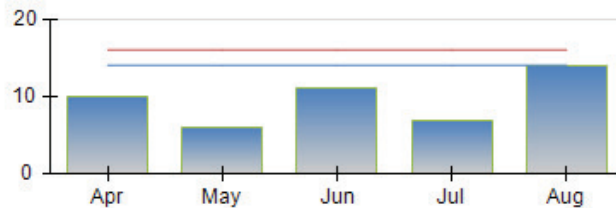
Warning
Caution



Install New Gas Service

This KPI tracks the number of days to install new natural gas service by month.

Value: 14 **Caution:** 14 **Warning:** 16



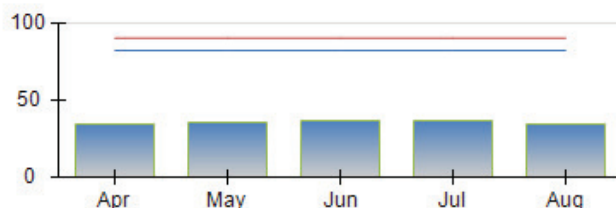
Warning
Caution



Duration of Interruptions: CAIDI

Average minutes to restore power from an unplanned outage - also known as CAIDI - Customer Average Interruption Duration Index.

Value: 34.86 **Caution:** 82 **Warning:** 90



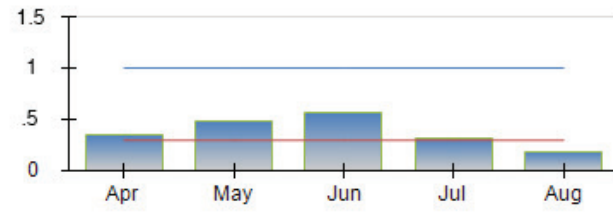
Warning
Caution



Miles Driven Without a Preventable Vehicle Incident

Miles driven since the last recorded Preventable Vehicle Incident.

Value: 181,433 **Caution:** 1,000,000 **Warning:** 300,000



Caution

Warning

GUC PERFORMANCE MEASURES

Performance Management Scorecard		Financial
Corporate Objective 14	Lowest Reasonable Rates	
Measure	Typical Bill Comparison – Residential Sewer	
Tier	1	Rationale: Used to measure the competitiveness of GUC's typical residential sewer bills against similar utilities
Accountability: Finance		Frequency: Quarterly
DESCRIPTION: The typical monthly sewer bill for residential users based on 6,000 gallons of water is compared against similar sewer utilities. This is monitored on a quarterly basis to determine if GUC residential sewer rates are competitive with other sewer utility providers. The target is to be at or below the median of the benchmarked utilities.		
NUMERATOR:	Typical monthly residential sewer bill for 6,000 gallons of water	
DENOMINATOR:	N/A	
TARGET:	At or below the median	DATA SOURCE(S): Utility benchmark data

GUC PERFORMANCE MEASURES

Performance Management Scorecard		Customer
Corporate Objective 16	Improve Customer Satisfaction	
Measure	Install New Service	
Tier	1	Rationale: Measures the timeliness of providing GUC customers with new service
Accountability: Electric, Gas and Water Resources		Frequency: Monthly
DESCRIPTION:		
Percentage of time when new service is installed within the target time frame. Target for new electric service is 3 days from completion of the application, inspection and occupancy approval. Target for new gas service is 14 days. Target for a new water tap is 6 business days.		
NUMERATOR:	Number of new services installed with the target	
DENOMINATOR:	Total number of new services installed	
TARGET:	90%	DATA SOURCE(S): CIS System

GUC PERFORMANCE MEASURES

Performance Management Scorecard		Internal Business Processes
Corporate Objective 10	Ensure Efficiency, Safety and Reliability of Services	
Measure	Duration of Interruption in Service – Electric (CAIDI)	
Tier	1	Rationale: Measures GUC electric customer's average restoration time
Accountability: Electric	Frequency: Annual	
DESCRIPTION:	Duration of Interruptions in Service - Electric (CAIDI) is tracked as the customer's average duration index (CAIDI) which include the comparison of the total of all customer interruption durations and the total number of customers interrupted.	
NUMERATOR:	Sum of all GUC customers interruption duration	
DENOMINATOR:	Total number of GUC customer interruptions	
TARGET:	50 minutes	DATA SOURCE(S): Outage Database

GUC PERFORMANCE MEASURES

Performance Management Scorecard		Internal Business Processes
Corporate Objective 10	Ensure Efficiency, Safety and Reliability of Services	
Measure	Preventable Vehicle Incidents (PVI)	
Tier	1	Rationale: Measures fleet safety performance
Accountability: Finance	Frequency: Monthly	
DESCRIPTION: Measures the quantity of miles driven between preventable vehicle incidents.		
NUMERATOR:	Total number of miles driven without a PVI	
DENOMINATOR:	One (1)	
TARGET:	1,000,000 miles	DATA SOURCE(S): my.guc



Bless Your Heart: Thursday, August 28

Bless the hearts of Greenville Utilities linemen. Often, they go above the call of duty to keep Greenville bright and colorful. You are appreciated!

**COMPLIMENT
RECORD**

Date: 8/22/2014

Received By: Ella House-Evans

Customer's Name: Lydia Randolph

Date of Incident: 8/22/2014

Remarks: Ms. Randolph was very appreciative of Archie Biggs' timely response to her call of an inside smell of natural gas in her home. Ms. Randolph also said that Archie was very professional, friendly and polite while investigating the possible leak.

Employee's Name: Archie Biggs, Gas Service Worker – Senior Class

**COMPLIMENT
RECORD**

Date: 8/19/2014

Time: 5:24 PM

Received By: Parham Stanley

Customer's Name: Bill Hunneke

Date of Incident: 8/19/2014

Remarks: Mr. Hunneke sent Parham an email about the outstanding service he received. He noted that from his first contact about getting service to the installation, everyone involved was helpful, courteous and efficient. He went on to write "you and your team were exceptional in making my wife & I feel that our project was a priority for you."

Employee's Name: Parham Stanley, Gas Engineering Assistant II; David Telfair, Jr., Gas Systems Crew Leader I; Curtis Dixon, Gas Systems Technician III; Wayne Yates, Gas Systems Technician I; Amber Garris, Customer Records Clerk - Gas and Tonya Roebuck Customer Service Representative I.

**COMPLIMENT
RECORD**

Date: August 26, 2014

Received By: Jason Hardee, Meter Superintendent

Customer's Name: Mr. Kalon Everette

Remarks: Mr. Everette called to recognize Calvin Glover, "for his exceptional customer service." He said, "he went above and beyond cutting his services on to make sure everything was good. He was very courteous."

Employee Name: Calvin Glover, Meter Technician II

**COMPLIMENT
RECORD**

Date: 8/11/2014

Time: 2:50 pm

Received By: Anthony Miller

Customer's Name: Curtis May

Remarks: Mr. Curtis May spoke with Mr. Anthony Miller regarding the main extension project on Black Jack Simpson Road. Mr. May said all employees involved in this project were very professional and respectful. Mr. May specifically mentioned that the crews did what they said they were going to do, when they said they were going to do it and how they said it would happen. Mr. May shared that he has never been more impressed by the level of service he received.

Employee's Name: Parham Stanley, Gas Engineering Assistant II; Glenn Crumpler, Gas Systems Supervisor; Chris Rouse, Gas Systems Crew Leader; Paul Edwards, Gas Systems Technician I; Ralph Langley, Gas Systems Crew Leader II; Jason Haddock, Gas Systems Technician III; Tony Richards, Gas Systems Technician III; Paul Bunch, Gas Systems Technician II; Mickey Dawson, Gas Systems Technician I; Butch Mills, Gas Systems Crew Leader II; Willie Boyd, Gas Systems Technician IV; Alan Cummings, Gas Systems Technician III; Alton Hardee, Gas Systems Technician I; Roger Waterfield, Gas Systems Technician I; David Telfair, Jr., Gas Systems Crew Lead I; Curtis Dixon, Gas Systems Technician III; Stacey Vanderburg, Gas Systems Technician I; William Morning, Gas Systems Crew Leader I and Wayne Yates, Gas Systems Technician I.

Facebook thank you to Gretchen Maloney, Customer Contact Representative



Bill Coffey ▸ **Greenville Utilities Commission**
5 mins · 🌐

I just want to let someone know that Gretchen Maloney was most helpful in getting me through a permitting process last week. Great service with a helpful and pleasant attitude. Thank You!

Like · Comment · Share



Greenville Utilities Commission Thanks for sharing that with us Bill! I'll pass this along to Gretchen and her supervisor.
Commented on by Emily Susan Barnes [?] · 4 mins · Like



Write a comment... 

Facebook Thank You to Tracy Elks, Overhead Lineworker First Class - Electric and Earl Harris, Overhead Lineworker Second Class:



 **JimmyandLynn Gammell** ▸ **Greenville Utilities Commission**
9 hrs · 🌐

Thanks for fixing the problem tonight! Sorry you had to come out and trim trees in the dark.

Unlike · Comment · Share

👍 Greenville Utilities Commission likes this.

 **Greenville Utilities Commission** Glad we could help!
Commented on by Emily Susan Barnes (?) · 16 mins · Like

 **JimmyandLynn Gammell** Also thankful for whoever reported the sparking! That could have been bad with all the trees. Great job!
13 mins · Like

 Write a comment... 

From: Robert Miller
Sent: Friday, August 29, 2014
To: Jason Cyphers; Carl H. Smith; Anthony Miller; Sean Hawley

Subject: RE: Trip to Review GUC GIS

Jason/Sean/Carl/Anthony,

Thank you very much for taking the time to meet with us yesterday. We learned a great deal and were very impressed by the GIS and IPAD applications that you have in place for your employees. We were also impressed by the level of personnel and expertise that you have in place. We learned many capabilities, processes, and several healthy habits that we are working to see how we can implement.

A few follow up items:

- GUC to send Data Model (database)
- GUC to supply information on Bluetooth attachment for IPADs.
- GUC to supply AESC contact
- GUC to supply information on the 2 day NC GIS conference in Raleigh.
- Is it possible for GUC to send us a .pdf of a main extension plan set? We would like to see output when preparing plans in GIS.

Please feel free to call on us ask us to supply examples of anything that may helpful. We appreciate the relationship and enjoyed the concept of sharing ideas and learning from each other in the future.

Robert Miller
City of Monroe Energy Services Department
Natural Gas System Manager

Employees: Anthony Miller, Director of Gas Systems; Jason Cyphers, Gas Engineering Coordinator; Carl Smith, Gas Distribution Engineer; and Sean Hawley, Systems Analyst III

From: Jackie J. Coley
Sent: Tuesday, August 19, 2014
To: Troy Perkins

Subject: Great Job

Troy,

Mr. Lawrence Perkins called just now and was saying what a professional job and nice job they did today. He spoke very highly of their work. He said it was the same crew that came out last week.

Jackie

The crew was Brian Murray, Equipment Operator IV; Jason Owens, Equipment Operator III; Jeffrey Clemons, Pipe Layer II; Linwood Smith, Pipe Layer III and Randy Beamon, Pipe Layer III.

From: Becky Powell
Sent: Thursday, August 21, 2014
To: Dan Oglesby

Subject: Powell Household

Thank you for the time you spent today on advising us of our heating and cooling options. I look forward to your advice on the appropriate size of system you would recommend for our size home, as well as any other recommendations to enable us to efficiently heat and cool our home.

Becky Powell

Employee: Dan Oglesby, Energy Services Officer



Agenda Item # 8

Meeting Date: September 18, 2014

Item:	Board Chair's Remarks/Report
Contact:	Chair Minges
Explanation:	Information Only Joint Pay and Benefits Committee Approved Minutes – April 15, 2014 Property Committee Approved Minutes – June 2, 2014
Previous Board Actions:	N/A
Fiscal Note:	N/A
Recommended Action(s):	N/A

MINUTES
JOINT PAY AND BENEFITS COMMITTEE
Tuesday, April 15, 2014

The Joint Pay and Benefits Committee of the City of Greenville (COG) and the Greenville Utilities Commission (GUC) met on Tuesday, April 15, 2014 in the GUC Board Room.

Committee members present included Council Member Rose H. Glover, Council Member Rick Smiley, Commissioner Don Mills and Commissioner John Minges. No committee members were absent.

Other COG officials and staff present included City Manager Barbara Lipscomb, Assistant City Manager Chris Padgett, Director of Human Resources Leah Futrell, and Benefits Manager Frank Salvato.

Other GUC officials and staff present included General Manager/CEO Tony Cannon, Chief Analytics Officer Todd Rouse, Chief Financial Officer Jeff McCauley, Director of Human Resources Patrice Alexander, Executive Assistant to the General Manager Amy Quinn, Director of Information Technology Sandy Barnes, Interim Director of Customer Relations Scott Mullis and Benefits Administrator Debbie Jones. Phil Dixon, Commission Attorney, was also present.

ITEM I – CALL TO ORDER

City Manager Barbara Lipscomb called the meeting to order at 4:05 p.m. and ascertained that a quorum was present.

ITEM II - APPROVAL OF THE AGENDA

Upon motion by Commissioner Minges, and seconded by Council Member Glover, the agenda was approved as presented by unanimous vote.

ITEM III - APPROVAL OF MINUTES

Commissioner Minges made a motion to approve the minutes from the March 17, 2014, meeting. Council Member Smiley seconded the motion, which passed by unanimous vote.

ITEM IV– STATUS OF MERIT PAY PROGRAM AND MARKET ADJUSTMENTS

Ms. Lipscomb reported that the City has allocated 1.5% market adjustment for FY 2014-15 and 1.25% market adjustment for FY 2015-16 for salary increases and Mr. Cannon reported to the Committee that GUC has allocated 3.5% for FY 2014-15 (2.0% market adjustment and 1.5% merit pay) for salary increases. Mr. Cannon also shared a Memorandum dated April 4, 2014 with the Committee concerning the budgetary impact on pay plan adjustments. Mr. Cannon reminded the Committee that if GUC's pay plans continue to adjust 1.0% below market for the next 10 years without merit and/or market increases, GUC's future pay plan adjustments to address compression increase exponentially.

Commissioner Minges reminded the Committee that based on the information distributed at the March 17, 2014 Pay and Benefits Committee meeting, if there are no salary increases this year, GUC and City employee salaries will be (-7.1%) below market based on the CAI index. Commissioner Minges also stated that falling behind the market will cause GUC and the City to lose valuable employees.

Council Member Glover said that the City does not have any additional money unless we raise taxes or find additional revenue.

Council Member Smiley stated that he is not suggesting a 1% increase for FY 2014-15 (from 1.5% to 2.5%), but wanted to know what the impact would be on the budget. Mr. Padgett stated that he thought a 1% increase would be about \$400,000 for the City. Mr. McCauley indicated that a 1% increase would cost GUC approximately \$244,000.

Commissioner Mills reminded the Committee that the employees are the most valuable assets and if we do not find a way to remain competitive, employees will leave and there is a price to losing institutional knowledge as well as training new replacement employees.

Mr. Cannon stated that his concern is the retention of employees, particularly IT and engineering positions. Council Member Glover inquired as to whether GUC is losing employees to private industry or other municipalities and Mr. Cannon indicated some of both. Mr. Cannon indicated that GUC is losing good employees because of salaries not being at market. Ms. Futrell indicated that she sees problems in the recruitment areas for IT employees.

Commissioner Minges made a motion to fund an employee pay adjustment of 2.4% for FY 2014-15. Council Member Smiley, seconded the motion with a friendly amendment by suggesting a 2.5% pay adjustment for FY 2014-15, which passed by unanimous vote.

ITEM V – EXTRA HOLIDAY CONSIDERATION

Currently, the City and GUC provide eleven paid holidays to employees in line with the State of North Carolina and other local governments. Beginning in 2012, the State of North Carolina added a twelfth holiday, usually a third day at Christmas, and many local governments have done the same, including Pitt County, Rocky Mount, Wilson, Wilmington, Roanoke Rapids, and Tarboro. Mr. Cannon suggested that the Managers have some flexibility with the scheduling of this extra paid holiday.

Council Member Smiley made a motion to approve the addition of a twelfth paid employee holiday, beginning in 2014, which will be scheduled at the City Manager's and the General Manager/CEO's discretion. Commissioner Minges seconded the motion, which passed by unanimous vote.

ITEM VI – NEXT STEPS

The Committee recommendations will go before the City Council and GUC Board of Commissioners at a Joint meeting on April 21, 2014.

ITEM VII - ADJOURNMENT

There being no further discussion, Commissioner Minges made the motion to adjourn and Council Member Glover seconded the motion. The motion was unanimous and the meeting was adjourned at 4:53 p.m.

Respectfully submitted,

Amy Carson Quinn
Executive Secretary, GUC

GREENVILLE UTILITIES COMMISSION
PROPERTY COMMITTEE

GREENVILLE, NORTH CAROLINA

JUNE 2, 2014

The Property Committee of the Greenville Utilities Commission met on June 2, 2014 at 4:00 p.m. in the GUC Board Room with the following members and others present:

Committee Members Present:

John Minges, Secretary
Phil Flowers
Barbara Lipscomb

Committee Members Absent:

Chip Little

GUC Staff Present:

Tony Cannon, General Manager/CEO
Amy Quinn, Executive Assistant to the General Manager/CEO
Kevin Keyzer, Resource Exposure Officer

Others Present:

Phil Dixon, Commission Attorney
Richard Johnson, The East Group, P.A.

Mr. Minges called the meeting of the Property Committee to order.

ACCEPTANCE OF THE AGENDA

A motion was made by Mr. Flowers, seconded by Mr. Minges to accept the agenda as presented. The motion carried unanimously.

APPROVAL OF MINUTES

A motion was made by Mr. Minges, seconded by Mr. Flowers to approve the May 19, 2014 minutes as presented. The motion carried unanimously.

CLOSED SESSION

At 4:03 p.m., Mr. Minges called upon Commission Attorney Dixon to state the grounds upon which the Property Committee should consider entering Closed Session. Mr. Dixon announced that the Property Committee should enter Closed Session pursuant to the provisions of

(1) Section 143-318.11(a)(3) of the General Statutes of North Carolina “to consult with an attorney employed or retained by the public body in order to preserve the attorney – client privilege between the attorney and the public body, which privilege is hereby acknowledged;” and

(2) Section 143-318.11(a)(5) of the General Statutes of North Carolina “to establish or instruct the staff or agent concerning the negotiation of the price and terms of a contract concerning the acquisition of real property.”

Upon motion by Mr. Minges, seconded by Mr. Flowers, the Property Committee unanimously agreed to enter Closed Session for these purposes.

There being no further business to come before the Property Committee in Closed Session, upon motion by Mr. Minges, seconded by Ms. Lipscomb, the Property Committee unanimously agreed to return to Open Session at 5:50 p.m. Without objection, Mr. Minges announced that the meeting would stand adjourned at 5:50 p.m.

Respectfully submitted,

Amy Carson Quinn
Executive Secretary

GENERAL ASSEMBLY OF NORTH CAROLINA
SESSION 1991
RATIFIED BILL

CHAPTER 861
SENATE BILL 1069

AN ACT TO AMEND AND RESTATE THE CHARTER OF THE GREENVILLE
UTILITIES COMMISSION OF THE CITY OF GREENVILLE.

The General Assembly of North Carolina enacts:

Section 1. For the proper management of the public utilities of the City of Greenville, both within the corporate limits of the City and outside the said corporate limits, a commission to be designated and known as the "Greenville Utilities Commission", is hereby created and established.

Sec. 2. The Greenville Utilities Commission shall consist of eight members, six of whom shall be bona fide residents of the City of whom one shall at all times be the City Manager of Greenville, and two of whom shall be bona fide residents of Pitt County but residing outside the city limits of Greenville, and all of whom shall be customers of the Greenville Utilities Commission. Each Greenville Utilities Commissioner shall hold office for an initial term of three years and, except as set forth herein, will be automatically reappointed to a single additional term of three years, with each term of three years expiring June 30 at the end of the designated term or until reappointed or replaced by the City Council. The first appointees shall hold their offices as follows: the Greenville City Council shall appoint an individual to serve until June 30, 1995; John W. Hughes, Sr. is hereby appointed a Greenville Utilities Commissioner to serve until June 30, 1995, and shall not be eligible for a second term; Bernard E. Kane is hereby appointed a Greenville Utilities Commissioner to serve until June 30, 1995; R. Richard Miller is hereby appointed a Greenville Utilities Commissioner to serve until June 30, 1994, and shall not be eligible for a second term; and the Greenville City Council shall appoint an individual to serve until June 30, 1993; all of whom are bona fide residents of the City. William G. Blount is hereby appointed a Greenville Utilities Commissioner to serve until June 30, 1993, and shall not be eligible for a second term; and the Pitt County Board of Commissioners shall nominate an individual under the procedure established in Section 3 of this act, to be appointed by the Greenville City Council to serve until June 30, 1994; both of whom are Greenville Utilities Commission customers and bona fide residents of Pitt County residing outside the Greenville city limits.

Sec. 3. The Greenville Utilities Commissioners otherwise than as herein provided shall be appointed by the City Council at their regularly monthly meeting in June of each year. It is the intention of this charter that the City Council shall appoint Greenville Utilities Commission members who have utilities expertise. Representation should include some members with financial, engineering, environmental, technical, or development backgrounds. The two members of the Greenville Utilities Commission residing outside the city limits shall be nominated by the Pitt County Board of Commissioners and appointed by the City Council. The

City Council has the right to reject any nominee(s) from the Pitt County Board of Commissioners and to request additional nominees. If the Pitt County Board of Commissioners fails to recommend a nominee to the City Council within 60 days of the original date requested by the City Council, then the City Council may appoint any individual meeting the residency requirement. No person shall be eligible for appointment to the Greenville Utilities Commission who is an officer or employee of the City or Pitt County except that the City Manager of the City of Greenville shall at all times be a full member of the Greenville Utilities Commission. In the event a Greenville Utilities Commissioner resigns, dies, or otherwise becomes incapable of performing his or her duties, the City Council shall appoint, according to the same process described herein for regular appointments, a Greenville Utilities Commissioner to fill the unexpired term at any regular or special meeting of the City Council. Any Greenville Utilities Commissioner filling an unexpired term shall be deemed to have filled said term for the full three-year term. Except as otherwise permitted herein, no Greenville Utilities Commissioner shall serve more than two three-year terms. Greenville Utilities Commissioners filling the first three-year term will automatically fill a second three-year term unless the City Council initiates the replacement process.

Sec. 4. The Greenville Utilities Commissioners shall organize by electing one of their members Chair, whose term of office as Chair shall be for one year unless the Chair's term on the Greenville Utilities Commission shall expire earlier, in which event his or her term as Chair shall expire with the Chair's term on the Greenville Utilities Commission. The Chair shall not be entitled to vote on any proposition before the Greenville Utilities Commission except in case of a tie vote and only for the purpose of breaking the tie. The members of the Greenville Utilities Commission are authorized to fix their own salaries provided, however, that said salaries shall not exceed one hundred fifty dollars (\$150.00) per month for the members and two hundred fifty dollars (\$250.00) per month for the Chair provided, however, the City Council may, at its own discretion, increase these caps from time to time as is appropriate to reflect inflation, and provided, however, the City Manager shall receive no pay as a member of the Greenville Utilities Commission other than his or her salary as City Manager. The Greenville Utilities Commission shall meet at least once each month at a designated time and place unless the Chair designates some other meeting time and so notifies the other members of the Greenville Utilities Commission. The Greenville Utilities Commission and the Greenville City Council shall meet at least once each year to discuss mutual interests of the City of Greenville and the Greenville Utilities Commission. Minutes shall be kept for all regular meetings of the Greenville Utilities Commission.

Sec. 5. The Greenville Utilities Commission shall have entire supervision and control of the management, operation, maintenance, improvement, and extension of the public utilities of the City, which public utilities shall include electric, natural gas, water, and sewer services, and shall fix uniform rates for all services rendered; provided, however, that any person affected by said rates may appeal from the decision of the Greenville Utilities Commission as to rates to the City Council. With approval by the City Council, the Greenville Utilities Commission may undertake any additional public enterprise service which may lawfully be operated by a municipality.

Sec. 6. The Greenville Utilities Commission shall employ a competent and qualified General Manager whose duties shall be to supervise and manage the said public utilities, subject to the approval of the Greenville Utilities Commission. The General Manager, under the direction of and subject to the approval of the Greenville Utilities Commission, shall cause the said utilities to be orderly and properly conducted; the General Manager shall provide for the operation,

maintenance, and improvement of utilities; the General Manager shall provide for the extension of all utilities, except sewer extensions made beyond the area regulated by the City of Greenville are subject to the approval of the City Council, and shall furnish, on application, proper connections and service to all citizens and inhabitants who make proper application for the same, and shall in all respects provide adequate service for the said utilities to the customers thereof; the General Manager shall attend to all complaints as to defective service and shall cause the same to be remedied, and otherwise manage and control said utilities for the best interests of the City of Greenville and the customers receiving service, and shall provide for the prompt collection of all rentals and charges for service to customers and shall promptly and faithfully cause said rentals and charges to be collected and received, all under such rules and regulations as the Greenville Utilities Commission shall, from time to time, adopt and in accordance with the ordinances of the City of Greenville in such case made and provided.

Sec. 7. All monies accruing from the charges or rentals of said utilities shall be deposited into the appropriate enterprise fund of the Greenville Utilities Commission and the Greenville Utilities Commission's Director of Finance shall keep an account of the same. The Greenville Utilities Commission shall at the end of each month make a report to the City Council of its receipts and disbursements; the Greenville Utilities Commission shall pay out of its receipts the cost and expense incurred in managing, operating, improving, maintaining, extending, and planning for future improvements and expansions of said utilities; provided, however, that should the funds arising from the charges and rentals of said utilities be insufficient at any time to pay the necessary expenses for managing, operating, improving, and extending said utilities, then and in that event only, the City Council of the City of Greenville shall provide and pay into the appropriate enterprise fund of the Greenville Utilities Commission a sum sufficient, when added to the funds that have accrued from the rents and charges, to pay the costs and expenses of managing, operating, improving, maintaining, extending, and planning for future improvements and expansions of said utilities; the Greenville Utilities Commission shall pay the principal on all such funds provided by the City Council with interest thereon; provided, further, that the Greenville Utilities Commission shall annually transfer to the City, unless reduced by the City Council, an amount equal to six percent (6%) of the difference between the electric and natural gas system's net fixed assets and total bonded indebtedness plus annually transfer an amount equal to fifty percent (50%) of the Greenville Utilities Commission's retail cost of service for the City of Greenville's public lighting. Public lighting is defined herein to mean City of Greenville street lights and City of Greenville Parks and Recreation Department recreational outdoor lighting. The preparation of a joint financial audit of the City of Greenville and the Greenville Utilities Commission operations by a single auditing firm is intended under the provisions of this charter and existing North Carolina statutes.

Sec. 8. In compliance with the time requirements of Chapter 159 of the General Statutes, the Greenville Utilities Commission shall prepare and submit to the City Council, for approval, a budget for the coming year showing its estimated revenue, expenses, capital expenditures, debt service, and turnover to the City of Greenville. In addition, the budget ordinance must identify construction projects of the Greenville Utilities Commission which include individual contracts in excess of one-half of one percent ($\frac{1}{2}\%$) of the Greenville Utilities Commission's annual budget. City Council approval of the Greenville Utilities Commission's budget will constitute approval of projects so identified and the contracts contained therein. Contracts in excess of one-half of one percent ($\frac{1}{2}\%$) of the Greenville Utilities Commission's annual budget not so identified and approved in the budget ordinance will require separate City Council approval.

Sec. 9. The Greenville Utilities Commission shall approve the employment and remuneration of all officers, agents, independent contractors, and employees necessary and requisite to manage, operate, maintain, improve, and extend the service of said utilities. It is, however, the intention of this Charter that the Greenville Utilities Commission and the City of Greenville will implement and maintain mutual pay plans, personnel policies, and benefits for their respective employees. The Greenville Utilities Commission may require bond in such sum as it may deem necessary, which shall be approved by the City Council, of all officers, agents, and employees having authority to receive money for the Greenville Utilities Commission. The Greenville Utilities Commission shall have the authority to name and designate a person in its employ as secretary of the Greenville Utilities Commission.

Sec. 10. The Greenville Utilities Commission shall have authority at all times to discharge and remove any officer, agent, independent contractor, or employee of the Greenville Utilities Commission.

Sec. 11. All laws and clauses of laws in conflict with this act are hereby repealed, expressly including Chapter 146 of the Public-Local Laws of 1941, entitled "AN ACT TO PROVIDE A PERMANENT UTILITIES COMMISSION FOR THE CITY OF GREENVILLE, IN PITT COUNTY, AND TO REPEAL CHAPTER TWO HUNDRED AND ELEVEN OF THE PRIVATE LAWS OF ONE THOUSAND NINE HUNDRED AND FIVE, AND AMENDMENTS THERETO, RELATING TO THE WATER AND LIGHT COMMISSION OF THE CITY OF GREENVILLE.", except that this act does not revive any act repealed by that act.

The purpose of this act is to revise the charter of the Greenville Utilities Commission and to consolidate herein certain acts concerning the Greenville Utilities Commission. It is intended to continue without interruption those provisions of prior acts which are consolidated into this act so that all rights and liabilities that have accrued are preserved and may be enforced. This act shall not be deemed to repeal, modify, or in any manner affect any act validating, confirming, approving, or legalizing official proceedings, actions, contracts, or obligations of any kind.

No provision of this act is intended nor shall be construed to affect in any way any rights or interest, whether public or private:

- (1) Now vested or accrued in whole or in part, the validity of which might be sustained or preserved by reference to law to any provisions of law repealed by this act.
- (2) Derived from or which might be sustained or preserved in reliance upon action heretofore taken pursuant to or within the scope of any provisions of law repealed by this act.

All existing ordinances of the City of Greenville and all existing rules and regulations of the Greenville Utilities Commission not inconsistent with provisions of this act shall continue in full force and effect until repealed, modified, or amended.

No action or proceeding of any nature, whether civil or criminal, judicial or administrative, or otherwise pending at the effective date of this act by or against the City of Greenville or the Greenville Utilities Commission shall be abated or otherwise affected by the adoption of this act. If any provisions of this act or the application thereof to any person or circumstance is held invalid, such invalidity shall not affect other provisions or applications of this act which can be given effect without the invalid provision or application, and to this end the provisions of this act are declared to be severable.

Sec. 12. This act is effective upon ratification.
In the General Assembly read three times and ratified this the 7th day of
July, 1992.

JAMES C. GARDNER

James C. Gardner
President of the Senate

DANIEL BLUE, JR.

Daniel Blue, Jr.
Speaker of the House of Representatives

BYLAWS OF THE GREENVILLE UTILITIES COMMISSION

These Bylaws are adopted by the Greenville Utilities Commission to implement its Charter and to establish basic rules of organization, process and procedure and to provide for the efficient and effective conduct of public business for the benefit of the ratepayers.

To The Extent The Terms & Conditions Of These Bylaws Conflict With the Terms & Conditions of The Charter, The Charter Shall Govern.

- I. Name: The name of the Commission shall be: The Greenville Utilities Commission, hereinafter also referred to as the "Board".
- II. Individual Responsibility: Commission members have responsibility over utilities' affairs when acting as a body appropriately called to session. To request additional information concerning the functions of the Greenville Utilities Commission, Board members should contact the General Manager.
- III. Board Membership
 - A. Number of Members: The Greenville Utilities Commission shall consist of eight (8) members, all appointed by the Greenville City Council. Two of these appointees are nominated by Pitt County Board of Commissioners.
 - B. Commission Seats: Of the eight (8) members, six (6) members shall be bona fide residents of the City of whom one shall be the City Manager of Greenville, and two of whom shall be bona fide residents of Pitt County but residing outside the city limits of Greenville, who shall be customers of the Greenville Utilities Commission.
 - C. Vacancies on the Commission: In the event a Greenville Utilities Commissioner resigns, dies, or otherwise becomes incapable of performing his or her duties, at any regular or special meeting of the City Council, the City Council shall appoint, according to the same process described herein for regular appointments, a Greenville Utilities Commissioner to fill the unexpired term.
 - D. New members to the Board are required to participate in orientation and training sessions as scheduled by the General Manager. Orientation shall include such activities as:

1. Workshops for new Board members conducted by the American Public Power Association.
2. Discussions and visits with the General Manager, Commission Attorney, and other members of the staff.
3. Provision of printed and audiovisual materials on Greenville Utilities Commission and copies of administrative policies and procedures.

IV. Organization

- A. The Greenville Utilities Commission each year shall elect its officers on the first regularly scheduled meeting of the Commission on or after July 1 at which a quorum is present. Meetings are scheduled for the third Thursday in each month at 12:00 noon.
- B. The officers of the Commission shall be a Chair, a Chair-elect and a Secretary, elected in that order for a term of one (1) year. The General Manager shall preside while a new Chair is being elected.
- C. Vacancies in the office of Chair, Chair-elect or Secretary occurring during the year shall be filled by the Commission at its discretion.

V. Powers and Duties of the Board

The Powers and Duties of the Board shall include but not be limited to the following:

- A. The Greenville Utilities Commission shall have entire supervision and control of the management, operation, maintenance, improvement, and extension of the public utilities of the City, which public utilities shall include electric, natural gas, water, and sewer services, and shall fix uniform rates for all services rendered; provided, however, that any person affected by said rates may appeal from the decision of the Greenville Utilities Commission as to rates to the City Council. With approval by the City Council, the Greenville Utilities Commission may undertake any additional public enterprise service which may lawfully be operated by a municipality (Reference Charter Section 5).
- B. The Board shall discharge its duties and responsibilities as required by its Charter or otherwise imposed by law.
- C. The Board shall employ a General Manager whose duties shall be to supervise and manage the operations of the Greenville Utilities

Commission, subject to the approval of the Board of Commissioners of the Greenville Utilities Commission, as provided in Section 6 of the Charter.

- D. The Board shall annually evaluate the performance of the General Manager as its Chief Executive Officer.
- E. The Board shall employ, in consultation with the General Manager, an attorney to give counsel on matters of legal concern to the Greenville Utilities Commission. The attorney shall represent the Commission on most matters, except that the Commission may hire other expertise as warranted on a case by case basis. The Board shall annually review the performance and services of the attorney with the General Manager during the General Manager's annual performance review.
- F. The Board shall annually review its performance. An annual review may consist of a written review and/or survey by Board members and/or a review with or by the General Manager.

VI. Duties of Officers

- A. The Chair shall preside at Board meetings. The Chair, in consultation with the Secretary and General Manager, shall review the draft agenda of regular and special meetings of the Board.
- B. The Chair shall appoint committees and designate the chairs unless otherwise directed by majority vote of the Board in session.
- C. The Chair, subject to the approval of the Commission, shall have the authority to execute any official document for and on behalf of the Commission.
- D. The Chair shall not be entitled to vote on any proposition before the Greenville Utilities Commission except in case of a tie vote and only for the purpose of breaking the tie.
- E. The Chair shall be the official spokesperson for the Board and will make, either in person or through the General Manager, every effort to communicate the Board's decision to the community through the media and any other means available.
- F. In the absence of the Chair, it shall be the duty of the Chair-elect to preside at meetings of the Board and assume authority of the Chair.

- G. The Secretary shall record minutes of meetings and hearings and distribute minutes in advance for review and approval.
- H. It shall be the responsibility of the Secretary to maintain official minutes and records of Board proceedings and actions. Minutes may be examined by any interested citizen under the supervision of the Secretary or the Secretary's designee. Consistent with the purpose of Closed Sessions, minutes of these meetings shall be separately maintained by the Secretary. Minutes of Closed Sessions may not be examined by interested citizens except as provided by law.
- I. The Secretary shall be responsible for the proper maintenance of official documents including but not limited to Board bylaws, Board policies, and Board decisions.
- J. The Secretary shall discharge any other duties or responsibilities required by law or otherwise imposed upon the Secretary by the Board.
- K. In the absence of the Secretary, it shall be the duty of the Chair-elect to assume duties of the Secretary.

VII. Committees & Appointments

- A. An Executive Committee composed of the Board Chair, Chair-elect, Past-Chair (when continuing to serve on the Board) and Secretary will work with the GUC staff on policy issues, represent GUC in joint discussions on potential growth and regionalization and provide for continuity of knowledge for the chair position.
- B. On an annual basis, the Chair shall appoint two members to a Compensation Sub-Committee to meet jointly with a City Council Sub-committee to make recommendations for employee benefits and compensation issues for the upcoming fiscal year. These two members should include at least one member (if available) that served the previous year.
- C. On an annual basis, the Chair shall appoint 2 - 3 members to serve in conjunction with the Board Chair, on a Finance Committee to provide "policymaker" input to staff on the enhancement or implementation of financial procedures or issues.
- D. Ad hoc committees shall be appointed by the Chair, as needed, and shall function until such time as their purpose has been accomplished.

- E. The Chair shall appoint an Executive Secretary and Assistant Executive Secretary from the staff. These positions are normally held by the Executive Assistant to the General Manager and Director of Financial Services and Accounting, respectively.

VIII. Methods of Operation

- A. Board Meetings: The Board shall regularly meet on the third Thursday of each month to consider its business. Notice of the meeting and its agenda shall be made available to the media as provided by law. Other meetings, including special sessions, emergency sessions or workshop sessions may be held as needed and must follow notification provisions as described by law.
- B. Agendas: Before actions by the Board are requested or recommended, the Board should be provided with documentation to assist members in reaching decisions consistent with established goals and policies. To request additional information, Board members shall contact the General Manager. The Agenda for regular monthly meetings shall be as follows:
 - 1. Call to order and ascertain the presence of a quorum
 - 2. Approval of the minutes for the previous month's meetings
 - 3. Any additions or deletions and acceptance of the (revised) agenda
 - 4. Presentations of awards and recognition of outstanding achievement
 - 5. Acceptance of the financial statement for the previous month
 - 6. Award of Bids
 - 7. Other items requiring action by the Board
 - 8. Informational Items
 - 9. General Manager's Report - This portion of the meeting is set aside for the General Manager's reports on any item of information which he wishes to present to the Board.
 - 10. Board Chair Remarks
 - 11. Board Members' Remarks

12. Closed Session, if required
 13. Notice of next regular or special meeting
 14. Adjournment
- C. Quorum: The Greenville Utilities Commission may only conduct business in a regular, emergency or special meeting attended by a quorum of the Board. A quorum shall consist of five (5) Board members, who are either physically present or able to participate by telephone or video-conference or other electronic means.
- D. Conduct of Meetings: Meetings shall be conducted in accordance with the Board's Bylaws and otherwise by the most recent edition of Robert's Rules of Order.
- E. Voting: The Chair of the Board shall determine the vote on any motion by asking each member to respond by voice vote or if necessary, a show of hands may be required.
1. Each member of the Board, except the Chair, shall have one vote on any recommendation, motion, proposal, or any other action item coming before the Board.
 2. Each member, other than the Chair, must vote unless excused by the remaining members. A member who wishes to be excused from voting shall so inform the Chair who shall take a deciding vote of the remaining members present. No member shall be excused from voting except on matters involving his/her own financial interest or official conduct. In other cases, a failure to vote by a member who is physically present or has withdrawn without being excused by a majority vote of the remaining members present, shall be recorded as an affirmative vote.
- F. Closed Sessions: Closed Sessions may be called upon a motion made and adopted at an open session for any of those permitted purposes described in Section 143-318 of the General Statutes of N.C., commonly known as the "Open Meetings Law", as amended from time to time. The motion shall state the purpose of the Closed Session and must be approved by the vote of a majority of those members present.
- G. Board Members' Compensation and Reimbursement: Members of the Greenville Utilities Commission shall receive compensation for performance

of official utility business at the rate of \$200 per month. The Chair shall receive \$350 per month. The City Council may, at its own discretion, increase these caps from time to time as is appropriate to reflect inflation. The City Manager shall receive no compensation as a member of the Greenville Utilities Commission.

- H. Public Hearings: The Greenville Utilities Commission believes that from time to time additional public opinion is necessary. This opinion is generally sought through the use of a public hearing. When such hearings are scheduled, the Greenville Utilities Commission will ensure that the date, time, and location are properly advertised well in advance of the hearing date. The Commission will receive comments and information at public hearings but not take any formal action during the public hearing. The Commission will take under advisement comments offered at the public hearing and normally consider these comments for future action.
- I. Public Expression: Upon motion of any Commissioner, and approval by a majority of the Board, any ratepayer may be allowed to address the Board within the time restrictions (and upon such other conditions) as may be set by the Chair.

IX. Change in Bylaws: These Bylaws may be amended from time to time. The procedure for amendment is by giving notice of the proposed amendments at a regularly scheduled Board meeting. The amendments will be considered at the next regularly scheduled Board meeting and must be approved by the vote of a majority of the members.

Adopted May 14, 1996
Revised June 11, 1996
Revised November 18, 1997
Revised June 9, 1998
Revised October 11, 1999
Revised July 18, 2000
Revised October 16, 2007
Revised November 18, 2008
Revised September 15, 2011
Revised August 21, 2014

Motion To Go Into Closed Session

I move that we go into closed session to:

[Specify one or more of the following permitted reasons for closed sessions]

- prevent the disclosure of privileged information
 - under _____ of the North Carolina General Statutes or regulations.
 - under _____ of the regulations or laws of United States.[N.C.G.S. § 143-318.11(a)(1)]

- prevent the premature disclosure of an honorary award or scholarship.
[N.C.G.S. § 143-318.11(a)(2)]

- consult with our attorney
 - to protect the attorney-client privilege.
 - to consider and give instructions concerning a potential or actual claim, administrative procedure, or judicial action.
 - to consider and give instructions concerning a judicial action titled _____
v. _____.[N.C.G.S. § 143-318.11(a)(3)]

- discuss matters relating to the location or expansion of business in the area served by this body.
[N.C.G.S. § 143-318.11(a)(4)]

- establish or instruct the staff or agent concerning the negotiation of the price and terms of a contract concerning the acquisition of real property.
[N.C.G.S. § 143-318.11(a)(5)]

- establish or instruct the staff or agent concerning the negotiations of the amount of compensation or other terms of an employment contract.
[N.C.G.S. § 143-318.11(a)(5)]

- consider the qualifications, competence, performance, condition of appointment of a public officer or employee or prospective public officer or employee.
[N.C.G.S. § 143-318.11(a)(6)]

- hear or investigate a complaint, charge, or grievance by or against a public officer or employee.
[N.C.G.S. § 143-318.11(a)(6)]

- plan, conduct, or hear reports concerning investigations of alleged criminal conduct.
[N.C.G.S. § 143-318.11(a)(7)]

MEMORANDUM

To: Members of the Board of Commissioners

From: _____, Commissioner/Board Member

Concerning: Statement of Reasons for Abstention from Board Action pursuant to N.C. Gen. Stat. § 138A-36(b)

Date: _____

Matter before the Board: _____

Briefly summarize reasons for abstention below:

(Signature of Board Member)