CABARRUS COUNTY

BOARD OF COMMISSIONERS WORK SESSION

June 6, 2022
5:30 PM

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1. CALL TO ORDER - CHAIRMAN

2. APPROVAL OF WORK SESSION AGENDA - CHAIRMAN

2.1. BOC - Changes to the Agenda Pg. 3

3. PUBLIC HEARINGS

3.1. Economic Development Investment - Max Solutions, Inc. - Public Hearing 5:30 p.m. Pg. 5

3.2. County Manager - FY 2023 Economic Development Allocation - Public Hearing 5:30 p.m. Pg. 22

3.3. County Manager - FY 2023 Budget - Public Hearing 5:30 p.m. Pg. 25

4. DISCUSSION ITEMS FOR ACTION

4.1. Cabarrus Regional Chamber of Commerce - Funding for Edge Factor Pg. 29

4.2. Cabarrus County Tourism Authority - FY2023 Budget Approval Pg. 47

4.3. BOC - Appointments to Boards and Committees Pg. 58

4.4. Active Living and Parks - Cox Mill Easement Request from Concord Parks and Recreation Pg. 62

4.5. Active Living and Parks - Matching Incentive Grant Update Proposal Pg. 66

4.6. Cabarrus County Schools - Approval to Move Forward With Grant Applications for Access Control Systems Pg. 88

4.7. Cabarrus County Schools - Stallings Road Right-of-Way Dedication Pg. 94

4.8. County Manager - Adoption of the New Retention and Disposition Schedule for North Carolina Pg. 100

4.9. DHS - FY23 HCCBG (Home and Community Care Block Grant) Funding Plan Pg. 343

4.10. EMS - Purchase of Simulation Equipment for EMS Headquarters Pg. 410

4.11. Human Resources - Personnel Ordinance Updates Pg. 427

4.12. Legal - Ad Hoc Amendment to Central Area Land Use Plan Interlocal Agreement for 3535 Katrina Avenue, Further Identified as PIN 5641-70-7417 Pg. 430

4.13. Planning and Development - Budget Amendment to Allocate Newly Awarded Duke Helping Home Fund Revenues and Expenses Pg. 436

5. DISCUSSION ITEMS - NO ACTION

5.1. BOC - NCACC Annual Conference Update Pg. 439

5.2. BOC - NCACC County Legislative Goals Pg. 440

5.3. Cabarrus Cooperative Extension - Agribusiness and Environmental Conservation Field Days Pg. 459

5.4. County Manager - Northwest High School Replacement Design Pg. 461

5.5. County Manager - Southeast Library and Senior Center Site Selection Pg. 462

6. APPROVAL OF REGULAR MEETING AGENDA

6.1. BOC - Approval of Regular Meeting Agenda Pg. 469

7. ADJOURN

In accordance with ADA regulations, anyone in need of an accommodation to participate in the meeting should notify the ADA coordinator at 704-920-2100 at least 48 hours prior to the meeting.

CABARRUS COUNTY

BOARD OF COMMISSIONERS
WORK SESSION

June 6, 2022
5:30 PM

AGENDA CATEGORY:
Approval of Work Session Agenda - Chairman

SUBJECT:
BOC - Changes to the Agenda

BRIEF SUMMARY:
A list of changes to the agenda is attached.

REQUESTED ACTION:
Motion to approve the agenda as amended.

EXPECTED LENGTH OF PRESENTATION:
1 Minute

SUBMITTED BY:
Lauren Linker, Clerk to the Board

BUDGET AMENDMENT REQUIRED:
No

COUNTY MANAGER'S RECOMMENDATIONS/COMMENTS:

ATTACHMENTS:

- Changes to the Agenda

CABARRUS COUNTY BOARD OF COMMISSIONERS
CHANGES TO THE AGENDA
June 6, 2022

ADDITIONS:

Discussion Items for Action

4.6 Cabarrus County Schools - Approval to Move Forward with Grant Applications for Access Control Systems

Discussion Items - No Action

5.4 County Manager - Northwest High School Replacement Design

UPDATED:

Discussion Items for Action

4.10 EMS - Purchase of Simulation Equipment for EMS Headquarters

SUPPLEMENTAL INFORMATION:

Public Hearings

3.1 Economic Development Investment - Max Solutions, Inc. - Public Hearing 5:30 p.m.

- **Project Overview**
- **Grant Analysis**

Discussion Items - No Action

5.3 Cabarrus Cooperative Extension - Agribusiness and Environmental Conservation Field Days

- **Backup Information - Agribusiness Days Reimagined**

REMOVED:

Discussion Items - No Action

5.6 Innovation and Technology - Innovation Report

CABARRUS COUNTY

BOARD OF COMMISSIONERS
WORK SESSION

June 6, 2022
5:30 PM

AGENDA CATEGORY:
PUBLIC HEARINGS

SUBJECT:
Economic Development Investment - Max Solutions, Inc. - Public Hearing 5:30 p.m.

BRIEF SUMMARY:
Representatives from the Cabarrus Economic Development Corporation (EDC) will present a request for an economic development investment for Max Solutions, Inc. pursuant to NC General Statute 158.7.1. The project proposes to locate at 700 Derita Road, Suite 100 in Concord with a projected investment of approximately $27,484,941 in real and personal property. The project plans to create 150 jobs with average wages above our current county average wage. A three-year grant equivalent to 85 percent of the ad valorem taxes on the increase in personal property tax values is requested.

REQUESTED ACTION:
Motion to suspend the Rules of Procedure due to time constraints.

Motion to approve an economic development agreement (3 years, 85 percent) between Max Solutions, Inc. and Cabarrus County, and to authorize the County Manager to execute the Agreement on behalf of the Board, subject to review or revision by the County Attorney.

EXPECTED LENGTH OF PRESENTATION:
5 Minutes

SUBMITTED BY:
Samantha Grass, EDC

BUDGET AMENDMENT REQUIRED:
No

COUNTY MANAGER'S RECOMMENDATIONS/COMMENTS:

ATTACHMENTS:

- Project Overview
- Grant Analysis
- Draft Agreement
- Public Hearing Notice

PROJECT PACK

Company's Legal Name: Max Solutions, Inc.

Company Representative: Dennis Kaltman

Name and Title: President & COO
Address: 1802 Bayberry Court Suite 301, Richmond, VA 23226
Phone: 804-643-0100
Email: denkal@yahoo.com
Website:

Nature of Business: Packaging – Manufacturing (NAICS: 322212 – folding paperboard box mfg)

Current Operations in Cabarrus County (y/n): No

Proposed New or Additional Cabarrus Facility:

Address/Location: 700 Derita Road, Suite 100, Concord NC 28027
(PIN: 46809702100000)
Square Feet: approximately 150,000 SF
Lease or Purchase: Lease

Project Summary:
Marc Shore and Dennis Kaltman formed Max Solutions, Inc. ("MS"), a differentiated packaging platform serving customers' needs for quality, service, next generation innovation and sustainability. Shore and Kaltman have a long history of success in the packaging industry, most recently at Multi Packaging Solutions and Westrock. Prior to that, Shore was the CEO of Shorewood Packaging. The funding for MS will be provided by Jefferson Capital Partners, Ltd. ("JCP") a private equity firm located in Richmond, Virginia. JCP recently closed Jefferson Capital Partners V L.P., a fund solely dedicated to investing in MS.

Max Solutions is pursuing a dual growth strategy. They will be opening several new manufacturing facilities in the United States, featuring the best, state-of-the-art technology

available to allow us to support our customers at the highest level. Concurrently, they are pursuing acquisitions on a global basis to further enhance and support our customers' supply requirements.

Due to the demand in packaging supplies, the company is looking to go back to its roots and find opportunities in the Mid-Atlantic. The company has already picked up business throughout the Carolinas, Virginia, and Georgia. They are hopeful to find a qualified facility to operate in to achieve long-term success.

The facility will run a smart safe and sustainable packaging product offering. The hope is to build high-quality custom folding cartons, rigid paper boxes, pressure sensitive roll labels, compliance packaging, combination packaging, and customized packaging.

The facility intends to employee up to 150 employees with a market wage ranging between $25-$35/hr working on three shift operation.

Investment – Total Investment: $27,484,941

Investment by Year	2022	2023	2024		3 Year Total
Real Property	$ 3,176,944	$ 2,000,000	$ -		$ 5,176,944
Personal Property	$ 22,307,997				$ 22,307,997
Total Investment	$ 25,484,941	$ 2,000,000	$ -		$ 27,484,941

When will project be in operation: Q3/Q4 2022

New Job Creation Full Time: 150 (75 in 2022 and 75 in 2023)
Average Wages: $67,253
Benefits Offered (y/n): yes

Project Pack

Cabarrus County Economic Development Grant Analysis

		Year 1	Year 2	Year 3
Total Assessed Value (Real)		$3,176,944	$5,176,944	$5,176,944
Total Assessed Value (Personal)		$20,077,197	$18,292,558	$16,284,838
	$22,307,997.00	$20,077,197	$18,292,558	$16,284,838
County taxes at .74		$172,081	$173,674	$158,817
Grant @ 85 %		$146,269	$147,623	$134,995
Net Taxes to County		$25,812	$26,051	$23,823

Taxes	**$**	**504,572**
Grant	**$**	**428,886**
Net Taxes to County	**$**	**75,686**

City of Concord Economic Development Grant Analysis

		Year 1	Year 2	Year 3
Total Assessed Value (Real)		$3,176,944	$5,176,944	$5,176,944
Total Assessed Value (Personal)		$20,077,197	$18,292,558	$16,284,838
	$22,307,997.00	$20,077,197	$18,292,558	$16,284,838
City taxes at .48		$111,620	$112,654	$103,017
Grant @ 85 %		$94,877	$95,756	$87,564
Net Taxes to City		$16,743	$16,898	$15,452

Taxes	**$**	**327,290**
Grant	**$**	**278,197**
Net Taxes to City	**$**	**49,094**

This document is for calculation purposes only. The numbers computed here are estimated based on general assumptions provided by the client, the Cabarrus County Tax office and the North Carolina Dept of Revenue. Actual grants may vary
Note: Grants Subject to governmental body approval.

GRANT TOTAL	**$**	**707,083**

**** Grant request is for personal property including leasehold improvements.***

STATE OF NORTH CAROLINA

ECONOMIC DEVELOPMENT INVESTMENT GRANT AGREEMENT

COUNTY OF CABARRUS (MAX SOLUTIONS, INC. – PROJECT PACK)

This ECONOMIC DEVELOPMENT INVESTMENT GRANT AGREEMENT (the "Agreement") is made and entered as of the _____ day of _____, 2022, by and between CABARRUS COUNTY, a body politic and political subdivision of the State of North Carolina ("County"), the CITY OF CONCORD, North Carolina, a North Carolina municipal corporation (City), and MAX SOLUTIONS, INC. ("Applicant"), a Virginia corporation, and describes the agreement between the parties relating to an economic development investment project to assist the Applicant in the development of a 150,000 square foot leased manufacturing facility at 700 Derita Road, Suite 100, Concord, North Carolina, 28027.

RECITALS

1. Applicant is considering the construction and development of a 150,000 square foot manufacturing facility (the "Facility") in County and City by constructing certain leasehold real property improvements of approximately $5,176,944.00 (which real property will be in the name of the landlord of the Facility) and installing fixtures and equipment in the Facility of an approximate cost of $22,307,997.00, for a total estimated cost of $27,484,941.00 (also sometimes referred to as "New Investment" or "Project"). The amount of the fixtures and equipment and personal property leasehold improvements determined by the Tax Assessor shall constitute the "Investment" to be granted on under this Agreement. The Facility will create and maintain a total of 150 new full-time jobs to Cabarrus County at an average annualized wage $67,253.00.

2. The County has previously adopted an Industrial Development Grant Program (the "Program"), a copy of which is attached as Exhibit A and incorporated by reference, the public purpose of which is to encourage economic growth and development within the County.

3. Cabarrus Economic Development, Inc. (the "EDC") has reviewed the Applicant's application for inclusion in the Program and EDC's overview is attached as Exhibit B and incorporated by reference.

4. Applicant has determined that location of its Facility with an address of 700 Derita Road, Suite 100, Concord, North Carolina, 28027 (the "Site") in the County and City is a suitable location for the placement of the Facility and the New Investment. The real property constituting the Facility will be leased for at least 10 years by the Applicant.

5. To induce Applicant to locate the New Investment in the Facility at the Site and to assist Applicant in that activity, the County and City have offered incentives to Applicant consistent with the Program and with the City's Economic Development Incentive Policy ("City's EDI Policy").

6. To encourage community comment and fulfill the requirements of the General Statutes, the City Council held a public hearing on offering this Agreement to the Company at a regularly scheduled meeting held on _____ and the County held a public hearing on offering this Agreement to the Company at a regularly scheduled meeting held on June 6, 2022.

In consideration of the mutual promises set forth in this Agreement and other good and valuable considerations, the receipt and sufficiency of which are acknowledged by the parties, the County, the City and Applicant agree as follows:

COVENANTS, TERMS and CONDITIONS

1. City and County Incentive Grants. Pursuant to the City and County Economic Development Programs, the City and County shall in accordance with and as provided by this Agreement, pay to Applicant incentive grant payments (the "Annual Grant(s)" and collectively referred to as the "Grant") in an amount equal to 85 percent of the property tax paid by Applicant upon the actual assessed ad valorem tax value increase occasioned by construction and installation of the fixtures and equipment and personal property leasehold improvements determined by the Tax Assessor to constitute the Investment in the Facility to be granted on under this Agreement. The City and County shall pay Grants to Applicant as follows:

(a) For a period of three (3) consecutive years, the City and County shall each make a grant payment to Applicant based upon the increased ad valorem tax value of the Investment at the Site, as determined by Tax Assessor;

(b) Applicant may elect the initial year in which the Grants identified in Paragraph 1(a) shall commence and shall so notify the City and County in writing; provided that the initial grant year shall commence no later than twelve (12) months after the Certificate of Occupancy (CO) is obtained for the initial construction of the facility.

(1) Only the fully installed permanent Investments placed in service by the prior calendar yearend may be designated for initial grant year of eligibility.

(i) For Real Property improvements that require a Certificate of Occupancy (CO), the Final CO must be obtained in the calendar year prior to initiation of the corresponding Investment's grant eligibility.

(ii) For Real Property improvements that do not require a CO, those improvements must be complete, passed all required final inspections and been placed in service in the calendar year prior to the initial grant year of eligibility for that corresponding New Investment.

(iii) New Investments that replace earlier grant eligible investments, in any manner, are ineligible for the grant.

(2) Grants are payable in the first ninety (90) days of the City and County's fiscal year that begins following the calendar year of the respective property tax payment(s); provided that all required information (i.e. questionnaire, audit documents, initiation

letter/application, etc.) are submitted within the first 6 months of the respective grantable year (reference section 4 for additional filing deadlines and requirements); however, if at the time, Applicant has not paid all taxes due and payable to the City and County, or any taxes are under dispute, the City and County shall withhold their respective annual Grant payments until such time that Applicant is current on payment of all such taxes and/or until the dispute is resolved. If the information required is not forthcoming or if tax payments are not timely paid, then the grant payable period will likewise be delayed by a year as will all subsequent payments (only one grant year payment can be made in any one County or City fiscal year) based upon proper submission within the latter 6 months of the respective grant year. Any other non-conformance to the information request timeline will result in the forfeiture of the remaining Grant.

(c). All parties agree that calculation of the incentives is based solely on the valuation of the Company's property by the Cabarrus County Tax Assessor. The property valuations made by the County Tax Assessor are deemed by all parties to be the conclusive and final determination of the Investment made by the Company.

(d). In no case shall the City or County make any EDI Grant payment(s) for any year and any subsequent year during which the Company ceases or substantially curtails operations at the facility.

(e) The process of assessment of the tax value of the New Investment, the calculation of the grant amounts and the payment of the Grants are more particularly described in the Program, which provisions are part of this Agreement. The County hereby confirms that it has approved the application of the Program to the Facility and has authorized the Grants and other terms of this Agreement. The County, the City and Applicant further confirm that this Agreement constitutes the "formal agreement" required under the Program and the City's EDI Policy and that the terms of this Agreement and those contained in the attached description of the Program shall govern the application of the Program to the Facility. The net increase in the assessed value of real property and business personal property in the Facility for local property tax purposes occasioned by the placement of the New Investment at or in the Facility shall determine the investment "level" for the Program in effect. Applicant acknowledges that its proposed Investment shall meet the minimum threshold level under the Program and the City's EDI Policy and that if it does not make such minimum New Investment as determined by the Cabarrus County Tax Assessor, then no Grants will be paid. Applicant agrees to forward to the County Tax Assessor or Grant Administrator, at the time it makes its annual property tax payments, a copy of the property tax payment receipt, which must be requested from the Tax Collector and the Cabarrus County Tax Assessor's statement (the "Assessor's Statement") of the valuation of the New Investment located at the Facility. The Assessor's Statement may be issued only after:

(1) Applicant has completed the Assessor's questionnaire and other substantiating corroborating documentation identified in the Program to the satisfaction of the Assessor; and

(2) The Assessor has had the reasonable opportunity to review, evaluate and verify a value for the New Investment.

(f) The total amount of the EDI Grants paid to the Company under this Agreement shall not exceed the Maximum Total Grants of $428,886.00 for the County and $278,197.00 for the City.

2. State Incentives. The County and City agree to assist Applicant in obtaining any incentives, grants and programs that may be or become available from the State of North Carolina; however, the County or City shall not be responsible for obtaining or paying any State incentives to Applicant, except as otherwise provided by law.

3. Validity of Incentives. As stated in the Program, no change in the Program after the date of this Agreement shall apply to the provisions of this Agreement or to the New Investment or the Facility (as it may be expanded or modified) unless otherwise agreed to in writing by the County and Applicant.

4. Noncompliance by Applicant. Applicant acknowledges that at any time during the period that a Grant is paid or is to be paid to Applicant by County or by City, if Applicant has (a) failed or fails to make or maintain the New Investment, (b) fails to continue in business a fully operational Facility, (c) fails to comply with any provision of this Agreement, or (d) fails in any representation about jobs as outlined below or any provision of the Program applicable to this Agreement, then Applicant shall be in default of this Agreement. In any such event, Applicant must provide written notice of the default within 10 days of the default and cure the default with 90 days of the default. In the event that Applicant shall fail to provide timely notice of the default or fails to cure such default within 90 days, results in immediate termination of this Agreement and withhold all further Grant payments and requires repayment of all prior Grant payments. Applicant specifically acknowledges that any failure to hire and maintain, through final grant payment, 150 qualifying employees with an average annual wage above $67,253.00 by the end of 2023 shall result in both the termination of the Grant and Applicant's full repayment to both County and City of all Grants paid to Applicant under this agreement. Qualifying employees are newly hired or transferred fulltime (minimum 35 hours per week) employees who work at the new Grant related facility. The measurement and calculation of compliance with this requirement will be based on the County's Employment Computation form, which is to be completed and filed with required supporting documentation by March 1 following each associated grantable year. In addition, a Certification form, signed by a qualifying corporate officer, must be submitted immediately prior to any payment to attest to current compliance with all terms of this Agreement. Any late filing or failures to maintain vendor or banking setups will result in an equivalent delay in the Grants as otherwise denoted in section 1(b)(2) above.

5. Applicant Representations. Applicant represents as of the Agreement Date as follows:

a) Applicant is an entity (i) duly organized and validly existing under the laws of its state of formation; (ii) is duly qualified to transact business and is in good standing in North Carolina; (iii) is not in violation of any provision of its organizational documents; (iv) has full corporate power to own its properties and conduct its business; (v) has full power and

authority to enter into this Agreement and to enter into and carry out the transactions contemplated by this Agreement; (vi) by proper action has duly authorized the execution and delivery of this Agreement; and (vii) is not in default under any provision of this Agreement.

b) Applicant's execution and delivery of this Agreement neither conflict with, nor will result in, a breach or default under any organizational documents; nor, to the best of its knowledge, will its execution and delivery conflict with, or result in, a breach or default under the terms, conditions, or provisions of any statute, order, rule, regulation, agreement, or instrument to which Applicant is a party or by which it is bound, nor will its execution and delivery result in the imposition of any lien on its property.

c) Applicant has duly authorized, executed and delivered this Agreement, and this Agreement constitutes its legal, valid and binding obligations, enforceable in accordance with its terms.

d) There is no litigation or proceeding pending or, to its knowledge, threatened against Applicant, which would adversely affect the validity of this Agreement.

6. County Representation. The County represents as of this Agreement Date as follows:

a) The County (i) has full power and authority to enter into this Agreement and to enter into and carry out the transactions contemplated by this Agreement; (ii) by proper action has duly authorized the execution and delivery of this Agreement; and (iii) is not in default under any provisions of this Agreement.

b) The County has duly authorized, executed and delivered this Agreement, and this Agreement constitutes the County's legal, valid and binding obligation, enforceable in accordance with its terms.

c) To the County's knowledge, there is no litigation or proceeding pending or threatened against the County or affecting it, which would adversely affect the validity of this Agreement.

d) The County is not in default under any provision of State law, which would affect its existence or its powers as referred to in subsection (a).

e) To the County's knowledge, no officer or official of the County has any interest (financial, employment or other) in Applicant or the transactions contemplated by this Agreement.

7. City Representation. The City represents as of the date of this Agreement as follows:

a) The City (i) has full power and authority to enter into this Agreement and to enter into and carry out the transactions contemplated by this Agreement; (ii) by proper action

has duly authorized the execution and delivery of this Agreement; and (iii) is not in default under any provisions of this Agreement.

b) The City has duly authorized, executed and delivered this Agreement, and this Agreement constitutes the City's legal, valid and binding obligation, enforceable in accordance with its terms.

c) To the City's knowledge, there is no litigation or proceeding pending or threatened against the City or affecting it, which would adversely affect the validity of this Agreement.

d) The City is not in default under any provision of State law, which would affect its existence or its powers as referred to in subsection (a).

e) No officer or official of the City has any interest (financial, employment or other) in Applicant or the transactions contemplated by this Agreement.

8. Miscellaneous.

a) Applicant acknowledges and understands that all the provisions of the Program are considered enforceable parts of this Agreement and that it must comply with all such provisions in order to be eligible for and remain eligible for the Grants.

b) This Agreement and the Grants provided by it may not be assigned by Applicant except to subsidiaries or affiliates thereof, without the prior written consent of County and City.

c) Notices. All notices, certificates or other communications required by or made pursuant to this Agreement shall be sufficiently given and shall be deemed given when delivered or mailed by registered or certified mail, postage prepaid or sent by facsimile (confirmed by the party providing notice) as follows:

The County: Michael K. Downs
Cabarrus County
County Manager
65 Church Street, S
Post Office Box 707
Concord, North Carolina 28026
Facsimile Number: (704) 920-2820
Telephone Number: (704) 920-2100
E-Mail: mkdowns@CabarrusCounty.US

Copy to: Richard M. Koch
County Attorney
3220-201 Prosperity Church Road
Charlotte, North Carolina 28269

Facsimile Number: (704) 503-5707
Telephone Number: (704) 503-5700
E-Mail: lawoffice@richardkochlaw.com

Requests for COUNTY EDI Grants:

Cabarrus County Assessors Office
Grant Administrator
65 Church Street, S
Post Office Box 707
Concord, North Carolina 28026
E-Mail: kjgates@cabarruscounty.us

The City:

City Manager
City of Concord
35 Cabarrus Avenue West
Concord, NC, 28025

P. O. Box 308
Concord, NC 28026-0308
E-Mail: paynel@concordnc.gov

Copy to:

City Attorney
City of Concord
35 Cabarrus Avenue West
Concord, NC 28025

P.O. Box 308
Concord, NC 28026-0308
E-Mail: kolczynv@concordnc.gov

Requests for CITY EDI Grants to:

City Grant Accountant
E-Mail: catess@concordnc.gov

Copy to:

Finance Director

Both at:

City of Concord
Finance Dept.
35 Cabarrus Avenue West
Concord, NC, 28025

PO Box 308
Concord, NC 28026-0308
E-Mail: jonesj@concordnc.gov

Applicant: Dennis Kaltman
President & CEO
Max Solutions, Inc.
1802 Bayberry Court Suite 301
Richmond, VA 23226
Telephone Number: (804) 613-0100
E-Mail: denkal@yahoo.com

Any party may, by advance written notice, designate any further or different addresses to which notices, certificates, requests or other communications shall be sent.

(d) Binding Effect. This Agreement shall inure to the benefit of and is binding upon the County, City and Applicant and their respective successors and assigns.

(e) Amendments, Changes and Modifications. Except as otherwise provided in this Agreement, this Agreement may not be amended, changed, modified or altered except by written agreement signed by both parties.

(f) Severability. If any court of competent jurisdiction holds any provision of this Agreement invalid or unenforceable, such holding shall not invalidate or render unenforceable any other provision of this Agreement.

(g) Counterparts. This Agreement may be executed in any number of counterparts, each of which when so executed and delivered shall be deemed an original, and it shall not be necessary in making proof of this Agreement to produce or account for more than one such fully executed counterpart.

(h) Governing Law. This Agreement is governed by and shall be construed in accordance with the laws of the State of North Carolina, without regard to conflict of law principles.

(i) Captions. The captions or headings used throughout this Agreement are for convenience only and in no way define or describe the scope or intent of any provision of this Agreement.

(j) Confidential Information. The Applicant acknowledges that it has been informed by the County that the County is required by North Carolina law to disclose "Public Records" as the term is defined by North Carolina General Statutes § 132-1, upon request. All information disclosed to the County by the Company which is subject to that definition and whose disclosure is not otherwise protected by law will be released by the County upon request as provided by North Carolina General Statutes § 132-6. The County may withhold from disclosure confidential records as defined by North Carolina General Statutes § 132-1.2; provided the Company acknowledges that it is solely responsible for identifying each qualifying

Confidential document or file with watermarks or other appropriate indicators as being CONFIDENTIAL. The Company hereby waives confidentiality for any submissions not clearly indicated on the submission as being confidential. In order to prevent the disclosure of information identified by the Company as "CONFIDENTIAL" pursuant to North Carolina General Statute § 132.1.2 the County shall, if it receives a request for disclosure of such marked information, notify the Company of such request so that the Company may defend any claims or disputes arising from efforts of others to cause such trade secrets to be disclosed as a public record. Notwithstanding the above, the Company hereby authorizes the sharing of all submitted information, including information identified as confidential, within the County's departments or with other governmental bodies for assessment or grant administration purposes. The Company acknowledges this disclosure of the County's public records requirements and agrees that such disclosure is full and sufficient to the satisfaction of the Company. Both parties agree that this Section will survive the termination of the Agreement.

(k) Notice of Potential Disclosure of Confidential Company Information. The Company acknowledges that it has been informed by the City that the City is required by North Carolina law to disclose "Public Records" as the term is defined by North Carolina General Statutes § 132-1, upon request. All information disclosed to the City by the Company which is subject to that definition and whose disclosure is not otherwise protected by law will be released by the City upon request as provided by North Carolina General Statutes § 132-6. The City may withhold from disclosure confidential records as defined by North Carolina General Statutes § 132-1.2. The Company acknowledges that it has read and is familiar with the City's obligations of public disclosure of documents and the definitions of confidential documents as contained in Chapter 132 of the North Carolina General Statutes. In order to prevent the disclosure of confidential information identified by the Company as a trade secret or as "confidential" pursuant to North Carolina General Statute § 132.1.2 the City shall, if it receives a request for disclosure of such information, notify the Company of such request so that the Company may defend any claims or disputes arising from efforts of others to cause such trade secrets to be disclosed as a public record. The Company acknowledges that this disclosure of the City's public records requirements and agrees that such disclosure is full and sufficient to the satisfaction of the Company. Both parties agree that this Section will survive the termination of the Agreement.

(l) Construction. The parties acknowledge and stipulate that this Agreement is the product or mutual negotiation and bargaining. As such, the doctrine of construction against the drafter shall have no application to this Agreement.

(m) Force Majeure. Any delay in the performance of any of the duties or obligations of either party hereunder (the "Delayed Party") shall not be considered a breach of this Agreement and the time required for performance shall be extended for a period equal to the period of such delay, provided that such delay has been caused by or is the result of any acts of God; acts of the public enemy; insurrections; riots; embargoes; labor disputes, including strikes, lockouts, job actions, or boycotts; shortages of materials or energy; fires; explosions; floods; changes in laws governing international trade; pandemic; or other unforeseeable causes beyond the control and without the fault or negligence of the Delayed Party. The Delayed Party shall give prompt notice to the other party of such cause and shall take whatever reasonable steps are

necessary to relieve the effect of such cause as promptly as possible. No such event shall excuse the payment of any sums due and payable hereunder on which delayed performance is excused as provided above.

(n) NO PROVISION OF THIS AGREEMENT SHALL BE CONSTRUED OR INTERPRETED AS CREATING A PLEDGE OF THE FAITH AND CREDIT OF THE COUNTY OR CITY WITHIN THE MEANING OF ANY CONSTITUTIONAL DEBT LIMITATION. NO PROVISION OF THIS AGREEMENT SHALL BE CONSTRUED OR INTERPRETED AS DELEGATING GOVERNMENTAL POWERS NOR AS A DONATION OR A LENDING OF THE CREDIT OF THE COUNTY OR CITY WITHIN THE MEANING OF THE STATE CONSTITUTION. THIS AGREEMENT SHALL NOT DIRECTLY OR INDIRECTLY OR CONTINGENTLY OBLIGATE THE COUNTY OR CITY TO MAKE ANY PAYMENTS BEYOND THOSE APPROPRIATED IN THE SOLE DISCRETION OF THE COUNTY OR CITY FOR ANY FISCAL YEAR IN WHICH THIS AGREEMENT SHALL BE IN FORCE. NO PROVISION OF THIS AGREEMENT SHALL BE CONSTRUED TO PLEDGE OR TO CREATE A LIEN ON ANY CLASS OR SOURCE OF THE COUNTY OR CITY'S MONEYS, NOR SHALL ANY PROVISION OF THE AGREEMENT RESTRICT TO ANY EXTENT PROHIBITED BY LAW, ANY ACTION OR RIGHT OF ACTION ON THE PART OF ANY FUTURE COUNTY OR CITY GOVERNING BODY. TO THE EXTENT OF ANY CONFLICT BETWEEN THIS ARTICLE AND ANY OTHER PROVISION OF THIS AGREEMENT, THIS ARTICLE TAKES PRIORITY.

IN WITNESS, the parties have executed this Agreement as of the date first written above.

MAX SOLUTIONS, INC.

By: _____
Its _____

CABARRUS COUNTY

By: _____
Michael K. Downs, County Manager

Attest:

By: _____
Lauren Linker, Clerk

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

_____
Wendi Heglar
Finance Director

CITY OF CONCORD

By: _____
William C. Dusch, Mayor

Attest:

By: _____
Kim Deason, Clerk

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

_____
Jessica Jones
Finance Director

CABARRUS COUNTY
BOARD OF COMMISSIONERS

NOTICE OF PUBLIC HEARING
June 6, 2022 – 5:30 P.M.

Economic Development Investment

Notice is hereby given that the Cabarrus County Board of Commissioners will hold a public hearing at 5:30 p.m. (or as soon thereafter as persons may be heard) on Monday, June 6, 2022, in the Board of Commissioners' Meeting Room, located on the second floor of the Cabarrus County Governmental Center, 65 Church Street S, Concord, to consider an economic development investment for Max Solutions, Inc. pursuant to NC General Statute 158.7.1. The project proposes to locate at 700 Derita Road, Suite 100 in Concord with a projected investment of approximately $27,484,941 in real and personal property. The project plans to create 150 jobs with average wages above our current county average wage. A three-year grant equivalent to 85 percent of the ad valorem taxes on the increase in personal property tax values is requested. The proposed draft agreement is available for inspection in the Office of the Clerk to the Board at the Governmental Center.

If reasonable accommodations are needed, please contact the ADA Coordinator at 704-920-2100 at least 48 hours prior to the public hearing.

Lauren Linker, Clerk to the Board

Posted May 19, 2022

CABARRUS COUNTY

BOARD OF COMMISSIONERS
WORK SESSION

June 6, 2022
5:30 PM

AGENDA CATEGORY:
PUBLIC HEARINGS

SUBJECT:
County Manager - FY 2023 Economic Development Allocation - Public Hearing 5:30 p.m.

BRIEF SUMMARY:
Pursuant to N.C. General Statute 158-7.1, the County must conduct a separate public hearing for economic development appropriations. A funding plan is approved during the public hearing when each new economic incentive is approved, and now one is required for the County's annual appropriation for the contribution to the Cabarrus Economic Development Corporation.

REQUESTED ACTION:
Hold a public hearing.

EXPECTED LENGTH OF PRESENTATION:
5 Minutes

SUBMITTED BY:
Mike Downs, County Manager

BUDGET AMENDMENT REQUIRED:
No

COUNTY MANAGER'S RECOMMENDATIONS/COMMENTS:

ATTACHMENTS:

- Public Hearing Notice

CABARRUS COUNTY
BOARD OF COMMISSIONERS

NOTICE OF PUBLIC HEARING
June 6, 2022 – 5:30 P.M.

Economic Development Appropriation

Notice is hereby given that the Cabarrus County Board of Commissioners will hold a public hearing at 5:30 p.m. (or as soon thereafter as persons may be heard) on Monday, June 6, 2022, to receive public input on the proposed allocation of funds for the following economic development appropriation:

Organization	FY 2022-2023 Recommended	Services Provided	Economic Development Purpose
Cabarrus County Economic Development Corporation	$400,000	Promotes economic development within Cabarrus County by recruiting new businesses and encouraging retention and expansion of existing businesses.	Job retention, Increase in employment, and industry expansion & recruitment

The Board of Commissioners will consider this recommendation, and approval will include allocating the appropriation in conjunction with the adoption of the FY 2023 annual budget.

For ease of access the Board of Commissioners' meetings will continue to be broadcast live on Channel 22, https://www.youtube.com/cabarruscounty and https://www.cabarruscounty.us/cabcotv

If reasonable accommodations are needed, please contact the ADA Coordinator at 704-920-2100 at least 48 hours prior to the public hearing.

Lauren Linker, Clerk to the Board

Posted May 19, 2022

CABARRUS COUNTY

BOARD OF COMMISSIONERS
WORK SESSION

June 6, 2022
5:30 PM

AGENDA CATEGORY:
PUBLIC HEARINGS

SUBJECT:
County Manager - FY 2023 Budget - Public Hearing 5:30 p.m.

BRIEF SUMMARY:
There will be a public hearing to receive comments from the public on the proposed FY 2023 budget.

REQUESTED ACTION:
Hold a public hearing.

Motion to direct staff to prepare the FY23 Budget Ordinance, consistent with the FY23 Recommended Budget and technical adjustments, for adoption by the Board at the regular meeting on June 20, 2022.

EXPECTED LENGTH OF PRESENTATION:
5 Minutes

SUBMITTED BY:
Mike Downs, County Manager

BUDGET AMENDMENT REQUIRED:
No

COUNTY MANAGER'S RECOMMENDATIONS/COMMENTS:

ATTACHMENTS:

- Public Hearing Notice - Newspaper
- Public Hearing Notice - Website

THE INDEPENDENT TRIBUNE

May 25, 2022

CABARRUS COUNTY
BOARD OF COMMISSIONERS

NOTICE OF PUBLIC HEARING
June 6, 2022 - 5:30 P.M.

The Cabarrus County Manager presented the recommended Cabarrus County Budget for Fiscal Year 2023 to the Board of Commissioners on Monday, May 16, 2022. A copy of the recommended budget is filed in the Clerk's office and is available for inspection on the County's website: https://www.cabarruscounty.us/Government/Departments/Budget-and-Evaluation

A Budget Workshop meeting was held on April 14, 2022. An additional Budget workshop meeting is scheduled on June 9, 2022 if needed. A public hearing on the recommended budget is scheduled for Monday, June 6, 2022 at 5:30 p.m. (or as soon thereafter as persons may be heard). Adoption of the recommended budget is scheduled for June 20, 2022.

For ease of access, the Board of Commissioners' meetings are broadcast live on Channel 22, https://www.youtube.com/cabarruscounty and https://www.cabarruscounty.us/cabcotv.

If reasonable accommodations are needed, please contact the ADA Coordinator at 704-920-2100 at least 48 hours prior to the public hearing.

Lauren Linker, Clerk to the Board

Published May 25, 2022



CABARRUS COUNTY
BOARD OF COMMISSIONERS

NOTICE OF PUBLIC HEARING
June 6, 2022 – 5:30 P.M.

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For ease of access, the Board of Commissioners' meetings are broadcast live on Channel 22, https://www.youtube.com/cabarruscounty and https://www.cabarruscounty.us/cabcotv.

If reasonable accommodations are needed, please contact the ADA Coordinator at 704-920-2100 at least 48 hours prior to the public hearing.

Lauren Linker, Clerk to the Board

Posted May 19, 2022

CABARRUS COUNTY

BOARD OF COMMISSIONERS
WORK SESSION

June 6, 2022
5:30 PM

AGENDA CATEGORY:
Discussion Items for Action

SUBJECT:
Cabarrus Regional Chamber of Commerce - Funding for Edge Factor

BRIEF SUMMARY:
Edge Factor is a digital learning platform for Career Exploration, Planning and Connection for Cabarrus County Students and Adults with Local Businesses. It offers online curriculum, instruction, and videos for students of all ages to learn about available careers, education or credentials/certifications needed to attain them and local companies that hire for those particular careers, effectively connecting learners of all ages with the local companies trying to fill talent pipelines.

REQUESTED ACTION:
Motion to approve funding the Edge Factor platform for three years for Cabarrus County that would include curriculum access for all Cabarrus County Schools, Kannapolis City Schools students, as well as community access for basic information and allow the Finance Director to prepare the necessary budget amendment.

EXPECTED LENGTH OF PRESENTATION:
30 Minutes

SUBMITTED BY:
Barbi Jones, Executive Director, The Chamber Leading Business in Cabarrus
Larissa Hoffman, Edge Factor

BUDGET AMENDMENT REQUIRED:
No

COUNTY MANAGER'S RECOMMENDATIONS/COMMENTS:

ATTACHMENTS:

- Edge Factor Overviews
- Letters of Support from Cabarrus County Schools, Kannapolis City Schools, Rowan-Cabarrus Community College and Centralina Workforce Development Board

Memo to: Cabarrus County Commissioners, Mike Downs, Rodney Harris

From: Barbi Jones, Executive Director, The Chamber, Leading Business in Cabarrus

RE: Edge Factor: Digital Learning Platform for Career Discovery, Exploration and Preparation

For several years, The Chamber has been researching digital platforms that schools, students, and adult learners could access to learn about careers available in Cabarrus County, the pathways to attain those careers, and a way for businesses to connect with learners to fill talent pipelines from our local learners.

In working with other chambers across the state, we discovered Edge Factor, a platform that provided all the above and more.

It provides a "K to Gray" curriculum reach that has age-appropriate career learning options, including lesson plans and videos for teachers, as well as options for students to work independently. Parents could have their own account to track their students' progress, as well as access information for themselves as potential adult learners.

With Edge Factor, we would be able to select the major industries in Cabarrus County and identify the jobs and career pathways within each of those. We would have access to virtual field trips that students can take to discover what it is like doing the various jobs in those industries. Additionally, all interested businesses in Cabarrus County could have a free profile on the community page to introduce their business, the careers available there and a connection to their website and job listings.

Why is this important?

Businesses of all sizes struggle to find skilled workers to fill current and future job vacancies. As we continue to recruit companies offering high-paying wages, we need to invest in our future workforce to ensure they are aware of the many options they have available to them when they graduate from high school and can identify the postsecondary educational attainment needed to secure those jobs. A recent study found 70% of North Carolina jobs will require some postsecondary educational attainment by 2030. This could be an industry-recognized credential or certification, a two-year degree or four-year degree.

We know that it is important to expose students to careers in elementary school, so they become aware of what is available. In middle school, we can start identifying what they like to do and match those interests to potential career pathways. Our high schools offer excellent Career Technical Education programs and academies, so if students in middle school are interested in one of those areas, we can direct those students to the appropriate academies where they will build the foundations needed for those careers. Edge Factor has the tools to do this.

Often, students are only familiar with the careers they see in their everyday environments. If exposed to other careers, the door is open to learn more and create a true pathway to that interested industry for them. This is especially true in low-income areas where we know education is the best tool to break the cycle of poverty.

Career exploration is an excellent tool for teachers to demonstrate how skills learned in school translate to solve "real world" problems. So, for the students who struggle with STEM subjects, their teachers can show them how those theories are used in jobs every day.

While businesses would love to be more involved with local schools and students, OSHA regulations restrict those under 18 from being on many worksites, so it's difficult for students to see firsthand the work that's available to them. Also, time is indeed money for many businesses, and it's difficult for them to leave their workplace to attend career days and events in schools. Virtual would never totally replace in-person, but it gives students a true real-life tour of what each industry does and the many varied jobs within them.

I have worked with Edge Factor to negotiate a rate of $31,500/year for three years; that is discounted by 80%. This includes the community page that would be administered by The Chamber. The investment covers membership for each CCS and KCS student and educator, and every business in Cabarrus County would have the opportunity to post their profile, including links to websites and job postings at no cost. Additionally, the community page would be open to anyone who wanted to access it to learn more about jobs in Cabarrus County.

Because of the analytics built into the platform, we can monitor the aggregate and more granular usage to track progress. It is our hope that it would be a tool widely used, and after three years, our businesses could support the platform annually.

Catherine Truitt, North Carolina Superintendent of Public Instruction, declared 2022 as "The Year of the Workforce" and has encouraged schools to invest in "the preparation for the postsecondary plans of their choice so that they can be a functioning member of the workforce." We see Edge Factor as a great tool for Cabarrus County to invest in to move the needle on employability and preparation for our students.

So in closing, I would like to respectfully request $94,500 for a three-year subscription to Edge Factor for Cabarrus County and Kannapolis City Schools and the community page for The Chamber to help our local businesses connect to current and future employees and keep our students and talent in our community to pursue family-sustaining jobs.

Thank you for your consideration.

Edge Factor provides tangible solutions to Workforce Development challenges.

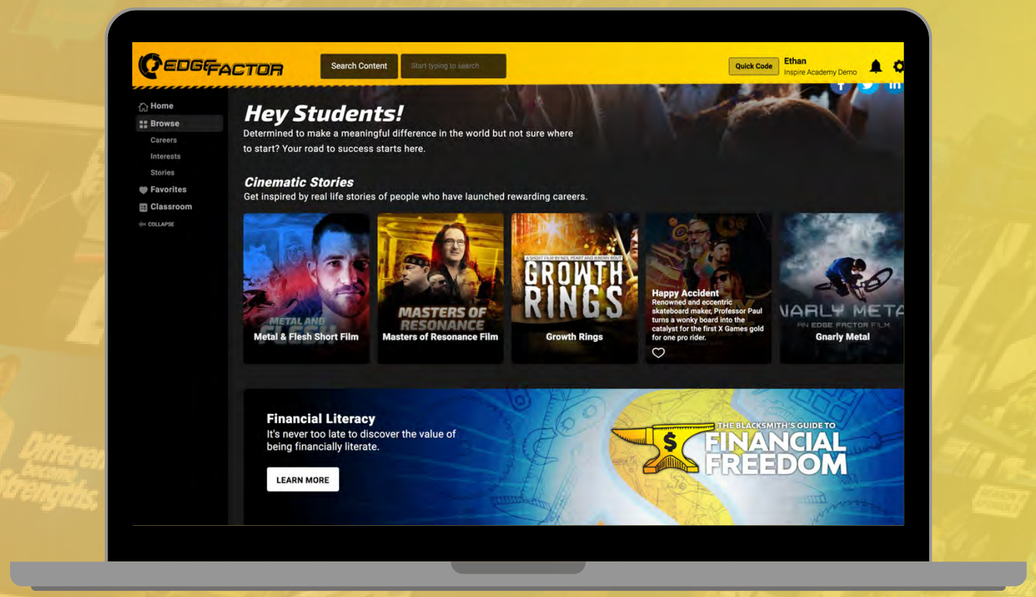
We guide students and job-seekers to explore opportunities and discover local training and career pathways through videos, lesson plans, interactive activities, and more.

Our goal is to take people on a Career Journey from "*I have no idea what to do with my life!*" all the way to, *"I have browsed the opportunities, made informed decisions, and successfully launched a local training and career pathway!"*

edgefactor.com

Edge Factor equips organizations and communities with access to thousands of story-driven e-learning and career exploration tools.

Our tools are used in classrooms, at events, and in homes across North America, delivered through the online Edge Factor platform.



Click here to explore the platform!

All of the tools and features we create are designed to be modular and age-appropriate.

Today, Edge Factor delivers content for grades 5-12+ and job-seekers. From January - July 2022, our Team is developing, filming, and publishing content for Kindergarten- grade 4!

This means our library will soon offer career exploration tools that intersect every age group - we call this our "K-Grey" strategy.



Educators, students, families, companies, workforce leaders, and service providers login to their customized Edge Factor Premium Memberships to watch and share e-learning and career exploration tools.

Focusing on helping students and job-seekers go on a Career Journey, we categorize all of our content into the four phases:

INSPIRATION
CINEMATIC STORIES INSPIRE CAREER EXPLORATION

EXPLORATION
EXPLORE DIVERSE CAREER PATHWAYS

PREPARATION
STEAM, SOFT SKILLS, CTE/SHSM

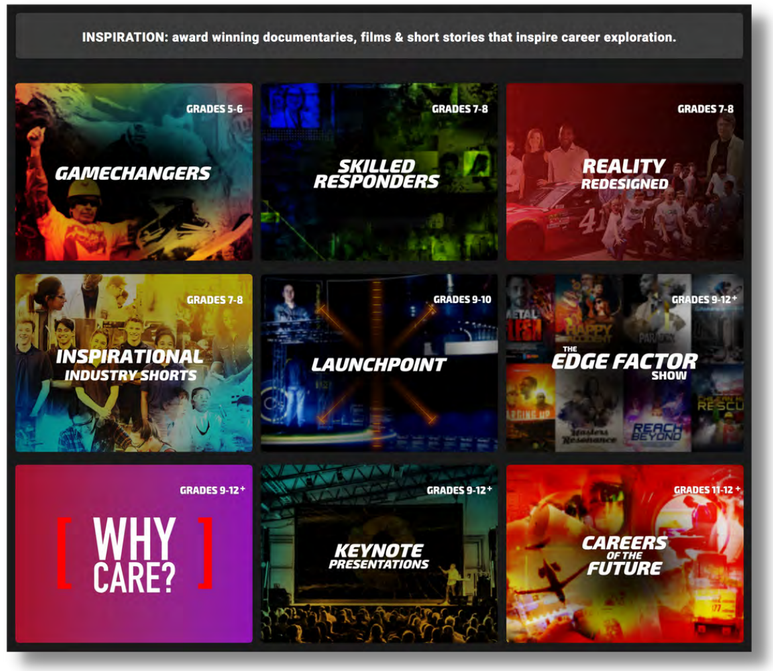
CONNECTION
COMPANIES, CAREERS, SCHOOLS, TRAINING PROGRAMS

Under the "Connection" phase, K-12 and Postsecondary Schools, Companies, and Service Providers **unite to showcase local opportunities,** as they add Profiles with info on what they do, their website, images, optional video, logo, and more.

INSPIRATION

CINEMATIC STORIES INSPIRE CAREER EXPLORATION

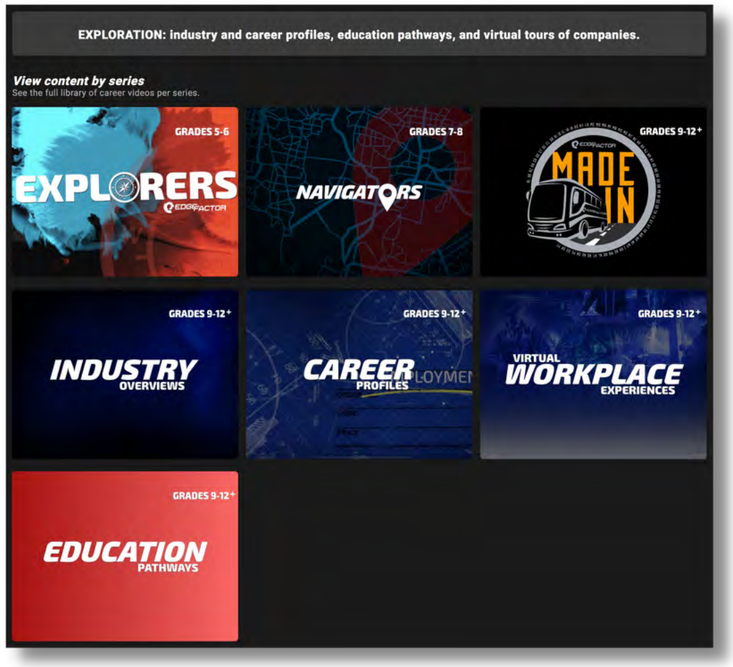
Inspiration is all about helping students and job-seekers get EXCITED about their future, using the power of storytelling to open their eyes! Edge Factor creates award winning films, short stories and documentaries that showcase teams of people working together to impact the world.



EXPLORATION

EXPLORE DIVERSE CAREER PATHWAYS

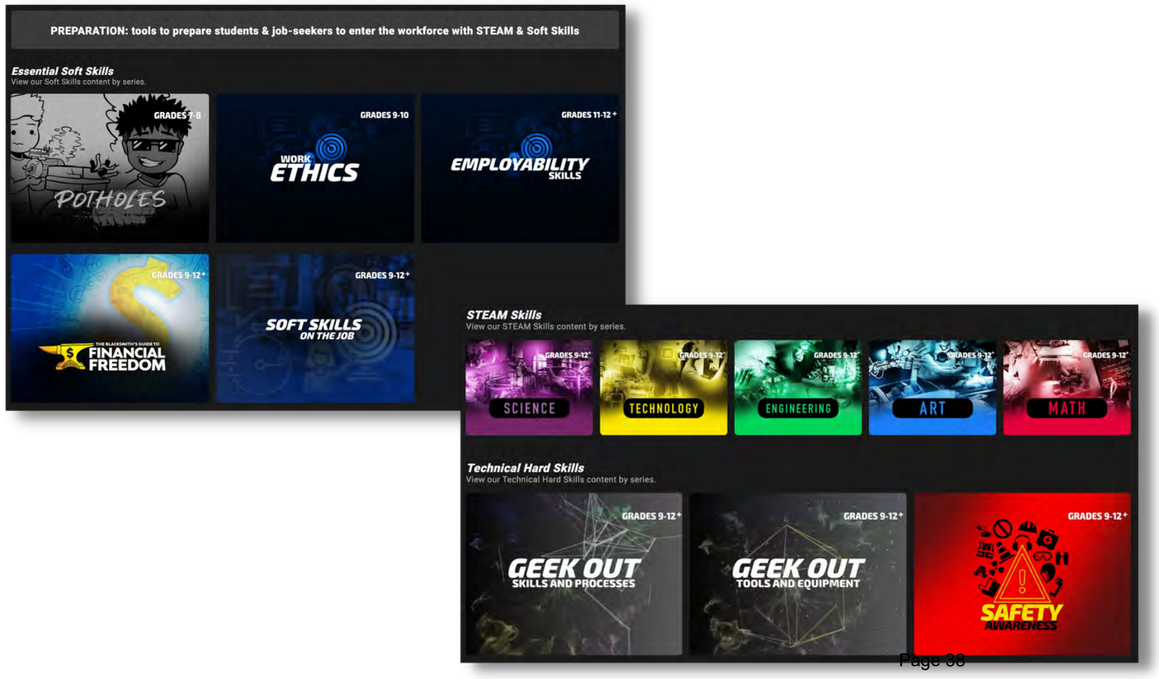
Students and job-seekers dig deeper to explore what it's like to work in diverse industries and careers. The Exploration content we create includes Industry Overviews, 400+ Career Profile videos, 200+ Virtual Workplace Experiences featuring walk-and-talk tours in companies, and much more.



PREPARATION

STEAM, SOFT SKILLS, CTE/SHSM

The purpose of Edge Factor's Preparation content is to help students and job-seekers *prepare* for future success - at work and in life! We have videos, lesson plans, and assignable activities that teach students about Soft Skills, Financial Literacy, and how Science, Technology, Engineering, Art, and Math (STEAM) come alive in real world careers.

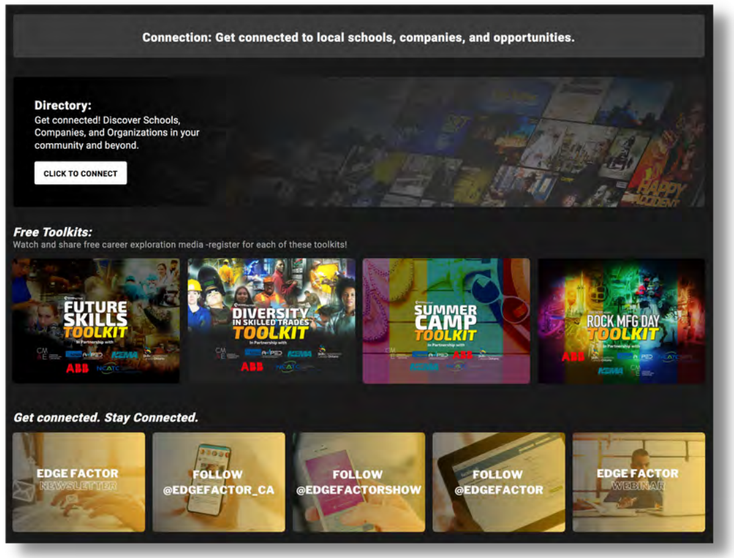


CONNECTION

COMPANIES, CAREERS, SCHOOLS, TRAINING PROGRAMS

Connection is all about helping students and job-seekers *connect* to local training and career opportunities. Edge Factor's Directory is a great tool for students and parents to browse local Schools, Training Programs, Companies, and Careers: edgefactor.com/Directory

We provide 4 free toolkits every year to help build local relationships and share free media too!



Premium Edge Factor Memberships for K-12 Schools include:

- **Equitable access** to thousands of Learning Objects including high impact videos, event toolkits, lesson plans, interactive activities, and a Virtual Reality app!
- You can **login to the Edge Factor platform on any wifi connected device.**

- **Diversity:** Representation matters. We care deeply about featuring stories of individuals from diverse ethnic backgrounds, and perspectives. We are dedicated to intentionally featuring diverse people and underserved community members.

- Unlimited number of educators and students from the school can login.
- Unlimited number of Classes and Assignments.
  - Ability to play and/or assign videos and quizzes for students to complete.

- **School and Program Profiles** provide tools to raise awareness of your programs!

- Edge Factor media and tools are aligned to **provincial curriculums** to make it as easy as possible for educators to understand when and how to use them.

- **Real-time Analytics** help Administrators monitor users and usage.
- **Support**: Training Webinars, Help Desk, Live Chat, Phone and Email Support.
- **Communications:** Blog, Newsletters, Webinars, and Social Media updates.



2022 FREE Toolkits

In 2022, Edge Factor is providing free event toolkits to inspire students and job-seekers to launch career pathways! Each toolkit is available for free during specific months of the year. Each toolkit includes high impact career exploration and e-learning media from Edge Factor's library, practical "How To Guides" for hosting events, and sponsor profiles. These turnkey toolkits provide everything Associations, Companies, Schools, Families, Workforce and Community leaders need to host an engaging career event - live or virtual!

January - February 2022:



As students are choosing which programs to enrol in for the following year, Edge Factor's Future Skills toolkit will promote and celebrate technical education programs and encourage students to get involved in the skilled trades!

March - May 2022:



This toolkit is all about showcasing diverse people in diverse careers in the skilled trades. Coinciding with awareness days like March's International Women's Day and April's "Celebrate Diversity" month, this toolkit will provide a ton of content for your organization and network to celebrate real life men and women who have launched rewarding career pathways.

June - August 2022:



Summer Learning Programs and Summer Camps are in need of turnkey tools to engage students! This toolkit shows how Science, Technology, Engineering, Art, and Math all come alive in real world careers! Perfect for summer camps or family activities.

September - November 2022:



October is Manufacturing Day/ Month and Edge Factor is providing the 2022 Rock MFG DAY kit for everyone to highlight the extraordinary world of advanced manufacturing. This toolkit includes resources to promote manufacturing careers and technology and showcase how STEAM comes alive in this industry.

When EDGEFACTOR is plugged into your community...

EDUCATORS are equipped with plug-and-play e-learning and career exploration tools to share with students and families in classrooms, homes, and at events!

STUDENTS AND JOB-SEEKERS discover industries, careers, training programs, learn how STEAM (*Science*, *Technology*, *Engineering*, *Art*, *and Math*) and Soft Skills come alive in the real world, and explore local schools and companies.



COMMUNITY AND WORKFORCE LEADERS share Labor Market Information and build local relationships between families, companies, and schools.

PARENTS have tools to help their kids explore their interests and become informed of modern opportunities.

COMPANIES are paired with recruitment tools to promote who they are and the training and career opportunities they offer. Learn how: offers.edgefactor.com/companies

Connect with us!

We'd love to provide a live Edge Factor demo, receive your feedback, answer questions, and explore opportunities to partner together. Feel free to reach out anytime. Thank you!

Larissa Hofman, Vice President - Edge Factor

E: LHofman@edgefactor.com | Cell: (905) 466-5330

Cabarrus County Schools
Engaging minds. Shaping futures.

4401 Old Airport Road
PO Box 388
Concord NC 28026-0388

704-260-5611
704-262-6175 fax

April 13, 2022

Barbi Jones, Executive Director
Cabarrus Regional Chamber of Commerce
57 Union Street, South
Concord, N.C. 28025

Dear Barbi,

In Cabarrus County Schools, we appreciate the years of support shown to our students and staff by the Cabarrus Regional Chamber and the Cabarrus County Commissioners. We appreciate the partnership we have with both organizations. We also are very excited to hear about the opportunity to use Edge Factor as an instructional tool for our students. Please consider this letter as our support for the purchase of Edge Factor through the Chamber's request for funding.

Part of the Cabarrus County Schools Strategic Plan includes directives to help all students find their career path. The Chamber's plan to provide Edge Factor is aligned with that strategic plan, which focuses on developing well-educated, productive citizens for Cabarrus County.

As an effort to incorporate the use of Edge Factor into our instructional culture, our Academic Services team is already working to develop training for teachers. The professional development plan includes helping teachers target specific objectives in their curriculum where Edge Factor can be used. With there being so many options for how to use Edge Factor, our goal is to first share the product with teachers, who then would plan, as a team, where Edge Factor can be included in daily lessons.

Again, we appreciate your support for the students in Cabarrus County Schools. We look forward to continued conversations about Edge Factor.

Stay well,

John J. Kopicki

Dr. John J. Kopicki
Superintendent
Cabarrus County Schools

Kannapolis City Schools
100 Denver Street
Kannapolis, NC 28083

704-938-1131 **FAX: 704-933-6370**

http:/www.kannapolis.k12.nc.us

Kevin Garay
Superintendent
kevin.garay@kcs.k12.nc.us

April 13, 2022

Mrs. Barbi Jones
Executive Director
The Chamber, Leading Business in Cabarrus

Barbi,

Please accept this letter as a conveyance of enthusiastic support for The Chamber's pursuit of Cabarrus County Commissioner funding for Edge Factor. In Kannapolis City Schools (KCS), we are confident that Edge Factor will positively impact all stakeholders in our school district. Moreover, we fully understand the greater potential impact, beyond KCS, for Cabarrus County. This certainly includes Cabarrus County Schools, Rowan-Cabarrus Community College, The Chamber, and essentially, all institutions focused on preparing students (both traditional and non-traditional) for the workforce in Cabarrus County. Further, this also includes all businesses who will benefit from the accentuation of workforce preparation that Edge Factor provides.

In KCS, Edge Factor will serve a critical role in the inspiration, exploration, preparation and connection for our students as they are afforded an opportunity to engage with the platform. Students will have access to tools that allow them to become more motivated about a particular career field, and to explore the specifics of an industry, career or training program. Further, and perhaps most importantly, students will be able to better chart their path of preparation. This benefit is more than selecting appropriate middle school or high school courses. It is more than focusing on a potential college program of interest. It is about gaining transferable technical and soft skills that prepare students for a variety of options as high school students (e.g., internships) and certainly as they enter the workforce. Additionally, Edge Factor permits students to connect with companies, careers, schools and training programs well before their last years of high school; and, the emphasis is on local companies, careers, schools and training programs. Tangible, practical connections to people, programs and industries is an enormous asset for our stakeholders and our business community. Edge Factor not only provides a strong foundation for this, it will give Cabarrus County a distinct advantage in keeping our inspired, well-researched, and well-prepared students connected to our business community.

We are fully committed to continuing our support for multiple measures of student success in KCS. This goal is a cornerstone of our district and much of this work is accomplished through our focus on career exploration, preparation and connection. Edge Factor will make a difference in all aspects of this work for KCS and all of Cabarrus County. We fully support The Chamber's goal in this endeavor and greatly appreciate the opportunity to collaborator in this effort.

Sincerely,

Kevin Garay

Rowan-Cabarrus COMMUNITY COLLEGE

April 13, 2022

Steve Morris, Chair
57 Union Street South
Concord, NC 28025

Dear Cabarrus County Board of Commissioners:

I am writing in support of the College's partnership with the Cabarrus County Chamber of Commerce (The Chamber) to provide, Edge Factor, a digital platform to help address educational attainment, career development, and workforce development needs in our county. The College's student success leaders and career/academic advisors have vetted the Edge Factor platform and find it to be a tool that will allow for an orchestrated connection between local businesses, school systems, the community college, and adult learners.

Research shows that by 2030, 70% of jobs will require more than a high school diploma. Edge Factor will link our community to true career pathways, many of which can be attained through the postsecondary credentials or degrees offered by Rowan-Cabarrus Community College. Leveraging Edge Factor's ability to allow for the school system and adult learner access, we commit to creating profile pages to showcase the College's website, academic program videos, internships, and college readiness programs for high school students, their parents, and interested adult learners.

I firmly believe that education is the best investment anyone can make. Rowan-Cabarrus, the local school systems, and The Chamber need your support to build a better tomorrow for our students and community. This partnership is proof that we can strengthen the region by providing high-tech, highly collaborative and flexible ways to prepare our students for sustainable careers. Encouraging students to learn and aspire to work and live locally is important to us. Alongside our outstanding career and technical education partners in Cabarrus County Schools and Kannapolis City Schools, we appreciate The Chamber's mission to connect, convene and champion this important effort.

Sincerely,

Carol S. Spalding

Carol S. Spalding, Ed.D.
President, Rowan-Cabarrus Community College

CENTRALINA
Workforce Development
Board

9815 David Taylor Drive, Suite 100
Charlotte, North Carolina 28262
(704) 348-2717 Fax: (704) 899-5624
E-Mail: dhollars@centralina.org
www.centralinaworks.com

May 19, 2022

Mr. Steve Morris, Chair
Cabarrus County Commission
57 Union Street South
Concord, NC 28025

RE: Support for EDGE Factor in Cabarrus County

Dear Mr. Morris:

The Centralina Workforce Development Board (WDB) fully supports the Cabarrus County Chamber of Commerce (The Chamber) partnership effort to provide EDGE Factor, a digital platform to address educational attainment, career development, and workforce development needs in Cabarrus County. The Centralina WDB has successfully worked with local partners in Lincoln and Iredell counties to ensure the implementation of the EDGE Factor and we have seen the positive results for students and career seekers in those counties. EDGE Factor is a vital tool in connecting career seekers, local businesses, workforce development, education, and economic development systems.

Since the majority of jobs in the near future will require more than a high school diploma, EDGE Factor will link Cabarrus County to true career pathways, many of which can be obtained through Rowan-Cabarrus Community College and with funding through Centralina WDB services delivered at our NCWorks Career Center in Concord. Having the EDGE Factor available for both student and adult access, the Centralina WDB can commit to creating profile pages to showcase the Centralina WDB website, have a separate heading page on the NC Centralina App for EDGE Factor Cabarrus, and links to all Centralina WDB and NCWorks/NextGen services.

The Centralina WDB believes that your support for the EDGE Factor and our partnership with The Chamber will allow us to bring the knowledge of great careers, training, and employers in Cabarrus County to more students and adult career seekers. Along with our great education partners in the county, we support The Chamber's mission to connect, convene, and champion this important effort. If you have any questions, please contact me directly.

Sincerely,

David L. Hollars

David Hollars, Executive Director
Centralina Workforce Development Board

NC works

CABARRUS COUNTY

BOARD OF COMMISSIONERS
WORK SESSION

June 6, 2022
5:30 PM

AGENDA CATEGORY:
Discussion Items for Action

SUBJECT:
Cabarrus County Tourism Authority - FY2023 Budget Approval

BRIEF SUMMARY:
The Cabarrus County Tourism Authority's FY2023 proposed annual operating budget is $5,766,060. The Tourism Authority is funded by Occupancy Tax and is not supported by the County's General Fund. The Tourism Authority's Board of Directors approved the FY2023 proposed budget on April 27th, 2022.

REQUESTED ACTION:
Motion to approve the Cabarrus County Tourism Authority's FY2023 Budget of $5,766,060.

EXPECTED LENGTH OF PRESENTATION:
10 Minutes

SUBMITTED BY:
John Mills, CVB Executive Vice President

BUDGET AMENDMENT REQUIRED:
No

COUNTY MANAGER'S RECOMMENDATIONS/COMMENTS:

ATTACHMENTS:

- CCTA FY2023 Budget Statement
- CCTA FY2023 Budget

FY2023 Budget Message

April 27, 2022

Cabarrus County CVB Board of Directors and Cabarrus County Board of Commissioners:

While the COVID pandemic has had an unprecedented impact on the tourism and hospitality industry, there are already signs pointing to a quicker than anticipated recovery. In the second half of 2021 Occupancy Tax revenues exceeded Occupancy Tax revenues from the same period in 2019, before the pandemic began. The recovery is being driven primarily by leisure travelers. This includes travelers who are in town visiting friends and family, experiencing Great Wolf Lodge, or attending an event. Business travel and group travel have yet to return to pre pandemic levels. Groups that were hopeful to start having meetings were delayed as COVID cases began increasing in January 2022. We have worked with our tourism partners to try and reschedule those events and we are hopeful to welcome them to Cabarrus County very soon. The addition of the new turf fields has created greater opportunities for more youth sporting events. The out-of-town groups that utilized the new fields in 2021 are already planning to return in 2022. During the budget process decisions were made utilizing the Bureau's Mission and Vision Statements.

MISSION

Drive visitation to Cabarrus County
to generate the maximum impact through hotel stays
and visitor spending.

VISION

To continually grow and sustain
a dynamic travel industry to become the
number one economic force for Cabarrus County

The budget for FY2023 of $5,766,060 represents an increase of 45% over FY2022. Lodging revenues are expected to increase by $1,779,997 compared to FY2022. The Bureau is still not operating at pre pandemic staffing levels. A few of the lost positions will be added back in over the next year to handle increased visitor demand. Also, the organization is going through a rebranding strategy and plans to launch new advertising campaigns in the summer of 2022. A new research partner, Zartico, has come online and the data their platform provides will allow the Bureau to have never before seen insights into the visitor economy of Cabarrus County.

I would like to thank the individuals who contributed to the preparation of the FY2023 budget and offer them my sincere gratitude.

Respectfully submitted,

Donna Carpenter
President/CEO - Cabarrus County Tourism Authority

Revenues:

The CCTA receives 99% of its revenue through a 6% Occupancy Tax levied on guests who stay in Cabarrus County Hotels. This tax rate is not expected to change in FY2023.

Occupancy Tax:

Actual FY2021	3,748,424
Budget FY2022	3,950,003
Budget FY2023	5,730,000

Occupancy Taxes are budgeted to increase by 45% in FY2023. Occupancy Tax revenues are based on the following assumptions:

- There is one new hotel scheduled to open in May of 2022. The property is a WoodSprings Suites and will cater primarily to extended stay guests.

- Occupancy Tax forecasting is based on factors including Smith Travel Research monthly forecasts which predict visitor travel within the Cabarrus County market. Additional information is obtained through information exchange with the lodging properties within Cabarrus County as well as an analysis of any citywide/countywide events.

- Actual occupancy performance for the second half of 2021 was used as a barometer to estimate occupancy tax revenue recovery from the pandemic.

- Leisure travel has driven the recovery in the short term since the beginning of the pandemic. Group and business travel are still lagging behind pre pandemic levels. We are hopeful that cancelled meetings and conventions will be able to reschedule their events in FY2023. Average Daily Rates on lodging properties have rebounded faster than economists were predicting.

- Occupancy Tax revenue received in July 2022 from June 2022 occupancy will be accrued back into June 2022 for FY2022 accrual statements. For this purpose, there will be zero revenue recognized in July 2022 while there will be 2 months recognized in June 2023.

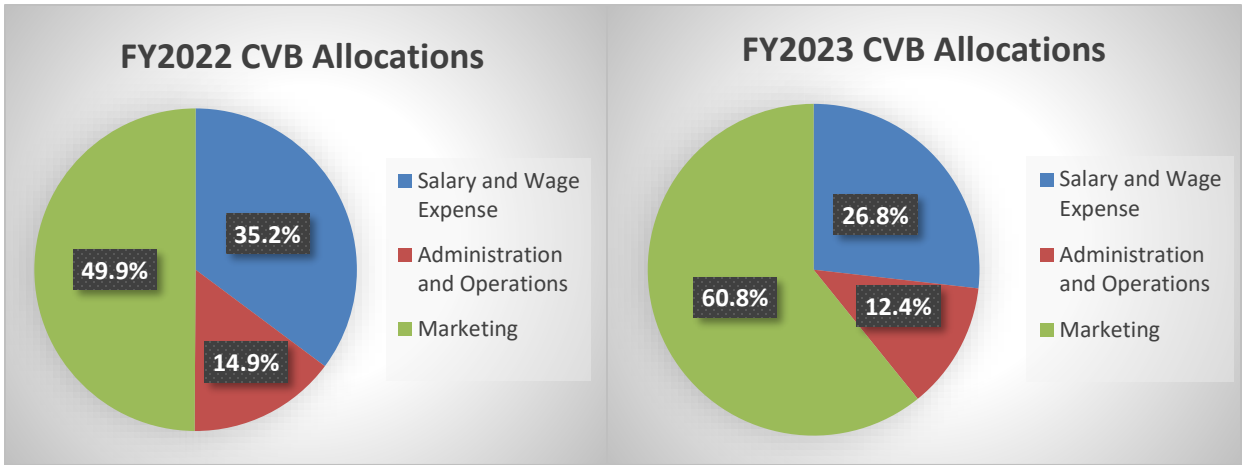
Other Revenue:

- Other revenue of $36,060 includes cooperative advertising opportunities, interest on cash deposits, Celebrate Cabarrus, and retail sales in the visitor center.

- The CCTA currently maintains the County approved reserve rate of 17% in its Fund Balance.

Expenditures:

The CVB operates on a zero-based budget; therefore, all revenues received in FY2023 are budgeted to be expended. Expenditures for the CVB are divided into three categories. They are Salary and Wage Expense, Administration and Operations, and Sales and Marketing Activities. The following charts illustrate how expenditures are budgeted in FY2023 compared to FY2022.



Salary and Wage Expense:

Actual FY2021	1,112,632
Budget FY2022	1,338,558
Budget FY2023	1,545,395

- The Bureau currently operates with 14 employees at 13 Full Time Equivalents (FTE's). There were 21 employees prior to the pandemic.
- The Bureau will be adding back positions that were lost during the pandemic. These positions include 1 full time and 1 part time Visitor Services team members and 1 full time Sales Manager.
- Salary and hourly labor costs include 3% merit increases based on performance.
- Medical insurance premiums are forecasted to increase by 10% in FY2023. Dental increases are forecasted at 5% while Life Insurance and Long-Term Disability are forecasted to increase by 15%. Mandatory Local Government Retirement funding by the CVB in FY2022 was 12.02% and is forecasted to be 13.58% in FY2023.

Administration and Operations:

Actual FY2021	543,125
Budget FY2022	582,719
Budget FY2023	714,253

- The Administration fee charged by the County for collecting the Occupancy tax will be 5%, the maximum amount that is legislated by the state. The Bureau is currently in a 10-year agreement with the County for another 5% for sports facility upgrades that will be recognized in the Sales and Marketing section of this budget.

- The CCTA office lease at 10099 Weddington Rd will remain unchanged in FY2023.

- New Lease accounting regulations were instituted according to GASB in FY2022 where leases are structured as use assets. Lease Payments are recognized in the budget as Debt Service – Lease and Principal.

Sales and Marketing:

Actual FY2021	986,114
Budget FY2022	2,052,286
Budget FY2023	3,506,412

Allocated Marketing Expenses:

- For FY2023 the CCTA budget has pre-allocated expenditures of $507,297 or 14.5% of the total Sales and Marketing expenses. These allocations include:
    1. Charlotte Motor Speedway agreement - $220,797
    2. Cabarrus County Sports Facility agreement - $286,500

Market Groups

The CCTA Marketing Activities are divided into three groups in addition to Media Relations, Web, Partnership, and Visitor Services.

1. Group – Includes Corporate, Sports, Associations, SMERF (Social, Military, Education, Religious, Fraternal) Group Tour, Group Destination Services
2. Leisure – Markets to the transient leisure traveler
3. Bureau – Includes non-specific market items such as Marketing Agreements, Destination Management, Research, and Organizational Dues.

Sales and Services Budget FY2022 $300,043 / FY2023 $500,000

Advertising

FY2022 – $26,650 FY2023 –$41,000

The FY23 advertising spend will be spent in the Sports, State Associations & Religious markets. All advertising dollars will be spent on proven industry web sites and on advertising in industry print publications. All advertising will be targeted to a rights holder and placed in specific time frames to increase destination exposure.

Business Development

FY2022 – $31,250 FY2023 - $34,350

The majority of this spend is on a yearly membership for Cvent. Cvent is a platform that 3rd party meeting planners (rights holders) can search to find destinations and hotels to host conventions/events. Dollars left over for research, product development and competition analyzation.

Collateral Production:

FY2022 - $5,250 FY2023 - $7,500

Collateral production expenses: ad creation & profile sheets to be given away at tradeshows.

Dues & Subscriptions:

FY2022 - $13,500 FY2023 - $15,650

Organization memberships include Association Executives of North Carolina and Meeting Planners International. Membership provides discounts to group sponsored tradeshows.

Familiarization/Site Inspections:

FY2022 - $28,500 FY2023 – $59,650

The group sales team will host familiarization tours and site inspections in FY2023 as the meetings industry is starting to see some recovery. These tours allow for continued relationship building while showcasing the destination.

Agreements/Bids:

FY2022 - $99,200 FY2023 - $184,200

Agreement expense is for sponsorships of confirmed groups in FY2023. There are groups that had to cancel in FY2021 & FY22 due to the pandemic. As groups are rebooking in FY2023 these dollars will help secure business for the destination. There is also a budget in place to handle in the year for the year booked opportunities.

Tradeshows:

FY2022 - $81,699 FY2022 - $93,450

Tradeshow expense includes registration and travel to regional and national industry tradeshows that offer opportunities to interact with potential clients. Tradeshows will be focused on the following market segments: Sports & State Association and 3rd Party Meeting Planners.

Destination Services:

FY2022 - $18,944 FY2023- $64,200

The Destination Services budget helps provides services to meeting planners and their attendees who book conventions and events in Cabarrus County. Services includes welcome amenities, recommendations for off property facilities, attractions, transportation and offering itinerary suggestions. Other services include housing system, VIP welcome gifts, attendance-boosting materials, and destination guides.

Leisure Marketing Budget FY2022 $891,095 / FY2023 $1,646,641

For FY2023, we will leverage insights gathered through data and analytics to help us optimize our targeting and audience segmentation as we roll out our new brand. Increasing overall spend comparable to 2019 numbers by $915,000 will allow us to leverage our asset library we have been building during FY2022. This will allow us to showcase and tell our destination story in media we have had to suspend over the last two years. The integrated plan will include traditional and digital advertising, video, public relations, social media, promotions, research, and other marketing activation strategies.

The strategy behind this approach is designed to increase awareness of the new Cabarrus County and drive traffic to visitcabarrus.com, which will help build the county's perception as an ideal place for families, motorsports enthusiasts and general travelers to visit, thereby increasing occupancy and spend within the county.

Agency Budget: FY2022 $697,411 / FY2023 $1,278,000

FY2022	FY2023
Agency Fee - $150,000	Agency Fee - $168,000
Paid Media - $547,411	Paid Media - $1,110,000
Total: $697,411	Total: $1,278,000

The agency will complement and collaborate with the in-house staff to optimize budgeted paid-media and expand where necessary. Approximately 77% of the leisure budget will be allocated to execute an integrated, awareness-generating marketing and communications plan including paid advertising, digital media, SEO, messaging and creative development, and public/media relations through ideation, implementation and continued monitoring and analysis.

Measurable Promotions & Activation:

As we move visitors through the travel funnel from awareness to consideration, we will design and execute promotions and in our target markets to inspire travel to Cabarrus County. We will host pop-up events and give away free tickets to different attractions in Cabarrus County, as well as activate online contests rewarding those who have planned and booked travel to Cabarrus County. These efforts will help us measure intent and visitation.

Media/Public Relations Budget: FY2022 $37,396 / FY2023 $105,071

Adjustments have been made to increase the spend by 181%, which will cover PR Agency fees in support of the annual PR communications/ marketing plan including but not limited to annual PR plan development, media pitching, and reporting. We will continue to focus and build upon the opportunities established in FY2022 on a local, regional, national, and international level. Activities, processes, and tools from the year prior that aid in reaching travel writers and engaging the local community in overall tourism awareness and its impact on our area will remain.

Public relations efforts will supplement paid media targeting in drive markets but will extend into national markets to maximize impressions and exposure during throughout the year. Pitching cadence will be frequent and strategically focused on top travel trends and events. We will continue to target media and markets for on-site television inclusion, similar to the programing we have had success with featuring Cabarrus County on local TV morning programming in FY2022.

Web Technology Budget: FY2022 $65,000 / FY2023 $74,700

Leisure site:
Site performance, analytics/ reporting, SEO monitoring and overall site maintenance to support the leisure website will remain our focus. An increase of 15% will allow us to develop and implement landing pages to provide content to elevate the user experience. Based on the monthly data and research from SEO monitoring and reporting, content will be refreshed frequently to help us maintain our page rankings.

- Content Updates/landing pages
- Barberstock
- Hosting & Maintenance
- Business Website hosting, Firefold, Firebase
- Simpleview API Forms & Listings maintenance
- CRM Tool
- Domain renewals/purchases

Partnership – FY2022 $80,400 / FY2023 $146,050

The Partnership department strives to ensure our hospitality stakeholders are given opportunities to interact with each other forming alliances and gaining resources to make the visitor experience exceptional and their organization successful. This year's budget will allow our partners stay on top of trends to navigate the ever-changing hospitality industry and to benchmark with other tourism professionals.

Educational and networking events are being reworked this year with more robust speakers along with destination immersive networking events called Destination Mystery Tours replacing the Fuse events.

Celebrate Cabarrus and National Travel & Tourism Week celebrations will be our signature events. The local high school tourism academies and culinary departments will be invited to attend and participate in both events to keep them engaged in tourism and fill the local pipeline with future professionals.

Local and regional industry events are back on the radar giving support to and offering opportunities to meet, network and benchmark with area tourism professionals.

Visitor Services –FY2022 $40,420 / FY2023 $83,950

The goal of Visitor Services is to create and enhance the experience for visitors who have chosen Cabarrus County as their destination, so they stay longer, come back, and tell everyone about their great experience. This is done through the Visitor Center that the CCTA operates and offsite events.

Visitor Services will continue to engage visitors using ad specialty items as giveaways in the Visitor Center as well as during events at the tracks, parades, and other local engagement opportunities.

Local and regional industry events are back on the radar giving support to and offering opportunities to meet, network and benchmark with area tourism professionals.

With the influx of new faces in hospitality, Destination Training is more critical than ever. They will be held quarterly and will give our partners an opportunity to get their folks immersed in Cabarrus County which enables them to talk about our area from an experience standpoint.

Staff education has been added back into this year's budget and will participate in a national educational event geared towards visitor center operations.

Bureau Budget – FY2022 $637,932 / FY2023 $950,000

- Pre-allocated agreements with the Charlotte Motor Speedway and Cabarrus County Sports Fund Development totaling $507,297 are budgeted in this category.

- Additional marketing agreements to be continued in FY2023 include Concord Mills Mall, Cabarrus Economic Development Corporation, and Cabarrus Arts Council.

- The Bureau will continue its efforts to utilize research as a basis for making sales and marketing decisions. In FY2022 a new research platform called Zartico was brought online to better measure trends in the visitor economy in Cabarrus County. This includes measuring geo location data and credit card spend on items such as lodging, food, and transportation. Additional insights allow the Bureau to see how visitors move around the destination at event times and to measure Visitor/Resident ratios at various points of interest around the County.

FY2023 Operating Budget

		JUL	AUG	SEP	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	FY2023 Budget	FY2022 Budget	FY2023 Budget Difference	FY2021	FY2020	FY2019
REVENUE																			
4000	OCCUPANCY TAX	0	580,000	485,000	465,000	515,000	465,000	460,000	410,000	410,000	450,000	500,000	990,000	5,730,000	$ 3,950,003	$ 1,779,997	$ 3,748,424	$ 4,133,247	$ 5,711,875
4010	INTEREST ON INVESTMENTS	230	230	230	230	230	230	230	230	230	230	230	230	2,760	$ 2,760	$ -	$ 2,264	$ 3,490	$ 3,560
4020	ADVERTISING REVENUES	0	0	0	0	0	0	0	0	0	0	25,000	0	25,000	$ 15,000	$ 10,000		$ 2,662	$ 28,567
4030	MISC REVENUE	0	0	0	0	0	5,000	0	0	0	0	0	0	5,000	$ 2,500	$ 2,500		$ 6,346	$ 3,234
4040	FUND BALANCE APPROPRIATED	0	0	0	0	0	0	0	0	0	0	0	0	0	$ -	$ -		$ 22,861	$ 15,000
4060	ITEMS FOR RESALE	200	200	200	300	300	300	200	200	300	300	400	400	3,300	$ 3,300	$ -	$ 3,182	$ 12,487	$ 17,945
	TOTAL REVENUE	430	580,430	485,430	465,530	515,530	470,530	460,430	410,430	410,530	450,530	525,630	990,630	**5,766,060**	**$ 3,973,563**	**$ 1,792,497**	**$ 3,753,870**	**$ 4,181,093**	**$ 5,780,181**
OPERATING BUDGET:																			
SALARIES																			
5000	SALARIES	45,889	77,519	116,279	77,519	77,519	77,519	77,519	77,519	116,279	77,519	77,519	116,279	1,014,878	$ 837,552	$ 177,326	$ 718,186	$ 868,326	$ 885,295
5010	HOURLY LABOR	6,590	6,205	7,747	5,165	5,165	5,165	5,165	5,165	7,747	5,165	5,685	11,195	76,159	$ 112,061	$ (35,902)	$ 75,401	$ 196,369	$ 237,178
5020	FICA	3,227	5,260	7,690	5,126	5,126	5,126	5,126	5,126	7,690	5,126	5,260	7,845	67,728	$ 58,712	$ 9,016	$ 49,584	$ 64,710	$ 68,652
5030	MEDICARE	729	1,199	1,798	1,199	1,199	1,199	1,199	1,199	1,798	1,199	1,199	1,803	15,720	$ 13,715	$ 2,005	$ 11,656	$ 15,766	$ 16,270
5040	MEDICAL INSURANCE	12,240	12,240	12,240	12,240	13,444	13,444	13,444	13,444	13,444	13,444	13,444	13,444	156,512	$ 133,424	$ 23,088	$ 115,526	$ 178,756	$ 165,724
5050	RETIREMENT	10,843	10,843	16,264	10,843	10,843	10,843	10,843	10,843	16,264	10,843	10,843	10,843	140,958	$ 113,404	$ 27,554	$ 83,982	$ 99,637	$ 90,238
5060	WORKMENS COMP	2,600	0	200	0	0	0	0	0	0	0	0	0	2,800	$ 2,700	$ 100	$ 1,871	$ 2,496	$ 2,036
5070	DEFERRED 401K	3,992	3,992	3,992	5,988	3,992	3,992	3,992	3,992	3,992	3,992	5,992	3,992	51,900	$ 45,590	$ 6,310	$ 38,808	$ 53,848	$ 50,955
5080	PERFORMANCE INCENTIVES	0	0	0	0	0	0	0	0	0	0	0	15,000	15,000	$ 10,000	$ 5,000	$ 15,453	$ 13,061	$ 15,000
5090	UNEMPLOYMENT INSURANCE	150	100	150	150	100	100	900	700	900	300	40	150	3,740	$ 11,400	$ (7,660)	$ 2,165	$ 2,171	$ (280)
	TOTAL SALARY AND WAGES EXPENSE	86,260	117,358	166,360	118,230	117,388	117,388	118,188	117,988	168,114	117,588	119,982	180,551	**1,545,395**	**$ 1,338,558**	**$ 206,837**	**$ 1,112,632**	**$ 1,495,141**	**$ 1,531,068**
ADMINISTRATION & OPERATIONS																			
6000	ADMIN FEE	0	29,000	24,250	23,250	25,750	23,250	23,000	20,500	20,500	22,500	25,000	49,500	286,500	$ 197,500	$ 89,000	$ 187,421	$ 206,662	$ 285,594
6004	CAPITAL OUTLAY	0	0	0	0	0	0	0	0	0	0	0	0	0	$ -			$ 19,718	$ 18,357
6010	EMPLOYEE/COMMUNITY RELATIONS	200	300	300	300	300	1,200	800	300	400	300	300	300	5,000	$ 2,800	$ 2,200	$ 1,407	$ 6,522	$ 8,267
6020	INSURANCE	7,648	0	175	0	0	0	0	0	0	0	0	0	7,823	$ 6,875	$ 948	$ 6,825	$ 7,564	$ 7,406
6030	MILEAGE	50	50	50	50	50	50	50	50	50	50	50	50	600	$ 800	$ (200)	$ 29	$ 41	$ 718
6040	OFFICE EQUIPMENT/MNT	3,755	3,755	3,755	3,755	3,755	3,730	3,730	3,755	3,755	9,955	3,755	3,759	51,214	$ 69,152	$ (17,938)	$ 68,204	$ 60,719	$ 59,471
6050	OFFICE SUPPLIES	700	700	700	700	700	700	700	700	800	800	800	712	8,712	$ 7,600	$ 1,112	$ 3,690	$ 9,440	$ 12,958
6060	OTHER OPERATING COST	905	905	1,190	705	705	1,520	720	705	990	705	735	985	10,770	$ 6,830	$ 3,940	$ 4,006	$ 11,214	$ 10,169
6070	POSTAGE/SHIPPING	750	1,455	900	750	1,505	850	500	1,355	550	600	3,505	1,750	14,470	$ 13,266	$ 1,204	$ 5,164	$ 10,012	$ 19,183
6080	PROFESSIONAL SERVICES	0	5,000	8,800	2,150	0	5,175	0	200	500	0	0	500	22,325	$ 16,325	$ 6,000	$ 12,700	$ 14,225	$ 19,386
6090	RENT/BUILDING EXPENSE	2,975	2,920	4,292	3,045	2,890	4,462	3,445	3,290	4,462	2,945	2,890	6,462	44,078	$ 230,336	$ (186,258)	$ 224,710	$ 188,140	$ 172,921
6100	STAFF DEVELOPMENT	400	400	400	400	400	300	300	400	400	300	300	464	4,464	$ -	$ 4,464	$ 1,133	$ 553	$ 15,622
6110	TELEPHONE	2,600	2,000	3,200	2,000	2,000	2,420	2,000	2,000	4,920	2,000	2,000	2,420	29,560	$ 25,850	$ 3,710	$ 24,806	$ 26,726	$ 30,835
6120	VEHICLE EXPENSE	250	250	825	250	680	660	250	300	600	300	300	1,520	6,185	$ 5,385	$ 800	$ 3,030	$ 9,794	$ 12,823
6130	DEBT SERVICE - INTEREST	1,683	1,717	1,698	1,626	1,658	1,588	1,618	1,599	1,433	1,559	1,491	1,519	19,189	$ -	$ 19,189	$ -	$ -	$ -
6131	DEBT SERVICE - PRINCIPAL	16,863	16,829	16,848	16,920	16,888	16,958	16,927	16,947	17,113	16,987	17,055	17,027	203,363	$ -	$ 203,363	$ -	$ -	$ -
	TOTAL ADMIN & OPS	38,779	65,281	67,383	55,901	57,281	62,863	54,041	52,101	56,473	59,001	58,181	86,968	**714,253**	**$ 582,719**	**$ 131,534**	**$ 543,125**	**$ 571,332**	**$ 673,712**
SALES AND MARKETING ACTIVITIES																			
7000	ADVERTISING/E-MARKETING	152,350	120,330	141,975	168,180	111,500	128,155	109,000	125,330	127,850	128,830	109,000	116,941	1,539,441	$ 815,911	$ 723,530	$ 374,924	$ 998,573	$ 1,247,258
7015	BUSINESS DEVELOPMENT	30,850	4,450	6,650	80,250	1,150	5,250	9,000	22,750	6,200	3,250	1,250	11,400	182,450	$ 51,150	$ 131,300	$ 46,860	$ 62,881	$ 82,843
7020	COLLATERAL/PRODUCTION	19,000	8,800	25,250	4,000	16,300	7,750	4,000	24,800	78,500	5,500	7,800	6,000	207,700	$ 130,084	$ 77,616	$ 29,694	$ 95,747	$ 147,657
7030	CORPORATE COMMUNICATIONS	1,400	0	400	3,500	400	400	2,400	400	400	400	400	400	10,500	$ 10,400	$ 100	$ 5,039	$ 8,866	$ 10,594
7040	DUES & SUBSCRIPTIONS	32,160	1,410	250	190	7,000	3,600	4,640	45	2,900	295	0	700	53,190	$ 43,380	$ 9,810	$ 39,549	$ 46,021	$ 51,225
7060	EVENT EXPENSE	0	0	7,250	20,000	17,500	2,250	0	0	2,250	0	17,500	22,250	89,000	$ 54,705	$ 34,295	$ 18,305	$ 98,447	$ 189,371
7070	FAM TOURS/SITE INSPECTIONS	0	0	15,000	6,200	5,000	0	0	0	5,000	10,000	18,450	0	59,650	$ 28,500	$ 31,150	$ 6,724	$ 26,009	$ 67,822
7120	MEDIA RELATIONS	17,716	7,225	7,225	12,540	7,220	6,900	7,725	6,225	7,225	11,620	6,425	7,025	105,071	$ 37,396	$ 67,675	$ 7,485	$ 20,883	$ 42,400
7125	PARTNERSHIP	9,625	4,525	4,625	5,525	45,475	1,725	17,525	5,525	2,925	14,125	29,525	4,925	146,050	$ 80,400	$ 65,650	$ 6,847	$ 86,279	$ 117,423
7130	AGREEMENTS/BID FEES	65,625	65,525	67,375	61,875	70,575	36,750	57,035	54,535	54,435	55,535	90,435	91,800	771,500	$ 576,972	$ 194,528	$ 377,994	$ 676,457	$ 992,719
7140	TRADE SHOWS/CONFERENCES	26,550	14,550	7,425	8,300	11,200	4,400	6,200	8,150	6,000	8,700	5,785	11,750	119,010	$ 99,024	$ 19,986	$ 8,875	$ 118,282	$ 169,369
7150	WEB TECHNOLOGY	5,178	1,738	8,589	1,738	11,138	8,589	2,338	14,738	8,589	1,738	1,738	8,589	74,700	$ 65,000	$ 9,700	$ 44,117	$ 49,008	$ 59,991
7160	DESTINATION SERVICES	1,995	31,020	18,570	10,945	13,170	9,080	8,045	6,370	15,020	14,045	3,120	16,770	148,150	$ 59,364	$ 88,786	$ 19,701	$ 103,530	$ 162,810
	TOTAL MARKETING	362,449	259,573	310,584	383,243	317,628	214,849	227,908	268,868	317,294	254,038	291,428	298,550	**3,506,412**	**$ 2,052,286**	**$ 1,454,126**	**$ 986,114**	**$ 2,390,983**	**$ 3,341,481**
	GRAND TOTAL EXPENSES	487,488	442,212	544,327	557,374	492,297	395,100	400,137	438,957	541,881	430,627	469,591	566,069	**5,766,060**	**$ 3,973,563**	**$ 1,792,497**	**$ 2,641,871**	**$ 4,457,456**	**$ 5,546,261**
	REVENUES OVER EXPENDITURES	-487,058	138,218	-58,897	-91,844	23,233	75,430	60,293	-28,527	-131,351	19,903	56,039	424,561	**0**	**$ -**	**$ (0)**	**$ 1,111,999**	**$ (276,363)**	**$ 233,919**

CABARRUS COUNTY

BOARD OF COMMISSIONERS
WORK SESSION

June 6, 2022
5:30 PM

AGENDA CATEGORY:
Discussion Items for Action

SUBJECT:
BOC - Appointments to Boards and Committees

BRIEF SUMMARY:
The following appointment to Boards and Committees are recommended for June:

Appointments - Board of Equalization and Review
Audy Dover and Bernard Felder currently serve as regular members and William Ferriss currently serves as an alternate member of the Cabarrus County Board of Equalization and Review. Each have terms expiring June 30, 2022. Each have expressed their desire to remain on the Board. Mr. Dover has served on the Board since his initial term in 2005, so an exception to the "length of service" provision of the appointment policy will be needed for his approval.

Representative recommendations are Audy Dover, Bernard Felder, and William Ferriss.

Appointments - Centralina Workforce Development Board
The terms on the Centralina Workforce Development Board for members Tracie Hampton and Milton Chicas, Private Sector representatives, end June 30, 2022. Both are recommended to be appointed to serve another term. Ms. Hampton resides in Mecklenburg County and Mr. Chicas resides in Gaston County. An exception to the residency provision of the Appointment Policy will be needed for them.

Representative recommendations are Tracie Hampton and Milton Chicas.

Appointments - Mount Pleasant Planning Board and Board of Adjustment (ETJ)
The terms of Mount Pleasant Planning Board and Board of Adjustment (ETJ) members Bridget Fowler and Whit Moose, Jr. ends June 30th. The Town Board met and recommends

both be reappointed to serve another term. Mr. Moose has served on this Board since 2004. An exception to the length of service provision of the Appointment Policy will be needed for him.

Representative recommendations are Bridget Fowler and Whit Moose, Jr.

Appointments - Public Health Authority of Cabarrus County

The terms for the following members on the Public Health Authority end June 30, 2022: Steve Morris (Board of Commissioners), Asha Rodriquez (Atrium Health-Cabarrus), Daryle Adams (Kannapolis City Schools), and Dr. Kimberly Dehler (Dentist). All are recommended for reappointment to serve another term. Dr. Dehler resides in Mecklenburg County. An exception to the residency provision of the Appointment Policy will be needed for her.

Representative recommendations are Steve Morris, Asha Rodriguez, Daryle Adams, and Dr. Kimberly Dehler.

Appointments - Transportation Advisory Board

Transportation Advisory Board (TAB) members Judy Coble (LIFE Center), and Jon Bradley (County Safety Manager) have terms ending June 30, 2022. Both are willing to serve another term. Ms. Coble has served on the TAB since 2013 and also resides in Rowan County. An exception to the length of service and residency provisions of the Appointment Policy will be needed for her.

Representative recommendations are Jon Bradley and Judy Coble.

Appointments and Removals - Juvenile Crime Prevention Council

The terms for the following Juvenile Crime Prevention Council (JCPC) members end June 30, 2022: Jamica La Franque (At-large), Beth Street (District Attorney/Designee), Terry Wise (Substance Abuse Professional), and Michelle Wilson (At-large). At the JCPC's May meeting, the Council unanimously voted to recommend all four to be reappointed to serve another term. Michelle Wilson has served on the JCPC since 2009. An exception to the length of service provision of the Appointment Policy will be needed for her.

Additionally, the Council voted to accept the resignation of JCPC member Perry Gabriel (Active Living and Parks), who is retiring next month.

Representative recommendations are Jamica La Franque, Beth Street, Terry Wise, and Michelle Wilson.

Appointments and Removals - Tourism Authority of Cabarrus County

The Cabarrus County Tourism Authority has 4 seats that need to be appointed for the term commencing July 1, 2022 and ending on June 30, 2025. The nominating group and their nominees are as follows:

- Cabarrus County - Seat # 7 Alan Benson*^
- Cabarrus County Tourism Authority - Seat #8 Angela Brown
- Cabarrus Regional Chamber of Commerce - Seat # 9 Paige Grochoske
- Cabarrus County Tourism Authority - Seat # 12 Jay White*

*Reappointment
^An exception to the residency provision of the Appointment Policy will be needed.

Representative recommendations are Alan Benson, Angela Brown, Paige Grochoske, and Jay White.

Appointments (Removals) - Adult Care Home Community Advisory Committee
Adult Care Home Community Advisory Committee member Ed Burns' term ended May 31, 2022. He is not interested in serving another term. Mr. Burns has served on this committee since 2009. It is requested to remove his name from the roster.

Richard Bovard has resigned from his position on the committee. It is also requested to remove his name from the roster.

Appointments (Removals) - Cabarrus County Youth Commission
The Cabarrus County Youth Commission has several members who graduated in May of 2022. We request that their names be removed from the roster.

Tisha Abdul - Cox Mill High School
Nisha Jakkinpali - Hickory Ridge High School
Lainey Rose Lancaster - Mount Pleasant High School

Additionally, several Cabarrus County Youth Commissioner members terms have ended. We request that their names be removed from the roster.

Emma Hogle - Central Cabarrus High School
Neerali Parikh - Concord High School
Tizita Henderson - Hickory Ridge High School
Kylie Greenelsh - Mount Pleasant High School
Natellie Anderson - Early College High School

We are currently accepting new applications and look forward to interviewing in the fall.

REQUESTED ACTION:
Provide information.

EXPECTED LENGTH OF PRESENTATION:
1 Minute

SUBMITTED BY:
Lauren Linker, Clerk to the Board

BUDGET AMENDMENT REQUIRED:
No

COUNTY MANAGER'S RECOMMENDATIONS/COMMENTS:

CABARRUS COUNTY

BOARD OF COMMISSIONERS
WORK SESSION

June 6, 2022
5:30 PM

AGENDA CATEGORY:
Discussion Items for Action

SUBJECT:
Active Living and Parks - Cox Mill Easement Request from Concord Parks and Recreation

BRIEF SUMMARY:
The future Jim Ramseur Park is to be developed at 1252 Cox Mill Road in Concord, which is a 28.6-acre site directly adjacent to Cox Mill Elementary School. It was purchased by the City in 2020 to serve as the site of Concord's first Community Park in the Northwest. Parks and Recreation is working with the firm Woolpert located out of South Charlotte on design of the park.

With the majority of the park boundary being adjacent to Cox Mill Elementary School, and the existing fields at the back of the site currently operated by the Odell Athletic association, the first of these easement requests consists of an area of approximately 5.42 acres adjacent to and include the existing driveway for access to the park site, and improvements "resurfacing" of the driveway. This request is for a permanent access, maintenance and greenway easement.

Secondly, the City requests a sanitary sewer easement in order to connect to the existing sewer lift station on the school property, and to improve the station to accommodate sewer for the future park. This existing station is located behind the existing basketball courts next to the school playground.

Thirdly, the City is requesting a sidewalk easement along Cox Mill Road in order to install a public sidewalk in the future to assist with connectivity.

The three easement requests adjacent to Cox Mill Elementary School are as follows:

1. Permanent Access and Greenway Easement - 5.315 acres

2. Permanent Public Sanitary Sewer Easement - 0.164 acres
3. Permanent sidewalk easement - 0.381 acres

The Park project has entered Design Development, and Construction Documents phase, and is expected to be ready for construction by the Spring/Summer of 2023 contingent upon funding.

This was presented at the May Cabarrus County School Board Meeting and was approved.

REQUESTED ACTION:
Motion to approve the request by the City of Concord Parks and Recreation Department for easements required from Cabarrus County to assist in the development, maintenance, utility access and connectivity for the planned J.E. “Jim” Ramseur Park.

EXPECTED LENGTH OF PRESENTATION:
10 Minutes

SUBMITTED BY:
Londa Strong, Active Living and Parks Director
Jason Pauling, Concord Parks and Recreation Planner
Sheila Lowry, Concord Parks and Recreation Department Assistant Director

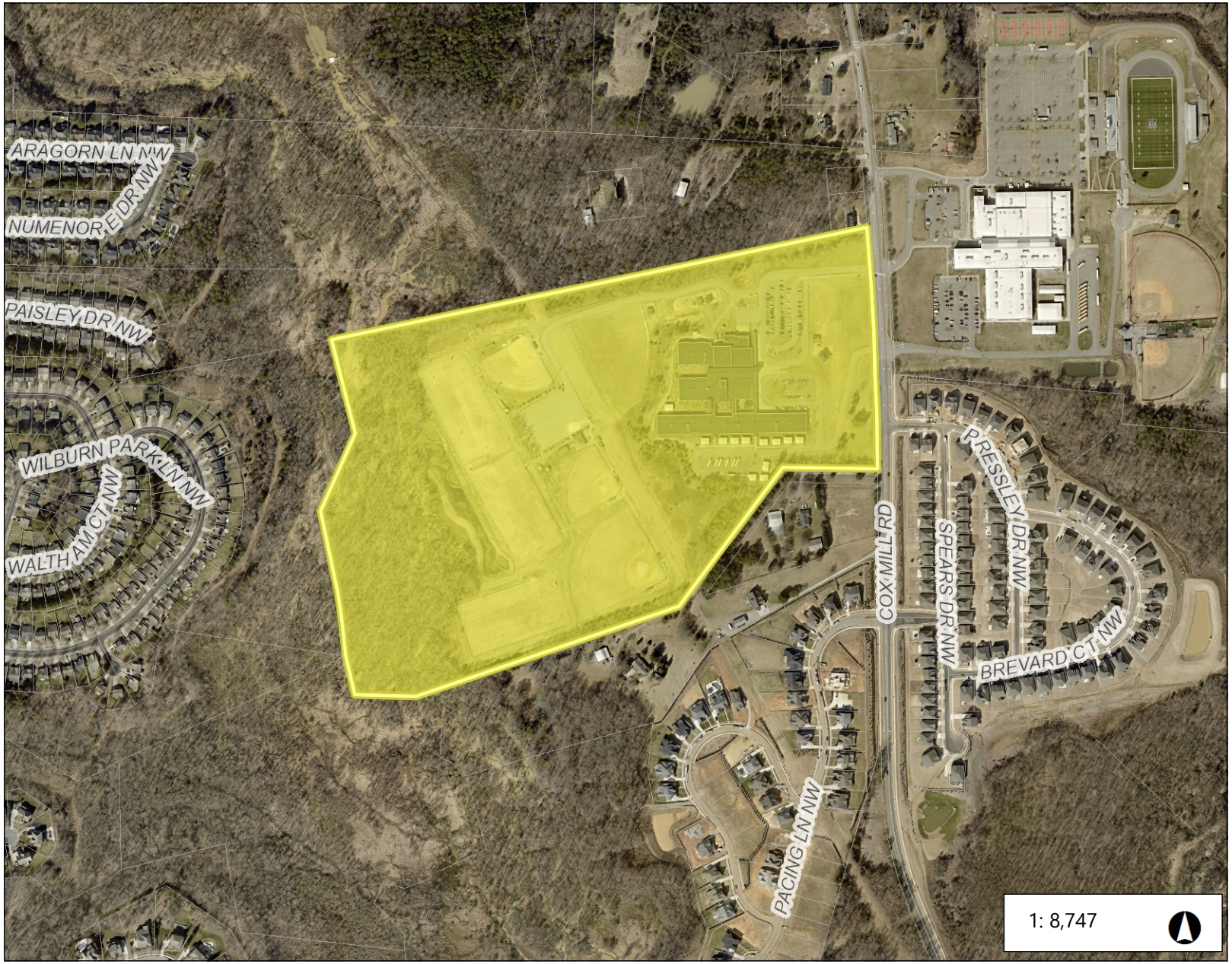
BUDGET AMENDMENT REQUIRED:
No

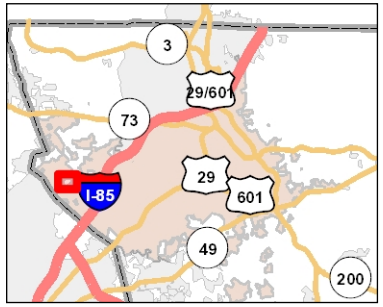
COUNTY MANAGER'S RECOMMENDATIONS/COMMENTS:

ATTACHMENTS:

- Cox Mill Easement
- NW Park

CABARRUS COUNTY - COX MILL ELEMENTARY SCHOOL





Legend

- Address Point
- Parcels
- Speedways & Race Tracks
- Airports & Airstrips
- Railroad
- Highways
  - Interstate
  - NC Highway
  - US Highway
- Roads
- Parks
- Cabarrus County

Notes

PID# 4680-32-1476

65.08 Acres

1,457.9 0 728.94 1,457.9 Feet

WGS_1984_Web_Mercator_Auxiliary_Sphere

© Latitude Geographics Group Ltd.

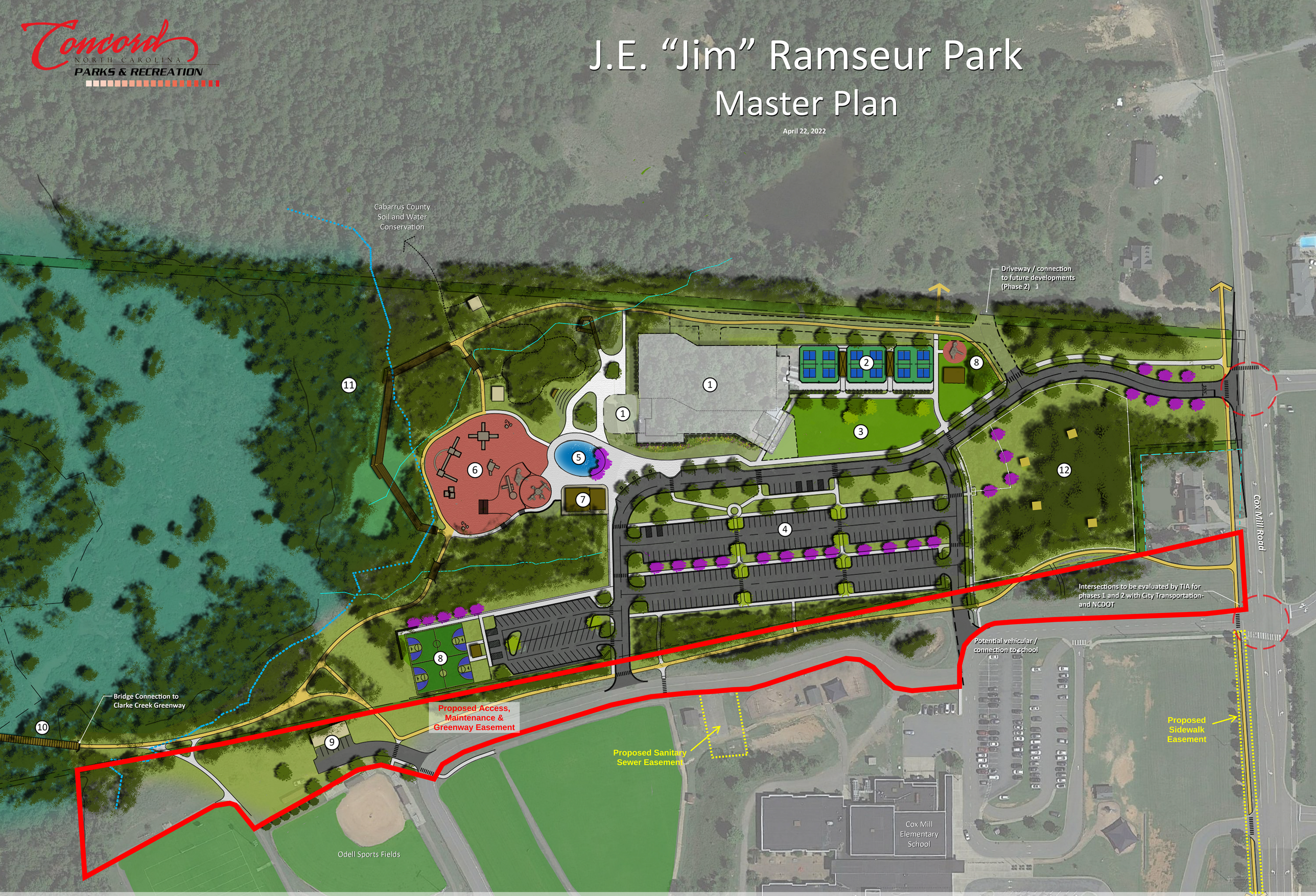
This map is a user generated static output from an Internet mapping site and is for reference only. Data layers that appear on this map may or may not be accurate, current, or otherwise reliable.

THIS MAP IS NOT TO BE USED FOR NAVIGATION

Concord
NORTH CAROLINA
PARKS & RECREATION

J.E. “Jim” Ramseur Park
Master Plan

April 22, 2022



Key

1. Future Recreation Center & Outdoor Education (Phase 2)
2. (6) Pickle Ball Courts & (2) Shade Structures
3. Open Lawn/Event Space
4. Parking (+/- 256 Spaces)
5. Splash Pad
6. Adventure / Obstacle Playground
7. Restrooms & Pavilion
8. (2) Basketball Courts w/Restroom/Shelter
9. Maintenance Area
10. Greenway Trail / Boardwalks
11. Pedestrian Bridge / Boardwalk
12. Small & Large Dog Park

- Proposed Pavilion
- Asphalt Pavement
- Concrete Walks
- Boardwalk / Bridge
- Play Area
- 10’ Multi-Use Trail
- Natural Surface Trail
- 100 Year Flood Elevation
- Wetland
- Property Lines

WOOLPERT
ARCHITECTURE | ENGINEERING | GEOSPATIAL

CABARRUS COUNTY

BOARD OF COMMISSIONERS
WORK SESSION

June 6, 2022
5:30 PM

AGENDA CATEGORY:
Discussion Items for Action

SUBJECT:
Active Living and Parks - Matching Incentive Grant Update Proposal

BRIEF SUMMARY:
The proposed changes to the current Incentive Grant Guidelines are below. The highlighted areas include the proposed changes (strikethrough)/additions (red lettering):
Under Eligibility:

B. Provide a new recreational or park facility on eligible property or renovate an existing recreational or park facility. ~~NOTE: Elementary School Park facilities are the only school parks eligible for renovations.~~

E. The project must remain open to the public, intact, maintained, and used for its intended purpose for fifteen years, unless the sponsoring organization reimburses the county for any grant funds provided or upon mutual agreement from the county.

Under Matching Incentive Grant Program:

I. The sponsoring organization will be responsible for any expenses not reflected in the grant application once the application is approved.

For Further Information Contact:
~~Byron A. Haigler, Park Program Manager~~
~~704-920-3360~~
~~Email: BAHaigler@cabarruscounty.us~~
~~Cabarrus County Active Living & Parks~~

Ian Sweeney, Project & Events Manager
Phone: 704-920-3488
Email: IJSweeney@cabarruscounty.us
Cabarrus County Active Living and Parks

Revised 6/20/22

REQUESTED ACTION:
Motion to approve the proposed updates to the current Matching Incentive Grant Guidelines

EXPECTED LENGTH OF PRESENTATION:
1 Minute

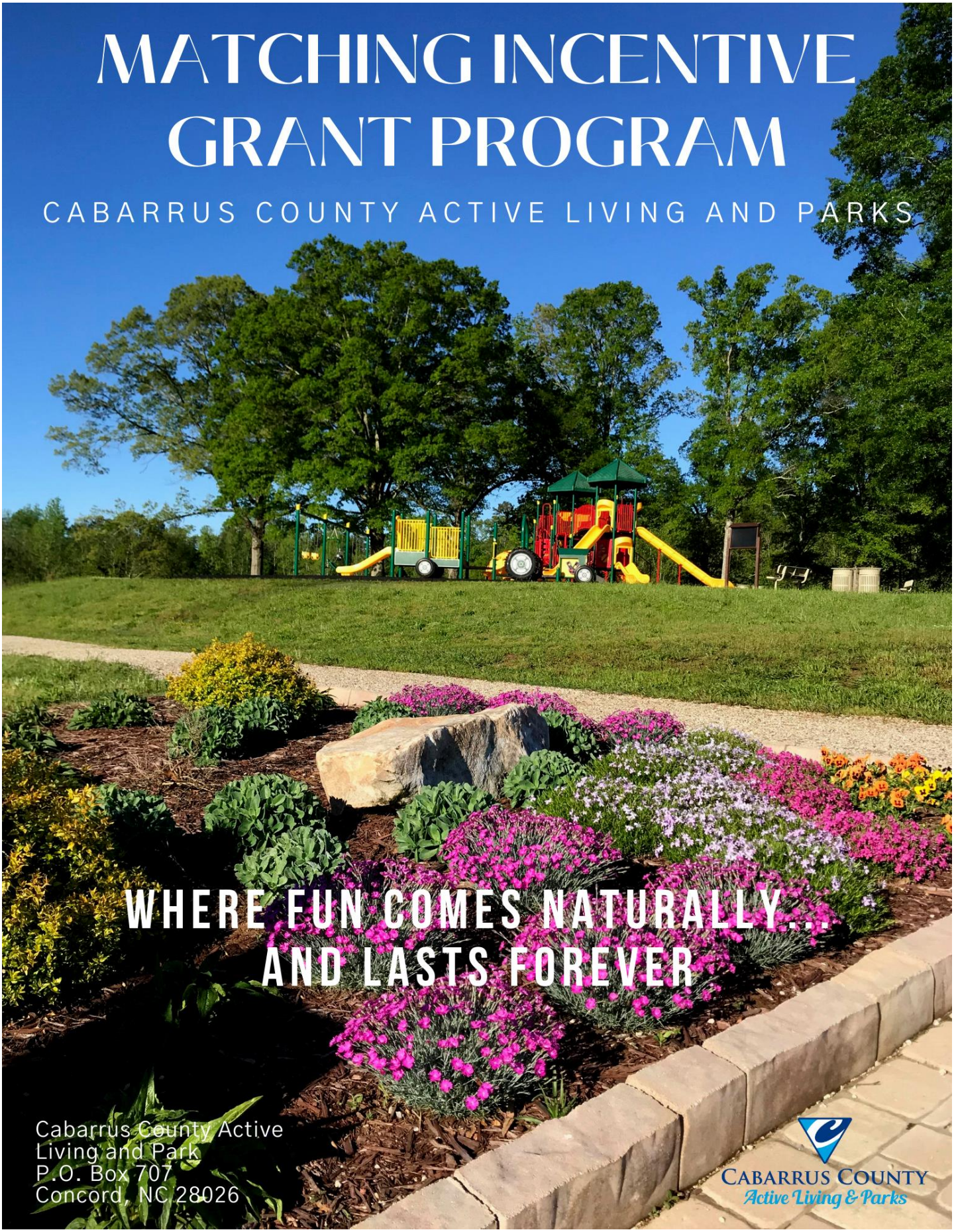
SUBMITTED BY:
Byron Haigler, Assistant Active Living and Parks Director

BUDGET AMENDMENT REQUIRED:
No

COUNTY MANAGER'S RECOMMENDATIONS/COMMENTS:

ATTACHMENTS:

- Matching Incentive Grant Proposed Guidelines


MATCHING INCENTIVE GRANT PROGRAM
CABARRUS COUNTY ACTIVE LIVING AND PARKS
WHERE FUN COMES NATURALLY...
AND LASTS FOREVER
Cabarrus County Active Living and Park
P.O. Box 707
Concord, NC 28026
CABARRUS COUNTY
Active Living & Parks

P.O. Box 707, Concord, NC 28026-0707

MATCHING INCENTIVE GRANT GUIDELINES

FUNDING AVAILABLE: Up to 50% of project cost. Actual amount of funds available for the grants will be determined with the approval of the FY Budget.

PURPOSE: To provide seed money for civic and community groups to construct, improve or acquire recreational and park facilities in Cabarrus County.

SPONSORSHIP: A project must be sponsored by non-profit civic or community group. The sponsoring organization must have elected officers, by-laws, and bank accounts. Examples of groups which can apply for funds are: PTO's, civic clubs, youth sports organizations, church organizations, garden clubs, athletic or recreation associations. The Active Living & Parks Department will determine which organizations meet the qualifications. Donations from corporations, grants, or individuals may be used to match county funds to construct or improve recreation facilities on publicly owned land in Cabarrus County. In-kind contributions are not eligible as a match.

ELIGIBILITY: To be eligible, a project must meet the following criteria:

A. The project must be located on public property owned by Cabarrus County, the boards of education, a municipality within the county, or property leased to the county for a minimum of fifteen years. Projects on school property must be consistent with the respective school system's long-range plans. Projects on park property must be consistent with the Parks Department's long-range plans.

B. Provide a new recreational or park facility on eligible property or renovate an existing recreational or park facility. ~~NOTE: Elementary School Park facilities are the only school parks eligible for renovations.~~

C. The project must be open to the public on a non-discriminatory basis upon completion, subject to

such reasonable restrictions as may be agreed upon by the parties and stipulated as such in the application.

D. The property the project is located on must remain unlocked and open to the public. (Gates may be locked at a reasonable hour agreed on by the Cabarrus County Active Living & Parks Department.)

E. The project must remain open to the public, intact, maintained, and used for its intended purpose for fifteen years, unless the sponsoring organization reimburses the county for any grant funds provided or upon mutual agreement from the county.

GENERAL INFORMATION:

A. Grant Priority Rating

Level 1 – Highest Priority

New recreation facilities/ opportunities or renovation of existing recreation facilities/ opportunities Examples include, but are not limited to: Athletic sports fields, athletic courts, playgrounds, hiking and jogging trails, physical fitness courses, improvements to existing facilities

Level 2 – Moderate Priority

New support facilities for recreation opportunities or renovation of existing recreation support facilities

Examples include, but are not limited to: Outdoor lighting, landscaping projects, picnic shelters & facilities, irrigation systems, restroom & concession facilities

Level 3 – Lowest Priority

Acquiring property for recreation facilities/ opportunities

B. Expendable maintenance equipment is eligible with certain restrictions. Examples include, but are not limited to Tractors, ATVs, UTVs, Mowers, etc. Expendable equipment must remain on the school/recreation property at all times. Applicants must provide documentation of the equipment's storage and scheduled maintenance plan. Ineligible supplies include, but are not limited to concession equipment, PA systems, bats, balls, uniforms, etc.

C. Project funds spent prior to application cannot be included toward an organization's match of county funds (exceptions: funds spent on planning, architectural, engineering, permitting and/or related services provided that all of Cabarrus County's public bidding requirements have been met).

D. Funds from governmental agencies cannot be used to match Incentive Grant funds.

E. Sponsoring organizations must have a minimum of 50% of the total project cost available at the time of application.

F. The sponsoring organization's match must be cash.

G. Provisions must be made for continuing maintenance and repair of the project once it is completed.

H. Maintenance Agreement Form (or letter of responsibility) must be signed by School Principal/Mayor/Manager, Project Coordinator, and Director of Facilities, Operation and Construction/Director of Business Operations.

LAND ACQUISITION PROJECTS

A. A "Notice of Limitation of Use" assurance must be part of the application and if approved for a Cabarrus County Matching Incentive Grant, the assurance must be made part of the project site's public property records. The "Limitation of Use" assures that the property described in the application and the dated project boundary map has been acquired and/or developed with Matching Incentive Grant monies and will in **perpetuity be used for public outdoor recreation purposes.**

Sample NOTICE OF LIMITATION OF USE Assurance Form

The (Applicant's Name) understands that **IF** the property identified on the project boundary map of this application is acquired and/or developed with financial assistance provided by Cabarrus County Active Living & Parks Department in accordance with the Matching Incentive Grant program, **THEN**, this property may not be converted to other than public outdoor recreation uses (whether by transfer, sale, or in any other

manner) without the express written approval of the Cabarrus County Active Living & Parks Department.

B. The Matching Incentive Grant applicant must pay **all** costs associated with the purchase of property (attorney fees, title search, survey, recording fees, etc.).

C. If the property is not in the name of Cabarrus County, a municipality, and/or school, the property must be leased to one of the government agencies for a minimum of fifteen years

APPLICATION AND AWARD PROCEDURES:

A. Completed applications must be submitted to the Department between the **first Monday in May through the second Friday in June.** Incomplete applications will not be considered.

B. Eligible applicants must be present at the **June (the third Thursday)** Active Living & Parks Commission Meeting to present their projects to the Commission. Each applicant will be allotted 5 minutes for presentation purposes.

The Property Committee of the Active Living & Parks Commission and the department staff will review all applications and make recommendations to the full Commission for funding.

If additional grant funds are still available after the initial grants are approved and awarded, a seconded cycle of applications will be accepted. Applications will be accepted from the **first Tuesday following Labor Day until the second Friday in October** for the second cycle. The same procedures will apply to both cycles of applications.

C. The Active Living & Parks Commission will prioritize the Incentive Grant projects that will be recommended for approval to the Board of County Commissioners. All projects, including those not recommended for funding (if any), will be presented to the Board of County Commissioners for their consideration as well.

D. Upon approval of the projects by the Board of Commissioners, the Active Living & Parks Department will provide written confirmation of the grant to the sponsor, indicating the amount of the award, instructions, conditions, etc.

MATCHING INCENTIVE GRANT PROGRAM:

A. Project must begin within sixty (60) days of notification of project approval and be completed by June 30th of the following fiscal year.

B. Municipalities and boards of education may administer projects on municipal or school owned property. If the government entity administers the project with all monies paid to them, they must provide a summary of the expenditures at the conclusion of the project.

C. In order to assure standards of quality, all improvements will be made under the supervision of the Active Living &Parks Department.

D. Project plans and specifications must be approved by the Cabarrus County Active Living & Parks Department, School Principal, and the Director of Facilities, Operation and Construction/Director of Business

E. Operations. Projects shall not deviate from the approved plans and program descriptions without prior approval of the Cabarrus County Active Living & Parks Department. Failure to comply will result in revocation of the grant award.

F. Project plans and specifications must be submitted for a review period of at least 5 working days to the Director of Facilities, Operation and Construction of Cabarrus County Schools and/or the Director of Business Operations of Kannapolis City Schools.

G. Any organization responsible for the operations and maintenance of a project completed on property not owned by the county must assume all general liability for the completed structure. The agency supervising the project construction will be liable for the project during the

construction period. This includes all utilities (water, sewage, etc.), maintenance, upkeep and supervision of the facility. Builders' risk insurance is required from all contractors.

H. The sponsoring organization must submit its matching funds directly to Cabarrus County Active Living & Parks Department. Cabarrus County will be responsible for the expenditures of all funds unless other arrangements have been made and approved by the County Manager.

I. The sponsoring organization will be responsible for any expenses not reflected in the grant application once the application is approved.

J. Expenditures made by the county are subject to Cabarrus County and State of North Carolina purchasing procedures.

K. If the project is at a school, the Principal and the Director of Facilities, Operations and Construction/Director of Business Operations must approve the grant request. If on municipal or county property, the respective city or county official must approve the grant request.

I. Failure to comply with any of these requirements may result in revocation of funds.

J. All public utilities must be in the name of the sponsoring organization.

For Further Information Contact:

~~Byron A. Haigler, Park Program Manager~~
~~704-920-3360~~
~~Email: BAHaigler@cabarruscounty.us~~
~~Cabarrus County Active Living & Parks~~

Ian Sweeney, Project & Events Manager
Phone: 704-920-3488
Email: IJSweeney@cabarruscounty.us
Cabarrus County Active Living and Parks

Post Office Box 707 Concord, NC 28026-0707
Fax: 704-920-3494

Revised June 30, 1989	Updated 6/30/06
Revised June 14, 1991	Updated 01/18/07
Revised June 23, 1992	Updated 01/28/08
Revised June 27, 1994	Updated 01/05/09
Revised April 27, 1995	Updated 10/15/09
Revised May 23, 1996	Updated 03/18/11
Revised June 23, 1997	Updated 04/17/12
Revised June 10, 1998	Updated 04/01/13
Updated June 7, 1999	Updated 04/04/14
Updated June 14, 2000	Updated 02/19/15
Updated June 19, 2001	Revised 10/15/15
Updated June 11, 2002	Revised 6/20/22
Updated June 18, 2003	
Revised March 1, 2004	
Updated June 15, 2005	

Cabarrus County Active Living & Parks Department
P.O. Box 707, Concord, NC 28026-0707

MATCHING INCENTIVE GRANT CHECKLIST

Applicant_____

Project Name_____

In order for Matching Incentive Grant Application to be complete, all items listed must be included. If item is not applicable to project, please indicate NA.

_____ 1. Matching Incentive Grant Checklist

_____ 2. Incentive Grant Applicant Information Form

_____ 3. Project Narrative

_____ 4. Minutes of Group Presentation(s)

_____ 5. Budget Information
   a. Budget Information Form
   b. 3 Itemized Estimates/Quotes from Contractors/Vendors for any purchases over $1,000.00

_____ 6. Maintenance Agreement

_____ 7. Design Drawings/Site Plan Form
   a. Designs
   b. Site Plan

_____ 8. Land Acquisition Form (if applicable)

_____ 9. Current Bank Statement

Dates to Remember:

Second Friday in June – Grant Application Deadline

Third Friday in June – Grant Application Presentations
Cabarrus County Active Living & Parks Commission

Cabarrus County Active Living & Parks Department
P.O. Box 707, Concord, NC 28026-0707

MATCHING INCENTIVE GRANT SIGNATURE PAGE

By signing our names below, we attest to having seen and read the following pages. We also acknowledge that we agree with and support the scope of the project.

Attachment A	Matching Incentive Grant Applicant Information Form
Attachment B	Matching Incentive Grant Project Narrative
Attachment C	Matching Incentive Grant Budget Information Form & Itemized Estimates/ Quotes
Attachment D	Matching Incentive Grant Maintenance Agreement Form
Attachment E	Matching Incentive Grant Design/ Site Plan Form
Attachment F	Matching Incentive Grant Land Acquisition Form

_____ _____

Director of Facilities, Operations & Construction/Director of Business Operations (if applicable) ***Date***

_____ _____

School Principal/Mayor/Manager ***Date***

_____ _____

Project Coordinator ***Date***

Attachment A

Cabarrus County Active Living & Parks Department
P.O. Box 707, Concord, NC 28026-0707

MATCHING INCENTIVE GRANT APPLICANT INFORMATION FORM

1. APPLICANT INFORMATION			
ORGANIZATION NAME		NON-PROFIT _____YES _____NO	
ADDRESS	PHONE NUMBER	FAX NUMBER	OTHER NUMBER
PROJECT COORDINATOR'S NAME			
EMAIL ADDRESS			
ADDRESS	PHONE NUMBER	FAX NUMBER	OTHER NUMBER
SCHOOL PRINCIPAL'S NAME (IF PROJECT LOCATED ON SCHOOL PROPERTY)			
EMAIL ADDRESS			
ADDRESS	PHONE NUMBER	FAX NUMBER	OTHER NUMBER
2. PROJECT INFORMATION			
DESCRIPTIVE TITLE OF PROJECT			
PROJECT SITE			
STREET ADDRESS	CITY	STATE	ZIPCODE
AREAS AFFECTED BY PROJECT: (SCHOOLS, MUNICIPALITIES, ETC.)		_____ NEW PROJECT _____ON-GOING PROJECT	START DATE _____ COMPLETION DATE _____
WILL A FEE BE CHARGED FOR USE OF FACILITY/PROJECT? _____YES _____NO	ON-GOING MAINTENANCE FOR PROJECT WILL BE PROVIDED BY:		
ESTIMATED FUNDING: APPLICANT $ COUNTY $ IN-KIND $ TOTAL $	TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION IS TRUE AND CORRECT. THE DOCUMENT HAS BEEN AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE GRANT IS AWARDED. TYPED NAME OF PROJECT COORDINATOR SIGNATURE OF PROJECT COORDINATOR _____		

Attachment B

Cabarrus County Active Living & Parks Department
P.O. Box 707, Concord, NC 28026-0707

MATCHING INCENTIVE GRANT PROJECT NARRATIVE

The PROJECT NARRATIVE gives the applicant an opportunity to describe and justify the need for the project being proposed, describe the levels of public involvement, citizens served, and planning and operation/maintenance for the proposed project. Please provide concise but detailed explanations for each section, using the section headings listed below. Include the information from the Scoring Sheet in narrative.

Title it: **PROJECT NARRATIVE FOR (PROJECT NAME)**

1. Project Description

Describe the project by listing the new, additional and/or renovated recreation facilities and support facilities that will be provided if the grant is awarded.

- Will this project provide the first recreation facility built with grant funding?
- Why is the project needed?
- What is the project designed to accomplish?
- Who will the project serve (clientele and area)?
- If the project includes renovation, justify the renovation, such as the age of the facility or overuse.
- If applicable, explain the need for land acquisition.

2. Project Planning

Describe all planning efforts and methods used to identify the need for this project.

- How were priorities established?
- Does this project correspond to the Livable Community Blueprint?

3. Public Involvement

Describe how community citizens have been involved in developing plans for the proposed project and the level of public support for the project. Consider public meetings for discussing the project, presentations to civic/community groups. Attach a copy of minutes or support documentation.

4. Operation and Maintenance

Describe who will be responsible for the development, operation, programming and maintenance of the site upon completion. Attach the Maintenance Agreement Form.

5. Citizens Served

To what extent will persons with disabilities be served by the proposed project? Is the project designed to meet or exceed the Americans with Disabilities Act Accessibility Guidelines?

Applicant_____

PROJECT NARRATIVE FOR _____

(Name & Location of Project) (Attach additional sheet if necessary)

1. Project Description

2. Project Planning

3. Public Involvement

4. Operation and Maintenance

5. Citizens Served

Attachment C

Cabarrus County Active Living & Parks Department
P.O. Box 707, Concord, NC 28026-0707

MATCHING INCENTIVE GRANT BUDGET INFORMATION FORM

Applicant_____

Project Name_____

BUDGETED ITEM	AMOUNT
Architectural/Engineering Fees	$
Materials	$
Construction	$
Permits/Inspections	$
Land Acquisition	$
Demolition/Removal	$
Other	$
	$
	$
	$
TOTAL	$

NOTE: Three itemized estimates/quotes from contractors/vendors should be attached.

Attachment D

Cabarrus County Active Living & Parks Department
P.O. Box 707, Concord, NC 28026-0707

MATCHING INCENTIVE GRANT MAINTENANCE AGREEMENT FORM

Applicant_____

Project Name_____

It is understood that _____
(Organization)

is submitting a Matching Incentive Grant Application to Cabarrus County Active Living & Parks Department

for _____
(Project)

at_____.
(Facility)

(Type of Maintenance) _____

_____

_____

_____

will be performed by _____
(Organization/Company)

on a regular schedule consisting of _____

_____

_____.

_____ _____
Director of Facilities, Operation & Construction/Director of Business Operations (if applicable) ***Date***

_____ _____
School Principal/Mayor/Manager ***Date***

_____ _____
Project Coordinator ***Date***

Note: Any equipment purchased with Cabarrus County funding will remain with the County if the association disbands.

Attachment E

Cabarrus County Active Living & Parks Department
P.O. Box 707, Concord, NC 28026-0707

MATCHING INCENTIVE GRANT DESIGN/SITE PLAN FORM

Applicant_____

Project Name_____

The attached Design/Drawings for the _____
(Project)

at _____
(Facility)

are being submitted as a Cabarrus County Active Living & Parks Department Matching Incentive Grant Application and meet the approval of_____.
(Property Owner)

_____ _____
Director of Facilities, Operation & Construction/Director of Business Operations (if applicable) ***Date***

_____ _____
School Principal/Mayor/Manager ***Date***

_____ _____
Project Coordinator ***Date***

Attachment F

Cabarrus County Active Living & Parks Department
P.O. Box 707, Concord, NC 28026-0707

MATCHING INCENTIVE GRANT LAND ACQUISITION FORM

This Landowner Agreement is entered into effective the_____day of_____, 20___by _____(*either an individual residing at____,_____North Carolina_____or _____, a North Carolina corporation/limited liability company/partnership, with its principal place of business at _____,_____North Carolina_____) (hereafter, the "**Landowner**"); Cabarrus County, North Carolina, with its principal place of business at 65 Church Street, Concord, North Carolina 28025 (the "**County**"); and _____, a North Carolina non-profit corporation with its principal place of business at__, _____North Carolina _(" **Applicant**").

WHEREAS, Landowner is the sole and exclusive owner in fee simple of the real estate and all improvements thereon located at_____,_____, North Carolina _____totaling approximately_____acres and more particularly described in **Exhibit A** attached hereto and incorporated herein (hereafter, the "Property") (*need to attach a legal metes and bounds description of the real property as **Exhibit A**); and

WHEREAS, **Applicant** and **Landowner** jointly and severally represent to the **County** that **Applicant** and **Landowner** have entered into a conditional purchase agreement for **Applicant's** purchase of the Property, conditioned upon, among other things, **Landowner's** agreement to sell the Property for an aggregate purchase price of $_____and **Applicant's** approval for receipt of funds in the aggregate amount of $_____(the "Funds") pursuant to the **County** Matching Grants Incentive Program for the County's fiscal year 20____-20_____, offered by the **County** through the County Active Living & Parks Department (the "**Department**"), (hereafter, the above referenced Matching Grants Incentive Program may be referred to as the "Program"); and

WHEREAS, Applicant hereby represents to **Landowner** that **Applicant** has applied for or will timely apply for receipt of the Funds pursuant to the Program in order to purchase the Property; and

WHEREAS, Landowner hereby represents to the **Applicant** and the **County** that it is aware of and agrees to the restrictive uses for the Property that will be imposed by the **County** on the **Applicant's** use of the Property in order for **Applicant** to be considered for award of the Funds; and

WHEREAS, Landowner understands that the **Department** must evaluate all applications for Program funds, which are awarded on a limited basis, and that **Applicant** may or may not be granted the Funds pursuant to the Program.

NOW THEREFORE, in consideration of the premises and other good and valuable consideration, the sufficiency of which is hereby acknowledged, the parties agree as follows:

1. **Guarantee of Purchase Price to Applicant/Title to Property. Landowner** and **Applicant** represent and warrant to the **County** that they have agreed, respectively, to the sell and purchase the Property for an aggregate purchase price of $____(the "Purchase Price") upon the terms and conditions more fully set forth in the purchase agreement by and between the **Landowner** and the **Applicant**, which is attached hereto as **Exhibit B** and incorporated as if more fully set forth herein. Such terms and conditions include, without limitation, a provision that **Landowner** is the sole and exclusive owner of the Property and has the sole and exclusive unencumbered right to transfer fee simple title to the **Applicant** by North Carolina General Warranty Deed, free and clear of all encumbrances whatsoever except for ad valorem property taxes not yet due and payable.

2. **Right to Purchase. Landowner** represents and warrants to the **County** and **Applicant** that the Purchase Price and **Applicant's** right to purchase the Property shall remain in effect until the **Department** releases the names of the recipients of the Program funds. The **Department** warrants and represents that it will use its best efforts to announce the recipients of the Program funds no later than_____, 20__.

3. **Environmental Warranties and Representations.** In addition to any other representations and warranties provided the **Applicant** by the **Landowner** with respect to the Property, **Landowner** represents and warrants to the **County** and the **Applicant** that the Property is not currently and to the best knowledge of the **Landowner** after due investigation, has never been in violation of any federal, state or local laws, rules, regulations, or ordinances pertaining to environmental matters of any kind or nature and to the best of **Landowner's** knowledge, no adjoining property is or has ever been in violation of any federal, state or local laws, rules, regulations or ordinances pertaining to environmental matters of any kind or nature.

4. **Obligation to Purchase.** Notwithstanding any term or condition of this or any other agreement regarding the Property, no term or condition of this Agreement or any other agreement shall be construed to require **Applicant** to purchase the Property in the event: (1) **Landowner** is in default under this or any other agreement by and between **Applicant** and **Landowner** with regard to the Property; or (2) **Applicant** is not the recipient of the full amount of the Funds under the Program. Furthermore, no term or condition of this or any other agreement shall be construed to impose a duty, express or implied, upon the **County** or the **Department** to award the Funds or any portion thereof to the **Applicant**.

5. **Landowner** understands that in the event the **Landowner** is in default under the terms and conditions of **Exhibit B**, if any **Landowner** representations and warranties set forth herein are false or misleading, or in the event **Applicant** is not the recipient of the full amount of the Funds, neither **Applicant** nor the **County** is under any express or implied obligation whatsoever to purchase the Property.

6. **Miscellaneous.** This agreement shall be governed by the laws of the state of North Carolina. For purposes of enforcement of this Agreement, the parties agree to the exclusive jurisdiction of the courts of Cabarrus County, North Carolina without application of any conflicts of laws provisions of any jurisdiction. Paragraph headings are for convenience only and shall not be deemed to be a controlling part of this Agreement. In the event any provision of this Agreement is deemed for any reason to be unenforceable, the remaining provisions shall remain in full force and effect. No party hereto may assign this Agreement without the express prior written consent of the other parties hereto. However, this Agreement shall be deemed binding upon any successor in interest to the **Landowner** and any other permitted successors and/or assigns of the parties. No provision of this or any other agreement shall be construed to imply a joint venture, partnership or agency agreement between or among the parties hereto.

LANDOWNER: **APPLICANT:**

_____ _____

By :_____(Seal) By :_____(Seal)

Name:_____ Name: _____

Title:_____ Title: _____

READ AND AGREED TO:

CABARRUS COUNTY, NORTH CAROLIINA

By: _____

Name: _____

Title: Director, Active Living & Parks Department of Cabarrus County

This instrument has been audited in accordance with the Local Government Budget and Fiscal Control Act. By: _____, Pam DuBois, Finance Director, Cabarrus County, North Carolina

CABARRUS COUNTY

BOARD OF COMMISSIONERS
WORK SESSION

June 6, 2022
5:30 PM

AGENDA CATEGORY:
Discussion Items for Action

SUBJECT:
Cabarrus County Schools - Approval to Move Forward With Grant Applications for Access Control Systems

BRIEF SUMMARY:
Cabarrus County Schools would like to submit a grant application for the NC Distribution Request Public School Building Repair & Renovation Fund to replace four access control systems that are out of lifecycle.

REQUESTED ACTION:
Motion to suspend the Rules of Procedure due to time constraints.

Motion to approve submission of the grant application for the NC Distribution Request Public School Building Repair and Renovation Fund to replace four access control systems that are out of lifecycle.

EXPECTED LENGTH OF PRESENTATION:
10 Minutes

SUBMITTED BY:
Charles Taylor, Cabarrus County Schools, Facilities Maintenance Director

BUDGET AMENDMENT REQUIRED:
No

COUNTY MANAGER'S RECOMMENDATIONS/COMMENTS:

ATTACHMENTS:

- Application
- Application
- Application
- Application

DISTRIBUTION REQUEST
PUBLIC SCHOOL BUILDING
REPAIR & RENOVATION FUND
NORTH CAROLINA EDUCATION LOTTERY

DPI USE ONLY
Approved By:
Date:

Date of Request: May 17, 2022

County: Cabarrus
Address: 4425 Old Airport Road, Concord NC 28025
LEA: 130
Address: 4425 Old Airport Road, Concord NC 2802

Contact Person: Chuck Taylor
Title: Director of Facilities
Phone: 704 793-7847
Email: Charles.Taylor3@cabarrus.k12.nc.us

Project Title: 2022 Carl A Furr Elementary School Access Control Upgrade
Project Address: 2725 Clover Road
Concord, NC 28027
Type of Facility: Grades K-5

The Public School Building Repair & Renovation Fund was established by S.L. 2021-180, Section 4.4.(a1). The purpose of the Fund is to provide revenue to counties for repair and renovation projects. Per G.S. 115C-546.16, counties are to utilize funds for enlargement, improvement, expansion, repair, or renovation of classroom facilities at public school buildings within local school administrative units (LEAs) located in the county. As used in this context, "Public School Buildings" shall include only facilities for individual schools that are used for instructional and related purposes, and does not include administration, maintenance, or other facilities.

Brief Project Description (include est. start/end dates): Upgrading Obsolete Access Controls and Software
July 1, 2022 - October 31, 2022

Estimated Costs:

Planning and Design Services	$ 2,354.00
New Construction – Facility Enlargement	$
New Construction – Addition(s)	$
Existing Construction – Facility Improvements	$ 68,908.95
Existing Construction – Facility Repairs	$
Existing Construction – Facility Renovations	$
TOTAL	$ 71,262.95

We, the undersigned, agree to submit a statement of state monies expended for this project within 60 days following completion of the project.

The County Commissioners and the Board of Education do hereby jointly request approval of the above project, and request the release of $ 71,262.95 from the Public School Building Repair & Renovation Fund. We certify that the project herein described is within the parameters of G.S. 115C-546.

(Signature – Chair, County Commissioners) (Date)

(Signature – Chair, Board of Education) (Date)

PRINT FORM CLEAR FORM

DISTRIBUTION REQUEST
PUBLIC SCHOOL BUILDING
REPAIR & RENOVATION FUND
NORTH CAROLINA EDUCATION LOTTERY

DPI USE ONLY
Approved By:
Date:

Date of Request: May 17, 2022

County: Cabarrus
Address: 4425 Old Airport Road, Concord NC 28025
LEA: 130
Address: 4425 Old Airport Road, Concord NC 2802

Contact Person: Chuck Taylor
Title: Director of Facilities
Phone: 704 793-7847
Email: Charles.Taylor3@cabarrus.k12.nc.us

Project Title: 2022 Glenn Center Access Control Upgrade
Project Address: 120 Marsh Avenue
Concord, NC 28025
Type of Facility: Grades 6-12 , & Admin

The Public School Building Repair & Renovation Fund was established by S.L. 2021-180, Section 4.4.(a1). The purpose of the Fund is to provide revenue to counties for repair and renovation projects. Per G.S. 115C-546.16, counties are to utilize funds for enlargement, improvement, expansion, repair, or renovation of classroom facilities at public school buildings within local school administrative units (LEAs) located in the county. As used in this context, "Public School Buildings" shall include only facilities for individual schools that are used for instructional and related purposes, and does not include administration, maintenance, or other facilities.

Brief Project Description (include est. start/end dates): Upgrading Obsolete Access Controls and Software
July 1, 2022 - October 31, 2022

Estimated Costs:

Planning and Design Services	$ 2,354.00
New Construction – Facility Enlargement	$
New Construction – Addition(s)	$
Existing Construction – Facility Improvements	$ 41,331.51
Existing Construction – Facility Repairs	$
Existing Construction – Facility Renovations	$
TOTAL	$ 43,685.51

We, the undersigned, agree to submit a statement of state monies expended for this project within 60 days following completion of the project.

The County Commissioners and the Board of Education do hereby jointly request approval of the above project, and request the release of $ 43,685.51 from the Public School Building Repair & Renovation Fund. We certify that the project herein described is within the parameters of G.S. 115C-546.

(Signature – Chair, County Commissioners) (Date)

(Signature – Chair, Board of Education) (Date)

PRINT FORM CLEAR FORM

DISTRIBUTION REQUEST
PUBLIC SCHOOL BUILDING
REPAIR & RENOVATION FUND
NORTH CAROLINA EDUCATION LOTTERY

DPI USE ONLY
Approved By:
Date:

Date of Request: May 17, 2022

County: Cabarrus
Address: 4425 Old Airport Road, Concord NC 28025
LEA: 130
Address: 4425 Old Airport Road, Concord NC 2802

Contact Person: Chuck Taylor
Title: Director of Facilities
Phone: 704 793-7847
Email: Charles.Taylor3@cabarrus.k12.nc.us

Project Title: 2022 Patriots Elementary School Access Control Upgrade
Project Address: 1510 Holden Road SW
Concord, NC 28027
Type of Facility: Grades K-5

The Public School Building Repair & Renovation Fund was established by S.L. 2021-180, Section 4.4.(a1). The purpose of the Fund is to provide revenue to counties for repair and renovation projects. Per G.S. 115C-546.16, counties are to utilize funds for enlargement, improvement, expansion, repair, or renovation of classroom facilities at public school buildings within local school administrative units (LEAs) located in the county. As used in this context, "Public School Buildings" shall include only facilities for individual schools that are used for instructional and related purposes, and does not include administration, maintenance, or other facilities.

Brief Project Description (include est. start/end dates): Upgrading Obsolete Access Controls and Software
July 1, 2022 - October 31, 2022

Estimated Costs:

Planning and Design Services	$ 2,354.00
New Construction – Facility Enlargement	$
New Construction – Addition(s)	$
Existing Construction – Facility Improvements	$ 68,908.95
Existing Construction – Facility Repairs	$
Existing Construction – Facility Renovations	$
TOTAL	$ 71,262.95

We, the undersigned, agree to submit a statement of state monies expended for this project within 60 days following completion of the project.

The County Commissioners and the Board of Education do hereby jointly request approval of the above project, and request the release of $ 71,262.95 from the Public School Building Repair & Renovation Fund. We certify that the project herein described is within the parameters of G.S. 115C-546.

(Signature – Chair, County Commissioners) (Date)

(Signature – Chair, Board of Education) (Date)

PRINT FORM CLEAR FORM

DISTRIBUTION REQUEST
PUBLIC SCHOOL BUILDING
REPAIR & RENOVATION FUND
NORTH CAROLINA EDUCATION LOTTERY

DPI USE ONLY
Approved By:
Date:

Date of Request: May 17, 2022

County: Cabarrus
Address: 4425 Old Airport Road, Concord NC 28025
LEA: 130
Address: 4425 Old Airport Road, Concord NC 2802

Contact Person: Chuck Taylor
Title: Director of Facilities
Phone: 704 793-7847
Email: Charles.Taylor3@cabarrus.k12.nc.us

Project Title: 2022 W.R. Odell Primary School Access Control Upgrade
Project Address: 1 Dragon Pride Drive
Concord, NC 28027
Type of Facility: Grades K-2

The Public School Building Repair & Renovation Fund was established by S.L. 2021-180, Section 4.4.(a1). The purpose of the Fund is to provide revenue to counties for repair and renovation projects. Per G.S. 115C-546.16, counties are to utilize funds for enlargement, improvement, expansion, repair, or renovation of classroom facilities at public school buildings within local school administrative units (LEAs) located in the county. As used in this context, "Public School Buildings" shall include only facilities for individual schools that are used for instructional and related purposes, and does not include administration, maintenance, or other facilities.

Brief Project Description (include est. start/end dates): Upgrading Obsolete Access Controls and Software
July 1, 2022 - October 31, 2022

Estimated Costs:

Planning and Design Services	$ 2,354.00
New Construction – Facility Enlargement	$
New Construction – Addition(s)	$
Existing Construction – Facility Improvements	$ 71,527.71
Existing Construction – Facility Repairs	$
Existing Construction – Facility Renovations	$
TOTAL	$ 73,881.71

We, the undersigned, agree to submit a statement of state monies expended for this project within 60 days following completion of the project.

The County Commissioners and the Board of Education do hereby jointly request approval of the above project, and request the release of $ 73,881.71 from the Public School Building Repair & Renovation Fund. We certify that the project herein described is within the parameters of G.S. 115C-546.

(Signature – Chair, County Commissioners) (Date)

(Signature – Chair, Board of Education) (Date)

PRINT FORM CLEAR FORM

CABARRUS COUNTY

BOARD OF COMMISSIONERS
WORK SESSION

June 6, 2022
5:30 PM

AGENDA CATEGORY:
Discussion Items for Action

SUBJECT:
Cabarrus County Schools - Stallings Road Right-of-Way Dedication

BRIEF SUMMARY:
Cabarrus County Schools has two requests regarding the Stallings Road right-of-way dedication.

The first part is related to the land purchase that was associated with the 2015 extension of Raging Ridge Road. The established right of way that was a part of this project was never dedicated back to the North Carolina Department of Transportation (NCDOT) as required. This dedication is a normal procedure when road improvements are being made to the NC State Highway Road System giving them authority and right for maintenance and repairs required.

The second part of this request is for a 30' sanitary sewer public utility easement allowing access for the Harmony Subdivisions currently being developed on the north side of Stallings Road. With this boards approval, the County Manager and County Attorney will need to negotiate and complete the legal agreement for the purchase of this utility easement in the amount of $2,425.00 with the Harmony Subdivision Developer. This will allow the County Manager to execute the agreement once finalized.

REQUESTED ACTION:
Motion to suspend the Rules of Procedure due to time constraints.

Motion to dedicate the established right-of-way back to the North Carolina Department of Transportation (NCDOT) as required.

Motion to approve a 30' sanitary sewer public utility easement allowing access for the

Harmony Subdivisions currently being developed on the north side of Stallings Road and authorize the County Manager to negotiate the purchase of this utility easement in the amount of $2,425.00 with the Harmony Subdivision Developer; subject to review and revision by the County Attorney.

EXPECTED LENGTH OF PRESENTATION:
5 Minutes

SUBMITTED BY:
Brian Cone, Cabarrus County Schools
Director of Architecture, Planning, and Construction

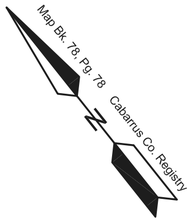
BUDGET AMENDMENT REQUIRED:
No

COUNTY MANAGER'S RECOMMENDATIONS/COMMENTS:

ATTACHMENTS:

- Map
- Map of Sewer Easement
- Sewer Easement





I, R. Scott Dyer, certify that this plat was drawn under my supervision from an actual survey made under my supervision (deed description recorded in Book 13530, page 113, etc.); that the boundaries not surveyed are clearly indicated as drawn from information found in Book a/s, page a/s; that the ratio of precision as calculated is 1:108,692; that this plat was prepared in accordance with G.S. 47-30 as amended. Witness my original signature, registration number and seal this 8th day of November, A.D., 2021.

I also certify to one or more of the following as indicated:

___A. That this plat is of a survey that creates a subdivision of land within the the area of county or municipality that has an ordinance that regulates parcels of land;

___B. That this plat is of a survey that is located in such portion of a county or municipality that is unregulated as to an ordinance that regulates parcels of land;

___C. That this plat is of an existing parcel(s) of land;

_X_D. That this plat is of a survey of another category, such as the recombination of existing parcels, a court-ordered survey or other exception to the definition of subdivision;

___E. That the information available to this surveyor is such that I am unable to make a determination to the best of my professional ability as to provisions contained in A through D above.

R. Scott Dyer, PLS #4444

Division of Highways District Engineer Certificate

I hereby certify that the right of way dedication along the existing state maintained roadway shown on this plat is approved and accepted as public right of way by the North Carolina Department of Transportation, Division of Highway.

Approved _____
District Engineer

Date: _____

Only North Carolina Department of Transportation Approved Structures Are To Be Constructed on Public Right Of Way.

Curve	Radius	Arc	Chord	Chord Bearing
C1	1140.00	22.61	22.61	S 28°00'57" W
C2	1140.00	32.77	32.77	S 29°24'27" W
C3	1140.00	25.38	25.38	S 30°52'08" W
C4	1049.23	12.87	12.87	S 30°45'26" W
C5	1049.23	17.66	17.66	S 29°55'25" W
C6	1545.00	48.70	48.70	N 59°53'27" W
C7	1545.00	81.43	81.42	N 57°28'40" W
C8	65.60	85.89	79.88	N 17°52'54" W
C9	45.60	53.70	50.65	N 21°38'47" W
C10	1545.00	71.28	71.27	N 54°38'46" W

Certificate of Ownership and Offer of Dedication

I hereby certify that I am the owner of the property shown and described hereon, which is located in the subdivision jurisdiction of the Town of Harrisburg, and that I hereby submit this plan of subdivision with my free consent and establish minimum building setback lines.

Owner Date

Owner Date

Owner Date

Line	Bearing	Distance	
L1	N 18°02'28" W	56.69'	
L2	S 62°01'02" E	40.58'	
L3	S 27°37'17" W	39.37'	
L4	S 27°37'17" W	1.65'	
L5	N 64°50'14" W	6.99'	
L6	S 62°01'02" E	11.82'	
L7	N 26°23'08" E	30.00'	
L8	S 63°10'12" E	8.38'	
L9	S 62°49'29" E	25.86'	
L10	S 73°15'03" W	62.57'	
L11	N 89°19'21" E	21.40'	
L12	N 56°31'59" E	35.27'	
L13	S 31°47'55" W	4.98'	
L14	S 02°39'46" W	7.46'	
L15	S 35°16'24" E	3.94'	
L16	S 35°16'24" E	22.38'	
L17	N 54°29'32" W	9.93'	
L18	N 54°01'29" W	12.81'	
L19	S 60°26'02" W	17.25'	
L20	N 36°30'48" E	2.50'	
L21	N 35°00'47" W	8.10'	
L22	N 39°33'49" W	27.55'	
L23	N 36°30'48" E	3.45'	
L24	S 60°33'47" E	30.23'	
L25	N 60°33'47" W	37.64'	
L26	N 88°24'22" W	44.54'	
L27	N 28°07'47" E	18.29'	
L28	S 62°01'02" E	36.16'	Tie Line
L29	N 36°01'11" E	38.79'	
L30	N 36°01'11" E	25.37'	Tie Line
L31	N 36°01'11" E	20.01'	
L32	S 02°39'46" W	67.00'	
L33	S 51°43'56" E	47.34'	
L34	N 62°49'29" W	29.07'	
L35	N 25°55'50" E	31.01'	
L36	N 66°57'19" W	12.74'	
L37	N 54°29'32" W	40.56'	
L38	S 52°24'41" E	10.06'	
L39	S 31°14'50" W	18.33'	
L40	N 58°45'10" W	10.00'	
L41	N 31°14'50" E	19.44'	
L42	N 28°07'47" E	2.51'	
L43	S 60°33'47" E	2.22'	
L44	N 70°09'46" E	3.32'	

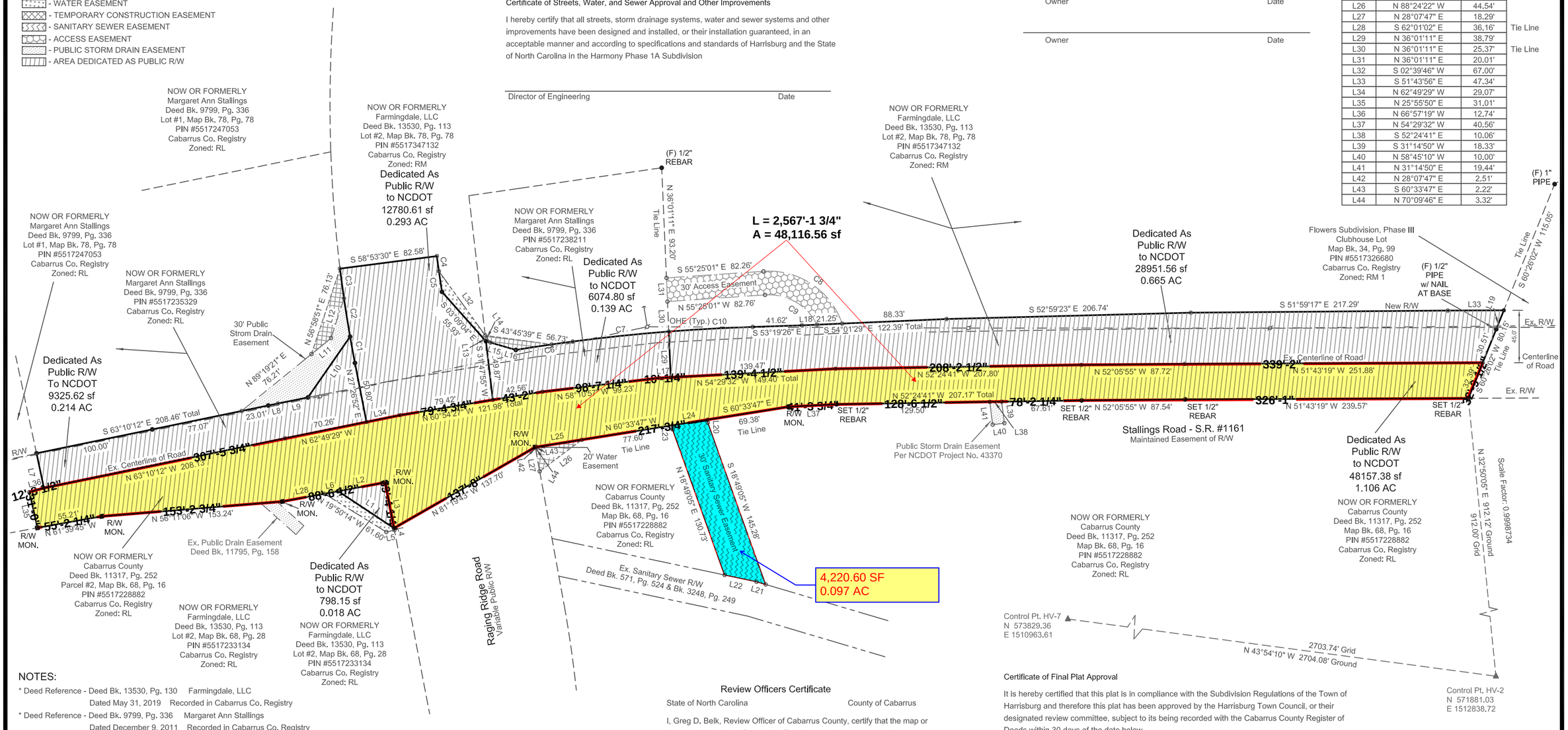
PRELIMINARY
Not for Conveyances, Sales or Recordation

LEGEND
R/W - RIGHT OF WAY
(F) - FOUND
(B) - BENT
a/s - AS SHOWN
OHE - OVERHEAD ELECTRIC
- POWER POLE
- CALCULATED POINT
- WATER EASEMENT
- TEMPORARY CONSTRUCTION EASEMENT
- SANITARY SEWER EASEMENT
- ACCESS EASEMENT
- PUBLIC STORM DRAIN EASEMENT
- AREA DEDICATED AS PUBLIC R/W

Certificate of Streets, Water, and Sewer Approval and Other Improvements

I hereby certify that all streets, storm drainage systems, water and sewer systems and other improvements have been designed and installed, or their installation guaranteed, in an acceptable manner and according to specifications and standards of Harrisburg and the State of North Carolina in the Harmony Phase 1A Subdivision

Director of Engineering Date



NOTES:

* Deed Reference - Deed Bk. 13530, Pg. 130 Farmingdale, LLC Dated May 31, 2019 Recorded in Cabarrus Co. Registry
* Deed Reference - Deed Bk. 9799, Pg. 336 Margaret Ann Stallings Dated December 9, 2011 Recorded in Cabarrus Co. Registry
* Map Reference - 108.768 AC - Stallings Road Dated November 16, 2018 Map Bk. 78, Pg. 78 Recorded in Cabarrus Co. Registry Performed by R. Scott Dyer, PLS
* 1/2" rebar found/set at all corners unless otherwise noted.
* Property subject to recorded and unrecorded rights of way, easements and agreements as may appear.
* Public storm drainage easements carrying water primarily from the R/W that are new are going to be the Town's responsibility. Water/Sewer will be the Town of Harrisburgs easements but maintenance of landscaping will be Home Owners Assoc.

60 30 0 60
BAR GRAPH
1" = 60'

The purpose of this plat is to dedicate R/W on Stallings Road and to show the new easements along Stallings Road

Review Officers Certificate

State of North Carolina County of Cabarrus

I, Greg D. Belk, Review Officer of Cabarrus County, certify that the map or plat to which this certification is affixed, meets all statutory requirements for recording.

Review Officer Date

Certificate of Final Plat Approval

It is hereby certified that this plat is in compliance with the Subdivision Regulations of the Town of Harrisburg and therefore this plat has been approved by the Harrisburg Town Council, or their designated review committee, subject to its being recorded with the Cabarrus County Register of Deeds within 30 days of the date below.

Director of Planning Date

NorStar Land Surveying, Inc.
552-B Newell Street NW
Concord, NC 28025
Ph 704 721 6651
Fax 704 721 6653
Firm Lic. # C-2294

DATE	REVISION	BY

Easement Map to Serve:
Owner: Farmingdale, LLC
19 Franklin Ave, NW
Concord, NC 28025

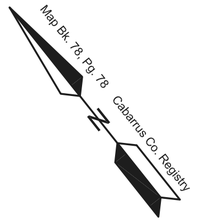
Harmony Subdivision

Town of Harrisburg Township No. 1 Cabarrus County, NC

R/W DEDICATION & EASEMENT PLAT

DATE	DRAWN BY
November 8, 2021	S. Kimrey
SCALE	CHECKED BY
1" = 60'	S. Dyer
NLS NO.	SHEET
20094	1 OF 1





I, R. Scott Dyer, certify that this plat was drawn under my supervision from an actual survey made under my supervision (deed description recorded in Book 13530, page 113, etc.); that the boundaries not surveyed are clearly indicated as drawn from information found in Book a/s, page a/s; that the ratio of precision as calculated is 1:108,692; that this plat was prepared in accordance with G.S. 47-30 as amended. Witness my original signature, registration number and seal this 14th day of April, A.D., 2022.

I also certify to one or more of the following as indicated:

___A. That this plat is of a survey that creates a subdivision of land within the the area of county or municipality that has an ordinance that regulates parcels of land;

___B. That this plat is of a survey that is located in such portion of a county or municipality that is unregulated as to an ordinance that regulates parcels of land;

___C. That this plat is of an existing parcel(s) of land;

_X_D. That this plat is of a survey of another category, such as the recombination of existing parcels, a court-ordered survey or other exception to the definition of subdivision;

___E. That the information available to this surveyor is such that I am unable to make a determination to the best of my professional ability as to provisions contained in A through D above.

R. Scott Dyer, PLS #4444

Division of Highways District Engineer Certificate

I hereby certify that the right of way dedication along the existing state maintained roadway shown on this plat is approved and accepted as public right of way by the North Carolina Department of Transportation, Division of Highway.

Approved _____
District Engineer

Date: _____

Only North Carolina Department of Transportation Approved Structures Are To Be Constructed on Public Right Of Way.

Curve	Radius	Arc	Chord	Chord Bearing
C1	1140.00	22.61	22.61	S 28°00'57" W
C2	1140.00	32.77	32.77	S 29°24'27" W
C3	1140.00	25.38	25.38	S 30°52'08" W
C4	1049.23	12.87	12.87	S 30°45'26" W
C5	1049.23	17.66	17.66	S 29°55'25" W
C6	1545.00	48.70	48.70	N 59°53'27" W
C7	1545.00	81.43	81.42	N 57°28'40" W
C8	65.60	85.89	79.88	N 17°52'54" W
C9	45.60	53.70	50.65	N 21°38'47" W
C10	1545.00	71.28	71.27	N 54°38'46" W

Certificate of Ownership and Offer of Dedication

I hereby certify that I am the owner of the property shown and described hereon, which is located in the subdivision jurisdiction of the Town of Harrisburg, and that I hereby submit this plan of subdivision with my free consent and establish minimum building setback lines.

Owner Date

Owner Date

Owner Date

Line	Bearing	Distance	
L1	N 18°02'28" W	56.69'	
L2	S 62°01'02" E	40.58'	
L3	S 27°37'17" W	39.37'	
L4	S 27°37'17" W	1.65'	
L5	N 64°50'14" W	6.99'	
L6	S 62°01'02" E	11.82'	
L7	N 26°23'08" E	30.00'	
L8	S 63°10'12" E	8.38'	
L9	S 62°49'29" E	25.86'	
L10	S 73°15'03" W	62.57'	
L11	N 89°19'21" E	21.40'	
L12	N 56°31'59" E	35.27'	
L13	S 31°47'55" W	4.98'	
L14	S 02°39'46" W	7.46'	
L15	S 35°16'24" E	3.94'	
L16	S 35°16'24" E	22.38'	
L17	N 54°29'32" W	9.93'	
L18	N 54°01'29" W	12.81'	
L19	S 60°26'02" W	17.25'	
L20	N 36°30'48" E	2.50'	
L21	N 35°00'47" W	8.10'	
L22	N 39°33'49" W	27.55'	
L23	N 36°30'48" E	3.45'	
L24	S 60°33'47" E	30.23'	
L25	N 60°33'47" W	37.64'	
L26	N 88°24'22" W	44.54'	
L27	N 28°07'47" E	18.29'	
L28	S 62°01'02" E	36.16'	Tie Line
L29	N 36°01'11" E	38.79'	
L30	N 36°01'11" E	25.37'	Tie Line
L31	N 36°01'11" E	20.01'	
L32	S 02°39'46" W	67.00'	
L33	S 51°43'56" E	47.34'	
L34	N 62°49'29" W	29.07'	
L35	N 25°55'50" E	31.01'	
L36	N 66°57'19" W	12.74'	
L37	N 54°29'32" W	40.56'	
L38	S 52°24'41" E	10.06'	
L39	S 31°14'50" W	18.33'	
L40	N 58°45'10" W	10.00'	
L41	N 31°14'50" E	19.44'	
L42	N 28°07'47" E	2.51'	
L43	S 60°33'47" E	2.22'	
L44	N 70°09'46" E	3.32'	

LEGEND

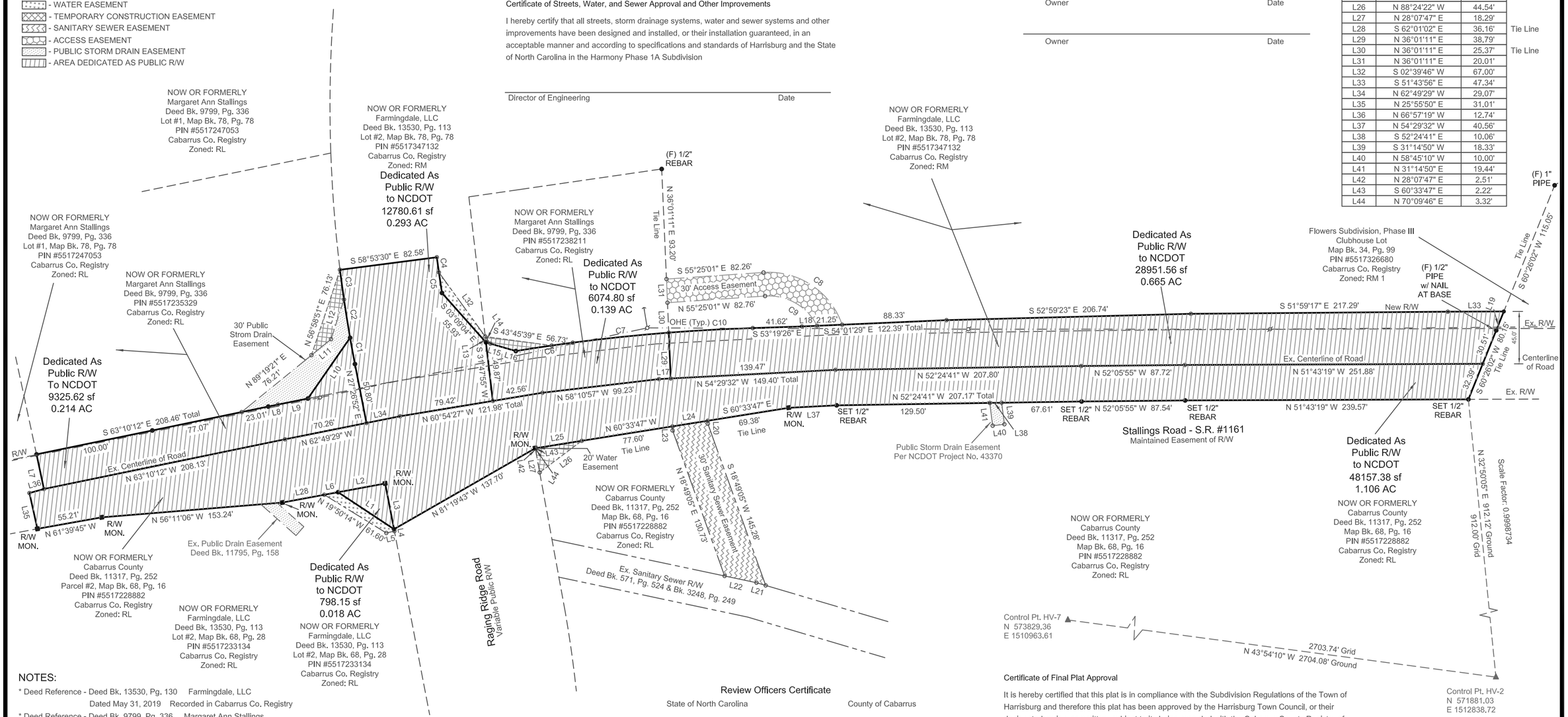
R/W - RIGHT OF WAY
(F) - FOUND
(B) - BENT
a/s - AS SHOWN
OHE - OVERHEAD ELECTRIC
- POWER POLE
- CALCULATED POINT
- WATER EASEMENT
- TEMPORARY CONSTRUCTION EASEMENT
- SANITARY SEWER EASEMENT
- ACCESS EASEMENT
- PUBLIC STORM DRAIN EASEMENT
- AREA DEDICATED AS PUBLIC R/W

PRELIMINARY
Not for Conveyances, Sales or Recordation

Certificate of Streets, Water, and Sewer Approval and Other Improvements

I hereby certify that all streets, storm drainage systems, water and sewer systems and other improvements have been designed and installed, or their installation guaranteed, in an acceptable manner and according to specifications and standards of Harrisburg and the State of North Carolina in the Harmony Phase 1A Subdivision

Director of Engineering Date



NOTES:

* Deed Reference - Deed Bk. 13530, Pg. 130 Farmingdale, LLC Dated May 31, 2019 Recorded in Cabarrus Co. Registry
* Deed Reference - Deed Bk. 9799, Pg. 336 Margaret Ann Stallings Dated December 9, 2011 Recorded in Cabarrus Co. Registry
* Map Reference - 108.768 AC - Stallings Road Dated November 16, 2018 Map Bk. 78, Pg. 78 Recorded in Cabarrus Co. Registry Performed by R. Scott Dyer, PLS
* 1/2" rebar found/set at all corners unless otherwise noted.
* Property subject to recorded and unrecorded rights of way, easements and agreements as may appear.
* Public storm drainage easements carrying water primarily from the R/W that are new are going to be the Town's responsibility. Water/Sewer will be the Town of Harrisburgs easements but maintenance of landscaping will be Home Owners Assoc.

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BAR GRAPH
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Concord, NC 28025

Harmony Subdivision

Town of Harrisburg Township No. 1 Cabarrus County, NC

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DATE	DRAWN BY
November 8, 2021	S. Kimrey
SCALE	CHECKED BY
1" = 60'	S. Dyer
NLS NO.	SHEET
20094	1 OF 1

Prepared by and Return to:
James E. Scarbrough,
Scarbrough, Scarbrough & Trilling, PLLC

PIN # 5517228882

State of North Carolina

County of Cabarrus

Grant of Sewer Easement
to Farmingdale, LLC

For and in consideration of One Dollar ($1.00) and other good and valuable consideration, the receipt whereof is hereby acknowledged, Cabarrus County (herein "Grantor") has bargained and sold, and by these presents does hereby give, grant, bargain, sell and convey unto Farmingdale, LLC, a North Carolina limited liability company (herein "Grantee"), a permanent easement and right-of-way, including the perpetual right to enter upon the real estate hereinafter described, at any time that it may see fit, and construct, operate, maintain, and repair manholes, sewage meter chambers, and all other devices necessary or useful in the operation of a sewer system including underground pipelines and/or mains for the purpose of conveying sewer over, across, through and under the lands hereinafter described, together with the right to excavate and refill ditches and/or trenches for the location of said pipelines, and the further right to remove trees, bushes, undergrowth, and other obstructions interfering with the location, construction and maintenance of said pipelines upon the property of Grantor lying on the southwest side of Stallings Road (S.R. 1161) and labeled as the "30' Sanitary Sewer Easement" on the plat by R. Scott Dyer, PLS, entitled "R/W Dedication & Easement Plat" dated 8 November 2021, a copy of which is attached as Exhibit A, recorded in Map Book _____, Page _____, Cabarrus County Registry, together with any and all rights normally incident thereto, and particularly the right of ingress and egress thereto from time to time as necessary for construction, reconstruction, inspection, enlargement and/or maintenance in connection therewith.

Grantor reserves the right to use the property for purposes which will not interfere with Grantee's full enjoyment of the rights hereby granted; provided Grantor shall not erect or construct any building or other structure, or drill or operate and well, or operate any well, or construct any reservoir or other obstruction on the property, or diminish or substantially add to the ground cover over the sewer mains and lines, or place any objects on the right-of-way which would obstruct easy access along the right-of-way or to the sewer mains and lines.

The designation, Grantor or Grantee, as used herein, shall include said parties, their heirs, successors, and assigns, and shall include singular, plural, masculine, feminine, or neuter, as required by context.

TO HAVE AND TO HOLD said easement and right-of-way unto the said Farmingdale, LLC, its successor and assigns forever.

CABARRUS COUNTY,
a body politic and political subdivision of the State of North Carolina

_____
_____,
Chairman of the Board of
Cabarrus County Commissioners

_____,_____
Clerk to the Board of Commissioners

STATE OF NORTH CAROLINA
COUNTY OF CABARRUS

I, _____, a Notary Public of the aforesaid County and State, do hereby certify that _____ personally appeared before me this day and acknowledged that she is Clerk to the Board of Commissioners of Cabarrus County and that by authority duly given and as the act of Cabarrus County, the foregoing instrument was signed in its name by its Chairman of the Board of Cabarrus County Commissioners, sealed with its corporate seal and attested by her as its Clerk.

WITNESS my hand and notarial seal, this the _____ day of _____, 2022.

_____
Notary Public

My commission expires: _____

STATE OF NORTH CAROLINA
CABARRUS COUNTY

The foregoing Certificate(s) of a Notary Public of Cabarrus County is certified to be correct according to law.

Filed for registration on the ____ day of _____, 20___, at _____ o'clock ___.m., and duly recorded in the office of the Register of Deeds for Cabarrus County, North Carolina.

Register of Deeds
Cabarrus County, N.C.

By: _____
Assistant/Deputy

CABARRUS COUNTY

BOARD OF COMMISSIONERS
WORK SESSION

June 6, 2022
5:30 PM

AGENDA CATEGORY:
Discussion Items for Action

SUBJECT:
County Manager - Adoption of the New Retention and Disposition Schedule for North Carolina

BRIEF SUMMARY:
Local government agencies in North Carolina include municipalities, counties, and regional entities. These organizations, along with any entities with whom they contract to perform the public business, are subject to the requirements of North Carolina's Public Records Act (G.S. 132). The retention and disposition schedules that follow are the tools created by the Government Records Section to assist employees of local government agencies in managing the records in their offices. These schedules list records series commonly found in local government offices, provide an assessment of their value, and indicate when (and if) these records should be destroyed.
These schedules are an agreement between the local government agencies and the Department of Natural and Cultural Resources (DNCR), serving as the inventory and schedule that DNCR is directed to provide by G.S. 121-5(c) and G.S. 132-8. Beginning in 2019, the Government Records Section excised common records standards, such as Legal and Personnel, from the individual retention and disposition schedules and combined them into the General Records Schedule for Local Government Agencies. All local government agencies should use the General Records Schedule for Local Government Agencies alongside the program schedule that covers the specific work assigned to your office.
These schedules must be approved by the local governing board before they can be used to authorize the destruction of public records.

REQUESTED ACTION:
Motion to approve the Record Retention and Disposition Schedule.

EXPECTED LENGTH OF PRESENTATION:
5 Minutes

SUBMITTED BY:
Lauren Linker, Clerk to the Board

BUDGET AMENDMENT REQUIRED:
No

COUNTY MANAGER'S RECOMMENDATIONS/COMMENTS:

ATTACHMENTS:

- General Records
- Program Records

RECORDS RETENTION AND DISPOSITION SCHEDULE

GENERAL RECORDS SCHEDULE:
LOCAL GOVERNMENT AGENCIES

Issued By:

NC DEPARTMENT OF
NATURAL AND CULTURAL RESOURCES

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

October 1, 2021

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2021 General Records Schedule:
Local Government Agencies

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

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

In accordance with the provisions of Chapters 121 and 132 of the *General Statutes of North Carolina*, it is agreed that the records do not and will not have further use or value for official business, research, or reference purposes after the respective retention periods specified herein and are authorized to be destroyed or otherwise disposed of by the agency or official having custody of them without further reference to or approval of either party to this agreement.

Destructions

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

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

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

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

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

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

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

Audits and Litigation Actions

Records subject to audit or those legally required for ongoing official proceedings must be retained until released from such audits or official proceedings, notwithstanding the instructions of this schedule.

Electronic Records

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

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

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

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

Reference Copies

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

Record Copy

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

[1] Society of American Archivists, *Dictionary of Archives Terminology*.

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

Transitory Records

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

North Carolina has a broad definition of public records. However, the Department of Natural and Cultural Resources recognizes that some records may have little or no long-term documentary or evidential value to the creating agency. These records are often called transitory records. They may be disposed of according to the guidance below. However, all public employees should be familiar with their appropriate retention schedule and any other applicable guidelines for their office. If there is a required retention period for these records, that requirement must be followed. When in doubt about whether a record is transitory or whether it has special significance or importance, retain the record in question and seek guidance from a DNCR records analyst.

Routing slips and transmittal sheets adding no information to that contained in the transmitted material have minimal value after the material has been successfully transmitted. These records may be destroyed or otherwise disposed of after receipt of the material has been confirmed. Similarly, "while you were out" slips, memory aids, and other records requesting follow-up actions (including voicemails and calendar invites) have minimal value once the official action these records are supporting has been completed and documented. These records may be destroyed or otherwise disposed of once the action has been resolved.

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

- Drafts and working papers for internal and external policies
- Drafts and working papers for internal administrative reports, such as daily and monthly activity reports;
- Drafts and working papers for internal, non-policy-level documents, such as informal workflows and manuals; and
- Drafts and working papers for presentations, workshops, and other explanations of agency policy that is already formally documented.

Forms used solely to create, update, or modify records in an electronic medium may be destroyed in office after completion of data entry and after all verification and quality control procedures, so long as these records are not required for audit or legal purposes. However, if the forms contain any analog components that are necessary to validate the information contained on them (e.g., a signature or notary's seal), they must be retained according to the disposition instructions for the records series encompassing the forms' function.

[2] Ibid.

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

APPROVAL RECOMMENDED

Sarah E. Koonts

Municipal/County Clerk or Manager
Title: _____

Sarah E. Koonts, Director
Division of Archives and Records

APPROVED

D. Reid Wilson

Head of Governing Body
Title: _____

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

Municipality/County: _____

Effective: October 1, 2021

EXECUTIVE SUMMARY

- ✓ Some records are covered by the Local Agency Program Retention and Disposition Schedules. See the appendix for Related Records Series Found in Local Agency Program Schedules.
- ✓ According to N.C. Gen. Stat. § 121-5(b) and N.C. Gen. Stat. § 132-3, you may destroy public records only with the consent of the Department of Natural and Cultural Resources (DNCR). The State Archives of North Carolina is the division of DNCR charged with administering a records management program. This schedule is the primary way the State Archives of North Carolina gives its consent. Without approving this schedule, your agency is obligated to obtain the State Archives of North Carolina's permission to destroy *any* record, no matter how insignificant.
- ✓ Each records series listed on this schedule has specific disposition instructions that will indicate how long the series must be kept in your office. In some cases, the disposition instructions are simply "retain in office permanently," which means that those records must be kept in your office forever. In other cases, the retention period may be "destroy in office when reference value ends." An agency may have reference copies of materials, meaning "a copy of a record distributed to make recipients aware of the content but not directing the recipient to take any action on the matter" (from Society of American Archivists, *Dictionary of Archives Terminology*). Your agency must establish and enforce internal policies by setting minimum retention periods for the records that the State Archives of North Carolina has scheduled with the disposition instructions, "destroy when reference value ends."
- ✓ E-mail is a record as defined by N.C. Gen. Stat. § 121-5 and N.C. Gen. Stat. § 132. It is the content of the e-mail that is critical when determining the retention period of a particular e-mail, including attachments, not the media in which the record was created. It is important for all agency employees and officials to determine the appropriate records series for specific e-mails and retain them according to the disposition instructions listed with the identified record series.
- ✓ The State Archives of North Carolina recommends that all agency employees and officials view the tutorials that are available online through the State Archives website in order to familiarize themselves with records management principles and practices. The State Archives of North Carolina's online tutorials include topics such as records management and scanning guidelines.
- ✓ The State Archives of North Carolina creates security preservation record copies for minutes and selected other records of governing bodies and commissions, adoption records, and maps and plats. Agencies can request copies of the digital images made during this process. Contact the appropriate Records Management Analyst to begin this process.

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

LEGEND FOR RECORDS SCHEDULE

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

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

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

Series – "a group of similar records that are . . . related as the result of being created, received, or used in the same activity." (From Society of American Archivists, *Dictionary of Archives Terminology*). Series in this schedule are based on common functions in government offices.

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

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

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

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

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

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

AUDITS: PERFORMANCE

Records concerning internal and external audits conducted to assess the function of government programs. Includes reports, working papers, corrective measures, and other related records.

SEE ALSO: Audits: Financial (STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS).

Sample records series title and description with cross-reference included

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

STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS

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

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

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

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

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

ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
1.04	**AUDITS: PERFORMANCE** @ Records concerning internal and external audits conducted to assess the function of government programs. Includes reports, working papers, corrective measures, and other related records. SEE ALSO: Audits: Financial (STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS).	a) Retain in office permanently reports related to internal compliance or operational audits, hazardous material, or those that document a significant change in agency practices. b) Destroy in office PCI attestation reports after 3 years. c) Destroy in office remaining audit reports after 10 years. d) Destroy in office documentation of corrective measures 2 years after their implementation. e) Destroy in office working papers and remaining records when superseded or obsolete.	
1.05 	**BLUEPRINTS AND SPECIFICATIONS** @ Blueprints and specifications of agency owned buildings and facilities. Includes as-built plans and related records concerning approved changes.	a) Transfer as-built drawings to new owner when agency relinquishes ownership of building or facility. b) Retain in office as-built drawings for life of structure and then destroy. c) Destroy in office blueprints, floorplans, and other preliminary design and construction documents when superseded or obsolete.	Confidentiality: G.S. 132-1.7

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ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
1.06	**BONDS** Records documenting written guarantees from a third party, including bid bonds, payment bonds, performance bonds, and surety bonds. SEE ALSO: Bids for Purchase (STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS), and Projects (below).	Destroy in office 5 years after expiration or cancellation.	
1.07	**BULLETINS** Internal information sharing materials that circulate information within the agency. Also includes memoranda and newsletters.	Destroy in office when superseded or obsolete.	
1.08	**BUSINESS CERTIFICATION RECORDS** Applications and supporting documentation submitted by businesses to be certified as a Small Business Enterprise (SBE) or other classification.	a) Destroy in office all documentation 3 years after most recent recertification. b) If certification was never issued, destroy in office all documentation when reference value ends.± Agency Policy: Destroy in office after _____	
1.09	**BUSINESS DEVELOPMENT SUBJECT FILE**	Destroy in office after 3 years.	
1.10	**CALENDARS OF EVENTS AND APPOINTMENTS**	Destroy in office when superseded or obsolete.	
1.11	**CENSUS PROJECT RECORDS** Records created to assist the U.S. Census Bureau with the decennial census.	Destroy in office when reference value ends.± Agency Policy: Destroy in office after _____	

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

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ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
1.14	**CONSTITUENT COMMENTS, COMPLAINTS, PETITIONS, AND SERVICE REQUESTS** @ Records concerning objections, dissatisfaction, or disagreements with actions or positions taken or not taken by the agency. Includes comments and petitions submitted by constituents requesting action as well as routine requests for service. Also includes requests for reasonable accommodation to the general public under Title II of the Americans with Disabilities Act, Housing and Urban Development Act, 1973 Rehabilitation Act, and Title VII of the Civil Rights Act of 1964; including constituent requests, survey of agency buildings to determine accessibility to the physically handicapped, proposals for implementation, correspondence (including e-mail), and resolutions. SEE ALSO: Civil Rights Records (STANDARD 6: LEGAL RECORDS).	a) Transfer records as applicable to Litigation Case Records (STANDARD 6: LEGAL RECORDS). b) Destroy in office comments, complaints, petitions, and requests 1 year after resolution.* c) Destroy in office accommodation requests 2 years after resolution.*	Authority: 42 USC 12132
1.15	**CONSTITUENT SURVEYS** Surveys and related records addressing agency services, policies, and other concerns.	Destroy in office when reference value ends.± Agency Policy: Destroy in office after _____	

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ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
1.16	**CORRESPONDENCE AND MEMORANDA** Administrative and management correspondence/memoranda (including e-mail) written or received by the office concerning agency authority, operating philosophy, purpose, methods, and any other function. For information on handling e-mail and text or instant messages, see **ELECTRONIC RECORDS**, page A-11. SEE ALSO: Public Bodies: Correspondence (below) and Legal Correspondence (STANDARD 6: LEGAL RECORDS).	a) Transfer correspondence (including e-mail) with historical value to History Records (below), after 3 years. b) Destroy routine administrative correspondence and memoranda after 1 year. c) Destroy in office remaining records after 3 years. *Retention Note: The correspondence (including e-mail) of the most senior administrator has historical value and should be retained permanently.*	
1.17	**CUSTOMER CALL CENTER RECORDINGS** @ Recordings of calls to customer service centers made for quality assurance and training purposes.	Destroy in office after 30 days.	
1.18	**EQUIPMENT AND VEHICLE MAINTENANCE, REPAIR, AND INSPECTION RECORDS** @ Records concerning the maintenance, repair, routine testing, and inspection of agency owned equipment and vehicles. Also includes warranties. SEE ALSO: Grants (below), and System Maintenance Records: Hardware Repair or Service (STANDARD 5: INFORMATION TECHNOLOGY RECORDS).	a) Destroy in office records documenting routine inspections, janitorial cleaning, and routine maintenance of equipment and vehicles after 1 year.* b) Destroy in office records documenting all other maintenance and repairs after 3 years.* c) Destroy in office warranties 1 year after expiration.	

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

ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
1.19	**EQUIPMENT AND VEHICLE REFERENCE RECORDS** Includes operation, specification, and technical manuals. Also includes brochures, bulletins, and related documentation.	Destroy in office when superseded or obsolete.	
1.20	**EQUIPMENT, FACILITY, AND VEHICLE USAGE RECORDS** Records documenting the assignment, request, and usage of agency assets. Also includes mileage and checkout logs, fuel consumption reports, reservation requests, authorizations, utility usage logs, and similar records.	a) Destroy in office after 3 years if records are used for allocating costs or determining payment under rental or lease agreements.* b) Destroy in office remaining records after 1 year.	
1.21	**FACILITY MAINTENANCE, REPAIR, AND INSPECTION RECORDS** Records documenting maintenance, repair, and inspection of agency-owned facilities, including warranties on said repairs. Also includes any real property owned by the agency. SEE ALSO: Contracts, Leases, and Agreements (STANDARD 6: LEGAL RECORDS), Property Management Records (below).	a) Destroy in office records documenting system repair and improvement (including plumbing, electrical, fire, and other systems) after 3 years. b) Destroy in office records documenting routine inspections, janitorial cleaning, environmental monitoring, and routine maintenance of facilities after 1 year. c) Destroy in office warranties 1 year after expiration.	
1.22	**FORMS AND TEMPLATES** Blank forms, templates, and letterhead used to create agency records.	Destroy in office when superseded or obsolete.	

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ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
1.23	**GRANT PROPOSALS** Proposals submitted for grants, including applications, correspondence (including e-mail), and other related records.	a) Transfer records concerning approved grants to Grants (below). b) Destroy in office rejected or withdrawn grant proposals when reference value ends.± Agency Policy: Destroy in office after _____	
1.24	**GRANTS** @ Records concerning approved federal, state, and private grants. File includes applications, reports, records of equipment purchased with grant funds, and all relevant programmatic records. Also includes any required certifications and disclosures, documentation about grants issued by the agency, and research records generated as part of a grant project. SEE ALSO: Grants: Financial (STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS).	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. b) Destroy in office records of state and private grants 5 years after final financial report is filed.* c) Destroy in office records of grants funded by local appropriations and other federal grants 3 years after final financial report is filed. d) Destroy in office records not relating to a specific grant after 1 year. *Retention Note: According to 2 CFR 200.333(c), records for real property and equipment acquired with Federal funds must be retained for 3 years after disposition of the property/equipment.*	Retention: 09 NCAC 03M .0703 2 CFR 200.333

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

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

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ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
1.35	**MEMBERSHIP RECORDS** Records concerning associations, organizations, groups, etc., with which the agency is involved. Includes records concerning memberships or registrations on behalf of the agency or agency personnel.	Destroy in office when superseded or obsolete.	
1.36	**MISCELLANEOUS (NON-BUILDING) APPLICATIONS, LICENSES, AND PERMITS** Includes, but not limited to, applications and permits regarding free government-issued business permits, burning, special events, and landscape establishment.	a) Destroy in office 1 year after expiration of license/permit. b) Destroy in office applications for which a license/permit was never issued when reference value ends.± Agency Policy: Destroy in office after _____	
1.37 	**OFFICE AND PROPERTY SECURITY RECORDS** Records concerning the security of agency offices, facilities, vehicles, equipment, property, and personnel. Includes visitors' register; security, employee, or contractor access to facilities or resources; and surveillance system reports and recordings. SEE ALSO: Employee Security Records (STANDARD 8: RISK MANAGEMENT).	a) If the recording necessitates law enforcement action, transfer to the appropriate agency. b) If the recording becomes evidence in a personnel investigation or lawsuit, transfer to Disciplinary Actions (STANDARD 4: HUMAN RESOURCES RECORDS), or Litigation Case Records (STANDARD 6: LEGAL RECORDS). c) Destroy in office recordings not required to support known investigations or litigation after 30 days. d) Destroy in office remaining records after 1 year.	Confidentiality: G.S. 132-1.7

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ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.38	**ORDINANCES** Includes code of ordinances. See the **SECURITY PRESERVATION COPIES OF RECORDS** section on page A-15 for instructions on imaging.	a) Retain in office official copy permanently. b) Destroy in office ordinance development records when ordinance is no longer in effect. c) Destroy in office additional copies (including tabled or failed ordinances) when reference value ends.± Agency Policy: Destroy in office after _____	
1.39	**PEST CONTROL** Records concerning pest abatement or eradication programs overseen by the agency. SEE ALSO: Facility Maintenance, Repair, and Inspection Records (above).	Destroy in office after 3 years.*	
1.40	**PHONE LOGS** Records documenting calls placed and received in the course of conducting agency business. SEE ALSO: Accounts Payable (STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS), Voice over Internet Protocol (VoIP) Records (STANDARD 5: INFORMATION TECHNOLOGY RECORDS).	Destroy in office after 1 year.	

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ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
1.41	**POLICIES AND PROCEDURES** @ Records documenting the formulation, planning, and adoption of policies, procedures, and functions of the agency and its departments. File also includes organizational charts, reorganization studies, and similar records describing the arrangement and administrative structure of the agency. SEE ALSO: Civil Rights Records (STANDARD 6: LEGAL RECORDS), Policies and Procedures (Personnel) (STANDARD 4: HUMAN RESOURCES RECORDS), Electronic Records Policies and Procedures (STANDARD 5: INFORMATION TECHNOLOGY RECORDS).	a) Retain in office records with historical value permanently. b) Destroy in office remaining records when superseded or obsolete.	
1.42	**POLL LIST/REGISTRATION LIST/ROSTER/ AUTHORIZATION TO VOTE (ATV)** @ Lists documenting registered electors and votes cast prior to County Board of Elections taking over municipal elections. Includes electronic or paper ATV related records such as ATV books, forms, unused stickers, lists, registers, indexes, or similar records used to verify persons are registered voters at each polling location.	Contact State Archives of North Carolina prior to destroying old poll books and voter registration books.	Authority: G.S. 163 Art. 15A G.S. 163-166.7 08 NCAC 10B .0103 52 USC Chap. 205
1.43	**PRICE QUOTATIONS**	Destroy in office when reference value ends.± Agency Policy: Destroy in office after _____.	

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ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
1.44	**PROCLAMATIONS AND ORDERS** Proclamations and orders issued by the governing board.	a) Retain in office records with historical value permanently. b) Destroy in office remaining records when reference value ends.± Agency Policy: Destroy in office after _____	
1.45	**PROJECTS** @ Includes project correspondence (including e-mail), feasibility studies, final reports, specifications, assessments, notices to proceed, cost estimates, change orders, statements of work, and similar documentation. SEE ALSO: Project Documentation (STANDARD 5: INFORMATION TECHNOLOGY RECORDS).	a) Retain in office records with historical value permanently. b) Destroy in office remaining records 3 years after completion of project.	
1.46	**PROPERTY MANAGEMENT RECORDS** Includes appraisals of the financial valuation of agency-owned property as well as surveys, plats, and maps. SEE ALSO: Facility Maintenance, Repair, and Inspection Records (above).	Destroy in office when superseded or obsolete.	

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ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
1.47	**PUBLIC BODIES: AGENDA AND MEETING PACKETS** Includes agendas and copies of supporting documentation and exhibits submitted and discussed during meetings of public bodies. Also includes documentation of outside meetings attended by agency personnel. SEE ALSO: Public Bodies: Minutes (below).	a) Retain in office records with historical value permanently. b) Destroy in office remaining records when reference value ends.± Agency Policy: Destroy in office after _____	
1.48	**PUBLIC BODIES: APPLICATIONS FOR APPOINTMENT** Applications and related records received from individuals applying for appointments to serve on public boards, commissions, councils, and committees.	a) Destroy in office records concerning appointed individuals 1 year after expiration of term. b) Destroy in office remaining records when reference value ends.± Agency Policy: Destroy in office after _____	
1.49	**PUBLIC BODIES: APPOINTMENT REPORTS** Includes annual appointment reports filed with the NC Department of the Secretary of State.	Destroy in office after 2 years.	Authority: G.S. 143-157.1
1.50	**PUBLIC BODIES: AUDIO AND VIDEO RECORDINGS OF MEETINGS** SEE ALSO: Public Bodies: Minutes (below).	Destroy in office after approval of official written minutes. *NOTE: If these serve as the official minutes, as allowed by G.S. 143-318.10(e), their retention should be permanent. These disposition instructions apply to recordings produced solely for the purpose of generating official written minutes.*	

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ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
1.51	**PUBLIC BODIES: CORRESPONDENCE** Records documenting internal and external communications of governing and advisory board members. Includes correspondence (including e-mail) related to decision-making, policy development, and other high-level planning as well as logistical communications.	a) Transfer correspondence (including e-mail) with historical value to History Records (above), after 3 years. b) Destroy in office remaining records after 3 years.	
1.52	**PUBLIC BODIES: MEETING NOTICES** Includes notices and regular meeting schedules. SEE ALSO: Affidavits of Publication (STANDARD 6: LEGAL RECORDS), Publicity Records (STANDARD 7: PUBLIC RELATIONS RECORDS).	Destroy in office after 1 year.	
1.53	**PUBLIC BODIES: MEMBER FILES** Records concerning members of public boards, commissions, councils, and committees. Includes codes of conduct, ethics statements, agreements, notices of resignation, and other related records. Also includes biographical information and waivers. SEE ALSO: Oaths of Office (STANDARD 6: LEGAL RECORDS), Public Bodies: Applications for Appointment (above).	a) Retain in office records with historical value permanently. b) Destroy in office 1 year after superseded or obsolete waivers from board members choosing not to receive stipend/per diem payments. c) Destroy in office remaining records 1 year after service ends.	

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ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
1.54	**PUBLIC BODIES: MINUTES** Includes minutes of the governing board and all subsidiary and advisory boards. Subsidiary boards are defined as boards that exercise or are authorized to exercise legislative, policy-making, quasi-judicial, or administrative functions. Also includes minutes of subcommittees of the governing board and its subsidiary and advisory boards. See the **SECURITY PRESERVATION COPIES OF RECORDS** section on page A-15 for instructions on imaging. SEE ALSO: Ordinances (above), Public Bodies: Agenda and Meeting Packets (above), Public Bodies: Audio and Video Recordings of Meetings (above), Resolutions (below).	a) Retain in office permanently official minutes of the governing board and its subsidiary boards as well as all attachments necessary to understand the body's actions. b) The official minutes of advisory boards may be destroyed only upon approval by the State Archives of North Carolina. The State Archives reserves the right to designate the minutes of any advisory board as permanent. c) Destroy in office minutes of committees or subcommittees when reference value ends, if the minutes or actions and decisions of the committee are entered as part of the minutes of the parent board. If minutes or actions and decisions of the committee or subcommittee in question are not entered as part of the minutes of the parent board, the State Archives reserves the right to designate the minutes as permanent.± Agency Policy: Destroy in office after _____	Authority: G.S. 143-318.10
1.55	**RATE AND FEE SCHEDULES** @ Records relating to rates, fees, and regulations concerning agency services.	Destroy in office when superseded or obsolete.	

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

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

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

ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.56	**REBATE PROGRAM RECORDS** Applications, receipts, and related records concerning rebate programs sponsored by the agency. These records document programs and incentivized actions that residents may opt into.	a) Destroy in office financial records 3 years after approval.* b) Destroy in office applications 1 year after approval. c) Destroy in office denied applications when reference value ends.± Agency Policy: Destroy in office after _____	
1.57	**RECORDS MANAGEMENT** Includes correspondence (including e-mail) with state and/or federal agencies with regards to records retention. Also includes records disposition documentation, file plans, and copies of records retention and disposition schedules.	a) Retain in office documentation concerning the final disposition of records permanently. b) Destroy in office remaining records when superseded or obsolete.	
1.58	**REFERENCE (READING) FILE** Subject files containing informational copies of records organized by areas of interest. Also includes materials that have no regulatory authority for the recipient and are received from outside the agency or from other units within the agency as well as reference copies of documents where another individual or agency is responsible for maintaining the record copy.	Destroy in office when reference value ends.± Agency Policy: Destroy in office after _____	

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ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
1.59	**REPORTS AND STUDIES** @ Records concerning the performance of a department, program, or project, as well as those created for planning purposes. Includes all annual, sub-annual, or irregularly prepared research studies, reports, and studies generated by an agency or prepared by consultants hired by the agency. Also includes reports required to be submitted to the agency. SEE ALSO: Accident/Incident Reports (STANDARD 8: RISK MANAGEMENT RECORDS), Audits: Financial (STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS), Audits: Performance (above), Budget Reports (STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS), Civil Rights Records (STANDARD 6: LEGAL RECORDS), Financial Reports (STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS), Grants (above), Lost, Stolen, or Damaged Property Reports (STANDARD 8: RISK MANAGEMENT RECORDS), Projects (above), Public Bodies: Appointment Reports (above), Strategic Plan (below), and Unemployment Compensation Reports (STANDARD 4: HUMAN RESOURCES RECORDS).	a) Retain in office permanently 1 copy of all annual and biennial reports written by the agency. b) Retain in office permanently reports and studies prepared by request of an agency's governing body or a court. c) Destroy in office after 3 years reports prepared monthly, bimonthly, or semi-annually. d) Destroy in office after 1 year activity reports concerning workload measurements, time studies, number of jobs completed, etc., prepared on a daily or other periodic basis. e) Destroy in office when superseded or obsolete reports required to be submitted to the agency. f) Destroy in office remaining reports and studies when reference value ends.± Agency Policy: Destroy in office after _____. *Retention Note: Reports and studies listed elsewhere in this schedule should be retained the specified period of time.*	

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

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

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

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

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STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS

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

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

ITEM #	STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
2.01	**ACCOUNTS PAYABLE** Records concerning the status of accounts in which the agency owes money to firms or individuals. Includes invoices, reimbursements, receipts or bills of sale, check registers, and subsidiary registers. Also includes stop payment notices.	a) Destroy in office 5 years after payment documentation of reimbursement for business expenses to employees. b) Destroy in office all remaining records 3 years after payment.*	Retention: 04 NCAC 24D .0501(a)(3)(I)
2.02	**ACCOUNTS RECEIVABLE** @ Records concerning receivables owed and collected. Includes billing statements, records of payment received, remittances, subsidiary registers, overpayment or refund records, deposits, fines and fees assessed, and collection of past due accounts. Also includes records concerning accounts sent to NC Debt Setoff Program for collection.	Destroy in office 3 years after collection.*	G.S. 105A

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

ITEM #	STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
2.03	**ACCOUNTS UNCOLLECTABLE** Records of accounts deemed uncollectable, including returned checks, write-off authorizations, and other related records.	Destroy in office 3 years after account is determined to be uncollectable.*	
2.04	**ANNUAL BUDGET** Annual budget and budget message submitted to governing board for approval. SEE ALSO: Budget Reports (below).	a) Retain in office records with historical value permanently. b) Destroy in office remaining records after 3 years. *Retention Note: Annual budgets should be entered into the minutes of the governing board.*	Authority: G.S. 159-11
2.05	**ARBITRAGE RECORDS** Records concerning arbitrage rebate calculations and funds rebated.	Destroy in office 3 years after final redemption date of the bonds and after all related debts and obligations have been satisfied.*	Authority: 26 CFR 1.148-3
2.06	**AUDITS: FINANCIAL** @ Records concerning internal and external audits. Includes reports, working papers, and related records. SEE ALSO: Audits: Performance (STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS).	a) Retain in office permanently final reports related to internal compliance or operational audits or those that document a significant change in agency practices or have significant administrative value. b) Destroy in office after 10 years final reports related to internal accounting systems and controls and those with limited administrative value. c) Destroy in office working papers and remaining records when superseded or obsolete.*	Authority: G.S. 159-34
2.07	**AUTHORIZATION FORMS** Authorization to purchase materials.	Destroy in office after 3 years.*	

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ITEM #	STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
2.08	**BANK STATEMENTS AND RECONCILIATIONS** Includes bank statements, canceled checks, deposit slips, and reconciliation reports.	Destroy in office after 3 years.*	
2.09	**BIDS FOR DISPOSAL OF PROPERTY** Records concerning the disposal of surplus property. Includes information about various disposition procedures used, such as sealed bids and public auction. SEE ALSO: Accounts Receivable (above).	Destroy in office all records after the disposition of property has been recorded in governing board's minutes.*	Authority: G.S. 153A-176
2.10	**BIDS FOR PURCHASE** Records documenting quotes to supply products and services. Includes advertisements, tabulations, awards letters, records of bids, good faith effort documentation, and related records concerning accepted and rejected bids.	a) Transfer records to Contracts, Leases, and Agreements (STANDARD 6: LEGAL RECORDS) when bid is approved. b) Destroy in office bid records not awarded or opened after 1 year.*	Authority: G.S. 143 Article 8
2.11	**BOND CLOSING RECORDS** Includes applications, agreements, tax records, contracts, official statements, legal opinions, rating letters, public hearing bonds, title insurance, deeds of trust, and other related records concerning bonds issued by the agency. Also includes records concerning expenditure and/or investment of bond proceeds.	Destroy in office 6 years after final maturity.*	Authority: G.S. 159 Article 7

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ITEM #	STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
2.12	**BOND REGISTER** Records of all bonds, notes, and coupons issued by the agency detailing the purpose of issuance, the date of issue, serial numbers (if any), denomination, maturity date, and total principal amount.	Retain in office permanently.	Authority: G.S. 159-130
2.13	**BONDS, NOTES, AND COUPONS**	Destroy in office 1 year from date of payment.	Authority: G.S. 159-139
2.14	**BUDGET ADMINISTRATION RECORDS** Records of budget administration. Includes research, correspondence (including e-mail), and other related records.	Destroy in office after 2 years.*	
2.15	**BUDGET EXECUTION RECORDS** Records of authorizations to move funds between budget codes.	Destroy in office when released from audits.	
2.16	**BUDGET REPORTS** Includes daily detail reports and monthly budget reports. Also includes contract budget and expenditure reports and summaries of tax allocations. SEE ALSO: Annual Budget (above).	a) Destroy in office daily detail reports after 1 year.* b) Destroy in office remaining reports after 3 years.*	
2.17	**BUDGET REQUESTS AND WORKING PAPERS** Includes budget requests, cost estimates, expenditures, program requests, salary and wage lists, correspondence (including e-mail), and related records.	Destroy in office after 3 years.*	Authority: G.S. 159-10

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ITEM #	STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
2.18	**BUDGET RESOLUTIONS AND ORDINANCES** Includes project ordinances, budget resolutions, and amendments. SEE ALSO: Public Bodies: Minutes (STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS).	a) Retain official copies in the minutes of the governing board. b) Destroy in office remaining copies when reference value ends.± Agency Policy: Destroy in office after _____	Authority: G.S. 159-8 G.S. 159-13 G.S. 159-13.2 G.S. 159-15
2.19	**COST ALLOCATION PLANS** Accounting report that calculates and spreads agency-wide indirect costs to departments and funds that receive a service from other departments.	Destroy in office after 3 years.*	
2.20	**CREDIT/DEBIT/PROCUREMENT CARD RECORDS** Records of assignation of agency credit cards and purchasing cards along with authorization logs.	Destroy in office when superseded or obsolete.*	Confidentiality: G.S. 132-1.2(2)
2.21	**DONATIONS AND SOLICITATIONS** Records concerning requests made to agency by outside organizations. Includes applications and other related records. SEE ALSO: Fund Drive and Event Records (STANDARD 7: PUBLIC RELATIONS RECORDS).	a) Destroy in office records supporting approved donations 1 year after payment. b) Destroy in office rejected applications after 30 days.	
2.22	**ELECTRONIC FUNDS TRANSFERS (EFT)** Includes forms authorizing electronic transfer of monies via wire transfer or automated clearing house (ACH) as well as ACH bank reports.	Destroy in office when superseded or obsolete.	Confidentiality: G.S. 14-113.20

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ITEM #	STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
2.23	**ESCHEATS AND UNCLAIMED PROPERTY** Records containing information required to be included in holder reports submitted to the State Treasurer's office.	a) Destroy in office after 10 years if report was filed prior to July 16, 2012.* b) Destroy in office after 5 years if report was filed on or after July 16, 2012.*	Authority: G.S. 116B-60 Retention: G.S. 116B-73
2.24	**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.*	
2.25	**FINANCIAL REPORTS**	a) Destroy in office annual financial reports or other reports generated to inform decision-making after 3 years.* b) Destroy monthly or quarterly reports generated for operational purposes after 1 year. c) Destroy logs and distribution repots generated to track transactions when released from audits.	
2.26	**GOVERNMENT EMPLOYEES RETIREMENT SYSTEM MONTHLY REPORTS** Reports produced by the North Carolina Department of State Treasurer regarding the Teachers' and State Employees' Retirement System (TSERS) and the Local Governmental Employees' Retirement System (LGERS).	Destroy in office when reference value ends.± Agency Policy: Destroy in office after _____	

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

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ITEM #	STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
2.29	**LOAN RECORDS** Records concerning loans received by the agency. Includes documentation of intent to proceed, loan agreements, promissory notes, letters of credit, statements, notices of principal and interest due, and other related records.	Destroy in office 5 years after satisfaction or cancellation of loan.*	
2.30	**LOCAL GOVERNMENT COMMISSION FINANCIAL STATEMENTS**	Destroy in office after 3 years.*	Authority: G.S. 159-33
2.31	**LONGEVITY PAY**	Destroy in office after 5 years.*	Retention: 04 NCAC 24D .0501(a)
2.32 	**PAYMENT CARD DATA** Records created in association with payment card transactions entered by third parties for the purchase of goods or services from the agency.	Destroy in office after processed.*	Confidentiality: G.S. 132-1.2(2) G.S. 132-1.10(b)(5)

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ITEM #	STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
2.33 	**PAYROLL AND EARNINGS RECORDS** Records containing information such as the name, Social Security number, number of hours worked, compensation rate, deductions, and total wages paid each employee per payroll period. Also includes employer contributions (e.g., retirement, healthcare) along with individual and group employee earnings records and payroll registers showing earnings and deductions for each pay period. SEE ALSO: Payroll Deduction Records (below), Time Sheets, Cards, and Attendance Records (below); for 401(k) and other retirement plan payouts, see Retirement Records (STANDARD 4: HUMAN RESOURCES RECORDS).	a) Destroy in office 30 years from date of separation records necessary for retirement or similar benefits verification. b) Destroy in office remaining records after 5 years.*	Authority: 29 CFR 516.30(a) Confidentiality: G.S. 132-1.10 G.S. 115C Art. 21A G.S. 122C-158 G.S. 130A-45.9 G.S. 153A-98 G.S. 160A-168 G.S. 161E-257.2 G.S. 162A-6.1 Retention: 04 NCAC 24D .0501(a) 29 CFR 516.5(a) 29 CFR 1627.3(a)

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ITEM #	STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
2.34 	**PAYROLL DEDUCTION RECORDS** Records used to start, modify, or stop all voluntary or required deductions from payroll. Includes tax withholding (NC-4, W-4), retirement and deferred compensation, savings plans, insurance, association dues, orders of garnishment, etc. Used as proof the employee approved of the deduction(s). SEE ALSO: Payroll and Earnings Records (above), Retirement Records (STANDARD 4: HUMAN RESOURCES RECORDS).	a) Destroy in office tax withholding forms 4 years after termination of deduction.* b) Destroy in office authorizations for deductions for retirement contributions, bank payments, savings plans, insurance, and dues 2 years after termination of deduction. c) Destroy in office remaining records 3 years after termination of deduction.*	Confidentiality: G.S. 115C Art. 21A G.S. 122C-158 G.S. 130A-45.9 G.S. 153A-98 G.S. 160A-168 G.S. 161E-257.2 G.S. 162A-6.1 Retention: IRS Publication 15 29 CFR 516.6(c)(1)
2.35	**POWELL BILL RECORDS** Records include certified statements, expenditures reports, information sheets, financial statements submitted to the North Carolina Department of Transportation, and all other related records.	Destroy in office after 3 years.	
2.36	**PURCHASE ORDERS** Records, forms, packing slips, and attached documents concerning purchased supplies, equipment, and services. SEE ALSO: Grants: Financial (above).	Destroy in office after 3 years.* *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.*	
2.37	**QUALIFIED PRODUCTS LISTS (QPL)** Records identifying products approved for purchase by the agency.	Destroy in office 3 years after superseded or obsolete.*	

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ITEM #	STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
2.38	**REQUISITIONS** Requests for payment or to acquire goods or services. SEE ALSO: Inventories (STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS).	Destroy in office after 1 year.*	
2.39	**SCHOLARSHIP RECORDS** Records concerning scholarships awarded by the agency. Includes applications, award letters, conditions and stipulations, agreements and contracts, disbursement statements, progress reports, and other related records.	a) Destroy in office after 3 years records documenting the awarding of scholarships. b) Destroy in office 1 year after notification of applicant records concerning applications that are denied by the agency or awards that are declined by the recipient.	
2.40	**SHIFT PREMIUM PAY** Authorizations and other related records concerning employees receiving shift premium pay.	Destroy in office after 5 years.*	Retention: 04 NCAC 24D .0501(a)
2.41	**STATEMENTS OF BACK PAY** Forms used to determine the gross pay an employee would have earned during a specified period for back pay in a grievance decision, settlement agreement, or other order.	Destroy in office 3 years after payment.*	

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

ITEM #	STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS		
	RECORDS SERIES TITLE	**DISPOSITION INSTRUCTIONS**	**CITATION**
2.42 	**TAX FORMS** Tax information returns generated by the agency (e.g., 1098, 1099, W-2, W-3) to be reported to the Internal Revenue Service and furnished to the other party to the transaction.	Destroy in office 5 years after submitted to taxpayer and/or IRS.*	Confidentiality: G.S. 132-1.10 G.S. 115C Art. 21A G.S. 122C-158 G.S. 130A-45.9 G.S. 153A-98 G.S. 160A-168 G.S. 161E-257.2 G.S. 162A-6.1 Retention: 04 NCAC 24D .0501(a) IRS Publication 15
2.43	**TAX RETURNS** Tax returns filed by the agency.	Destroy in office 6 years after filed.*	
2.44	**TIME SHEETS, CARDS, AND ATTENDANCE RECORDS** Records documenting the work hours and attendance of employees. SEE ALSO: Payroll and Earnings Records (above).	Destroy in office after 5 years.*	Retention: 04 NCAC 24D .0501(a) 29 CFR 516.6(a)(1)

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

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STANDARD 3: GEOGRAPHIC INFORMATION SYSTEM (GIS) RECORDS

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

ITEM #	*STANDARD 3: GEOGRAPHIC INFORMATION SYSTEM (GIS) RECORDS*		
	RECORDS SERIES TITLE	**DISPOSITION INSTRUCTIONS**	**CITATION**
3.01	**GEOGRAPHIC INFORMATION SYSTEM (GIS) CORE DATA** Geo-referenced data and metadata to facilitate the management, manipulation, analysis, modeling, representation, and spatial analysis of complex problems regarding planning and management of resources.	Retain in office parcel, boundary, zoning, and orthoimagery layers (with accompanying data sets) permanently. *Retention Note: Other datasets should be kept according to standards and procedures set by the* North Carolina Geographic Information Coordinating Council. *See also* **GEOSPATIAL RECORDS**, *page A-13.*	
3.02	**GEOGRAPHIC INFORMATION SYSTEM (GIS) DATA DOCUMENTATION (METADATA)** Records created during development or modification of an automated system which are necessary to access, retrieve, manipulate, and interpret data in that system; and records that explain the meaning, purpose, structure, local relationships, and origin of the data elements. Includes data element dictionaries, file layout, codebooks and tables, and definition files.	Destroy in office when the system is discontinued or when system data has been transferred to a new operating environment (platform).	

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

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ITEM #	STANDARD 3: GEOGRAPHIC INFORMATION SYSTEM (GIS) RECORDS		
	RECORDS SERIES TITLE	**DISPOSITION INSTRUCTIONS**	**CITATION**
3.03	**GEOGRAPHIC INFORMATION SYSTEM (GIS) INTERNAL STANDARDS AND PROCEDURES** Includes requirements that are intended to make hardware, software, and data compatible and that cover data capture, accuracy, sources, base categories, output, and data element dictionaries.	Retain in office permanently.	
3.04	**GEOGRAPHIC INFORMATION SYSTEM (GIS) MONITORING RECORDS** Includes system security, quality assurance, transaction tracking, and other related activity monitoring records.	Destroy in office after 1 year.	
3.05	**GEOGRAPHIC INFORMATION SYSTEM (GIS) OPERATIONAL RECORDS** Includes user guides, system flowcharts, job or workflow records, system specifications, and similar documentation.	Destroy in office when the system is discontinued or when system data has been transferred to a new operating environment (platform).	
3.06	**GEOGRAPHIC INFORMATION SYSTEM (GIS) PROJECT RECORDS**	a) Retain in office GIS datasets and accompanying documentation (metadata) with historical and/or legal value permanently. b) Destroy in office remaining items when reference value ends.± Agency Policy: Destroy in office after _____	

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

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ITEM #	STANDARD 3: GEOGRAPHIC INFORMATION SYSTEM (GIS) RECORDS		
	RECORDS SERIES TITLE	**DISPOSITION INSTRUCTIONS**	**CITATION**
3.07	**LAYERS: ADDRESS POINTS** See also **GEOSPATIAL RECORDS**, page A-13.	Paper: Retain in office permanently. GIS dataset: Create a snapshot of dataset annually. To maintain permanently, *Either:* Transfer snapshot to NCOneMap according to established procedures, complying with standards and procedures adopted by the North Carolina Geographic Information Coordinating Council. *Or:* If retained in office, your agency must comply with standards (for metadata, file naming, data sharing, and long term preservation) and procedures adopted by the North Carolina Geographic Information Coordinating Council.	
3.08	**LAYERS: CORPORATE LIMITS** See also **GEOSPATIAL RECORDS**, page A-13.	Paper: Retain in office permanently. GIS dataset: Create a snapshot of dataset annually. To maintain permanently, *Either:* Transfer snapshot to NCOneMap according to established procedures, complying with standards and procedures adopted by the North Carolina Geographic Information Coordinating Council. *Or:* If retained in office, your agency must comply with standards (for metadata, file naming, data sharing, and long term preservation) and procedures adopted by the North Carolina Geographic Information Coordinating Council.	

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

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

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

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ITEM #	STANDARD 3: GEOGRAPHIC INFORMATION SYSTEM (GIS) RECORDS		
	RECORDS SERIES TITLE	**DISPOSITION INSTRUCTIONS**	**CITATION**
3.11	**LAYERS: STREET CENTERLINE** See also **GEOSPATIAL RECORDS**, page A-13.	Paper: Retain in office permanently. GIS dataset: Create a snapshot of dataset annually. To maintain permanently, *Either:* Transfer snapshot to NCOneMap according to established procedures, complying with standards and procedures adopted by the North Carolina Geographic Information Coordinating Council. *Or:* If retained in office, your agency must comply with standards (for metadata, file naming, data sharing, and long term preservation) and procedures adopted by the North Carolina Geographic Information Coordinating Council.	
3.12	**MAPPING PROJECT RECORDS** Includes contract maps and all deliverable products for aerial photography, orthophotography, cartographic, cadastral, and digital mapping projects. See also **GEOSPATIAL RECORDS**, page A-13.	Paper: Retain in office permanently. GIS dataset: Create a snapshot of dataset annually. To maintain permanently, *Either:* Transfer snapshot to NCOneMap according to established procedures, complying with standards and procedures adopted by the North Carolina Geographic Information Coordinating Council. *Or:* If retained in office, your agency must comply with standards (for metadata, file naming, data sharing, and long term preservation) and procedures adopted by the North Carolina Geographic Information Coordinating Council.	

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

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ITEM #	STANDARD 3: GEOGRAPHIC INFORMATION SYSTEM (GIS) RECORDS		
	RECORDS SERIES TITLE	**DISPOSITION INSTRUCTIONS**	**CITATION**
3.13	**MAPS: PARCEL** Maps, including cadastral maps, and surveys of boundaries and measurements of each parcel, and information about encroachments, right-of-ways, and structures. See also **GEOSPATIAL RECORDS**, page A-13, and Property Management Records (STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS).	Paper: Destroy in office upon State Archives approval. GIS dataset: Create a snapshot of dataset quarterly. To maintain permanently, *Either:* Transfer snapshot to NCOneMap according to established procedures, complying with standards and procedures adopted by the North Carolina Geographic Information Coordinating Council. *Or:* If retained in office, your agency must comply with standards (for metadata, file naming, data sharing, and long term preservation) and procedures adopted by the North Carolina Geographic Information Coordinating Council.	
3.14	**MAPS: PARKS** Includes park boundaries, facilities, landscaping, topography, and other pertinent information. Also includes maps and drawings stored and generated by Geographic Information System (GIS) and computer-aided design (CAD) systems. See also **GEOSPATIAL RECORDS**, page A-13.	Paper: Retain in office permanently. GIS dataset: Create a snapshot of dataset annually. To maintain permanently, *Either:* Transfer snapshot to NCOneMap according to established procedures, complying with standards and procedures adopted by the North Carolina Geographic Information Coordinating Council. *Or:* If retained in office permanently, your agency must comply with standards (for metadata, file naming, data sharing, and long term preservation) and procedures adopted by the North Carolina Geographic Information Coordinating Council.	

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

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ITEM #	STANDARD 3: GEOGRAPHIC INFORMATION SYSTEM (GIS) RECORDS		
	RECORDS SERIES TITLE	**DISPOSITION INSTRUCTIONS**	**CITATION**
3.15	**MAPS: ALL OTHER** @ Includes field maps, soil, topographic, sales, subdivision plats, right-of-way, sectional, highway, etc. Also includes paper maps.	a) Retain in office maps, including GIS datasets and accompanying documentation (metadata), with historical and/or legal value permanently. b) Destroy in office remaining items when reference value ends.± *Retention note: Contact the State Archives of North Carolina before destroying any tax maps, watershed maps, or zoning maps.* Agency Policy: Destroy in office after _____	

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STANDARD 4: HUMAN RESOURCES RECORDS

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

ITEM #	*STANDARD 4: HUMAN RESOURCES RECORDS*		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
4.01	**ABOLISHED POSITIONS** Records concerning positions that have been abolished.	Destroy in office after 1 year.	
4.02 	**ADMINISTRATIVE INVESTIGATIONS** Records concerning the investigation of conduct problems among agency personnel. SEE ALSO: Disciplinary Actions (below).	a) Destroy in office after 3 years records concerning complaints against agency personnel that are resolved without an internal investigation. b) Destroy in office after 5 years records concerning complaints lodged against agency personnel that are exonerated. c) Destroy in office 5 years after final disposition or expiration of relevant statute of limitations complaints lodged against agency personnel that are settled out-of-court. d) Transfer investigation reports, disciplinary actions, and other related internal affairs case records to Personnel Records (Official Copy) (below).	Confidentiality: G.S. 115C Art. 21A G.S. 122C-158 G.S. 130A-45.9 G.S. 153A-98 G.S. 160A-168 G.S. 161E-257.2 G.S. 162A-6.1

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

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

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

ITEM #	STANDARD 4: HUMAN RESOURCES RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
4.03 	**APPLICATIONS FOR EMPLOYMENT** Records submitted by job applicants for vacant positions or by current employees for promotion, transfer, or training opportunities. Includes applications, transcripts, resumes, letters of reference, and other related records.	a) Transfer applications, resumes, transcripts, and similar records as applicable to Personnel Records (Official Copy) (below) or Seasonal and Contract Worker Records (below). b) Destroy in office after 2 years unsolicited application materials from individuals hired. c) Destroy in office records concerning individuals not hired 2 years after date of receipt, if no charge of discrimination has been filed. If charge has been filed, destroy in office 1 year after resolution of charge.* d) Destroy in office 2 years after receipt unsolicited applications/resumes and those received after posted closing dates.	Confidentiality: G.S. 115C Art. 21A G.S. 122C-158 G.S. 130A-45.9 G.S. 153A-98 G.S. 160A-168 G.S. 161E-257.2 G.S. 162A-6.1 Retention: 29 CFR 1602.31
4.04	**APPRENTICESHIP PROGRAM RECORDS** Records concerning registered apprenticeship programs. Includes applications and selection materials as well as aggregated data. Also includes apprenticeship affirmative action plans.	Destroy in office 5 years after the making of the record or the personnel action involved, whichever occurs later.	Authority: 29 CFR 30.4(a) 29 CFR 1602.20 Retention: 29 CFR 30.12(d) 29 CFR 1602.21

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ITEM #	STANDARD 4: HUMAN RESOURCES RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
4.05 	**APTITUDE AND SKILLS TESTING RECORDS** Records concerning aptitude and skills tests required of job applicants or of current employees to qualify for promotion or transfer. Includes civil service examinations. SEE ALSO: Employment Selection Records (below).	Destroy in office after 2 years.	Confidentiality: G.S. 115C Art. 21A G.S. 122C-158 G.S. 130A-45.9 G.S. 153A-98 G.S. 160A-168 G.S. 161E-257.2 G.S. 162A-6.1 Retention: 29 CFR 1602.31 29 CFR 1627.3(b)(1)(iv)
4.06	**ASBESTOS TRAINING** Records concerning training programs about the proper management of asbestos. SEE ALSO: Bloodborne Pathogen Training (below), Hazardous Materials Training Records (below).	a) Destroy in office employee-specific records 1 year after separation. b) Destroy in office remaining records when superseded or obsolete.	Retention: 29 CFR 1910.1001(m)(4)

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ITEM #	STANDARD 4: HUMAN RESOURCES RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
4.07	**BENEFITS RECORDS** Records concerning life, health, accident, and disability insurance plans as well as seniority and merit systems. Includes records concerning systems in which employees can select fringe benefits from a cafeteria plan, including flexible spending plans. File also includes notifications, election and claim forms, rejection letters, and other records related to COBRA (Consolidated Omnibus Budget Reconciliation Act).	a) Destroy in office approved claims forms after 2 years.* b) Destroy in office rejected requests 6 months after decision. c) Destroy in office 3 years after employee returns or eligibility expires notifications to employees or dependents informing them of their rights to continue insurance coverage after termination or during disability or family leave. d) Destroy in office remaining records 1 year after plan is terminated.	Retention: 29 CFR 1627.3(b)(2)
4.08	**BLOODBORNE PATHOGEN TRAINING** Includes records showing date of training, sessions, contents or summaries of sessions, names of employees attending, and names and qualifications of instructors. SEE ALSO: Asbestos Training (above), Hazardous Materials Training Records (below).	Destroy in office after 3 years.	Retention: 29 CFR 1910.1030(h)(2)(ii)
4.09	**DIRECTORIES, ROSTERS, OR INDICES** Includes records listing employees, their job titles, work locations, phone numbers, e-mail addresses, and similar information.	Destroy in office when superseded or obsolete.	

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ITEM #	STANDARD 4: HUMAN RESOURCES RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
4.10	**DISABILITY SALARY CONTINUATION CLAIMS** Forms used by disabled employees to apply for salary continuation benefits. Also include short-term disability claims forms and other related records.	a) Transfer original forms to Local Government Employees' Retirement System (LGERS) or Teachers' and State Employees' Retirement System (TSERS) for action when received. b) Destroy in office remaining records after 3 years.	
4.11	**DISCIPLINARY ACTIONS** Correspondence (including e-mail) and other records concerning disciplinary actions taken against employees by personnel or supervisory staff, including records documenting terminations. Includes records created by civil service boards when considering, or reconsidering on appeal, an adverse action against an employee.	a) Transfer records as applicable to Personnel Records (Official Copy) (below). b) Destroy in office all remaining records 2 years after resolution of all actions.	Authority: G.S. 115C Art. 21A G.S. 122C-158 G.S. 130A-45.9 G.S. 153A-98 G.S. 160A-168 G.S. 161E-257.2 G.S. 162A-6.1 Retention: 29 CFR 1602.31 Subject to the public information provision delineated in the above authorities.

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ITEM #	STANDARD 4: HUMAN RESOURCES RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
4.12	**DUAL EMPLOYMENT** Records concerning employees' requests and authorizations to accept employment with another local government agency. SEE ALSO: Secondary Employment (below).	a) Destroy in office approved requests and related records 1 year after employee terminates additional employment. b) Destroy in office denied requests and related records after 6 months.	
4.13 	**EDUCATIONAL LEAVE AND REIMBURSEMENT** Includes records requesting educational leave and tuition assistance, reimbursements, and other related records. SEE ALSO: Leave Records (below).	a) Transfer records documenting approved leave requests to Personnel Records (Official Copy) (below). b) Destroy in office records concerning denied requests 6 months after denial.* c) Destroy in office records concerning approved tuition reimbursements 3 years after reimbursement.*	Confidentiality: G.S. 115C Art. 21A G.S. 122C-158 G.S. 130A-45.9 G.S. 153A-98 G.S. 160A-168 G.S. 161E-257.2 G.S. 162A-6.1
4.14 	**EMPLOYEE ASSISTANCE PROGRAMS** Records documenting assistance and counseling opportunities. Includes requests for information, referrals, forms, releases, correspondence, and other related records.	Destroy in office after 3 years.	Confidentiality: G.S. 115C Art. 21A G.S. 122C-158 G.S. 130A-45.9 G.S. 153A-98 G.S. 160A-168 G.S. 161E-257.2 G.S. 162A-6.1

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ITEM #	STANDARD 4: HUMAN RESOURCES RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
4.15 	**EMPLOYMENT ELIGIBILITY RECORDS** Includes the I-9 forms, employment authorization documents filed with the U.S. Department of Labor, petitions filed by the agency, E-Verify documentation, and Selective Service Registration compliance forms.	a) I-9 forms have mandatory retention throughout the duration of an individual's employment. After separation, destroy records in office 3 years from date of hire or 1 year from separation, whichever occurs later. b) Destroy in office after 5 years employment authorization documents filed with the U.S. Department of Labor. c) Destroy in office immigrant or nonimmigrant petitions filed by the agency 3 years after employee separation. d) Destroy in office remaining records 1 year after employee separation.	Confidentiality: G.S. 115C Art. 21A G.S. 122C-158 G.S. 130A-45.9 G.S. 153A-98 G.S. 160A-168 G.S. 161E-257.2 G.S. 162A-6.1 Retention: 8 USC 1324a(b)(3)
4.16 	**EMPLOYMENT SELECTION RECORDS** Records concerning the selection of applicants for vacant positions or of current employees for promotion, transfer, or training opportunities. Includes interview documentation, rosters, eligibility lists, test ranking sheets, justification statements, background and criminal history checks, and similar records. SEE ALSO: Applications for Employment (above), Aptitude and Skills Testing Records (above).	a) Destroy in office background and criminal history checks after 5 years. b) Destroy in office remaining records 2 years after hiring decision.*	Confidentiality: G.S. 115C Art. 21A G.S. 122C-158 G.S. 130A-45.9 G.S. 153A-98 G.S. 160A-168 G.S. 161E-257.2 G.S. 162A-6.1 Retention: 29 CFR 1602.31 29 CFR 1627.3(b)(1)

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ITEM #	STANDARD 4: HUMAN RESOURCES RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
4.17 	**EXIT INTERVIEW RECORDS** Includes feedback from employees planning to separate from the agency.	Destroy in office after 1 year.	Confidentiality: G.S. 115C Art. 21A G.S. 122C-158 G.S. 130A-45.9 G.S. 153A-98 G.S. 160A-168 G.S. 161E-257.2 G.S. 162A-6.1
4.18 	**FAMILY MEDICAL LEAVE ACT (FMLA) RECORDS** Records concerning leave taken, premium payments, employer notice, medical examinations considered in connection with personnel action, disputes with employees over FMLA, and other related records. SEE ALSO: Leave Records (below).	Destroy in office 3 years after leave ends.*	Authority: 29 CFR 825.110 Confidentiality: G.S. 115C Art. 21A G.S. 122C-158 G.S. 130A-45.9 G.S. 153A-98 G.S. 160A-168 G.S. 161E-257.2 G.S. 162A-6.1 Retention: 29 CFR 825.500(b)

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

ITEM #	STANDARD 4: HUMAN RESOURCES RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
4.19 	**GRIEVANCES** Includes initial complaint by employee, investigation, action, summary, and disposition. SEE ALSO: Disciplinary Actions (above), Personnel Records (Official Copy) (below).	Destroy in office after 2 years.*	Confidentiality: G.S. 115C Art. 21A G.S. 122C-158 G.S. 130A-45.9 G.S. 153A-98 G.S. 160A-168 G.S. 161E-257.2 G.S. 162A-6.1
4.20	**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. May also include documentation of loans of radioactive materials for the purpose of training exercises. SEE ALSO: Asbestos Training (above), Bloodborne Pathogen Training (above).	Destroy in office after 5 years.	Authority: 29 CFR 1910.120(p)(8)(iii) 10A NCAC 15
4.21	**INTERNSHIP PROGRAM** Records concerning interns and students who work for the agency.	Destroy in office after 2 years.	
4.22	**LAW ENFORCEMENT TRAINING** Records concerning internal training for law enforcement personnel.	Retain in office permanently.	

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ITEM #	STANDARD 4: HUMAN RESOURCES RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
4.23 	**LEAVE RECORDS** Records concerning employee leave, including requests for and approval of sick, vacation, overtime, buy-back, shared, donated, etc. Also includes records documenting leave without pay. SEE ALSO: Educational Leave and Reimbursement (above), Family Medical Leave Act (FMLA) Records (above), Military Leave (below).	a) Destroy in office approved requests 3 years after return or separation of employee.* b) Destroy in office denied requests after 6 months.	Confidentiality: G.S. 115C Art. 21A G.S. 122C-158 G.S. 130A-45.9 G.S. 153A-98 G.S. 160A-168 G.S. 161E-257.2 G.S. 162A-6.1
4.24 	**MEDICAL RECORDS** Records for employees, contractors, and volunteers concerning asbestos, toxic substances, and bloodborne pathogen exposure; physical examinations required by the employer in connection with any personnel action, including health or physical examination reports, or certificates created in accordance with the Americans with Disabilities Act (ADA); and records of injury or illness. (Does not include worker's compensation or health insurance claim records.) SEE ALSO: Benefits Records (above), Workers' Compensation Program Claims (below).	a) Destroy in office exposure records 30 years after date of exposure.* b) Destroy in office records pertaining to first-aid job-related illness and injury after 5 years. c) Provide medical records to employees who have worked for less than 1 year at time of separation. d) Destroy in office after 1 year records concerning physical examinations or health certificates. e) Destroy in office remaining records 30 years after employee separation. *Retention Note: Records must be maintained separately from an employee's personnel jacket. If part of a worker's compensation claim, follow disposition for Workers' Compensation Program Claims (below).*	Authority: 29 CFR 1910.1020(e) Confidentiality: 29 CFR 1630.14(c)(1) 29 CFR 1910.1030(h)(1)(iii) Retention: 29 CFR 1627.3(b)(1)(v) 29 CFR 1910.1020(d) 42 USC 12112(d)(3)

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ITEM #	STANDARD 4: HUMAN RESOURCES RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
4.25	**MILITARY LEAVE** Records concerning military leave, as established by the Uniformed Services Employment and Reemployment Rights Act (USERRA). SEE ALSO: Leave Records (above).	Destroy in office 3 years after leave ends or employee separates from agency.*	Authority: 5 CFR 1208
4.26 	**PERFORMANCE REVIEWS** Information used to establish employees' goals and primary tasks. Records used to evaluate each employee's work performance. SEE ALSO: Personnel Records (Official Copy) (below).	Destroy in office after 3 years.	Confidentiality (applies only to performance evaluations): G.S. 115C Art. 21A G.S. 122C-158 G.S. 130A-45.9 G.S. 153A-98 G.S. 60A-168 G.S. 161E-257.2 G.S. 162A-6.1
4.27	**PERSONNEL ACTION NOTICES** Records used to create or change information in the personnel records of individual employees concerning such issues as hiring, termination, transfer, pay grade, and position or job title.	Transfer records to Personnel Records (Official Copy) (below).	Subject to the public information provision delineated in relevant General Statutes.

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ITEM #	STANDARD 4: HUMAN RESOURCES RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
4.28 	**PERSONNEL RECORDS (OFFICIAL COPY)** Official copy of personnel file maintained on each permanent and temporary agency employee that is eligible for benefits. Includes basic employee information and records and forms relating to the selection or non-selection, promotion, transfer, leave, salary, suspension, and termination of employment. Note: For agencies responsible for maintaining personnel files for criminal justice officers, please consult 12 NCAC 09C .0307 for the mandatory records of certification that must be housed in the personnel file. SEE ALSO: Medical Records (above), Seasonal and Contract Worker Records (below).	a) Destroy in office after 30 years from date of separation information needed to document: date and amount of each increase or decrease in salary with that agency; date and type of each promotion, demotion, transfer, suspension, separation, or other change in position classification with that agency; date and general description of the reasons for each promotion with that agency; date and type of each dismissal, suspension, or demotion for disciplinary reasons taken by the agency; and, if the disciplinary action was a dismissal, a copy of the written notice of the final decision of the agency setting forth the specific acts or omissions that are the basis of the dismissal. b) Destroy in office information necessary to verify benefits 30 years after date of separation. c) Destroy in office remaining records when individual retention periods are reached as noted in individual items in this Records Retention and Disposition Schedule.	Authority/ Confidentiality: G.S. 115C Art. 21A G.S. 122C-158 G.S. 130A-45.9 G.S. 153A-98 G.S. 160A-168 G.S. 161E-257.2 G.S. 162A-6.1
4.29 	**PERSONNEL RECORDS (SUPERVISOR COPY)** Personnel jacket that is often maintained by supervisors.	a) Transfer records as applicable to Personnel Records (Official Copy) (above). b) Destroy in office remaining records when reference value ends.± Agency Policy: Destroy in office after _____	Confidentiality: G.S. 115C Art. 21A G.S. 122C-158 G.S. 130A-45.9 G.S. 153A-98 G.S. 160A-168 G.S. 161E-257.2 G.S. 162A-6.1

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ITEM #	STANDARD 4: HUMAN RESOURCES RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
4.30	**POLICIES AND PROCEDURES (PERSONNEL)** Official internal agency personnel policies and procedures. Also includes agreements and authorizations required of employees, orientation materials, and informational data. SEE ALSO: Civil Rights Records (STANDARD 6: LEGAL RECORDS), and Workers' Compensation Program Administration (below).	a) Retain in office internal agency personnel policies and procedures permanently. b) Destroy in office remaining records when superseded or obsolete.	
4.31 	**POLYGRAPH RECORDS** Includes statements informing employee of the time, place, and reasons for the test; copy of notice sent to examiner identifying employee to be tested; and copies of opinions, reports, or similar records generated by the examiner and provided to the agency.	Destroy in office 3 years from the date the test was given, or from the date the test was requested if no examination was given.	Confidentiality: G.S. 115C Art. 21A G.S. 122C-158 G.S. 130A-45.9 G.S. 153A-98 G.S. 160A-168 G.S. 161E-257.2 G.S. 162A-6.1 Retention: 29 CFR 801.30

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ITEM #	STANDARD 4: HUMAN RESOURCES RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
4.32	**POSITION CLASSIFICATION, CONTROL, AND HISTORY** Records concerning personnel actions and position control, status of each established permanent, temporary full-time, or part-time position, and other related topics. Also includes listings providing classification, titles, and position numbers. SEE ALSO: Position Descriptions (below).	a) Retain in office records with historical value permanently. b) Destroy in office remaining records when superseded or obsolete.	
4.33	**POSITION DESCRIPTIONS** Includes information on job title, grade, duties, agency assigned, and responsibilities.	Destroy in office 2 years after superseded.	Retention: 29 CFR 1620.32
4.34	**POSITION EVALUATIONS** Forms used to evaluate the primary purpose of a position.	Destroy in office after 1 year.	
4.35	**RECRUITMENT RECORDS** Includes ads and notices of overtime, promotion, and training. Also includes employment listings.	Destroy in office 1 year from date of record.	Retention: 29 CFR 1627.3(b)

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ITEM #	STANDARD 4: HUMAN RESOURCES RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
4.36	**RETIREMENT RECORDS** Includes descriptive information about retirement systems along with plans and related records outlining the terms of employee pension and other deferred compensation plans, including 401(k). SEE ALSO: Payroll and Earnings Records; Payroll Deduction Records (STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS).	a) Destroy in office descriptive information about retirement plans 1 year after plan is terminated. b) Destroy in office records concerning employer-sponsored retirement plans 7 years after payment.* c) Transfer Local Governmental Employees' Retirement System (LGERS) forms to Department of State Treasurer. d) Transfer applicable records to Personnel Records (Official Copy) (above).	Retention: 29 CFR 1627.3(b)(2)
4.37	**SEASONAL AND CONTRACT WORKER RECORDS** Records concerning seasonal or contractual employees who are not provided with or eligible for benefits. SEE ALSO: Personnel Records (Official Copy) (above).	Destroy in office 5 years after date of separation.	Confidentiality: G.S. 115C Art. 21A G.S. 122C-158 G.S. 130A-45.9 G.S. 153A-98 G.S. 160A-168 G.S. 161E-257.2 G.S. 162A-6.1
4.38	**SECONDARY EMPLOYMENT** Records concerning employees' requests and authorizations to accept employment with a private entity. SEE ALSO: Dual Employment (above.)	a) Destroy in office approved requests and related records 1 year after employee terminates outside employment. b) Destroy in office denied requests and related records after 6 months.	

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

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ITEM #	STANDARD 4: HUMAN RESOURCES RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
4.42 	**UNEMPLOYMENT COMPENSATION CLAIMS** Claim forms and other related records concerning unemployment compensation cases.	Destroy in office after 5 years.*	Confidentiality: G.S. 115C Art. 21A G.S. 122C-158 G.S. 130A-45.9 G.S. 153A-98 G.S. 160A-168 G.S. 161E-257.2 G.S. 162A-6.1 Retention: 04 NCAC 24D .0501(a)
4.43	**UNEMPLOYMENT COMPENSATION REPORTS** Quarterly reports showing month-to-date wages, month-to-date compensation, year-to-date wages, and year-to-date compensation for each employee. May be filed with NC Division of Employment Security.	Destroy in office after 5 years.*	Retention: 04 NCAC 24D .0501(a)
4.44	**UNEMPLOYMENT INSURANCE** Forms submitted to the Department of Commerce to report wage records of terminated employees.	Transfer to the N.C. Department of Commerce, Division of Employment Security.	
4.45	**VERIFICATION OF EMPLOYMENT RECORDS** Inquiries and responses concerning verification of an employee's prior or current employment with the agency.	Destroy in office after 1 year.	
4.46	**VOLUNTEER RECORDS** Records concerning individuals who volunteer to assist with various agency activities.	Destroy in office 2 years after completion of assignment.	

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ITEM #	STANDARD 4: HUMAN RESOURCES RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
4.47	**WORK SCHEDULES AND ASSIGNMENTS** Records concerning work, duty, shift, crew, or case schedules, rosters, or assignments.	Destroy in office after 1 year.	
4.48	**WORKERS' COMPENSATION PROGRAM ADMINISTRATION** Includes program policies, guidelines, and related administrative documentation.	a) Retain in office records with historical value permanently. b) Destroy in office remaining records when superseded or obsolete.	
4.49 	**WORKERS' COMPENSATION PROGRAM CLAIMS** Records concerning workers' compensation claims filed by employees' supervisors concerning accidental injuries or illnesses suffered on the job. Includes Employer's Report of Injury to Employee (Form 19), accident investigation reports, medical reports, claim cost reports, reference copies of medical invoices, and other related records. *Note: All official copies of claims records should be transferred to the North Carolina Industrial Commission in compliance with G.S. 97-92(a).*	Destroy in office agency's working file for workers' compensation claims by its employees 5 years after employee returns to work or separates from agency.*	Confidentiality: G.S. 8-53 G.S. 97-92(b)

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STANDARD 5: INFORMATION TECHNOLOGY (IT) RECORDS

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

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

ITEM #	STANDARD 5: INFORMATION TECHNOLOGY RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
5.01 	**AUDITS: IT SYSTEMS** Records documenting user actions affecting the contents of monitored systems. Also includes fixity checks and other periodic tests of data validity.	a) Destroy in office 1 year after superseded or obsolete fixity check documentation. b) Destroy in office remaining records after disposition of record.*	Confidentiality: G.S. 132-6.1(c)
5.02	**COMPUTER AND NETWORK USAGE RECORDS** Records documenting usage of electronic devices and networks. Includes login files, system usage files, individual program usage files, and records of use of the Internet by employees.	Destroy in office after 1 year.	
5.03	**DATA DOCUMENTATION RECORDS** Records concerning data in automated systems. Includes data element dictionary, file layout, code book or table, entity relationships tables, and other records related to the structure, management, and organization of data.	Destroy in office 3 years after system is discontinued and/or replaced.	

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ITEM #	STANDARD 5: INFORMATION TECHNOLOGY RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
5.04	**DATA MIGRATION RECORDS** Technical records documenting data migrations. *Note: The data itself is subject to the disposition instructions indicated for its relevant records series; these are merely records about migrating said data.*	Destroy in office 1 year after completion of data migration.	
5.05	**DATA WAREHOUSES** Federated data gathered by the agency from other sources for the purposes of comparison and distribution. SEE ALSO: Collected Data (STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS).	Destroy in office when superseded or obsolete.	Maintain confidentiality consistent with any restrictions placed on the data provider.
5.06	**DIGITIZATION AND SCANNING RECORDS** Records concerning data entry and imaging operations. Includes quality control records. See also **REQUEST FOR DISPOSAL OF ORIGINAL RECORDS DUPLICATED BY ELECTRONIC MEANS**, page A-21.	Destroy in office 10 days after digitization. *Note: The digital surrogate becomes the record copy and must be retained according to the disposition instructions for that record type.*	
5.07 	**ELECTRONIC RECORDS POLICIES AND PROCEDURES** Includes procedural manuals as well as an Electronic Records and Imaging Policy and a Security Backup Policy.	Destroy in office 3 years after superseded or obsolete.	Confidentiality: G.S. 132-1.7(b) G.S. 132-6.1(c)

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ITEM #	STANDARD 5: INFORMATION TECHNOLOGY RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
5.08	**INFORMATION TECHNOLOGY ASSISTANCE RECORDS** Records documenting troubleshooting and problem-solving assistance provided by agency information systems personnel to users of the systems. Includes help desk assistance requests, resolution records, and related documentation.	Destroy in office 1 year after work is completed.	
5.09 	**NETWORK AND SYSTEM SECURITY RECORDS** Records documenting cybersecurity efforts. Includes records concerning firewalls, anti-virus programs, intruder scanning logs, and other related records.	a) Destroy in office finalized cyber incident reports 5 years after resolution. b) Destroy in office after 2 years records documenting incidents involving unauthorized attempted entry or probes on data processing systems, IT systems, telecommunications networks, and electronic security systems. c) Destroy in office after 1 year records concerning firewalls, anti-virus programs, and other related records.	Confidentiality: G.S. 132-6.1(c)
5.10 	**NETWORK DIAGRAMS** Records documenting the logical and physical relationships of network components for purposes of organization, deployment, troubleshooting, monitoring of access, and management of day-to-day operations.	Destroy in office when superseded or obsolete.	Confidentiality: G.S. 132-6.1(c)

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ITEM #	STANDARD 5: INFORMATION TECHNOLOGY RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
5.11	**PROJECT DOCUMENTATION** Records created to design, develop, control, or monitor a specific project or group of IT projects. Includes statements of work, assessments, maintenance agreements, and testing records. SEE ALSO: Projects (STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS).	a) Retain in office permanently records with historical value. b) Destroy in office remaining records 3 years after completion of project.	
5.12	**SOFTWARE LICENSE AND COPYRIGHT PROVISIONS RECORDS** Records documenting compliance with agency software license and copyright provisions. Includes software licenses, correspondence (including e-mail), and related documentation.	Destroy in office 1 year after software is superseded or obsolete.	
5.13	**SYSTEM ACCESS RECORDS** Records documenting access requests and authorizations, system access logs, and other related records.	Destroy in office 1 year after superseded or obsolete.	
5.14 	**SYSTEM DOCUMENTATION RECORDS** Records documenting operating systems, application programs, structure and form of datasets, system structure, and system-to-system communication. Includes system overviews, dataset inventories, server name, IP address, purpose of the system, vendor-supplied documentation, installed software, and current source code.	Destroy in office 3 years after superseded or obsolete.	Confidentiality: G.S. 132-1.1(g) G.S. 132-6.1(c)

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ITEM #	STANDARD 5: INFORMATION TECHNOLOGY RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
5.15	**SYSTEM MAINTENANCE RECORDS: HARDWARE REPAIR OR SERVICE** Records documenting inspections, maintenance, and repairs of agency computer systems that are owned or leased. Includes computer equipment inventories and service records. SEE ALSO: Equipment and Vehicle Maintenance, Repair, and Inspection Records (STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS).	a) Destroy in office records documenting routine inspections and maintenance of equipment after 1 year. b) Destroy records documenting all other equipment maintenance and repairs upon the final disposition of the equipment.	
5.16	**SYSTEM MAINTENANCE RECORDS: RECORDS BACKUPS** Records documenting regular or essential system backups. Includes backup tape inventories, relevant correspondence (including e-mail), and related documentation. See also *Security Backup Files as Public Records in North Carolina: Guidelines for the Recycling, Destruction, Erasure, and Re-use of Security Backup Files*, available on the State Archives of North Carolina website.	Destroy in office in accordance with your office's established, regular backup plan and procedures.± Agency Policy: Destroy in office after _____	
5.17	**TECHNICAL PROGRAM DOCUMENTATION** Records concerning program code, program flowcharts, program maintenance logs, systems change notices, and other related records that document modifications to computer programs.	Destroy in office 1 year after superseded or obsolete.	

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ITEM #	STANDARD 5: INFORMATION TECHNOLOGY RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
5.18	**VOICE OVER INTERNET PROTOCOL (VoIP) RECORDS** Records concerning line registrations, calls logs, and voicemail records.	a) Destroy in office records concerning line registration when superseded or obsolete. b) Destroy in office call logs after 1 year. c) Destroy in office voicemail records after 30 days.	
5.19	**WEB MANAGEMENT AND OPERATIONS RECORDS: STRUCTURE** Site maps that show the directory structure into which content pages are organized, and commercial, off-the-shelf software configuration or content management system files used to operate the site and establish its look and feel. Includes server environment configuration specifications. SEE ALSO: Website (Electronic) (STANDARD 7: PUBLIC RELATIONS RECORDS).	Destroy in office when superseded or obsolete.	

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STANDARD 6: LEGAL RECORDS

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

ITEM #	*STANDARD 6: LEGAL RECORDS*		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
6.01	**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: Public Bodies: Meeting Notices (STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS).	a) Retain in office permanently if record provides sole evidence of publication. b) Destroy in office remaining records after 3 years.*	Authority: G.S. 1-600
6.02	**ANNEXATION RECORDS** Records concerning annexation of property into the city. Includes petitions, reports, correspondence (including e-mail), maps, ordinances, and public hearings.	a) Destroy in office withdrawn petitions after 1 year. b) Retain remaining records in office permanently. *Retention Note: Annexation maps and ordinances must be filed with the County Register of Deeds office and the office of the Secretary of State (G.S. 160A-29, G.S. 160A-58.61 and G.S. 160A-58.90). A map must also be filed with the county board of elections (G.S. 163-288.1).*	
6.03	**AUTHENTICATIONS** Certificates of authentication issued by the agency.	Retain in office permanently.	

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

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

ITEM #	STANDARD 6: LEGAL RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
6.04	**CIVIL RIGHTS CASE RECORDS** Records concerning discrimination complaints by employees or former employees and employee requests for reasonable accommodation. Includes equal opportunity (EO) complaints. SEE ALSO: Constituent Comments, Complaints, Petitions, and Service Requests (STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS), Personnel Records (Official Copy) (STANDARD 4: HUMAN RESOURCES RECORDS).	a) Destroy in office requests for reasonable accommodation 2 years after they become obsolete. b) Destroy in office discrimination complaints 1 year after final disposition of the charge or the action.* *Retention Note: 29 CFR 1602.14 defines final disposition of the charge or the action as "the date of expiration of the statutory period within which the aggrieved person may bring an action in a U.S. District Court or, where an action is brought against an employer either by the aggrieved person, the Commission, or by the Attorney General, the date on which such litigation is terminated."*	Retention: 29 CFR 1602.14 29 CFR 1602.31

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

ITEM #	STANDARD 6: LEGAL RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
6.05	**CIVIL RIGHTS RECORDS** Records concerning documentation of personnel policies and procedures to comply with the Age Discrimination in Employment Act (ADEA), the Americans with Disabilities Act (ADA), the Equal Pay Act, the Genetic Information Nondiscrimination Act (GINA), Section 504 of the 1973 Rehabilitation Act, and the 1964 Civil Rights Act. Includes reports required by the Equal Employment Opportunity (EEO) Commission and affirmative action plans. SEE ALSO: Civil Rights Case Records (above), Constituent Comments, Complaints, Petitions, and Service Requests (STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS), Policies and Procedures (Personnel) (STANDARD 4: HUMAN RESOURCES RECORDS).	Destroy in office 3 years after superseded or obsolete.	Authority: 29 CFR 1602.1 29 CFR 1602.7 29 CFR 1608.4 Retention: 29 CFR 1602.30 29 CFR 1602.32 34 CFR 104.6(c)(2)
6.06	**CONDEMNATION RECORDS** Settled and pending condemnation cases. SEE ALSO: Accounts Payable (STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS) for disposition of financial records.	Retain in office permanently.	

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ITEM #	STANDARD 6: LEGAL RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
6.07	**CONFLICT OF INTEREST AND CONFLICT OF COMMITMENT DISCLOSURE STATEMENTS** Completed by the elected agency officials as well as designated staff members in order to disclose an official's status or ownership interests.	Destroy in office 1 year after completion of term or separation.	
6.08	**CONTRACTS, LEASES, AND AGREEMENTS** @ Contracts and agreements for construction, equipment, property, supplies, special programs, and projects. Includes franchise agreements, hold harmless agreements, good faith effort documentation, contractor compliance monitoring, leases, and memoranda of understanding. SEE ALSO: Software License and Copyright Provisions Records (STANDARD 5: INFORMATION TECHNOLOGY RECORDS).	a) Retain in office contracts and agreements with historical value permanently. b) Destroy in office sealed contract records 10 years after expiration of contract.* c) Destroy in office all records related to capital improvement contracts and business associate agreements 6 years after completion, termination, or expiration.* d) Destroy in office records documenting restrictions and compliance with license and copyright provisions for products and services purchased by the agency 1 year after superseded or obsolete.* e) Destroy in office all other contracts and agreements 3 years after completion, termination, or expiration.*	Retention: G.S. 1-47(2) G.S. 1-50(a)(5) 45 CFR 164.316 G.S. 1-52
6.09	**DECLARATORY RULINGS** Records concerning declaratory rulings issued by the agency to interpret statutes or rules as applied to a specified set of facts.	Retain in office permanently.	

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

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

ITEM #	STANDARD 6: LEGAL RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
6.14	**INVESTIGATION AND HEARING RECORDS** Records concerning complaints, fraud allegations, contestments, grievances, and inquiries against individuals and other entities. Includes summaries, charges, reports, assessments and findings, hearing transcripts and evidence, decisions and sanctions, referrals, correspondence, and other related records.	Destroy in office 3 years after completion.*	
6.15	**LAND OWNERSHIP RECORDS** Includes deeds and titles.	Destroy in office 1 year after agency relinquishes ownership of land.*	
6.16 	**LEGAL CORRESPONDENCE** Correspondence (including e-mail) and related records concerning legal matters not related to specific legal cases or official opinions.	Destroy in office after 5 years. For information on handling e-mail, see **ELECTRONIC RECORDS**, page A-11.	Confidentiality: G.S. 132-1.1(a)
6.17	**LEGAL OPINIONS** Formal legal opinions written by counsel in response to requests concerning the governance and administration of the agency.	Retain in office permanently.	
6.18 	**LEGAL REVIEW RECORDS** Includes legal reviews of by-laws and charges to boards and commissions, conflicts of interest, and all other agency matters as requested. SEE ALSO: Legal Opinions (above).	a) Retain in office records with historical value permanently. b) Destroy in office remaining records after expiration of relevant statute of limitations.	Confidentiality: G.S. 132-1.1(a)

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ITEM #	STANDARD 6: LEGAL RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
6.19 	**LITIGATION CASE RECORDS** Civil suits to which the agency is a party. Includes affidavits, agreements, appeals, bills, briefs, citations, commitments, complaints, discharges, motions, notices, pleas, releases, statements, testimony, verdicts, waivers, warrants, and writs.	a) Retain in office cases having precedential or historical value permanently. b) Destroy in office adjudicated cases 6 years after final disposition. c) Destroy in office non-adjudicated cases (out-of-court claims) 6 years after final disposition or expiration of relevant statute of limitations.	Confidentiality: G.S. 132-1.1(a) G.S. 132-1.9
6.20	**OATHS OF OFFICE** SEE ALSO: Public Bodies: Member Files (STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS).	Transfer official copy of oath of office to the municipal clerk or the county clerk to the board of commissioners or the clerk of the governing board for permanent retention. *Retention Note: The Clerk should present a copy of the oaths of elected officials to the Clerk of Superior Court for recording.*	Authority: G.S. 105-349 G.S. 153A-26 G.S. 160A-61 G.S. 160A-68 G.S. 160A-284 Retention: G.S. 7A-103(2)
6.21	**PERMISSIONS** Records conferring legal permission. Includes copyright permission requests and requests for permission to publish intellectual property or holdings of the agency. Also includes copyrights, patents, and trademarks held by the agency.	a) Retain in office permanently records conferring perpetual legal permission as well as records documenting copyrights, patents, and trademarks held by the agency. b) Destroy in office 3 years after expiration records concerning one-time copyright permissions granted by the agency.	

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ITEM #	STANDARD 6: LEGAL RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
6.22	**PRE-TRIAL RELEASE PROGRAM RECORDS** Records documenting supervision for defendants who do not pose a risk to the community as they await trial.	Destroy in office 3 years after trial.	
6.23	**RELEASE FORMS** Records documenting consent and waiving the individual's right to hold the agency responsible for injuries or damages occurring while voluntarily participating in events or activities.	Destroy in office 5 years after termination of release/waiver.	
6.24	**SETTLEMENTS** Records concerning pre-litigation or informal settlements.	Destroy in office 10 years after expiration.	Authority: G.S. 132-1.3
6.25	**VEHICLE TITLES** Titles of agency owned vehicles.	Dispose of in accordance with Division of Motor Vehicles procedures for title transfer upon disposition of vehicle.	Authority: G.S. 20-72

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STANDARD 7: PUBLIC RELATIONS RECORDS

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

ITEM #	*STANDARD 7: PUBLIC RELATIONS RECORDS*		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
7.01	**AGENCY PUBLICATIONS** Publications created at agency expense. Also includes correspondence and other related records regarding the design and creation of agency publications.	a) Retain in office records with historical value permanently. b) Destroy publications management records after 5 years. c) Destroy in office remaining records when reference value ends.± Agency Policy: Destroy in office after _____	
7.02	**AUDIO-VISUAL RECORDINGS** @ Recordings (including digital) and films produced by or for the agency. This does not include recordings of public meetings or security videos. SEE ALSO: Public Bodies: Audio and Video Recordings of Meetings (STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS), Office and Property Security Records (STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS).	a) Retain in office records with historical value permanently. b) Destroy in office remaining records when reference value ends.± Agency Policy: Destroy in office after _____	
7.03	**COMMUNITY AWARDS** @ Records concerning awards by the agency recognizing community contributions.	a) Retain in office records with historical value permanently. b) Destroy in office remaining records when reference value ends.± Agency Policy: Destroy in office after _____	

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

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ITEM #	STANDARD 7: PUBLIC RELATIONS RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
7.04	**CONFERENCES AND WORKSHOPS** @ Records concerning conferences and workshops conducted by agency employees. Includes slides, charts, transparencies, handouts, and other related records used in presentations. SEE ALSO: Training and Educational Records (STANDARD 4: HUMAN RESOURCES RECORDS).	a) Retain in office records with historical value permanently. b) Destroy in office remaining records when superseded or obsolete.	
7.05	**EDUCATIONAL MATERIALS** Materials produced for usage by teachers or tour groups. Includes lesson plans, activities, and other related records.	Destroy in office when superseded or obsolete.	
7.06	**FUND DRIVE AND EVENT RECORDS** Records documenting the promotion and organization of fund drives and other special events in which the agency participated. Includes records concerning solicitations requesting and donations providing money or in-kind donations for agency programs. Also includes invitations, registration materials, agendas, handouts, presentations, and programs. SEE ALSO: Donations and Solicitations (STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS).	a) Retain in office records with historical value permanently. b) Destroy in office remaining records when superseded or obsolete.	

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

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ITEM #	STANDARD 7: PUBLIC RELATIONS RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
7.07	**INVITATIONS** Invitations sent and received concerning agency and external functions.	Destroy in office after event occurs.	
7.08	**MEDIA FILE** Reference copies of newspaper, magazine, and other media clippings concerning the agency, agency officials, and other topics of interest.	Destroy in office when reference value ends.± Agency Policy: Destroy in office after _____	
7.09	**POPULAR ANNUAL FINANCE REPORT** Comprehensive annual financial report (CAFR)	a) Retain records with historical value permanently. b) Destroy in office remaining records when superseded or obsolete.	
7.10	**PUBLIC HEARINGS** Includes agendas, minutes, notices, speaker sign-up sheets, and similar documentation. SEE ALSO: Public Bodies: Minutes (STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS).	a) Retain in office minutes permanently. b) Destroy in office remaining records after 1 year.	

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ITEM #	STANDARD 7: PUBLIC RELATIONS RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
7.11	**PUBLIC RECORDS REQUESTS** Formal requests submitted by persons seeking access to agency records along with documentation of agency response.	Destroy in office 2 years after resolution.* *Note: These disposition instructions apply only to the request, internal agency records related to searching for and preparing responsive records, and communication of response; the documents that are responsive to public records requests should be handled according to their respective disposition instructions. However, if the agency also retains separate copies of the documents that are responsive to public records requests, they may also be destroyed 2 years after completion of the request.*	
7.12	**PUBLICITY RECORDS** @ Records concerning overall public relations of agency. Includes advertisements, announcements, correspondence (including e-mail), photographic materials, news and press releases, and other related records.	a) Retain in office records with historical value permanently. b) Destroy in office remaining records when superseded or obsolete.*	
7.13	**SOCIAL MEDIA** SEE ALSO: Website (Electronic) (below).	See **APPENDIX** (page A-12) for guidance in handling social media.	
7.14	**SPEECHES** Speeches made by agency officials.	a) Retain in office records with historical value permanently. b) Destroy in office remaining records when reference value ends.± Agency Policy: Destroy in office after _____	

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ITEM #	STANDARD 7: PUBLIC RELATIONS RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
7.15	**WEBSITE (ELECTRONIC)** Records created and maintained in paper and electronic formats concerning the creation and maintenance of the agency's presence on the World Wide Web. Includes correspondence (including e-mail), procedures, instructions, website designs, HTML/XHTML, or other web-based file formats, and other related records. SEE ALSO: Web Management and Operations Records: Structure (STANDARD 5: INFORMATION TECHNOLOGY RECORDS).	a) Capture website annually or whenever a major revision in design and/or content has taken place, whichever occurs first. Retain captured content in office permanently. Can be maintained as website snapshots or via Web crawler. b) Destroy in office remaining records when superseded or obsolete.	

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STANDARD 8: RISK MANAGEMENT RECORDS

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

ITEM #	*STANDARD 8: RISK MANAGEMENT RECORDS*		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
8.01	**ACCIDENT/INCIDENT REPORTS (CUSTOMER AND EMPLOYEE)** SEE ALSO: Workers' Compensation Program Claims (STANDARD 4: HUMAN RESOURCES RECORDS).	a) Transfer records resulting in workers' compensation to Workers' Compensation Program Claims (STANDARD 4: HUMAN RESOURCES RECORDS). b) Destroy in office remaining employee claims 3 years after settlement or denial of claim.* c) Destroy in office adult non-employee reports 3 years after settlement or denial of claim.* d) Destroy in office reports that do not result in claims or official action after 3 years. e) Destroy in office reports of minors after minor has reached age of 21.	
8.02	**DECLARATIONS AND TERMINATIONS OF STATES OF EMERGENCY**	Retain in office permanently.	Authority: G.S. 166A-19.22

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ITEM #	STANDARD 8: RISK MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
8.03 	**DISASTER AND EMERGENCY MANAGEMENT PLANS** @ Records concerning preparedness, evacuations, and operations in the event of a disaster (natural, accidental, or malicious). Includes background surveys, studies, reports, and records concerning the process of notifying personnel in the event of an emergency. Also includes Continuity of Operations Plans (COOP) and Business Continuity Plans (BCP).	Destroy in office when superseded or obsolete.	Confidentiality: G.S. 132-1.7
8.04	**DISASTER RECOVERY** Administrative records documenting and recovery efforts for emergencies of a short duration as well as disasters inflicting widespread destruction and having long-term consequences for the agency. Includes documents coordinating activities with federal, state, and local emergency management, incident reports, inventories, and disaster relief allocations.	a) Retain in office permanently records documenting major agency disaster recovery efforts and records evaluating emergency response and efficacy. b) Destroy in office after 3 years records concerning minor or routine agency recovery operations that are managed with minimal disruption to normal operations.	
8.05	**EMERGENCY DRILLS AND EQUIPMENT RECORDS** Includes test records for fire suppression, defibrillator, respirator fit, and other emergency equipment. Also includes records concerning agency emergency and fire drills.	Destroy in office when superseded or obsolete.	
8.06	**EMERGENCY NOTIFICATIONS** Notifications and alerts sent to residents by Emergency Management or other agency staff regarding a current emergency.	Destroy in office after 1 year.	

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

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

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ITEM #	STANDARD 8: RISK MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
8.12	**INSURANCE POLICIES** Records concerning automobile, theft, fire, and all other insurance policies purchased by agency. Also includes insurance audits, claims reports, surveys, endorsements, certificates of insurance, and waivers.	a) Destroy in office records concerning automobile and other liability insurance policies 10 years after superseded or obsolete.* b) Destroy in office certificates of insurance after 1 year. c) Destroy in office self-insurer certifications 6 years from date of termination of policy or settlement of all claims. d) Destroy in office remaining records after 1 year after superseded or obsolete.	
8.13	**LOSS CONTROL INSPECTION REPORTS** Self-inspections to identify potential liabilities or hazards that may exist in agency owned buildings or property.	Destroy in office when superseded or obsolete.	
8.14	**LOST, STOLEN, OR DAMAGED PROPERTY REPORTS** Includes reports of property lost or stolen at agency. Also includes reports and employee narratives of vandalism to agency property.	Destroy in office after 2 years.*	
8.15	**NATIONAL FLOOD INSURANCE PROGRAM RECORDS** Records concerning the participation of a local government agency in FEMA's National Flood Insurance Program (NFIP). Includes floodplain management ordinances, maps, and other related records.	a) Retain in office permanently floodplain management ordinances. b) Destroy in office copies of flood insurance rate maps, elevation certificates, and elevation information when superseded or obsolete.	

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

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

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

ITEM #	STANDARD 8: RISK MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
8.16	**OCCUPATIONAL SAFETY AND HEALTH ADMINISTRATION (OSHA)** Records concerning injury or illness, extent and outcomes, summary totals for calendar year, and OSHA forms. Includes ergonomic assessments for employees.	Destroy in office after 5 years.	Retention: 29 CFR 1904.33 29 CFR 1904.44
8.17	**SAFETY DATA SHEETS** Forms supplied to agencies from manufacturers and distributors of hazardous materials for materials held by the agency.	Destroy in office 30 years after materials have been disposed of according to manufacturer's instructions. *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.*	Retention: 29 CFR 1910.1020(d)(1)(ii)(B)

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

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

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

STANDARD 9: WORKFORCE DEVELOPMENT RECORDS

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

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

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

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

MANAGING PUBLIC RECORDS IN NORTH CAROLINA

Q. What is this "records retention and disposition schedule"?

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

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

Q. How do I get this schedule approved?

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

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

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

Q. What is "reference value"?

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

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

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

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

A. Sometimes the records are listed in a different standard than how you organize them in your office. Be sure to check the Index and utilize the search function on the PDF version of the schedule to facilitate the location of records series. If you still cannot locate your records on the schedule, contact a Records Management Analyst. We will work with you to amend this records schedule so that you may destroy records appropriately. The Request for Change in Records Schedule form (see page A-19) can be used for such requests.

Q. What are public records?

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

> "Public record" or "public records" shall mean all documents, papers, letters, maps, books, photographs, films, sound recordings, magnetic or other tapes, electronic data-processing records, artifacts, or other documentary material, regardless of physical form or characteristics, made or received pursuant to law or ordinance in connection with the

transaction of public business by any agency of North Carolina government or its subdivisions. Agency of North Carolina government or its subdivisions shall mean and include every public office, public officer or official (State or local, elected or appointed), institution, board, commission, bureau, council, department, authority or other unit of government of the State or of any county, unit, special district or other political subdivision of government.

Q. Is any person allowed to see my records?

A. Yes, except as restricted by specific provisions in state or federal law. N.C. Gen. Stat. § 132-6 instructs:

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

Q. What about my confidential records?

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

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

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

Q. What do I do with permanent records?

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

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

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

Examples of records with these characteristics:

- Minutes of governing bodies at the state and local levels are the basic evidence of our system of governance, and are routinely provided for the public to read.
- Records, such as deeds and tax scrolls, about land document changes in ownership and condition. Counties maintain offices expressly for the purpose of making those records

available to the public. Other records in local and state governments document potential public health hazards, such as hazardous materials spills.

- Adoptions, marriages, and divorces document changes in familial relationships. Though adoptions are confidential (not available for public inspection), they document changes in inheritance and familial succession.
- Court records, such as wills, estates, and capital cases, affect people within and across family groups, are made available for public inspection, and often involve transactions related to the examples above.

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

Q. What is historical value?

A. Historical records document significant events, actions, decisions, conditions, relationships, and similar developments. These records have administrative, legal, fiscal, or evidential importance for the government or its constituents. Two criteria for determining historical value are inherent interest and extraordinary documentation:

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

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

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

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

Q. What if I do not have any records?

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

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

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

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

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

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

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

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

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

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

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

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

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

Q. Whom can I call with questions?

A. If you are located west of Statesville, call our Western Office in Asheville at (828) 250-3103. If you are east of Statesville, all the way to the coast, call our Raleigh office at (919) 814-6900.

AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION

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

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

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

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

Records used during routine audits may be destroyed when the governing body accepts the audit, if the records have completed the retention period listed in this schedule. If time remains in the retention period, the records must be maintained for the remainder of the period. The auditor's working papers must be kept according to the schedule. (See Audits: Performance (STANDARD 1: ADMINISTRATIVE AND MANAGEMENT RECORDS) and Audits: Financial (STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS).) Should a dispute arise over an audit, the records that were audited should be retained until that dispute is resolved.

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

TRANSITORY RECORDS

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

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

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

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

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

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

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

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

- Drafts and working papers for internal and external policies

[3] Society of American Archivists, *Dictionary of Archives Terminology*.

- Drafts and working papers for internal administrative reports, such as daily and monthly activity reports
- Drafts and working papers for internal, non-policy-level documents, such as informal workflows and manuals; and
- Drafts and working papers for presentations, workshops, and other explanations of agency policy that are already formally documented.

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

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

See also the State Archives of North Carolina's guidance on digital signatures found at: https://archives.ncdcr.gov/government/digital-records/digital-records-policies-and-guidelines#digital-signatures

DESTRUCTION OF PUBLIC RECORDS

Q. When can I destroy records?

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

Q. How do I destroy records?

A. After your agency has approved this records retention and disposition schedule, records should be destroyed in one of the following ways:

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

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

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

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

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

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

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

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

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

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

Destructions Log

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

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

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

Q. When can I delete my e-mail?

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Q. What are the guidelines regarding the creation and handling of electronic public records, including text messages and social media?

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

Note that e-mail, text messages, and social media should be handled according to their content. Therefore, this schedule does not include a records series that instructs you on how to handle one of these born-digital records by format; instead of focusing on how the information is disseminated, consider what content is contained in the e-mail, text message, or social media post. For instance, an e-mail requesting leave that is sent to a supervisor should be kept for 3 years (see Leave Records, STANDARD 4: HUMAN RESOURCES RECORDS).

GEOSPATIAL RECORDS

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

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

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

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

A. The following types of geospatial records have been designated as having archival value:

- Parcel data
- Street centerline data
- Corporate limits data
- Extraterritorial jurisdiction data
- Zoning data, address points
- Orthophotography (imagery)
- Utilities
- Emergency/E-911 themes

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

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

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

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

A. Archiving practices should be consistent with North Carolina Geographic Information Coordinating Council (GICC) approved standards and recommendations. (Examples: Content Standards for Metadata; Data Sharing Recommendations). Consult the GICC website at https://it.nc.gov/about/boards-commissions/gicc.

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

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

SECURITY PRESERVATION COPIES OF RECORDS

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

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

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

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

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

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

A. We have three processes for creating backup film copies of these records. First, you can send photocopies of your approved minutes to us in the mail. Simply include a copy of the **Certification of the Preparation of Records for Security Preservation Copy** form (available online at the State Archives of North Carolina website) with each shipment. For more detailed instructions, contact a Records Management Analyst.

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

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

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

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

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

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

DISASTER ASSISTANCE

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

A. Secure the area, and keep everyone out until fire or other safety professionals allow entry. Then, call our Raleigh office at (919) 814-6903 for the Head of the Government Records Section or (919) 814-6849 for the Head of the Collections Management Branch. If you're in the western part of the state, call our Asheville Office at (828) 250-3103. On nights and weekends, call your local emergency management office.

DO NOT ATTEMPT TO MOVE OR CLEAN ANY RECORDS.

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

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

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

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

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

Q. What are essential records?

A. Essential records are records that are necessary for continuity of operations in the event of a disaster. There are two common categories of records that are considered essential:

- **Emergency operating records** – including emergency plans and directives, orders of succession, delegations of authority, staffing assignments, selected program records needed to continue the most critical agency operations, as well as related policy or procedural records.
- **Legal and financial rights records** – these protect the legal and financial rights of the Government and of the individuals directly affected by its activities. Examples include accounts receivable records, Social Security records, payroll records, retirement records, and insurance records. These records were formerly defined as "rights-and-interests" records.

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

STAFF TRAINING

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

A. We have a group of prepared workshops that we can offer at any time at various locations throughout the state. Contact a Records Management Analyst if you are interested in having one of the workshops presented to your agency. We will work with you directly to develop training suited to your specific needs. Our basic workshops are:

- Managing public records in North Carolina
- Disaster preparedness and recovery
- Confidentiality
- Organizing paper and digital files
- Digital communications

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

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

Q. Are workshops offered only in Raleigh?

A. No, we will come to your offices to present the workshops you need. We have no minimum audience requirement. We will also do presentations for professional associations, regional consortiums, and the public. To arrange a workshop, please call the State Records Center at 919-814-6900 or contact a Records Management Analyst (https://archives.ncdcr.gov/government/local/analysts).

Q. Is there a fee for workshops?

A. Not at this time.

Q. Are the workshops available in an online format?

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

Request for Change in Local Government Records Schedule

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

AGENCY INFORMATION

Requestor name

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

Phone and email

Mailing Address

CHANGE REQUESTED

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

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

Title of Records Series in Schedule or Proposed Title:

Inclusive Dates of Records: Proposed Retention Period:

Description of Records:

Justification for Change:

Requested by: _____
Signature Title Date

Approved by: _____
Signature Requestor's Supervisor Date

Request for Disposal of Unscheduled Records

AGENCY INFORMATION

Requestor name

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

Phone and email

Mailing Address

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

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

Requested by:

Signature Title Date

Approved by:

Signature Requestor's Supervisor Date

Concurred by:

Signature Assistant Records Administrator
State Archives of North Carolina Date

Request for Disposal of Original Records Duplicated by Electronic Means

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

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

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

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

Requested by: _____

Signature | Title | Date

Approved by: _____

Signature | Requestor's Supervisor | Date

Concurred by: _____

Signature | Assistant Records Administrator, State Archives of North Carolina | Date

File Plan

County/Municipality					
Division		**Section**		**Branch**	

Records Series	**Records Creator**	**Records Owner** (if record copy is transferred within the agency)	**Media** (Paper, Electronic, Scanned)			**Required Retention**	**Location(s) of Records**
			P	**E**	**S**		

Related Records Series Found in Local Agency Program Schedules

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

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

Here's how to use the table:

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

  ACCOUNTS RECEIVABLE @

  Records concerning receivables owed and collected. Includes billing statements, records of payment received, remittances, subsidiary registers, overpayment or refund records, deposits, fines and fees assessed, and collection of past due accounts. Also includes records concerning accounts sent to NC Debt Setoff Program for collection.

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

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

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

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

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

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

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

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

(continued on following page)

Local General Schedule Records Series	Related Records Series	Local Program Schedule
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RECORDS RETENTION AND DISPOSITION SCHEDULE

PROGRAM RECORDS SCHEDULE:
LOCAL GOVERNMENT AGENCIES

Issued By:

NC DEPARTMENT OF
NATURAL AND CULTURAL RESOURCES

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

October 1, 2021

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Program Records Schedule:
Local Government Agencies

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

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

In accordance with the provisions of Chapters 121 and 132 of the *General Statutes of North Carolina*, it is agreed that the records do not and will not have further use or value for official business, research, or reference purposes after the respective retention periods specified herein and are authorized to be destroyed or otherwise disposed of by the agency or official having custody of them without further reference to or approval of either party to this agreement.

Destructions

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

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

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

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

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

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

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

Audits and Litigation Actions

Records subject to audit or those legally required for ongoing official proceedings must be retained until released from such audits or official proceedings, notwithstanding the instructions of this schedule.

Electronic Records

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

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

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

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

Reference Copies

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

Record Copy

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

[1] Society of American Archivists, *Dictionary of Archives Terminology*.

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

Transitory Records

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

North Carolina has a broad definition of public records. However, the Department of Natural and Cultural Resources recognizes that some records may have little or no long-term documentary or evidential value to the creating agency. These records are often called transitory records. They may be disposed of according to the guidance below. However, all public employees should be familiar with their appropriate retention schedule and any other applicable guidelines for their office. If there is a required retention period for these records, that requirement must be followed. When in doubt about whether a record is transitory or whether it has special significance or importance, retain the record in question and seek guidance from a DNCR records analyst.

Routing slips and transmittal sheets adding no information to that contained in the transmitted material have minimal value after the material has been successfully transmitted. These records may be destroyed or otherwise disposed of after receipt of the material has been confirmed. Similarly, "while you were out" slips, memory aids, and other records requesting follow-up actions (including voicemails and calendar invites) have minimal value once the official action these records are supporting has been completed and documented. These records may be destroyed or otherwise disposed of once the action has been resolved.

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

- Drafts and working papers for internal and external policies
- Drafts and working papers for internal administrative reports, such as daily and monthly activity reports;
- Drafts and working papers for internal, non-policy-level documents, such as informal workflows and manuals; and
- Drafts and working papers for presentations, workshops, and other explanations of agency policy that is already formally documented.

Forms used solely to create, update, or modify records in an electronic medium may be destroyed in office after completion of data entry and after all verification and quality control procedures, so long as these records are not required for audit or legal purposes. However, if the forms contain any analog components that are necessary to validate the information contained on them (e.g., a signature or notary's seal), they must be retained according to the disposition instructions for the records series encompassing the forms' function.

It is further agreed that these records may not be destroyed prior to the time periods stated; however, for sufficient reason they may be retained for longer periods. These schedules supersede previous versions of these schedules and any localized amendments; they are to remain in effect from the date of approval until they are reviewed and updated.

[2] Ibid.

APPROVAL RECOMMENDED

_____
Municipal/County Clerk or Manager
Title: _____

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

APPROVED

_____
Head of Governing Body
Title: _____

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

County/Municipality: _____

Effective: October 1, 2021

EXECUTIVE SUMMARY

- ✓ Some records are covered by the *General Records Schedule: Local Government Agencies* and, therefore, are not listed separately here.
- ✓ According to N.C. Gen. Stat. § 121-5(b) and N.C. Gen. Stat. § 132-3, you may destroy public records only with the consent of the Department of Natural and Cultural Resources (DNCR). The State Archives of North Carolina is the division of DNCR charged with administering a records management program. This schedule is the primary way the State Archives of North Carolina gives its consent. Without approving this schedule, your agency is obligated to obtain the State Archives of North Carolina's permission to destroy *any* record, no matter how insignificant.
- ✓ Each records series listed on this schedule has specific disposition instructions that will indicate how long the series must be kept in your office. In some cases, the disposition instructions are simply "retain in office permanently," which means that those records must be kept in your office forever. In other cases, the retention period may be "destroy in office when reference value ends." An agency may have reference copies of materials, meaning "a copy of a record distributed to make recipients aware of the content but not directing the recipient to take any action on the matter" (from Society of American Archivists, *Dictionary of Archives Terminology*). Your agency must establish and enforce internal policies by setting minimum retention periods for the records that the State Archives of North Carolina has scheduled with the disposition instructions, "destroy when reference value ends."
- ✓ E-mail is a record as defined by N.C. Gen. Stat. § 121-5 and N.C. Gen. Stat. § 132. It is the content of the e-mail that is critical when determining the retention period of a particular e-mail, including attachments, not the media in which the record was created. It is important for all agency employees and officials to determine the appropriate records series for specific e-mails and retain them according to the disposition instructions listed with the identified record series.
- ✓ The State Archives of North Carolina recommends that all agency employees and officials view the tutorials that are available online through the State Archives website in order to familiarize themselves with records management principles and practices. The State Archives of North Carolina's online tutorials include topics such as records management and scanning guidelines.
- ✓ The State Archives of North Carolina creates security preservation record copies for minutes and selected other records of governing bodies and commissions, adoption records, and maps and plats. Agencies can request copies of the digital images made during this process. Contact the appropriate Records Management Analyst to begin this process.
- ✓ If you have records that are not listed in this schedule, contact a Records Management Analyst. An analyst will discuss the nature of the records with you to determine if the records have historical value. If the records do not have historical value, we will ask you to complete a Request for Disposal of Unscheduled Records (page A-19) for records that are no longer being created.

LEGEND FOR RECORDS SCHEDULE

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

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

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

Series – "a group of similar records that are . . . related as the result of being created, received, or used in the same activity." (From Society of American Archivists, *Dictionary of Archives Terminology*). Series in this schedule are based on common functions in government offices.

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

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

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

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

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

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

AUDITS: PERFORMANCE

Records concerning internal and external audits conducted to assess the function of government programs. Includes reports, working papers, corrective measures, and other related records.

SEE ALSO: Audits: Financial (STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS).

Sample records series title and description with cross-reference included

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

STANDARD 10: PROGRAM OPERATIONAL RECORDS – AIRPORT AUTHORITY RECORDS

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

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

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

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

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

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

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

STANDARD 11: PROGRAM OPERATIONAL RECORDS – ANIMAL SERVICES RECORDS

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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STANDARD 14: PROGRAM OPERATIONAL RECORDS – PARKS AND RECREATION RECORDS

Records created and received by Parks and Recreation departments.

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

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

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

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

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

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

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

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

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

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ITEM #	STANDARD 15: PLANNING AND REGULATION OF DEVELOPMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
15.04	**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. Includes original application, blueprint drawings, investigative reports, planning commission recommendations, cash receipts, and related correspondence (including e-mail). Also includes reference copies of variances or exceptions from zoning regulations granted by the Board of Adjustment.	a) Destroy in office 3 years after discontinuance of use. b) Destroy in office applications for which a permit was never issued when reference value ends. ± Agency Policy: Destroy in office after _____	
15.05	**DECLARATIONS AND BY-LAWS FROM TOWNHOUSES, CONDOMINIUMS, PLANNED RESIDENTIAL DEVELOPMENTS, COMMON AREAS, ETC.**	a) If not filed in Register of Deeds or similar agency, retain in office permanently. b) If filed in Register of Deeds or similar agency, destroy in office when reference value ends. ± Agency Policy: Destroy in office after _____	Authority: G.S. 47C-2-103
15.06	**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.	
15.07	**OPEN SPACE CLASSIFICATION CASE FILE**	Retain in office permanently.	

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ITEM #	STANDARD 15: PLANNING AND REGULATION OF DEVELOPMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
15.08	**PERMITS: TEMPORARY MANUFACTURED HOME** Records created to temporarily authorize the location of a manufactured home on the same lot as a single family residence.	Destroy in office 6 years after permit expires.	Retention: G.S. 1-50(5)
15.09	**PERMITS: ZONING COMPLIANCE** For residential uses, non-residential uses, and accessory structures.	a) Retain in office permits concerning subdivision, historical structure, major commercial or industrial development, or capital construction, where county or municipality is lead agency, permanently. b) Destroy in office permits concerning subdivision, historic structures, major commercial or industrial development, or capital construction, where county or municipality is not lead agency, 6 years after last entry. c) Destroy in office any other permits and related records 6 years after last entry.	Retention: G.S. 1-50(5)
15.10	**PETITION & REGULATION RECORDS**	Destroy in office after 5 years.*	

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ITEM #	STANDARD 15: PLANNING AND REGULATION OF DEVELOPMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
15.11	**PLANNING REVIEW CASE FILE** For required review of site plan, zoning variance, special permit, change of zoning, subdivision creation or enlargement, municipal or county planning action, or other required review; including, but not limited to, maps, plans, sketches, photographs, engineering reports, environmental impact statement and studies, copies of zoning records, project narrative, correspondence (including e-mail), and record of final determination.	a) Retain plan reviews and related records containing subdivision, historical structure, major commercial or industrial development, or capital construction, where county or municipality is lead agency, permanently. b) Destroy in office plan reviews and related records containing subdivision, historic structures, major commercial or industrial development, or capital construction, where county or municipality is not lead agency, 6 years after last entry. c) Destroy in office any other mandatory reviews and related records 6 years after last entry.	Retention: G.S. 1-50(c)
15.12	**REZONING RECORDS AND INDEXES** Records concerning applications to rezone property within the county or municipality. Includes original applications, review forms, maps of areas involved, copies of investigative reports, copies of relevant planning board minutes, notices of hearings, and development agreements.	Retain in office permanently.	

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

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

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

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

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

ITEM #	*STANDARD 16: PUBLIC HOUSING AUTHORITIES, REDEVELOPMENT COMMISSIONS, AND ENTITLEMENT COMMUNITIES RECORDS*		
	RECORDS SERIES TITLE	*DISPOSITION INSTRUCTIONS*	*CITATION*
16.01	**APPRAISAL PROJECT FILE** Evaluations of properties and structures within proposed projects. File includes financial assessments of the worth of real estate and building within proposed project areas. File may also include assessments of architectural and historical significance and condition of the involved structures and real estate.	a) Retain records with historical value permanently. b) Destroy in office remaining records 5 years after completion of abandonment of project.*	

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

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

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

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

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

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

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STANDARD 17: PROGRAM OPERATIONAL RECORDS – PUBLIC TRANSPORTATION SYSTEMS RECORDS

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

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

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

ITEM #	*STANDARD 17: PUBLIC TRANSPORTATION SYSTEMS RECORDS*		
	RECORDS SERIES TITLE	*DISPOSITION INSTRUCTIONS*	*CITATION*
17.01	**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.*	Authority: 2 CFR 200.333
17.02	**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.*	Authority: 2 CFR 200.333
17.03	**AMERICANS WITH DISABILITIES ACT (ADA) PRE-TRIP INSPECTION FORMS**	Destroy in office after 1 year.	Authority: 2 CFR 200.333

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

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ITEM #	STANDARD 17: PUBLIC TRANSPORTATION SYSTEMS RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
17.04	**APPLICATIONS FOR ART-IN-TRANSIT** Applications and supporting documentation submitted by regional and national artists for exhibit on agency property.	Destroy in office when reference value ends.± Agency Policy: Destroy in office after _____	
17.05	**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.	
17.06	**APPLICATIONS FOR TRANSIT SERVICE** Includes customer applications, eligibility assessment records, correspondence (including e-mail), health information, riders' guides, and related records.	Destroy in office 3 years after service is terminated or denied.	
17.07	**CUSTOMER (RIDER) IDENTIFICATION RECORDS** Records concerning customer identification, approvals, denials, and related information.	Destroy in office when reference value ends.± Agency Policy: Destroy in office after _____	
17.08	**DISADVANTAGED BUSINESS ENTERPRISE (DBE) RECORDS** Includes company's articles of incorporation, financial statements, signed affidavits, letters of reference, declarations, Federal Schedule A or B, and related correspondence (including e-mail).	a) Destroy in office company-specific records 5 years after company is removed from certified list. b) Destroy in office related DBE program records, including Federal Transit Administration reports, 5 years from date record was created.	Authority: 2 CFR 200.333
17.09	**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.	Authority: 2 CFR 200.333

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

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

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

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

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ITEM #	STANDARD 18: PUBLIC UTILITIES AND ENVIRONMENTAL/WASTE MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
18.04	**ENVIRONMENTAL: 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 (NPDES) permits.	a) Destroy in office NPDES reports 5 years from date of submission.* b) Destroy in office annual reports 5 years from date of submission.* c) Destroy in office daily reports after 3 years.	Retention: 40 CFR 122.41(3)(j)(2) 15A NCAC 2B .0506
18.05	**ENVIRONMENTAL: LANDFILL MONITORING REPORTS** Gas and groundwater monitoring records and reports. SEE ALSO: GENERAL RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES, Audits: Performance (STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS).	a) Retain official reports permanently. b) Destroy in office remaining records after 3 years.	Retention: 15A NCAC 13B .1626(10)
18.06	**ENVIRONMENTAL: 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.	Destroy when superseded or obsolete.*	Authority: G.S. 130A-309.09D

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

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

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ITEM #	STANDARD 18: PUBLIC UTILITIES AND ENVIRONMENTAL/WASTE MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
18.16	**EROSION CONTROL: TROUT BUFFER VARIANCES** Includes denials and waivers. SEE ALSO: PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES, Variances (STANDARD 15: PLANNING AND REGULATION OF DEVELOPMENT RECORDS).	a) Destroy in office 6 years after approval of permit. b) Destroy in office after 3 years plans for which a permit was not issued.	Authority: 15A NCAC 04B .0125
18.17	**FLOOD CONTROL: FLOOD CERTIFICATIONS** Records concerning lot reviews for construction projects submitted to agency. SEE ALSO: PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES, Permits: Zoning Compliance (STANDARD 15: PLANNING AND REGULATION OF DEVELOPMENT RECORDS).	Destroy in office when superseded or obsolete.	
18.18	**FLOOD CONTROL: FLOOD STUDIES** Reviews of stream crossings for construction projects submitted to agency.	Retain in office for life of structure and then destroy.*	
18.19	**UTILITIES: DAILY WATER AND WASTEWATER FACILITY OPERATORS LOGS** Records concerning water distribution and treatment.	a) Destroy in office records concerning the operation of wastewater treatment facilities after 5 years.* b) Destroy in office records concerning the operation of water treatment facilities after 3 years.*	Authority: 15A NCAC 18C .1301

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

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

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

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

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

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ITEM #	STANDARD 18: PUBLIC UTILITIES AND ENVIRONMENTAL/WASTE MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
18.35	**WATER QUALITY: LABORATORY OPERATIONS RECORDS** Includes documentation of all analytical quality control practices, reporting units, forms, test methods, and related procedures pertaining to certification obtained by agency. SEE ALSO: GENERAL RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES, Audits: Performance (STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS).	a) Destroy in office samples, raw data, analysis reports and related documentation after 5 years.* b) Destroy in office records concerning certification 2 years after expiration, cancellation, revocation, or denial.*	Authority: 15A NCAC 02H .0805(7)(G) 15A NCAC 02H .1100
18.36	**WATER QUALITY: 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.*	Retention: 15A NCAC 02H .0908(f)(1) 40 CFR 503.17
18.37	**WATER QUALITY: PUBLIC WATER SANITARY SURVEY RECORDS** Includes reports, summaries, studies, correspondence (including e-mail), and other related records documenting the sanitary condition of system. SEE ALSO: GENERAL RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES, Audits: Performance (STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS).	a) Destroy in office 10 years after completion of survey.* b) Destroy in office documentation of corrective measures 2 years after their implementation.	Retention: 40 CFR 141.33 15A NCAC 18C .1526

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

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

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

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

ITEM #	*STANDARD 19: STREET MAINTENANCE, PUBLIC WORKS, AND ENGINEERING RECORDS*		
	RECORDS SERIES TITLE	*DISPOSITION INSTRUCTIONS*	*CITATION*
19.01	**APPRAISAL REPORTS** Records appraising privately owned land for compensation in eminent domain projects. SEE ALSO: GENERAL RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES, Easements and Right-of-Way Agreements (STANDARD 6: LEGAL RECORDS).	Destroy in office after 10 years.	
19.02	**CEMETERY DEEDS** Copies of deeds for the purchase of agency-owned cemetery plots. Includes applications or deed slips.	a) Retain 1 copy of deed in office permanently. b) Destroy in office remaining records when reference value ends.± Agency Policy: Destroy in office after _____	
19.03	**CEMETERY INTERMENT RECORDS** Includes name of deceased, date of interment, and location of plot.	Retain in office permanently. *Retention Note: If these records are maintained as an electronic database, a copy should be maintained on paper or microfilm and updated regularly.*	

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

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

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

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

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ITEM #	STANDARD 19: STREET MAINTENANCE, PUBLIC WORKS, AND ENGINEERING RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
19.14 	**STRUCTURAL MAINTENANCE AND ANALYSIS RECORDS** Records used for maintenance, review, and analysis of permanent and temporary structures owned by third parties that extend, cross or abut the public right-of-way. SEE ALSO: GENERAL RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES, Blueprints and Specifications (STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS).	Destroy records pertaining to structure 3 years after the end of life of the structure.	Confidentiality: G.S. 132-1.7
19.15	**SURVEY FIELD RECORDS** Records used to document and establish easements and rights-of-way, and to locate reference points used during street and utility projects. Records include traverse information, tie sheets, sketches, field notes, plats, interpretation of field notes, alignments, profiles of projects, plans, grade sheets, estimates, databank ties, and other miscellaneous documents used to establish grades, rights-of-way and easements. SEE ALSO: GENERAL RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES, Easements and Right-of-Way Agreements (STANDARD 6: LEGAL RECORDS).	a) Retain records with historical value permanently. b) Destroy in office remaining records when superseded or obsolete.	
19.16	**TRAFFIC ANALYSIS** Analysis of vehicle traffic within agency jurisdiction.	Destroy in office after 5 years.	

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

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

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

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

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

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

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

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

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ITEM #	STANDARD 20: LAW ENFORCEMENT RECORDS		
	RECORDS SERIES TITLE	**DISPOSITION INSTRUCTIONS**	**CITATION**
20.12 	**DETENTION FACILITY INCIDENT REPORTS** Detention facility incident reports. Include narratives of incidents, lists of those involved, statements and interview reports, inmates' refusal of medical treatment, inmates' refusal to press charges, and other related records. SEE ALSO: GENERAL RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES, Litigation Case Records (STANDARD 6: LEGAL RECORDS).	c) If records are made part of a case file, follow disposition instructions for: Case File: Felonies Case File: Misdemeanors d) Destroy in office after 3 years if not made part of a case file.*	Confidentiality: G.S. 132-1.1(a)
20.13	**DETENTION FACILITY OPERATIONAL RECORDS** Records concerning all activities occurring during shifts at detention facilities. Includes end of duty (shift change reports, key and radio control lists, equipment and inmate/non-inmate housing check lists, cell inspection reports, laundry exchange and controlled property lists, tour reports, etc.) and inmate accountability (rosters, commitment and release reports, cell locations, etc.) records.	a) If records are made part of a case file, follow disposition instructions for: Case File: Felonies Case File: Misdemeanors b) Destroy in office when reference value ends if not made part of case file.± Agency Policy: Destroy in office after_____	
20.14	**DETENTION FACILITY 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.*	

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

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

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ITEM #	STANDARD 20: LAW ENFORCEMENT RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
20.20 	**ELECTRONIC RECORDINGS OF INTERROGATIONS** Electronic recordings generated by audio and/or video recording devices of custodial interrogations in an investigation of a juvenile or any person in a criminal investigation.	a) If records are made part of a case file, follow disposition instructions for: Case File: Felonies Case File: Misdemeanors b) Destroy in office when reference value ends if not made part of case file.± Agency Policy: Destroy in office after_____	Authority: G.S. 15A-211 Confidentiality: G.S. 7B-3001(b) G.S. 132-1.4A
20.21 	**FIELD OBSERVATIONS** Records concerning field observations of suspicious persons or vehicles. Includes subject's name, address, and physical description; date, time, and location of occurrence; reason for stop; name of officer conducting interview; and other related information.	a) If records are made part of a case file, follow disposition instructions for: Case File: Felonies Case File: Misdemeanors b) Destroy in office when reference value ends if not made part of case file.± Agency Policy: Destroy in office after_____	Confidentiality: G.S. 132-1.4

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

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

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ITEM #	STANDARD 20: LAW ENFORCEMENT RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
20.28	**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 reference value ends.± Agency Policy: Destroy in office after_____	
20.29	**INMATE DEATH 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.*	Authority: G.S. 153A-224(b)
20.30	**INMATE FINANCIAL RECORDS** Records concerning individual inmate funds maintained by a detention facility for use by the inmate while incarcerated. Includes balance sheets listing inmate's name and number, amount of funds, dates of deposits and withdrawals, and other related information.	Destroy in office 3 years after inmate is released or transferred from the facility.*	

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ITEM #	STANDARD 20: LAW ENFORCEMENT RECORDS		
	RECORDS SERIES TITLE	**DISPOSITION INSTRUCTIONS**	**CITATION**
20.31 	**INMATE GRIEVANCE RECORDS** Records concerning grievances filed by inmates and actions taken.	a) If legal action is taken and case adjudicated, destroy in office 5 years after final disposition. b) If legal action is taken and case non-adjudicated (out-of-court claims), destroy in office 5 years after final disposition or expiration of relevant statute of limitations. c) Destroy remaining records in office 3 years after inmate is released or transferred from the facility.*	Confidentiality: G.S. 132-1.1(a)
20.32	**INMATE MAIL, TELEPHONE, OR VISITOR RECORDS** Records concerning telephone calls and mail sent and received by inmates and individuals visiting inmates confined in county or municipal detention facilities. Includes logs listing inmate's name, date and time of call or mail, visitor's signature and address, and other related information.	Destroy in office after 1 year.*	
20.33	**INMATE MEAL RECORDS** Records concerning the planning and scheduling of inmate meals. Includes food service daily shift reports, daily meal sheets, food order forms, kitchen checklists, lists of inmates receiving meals and other related records. File also includes records concerning requests for special diets made by inmates.	Destroy in office after 3 years.*	Retention: 10A NCAC 14J .1723

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ITEM #	STANDARD 20: LAW ENFORCEMENT RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
20.34 	**INMATE MEDICAL RECORDS** Records concerning medical examinations, diagnoses, and treatments of inmates. Includes medical information sheets and screening forms, medical histories as provided by inmate, receipt and/or release forms for medications and medical articles, laboratory and x-ray reports, blood pressure records, sick bay transfer forms, special diet authorizations, psychological evaluation forms, suicide watch sheets, progress notes, health assessment forms, dental forms, doctors' orders, transportation records to outside clinics or hospitals, and other related records. May also include authorization records for release of medical information to detention facility staff, informed consent forms, refusal of treatment forms, and release of financial responsibility forms. SEE ALSO: Juvenile Detention Records, below.	Destroy in office 10 years after inmate's release or parole.	Confidentiality: G.S. 8-53 45 CFR 164.502
20.35	**INMATE PERSONAL IDENTIFICATION RECORDS** Records concerning changes to be made to an inmate's incarceration file. Includes personal identification changes, superior court calendar, long form dismissals and other related records.	Destroy in office 30 days after receipt.*	

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ITEM #	STANDARD 20: LAW ENFORCEMENT RECORDS		
	RECORDS SERIES TITLE	**DISPOSITION INSTRUCTIONS**	**CITATION**
20.36	**INMATE RESEARCH REQUESTS** Requests filed by inmates seeking use of a facility's law library or similar collection containing research materials.	Destroy in office 1 year from date of request.	
20.37 	**JUVENILE CASE FILES** Includes incident and arrest reports, detention orders, disposition instructions, name and address of person having legal and/or physical custody of child, correspondence with county, municipal, or state juvenile services, and other related records.	a) Destroy in office records when juvenile reaches 21 years of age if adjudicated for an offense that would have been a Class A, B1, B2, C, D, or E felony if committed by an adult. b) Destroy in office records related to all other cases when juvenile reaches 18 years of age.	Confidentiality: G.S. 7B-3001(b) Retention:
20.38 	**JUVENILE CASE HISTORY IDENTIFICATION RECORDS** Includes fingerprints and photographs.	a) Transfer to the State Bureau of Investigation and Federal Bureau of Investigation. b) Destroy in office agency copies when reference value ends.*± Agency Policy: Destroy in office after_____	Confidentiality/ Retention: G.S. 7B-2102
20.39 	**JUVENILE DETENTION RECORDS** Records concerning medical and non-medical information gathered on juvenile inmates held in county or municipal detention facilities.	a) Destroy in office medical records when juvenile reaches 30 years of age. b) Destroy in office non-medical records when juvenile reaches 18 years of age.	Confidentiality: G.S. 7B-3001(b)

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ITEM #	STANDARD 20: LAW ENFORCEMENT RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
20.40 	**LABORATORY CASE RECORDS** Records concerning cases examined in a crime laboratory; includes reports, notes, charts, and other related records	Retain in office permanently.	Confidentiality: G.S. 132-1.4
20.41 	**LAW ENFORCEMENT AUDIO AND VIDEO RECORDINGS** Tapes and digital recordings generated by mobile and fixed audio and video recording devices. Does not include Electronic Recordings of Interrogations, above.	a) If records are made part of a case file, follow disposition instructions for: Case File: Felonies Case File: Misdemeanors b) Destroy in office after 30 days if not made part of a case file.	Confidentiality: G.S. 132-1.4A G.S. 153A-98
20.42	**MULTIPLE FIREARMS SALES REPORTS** Reports received from dealers reporting the sale of multiple firearms.	Destroy in office when reference value ends, but within 20 days after receipt.± Agency Policy: Destroy in office after_____	Retention: 18 USC 923(g)(3)(b)
20.43	**MULTIPLE FIREARMS SALES REPORTS DESTRUCTION RECORDS** Records submitted after 6 months to the U.S. Attorney General's Office certifying that all multiple firearm sales reports received from dealers have been destroyed.	Destroy in office after 1 year.	Authority: 18 USC 923(g)(3)(b)

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

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

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ITEM #	STANDARD 20: LAW ENFORCEMENT RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
20.51	**PROPERTY RECORDS** Records concerning confiscated property, evidence, stolen or recovered property, and unclaimed property. Includes descriptions of property and its value, serial numbers, and other related records. Records may also be filed with original incident report.	Destroy in office 3 years after final disposition of property.	
20.52	**PURSUIT LOGS** Logs concerning pursuits by law enforcement personnel.	a) If records are made part of a case file, follow disposition instructions for: Case File: Felonies Case File: Misdemeanors b) Destroy in office after 3 years if not made part of a case file.	
20.53	**RIDE-ALONG PROGRAM RECORDS** Records concerning a law enforcement ride-along program.	Destroy in office after 3 years.*	
20.54	**SEXUAL OFFENDER RECORDS** Records concerning sexual offenders living within jurisdiction.	a) Destroy in office records of persons registered in the "Sexually Violent Predator Program" when individual is known dead or after 90 years. b) Destroy in office records of persons registered in the "Sex Offender and Public Protection Program" after court petition and review by the state; or after 30 years or length of court order, whichever is greater; or when individual is known dead.	Authority: G.S. 14-208 Retention: G.S. 14-208.6A

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ITEM #	STANDARD 20: LAW ENFORCEMENT RECORDS		
	RECORDS SERIES TITLE	**DISPOSITION INSTRUCTIONS**	**CITATION**
20.55	**TRAFFIC ACCIDENT REPORTS** Records concerning traffic accidents. Includes general correspondence, property receipts, collision reports, waivers signed by involved parties agreeing to settle damages among themselves, and other related records.	a) Transfer original collision report to the N.C. Division of Motor Vehicles within 10 days of accident. b) Destroy in office after 3 years records concerning accidents not meeting N.C. Division of Motor Vehicles reporting requirements, but for which a report was made. c) Destroy in office duplicate reports when reference value ends.± Agency Policy: Destroy in office after_____	Confidentiality: 18 USC 2721
20.56 	**TRAFFIC CITATIONS AND WARNINGS** Citations issued to drivers violating motor vehicle and traffic laws. Includes voided citations and warnings that do not require a fine or court appearance.	a) Transfer original citations to county Clerk of Superior Court's office. b) If records are made part of a case file, follow disposition instructions for: Case FIle: Felonies Case File: Misdemeanors c) Destroy remaining records in office after 1 year.	

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

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

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

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

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

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ITEM #	STANDARD 21: TAX RECORDS		
	RECORDS SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
21.04	**DELINQUENT TAXPAYER RECORDS** Records concerning taxpayers who have not paid real and personal property taxes due, including unpaid notices. SEE ALSO: Delinquent Taxpayer Records: Advertisement of Tax Liens Against Real Property, below.	Destroy in office after 10 years or 3 years after final settlement or 1 year after released by governing board, whichever comes first.*	
21.05	**DELINQUENT TAXPAYER RECORDS: ADVERTISEMENT OF TAX LIENS AGAINST REAL PROPERTY** Records concerning the municipal taxation officer's publication in the newspaper of delinquent taxpayer and tax sales notices. SEE ALSO: Delinquent Taxpayer Records, above.	Destroy in office after 10 years.*	Authority: G.S. 105-369
21.06	**MOTOR VEHICLE RENTAL TAX RECORDS** Records concerning motor vehicle rental tax assessments.	Destroy in office after 3 years.*	
21.07	**MUNICIPAL VEHICLE TAX RECORDS** Records concerning municipal vehicle taxes levied annually.	Destroy in office after 3 years.*	Authority: G.S. 20-97(b)
21.08	**PREPARED FOOD AND BEVERAGE TAX RECORDS** Records concerning prepared food and beverage tax assessments.	Destroy in office after 3 years.*	

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

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

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

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MANAGING PUBLIC RECORDS IN NORTH CAROLINA

Q. What is this "records retention and disposition schedule"?

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

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

Q. How do I get this schedule approved?

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

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

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

Q. What is "reference value"?

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

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

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

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

A. Sometimes the records are listed in a different standard than how you organize them in your office. Be sure to check the Index and utilize the search function on the PDF version of the schedule to facilitate the location of records series. If you still cannot locate your records on the schedule, contact a Records Management Analyst. We will work with you to amend this records schedule so that you may destroy records appropriately. The Request for Change in Records Schedule form (see page A-17) can be used for such requests.

Q. What are public records?

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

> "Public record" or "public records" shall mean all documents, papers, letters, maps, books, photographs, films, sound recordings, magnetic or other tapes, electronic data-processing records, artifacts, or other documentary material, regardless of physical form or

characteristics, made or received pursuant to law or ordinance in connection with the transaction of public business by any agency of North Carolina government or its subdivisions. Agency of North Carolina government or its subdivisions shall mean and include every public office, public officer or official (state or local, elected or appointed), institution, board, commission, bureau, council, department, authority or other unit of government of the state or of any county, unit, special district or other political subdivision of government.

Q. Is any person allowed to see my records?

A. Yes, except as restricted by specific provisions in state or federal law. N.C. Gen. Stat. § 132-6 instructs:

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

Q. What about my confidential records?

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

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

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

Q. What do I do with permanent records?

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

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

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

Examples of records with these characteristics:

- Minutes of governing bodies at the state and local levels are the basic evidence of our system of governance, and are routinely provided for the public to read.

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

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

Q. What is historical value?

A. Historical records document significant events, actions, decisions, conditions, relationships, and similar developments. These records have administrative, legal, fiscal, or evidential importance for the government or its citizens. Two criteria for determining historical value are inherent interest and extraordinary documentation:

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

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

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

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

Q. What if I do not have any records?

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

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

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

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

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

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

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

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

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

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

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

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

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

Q. Whom can I call with questions?

A. If you are located west of Statesville, call our Western Office in Asheville at (828) 250-3103. If you are east of Statesville, all the way to the coast, call our Raleigh office at (919) 814-6900.

AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION

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

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

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

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

Records used during routine audits may be destroyed when the governing body accepts the audit, if the records have completed the retention period listed in this schedule. If time remains in the retention period, the records must be maintained for the remainder of the period. The auditor's working papers must be kept according to the schedule. (See also GENERAL RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES, Audits: Performance, STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS, Audits: Financial, STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS.) Should a dispute arise over an audit, the records that were audited should be retained until that dispute is resolved.

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

TRANSITORY RECORDS

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

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

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

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

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

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

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

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

- Drafts and working papers for internal and external policies

[3] Society of American Archivists, *Dictionary of Archives Terminology*.

- Drafts and working papers for internal administrative reports, such as daily and monthly activity reports
- Drafts and working papers for internal, non-policy-level documents, such as informal workflows and manuals; and
- Drafts and working papers for presentations, workshops, and other explanations of agency policy that are already formally documented.

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

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

See also the State Archives of North Carolina's guidance on digital signatures found at: https://archives.ncdcr.gov/government/digital-records/digital-records-policies-and-guidelines/digital-signature-policy

DESTRUCTION OF PUBLIC RECORDS

Q. When can I destroy records?

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

Q. How do I destroy records?

A. After your agency has approved this records retention and disposition schedule, records should be destroyed in one of the following ways:

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

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

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

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

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

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

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

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

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

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

Destructions Log

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

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

A-10

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

Q. When can I delete my e-mail?

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Q. What are the guidelines regarding the creation and handling of electronic public records, including text messages and social media?

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

Note that e-mail, text messages, and social media should be handled according to their content. Therefore, this schedule does not include a records series that instructs you on how to handle one of these born-digital records by format; instead of focusing on how the information is disseminated, consider what content is contained in the e-mail, text message, or social media post. For instance, an e-mail requesting leave that is sent to a supervisor should be kept for 3 years. On the General Records Schedule: Local Government Agencies, see Leave Records (Standard 4: HUMAN RESOURCES RECORDS).

GEOSPATIAL RECORDS

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

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

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

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

A. The following types of geospatial records have been designated as having archival value:

- Parcel data
- Street centerline data
- Corporate limits data
- Extraterritorial jurisdiction data
- Zoning data, address points
- Orthophotography (imagery)
- Utilities
- Emergency/E-911 themes

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

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

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

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

A. Archiving practices should be consistent with North Carolina Geographic Information Coordinating Council (GICC) approved standards and recommendations. (Examples: Content Standards for Metadata; Data Sharing Recommendations). Consult the GICC website at https://it.nc.gov/about/boards-commissions/gicc.

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

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

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

SECURITY PRESERVATION COPIES OF RECORDS

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

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

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

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

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

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

A. We have three processes for creating backup film copies of these records. First, you can send photocopies of your approved minutes to us in the mail. Simply include a copy of the **Certification of the Preparation of Records for Security Preservation Copy** form (available online at the State Archives of North Carolina website) with each shipment. For more detailed instructions, contact a Records Management Analyst.

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

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

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

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

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

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

DISASTER ASSISTANCE

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

A. Secure the area, and keep everyone out until fire or other safety professionals allow entry. Then, call our Raleigh office at (919) 814-6903 for the Head of the Government Records Section or (919) 814-6849 for the Head of the Collections Management Branch. If you're in the western part of the state, call our Asheville Office at (828) 250-3103. On nights and weekends, call your local emergency management office.

DO NOT ATTEMPT TO MOVE OR CLEAN ANY RECORDS.

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

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

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

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

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

Q. What are essential records?

A. Essential records are records that are necessary for continuity of operations in the event of a disaster. There are two common categories of records that are considered essential:

- **Emergency operating records** – including emergency plans and directives, orders of succession, delegations of authority, staffing assignments, selected program records needed to continue the most critical agency operations, as well as related policy or procedural records.
- **Legal and financial rights records** – these protect the legal and financial rights of the Government and of the individuals directly affected by its activities. Examples include accounts receivable records, Social Security records, payroll records, retirement records, and insurance records. These records were formerly defined as "rights-and-interests" records.

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

STAFF TRAINING

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

A. We have a group of prepared workshops that we can offer at any time at various locations throughout the state. Contact a Records Management Analyst if you are interested in having one of the workshops presented to your agency. We will work with you directly to develop training suited to your specific needs. Our basic workshops are:

- Managing public records in North Carolina
- Disaster preparedness and recovery
- Digital communications

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

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

Q. Are workshops offered only in Raleigh?

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

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

Q. Is there a fee for workshops?

A. Not at this time.

Q. Are the workshops available in an online format?

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

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

Request for Change in Local Government Records Schedule

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

AGENCY INFORMATION

Requestor name

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

Phone and e-mail

Mailing Address

CHANGE REQUESTED

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

☐ Add a new item
☐ Delete an existing item Standard Number _____ Page _____ Item Number _____

☐ Change a retention period Standard Number _____ Page _____ Item Number _____

Title of Records Series in Schedule or Proposed Title:

Inclusive Dates of Records: Proposed Retention Period:

Description of Records:

Justification for Change:

Requested by: _____
Signature Title Date

Approved by: _____
Signature Requestor's Supervisor Date

NC DEPARTMENT OF NATURAL AND CULTURAL RESOURCES

GOVERNMENT RECORDS SECTION
STATE RECORDS CENTER

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

Request for Disposal of Unscheduled Records

AGENCY INFORMATION

Requestor name

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

Phone and e-mail

Mailing Address

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

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

Requested by:

Signature	Title	Date

Approved by:

Signature	Requestor's Supervisor	Date

Concurred by:

Signature	Assistant Records Administrator State Archives of North Carolina	Date

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

Request for Disposal of Original Records Duplicated by Electronic Means

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

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

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

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

Requested by: _____

Signature Title Date

Approved by: _____

Signature Requestor's Supervisor Date

Concurred by: _____

Signature Assistant Records Administrator
State Archives of North Carolina Date

File Plan

County/Municipality					
Division		**Section**		**Branch**	

Records Series	**Records Creator**	**Records Owner** (if record copy is transferred within the agency)	**Media** (Paper, Electronic, Scanned)			**Required Retention**	**Location(s) of Records**
			P	**E**	**S**		

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CABARRUS COUNTY

BOARD OF COMMISSIONERS
WORK SESSION

June 6, 2022
5:30 PM

AGENDA CATEGORY:
Discussion Items for Action

SUBJECT:
DHS - FY23 HCCBG (Home and Community Care Block Grant) Funding Plan

BRIEF SUMMARY:
The FY23 Home and Community Care Block Grant (HCCBG) Funding Plan is attached for review and approval by the Board of Commissioners. The plan has been prepared, reviewed, and approved by the HCCBG Advisory Committee. The Department of Human Services serves as the lead agency for the Home and Community Care Block Grant in Cabarrus County. The lead agency's primary role is to organize the committee, develop the funding plan for the grant and seek approval from the Board of Commissioners for the funding plan.

The Home and Community Care Block Grant serves citizens aged 60 and older and promotes health and well-being services for qualified recipients. The grant is administered by the N.C. Division of Aging and Adult Services (DAAS). The grant provides local flexibility in that the advisory committee and the Board of Commissioners can set priorities for services the grant will fund. There is a required ten percent local match.

REQUESTED ACTION:
Motion to approve the FY23 HCCBG Funding Plan as submitted by the Home and Community Care Block Grant Advisory Committee.

EXPECTED LENGTH OF PRESENTATION:
5 Minutes

SUBMITTED BY:
Anthony Hodges, Lead Agency Representative

BUDGET AMENDMENT REQUIRED:
No

COUNTY MANAGER'S RECOMMENDATIONS/COMMENTS:

ATTACHMENTS:

- FY23 HCCBG Funding Plan

HCCBG Budget

DAAS-730
(Rev. 2/16)

Home and Community Care Block Grant for Older Adults

County Funding Plan

Identification of Agency or Office with Lead Responsibility for County Funding Plan

County: Cabarrus July 1, 2022 through June 30, 2023

The agency or office with lead responsibility for planning and coordinating the County Funding Plan recommends this funding plan to the Board of Commissioners as a coordinated means to utilize community-based resources in the delivery of comprehensive aging services to older adults and their families

Cabarrus DHS
(Name of Agency/Office with lead responsibility)

Authorized Signature Date

(Type name and title of signatory agent)

HCCBG Budget

DAAS-731 (Rev. 2/16)

Home and Community Care Block Grant for Older Adults

County Cabarrus

County Funding Plan

July 1, 2022 through June 30, 2023

County Services Summary

	A				B	C	D	E	F	G	H	I
	Block Grant Funding											
Services	Access	In-Home	Other	Total	Required Local Match	Net Service Cost	USDA Subsidy	Total Funding	Projected HCCBG Units	Projected Reimbursement Rate	Projected HCCBG Clients	Projected Total Units
DHS-Adult Day Health	$ -	$ 165,588	$ -	$ 165,588	$ 18,399	$ 183,987	$ -	$ 183,987	2224	$ 82.7245	28	2,225
DHS-Congregate Nutrition	$ -	$ -	$ 136,518	$ 136,518	$ 15,169	$ 151,687	$ 37,600	$ 189,287	13186	$ 11.5040	300	47,000
DHS-In-Home Aide-Level II - PC	$ -	$ 63,490	$ -	$ 63,490	$ 7,054	$ 70,544	$ -	$ 70,544	3647	$ 19.3408	12	3,650
DHS-In-Home Aide-Level III - PC	$ -	$ 136,597	$ -	$ 136,597	$ 15,177	$ 151,774	$ -	$ 151,774	6247	$ 24.2958	22	6,250
DHS-Transportation (General)	$ 90,198	$ -	$ -	$ 90,198	$ 10,022	$ 100,220	$ -	$ 100,220	5232	$ 19.1552	5567	108,977
DHS-Transportation (Medical)	$ 144,468	$ -	$ -	$ 144,468	$ 16,052	$ 160,520	$ -	$ 160,520	8380	$ 19.1551	8917	8,380
DOC-Housing & Home Imprvmt	$ -	$ -	$ 50,862	$ 50,862	$ 5,651	$ 56,513	$ -	$ 56,513	-			-
ALP-Senior Cntr Operation	$ -	$ -	$ 100,973	$ 100,973	$ 11,219	$ 112,192	$ -	$ 112,192	-	$ -		-
MOW-Home Delivered Meals	$ -	$ 121,942	$ -	$ 121,942	$ 13,549	$ 135,491	$ 88,000	$ 223,491	18446	$ 7.3454	300	110,000
MOW-HDM NSIP	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -	100	-
				$ -	$ -	$ -		$ -				
				$ -	$ -	$ -		$ -				
				$ -	$ -	$ -		$ -				
				$ -	$ -	$ -		$ -				
				$ -	$ -	$ -		$ -				
				$ -	$ -	$ -		$ -				
				$ -	$ -	$ -		$ -				
				$ -	$ -	$ -		$ -				
				$ -	$ -	$ -		$ -				
				$ -	$ -	$ -		$ -				
				$ -	$ -	$ -		$ -				
Total	$ 234,666	$ 487,617	$ 288,353	$ 1,010,636	$ 112,292	$ 1,122,928	$ 125,600	$ 1,248,528	57362		15246	286,482

Signature, Chairman, Board of Commissioners Date

State Fiscal Year:	SFY 2022-2023
Provider Name:	Cabarrus County DHS
Address Line 1:	1303 S. Cannon Blvd
Address Line 2:	Kannapolis, NC 28083
County:	Cabarrus
Area Agency on Aging:	Centralina Council of Governments

	Please Select Services to Be Delivered		Federal/State	Local Match	
	Adult Day Health	155	$ 165,588	$ 18,399	<<--Local Match will need to be broken out by source (Cash/In-Kind) on 732A Svc Cost Computation Form
	Congregate Nutrition	180	$ 136,518	$ 15,169	<<--Local Match will need to be broken out by source (Cash/In-Kind) on 732A Svc Cost Computation Form
	In-Home Aide-Level II - Personal Care	042	$ 63,490	$ 7,055	<<--Local Match will need to be broken out by source (Cash/In-Kind) on 732A Svc Cost Computation Form
	In-Home Aide-Level III - Personal Care	045	$ 136,597	$ 15,178	<<--Local Match will need to be broken out by source (Cash/In-Kind) on 732A Svc Cost Computation Form
REQUIRES INPUT TO POPULATE WORKBOOK-->				$ -	
REQUIRES INPUT TO POPULATE WORKBOOK-->				$ -	
REQUIRES INPUT TO POPULATE WORKBOOK-->				$ -	
REQUIRES INPUT TO POPULATE WORKBOOK-->				$ -	
REQUIRES INPUT TO POPULATE WORKBOOK-->				$ -	
REQUIRES INPUT TO POPULATE WORKBOOK-->				$ -	
REQUIRES INPUT TO POPULATE WORKBOOK-->				$ -	
REQUIRES INPUT TO POPULATE WORKBOOK-->				$ -	
REQUIRES INPUT TO POPULATE WORKBOOK-->				$ -	
REQUIRES INPUT TO POPULATE WORKBOOK-->				$ -	

				Comparison of Fed/State Funding and Rates vs. Prior Year			
Service		Prior Yr. Funding	Prior Year Rate	Current Yr Funding	Current Year Rate	Funding Diff.	Rate Diff.
Adult Day Health	155			$ 165,588	82.7245	$ 165,588	$ 82.7245
Congregate Nutrition	180			$ 136,518	11.5040	$ 136,518	$ 11.5040
In-Home Aide-Level II - Personal Care	042			$ 63,490	19.3408	$ 63,490	$ 19.3408
In-Home Aide-Level III - Personal Care	045			$ 136,597	24.2958	$ 136,597	$ 24.2958
					0.0000	$ -	$ -
					0.0000	$ -	$ -
					0.0000	$ -	$ -
					0.0000	$ -	$ -
					0.0000	$ -	$ -
					0.0000	$ -	$ -
					0.0000	$ -	$ -
					0.0000	$ -	$ -
					0.0000	$ -	$ -
					0.0000	$ -	$ -

NC DIVISION OF AGING AND ADULT SERVICES COST OF SERVICES - LABOR DISTRIBUTION SCHEDULE DAAS-732A1

AGENCY NAME: Cabarrus County DHS

State Fiscal Year: SFY 2022-2023

Fiscal Period: July 2022 through June 2023

STAFF NAME	POSITION	TOTAL SALARY	FTE Equivalent	FULL TIME PART TIME	Assignable Salary	ADMIN. SALARY	SERVICE Adult Day Health	SERVICE Congregate Nutrition	SERVICE In-Home Aide-Level II - Personal Care	SERVICE In-Home Aide-Level III - Personal Care	SERVICE 0	SERVICE 0	SERVICE 0	SERVICE 0
Cindy Hall	Nutrition Prog. Sup.	$ 65,978	1	FULL TIME	$ 65,978			$ 65,978						
Debbie Shields	Nutrition Prog. Spec.	$ 42,224	1	FULL TIME	$ 42,224			$ 42,224						
Ada Bowens	Nutrition Site Sup.	$ 34,694	0.7	PART TIME	$ 24,286			$ 24,286						
Crystal Faggart	Nutrition Site Sup.	$ 40,788	0.7	PART TIME	$ 28,552			$ 28,552						
Delores Neely	Nutrition Site Sup.	$ 38,375	0.7	PART TIME	$ 26,863			$ 26,863						
Allison Teal-Lewis	Nutrition Site Sup.	$ 37,794	0.7	PART TIME	$ 26,456			$ 26,456						
Melissa Ross	Nutrition Site Sup.	$ 33,612	0.7	PART TIME	$ 23,528			$ 23,528						
Katrina Wolford	Nutrition Site Sup.	$ 38,854	0.7	PART TIME	$ 27,198			$ 27,198						
Vacant	Nutrition Site Sup.	$ 32,405	0.7	PART TIME	$ 22,684			$ 22,684						
Vacant	Nutrition Site Sup.	$ 32,405	0.7	PART TIME	$ 22,684			$ 22,684						
Kimbaly Kelly	Social Worker II	$ 11,981	1	FULL TIME	$ 11,981		$ 5,152		$ 2,157	$ 4,672				
Janiece Lamberth	Social Worker II	$ 11,435	1	FULL TIME	$ 11,435		$ 4,917		$ 2,058	$ 4,460				
Talanya Weaks	Social Worker II	$ 14,997	1	FULL TIME	$ 14,997		$ 6,449		$ 2,699	$ 5,849				
					$ -									
					$ -									
					$ -				

North Carolina Division of Aging and Adult Services` DAAS-732A

Service Cost Computation Worksheet

Provider: Cabarrus County DHS
County: Cabarrus
Budget Period: July 2022 through June 2023

I. Projected Revenues	Grand Total		Service: Adult Day Health 155	Service: Congregate Nutrition 180	Service: In-Home Aide-Level II - Personal Care 042	Service: In-Home Aide-Level III - Personal Care 045	Service: 0 #N/A	Service: 0 #N/A
A. Fed/State Funding From the Div. of Aging & Adult Svcs.	$ 502,193		$ 165,588	$ 136,518	$ 63,490	$ 136,597	$ -	$ -
Required Minimum Match - Cash								
1)	$ 55,799		$ 18,399	$ 15,169	$ 7,054	$ 15,177		
2)	$ -							
3)	$ -							
Total Required Minimum Match - Cash	$ 55,799		$ 18,399	$ 15,169	$ 7,054	$ 15,177	$ -	$ -
Required Minimum Match - In-Kind								
1)	$ -							
2)	$ -							
3)	$ -							
Total Required Minimum Match - In-Kind	$ -		$ -	$ -	$ -	$ -	$ -	$ -
B. Total Required Minimum Match (cash + in-kind)	$ 55,799		$ 18,399	$ 15,169	$ 7,054	$ 15,177	$ -	$ -
C. **Subtotal, Fed/State/Required Match Revenues**	$ 557,992		$ 183,987	$ 151,687	$ 70,544	$ 151,774	$ -	$ -
D. NSIP Cash Subsidy/Commodity Valuation	$ 37,600		$ -	$ 37,600	$ -	$ -	$ -	$ -
E. **OAA Title V Worker Wages, Fringe Benefits and Costs**	$ -							
Local Cash, Non-Match								
1) County General Fund	$ 365,000			$ 365,000				
2)	$ -							
3)	$ -							
4)	$ -							
F. **Subtotal, Local Cash, Non-Match**	$ 365,000		$ -	$ 365,000	$ -	$ -	$ -	$ -
Other Revenues, Non-Match								
1) Donations	$ 4,000		$ -	$ 4,000				
2)	$ -							
3)	$ -							
G. **Subtotal, Other Revenues, Non-Match**	$ 4,000		$ -	$ 4,000	$ -	$ -	$ -	$ -
Local In-Kind Resources (Includes Volunteer Resources)								
1)	$ -							
2)	$ -							
3)	$ -							
H. **Subtotal, Local In-kind Resources, Non-Match**	$ -		$ -	$ -	$ -	$ -	$ -	$ -
I. **Client Cost Sharing**	$ 20,200		$ 75	$ 20,000	$ 50	$ 75		
J. **Total Projected Revenues (Sum I.C,D,E,F,G,H, & I)**	$ 984,792		$ 184,062	$ 578,287	$ 70,594	$ 151,849	$ -	$ -

Division of Aging and Adult Services
Service Cost Computation Worksheet

II. Line Item Expenses	Grand Total	Admin. Cost	Service: Adult Day Health 155	Service: Congregate Nutrition 180	Service: In-Home Aide-Level II - Personal Care 042	Service: In-Home Aide-Level III - Personal Care 045	Service: 0 #N/A	Service: 0 #N/A
Staff Salary From Labor Distribution Schedule								
1) Full-time Staff (do not include Title V workers)	$ 146,615	$ -	$ 16,518	$ 108,202	$ 6,914	$ 14,981	$ -	$ -
2) Part-time staff (do not include Title V workers)	$ 202,251	$ -	$ -	$ 202,251	$ -	$ -	$ -	$ -
A. **Subtotal, Staff Salary**	$ 348,866	**$ -**	**$ 16,518**	**$ 310,453**	**$ 6,914**	**$ 14,981**	**$ -**	**$ -**
Fringe Benefits								
1) FICA @ 7.65 %	$ 26,688	$ -	$ 1,264	$ 23,750	$ 529	$ 1,146	$ -	$ -
2) Health Insurance	$ 21,945		$ 2,574	$ 15,960	$ 1,077	$ 2,334		
3) Retirement	$ 31,397		$ 1,487	$ 27,940	$ 622	$ 1,348		
4) Unemployment Insurance	$ -							
5) Worker's Compensation	$ 9,768		$ 463	$ 8,692	$ 194	$ 419		
6) Other	$ -							
B. **Subtotal, Fringe Benefits**	$ 89,798	$ -	$ 5,788	$ 76,342	$ 2,422	$ 5,247	$ -	$ -
Local In-Kind Resources Non-Match								
1)	$ -							
2)	$ -							
3)	$ -							
C. **Subtotal, Local In-Kind Resources Non-Match**	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
D. **OAA Title V Worker Wages, Fringe Benefits and Costs**	$ -							
Travel								
1) Per Diem	$ -							
2) Mileage Reimbursement	$ -							
3) Other Travel Cost	$ -							
E. **Subtotal, Travel**	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
General Operating Expenses								
1) Service Contracts	$ 398,725		$ 184,480		$ 67,916	$ 146,329		
2) Caterer	$ 185,000		$ -	$ 185,000				
3) Host Agency Expenses	$ 32,000			$ 32,000				
4) Program Supplies	$ 6,500			$ 6,500				
5) Tools and Minor Equipment	$ 3,000			$ 3,000				
6) Purchased Services	$ 500			$ 500				
7) Training	$ -							
8)	$ -							
F. **Subtotal, General Operating Expenses**	$ 625,725	$ -	$ 184,480	$ 227,000	$ 67,916	$ 146,329	$ -	$ -
G. **Subtotal, Other Administrative Cost Not Allocated in Lines II.A through E**	$ -							
H. **Total Proj. Expenses Prior to Admin. Distribution**	**$ 1,064,389**	**$ -**	**$ 206,786**	**$ 613,795**	**$ 77,252**	**$ 166,557**	**$ -**	**$ -**
I. **Distribution of Admininistrative Cost**	**$ 79,597**		**$ 22,724**	**$ 35,508**	**$ 6,658**	**$ 14,708**	**$ -**	**$ -**
J. **Total Proj. Expenses After Admin. Distribution**	**$ 984,792**		**$ 184,062**	**$ 578,287**	**$ 70,594**	**$ 151,849**	**$ -**	**$ -**

III. Computation of Rates	Grand Total	Service: Adult Day Health 155	Service: Congregate Nutrition 180	Service: ·Home Aide-Level II - Personal Cə 042	Service: ome Aide-Level III - Personal C 045	Service: 0 #N/A	Service: 0 #N/A
A. **Computation of Unit Cost Rate:**							
1. Total Expenses (equals line II.J)	$ 984,792	$ 184,062	$ 578,287	$ 70,594	$ 151,849	$ -	$ -
2. Total Projected Units		2,225	47,000	3,650	6,250		
3. Total Unit Cost Rate		$ 82.7245	$ 12.3040	$ 19.3408	$ 24.2958	$ -	$ -
B. **Computation of Reimbursement Rate:**							
1. Total Revenues (equals line I.J)	$ 984,792	$ 184,062	$ 578,287	$ 70,594	$ 151,849	$ -	$ -
2. Less: NSIP (equals line I.D)	$ 37,600	$ -	$ 37,600	$ -	$ -	$ -	$ -
Title V (equals line I.E less II.D)	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Non Match In-Kind (equals line I.H less II.C)	$ -	$ -	$ -	$ -	$ -	$ -	$ -
3. Revenues Subject to Unit Reimbursement	$ 947,192	$ 184,062	$ 540,687	$ 70,594	$ 151,849	$ -	$ -
4. Total Projected Units (equals line III.A.2)		2,225	47,000	3,650	6,250	-	-
5. Total Reimbursement Rate		$ 82.7245	$ 11.5040	$ 19.3408	$ 24.2958	$ -	$ -
C. **Units Reimbursed Through HCCBG**		**2,224**	**13,186**	**3,647**	**6,247**	**-**	**-**
D. **Units Reimbursed Through Program Income***		**1**	**1,739**	**3**	**3**	**-**	**-**
E. **Units Reimbursed Through Remaining Revenues**		**-**	**32,076**	**-**	**-**	**-**	**-**
F. **Total Units Reimbursed/Total Projected Units**		**2,225**	**47,000**	**3,650**	**6,250**	**-**	**-**

* The Division of Aging ARMS deducts reported program income from reimbursement paid to providers. Line III.D indicates the number of units that will have to be produced in addition to those stated on line III.C in order to earn the net revenues stated on line I.C.

Certification:

I certify to the best of my knowledge and belief that the information included in the cost computation above is accurate and complies with all laws and regulations. I also understand that material deviations in reported cost information could limit funding, and also result in return of funds if the error or omission results in a higher than actual reported cost.

Authorized Signature	Title	Date

Information on this form (DAAS-732A) corresponds with information stated on the Provider Services Summary (DAAS-732) as follows:

	DAAS-732A	DAAS-732
Block Grant Funding	Line I.A	Col. A
Required Local Match-Cash & In-Kind	Line I.B	Col. B
Net Service Cost	Line I.C	Col. C
NSIP Subsidy	Line I.D	Col. D
Total Funding	L. I.C+I.D	Col. E
Projected HCCBG Reimbursed Units	Line III.C	Col. F
Total Reimbursement Rate	Line III.B.5	Col. G
Projected Total Service Units	Line III.F	Col. I

Home and Community Care Block Grant for Older Adults

Cabarrus County DHS

1303 S. Cannon Blvd

Kannapolis, NC 28083

County Funding Plan

Provider Services Summary

DAAS-732

County: Cabarrus

Budget Period: July 2022 through June 2023

Revision #: **Date:**

Services	Serv. Delivery (Check One) Direct	Purchase	A Block Grant Funding Access	In-Home	Other	Total	B Required Local Match	C Net Service Cost	D NSIP Subsidy	E Total Funding	F Projected HCCBG Units	G Projected Reimburse Rate	H Projected HCCBG Clients	I Projected Total Units
Adult Day Health		X	$ -	$165,588	$ -	$ 165,588	$ 18,399	$ 183,987	$ -	$ 183,987	2,224	$82.7245	28	2,225
Congregate Nutrition		X	$ -	$ -	$ 136,518	$ 136,518	$ 15,169	$ 151,687	$ 37,600	$ 189,287	13,186	$11.5040	300	47,000
In-Home Aide-Level II - Personal Care		X	$ -	$ 63,490	$ -	$ 63,490	$ 7,054	$ 70,544	$ -	$ 70,544	3,647	$19.3408	12	3,650
In-Home Aide-Level III - Personal Care		X	$ -	$136,597	$ -	$ 136,597	$ 15,177	$ 151,774	$ -	$ 151,774	6,247	$24.2958	22	6,250
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
Total			$ -	$365,675	$ 136,518	$ 502,193	$ 55,799	$ 557,992	$ 37,600	$ 595,592	25,304		362	59,125

Certification of required minimum local match availability. Required local match will be expended simultaneously with Block Grant Funding.

Authorized Signature, Title — Date

Community Service Provider

Signature, County Finance Officer — Date

Signature, Chairman, Board of Commissioners — Date

DAAS-733
(Rev. 2/19)

Home and Community Care Block Grant for Older Adults
Outreach Methodology

July 2022 through June 2023

Outreach Methodology to Address the Service Needs of Target Population

Community Service Provider: Cabarrus County DHS

County: Cabarrus

While all older adults age 60 and over are eligible for services, sec. 305(a)(2)(E) of the Older Americans Act requires programs to target services to older individuals with the greatest economic and social need, (with particular attention to low-income older adults, including low-income minority older adults, older adults with limited English proficiency, and older adults residing in rural areas). The community service provider shall specify how these service needs will be met through the services identified on the Provider Services Summary (DAAS-732). This narrative shall address outreach and service delivery methodologies that will ensure that this target population is adequately served and conform with specific objectives established by the Area Agency on Aging, for providing services to low income minority individuals. Additional pages may be used as necessary.

The Cabarrus County Department of Human Services' goal is to increase participation in services and programs by low income elderly and elderly with limited English proficiency in the community. DHS provides assistance to all individuals living within the county's boundaries who request services, regardless of location within the county. The type and extent of services receive are based on clients' needs and availability of funding. Outreach by the agency has been accomplished by brochures, community forums, word of mouth, and contacts with community partners. Outreach is ongoing. Requests from clients who meet the need for HCCBG services will continue to be accepted. If services are full, new clients will be added as existing clients leave the program or experience a decrease of units needed or additional funds are secured. As a agency with multiple funding sources, assessments will be made with each case t be sure the most appropriate funding is used to best meet the needs of the clients and that the Older Americans Act funds are for the target population groups.

July 2022 through June 2023

Home and Community Care Block Grant for Older Adults
Community Service Provider
Standard Assurances

Cabarrus County DHS agrees to provide services through the Home and Community Care Block Grant, as specified on the Provider Services Summary (DAAS-732) in accordance with the following:

1. Services shall be provided in accordance with requirements set forth in:
   a) The County Funding Plan;

   b) The Division of Aging and Adult Services Home and Community Care Block Grant Procedures Manual for Community Service Providers; and

   c) The Division of Aging and Adult Services Standards at

   https://www.ncdhhs.gov/divisions/daas/monitoring

   Community service providers shall monitor any subcontracts with providers of Block Grant services and take appropriate measures to ensure that services are provided in accordance with the aforementioned documents.

2. Priority shall be given to providing services to those older persons with the greatest economic or social needs. The service needs of low-income minority elderly will be addressed in the manner specified on the Outreach Methodology to Address Service Needs of Target Population (DAAS-733).

3. The following service authorization activities will be carried out in conjunction with all services provided through the Block Grant:
   a) Eligibility determination;
   b) Client intake/registration;
   c) Client assessment/reassessments and quarterly visits, as appropriate;
   d) Determining the amount of services to be received by the client; and
   e) Reviewing consumer contributions policies with eligible clients.

4. All licenses, permits, bonds, and insurance necessary for carrying out Block Grant Services will be maintained by the community service provider and any subcontracted providers.

5. As specified in 45 CFR 75, Subpart D-Post Federal Award Requirements, Procurement Standards, community service providers shall have procedures for settling all contractual and administrative issues arising out of procurement of services through the Block Grant. Community service providers shall have procedures governing the evaluation of bids for services and procedures through which bidders and contracted providers may appeal or dispute a decision made by the community service provider.

6. Applicant/Client appeals shall be addressed as specified in Section 7 of the Division of Aging and Adult Services Home and Community Care Block Grant Manual for Community Service Providers.

7. Community service providers are responsible for providing or arranging for the provision of required local match, as specified on the Provider Services Summary, (DAAS-732). Local match shall be expended simultaneously with Block Grant funding.

8. Community service providers agree to comply with audit and fiscal reporting requirements as specified in the Agreement for the Provision of County-Based Aging Services (DAAS-735).

9. Compliance with Equal Employment Opportunity and Americans with Disabilities Act requirements, as specified in paragraph fourteen (14) of the Agreement for the Provision of County-Based Aging Services (DAAS-735) shall be maintained.

10. Providers of In-Home Aide, Home Health, Housing and Home Improvement, and Adult Day Care or Adult Day Health Care shall sign and return the attached assurance to the area agency on aging indicating that recipients of these services have been informed of their client rights, as required in Section 314 of the 2006 Amendments to the Older Americans Act (DAAS-734 Standard Assurances Regarding In-Home Client Rights).

11. Subcontracting – All HCCBG community service providers must assure that subcontractors (for-profit and non-profit entities only) meet the following requirements:

a. The subcontractor has not been suspended or debarred. (N.C.G.S. §143C-6-23, 09 NCAC 03M)
b. The subcontractor has not been barred from doing business at the federal level.
c. The subcontractor is able to produce a notarized "State Grant Certification of No Overdue Tax Debts."

d. All licenses, permits, bonds and insurance necessary for carrying out Home and Community Care Block Grant services will be maintained by both the community service provider and any subcontractors.

e. The subcontractor is registered as a charitable, tax-exempt (501c3) organization with the Internal Revenue Service (non-profit subcontractors only).

12. Confidentiality and Security. Per the requirements in 10A NCAC 05J and Section 6 of the Home and Community Care Block Grant Procedures Manual, client information in any format and whether recorded or not shall be kept confidential and not disclosed in a form that identifies the person without the informed consent of the person or legal representative. Community service providers, including subcontractors and vendors, must adhere to all applicable federal, state and departmental requirements for protecting the security and confidentiality of client information including but not limited to appropriately restricting access, establishing procedures to reduce the risk of accidental disclosures from data processing systems, and developing a process by which the Division of Adult Aging Services is notified of suspected or confirmed security incidents and data breaches.

13. Record Retention and Disposition. All community service providers are responsible for maintaining custody of records and documentation to support the allowable expenditure of funds, service provision, and the reimbursement of services. Service providers must adhere to the approved record retention and disposition schedule posted at https://www.ncdhhs.gov/about/administrative-offices/office-controller/records-retention by the NC Department of Health and Human Services Controller's Office, as well as the local government schedules posted by the NC Department of Natural and Culltural Resources at https://archives.ncdcr.gov/government/local

Service providers are not authorized to destroy records related to the provision of services under this Agreement except in compliance with the approved DHHS retention and disposition schedule, which allows for the proper destruction of records based on a schedule by funding source and fiscal year. The agency agrees to comply with 07 NCAC 04M .0510 when deciding on a method of record destruction. Confidential records will be destroyed in such a manner that the records cannot be practically read or reconstructed.

_____

(Authorized Signature) (Date)

Standard Assurance To Comply with Older Americans Act
Requirements Regarding Clients Rights
For
Agencies Providing In-Home Services through the
Home and Community Care Block Grant for Older Adults

As a provider of one or more of the services listed below, our agency agrees to notify all Home and Community Care Block Grant clients receiving any of the below listed services provided by this agency of their rights as a service recipient. Services in this assurance include:

- In-Home Aide
- Home Care (home health)
- Housing and Home Improvement
- Adult Day Care or Adult Day Health Care

Notification will include, at a minimum, an oral review of the information outlined below as well as providing each service recipient with a copy of the information in written form. In addition, providers of in-home services will establish a procedure to document that client rights information has been discussed with in-home services clients (e.g. copy of signed Client Bill of Rights statement).

Clients Rights information to be communicated to service recipients will include, at a minimum, the right to:

- be fully informed, in advance, about each in-home service to be provided and any change in service(s) that may affect the wellbeing of the participant;
- participate in planning and changing any in-home service provided unless the client is adjudicated incompetent;
- voice a grievance with respect to service that is or fails to be provided, without discrimination or reprisal as a result of voicing a grievance;
- confidentiality of records relating to the individual;
- have property treated with respect; and
- be fully informed both orally and in writing, in advance of receiving an in-home service, of the individual's rights and obligations.

Client Rights will be distributed to, and discussed with, each new client receiving one or more of the above listed services prior to the onset of service. For all existing clients, the above information will be provided no later than the next regularly scheduled service reassessment.

Agency Name: Cabarrus County DHS

Name of Agency Administrator: _____

Signature: _____

(Please return this form to your Area Agency on Aging and retain a copy for your files.)

CLIENT/PATIENT RIGHTS

1. You have the right to be fully informed of all your rights and responsibilities as a client/p the program.

2. You have the right to appropriate and professional care relating to your needs.

3. You have the right to be fully informed in advance about the care to be provided by the

4. You have the right to be fully informed in advance of any changes in the care that you n receiving and to give informed consent to the provision of the amended care.

5. You have the right to participate in determining the care that you will receive and in alte nature of the care as your needs change.

6. You have the right to voice your grievances with respect to care that is provided and to there will be no reprisal for the grievance expressed.

7. You have the right to expect that the information you share with the agency will be resp held in strict confidence, to be shared only with your written consent and as it relates to obtaining of other needed community services.

8. You have the right to expect the preservation of your privacy and respect for your prope

9. You have the right to receive a timely response to your request for service.

10. You shall be admitted for service only if the agency has the ability to provide safe and professional care at the level of intensity needed.

11. You have the right to be informed of agency policies, changes, and costs for services.

12. If you are denied service solely on you inability to pay, you have the right to be referrec elsewhere.

13. You have the right to honest, accurate information regarding the industry, agency and program in particular.

14. You have the right to be fully informed about other services provided by this agency.

Internal Consistency Checks

Review of Local Match Comparison Input Sheet vs. 732A Cash and In-Kind Totals

			Difference
Adult Day Health		OK	-
Congregate Nutrition		OK	-
In-Home Aide-Level II - Personal Care		OK	-
In-Home Aide-Level III - Personal Care		OK	-
	0	OK	-
	0	OK	-
	0	OK	-
	0	OK	-
	0	OK	-
	0	OK	-
	0	OK	-
	0	OK	-
	0	OK	-
	0	OK	-

732A1 Labor Distribution Schedule Comparison of Assignable Salary To Overall Salary Entered

Total Assignable Salary and Cumulative Salary total for S	0	$	-

Exhibit 14A: List of Subcontractors

Region F - FY 2023

County: Cabarrus

Provider Name: Cabarrus DHS

Provider Code: F012

List each subcontractor in the chart below. A subcontractor is defined as an entity that has been contracted to do a job within the scope of the service provider's grant award. The subcontractor is accountable for the same requirements as the service provider, depending on the terms of the subcontract. Subcontractors must adhere to service standard requirements by the Division of Aging and Adult Services. Do not list vendors who provide services through a 'purchase of service'. These are services which do not follow prescribed service standards and are goods or services sold equally to all consumers.

Subcontractor Name	**Type Agency** ***Non-Profit For-Profit Government***	**Subcontracted Service Name**	**Subcontractor Contact Name, Address & Phone Number**	**Scope of the Subcontract** (Briefly describe any service requirements that will be delegated to the subcontractor, e.g. eligibility determination, service authorization, assessments/reassessments, preparation and delivery of meals, provision of a ride and driver/requirements, tasks on an In-Home Aide plan of care, aide competency testing, aide supervision,etc.)
Greater Home Health Services	**For-Profit**	In-Home Aide Services II & III	MiJe Nwangwu, 206 N. Cannon Blvd, Kannapolis, NC 28083 704-956-2478	Provision of In-Home Aide Services Level II & III
New Infiniti Health	**For-Profit**	In-Home Aide Services II & III	Crystal Stafford, 325 McGill Ave. NW, Concord, NC 28027	Provision of In-Home Aide Services Level II & III
Interim Homecare	For-Profit	In-Home Aide Services II & III	Julie Conrad, 250 Branchview Dr., Concord, NC 28025 704-788-3483	Provision of In-Home Aide Services Level II & III
Coltrane L.I.F.E. Center	Non-Profit	Adult Day Health	Susan Caudle, 321 Corban Ave. SW, Concord, NC 28025 704-788-1215	Provision of Adult Day Health Services
Trio Community Meals	For-Profit	Congregate Nutrition	Bob Santana, 300 S. Tryon St. Ste 400, Charlotte, NC 28202 704-424-1071	Preparation and delivery of meals to Congregate Nutrition sites

Attest Statement: Providers utilizing subcontractors must provide assurance that both for profit and non-profit subcontractors are compliant with state and federal regulations. These assurances are the subcontractor: A) has not been suspended or debarred (G.S. §143C-6-23; 09NCAC03M), B) has not been barred from doing business at the federal level, C) is able to produce a notarized "State Grant Certification of No Overdue Tax Debts", D) has obtained all licenses, permits, bonds and insurance necessary for carrying out HCCBG Services. In addition, Non-Profit Subcontractors are registered as a charitable (501c3) organization with the federal government.

Provider Signature: Title: DHS Director **Date:**

Version 2016

State Fiscal Year:	SFY 2022-2023
Provider Name:	Active Living and Parks
Address Line 1:	331 Corban Ave SE
Address Line 2:	Concord, NC 28025
County:	Cabarrus
Area Agency on Aging:	Centralina Council of Governments

	Please Select Services to Be Delivered		Federal/State	Local Match	
	Senior Center Operation	170	$ 100,973	$ 11,220	<<--Local Match will need to be broken out by source (Cash/In-Kind) on 732A Svc Cost Computation Form
REQUIRES INPUT TO POPULATE WORKBOOK-->				$ -	
REQUIRES INPUT TO POPULATE WORKBOOK-->				$ -	
REQUIRES INPUT TO POPULATE WORKBOOK-->				$ -	
REQUIRES INPUT TO POPULATE WORKBOOK-->				$ -	
REQUIRES INPUT TO POPULATE WORKBOOK-->				$ -	
REQUIRES INPUT TO POPULATE WORKBOOK-->				$ -	
REQUIRES INPUT TO POPULATE WORKBOOK-->				$ -	
REQUIRES INPUT TO POPULATE WORKBOOK-->				$ -	
REQUIRES INPUT TO POPULATE WORKBOOK-->				$ -	
REQUIRES INPUT TO POPULATE WORKBOOK-->				$ -	
REQUIRES INPUT TO POPULATE WORKBOOK-->				$ -	
REQUIRES INPUT TO POPULATE WORKBOOK-->				$ -	
REQUIRES INPUT TO POPULATE WORKBOOK-->				$ -	

Comparison of Fed/State Funding and Rates vs. Prior Year

Service		Prior Yr. Funding	Prior Year Rate	Current Yr Funding	Current Year Rate	Funding Diff.	Rate Diff.
Senior Center Operation	170	$ 100,973		$ 100,973	0.0000	$ -	$ -
					0.0000	$ -	$ -
					0.0000	$ -	$ -
					0.0000	$ -	$ -
					0.0000	$ -	$ -
					0.0000	$ -	$ -
					0.0000	$ -	$ -
					0.0000	$ -	$ -
					0.0000	$ -	$ -
					0.0000	$ -	$ -
					0.0000	$ -	$ -
					0.0000	$ -	$ -
					0.0000	$ -	$ -

NC DIVISION OF AGING AND ADULT SERVICES COST OF SERVICES - LABOR DISTRIBUTION SCHEDULE DAAS-732A1

AGENCY NAME: Active Living and Parks

State Fiscal Year: SFY 2022-2023

Fiscal Period: July 2022 through June 2023

STAFF NAME	POSITION	TOTAL SALARY	FTE Equivalent	FULL TIME PART TIME	Assignable Salary	ADMIN. SALARY	SERVICE Senior Center Operation	SERVICE 0	SERVICE 0	SERVICE 0	SERVICE 0	SERVICE 0
Newcomer	Program Asst	$ 39,978	8%	PART TIME	$ 3,198		$ 3,198					
Brindell	Wellness Supervisor	$ 48,277	8%	PART TIME	$ 3,862		$ 3,862					
Kiser	ALP Program Mgr	$ 53,685	8%	PART TIME	$ 4,295		$ 4,295					
Plummer	ALP Program Supervisor	$ 46,800	7%	PART TIME	$ 3,276		$ 3,276					
					$ -							
					$ -							
					$ -	

North Carolina Division of Aging and Adult Services`
Service Cost Computation Worksheet

DAAS-732A

Provider: Active Living and Parks
County: Cabarrus
Budget Period: July 2022 through June 2023

I. Projected Revenues	Grand Total		Service: Senior Center Operation 170	Service: 0 #N/A	Service: 0 #N/A	Service: 0 #N/A	Service: 0 #N/A	Service: 0 #N/A	Service: 0 #N/A
A. Fed/State Funding From the Div. of Aging & Adult Svcs.	$ 100,973		$ 100,973	$ -	$ -	$ -	$ -	$ -	$ -
Required Minimum Match - Cash									
1) County	$ 11,219		$ 11,219						
2)	$ -								
3)	$ -								
Total Required Minimum Match - Cash	$ 11,219		$ 11,219	$ -	$ -	$ -	$ -	$ -	$ -
Required Minimum Match - In-Kind									
1)	$ -								
2)	$ -								
3)	$ -								
Total Required Minimum Match - In-Kind	$ -		$ -	$ -	$ -	$ -	$ -	$ -	$ -
B. Total Required Minimum Match (cash + in-kind)	$ 11,219		$ 11,219	$ -	$ -	$ -	$ -	$ -	$ -
C. **Subtotal, Fed/State/Required Match Revenues**	$ 112,192		$ 112,192	$ -	$ -	$ -	$ -	$ -	$ -
D. NSIP Cash Subsidy/Commodity Valuation	$ -		$ -	$ -	$ -	$ -	$ -	$ -	$ -
E. **OAA Title V Worker Wages, Fringe Benefits and Costs**	$ -								
Local Cash, Non-Match									
1)	$ -								
2)	$ -								
3)	$ -								
4)	$ -								
F. **Subtotal, Local Cash, Non-Match**	$ -		$ -	$ -	$ -	$ -	$ -	$ -	$ -
Other Revenues, Non-Match									
1)	$ -								
2)	$ -								
3)	$ -								
G. **Subtotal, Other Revenues, Non-Match**	$ -		$ -	$ -	$ -	$ -	$ -	$ -	$ -
Local In-Kind Resources (Includes Volunteer Resources)									
1)	$ -								
2)	$ -								
3)	$ -								
H. **Subtotal, Local In-kind Resources, Non-Match**	$ -		$ -	$ -	$ -	$ -	$ -	$ -	$ -
I. **Client Cost Sharing**	$ -								
J. **Total Projected Revenues (Sum I.C,D,E,F,G,H, & I)**	$ 112,192		$ 112,192	$ -	$ -	$ -	$ -	$ -	$ -

Division of Aging and Adult Services
Service Cost Computation Worksheet

II. Line Item Expenses	Grand Total	Admin. Cost	Service: Senior Center Operation 170	Service: 0 #N/A	Service: 0 #N/A	Service: 0 #N/A	Service: 0 #N/A	Service: 0 #N/A	Service: 0 #N/A
Staff Salary From Labor Distribution Schedule									
1) Full-time Staff (do not include Title V workers)	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
2) Part-time staff (do not include Title V workers)	$ 14,631	$ -	$ 14,631	$ -	$ -	$ -	$ -	$ -	$ -
A. **Subtotal, Staff Salary**	$ 14,631	$ -	$ 14,631	$ -	$ -	$ -	$ -	$ -	$ -
Fringe Benefits									
1) FICA @ 7.65 %	$ 1,119	$ -	$ 1,119	$ -	$ -	$ -	$ -	$ -	$ -
2) Health Insurance	$ -								
3) Retirement	$ -								
4) Unemployment Insurance	$ -								
5) Worker's Compensation	$ -								
6) Other	$ -								
B. **Subtotal, Fringe Benefits**	$ 1,119	$ -	$ 1,119	$ -	$ -	$ -	$ -	$ -	$ -
Local In-Kind Resources Non-Match									
1)	$ -								
2)	$ -								
3)	$ -								
C. **Subtotal, Local In-Kind Resources Non-Match**	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
D. **OAA Title V Worker Wages, Fringe Benefits and Costs**	$ -								
Travel									
1) Per Diem	$ -								
2) Mileage Reimbursement	$ -								
3) Other Travel Cost	$ -								
E. **Subtotal, Travel**	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
General Operating Expenses									
1) various operation expenses	$ 96,442		$ 96,442						
2) details can be view throughout FY 23	$ -								
3)	$ -								
4)	$ -								
5)	$ -								
6)	$ -								
7)	$ -								
8)	$ -								
F. **Subtotal, General Operating Expenses**	$ 96,442	$ -	$ 96,442	$ -	$ -	$ -	$ -	$ -	$ -
G. **Subtotal, Other Administrative Cost Not Allocated in Lines II.A through E**	$ -								
H. **Total Proj. Expenses Prior to Admin. Distribution**	**$ 112,192**	**$ -**	**$ 112,192**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**
I. **Distribution of Admininistrative Cost**	**$ 0**		**$ 0**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**
J. **Total Proj. Expenses After Admin. Distribution**	**$ 112,192**		**$ 112,192**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**

III. Computation of Rates	Grand Total		Service: Senior Center Operation 170	Service: 0 #N/A	Service: 0 #N/A	Service: 0 #N/A	Service: 0 #N/A	Service: 0 #N/A	Service: 0 #N/A
A. **Computation of Unit Cost Rate:**									
1. Total Expenses (equals line II.J)	$ 112,192		$ 112,192	$ -	$ -	$ -	$ -	$ -	$ -
2. Total Projected Units									
3. Total Unit Cost Rate			$ -	$ -	$ -	$ -	$ -	$ -	$ -
B. **Computation of Reimbursement Rate:**									
1. Total Revenues (equals line I.J)	$ 112,192		$ 112,192	$ -	$ -	$ -	$ -	$ -	$ -
2. Less: NSIP (equals line I.D)	$ -		$ -	$ -	$ -	$ -	$ -	$ -	$ -
Title V (equals line I.E less II.D)	$ -		$ -	$ -	$ -	$ -	$ -	$ -	$ -
Non Match In-Kind (equals line I.H less II.C)	$ -		$ -	$ -	$ -	$ -	$ -	$ -	$ -
3. Revenues Subject to Unit Reimbursement	$ 112,192		$ 112,192	$ -	$ -	$ -	$ -	$ -	$ -
4. Total Projected Units (equals line III.A.2)			-	-	-	-	-	-	-
5. Total Reimbursement Rate			$ -	$ -	$ -	$ -	$ -	$ -	$ -
C. **Units Reimbursed Through HCCBG**			-	-	-	-	-	-	-
D. **Units Reimbursed Through Program Income***			-	-	-	-	-	-	-
E. **Units Reimbursed Through Remaining Revenues**			-	-	-	-	-	-	-
F. **Total Units Reimbursed/Total Projected Units**			-	-	-	-	-	-	-

* The Division of Aging ARMS deducts reported program income from reimbursement paid to providers. Line III.D indicates the number of units that will have to be produced in addition to those stated on line III.C in order to earn the net revenues stated on line I.C.

Certification:

I certify to the best of my knowledge and belief that the information included in the cost computation above is accurate and complies with all laws and regulations. I also understand that material deviations in reported cost information could limit funding, and also result in return of funds if the error or omission results in a higher than actual reported cost.

Authorized Signature | Title | Date

Information on this form (DAAS-732A) corresponds with information stated on the Provider Services Summary (DAAS-732) as follows:

	DAAS-732A	DAAS-732
Block Grant Funding	Line I.A	Col. A
Required Local Match-Cash & In-Kind	Line I.B	Col. B
Net Service Cost	Line I.C	Col. C
NSIP Subsidy	Line I.D	Col. D
Total Funding	L. I.C+I.D	Col. E
Projected HCCBG Reimbursed Units	Line III.C	Col. F
Total Reimbursement Rate	Line III.B.5	Col. G
Projected Total Service Units	Line III.F	Col. I

Home and Community Care Block Grant for Older Adults

Active Living and Parks

P O Box 707

Concord NC 28026-0707

County Funding Plan

Provider Services Summary

DAAS-732

County: Cabarrus

Budget Period: July 2019 through June 2020

Revision #: **Date:**

Services	Serv. Delivery (Check One) Direct	Purchase	A Block Grant Funding: Access	In-Home	Other	Total	B Required Local Match	C Net Service Cost	D NSIP Subsidy	E Total Funding	F Projected HCCBG Units	G Projected Reimburse Rate*	H Projected HCCBG Clients	I Projected Total Units
Senior Center Operation			$ -	$ -	$ 89,522	$ 89,522	$ 9,947	$ 99,469	$ -	$ 99,469	-	$ -		-
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
Total			$ -	$ -	$ 89,522	$ 89,522	$ 9,947	$ 99,469	$ -	$ 99,469	-		-	-

***Adult Day Care & Adult Day Health Care Proj. Service Cost/Rate**

	ADC	ADHC
Daily Care	$33.07	$ 40.00
Administrative		
Proj. Reimbursement Rate	$33.07	$ 40.00
Administrative %	0.00%	0.00%

Certification of required minimum local match availability. Required local match will be expended simultaneously with Block Grant Funding.

Signature, County Finance Officer Date

Authorized Signature, Title Date

Community Service Provider

Signature, Chairman, Board of Commissioners Date

DAAS-733
(Rev. 2/19)

Home and Community Care Block Grant for Older Adults
Outreach Methodology

July 2022 through June 2023

Outreach Methodology to Address the Service Needs of Target Population

Community Service Provider: Active Living and Parks

County: Cabarrus

While all older adults age 60 and over are eligible for services, sec. 305(a)(2)(E) of the Older Americans Act requires programs to target services to older individuals with the greatest economic and social need, (with particular attention to low-income older adults, including low-income minority older adults, older adults with limited English proficiency, and older adults residing in rural areas). The community service provider shall specify how these service needs will be met through the services identified on the Provider Services Summary (DAAS-732). This narrative shall address outreach and service delivery methodologies that will ensure that this target population is adequately served and conform with specific objectives established by the Area Agency on Aging, for providing services to low income minority individuals. Additional pages may be used as necessary.

Approximately 5000 copies of the printed news magazine are distributed three times per year and is also available on the Cabarrus County Website.
Referrals are provided to the Human Services Department and received from various local providers
Brochures are distributed throughout the community that promote programs provided by our agency
Programs are promoted through local churches and through speaking presentations to older adults and local civic groups
Programs are provided to a variety of satellite locations (churches, recreation centers, YMCAs, etc.) throughout the county, including rural and low-income areas.

July 2022 through June 2023

Home and Community Care Block Grant for Older Adults
Community Service Provider
Standard Assurances

Active Living and Parks agrees to provide services through the Home and Community Care Block Grant, as specified on the Provider Services Summary (DAAS-732) in accordance with the following:

1. Services shall be provided in accordance with requirements set forth in:
   a) The County Funding Plan;
   b) The Division of Aging and Adult Services Home and Community Care Block Grant Procedures Manual for Community Service Providers; and
   c) The Division of Aging and Adult Services Standards at
   https://www.ncdhhs.gov/divisions/daas/monitoring
   Community service providers shall monitor any subcontracts with providers of Block Grant services and take appropriate measures to ensure that services are provided in accordance with the aforementioned documents.

2. Priority shall be given to providing services to those older persons with the greatest economic or social needs. The service needs of low-income minority elderly will be addressed in the manner specified on the Outreach Methodology to Address Service Needs of Target Population (DAAS-733).

3. The following service authorization activities will be carried out in conjunction with all services provided through the Block Grant:
   a) Eligibility determination;
   b) Client intake/registration;
   c) Client assessment/reassessments and quarterly visits, as appropriate;
   d) Determining the amount of services to be received by the client; and
   e) Reviewing consumer contributions policies with eligible clients.

4. All licenses, permits, bonds, and insurance necessary for carrying out Block Grant Services will be maintained by the community service provider and any subcontracted providers.

5. As specified in 45 CFR 75, Subpart D-Post Federal Award Requirements, Procurement Standards, community service providers shall have procedures for settling all contractual and administrative issues arising out of procurement of services through the Block Grant. Community service providers shall have procedures governing the evaluation of bids for services and procedures through which bidders and contracted providers may appeal or dispute a decision made by the community service provider.

6. Applicant/Client appeals shall be addressed as specified in Section 7 of the Division of Aging and Adult Services Home and Community Care Block Grant Manual for Community Service Providers.

7. Community service providers are responsible for providing or arranging for the provision of required local match, as specified on the Provider Services Summary, (DAAS-732). Local match shall be expended simultaneously with Block Grant funding.

8. Community service providers agree to comply with audit and fiscal reporting requirements as specified in the Agreement for the Provision of County-Based Aging Services (DAAS-735).

9. Compliance with Equal Employment Opportunity and Americans with Disabilities Act requirements, as specified in paragraph fourteen (14) of the Agreement for the Provision of County-Based Aging Services (DAAS-735) shall be maintained.

10. Providers of In-Home Aide, Home Health, Housing and Home Improvement, and Adult Day Care or Adult Day Health Care shall sign and return the attached assurance to the area agency on aging indicating that recipients of these services have been informed of their client rights, as required in Section 314 of the 2006 Amendments to the Older Americans Act (DAAS-734 Standard Assurances Regarding In-Home Client Rights).

11. Subcontracting – All HCCBG community service providers must assure that subcontractors (for-profit and non-profit entities only) meet the following requirements:

a. The subcontractor has not been suspended or debarred. (N.C.G.S. §143C-6-23, 09 NCAC 03M)
b. The subcontractor has not been barred from doing business at the federal level.
c. The subcontractor is able to produce a notarized "State Grant Certification of No Overdue Tax Debts."

d. All licenses, permits, bonds and insurance necessary for carrying out Home and Community Care Block Grant services will be maintained by both the community service provider and any subcontractors.

e. The subcontractor is registered as a charitable, tax-exempt (501c3) organization with the Internal Revenue Service (non-profit subcontractors only).

12. Confidentiality and Security. Per the requirements in 10A NCAC 05J and Section 6 of the Home and Community Care Block Grant Procedures Manual, client information in any format and whether recorded or not shall be kept confidential and not disclosed in a form that identifies the person without the informed consent of the person or legal representative. Community service providers, including subcontractors and vendors, must adhere to all applicable federal, state and departmental requirements for protecting the security and confidentiality of client information including but not limited to appropriately restricting access, establishing procedures to reduce the risk of accidental disclosures from data processing systems, and developing a process by which the Division of Adult Aging Services is notified of suspected or confirmed security incidents and data breaches.

13. Record Retention and Disposition. All community service providers are responsible for maintaining custody of records and documentation to support the allowable expenditure of funds, service provision, and the reimbursement of services. Service providers must adhere to the approved record retention and disposition schedule posted at https://www.ncdhhs.gov/about/administrative-offices/office-controller/records-retention by the NC Department of Health and Human Services Controller's Office, as well as the local government schedules posted by the NC Department of Natural and Culltural Resources at https://archives.ncdcr.gov/government/local

Service providers are not authorized to destroy records related to the provision of services under this Agreement except in compliance with the approved DHHS retention and disposition schedule, which allows for the proper destruction of records based on a schedule by funding source and fiscal year. The agency agrees to comply with 07 NCAC 04M .0510 when deciding on a method of record destruction. Confidential records will be destroyed in such a manner that the records cannot be practically read or reconstructed.

_____

(Authorized Signature) (Date)

b. The subcontractor has not been barred from doing business at the federal level.

c. The subcontractor is able to produce a notarized "State Grant Certification of No Overdue Tax Debts."

d. All licenses, permits, bonds and insurance necessary for carrying out Home and Community Care Block Grant services will be maintained by both the community service provider and any subcontractors.

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13.

Record Retention and Disposition. All community service providers are responsible for maintaining custody of records and documentation to support the allowable expenditure of funds, service provision, and the reimbursement of services. Service providers must adhere to the approved record retention and disposition schedule posted semiannually on the website of the NC Department of Health and Human Services Controller at .
http://www.ncdhhs.gov/control/retention/retention.htm

Service providers are not authorized to destroy records related to the provision of services under this Agreement except in compliance with the approved DHHS retention and disposition schedule, which allows for the proper destruction of records based on a schedule by funding source and fiscal year. The agency agrees to comply with 07 NCAC 04M .0510 when deciding on a method of record destruction. Confidential records will be destroyed in such a manner that the records cannot be practically read or reconstructed.

Fonda Strong 5/29/19

(Authorized Signature) (Date)

CLIENT/PATIENT RIGHTS

1. You have the right to be fully informed of all your rights and responsibilities as a client/p the program.

2. You have the right to appropriate and professional care relating to your needs.

3. You have the right to be fully informed in advance about the care to be provided by the

4. You have the right to be fully informed in advance of any changes in the care that you r receiving and to give informed consent to the provision of the amended care.

5. You have the right to participate in determining the care that you will receive and in alte nature of the care as your needs change.

6. You have the right to voice your grievances with respect to care that is provided and to there will be no reprisal for the grievance expressed.

7. You have the right to expect that the information you share with the agency will be resp held in strict confidence, to be shared only with your written consent and as it relates to obtaining of other needed community services.

8. You have the right to expect the preservation of your privacy and respect for your prope

9. You have the right to receive a timely response to your request for service.

10. You shall be admitted for service only if the agency has the ability to provide safe and professional care at the level of intensity needed.

11. You have the right to be informed of agency policies, changes, and costs for services.

12. If you are denied service solely on you inability to pay, you have the right to be referre elsewhere.

13. You have the right to honest, accurate information regarding the industry, agency and program in particular.

14. You have the right to be fully informed about other services provided by this agency.

Internal Consistency Checks

Review of Local Match Comparison Input Sheet vs. 732A Cash and In-Kind Totals

			Difference
Senior Center Operation		OK	-
	0	OK	-
	0	OK	-
	0	OK	-
	0	OK	-
	0	OK	-
	0	OK	-
	0	OK	-
	0	OK	-
	0	OK	-
	0	OK	-
	0	OK	-
	0	OK	-
	0	OK	-
	0	OK	-

732A1 Labor Distribution Schedule Comparison of Assignable Salary To Overall Salary Entered

Total Assignable Salary and Cumulative Salary total for Se	0	$	-

State Fiscal Year:	SFY 2022-2023
Provider Name:	Cabarrus County Planning & Development
Address Line 1:	PO Box 707
Address Line 2:	Concord, NC 28026
County:	Cabarrus
Area Agency on Aging:	Centralina Council of Governments

	Please Select Services to Be Delivered		Federal/State	Local Match	
	Housing & Home Improvement	140	$ 50,862	$ 5,652	<--Local Match will need to be broken out by source (Cash/In-Kind) on 732A Svc Cost Computation Form
REQUIRES INPUT TO POPULATE WORKBOOK-->				$ -	
REQUIRES INPUT TO POPULATE WORKBOOK-->				$ -	
REQUIRES INPUT TO POPULATE WORKBOOK-->				$ -	
REQUIRES INPUT TO POPULATE WORKBOOK-->				$ -	
REQUIRES INPUT TO POPULATE WORKBOOK-->				$ -	
REQUIRES INPUT TO POPULATE WORKBOOK-->				$ -	
REQUIRES INPUT TO POPULATE WORKBOOK-->				$ -	
REQUIRES INPUT TO POPULATE WORKBOOK-->				$ -	
REQUIRES INPUT TO POPULATE WORKBOOK-->				$ -	
REQUIRES INPUT TO POPULATE WORKBOOK-->				$ -	
REQUIRES INPUT TO POPULATE WORKBOOK-->				$ -	
REQUIRES INPUT TO POPULATE WORKBOOK-->				$ -	

Comparison of Fed/State Funding and Rates vs. Prior Year

Service		Prior Yr. Funding	Prior Year Rate	Current Yr Funding	Current Year Rate	Funding Diff.	Rate Diff.
Housing & Home Improvement	140	$ 50,862		$ 50,862	0.0000	$ -	$ -
					0.0000	$ -	$ -
					0.0000	$ -	$ -
					0.0000	$ -	$ -
					0.0000	$ -	$ -
					0.0000	$ -	$ -
					0.0000	$ -	$ -
					0.0000	$ -	$ -
					0.0000	$ -	$ -
					0.0000	$ -	$ -
					0.0000	$ -	$ -
					0.0000	$ -	$ -
					0.0000	$ -	$ -
					0.0000	$ -	$ -

NC DIVISION OF AGING AND ADULT SERVICES COST OF SERVICES - LABOR DISTRIBUTION SCHEDULE DAAS-732A1

AGENCY NAME: Cabarrus County Planning & Development

Fiscal Period: July 2022 through June 2023

State Fiscal Year: SFY 2022-2023

STAFF NAME	POSITION	TOTAL SALARY	FTE Equivalent	FULL TIME PART TIME	Assignable Salary	ADMIN. SALARY	SERVICE Housing & Home Improvement	SERVICE 0	SERVICE 0	SERVICE 0	SERVICE 0	SERVICE 0	SERVICE 0
Brian Helms	Weatherization Auditor/Mechanic	$ 46,176	0.1299	PART TIME	$ 5,998		$ 5,998						
Thomas King	Weatherization Auditor/Mechanic	$ 41,683	0.1439	PART TIME	$ 5,998		$ 5,998						
					$ -								
					$ -								
					$ -	

North Carolina Division of Aging and Adult Services` DAAS-732A

Service Cost Computation Worksheet

Provider: Cabarrus County Planning & Development
County: Cabarrus
Budget Period: July 2022 through June 2023

			Service	Service	Service	Service	Service	Service
			Housing & Home Improvement	0	0	0	0	0
I. Projected Revenues	**Grand Total**		140	#N/A	#N/A	#N/A	#N/A	#N/A
A. Fed/State Funding From the Div. of Aging & Adult Svcs.	$ 50,862		$ 50,862	$ -	$ -	$ -	$ -	$ -
Required Minimum Match - Cash								
1) General Fund cash match	$ 5,651		$ 5,651					
2)	$ -							
3)	$ -							
Total Required Minimum Match - Cash	$ 5,651		$ 5,651	$ -	$ -	$ -	$ -	$ -
Required Minimum Match - In-Kind								
1)	$ -							
2)	$ -							
3)	$ -							
Total Required Minimum Match - In-Kind	$ -		$ -	$ -	$ -	$ -	$ -	$ -
B. Total Required Minimum Match (cash + in-kind)	$ 5,651		$ 5,651	$ -	$ -	$ -	$ -	$ -
C. **Subtotal, Fed/State/Required Match Revenues**	$ 56,513		$ 56,513	$ -	$ -	$ -	$ -	$ -
D. NSIP Cash Subsidy/Commodity Valuation	$ -		$ -	$ -	$ -	$ -	$ -	$ -
E. **OAA Title V Worker Wages, Fringe Benefits and Costs**	$ -							
Local Cash, Non-Match								
1)	$ -							
2)	$ -							
3)	$ -							
4)	$ -							
F. **Subtotal, Local Cash, Non-Match**	$ -		$ -	$ -	$ -	$ -	$ -	$ -
Other Revenues, Non-Match								
1)	$ -							
2)	$ -							
3)	$ -							
G. **Subtotal, Other Revenues, Non-Match**	$ -		$ -	$ -	$ -	$ -	$ -	$ -
Local In-Kind Resources (Includes Volunteer Resources)								
1)	$ -							
2)	$ -							
3)	$ -							
H. **Subtotal, Local In-kind Resources, Non-Match**	$ -		$ -	$ -	$ -	$ -	$ -	$ -
I. **Client Cost Sharing**	$ 150		$ 150					
J. **Total Projected Revenues (Sum I.C,D,E,F,G,H, & I)**	$ 56,663		$ 56,663	$ -	$ -	$ -	$ -	$ -

Division of Aging and Adult Services
Service Cost Computation Worksheet

II. Line Item Expenses	Grand Total	Admin. Cost	Service Housing & Home Improvement 140	Service 0 #N/A	Service 0 #N/A	Service 0 #N/A	Service 0 #N/A	Service 0 #N/A
Staff Salary From Labor Distribution Schedule								
1) Full-time Staff (do not include Title V workers)	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
2) Part-time staff (do not include Title V workers)	$ 11,996	$ -	$ 11,996	$ -	$ -	$ -	$ -	$ -
A. **Subtotal, Staff Salary**	$ 11,996	**$ -**	**$ 11,996**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**
Fringe Benefits								
1) FICA @ 7.65 %	$ 918	$ -	$ 918	$ -	$ -	$ -	$ -	$ -
2) Health Insurance	$ -							
3) Retirement	$ -							
4) Unemployment Insurance	$ -							
5) Worker's Compensation	$ -							
6) Other	$ -							
B. **Subtotal, Fringe Benefits**	$ 918	$ -	$ 918	$ -	$ -	$ -	$ -	$ -
Local In-Kind Resources Non-Match								
1)	$ -							
2)	$ -							
3)	$ -							
C. **Subtotal, Local In-Kind Resources Non-Match**	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
D. **OAA Title V Worker Wages, Fringe Benefits and Costs**	$ -							
Travel								
1) Per Diem	$ -							
2) Mileage Reimbursement	$ -							
3) Other Travel Cost	$ -							
E. **Subtotal, Travel**	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
General Operating Expenses								
1) Appliances Repairs and Replacements	$ 22,648		$ 22,648					
2) Home Repairs	$ 11,359		$ 11,359					
3) Modifications/Accessibility	$ 10,356		$ 10,356					
4) Security	$ 150		$ 150					
5)	$ -							
6)	$ -							
7)	$ -							
8)	$ -							
F. **Subtotal, General Operating Expenses**	$ 44,513	$ -	$ 44,513	$ -	$ -	$ -	$ -	$ -
G. **Subtotal, Other Administrative Cost Not Allocated in Lines II.A through E**	$ -							
H. **Total Proj. Expenses Prior to Admin. Distribution**	**$ 57,427**	**$ -**	**$ 57,427**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**
I. **Distribution of Admininistrative Cost**	**$ 764**		**$ 764**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**
J. **Total Proj. Expenses After Admin. Distribution**	**$ 56,663**		**$ 56,663**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**

III. Computation of Rates	Grand Total		Service Housing & Home Improvement 140	Service 0 #N/A	Service 0 #N/A	Service 0 #N/A	Service 0 #N/A	Service 0 #N/A
A. **Computation of Unit Cost Rate:**								
1. Total Expenses (equals line II.J)	$ 56,663		$ 56,663	$ -	$ -	$ -	$ -	$ -
2. Total Projected Units								
3. Total Unit Cost Rate			$ -	$ -	$ -	$ -	$ -	$ -
B. **Computation of Reimbursement Rate:**								
1. Total Revenues (equals line I.J)	$ 56,663		$ 56,663	$ -	$ -	$ -	$ -	$ -
2. Less: NSIP (equals line I.D)	$ -		$ -	$ -	$ -	$ -	$ -	$ -
Title V (equals line I.E less II.D)	$ -		$ -	$ -	$ -	$ -	$ -	$ -
Non Match In-Kind (equals line I.H less II.C)	$ -		$ -	$ -	$ -	$ -	$ -	$ -
3. Revenues Subject to Unit Reimbursement	$ 56,663		$ 56,663	$ -	$ -	$ -	$ -	$ -
4. Total Projected Units (equals line III.A.2)			-	-	-	-	-	-
5. Total Reimbursement Rate			$ -	$ -	$ -	$ -	$ -	$ -
C. **Units Reimbursed Through HCCBG**			-	-	-	-	-	-
D. **Units Reimbursed Through Program Income***			-	-	-	-	-	-

E. **Units Reimbursed Through Remaining Revenues**			-	-	-	-	-	-
F. **Total Units Reimbursed/Total Projected Units**			-	-	-	-	-	-

* The Division of Aging ARMS deducts reported program income from reimbursement paid to providers. Line III.D indicates the number of units that will have to be produced in addition to those stated on line III.C in order to earn the net revenues stated on line I.C.

Certification:

I certify to the best of my knowledge and belief that the information included in the cost computation above is accurate and complies with all laws and regulations. I also understand that material deviations in reported cost information could limit funding, and also result in return of funds if the error or omission results in a higher than actual reported cost.

Authorized Signature	Title	Date

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	DAAS-732A	DAAS-732
Block Grant Funding	Line I.A	Col. A
Required Local Match-Cash & In-Kind	Line I.B	Col. B
Net Service Cost	Line I.C	Col. C
NSIP Subsidy	Line I.D	Col. D
Total Funding	L. I.C+I.D	Col. E
Projected HCCBG Reimbursed Units	Line III.C	Col. F
Total Reimbursement Rate	Line III.B.5	Col. G
Projected Total Service Units	Line III.F	Col. I

Home and Community Care Block Grant for Older Adults

Cabarrus County Planning & Development

PO Box 707

Concord, NC 28026

County Funding Plan

Provider Services Summary

DAAS-732

County: Cabarrus

Budget Period: July 2022 through June 2023

Revision #: **Date:**

Services	Serv. Delivery (Check One) Direct	Purchase	A Block Grant Funding Access	In-Home	Other	Total	B Required Local Match	C Net Service Cost	D NSIP Subsidy	E Total Funding	F Projected HCCBG Units	G Projected Reimburse Rate	H Projected HCCBG Clients	I Projected Total Units
Housing & Home Improvement	x		$ -	$ -	$ 50,862	$ 50,862	$ 5,651	$ 56,513	$ -	$ 56,513	-	$ -		-
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
Total			$ -	$ -	$ 50,862	$ 50,862	$ 5,651	$ 56,513	$ -	$ 56,513	-		-	-

Certification of required minimum local match availability. Required local match will be expended simultaneously with Block Grant Funding.

Authorized Signature, Title — Date

Community Service Provider

Signature, County Finance Officer — Date

Signature, Chairman, Board of Commissioners — Date

DAAS-733
(Rev. 2/19)

Home and Community Care Block Grant for Older Adults
Outreach Methodology

July 2022 through June 2023

Outreach Methodology to Address the Service Needs of Target Population

Community Service Provider: Cabarrus County Planning & Development

County: Cabarrus

While all older adults age 60 and over are eligible for services, sec. 305(a)(2)(E) of the Older Americans Act requires programs to target services to older individuals with the greatest economic and social need, (with particular attention to low-income older adults, including low-income minority older adults, older adults with limited English proficiency, and older adults residing in rural areas). The community service provider shall specify how these service needs will be met through the services identified on the Provider Services Summary (DAAS-732). This narrative shall address outreach and service delivery methodologies that will ensure that this target population is adequately served and conform with specific objectives established by the Area Agency on Aging, for providing services to low income minority individuals. Additional pages may be used as necessary.

The Planning and Development Department's goal is to coordinate and provide Housing and Home Improvement services in conjunction with the Department of Human Services that is funded by the Home and Community Care Block Grant. Coordination of this function will produce a service product that is both accountable and accessible by the full scope of clients for which the HCCBG funds were designated. It is our intent to meet the needs of that specialized population. The Planning and Development Department will coordinate with the Department of Human Services and other service providers to ensure that the population is served. All eligible clients will be provided access to service. The Planning and Development Department will follow all program guidelines for service provision and client treatment. Homes will be modified or repaired for eligible clients. Improvements include, but are not limited to, handicap accessibility im[provements, door widenings, minor repairs of roofs, plumbing, and hvac, as well as other safety improvements. Any improvements will be made in compliance with all program regulations. The Planning and Development Department will take referrals from the Department of Human Services and other service providers of the target population. Outreach is achieved through other service programs, word of mouth, Channel 22, the county website, nutrition sites, and other special programs designed to address the target population.

July 2022 through June 2023

Home and Community Care Block Grant for Older Adults
Community Service Provider
Standard Assurances

Cabarrus County Planning & Development agrees to provide services through the Home and Community Care Block Grant, as specified on the Provider Services Summary (DAAS-732) in accordance with the following:

1. Services shall be provided in accordance with requirements set forth in:
   a) The County Funding Plan;

   b) The Division of Aging and Adult Services Home and Community Care Block Grant Procedures Manual for Community Service Providers; and

   c) The Division of Aging and Adult Services Standards at

   https://www.ncdhhs.gov/divisions/daas/monitoring

   Community service providers shall monitor any subcontracts with providers of Block Grant services and take appropriate measures to ensure that services are provided in accordance with the aforementioned documents.

2. Priority shall be given to providing services to those older persons with the greatest economic or social needs. The service needs of low-income minority elderly will be addressed in the manner specified on the Outreach Methodology to Address Service Needs of Target Population (DAAS-733).

3. The following service authorization activities will be carried out in conjunction with all services provided through the Block Grant:
   a) Eligibility determination;
   b) Client intake/registration;
   c) Client assessment/reassessments and quarterly visits, as appropriate;
   d) Determining the amount of services to be received by the client; and
   e) Reviewing consumer contributions policies with eligible clients.

4. All licenses, permits, bonds, and insurance necessary for carrying out Block Grant Services will be maintained by the community service provider and any subcontracted providers.

5. As specified in 45 CFR 75, Subpart D-Post Federal Award Requirements, Procurement Standards, community service providers shall have procedures for settling all contractual and administrative issues arising out of procurement of services through the Block Grant. Community service providers shall have procedures governing the evaluation of bids for services and procedures through which bidders and contracted providers may appeal or dispute a decision made by the community service provider.

6. Applicant/Client appeals shall be addressed as specified in Section 7 of the Division of Aging and Adult Services Home and Community Care Block Grant Manual for Community Service Providers.

7. Community service providers are responsible for providing or arranging for the provision of required local match, as specified on the Provider Services Summary, (DAAS-732). Local match shall be expended simultaneously with Block Grant funding.

8. Community service providers agree to comply with audit and fiscal reporting requirements as specified in the Agreement for the Provision of County-Based Aging Services (DAAS-735).

9. Compliance with Equal Employment Opportunity and Americans with Disabilities Act requirements, as specified in paragraph fourteen (14) of the Agreement for the Provision of County-Based Aging Services (DAAS-735) shall be maintained.

10. Providers of In-Home Aide, Home Health, Housing and Home Improvement, and Adult Day Care or Adult Day Health Care shall sign and return the attached assurance to the area agency on aging indicating that recipients of these services have been informed of their client rights, as required in Section 314 of the 2006 Amendments to the Older Americans Act (DAAS-734 Standard Assurances Regarding In-Home Client Rights).

11. Subcontracting – All HCCBG community service providers must assure that subcontractors (for-profit and non-profit entities only) meet the following requirements:

a. The subcontractor has not been suspended or debarred. (N.C.G.S. §143C-6-23, 09 NCAC 03M)
b. The subcontractor has not been barred from doing business at the federal level.
c. The subcontractor is able to produce a notarized "State Grant Certification of No Overdue Tax Debts."

d. All licenses, permits, bonds and insurance necessary for carrying out Home and Community Care Block Grant services will be maintained by both the community service provider and any subcontractors.

e. The subcontractor is registered as a charitable, tax-exempt (501c3) organization with the Internal Revenue Service (non-profit subcontractors only).

12. Confidentiality and Security. Per the requirements in 10A NCAC 05J and Section 6 of the Home and Community Care Block Grant Procedures Manual, client information in any format and whether recorded or not shall be kept confidential and not disclosed in a form that identifies the person without the informed consent of the person or legal representative. Community service providers, including subcontractors and vendors, must adhere to all applicable federal, state and departmental requirements for protecting the security and confidentiality of client information including but not limited to appropriately restricting access, establishing procedures to reduce the risk of accidental disclosures from data processing systems, and developing a process by which the Division of Adult Aging Services is notified of suspected or confirmed security incidents and data breaches.

13. Record Retention and Disposition. All community service providers are responsible for maintaining custody of records and documentation to support the allowable expenditure of funds, service provision, and the reimbursement of services. Service providers must adhere to the approved record retention and disposition schedule posted at https://www.ncdhhs.gov/about/administrative-offices/office-controller/records-retention by the NC Department of Health and Human Services Controller's Office, as well as the local government schedules posted by the NC Department of Natural and Culltural Resources at https://archives.ncdcr.gov/government/local

Service providers are not authorized to destroy records related to the provision of services under this Agreement except in compliance with the approved DHHS retention and disposition schedule, which allows for the proper destruction of records based on a schedule by funding source and fiscal year. The agency agrees to comply with 07 NCAC 04M .0510 when deciding on a method of record destruction. Confidential records will be destroyed in such a manner that the records cannot be practically read or reconstructed.

_____

(Authorized Signature) (Date)

Standard Assurance To Comply with Older Americans Act
Requirements Regarding Clients Rights
For
Agencies Providing In-Home Services through the
Home and Community Care Block Grant for Older Adults

As a provider of one or more of the services listed below, our agency agrees to notify all Home and Community Care Block Grant clients receiving any of the below listed services provided by this agency of their rights as a service recipient. Services in this assurance include:

- In-Home Aide
- Home Care (home health)
- Housing and Home Improvement
- Adult Day Care or Adult Day Health Care

Notification will include, at a minimum, an oral review of the information outlined below as well as providing each service recipient with a copy of the information in written form. In addition, providers of in-home services will establish a procedure to document that client rights information has been discussed with in-home services clients (e.g. copy of signed Client Bill of Rights statement).

Clients Rights information to be communicated to service recipients will include, at a minimum, the right to:

- be fully informed, in advance, about each in-home service to be provided and any change in service(s) that may affect the wellbeing of the participant;
- participate in planning and changing any in-home service provided unless the client is adjudicated incompetent;
- voice a grievance with respect to service that is or fails to be provided, without discrimination or reprisal as a result of voicing a grievance;
- confidentiality of records relating to the individual;
- have property treated with respect; and
- be fully informed both orally and in writing, in advance of receiving an in-home service, of the individual's rights and obligations.

Client Rights will be distributed to, and discussed with, each new client receiving one or more of the above listed services prior to the onset of service. For all existing clients, the above information will be provided no later than the next regularly scheduled service reassessment.

Agency Name: Cabarrus County Planning & Development

Name of Agency Administrator: _____

Signature: _____

(Please return this form to your Area Agency on Aging and retain a copy for your files.)

CLIENT/PATIENT RIGHTS

1. You have the right to be fully informed of all your rights and responsibilities as a client/patie the program.

2. You have the right to appropriate and professional care relating to your needs.

3. You have the right to be fully informed in advance about the care to be provided by the prc

4. You have the right to be fully informed in advance of any changes in the care that you may receiving and to give informed consent to the provision of the amended care.

5. You have the right to participate in determining the care that you will receive and in alterinç nature of the care as your needs change.

6. You have the right to voice your grievances with respect to care that is provided and to exp there will be no reprisal for the grievance expressed.

7. You have the right to expect that the information you share with the agency will be respect held in strict confidence, to be shared only with your written consent and as it relates to the obtaining of other needed community services.

8. You have the right to expect the preservation of your privacy and respect for your property

9. You have the right to receive a timely response to your request for service.

10. You shall be admitted for service only if the agency has the ability to provide safe and professional care at the level of intensity needed.

11. You have the right to be informed of agency policies, changes, and costs for services.

12. If you are denied service solely on you inability to pay, you have the right to be referred elsewhere.

13. You have the right to honest, accurate information regarding the industry, agency and of t program in particular.

14. You have the right to be fully informed about other services provided by this agency.

Internal Consistency Checks

Review of Local Match Comparison Input Sheet vs. 732A Cash and In-Kind Totals

			Difference
Housing & Home Improvement		OK	-
	0	OK	-
	0	OK	-
	0	OK	-
	0	OK	-
	0	OK	-
	0	OK	-
	0	OK	-
	0	OK	-
	0	OK	-
	0	OK	-
	0	OK	-
	0	OK	-
	0	OK	-
	0	OK	-

732A1 Labor Distribution Schedule Comparison of Assignable Salary To Overall Salary Entered

Total Assignable Salary and Cumulative Salary total for Se	0	$	-

State Fiscal Year:	SFY 2022-2023
Provider Name:	Cabarrus County
Address Line 1:	1303 South Cannon Blvd
Address Line 2:	Kannapolis NC
County:	CABARRUS
Area Agency on Aging:	Centralina Council of Governments

	Please Select Services to Be Delivered		Federal/State	Local Match	
	Transportation (General)	250	$ 90,198	$ 10,022	<--Local Match will need to be broken out by source (Cash/In-Kind) on 732A Svc Cost Computation Form
	Transportation (Medical)	033	$ 144,468	$ 16,052	<--Local Match will need to be broken out by source (Cash/In-Kind) on 732A Svc Cost Computation Form
REQUIRES INPUT TO POPULATE WORKBOOK-->				$ -	
REQUIRES INPUT TO POPULATE WORKBOOK-->				$ -	
REQUIRES INPUT TO POPULATE WORKBOOK-->				$ -	
REQUIRES INPUT TO POPULATE WORKBOOK-->				$ -	
REQUIRES INPUT TO POPULATE WORKBOOK-->				$ -	
REQUIRES INPUT TO POPULATE WORKBOOK-->				$ -	
REQUIRES INPUT TO POPULATE WORKBOOK-->				$ -	
REQUIRES INPUT TO POPULATE WORKBOOK-->				$ -	
REQUIRES INPUT TO POPULATE WORKBOOK-->				$ -	
REQUIRES INPUT TO POPULATE WORKBOOK-->				$ -	
REQUIRES INPUT TO POPULATE WORKBOOK-->				$ -	

Comparison of Fed/State Funding and Rates vs. Prior Year

Service		Prior Yr. Funding	Prior Year Rate	Current Yr Funding	Current Year Rate	Funding Diff.	Rate Diff.
Transportation (General)	250			$ 90,198	19.1552	$ 90,198	$ 19.1552
Transportation (Medical)	033			$ 144,468	19.1551	$ 144,468	$ 19.1551
					0.0000	$ -	$ -
					0.0000	$ -	$ -
					0.0000	$ -	$ -
					0.0000	$ -	$ -
					0.0000	$ -	$ -
					0.0000	$ -	$ -
					0.0000	$ -	$ -
					0.0000	$ -	$ -
					0.0000	$ -	$ -
					0.0000	$ -	$ -
					0.0000	$ -	$ -
					0.0000	$ -	$ -

NC DIVISION OF AGING AND ADULT SERVICES COST OF SERVICES - LABOR DISTRIBUTION SCHEDULE DAAS-732A1

AGENCY NAME: Cabarrus County

State Fiscal Year: SFY 2022-2023

Fiscal Period: July 2022 through June 2023

STAFF NAME	POSITION	TOTAL SALARY	FTE Equivalent	FULL TIME PART TIME	Assignable Salary	ADMIN. SALARY	SERVICE Transportation (General)	SERVICE Transportation (Medical)	SERVICE 0	SERVICE 0	SERVICE 0	SERVICE 0	SERVICE 0
V Johnson	Fleet Support Coord	$ 46,883	1	FULL TIME	$ 46,883	$ 46,883							
L Belk	Transportation Clerk	$ 45,802	1	FULL TIME	$ 45,802	$ 45,802							
R Bushey	Transportation Mgr	$ 66,477	1	FULL TIME	$ 66,477	$ 66,477							
A Mabry	Dispatch	$ 35,006	1	FULL TIME	$ 35,006	$ 35,006							
J Smith	Supervisor	$ 46,987	1	FULL TIME	$ 46,987	$ 46,987							
R Wright	Driver	$ 39,250	1	FULL TIME	$ 39,250		$ 21,587	$ 17,663					
J Freeze	Supervisor	$ 46,862	1	FULL TIME	$ 46,862	$ 46,862							
G Love	dispatch	$ 36,504	1	FULL TIME	$ 36,504	$ 36,504							
				PART TIME	#VALUE!	$ -							
				PART TIME	#VALUE!	$ -							
				PART TIME	#VALUE!	$ -							
C Ratliff	Operations Supervisor	$ 53,747	1	FULL TIME	$ 53,747	$ 53,747							
C Caldwell	Driver	$ 36,130	1	FULL TIME	$ 36,130		$ 19,871	$ 16,259					
G Igo	Driver	$ 33,363	1	FULL TIME	$ 33,363		$ 18,349	$ 15,014					
J Norris	Driver	$ 33,842	1	FULL TIME	$ 33,842		$ 18,613	$ 15,229					
P Griffiths	Driver	$ 32,635	1	FULL TIME	$ 32,635		$ 17,949	$ 14,686					
W Adkins	Driver	$ 32,947	1	FULL TIME	$ 32,947		$ 18,120	$ 14,827					
D Irvin	Driver	$ 33,280	1	FULL TIME	$ 33,280		$ 18,304	$ 14,976					
Vacant	Driver	$ 32,303	1	FULL TIME	$ 32,303		$ 17,766	$ 14,537					
T Cunningham	Driver	$ 32,635	1	FULL TIME	$ 32,635		$ 17,949	$ 14,686					
S Bowles	Driver	$ 33,280	1	FULL TIME	$ 33,280		$ 18,304	$ 14,976					
R Wilson	Driver	$ 33,280	1	FULL TIME	$ 33,280		$ 18,304	$ 14,976					
A Stokes	Driver	$ 32,510	1	FULL TIME	$ 32,510		$ 17,880	$ 14,630					
D Sims	Driver	$ 32,843	1	FULL TIME	$ 32,843		$ 18,063	$ 14,780					
J Ledbetter	Driver	$ 31,554	1	FULL TIME	$ 31,554		$ 17,354	$ 14,200					
M Waldo	Driver	$ 32,198	1	FULL TIME	$ 32,198		$ 17,708	$ 14,490					
D Williams	Driver	$ 33,218	1	FULL TIME	$ 33,218		$ 18,269	$ 14,949					
B Byers	Driver	$ 32,386	1	FULL TIME	$ 32,386		$ 17,812	$ 14,574					
T Meloling	Driver	$ 31,720	1	FULL TIME	$ 31,720		$ 17,446	$ 14,274					
T Carroll	Driver	$ 32,136	1	FULL TIME	$ 32,136		$ 17,674	$ 14,462					
M Byers	Driver	$ 31,886	1	FULL TIME	$ 31,886		$ 17,537	$ 14,349					
T. Talbert	Driver	$ 31,200	0.5	PART TIME	$ 15,600		$ 8,580	$ 7,020					
S.Parker	Driver	$ 21,359	0.5	PART TIME	$ 10,680		$ 5,874	$ 4,806					
E. Ellison	Driver	$ 20,791	0.5	PART TIME	$ 10,396		$ 5,717	$ 4,679					
					$ -								
					$ -								
					$ -								
					$ -								
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					$ -								
					$ -								
					$ -								
					$ -								
					$ -								
					$ -								
				SUBTOTAL FT:	$ 1,041,664	$ 378,268	$ 364,859	$ 298,537	$ -	$ -	$ -	$ -	$ -
				SUBTOTAL PT:	#VALUE!	$ -	$ 20,171	$ 16,505	$ -	$ -	$ -	$ -	$ -
				TOTAL	#VALUE!	$ 378,268	$ 385,030	$ 315,042	$ -	$ -	$ -	$ -	$ -
				PERCENT FT:	#VALUE!	100.00%	94.76%	94.76%	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!
				PERCENT PT:	#VALUE!	0.00%	5.24%	5.24%	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!

North Carolina Division of Aging and Adult Services` DAAS-732A

Service Cost Computation Worksheet

Provider: Cabarrus County
County: CABARRUS
Budget Period: July 2022 through June 2023

I. Projected Revenues	Grand Total		Service: Transportation (General) 250	Service: Transportation (Medical) 033	Service: 0 #N/A	Service: 0 #N/A	Service: 0 #N/A	Service: 0 #N/A	Service: 0 #N/A	Service: 0 #N/A
A. Fed/State Funding From the Div. of Aging & Adult Svcs.	$ 234,666		$ 90,198	$ 144,468	$ -	$ -	$ -	$ -	$ -	$ -
Required Minimum Match - Cash										
1) County Funds	$ 26,074		$ 10,022	$ 16,052						
2)	$ -									
3)	$ -									
Total Required Minimum Match - Cash	$ 26,074		$ 10,022	$ 16,052	$ -	$ -	$ -	$ -	$ -	$ -
Required Minimum Match - In-Kind										
1)	$ -									
2)	$ -									
3)	$ -									
Total Required Minimum Match - In-Kind	$ -		$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
B. Total Required Minimum Match (cash + in-kind)	$ 26,074		$ 10,022	$ 16,052	$ -	$ -	$ -	$ -	$ -	$ -
C. **Subtotal, Fed/State/Required Match Revenues**	$ 260,740		$ 100,220	$ 160,520	$ -	$ -	$ -	$ -	$ -	$ -
D. NSIP Cash Subsidy/Commodity Valuation	$ -		$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
E. **OAA Title V Worker Wages, Fringe Benefits and Costs**	$ -									
Local Cash, Non-Match										
1)	$ -									
2)	$ -									
3)	$ -									
4)	$ -									
F. **Subtotal, Local Cash, Non-Match**	$ -		$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Other Revenues, Non-Match										
1) State/Federal Grants	$ 951,261		$ 951,261							
2) Program Fees	$ 36,000		$ 36,000							
3) Medicaid Reinbursement	$ 1,000,000		$ 1,000,000							
G. **Subtotal, Other Revenues, Non-Match**	$ 1,987,261		$ 1,987,261	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Local In-Kind Resources (Includes Volunteer Resources)										
1)	$ -									
2)	$ -									
3)	$ -									
H. **Subtotal, Local In-kind Resources, Non-Match**	$ -		$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
I. **Client Cost Sharing**	$ -									
J. **Total Projected Revenues (Sum I.C,D,E,F,G,H, & I)**	$ 2,248,001		$ 2,087,481	$ 160,520	$ -	$ -	$ -	$ -	$ -	$ -

Division of Aging and Adult Services
Service Cost Computation Worksheet

II. Line Item Expenses	Grand Total	Admin. Cost	Service: Transportation (General) 250	Service: Transportation (Medical) 033	Service: 0 #N/A	Service: 0 #N/A	Service: 0 #N/A	Service: 0 #N/A	Service: 0 #N/A	Service: 0 #N/A
Staff Salary From Labor Distribution Schedule										
1) Full-time Staff (do not include Title V workers)	$ 1,041,664	$ 378,268	$ 364,859	$ 298,537	$ -	$ -	$ -	$ -	$ -	$ -
2) Part-time staff (do not include Title V workers)	$ 36,676	$ -	$ 20,171	$ 16,505	$ -	$ -	$ -	$ -	$ -	$ -
A. **Subtotal, Staff Salary**	$ 1,078,340	**$ 378,268**	**$ 385,030**	**$ 315,042**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**
Fringe Benefits										
1) FICA @ 7.65 %	$ 82,493	$ 28,938	$ 29,455	$ 24,101	$ -	$ -	$ -	$ -	$ -	$ -
2) Health Insurance	$ 294,420	$ 106,575	$ 103,047	$ 84,798						
3) Retirement	$ 133,879	$ 48,599	$ 46,857	$ 38,423						
4) Unemployment Insurance	$ -									
5) Worker's Compensation	$ 31,424	$ 11,408	$ 10,998	$ 9,018						
6) Other	$ -									
B. **Subtotal, Fringe Benefits**	$ 542,216	$ 195,520	$ 190,357	$ 156,340	$ -	$ -	$ -	$ -	$ -	$ -
Local In-Kind Resources Non-Match										
1)	$ -									
2)	$ -									
3)	$ -									
C. **Subtotal, Local In-Kind Resources Non-Match**	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
D. **OAA Title V Worker Wages, Fringe Benefits and Costs**	$ -									
Travel										
1) Per Diem	$ -									
2) Mileage Reimbursement	$ -									
3) Other Travel Cost	$ -									
E. **Subtotal, Travel**	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
General Operating Expenses										
1) Printing/binding/Advertising	$ 2,500		$ 1,250	$ 1,250						
2) Uniforms	$ 5,466		$ 2,733	$ 2,733						
3) Fuel/Maintenance	$ 197,120		$ 98,560	$ 98,560						
4) Building Rental/ Gas and Power	$ 28,950		$ 14,475	$ 14,475						
5) Cell Phones	$ 6,048		$ 3,024	$ 3,024						
6) Cog/MIS fees	$ 175		$ 88	$ 88						
7) Purchased Services	$ 10,750		$ 5,375	$ 5,375						
8) Taxi Service	$ 383,024		$ 191,512	$ 191,512						
F. **Subtotal, General Operating Expenses**	$ 634,033	#VALUE!	$ 317,017	$ 317,017	$ -	$ -	$ -	$ -	$ -	$ -
G. **Subtotal, Other Administrative Cost Not Allocated in Lines II.A through E**	$ -									
H. **Total Proj. Expenses Prior to Admin. Distribution**	**$ 2,254,589**	**#VALUE!**	**$ 892,403**	**$ 788,398**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**
I. **Distribution of Admininistrative Cost**	**$ (567,199)**		**$ (1,195,078)**	**$ 627,878**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**
J. **Total Proj. Expenses After Admin. Distribution**	**$ 2,248,001**		**$ 2,087,481**	**$ 160,520**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**

III. Computation of Rates	Grand Total		Service Transportation (General) 250	Service Transportation (Medical) 033	Service 0 #N/A	Service 0 #N/A	Service 0 #N/A	Service 0 #N/A	Service 0 #N/A	Service 0 #N/A
A. **Computation of Unit Cost Rate:**										
1. Total Expenses (equals line II.J)	$ 2,248,001		$ 2,087,481	$ 160,520	$ -	$ -	$ -	$ -	$ -	$ -
2. Total Projected Units			108,977	8,380						
3. Total Unit Cost Rate			$ 19.1552	$ 19.1551	$ -	$ -	$ -	$ -	$ -	$ -
B. **Computation of Reimbursement Rate:**										
1. Total Revenues (equals line I.J)	$ 2,248,001		$ 2,087,481	$ 160,520	$ -	$ -	$ -	$ -	$ -	$ -
2. Less: NSIP (equals line I.D)	$ -		$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Title V (equals line I.E less II.D)	$ -		$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Non Match In-Kind (equals line I.H less II.C)	$ -		$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
3. Revenues Subject to Unit Reimbursement	$ 2,248,001		$ 2,087,481	$ 160,520	$ -	$ -	$ -	$ -	$ -	$ -
4. Total Projected Units (equals line III.A.2)			108,977	8,380	-	-	-	-	-	-
5. Total Reimbursement Rate			$ 19.1552	$ 19.1551	$ -	$ -	$ -	$ -	$ -	$ -
C. **Units Reimbursed Through HCCBG**			**5,232**	**8,380**	**-**	**-**	**-**	**-**	**-**	**-**
D. **Units Reimbursed Through Program Income***			**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**
E. **Units Reimbursed Through Remaining Revenues**			**103,745**	**-**	**-**	**-**	**-**	**-**	**-**	**-**
F. **Total Units Reimbursed/Total Projected Units**			**108,977**	**8,380**	**-**	**-**	**-**	**-**	**-**	**-**

* The Division of Aging ARMS deducts reported program income from reimbursement paid to providers. Line III.D indicates the number of units that will have to be produced in addition to those stated on line III.C in order to earn the net revenues stated on line I.C.

Certification:

I certify to the best of my knowledge and belief that the information included in the cost computation above is accurate and complies with all laws and regulations. I also understand that material deviations in reported cost information could limit funding, and also result in return of funds if the error or omission results in a higher than actual reported cost.

Authorized Signature	Title	Date

Information on this form (DAAS-732A) corresponds with information stated on the Provider Services Summary (DAAS-732) as follows:

	DAAS-732A	DAAS-732
Block Grant Funding	Line I.A	Col. A
Required Local Match-Cash & In-Kind	Line I.B	Col. B
Net Service Cost	Line I.C	Col. C
NSIP Subsidy	Line I.D	Col. D
Total Funding	L. I.C+I.D	Col. E
Projected HCCBG Reimbursed Units	Line III.C	Col. F
Total Reimbursement Rate	Line III.B.5	Col. G
Projected Total Service Units	Line III.F	Col. I

Home and Community Care Block Grant for Older Adults

Cabarrus County

1303 South Cannon Blvd

Kannapolis NC

County Funding Plan

Provider Services Summary

DAAS-732

County: CABARRUS

Budget Period: July 2022 through June 2023

Revision #: **Date:**

Services	Serv. Delivery (Check One) Direct	Purchase	A Block Grant Funding Access	In-Home	Other	Total	B Required Local Match	C Net Service Cost	D NSIP Subsidy	E Total Funding	F Projected HCCBG Units	G Projected Reimburse Rate	H Projected HCCBG Clients	I Projected Total Units
Transportation (General)	X		$ 90,198	$ -	$ -	$ 90,198	$ 10,022	$ 100,220	$ -	$ 100,220	5,232	$ 19.1552	5,567	108,977
Transportation (Medical)	X		$ 144,468	$ -	$ -	$ 144,468	$ 16,052	$ 160,520	$ -	$ 160,520	8,380	$ 19.1551	8,917	8,380
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
Total			$ 234,666	$ -	$ -	$ 234,666	$ 26,074	$ 260,740	$ -	$ 260,740	13,612		14,484	117,357

Certification of required minimum local match availability.
Required local match will be expended simultaneously with Block Grant Funding.

Authorized Signature, Title — Date
Community Service Provider

Signature, County Finance Officer — Date

Signature, Chairman, Board of Commissioners — Date

Home and Community Care Block Grant for Older Adults
Outreach Methodology

July 2022 through June 2023

Outreach Methodology to Address the Service Needs of Target Population

Community Service Provider: Cabarrus County

County: CABARRUS

While all older adults age 60 and over are eligible for services, sec. 305(a)(2)(E) of the Older Americans Act requires programs to target services to older individuals with the greatest economic and social need, (with particular attention to low-income older adults, including low-income minority older adults, older adults with limited English proficiency, and older adults residing in rural areas). The community service provider shall specify how these service needs will be met through the services identified on the Provider Services Summary (DAAS-732). This narrative shall address outreach and service delivery methodologies that will ensure that this target population is adequately served and conform with specific objectives established by the Area Agency on Aging, for providing services to low income minority individuals. Additional pages may be used as necessary.

Cabarrus County Transportations goal is to coordinate with the Adult and Aging department to provide meal site and medical transportation to the senior population within Cabarrus County. This joint effort is based on need through both referall and inquiries. Cabarrus County Transportation will also participate in several outreach programs to inform the senior population on the transportation services available to them. In addition, Cabarrus County Transportation drivers are trained in passanger sensitivity, CPR, Blood Borne Pathogens, First Aid and defensive driving. Our drivers are also trained on signs of elderly abuse and the process in which to report it.

July 2022 through June 2023

Home and Community Care Block Grant for Older Adults
Community Service Provider
Standard Assurances

Cabarrus County agrees to provide services through the Home and Community Care Block Grant, as specified on the Provider Services Summary (DAAS-732) in accordance with the following:

1. Services shall be provided in accordance with requirements set forth in:
   a) The County Funding Plan;

   b) The Division of Aging and Adult Services Home and Community Care Block Grant Procedures Manual for Community Service Providers; and

   c) The Division of Aging and Adult Services Standards at

   https://www.ncdhhs.gov/divisions/daas/monitoring

   Community service providers shall monitor any subcontracts with providers of Block Grant services and take appropriate measures to ensure that services are provided in accordance with the aforementioned documents.

2. Priority shall be given to providing services to those older persons with the greatest economic or social needs. The service needs of low-income minority elderly will be addressed in the manner specified on the Outreach Methodology to Address Service Needs of Target Population (DAAS-733).

3. The following service authorization activities will be carried out in conjunction with all services provided through the Block Grant:
   a) Eligibility determination;
   b) Client intake/registration;
   c) Client assessment/reassessments and quarterly visits, as appropriate;
   d) Determining the amount of services to be received by the client; and
   e) Reviewing consumer contributions policies with eligible clients.

4. All licenses, permits, bonds, and insurance necessary for carrying out Block Grant Services will be maintained by the community service provider and any subcontracted providers.

5. As specified in 45 CFR 75, Subpart D-Post Federal Award Requirements, Procurement Standards, community service providers shall have procedures for settling all contractual and administrative issues arising out of procurement of services through the Block Grant. Community service providers shall have procedures governing the evaluation of bids for services and procedures through which bidders and contracted providers may appeal or dispute a decision made by the community service provider.

6. Applicant/Client appeals shall be addressed as specified in Section 7 of the Division of Aging and Adult Services Home and Community Care Block Grant Manual for Community Service Providers.

7. Community service providers are responsible for providing or arranging for the provision of required local match, as specified on the Provider Services Summary, (DAAS-732). Local match shall be expended simultaneously with Block Grant funding.

8. Community service providers agree to comply with audit and fiscal reporting requirements as specified in the Agreement for the Provision of County-Based Aging Services (DAAS-735).

9. Compliance with Equal Employment Opportunity and Americans with Disabilities Act requirements, as specified in paragraph fourteen (14) of the Agreement for the Provision of County-Based Aging Services (DAAS-735) shall be maintained.

10. Providers of In-Home Aide, Home Health, Housing and Home Improvement, and Adult Day Care or Adult Day Health Care shall sign and return the attached assurance to the area agency on aging indicating that recipients of these services have been informed of their client rights, as required in Section 314 of the 2006 Amendments to the Older Americans Act (DAAS-734 Standard Assurances Regarding In-Home Client Rights).

11. Subcontracting – All HCCBG community service providers must assure that subcontractors (for-profit and non-profit entities only) meet the following requirements:

a. The subcontractor has not been suspended or debarred. (N.C.G.S. §143C-6-23, 09 NCAC 03M)
b. The subcontractor has not been barred from doing business at the federal level.
c. The subcontractor is able to produce a notarized "State Grant Certification of No Overdue Tax Debts."

d. All licenses, permits, bonds and insurance necessary for carrying out Home and Community Care Block Grant services will be maintained by both the community service provider and any subcontractors.

e. The subcontractor is registered as a charitable, tax-exempt (501c3) organization with the Internal Revenue Service (non-profit subcontractors only).

12. Confidentiality and Security. Per the requirements in 10A NCAC 05J and Section 6 of the Home and Community Care Block Grant Procedures Manual, client information in any format and whether recorded or not shall be kept confidential and not disclosed in a form that identifies the person without the informed consent of the person or legal representative. Community service providers, including subcontractors and vendors, must adhere to all applicable federal, state and departmental requirements for protecting the security and confidentiality of client information including but not limited to appropriately restricting access, establishing procedures to reduce the risk of accidental disclosures from data processing systems, and developing a process by which the Division of Adult Aging Services is notified of suspected or confirmed security incidents and data breaches.

13. Record Retention and Disposition. All community service providers are responsible for maintaining custody of records and documentation to support the allowable expenditure of funds, service provision, and the reimbursement of services. Service providers must adhere to the approved record retention and disposition schedule posted at https://www.ncdhhs.gov/about/administrative-offices/office-controller/records-retention by the NC Department of Health and Human Services Controller's Office, as well as the local government schedules posted by the NC Department of Natural and Culltural Resources at https://archives.ncdcr.gov/government/local

Service providers are not authorized to destroy records related to the provision of services under this Agreement except in compliance with the approved DHHS retention and disposition schedule, which allows for the proper destruction of records based on a schedule by funding source and fiscal year. The agency agrees to comply with 07 NCAC 04M .0510 when deciding on a method of record destruction. Confidential records will be destroyed in such a manner that the records cannot be practically read or reconstructed.

_____

(Authorized Signature) (Date)

Standard Assurance To Comply with Older Americans Act
Requirements Regarding Clients Rights
For
Agencies Providing In-Home Services through the
Home and Community Care Block Grant for Older Adults

As a provider of one or more of the services listed below, our agency agrees to notify all Home and Community Care Block Grant clients receiving any of the below listed services provided by this agency of their rights as a service recipient. Services in this assurance include:

- In-Home Aide
- Home Care (home health)
- Housing and Home Improvement
- Adult Day Care or Adult Day Health Care

Notification will include, at a minimum, an oral review of the information outlined below as well as providing each service recipient with a copy of the information in written form. In addition, providers of in-home services will establish a procedure to document that client rights information has been discussed with in-home services clients (e.g. copy of signed Client Bill of Rights statement).

Clients Rights information to be communicated to service recipients will include, at a minimum, the right to:

- be fully informed, in advance, about each in-home service to be provided and any change in service(s) that may affect the wellbeing of the participant;
- participate in planning and changing any in-home service provided unless the client is adjudicated incompetent;
- voice a grievance with respect to service that is or fails to be provided, without discrimination or reprisal as a result of voicing a grievance;
- confidentiality of records relating to the individual;
- have property treated with respect; and
- be fully informed both orally and in writing, in advance of receiving an in-home service, of the individual's rights and obligations.

Client Rights will be distributed to, and discussed with, each new client receiving one or more of the above listed services prior to the onset of service. For all existing clients, the above information will be provided no later than the next regularly scheduled service reassessment.

Agency Name: Cabarrus County

Name of Agency Administrator: _____

Signature: _____

(Please return this form to your Area Agency on Aging and retain a copy for your files.)

CLIENT/PATIENT RIGHTS

1. You have the right to be fully informed of all your rights and responsibilities as a client/p the program.

2. You have the right to appropriate and professional care relating to your needs.

3. You have the right to be fully informed in advance about the care to be provided by the

4. You have the right to be fully informed in advance of any changes in the care that you n receiving and to give informed consent to the provision of the amended care.

5. You have the right to participate in determining the care that you will receive and in alte nature of the care as your needs change.

6. You have the right to voice your grievances with respect to care that is provided and to there will be no reprisal for the grievance expressed.

7. You have the right to expect that the information you share with the agency will be resp held in strict confidence, to be shared only with your written consent and as it relates to obtaining of other needed community services.

8. You have the right to expect the preservation of your privacy and respect for your prope

9. You have the right to receive a timely response to your request for service.

10. You shall be admitted for service only if the agency has the ability to provide safe and professional care at the level of intensity needed.

11. You have the right to be informed of agency policies, changes, and costs for services.

12. If you are denied service solely on you inability to pay, you have the right to be referrec elsewhere.

13. You have the right to honest, accurate information regarding the industry, agency and program in particular.

14. You have the right to be fully informed about other services provided by this agency.

Internal Consistency Ch

Review of Local Match Comparison Input Sheet vs. 732A Cash and In-Kind Totals

Transportation (General)		OK
Transportation (Medical)		OK
	0	OK
	0	OK
	0	OK
	0	OK
	0	OK
	0	OK
	0	OK
	0	OK
	0	OK
	0	OK
	0	OK

732A1 Labor Distribution Schedule Comparison of Assignable Salary To Overall Salary Entered

Total Assignable Salary and Cumulative Salary total for Se #VALUE!

ecks

Difference

-
-
-
-
-
-
-
-
-
-
-
-
-
-

#VALUE!

State Fiscal Year:	SFY 2022-2023
Provider Name:	Cabarrus Meals on Wheels
Address Line 1:	342 Penny Lane
Address Line 2:	Concord, NC 28025
County:	Cabarrus
Area Agency on Aging:	Centralina Council of Governments

	Please Select Services to Be Delivered		Federal/State	Local Match	
	Home Delivered Meals	020	$ 121,942	$ 13,550	<--Local Match will need to be broken out by source (Cash/In-Kind) on 732A Svc Cost Computation Form
	Home Delivered Meals NSIP Reimbursement	021		$ -	
REQUIRES INPUT TO POPULATE WORKBOOK-->				$ -	
REQUIRES INPUT TO POPULATE WORKBOOK-->				$ -	
REQUIRES INPUT TO POPULATE WORKBOOK-->				$ -	
REQUIRES INPUT TO POPULATE WORKBOOK-->				$ -	
REQUIRES INPUT TO POPULATE WORKBOOK-->				$ -	
REQUIRES INPUT TO POPULATE WORKBOOK-->				$ -	
REQUIRES INPUT TO POPULATE WORKBOOK-->				$ -	
REQUIRES INPUT TO POPULATE WORKBOOK-->				$ -	
REQUIRES INPUT TO POPULATE WORKBOOK-->				$ -	
REQUIRES INPUT TO POPULATE WORKBOOK-->				$ -	
REQUIRES INPUT TO POPULATE WORKBOOK-->				$ -	

Comparison of Fed/State Funding and Rates vs. Prior Year

Service		Prior Yr. Funding	Prior Year Rate	Current Yr Funding	Current Year Rate	Funding Diff.	Rate Diff.
Home Delivered Meals	020	$ 121,942	$ 6.0473	$ 121,942	7.3454	$ -	$ 1.2981
Home Delivered Meals NSIP Reimbursement	021				0.0000	$ -	$ -
					0.0000	$ -	$ -
					0.0000	$ -	$ -
					0.0000	$ -	$ -
					0.0000	$ -	$ -
					0.0000	$ -	$ -
					0.0000	$ -	$ -
					0.0000	$ -	$ -
					0.0000	$ -	$ -
					0.0000	$ -	$ -
					0.0000	$ -	$ -
					0.0000	$ -	$ -
					0.0000	$ -	$ -

NC DIVISION OF AGING AND ADULT SERVICES COST OF SERVICES - LABOR DISTRIBUTION SCHEDULE DAAS-732A1

AGENCY NAME: Cabarrus Meals on Wheels

State Fiscal Year: SFY 2022-2023

Fiscal Period: July 2022 through June 2023

STAFF NAME	POSITION	TOTAL SALARY	FTE Equivalent	FULL TIME PART TIME	Assignable Salary	ADMIN. SALARY	SERVICE Home Delivered Meals	SERVICE Home Delivered Meals NSIP Reimbursement	SERVICE 0	SERVICE 0	SERVICE 0	SERVICE 0
Andrew Allen	Kitchen Manager	$ 48,000	1	FULL TIME	$ 48,000		$ 36,000	$ 12,000				
Savannah Cossey	Chef	$ 41,600	1	FULL TIME	$ 41,600		$ 31,200	$ 10,400				
Susan Kunder	Kitchen Asst	$ 29,000	1	FULL TIME	$ 29,000		$ 21,750	$ 7,250				
Nicole Gesty	Asst	$ 21,000	1	FULL TIME	$ 21,000		$ 15,750	$ 5,250				
Kylie Christian	Dishwasher	$ 20,000	1	FULL TIME	$ 20,000		$ 15,000	$ 5,000				
Ericka Dalton	Client Case Manager	$ 50,000	1	FULL TIME	$ 50,000		$ 25,000	$ 25,000				
Kimberly Strong	Executive Director	$ 95,000	0.5	PART TIME	$ 47,500	$ 47,500						
					$ -							
					$ -							
					$ -

North Carolina Division of Aging and Adult Services` DAAS-732A

Service Cost Computation Worksheet

Provider: Cabarrus Meals on Wheels
County: Cabarrus
Budget Period: July 2022 through June 2023

I. Projected Revenues	Grand Total		Service: Home Delivered Meals 020	Service: Home Delivered Meals NSIP Reimbursement 021	Service: 0 #N/A	Service: 0 #N/A	Service: 0 #N/A
A. Fed/State Funding From the Div. of Aging & Adult Svcs.	$ 121,942		$ 121,942	$ -	$ -	$ -	$ -
Required Minimum Match - Cash							
1) FUNDRAISERS GRANTS	$ 13,549		$ 13,549				
2)	$ -						
3)	$ -						
Total Required Minimum Match - Cash	$ 13,549		$ 13,549	$ -	$ -	$ -	$ -
Required Minimum Match - In-Kind							
1)	$ -						
2)	$ -						
3)	$ -						
Total Required Minimum Match - In-Kind	$ -		$ -	$ -	$ -	$ -	$ -
B. Total Required Minimum Match (cash + in-kind)	$ 13,549		$ 13,549	$ -	$ -	$ -	$ -
C. **Subtotal, Fed/State/Required Match Revenues**	$ 135,491		$ 135,491	$ -	$ -	$ -	$ -
D. NSIP Cash Subsidy/Commodity Valuation	$ 88,000		$ 88,000	$ -	$ -	$ -	$ -
E. **OAA Title V Worker Wages, Fringe Benefits and Costs**	$ -						
Local Cash, Non-Match							
1)	$ -						
2)	$ -						
3)	$ -						
4)	$ -						
F. **Subtotal, Local Cash, Non-Match**	$ -		$ -	$ -	$ -	$ -	$ -
Other Revenues, Non-Match							
1) grants	$ 450,000		$ 270,000	$ 180,000			
2) private pay	$ 100,000		$ 100,000				
3) other operating	$ 320,000		$ 300,000	$ 20,000			
G. **Subtotal, Other Revenues, Non-Match**	$ 870,000		$ 670,000	$ 200,000	$ -	$ -	$ -
Local In-Kind Resources (Includes Volunteer Resources)							
1)	$ -						
2)	$ -						
3)	$ -						
H. **Subtotal, Local In-kind Resources, Non-Match**	$ -		$ -	$ -	$ -	$ -	$ -
I. **Client Cost Sharing**	$ 2,500		$ 2,500				
J. **Total Projected Revenues (Sum I.C,D,E,F,G,H, & I)**	$ 1,095,991		$ 895,991	$ 200,000	$ -	$ -	$ -

Division of Aging and Adult Services
Service Cost Computation Worksheet

II. Line Item Expenses	Grand Total	Admin. Cost	Service: Home Delivered Meals 020	Service: Home Delivered Meals NSIP Reimbursement 021	Service: 0 #N/A	Service: 0 #N/A	Service: 0 #N/A
Staff Salary From Labor Distribution Schedule							
1) Full-time Staff (do not include Title V workers)	$ 209,600	$ -	$ 144,700	$ 64,900	$ -	$ -	$ -
2) Part-time staff (do not include Title V workers)	$ -	$ 47,500	$ -	$ -	$ -	$ -	$ -
A. **Subtotal, Staff Salary**	$ 257,100	**$ 47,500**	**$ 144,700**	**$ 64,900**	**$ -**	**$ -**	**$ -**

Fringe Benefits							
1) FICA @ 7.65 %	$ 19,668	$ 3,634	$ 11,070	$ 4,965	$ -	$ -	$ -
2) Health Insurance	$ -						
3) Retirement	$ 8,000		$ 8,000				
4) Unemployment Insurance	$ 10,000		$ 10,000				
5) Worker's Compensation	$ -						
6) Other	$ -						
B. **Subtotal, Fringe Benefits**	$ 37,668	$ 3,634	$ 29,070	$ 4,965	$ -	$ -	$ -
Local In-Kind Resources Non-Match							
1)	$ -						
2)	$ -						
3)	$ -						
C. **Subtotal, Local In-Kind Resources Non-Match**	$ -	$ -	$ -	$ -	$ -	$ -	$ -
D. **OAA Title V Worker Wages, Fringe Benefits and Costs**	$ -						
Travel							
1) Per Diem	$ -						
2) Mileage Reimbursement	$ -						
3) Other Travel Cost	$ 5,000		$ 5,000				
E. **Subtotal, Travel**	$ 5,000	$ -	$ 5,000	$ -	$ -	$ -	$ -
General Operating Expenses							
1) mortgage	$ 30,000	$ 30,000					
2) utilities phone	$ 36,000	$ 36,000					
3) food/trays	$ 400,000	$ 400,000					
4) audit/legal	$ 17,000	$ 17,000					
5) insurance	$ 20,000	$ 20,000					
6)	$ -						
7) other payroll	$ 200,000	$ 200,000					
8) other expenses	$ 202,956	$ 202,956					
F. **Subtotal, General Operating Expenses**	$ 905,956	$ 905,956	$ -	$ -	$ -	$ -	$ -
G. **Subtotal, Other Administrative Cost Not Allocated in Lines II.A through E**	$ -						
H. **Total Proj. Expenses Prior to Admin. Distribution**	**$ 1,205,724**	**$ 957,090**	**$ 178,770**	**$ 69,865**	**$ -**	**$ -**	**$ -**
I. **Distribution of Admininistrative Cost**	**$ (847,357)**		**$ (717,221)**	**$ (130,135)**	**$ -**	**$ -**	**$ -**
J. **Total Proj. Expenses After Admin. Distribution**	**$ 1,095,991**		**$ 895,991**	**$ 200,000**	**$ -**	**$ -**	**$ -**

III. Computation of Rates	**Grand Total**		**Service** Home Delivered Meals 020	**Service** e Delivered Meals NSIP Reimburse 021	**Service** 0 #N/A	**Service** 0 #N/A	**Service** 0 #N/A
A. **Computation of Unit Cost Rate:**							
1. Total Expenses (equals line II.J)	$ 1,095,991		$ 895,991	$ 200,000	$ -	$ -	$ -
2. Total Projected Units			110,000				
3. Total Unit Cost Rate			$ 8.1454	$ -	$ -	$ -	$ -
B. **Computation of Reimbursement Rate:**							
1. Total Revenues (equals line I.J)	$ 1,095,991		$ 895,991	$ 200,000	$ -	$ -	$ -
2. Less: NSIP (equals line I.D)	$ 88,000		$ 88,000	$ -	$ -	$ -	$ -
Title V (equals line I.E less II.D)	$ -		$ -	$ -	$ -	$ -	$ -
Non Match In-Kind (equals line I.H less II.C)	$ -		$ -	$ -	$ -	$ -	$ -
3. Revenues Subject to Unit Reimbursement	$ 1,007,991		$ 807,991	$ 200,000	$ -	$ -	$ -
4. Total Projected Units (equals line III.A.2)			110,000	-	-	-	-
5. Total Reimbursement Rate			$ 7.3454	$ -	$ -	$ -	$ -
C. **Units Reimbursed Through HCCBG**			**18,446**	**-**	**-**	**-**	**-**
D. **Units Reimbursed Through Program Income***			**340**	**-**	**-**	**-**	**-**
E. **Units Reimbursed Through Remaining Revenues**			**91,214**	**-**	**-**	**-**	**-**
F. **Total Units Reimbursed/Total Projected Units**			**110,000**	**-**	**-**	**-**	**-**

* The Division of Aging ARMS deducts reported program income from reimbursement paid to providers. Line III.D indicates the number of units that will have to be produced in addition to those stated on line III.C in order to earn the net revenues stated on line I.C.

Certification:

I certify to the best of my knowledge and belief that the information included in the cost computation above is accurate and complies with all laws and regulations. I also understand that material deviations in reported cost information could limit funding, and also result in return of funds if the error or omission results in a higher than actual reported cost.

Authorized Signature	Title	Date

Information on this form (DAAS-732A) corresponds with information stated on the Provider Services Summary (DAAS-732) as follows:

	DAAS-732A	DAAS-732
Block Grant Funding	Line I.A	Col. A
Required Local Match-Cash & In-Kind	Line I.B	Col. B
Net Service Cost	Line I.C	Col. C
NSIP Subsidy	Line I.D	Col. D
Total Funding	L. I.C+I.D	Col. E
Projected HCCBG Reimbursed Units	Line III.C	Col. F
Total Reimbursement Rate	Line III.B.5	Col. G
Projected Total Service Units	Line III.F	Col. I

Home and Community Care Block Grant for Older Adults

Cabarrus Meals on Wheels

342 Penny Lane

Concord, NC 28025

County Funding Plan

Provider Services Summary

DAAS-732

County: Cabarrus

Budget Period: July 2022 through June 2023

Revision #: **Date:**

Services	Serv. Delivery (Check One) Direct	Purchase	A Block Grant Funding: Access	In-Home	Other	Total	B Required Local Match	C Net Service Cost	D NSIP Subsidy	E Total Funding	F Projected HCCBG Units	G Projected Reimburse Rate	H Projected HCCBG Clients	I Projected Total Units
Home Delivered Meals	X		$ -	$ 121,942	$ -	$ 121,942	$ 13,549	$ 135,491	$ 88,000	$ 223,491	18,446	$ 7.3454	300	110,000
Home Delivered Meals NSIP Reimbursement	X		$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -	100	-
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
0			$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	-	$ -		-
Total			$ -	$ 121,942	$ -	$ 121,942	$ 13,549	$ 135,491	$ 88,000	$ 223,491	18,446		400	110,000

Certification of required minimum local match availability. Required local match will be expended simultaneously with Block Grant Funding.

Kimberly Stone 04/21/2022

Authorized Signature, Title — Date

Community Service Provider

Signature, County Finance Officer — Date

Signature, Chairman, Board of Commissioners — Date

DAAS-733
(Rev. 2/19)

Home and Community Care Block Grant for Older Adults
Outreach Methodology

July 2022 through June 2023

Outreach Methodology to Address the Service Needs of Target Population

Community Service Provider: Cabarrus Meals on Wheels

County: Cabarrus

While all older adults age 60 and over are eligible for services, sec. 305(a)(2)(E) of the Older Americans Act requires programs to target services to older individuals with the greatest economic and social need, (with particular attention to low-income older adults, including low-income minority older adults, older adults with limited English proficiency, and older adults residing in rural areas). The community service provider shall specify how these service needs will be met through the services identified on the Provider Services Summary (DAAS-732). This narrative shall address outreach and service delivery methodologies that will ensure that this target population is adequately served and conform with specific objectives established by the Area Agency on Aging, for providing services to low income minority individuals. Additional pages may be used as necessary.

Cabarrus Meals on Wheels serves all who need a meal regardless of income. Meals are delivered throughout Cabarrus county each Monday - Friday by volunteers. We do outreach at various events throughout the year to reach individuals who may be in need of service. We partner with Atrium Health, doctor's offices, churches, and other agencies to receive referrals for our service. We partner with our local Veteran's Administration to serve our local Veterans in need of a nutritious meal.

July 2022 through June 2023

Home and Community Care Block Grant for Older Adults
Community Service Provider
Standard Assurances

Cabarrus Meals on Wheels agrees to provide services through the Home and Community Care Block Grant, as specified on the Provider Services Summary (DAAS-732) in accordance with the following:

1. Services shall be provided in accordance with requirements set forth in:
   a) The County Funding Plan;

   b) The Division of Aging and Adult Services Home and Community Care Block Grant Procedures Manual for Community Service Providers; and

   c) The Division of Aging and Adult Services Standards at

   https://www.ncdhhs.gov/divisions/daas/monitoring

   Community service providers shall monitor any subcontracts with providers of Block Grant services and take appropriate measures to ensure that services are provided in accordance with the aforementioned documents.

2. Priority shall be given to providing services to those older persons with the greatest economic or social needs. The service needs of low-income minority elderly will be addressed in the manner specified on the Outreach Methodology to Address Service Needs of Target Population (DAAS-733).

3. The following service authorization activities will be carried out in conjunction with all services provided through the Block Grant:
   a) Eligibility determination;
   b) Client intake/registration;
   c) Client assessment/reassessments and quarterly visits, as appropriate;
   d) Determining the amount of services to be received by the client; and
   e) Reviewing consumer contributions policies with eligible clients.

4. All licenses, permits, bonds, and insurance necessary for carrying out Block Grant Services will be maintained by the community service provider and any subcontracted providers.

5. As specified in 45 CFR 75, Subpart D-Post Federal Award Requirements, Procurement Standards, community service providers shall have procedures for settling all contractual and administrative issues arising out of procurement of services through the Block Grant. Community service providers shall have procedures governing the evaluation of bids for services and procedures through which bidders and contracted providers may appeal or dispute a decision made by the community service provider.

6. Applicant/Client appeals shall be addressed as specified in Section 7 of the Division of Aging and Adult Services Home and Community Care Block Grant Manual for Community Service Providers.

7. Community service providers are responsible for providing or arranging for the provision of required local match, as specified on the Provider Services Summary, (DAAS-732). Local match shall be expended simultaneously with Block Grant funding.

8. Community service providers agree to comply with audit and fiscal reporting requirements as specified in the Agreement for the Provision of County-Based Aging Services (DAAS-735).

9. Compliance with Equal Employment Opportunity and Americans with Disabilities Act requirements, as specified in paragraph fourteen (14) of the Agreement for the Provision of County-Based Aging Services (DAAS-735) shall be maintained.

11. Subcontracting – All HCCBG community service providers must assure that subcontractors (for-profit and non-profit entities only) meet the following requirements:

a. The subcontractor has not been suspended or debarred. (N.C.G.S. §143C-6-23, 09 NCAC 03M)
b. The subcontractor has not been barred from doing business at the federal level.
c. The subcontractor is able to produce a notarized "State Grant Certification of No Overdue Tax Debts."

d. All licenses, permits, bonds and insurance necessary for carrying out Home and Community Care Block Grant services will be maintained by both the community service provider and any subcontractors.

e. The subcontractor is registered as a charitable, tax-exempt (501c3) organization with the Internal Revenue Service (non-profit subcontractors only).

12. Confidentiality and Security. Per the requirements in 10A NCAC 05J and Section 6 of the Home and Community Care Block Grant Procedures Manual, client information in any format and whether recorded or not shall be kept confidential and not disclosed in a form that identifies the person without the informed consent of the person or legal representative. Community service providers, including subcontractors and vendors, must adhere to all applicable federal, state and departmental requirements for protecting the security and confidentiality of client information including but not limited to appropriately restricting access, establishing procedures to reduce the risk of accidental disclosures from data processing systems, and developing a process by which the Division of Adult Aging Services is notified of suspected or confirmed security incidents and data breaches.

13. Record Retention and Disposition. All community service providers are responsible for maintaining custody of records and documentation to support the allowable expenditure of funds, service provision, and the reimbursement of services. Service providers must adhere to the approved record retention and disposition schedule posted at https://www.ncdhhs.gov/about/administrative-offices/office-controller/records-retention by the NC Department of Health and Human Services Controller's Office, as well as the local government schedules posted by the NC Department of Natural and Culltural Resources at https://archives.ncdcr.gov/government/local

Service providers are not authorized to destroy records related to the provision of services under this Agreement except in compliance with the approved DHHS retention and disposition schedule, which allows for the proper destruction of records based on a schedule by funding source and fiscal year. The agency agrees to comply with 07 NCAC 04M .0510 when deciding on a method of record destruction. Confidential records will be destroyed in such a manner that the records cannot be practically read or reconstructed.

Kimberly Story 04/21/2022

(Authorized Signature) (Date)

CLIENT/PATIENT RIGHTS

1. You have the right to be fully informed of all your rights and responsibilities as a clien the program.

2. You have the right to appropriate and professional care relating to your needs.

3. You have the right to be fully informed in advance about the care to be provided by th

4. You have the right to be fully informed in advance of any changes in the care that you receiving and to give informed consent to the provision of the amended care.

5. You have the right to participate in determining the care that you will receive and in al nature of the care as your needs change.

6. You have the right to voice your grievances with respect to care that is provided and t there will be no reprisal for the grievance expressed.

7. You have the right to expect that the information you share with the agency will be re held in strict confidence, to be shared only with your written consent and as it relates obtaining of other needed community services.

8. You have the right to expect the preservation of your privacy and respect for your pro

9. You have the right to receive a timely response to your request for service.

10. You shall be admitted for service only if the agency has the ability to provide safe an professional care at the level of intensity needed.

11. You have the right to be informed of agency policies, changes, and costs for service

12. If you are denied service solely on you inability to pay, you have the right to be refer elsewhere.

13. You have the right to honest, accurate information regarding the industry, agency an program in particular.

14. You have the right to be fully informed about other services provided by this agency.

Internal Consistency Checks

Review of Local Match Comparison Input Sheet vs. 732A Cash and In-Kind Totals

			Difference
Home Delivered Meals		OK	-
Home Delivered Meals NSIP Reimbursement		OK	-
	0	OK	-
	0	OK	-
	0	OK	-
	0	OK	-
	0	OK	-
	0	OK	-
	0	OK	-
	0	OK	-
	0	OK	-
	0	OK	-
	0	OK	-
	0	OK	-

732A1 Labor Distribution Schedule Comparison of Assignable Salary To Overall Salary Entered

Total Assignable Salary and Cumulative Salary total for Se	0	$	-

CABARRUS COUNTY

BOARD OF COMMISSIONERS
WORK SESSION

June 6, 2022
5:30 PM

AGENDA CATEGORY:
Discussion Items for Action

SUBJECT:
EMS - Purchase of Simulation Equipment for EMS Headquarters

BRIEF SUMMARY:
EMS is requesting approval to purchase simulation equipment for the EMS Headquarters. Funding was recently approved using the Medicaid cost settlement balance.

Request includes:

Echo Healthcare - Echo complete package - ($249,490) Full immersive interactive technology enabled classroom 7 LifeCast simulation manikins (3 adults, 2 toddlers, 2 babies) iSimulate PRO (heart monitor simulator)

CAE Healthcare LearningSpace Experience and mid-fidelity Ares simulation manikin– ($130,920.03) LearningSpace allows real time recording and playback of simulations for debrief and continued learning. CAE mid-fidelity Ares complete simulation manikin allows for realistic scenarios with real time feedback for learning.

Total cost for all equipment - $380,410.03

All equipment will be purchased from sole source vendors. The CAE equipment will be purchased from NC based Code Blue Resources, which is on state contract 785A.

REQUESTED ACTION:
Motion to suspend the rules of procedure.

Motion to approve these sole source exception purchases and authorize the County Manager to execute the contract between Cabarrus County and CAE Healthcare, subject to revision by the County Attorney.

EXPECTED LENGTH OF PRESENTATION:
10 Minutes

SUBMITTED BY:
Justin Brines, EMS Deputy Chief

BUDGET AMENDMENT REQUIRED:
No

COUNTY MANAGER'S RECOMMENDATIONS/COMMENTS:

ATTACHMENTS:

- Echo Complete Quote
- iSimulate Quote
- Simology Quote
- LS Experience Quote
- CAE Ares Quote
- Sole Source Echo - Immersive
- Sole Source Echo - iSimulate
- Sole Source Echo - Lifecast
- Sole Source CAE

Echo Healthcare
6407 Parkland Drive
Sarasota, Florida 34243
United States
info@echosimulation.com

QUOTE

Expiration Date 6/16/2022
Quote Number 00000383

Payment Terms Advance Deposit - 100% prior to Shipment

BILL TO:

Cabarrus County EMS
Concord, North Carolina
United States

SHIP TO:

Cabarrus County EMS
Concord, North Carolina
United States

Account Name Cabarrus County EMS

Prepared By Lauren Gardner
Email lauren@echosimulation.com

Product	Product Code	Product Description	Quantity	Total Price
Echo COMPLETE	COMPLETE-001	Echo Healthcare Complete includes: -A full Immersive Interactive technology-enabled classroom (3 walls, standard room, scent diffuser included) -7 x Lifecast manikins (3 adults, 2 toddlers, 1 full term baby, 1 pre term baby) -iSimulate PRO system & 1 x Auris -Installation & commissioning	1.00	USD 214,995.00
Echo COMPLETE Shipping	SHIP-COMPLETE	Shipping Echo COMPLETE	1.00	USD 15,000.00
Immersive Flashlight Feature	IMM-FLASH	Flashlight feature for Immersive Interactive room.	1.00	USD 5,500.00
Immersive Interactive Fan	IMM-FAN	Immersive fan.	1.00	USD 995.00
Immersive Interactive Floor	IMM-FLOOR	Image and Video Projection on floor of the Immersive Room Motion detection technology allowing for gesture control	1.00	USD 5,500.00
Immersive Interactive Lighting	IMM-LIGHT	Lighting for Immersive Interactive,	1.00	USD 5,500.00

Subtotal USD 247,490.00
Discount 0.00%
Total Price USD 247,490.00
Grand Total USD 247,490.00

Terms and Conditions

Pricing: All quoted prices are in United States Dollars unless otherwise stated. The prices quoted are valid through the date listed on the quote above.
Taxes are not included in this quote, if taxes are required to be itemized in this quote please notify the sender.
Return & Refund Policy: All sales are final.
Exchange/Repair: At the sole discretion of Echo Healthcare, the exclusive remedy of the Buyer shall be the repair of a defective product or replacement of defective hardware MeLiSA product.
Shipping: Standard shipping terms are FOB Shipping Point.
Payment Terms: Standard payment terms are due upon order acceptance by Buyer and Seller. Net terms must be approved based on the customer's credit and may result in a finance charge being added to the overall order.
Accepted Payment Methods: Wire transfer, certified check, credit card and ACH.

Canadian Tax Registration Information:
Federal Canada GST/HST: 70425 8110
Manitoba PST: 704258110MR0001
British Columbia PST: PST-1251-7270
Saskatchewan PST: 7290786
Quebec QST: 1228180021 TQ0001

For additional Terms & Conditions, please visit www.echo.healthcare/support and refer to the SLA https://melisasupport.com/terms-of-service

Echo Healthcare
6407 Parkland Drive
Sarasota, Florida 34243
United States
info@echosimulation.com

QUOTE

Expiration Date	6/16/2022
Quote Number	00000383

Payment Terms	Advance Deposit - 100% prior to Shipment

Echo Healthcare
6407 Parkland Drive
Sarasota, Florida 34243
United States
info@echosimulation.com

QUOTE

Expiration Date 6/16/2022
Quote Number 00001311

Payment Terms Advance Deposit - 100% prior to Shipment

BILL TO:

Cabarrus County EMS
Concord, North Carolina
United States

SHIP TO:

Cabarrus County EMS
Concord, North Carolina
United States

Account Name Cabarrus County EMS

Prepared By Lauren Gardner
Email lauren@echosimulation.com

Product	Product Code	Product Description	Quantity	Total Price
REALITi 360 PRO	iSIM-002	Includes: REALITi 360 Pro Full Membership - Five (5) Premium Screens of choice - One (1) iPad Wi-Fi w/facilitator case - One (1) iPad Pro 12.9" Wi-Fi w/cover - Fixed Wi-Fi - Monitor Bag - Simulation Lead set (Adult) - Power System - Configuration & Setup - 5 Year Support Video Module including: - REALITi Video Recording Software - One (1) iPad 9.7" Wi-Fi - One (1) Mobile Media System - One (1) Tripod - One (1) Mobile Media Case - Apple TV - iPad Cover CPR Module Including: - CPR Software Integration with REALITi - CPR Hardware including two (2) CPR Bands and case	1.00	USD 20,565.00
SimScope	iSim-SCOPE	SimScope simulated stethoscope, requires a REALITi 360 PLUS license	1.00	USD 2,495.00
Shipping iSimulate	SHIP-iSIM	Shipping Simulate	1.00	USD 550.00

Subtotal	USD 23,610.00
Discount	0.00%
Total Price	USD 23,610.00
Grand Total	USD 23,610.00

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Canadian Tax Registration Information:
Federal Canada GST/HST: 70425 8110

Echo Healthcare
6407 Parkland Drive
Sarasota, Florida 34243
United States
info@echosimulation.com

QUOTE

Expiration Date	6/16/2022
Quote Number	00001311

Payment Terms Advance Deposit - 100% prior to Shipment

Manitoba PST: 704258110MR0001
British Columbia PST: PST-1251-7270
Saskatchewan PST: 7290786
Quebec QST: 1228180021 TQ0001

For additional Terms & Conditions, please visit www.echo.healthcare/support and refer to the SLA https://melisasupport.com/terms-of-service

Echo Healthcare
6407 Parkland Drive
Sarasota, Florida 34243
United States
info@echosimulation.com

QUOTE

Expiration Date 6/16/2022
Quote Number 00000409

Payment Terms Advance Deposit - 100% prior to Shipment

BILL TO:

Cabarrus County EMS
Concord, North Carolina
United States

SHIP TO:

Cabarrus County EMS
Concord, North Carolina
United States

Account Name Cabarrus County EMS

Prepared By Lauren Gardner
Email lauren@echosimulation.com

Product	Product Code	Product Description	Quantity	Total Price
Shipping Simology	SHIP-SIM	Shipping Simology Kit	1.00	USD 500.00
Simology	SIM-001	TBC	1.00	USD 1,645.00

Subtotal	USD 2,145.00
Discount	0.00%
Total Price	USD 2,145.00
Grand Total	USD 2,145.00

Terms and Conditions

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Saskatchewan PST: 7290786
Quebec QST: 1228180021 TQ0001

For additional Terms & Conditions, please visit www.echo.healthcare/support and refer to the SLA https://melisasupport.com/terms-of-service

Created Date:	12/9/2021
Expiration Date:	3/9/2022
Quote Number:	Q-56480-3

CAE Healthcare Inc.
6300 Edgelake Drive
Sarasota, FL 34240
United States
Fax: (941) 377-5590
Tax ID # 22-3437089

Prepared By	Roger Cooper
Phone	(941) 224-5679
Email	roger.cooper@cae.com
Fax	(941) 377-5590
Payment Terms	Net 30
Shipping Terms	

Prepared For
Phone
Email

Bill To Name	Cabarrus County EMS
Address	31 Willowbrook Drive Concord, North Carolina 28027 United States
Ship To Name	Cabarrus County EMS
Address	31 Willowbrook Drive Concord, North Carolina 28027 United States

Quote Total: USD 72,354.64

Product Information

Qty	Product	Notes	List Price	Net Price	Total Price
1	LearningSpace Experience One + Connect		$0.00	$0.00	$0.00
1	LearningSpace Experience Connect Server (Connect up to 6x LS One Boxes)		$13,595.00	$13,595.00	$13,595.00
3	LearningSpace Experience ONE Box (LearingSpace Software, Server Appliance, and Microphone)		$10,995.00	$10,995.00	$32,985.00
2	LearningSpace Project Management and Installation Services		$3,120.00	$3,120.00	$6,240.00
4	Optical PTZ HD Camera		$1,662.96	$1,662.96	$6,651.84
4	PoE Speaker (Recessed)		$500.00	$500.00	$2,000.00
1	Shipping and Handling		$514.80	$514.80	$514.80
				TOTAL:	$61,986.64

Warranty Information

Year 1

Product	Product Code	List Price	Net Price	Quantity	Notes
LearningSpace Matrix Warranty Plan	SFWAR-Matrix	$0.00	$0.00	1	(LearningSpace Experience)
				Year 1 TOTAL:	$0.00

Year 2

Product	Product Code	List Price	Net Price	Quantity	Notes
LearningSpace Matrix Warranty Plan	SFWAR-Matrix	$2,880.00	$2,592.00	1	(LearningSpace Experience)
				Year 2 DISCOUNT:	$288.00
				Year 2 TOTAL:	$2,592.00

Year 3

Product	Product Code	List Price	Net Price	Quantity	Notes
LearningSpace Matrix Warranty Plan	SFWAR-Matrix	$2,880.00	$2,592.00	1	(LearningSpace Experience)
				Year 3 DISCOUNT:	$288.00
				Year 3 TOTAL:	$2,592.00

Year 4

Product	Product Code	List Price	Net Price	Quantity	Notes
LearningSpace Matrix Warranty Plan	SFWAR-Matrix	$2,880.00	$2,592.00	1	(LearningSpace Experience)
				Year 4 DISCOUNT:	$288.00
				Year 4 TOTAL:	$2,592.00

Year 5

Product	Product Code	List Price	Net Price	Quantity	Notes
LearningSpace Matrix Warranty Plan	SFWAR-Matrix	$2,880.00	$2,592.00	1	(LearningSpace Experience)
				Year 5 DISCOUNT:	$288.00
				Year 5 TOTAL:	$2,592.00

TOTAL:	$72,354.64

The sale of the Products and Services identified in this quotation is subject to CAE Healtcare's Education Products General Terms and Conditions and its related End-User License; if an option for Maintenance Services is offered and accepted, it is subject to CAE Healthcare's Support and Maintenance Terms and Conditions; if an option for Training is offered and accepted, it is subject to CAE Healthcare's Training Policy, all of the above being and available on the CAE Healthcare website at www.caehealthcare.com

In the event of the sale of a LearningSpace System, Customer will be required to sign CAE Healthcare's LearningSpace Agreement before any order is accepted by CAE Healthcare. The LearningSpace Agreement will be provided to Customer directly.

All sales are final. Any Training must be scheduled and completed within nine (9) months of the date in which any associated simulator is received by the customer or purchased installation is completed.

CAE Healthcare will normally ship all products ordered within a single shipment. If this is not possible due to inventory demands, CAE Healthcare may elect to ship Products as partial shipments. If such partial shipment is not acceptable, please indicate to CAE Healthcare when placing your order. CAE Healthcare will, unless otherwise stated within the purchase order, ship all product within 90 days of receipt of the purchase order.

Accounts Payable Remit to Address:
CAE Healthcare Inc.
32955 Collection Center Drive
Chicago IL 60693-0329

Extended Product Description Index

Product	Product Code	Decription
LearningSpace Experience One + Connect	Flex-Experience One + Connect	LearningSpace Flex Bundle
LearningSpace Experience Connect Server (Connect up to 6x LS One Boxes)	LSP-020	LearningSpace Experience Connect Server (Connect up to 6x LS One Boxes)
LearningSpace Experience ONE Box (LearingSpace Software, Server Appliance, and Microphone)	LSP-019	LearningSpace Experience ONE Box (LearingSpace Software, Server Appliance, and Microphone)
LearningSpace Project Management and Installation Services	ISO-AVS	Includes: Project Management, on-site Installation, configuration, testing and system orientation of CAE LearningSpace. *Please note that no wiring is included with installation for any devices unless listed as a separate line item or otherwise specified.
Optical PTZ HD Camera	ACC-AVS02	Optical PTZ HD Camera
PoE Speaker (Recessed)	ACC-AVS23	LearningSpace Intercom Speaker (PoE, Ceiling Recessed)
Shipping and Handling	SHIPPING	Freight charges for the items on this quote

Code Blue Resources, LLC
1743 S. Main St - Ste 202
Wake Forest, NC 27587
United States

T: (888) 556-9857

Quote #	**5217 v2**
Date	**01/05/2022**
Expires	**02/18/2022**
Contact	**Todd Baker**

Prepared for
Cabarrus County EMS
Justin Brines
31 Willowbrook Dr
Concord, NC 28027
United States

T: (704) 920-2600
E: jrbrines@cabarruscounty.us

CAE Simulation

Item	Qty	Price	Total
CAE Patient Simulator - Ares Complete Includes (1) dark skin and (1) medium skin Ares Complete: includes SymEyes, IV arm, NIBP arm, Tablet, one StethoSym, one SymDefib box, gender conversion kit, and all required electronics. Includes 6 simulated clinical experiences, one Ares Learning Experience app license, one Maestro standalone license and first year Express Assurance Plan. CAE (PN: ARES-300)	2	$21,995.00	**$43,990.00**
Ares - Modeled Physiology This upgrade features CAE's unique physiological model, which drives automatic, realistic patient behavior, helping the instructor create better simulations with less effort, so they can focus on the learners. Cardiac or respiratory issues, bleeding, and other conditions evolve naturally and respond appropriately to interventions. CAE (PN: MAES-201)	2	$4,995.00	**$9,990.00**
1 Day On-Site Education Course for Ares On-site One Day Education Course for Ares (Up to 10 Attendees) CAE (PN: TRN-ARE01)	1	$4,390.00	**$4,390.00**

Thank you for the opportunity to quote. Please contact us if you have any questions. **Tax and shipping (if applicable) not included.**

Total One-Time **$58,370.00 USD**

Echo Healthcare
INNOVATION SIMULATION EDUCATION

April 14, 2021

To Whom it may concern;

This letter represents sole source documentation for the Immersive Interactive (TM) product line from our company, Echo Healthcare. Immersive Interactive is a unique product that replicates the working environment (in 3 Dimensions) of health care providers, first responders, and the military community. Using a unique blend of COTS and proprietary technology, Immersive interactive provides a level of detail never before seen in an immersive experience. A combination of "scenes" and learning objectives are created utilizing 3D enabled software and hardware, allowing the student or learner to become immersed in a simulated environment complete with sounds, sights, and haptic feedback. The processes, designs, and intellectual property are unique globally to Immersive Interactive, and are not replicated with the degree of expertise, content and execution anywhere else in the world.

Echo Healthcare proudly represents, and is the sole distributor for Immersive Interactive products in North America, and offers a unique service plan (MeLiSA) to service them throughout North America.

We appreciate your institution's desire to train health care students utilizing the latest technology from our company.

Sincerely yours,

Kevin King CEO

Echo Healthcare

4715 Spinnaker Dr. Bradenton, Florida 34208 info@echosimulation.com

Echo Healthcare
INNOVATION SIMULATION EDUCATION

April 14, 2021

To Whom It May Concern:

Echo Healthcare is the North American distributor for iSimulate, allowing for the unique combination of iSimulate products with Echo Healthcare products. Echo Healthcare represents a unique bundle with iSimulate partnered with other Echo Healthcare solutions throughout North America, including Lifecast Body Simulation and MeLiSA.

iSimulate is the sole source provider for ALSi, CTGi, AURiS, and REALITi which provide economical, highly advanced and realistic patient condition simulation packages. ALSi, CTGi, AURiS, and REALITi cannot be purchased through any other vendor and there are no other similar products available on the market. These products are developed and owned by iSimulate.

ALSi represents the latest advancement in medical simulation technology. It is so easy to use that you can be up and running in less than two minutes and can act as a fully featured multi parameter monitor, AED, and defibrillator. The simple setup makes it great for situational training. ALSi provides a super realistic simulation experience, enabling hi-fidelity simulation even in low fidelity situations.

CTGi provides a realistic fetal heart rate monitor package with real time cardio- tocography simulation technology. CTGi gives facilitators a great tool for training and students an incredibly realistic platform to learn from. CTGi offers obstetric simulation as

you have never seen it before, built off technology you use every day.

AURiS allows heart, lung, and bowel sounds to be simulated using just a training stethoscope and an iOS device. AURiS is easy to use and allows training to be conducted in a variety of different environments.

REALITi is a simulation ecosystem that integrates live wireless video streaming, live voting, dynamic 12 lead ECGs, mimics proprietary monitors and defibrillators, such as Zoll X series, LP15 and GE Carescape and can grow/adapt with you simulation needs.

iSimulate is able to achieve this by utilizing current technology enabling customers to have access to highly advanced simulation technology without having to worry about the typically associated costs.

The gesture based control panel is built to provide advanced functionality without the complexity of traditional systems. iSimulate uses the best of mobile technology to provide a seamless user experience from start to finish.

Sincerely,

Kevin King
CEO, Echo Healthcare

Echo Healthcare
INNOVATION SIMULATION EDUCATION

Echo Healthcare
6408 Parkland Drive, Unit 103
Sarasota, FL 34243
info@echosimulation.com

January 26, 2021

To whom it may concern,

This letter represents sole source documentation for the Lifecast Body Simulation product line from our company, Echo Healthcare. Lifecast Body Simulation products are a unique mixture of silicones and proprietary mixtures that create the most realistic looking and feeling medical training simulators and manikins in the world. The processes and design of the Lifecast product line are unique to Lifecast, and are not replicated anywhere else in the world. Echo Healthcare manufactures, prepares and ships these products from our facility in Sarasota Florida. Lifecast products are the most realistic training aids available, allowing for real movement, advanced airway procedures (supraglottic, as well as ETT and mechanical ventilation), and IO access with fluid output. The products are based on actual scans of human bodies, including internal airway anatomy.

Echo Healthcare proudly represents, and is the exclusive licensor, manufacturer and distributor of Lifecast Body Simulation products throughout the world. Echo Healthcare offers a unique one-of-a-kind service plan (MeLiSA) to service them throughout the Americas.

We appreciate your institution's desire to train health care students utilizing the latest technology from our company.

Sincerely,

Kevin King , CEO

Brian Duffield
Corporate Accounts & Distribution
Healthcare Division
T. 520.304.4651
E. brian.duffield@cae.com

Justin Brines
Deputy Chief
Cabarrus County EMS

RE : Sole Source

Dear Deputy Chief Brines-

Thank you for your trust and confidence in CAE Healthcare products. The powerful combination of Code Blue Resources and CAE Healthcare brings a unique solution to Cabarrus County EMS. The technology solution of CAE Healthcare coupled with the consulting solutions and expertise of Code Blue Resources allows for a truly unique solution for Cabarrus County EMS that cannot be acquired anywhere else. Only the combination of these two market leaders will allow the solution to be fully maximized for Cabarrus County.

Please also note that these two products, as well as our distribution partner Code Blue Resources, are also referenced on *NC State Contract 785A – Manikins, Accessories, Software & Services.*

Thank you again for bringing this unique combination to bear for the people of Cabarrus County.

Yours truly,

Brian Duffield

Brian Duffield
Distribution Sales Manager

CABARRUS COUNTY

BOARD OF COMMISSIONERS
WORK SESSION

June 6, 2022
5:30 PM

AGENDA CATEGORY:
Discussion Items for Action

SUBJECT:
Human Resources - Personnel Ordinance Updates

BRIEF SUMMARY:
Effective July 1, 2022 Human Resources would like to freeze evaluation dates as currently established (hire date or position date) and not make changes for future employee job changes (promotions and demotions) to ensure a consistent one-time per 12 months performance evaluation process for all employees. This also ties to the potential merit date and will require Personnel Ordinance changes. In addition, there is a slight change to the grievance process.

REQUESTED ACTION:
Motion to approve changes to the Personnel Ordinance as requested.

EXPECTED LENGTH OF PRESENTATION:
5 Minutes

SUBMITTED BY:
Lundee Covington Human Resources Director

BUDGET AMENDMENT REQUIRED:
No

COUNTY MANAGER'S RECOMMENDATIONS/COMMENTS:

ATTACHMENTS:

- Personnel Ordinance Changes

Section involved in freezing employee evaluation dates:

Drop

n) Effective Date. Normally the date of an employee's last significant personnel action related to their position - such as hire or promotion date. Determines when an employee is eligible for a performance evaluation and any related salary increase.

Add

Evaluation Date – The date an employee is eligible for a performance evaluation and merit pay increase if applicable.

Section 3. Use of Salary Ranges

(c) Merit Increase Administration. Each year, an employee shall receive a performance evaluation and be considered for a merit increase ~~on the anniversary of his or her date in that position~~ on his or her evaluation date. Merit increases are determined by the score received on the evaluation and any program adjustments. An employee must receive a 2.01 rating or greater on the 5.00 point scale to qualify. If an employee qualifies, the department head recommends a merit increase according to the chart below. After administrative review by the Human Resources Director, the increase is added to the employee's base salary.

Section 5. Salary of a Trainee

An applicant hired or an employee promoted to a position who does not meet all the established requirements of the position may be appointed at a rate in the pay plan below the minimum rate established for that position. The established trainee rate for any given position shall be the minimum rate for the salary grade below the one of that position. An employee at the trainee level shall be evaluated at least every six months. The department head may certify that the trainee is qualified to assume the full responsibilities of the position at the conclusion of said review. At this point the employee will be paid at the entry salary for the position. The employee then becomes eligible for merit increases on ~~subsequent anniversaries of the date he or she was released from trainee status.~~ his or her evaluation date.

CABARRUS COUNTY

BOARD OF COMMISSIONERS
WORK SESSION

June 6, 2022
5:30 PM

AGENDA CATEGORY:
Discussion Items for Action

SUBJECT:
Legal - Ad Hoc Amendment to Central Area Land Use Plan Interlocal Agreement for 3535 Katrina Avenue, Further Identified as PIN 5641-70-7417

BRIEF SUMMARY:
The City of Concord received a request for water service in Area A of the Central Area Land Use Plan Interlocal Agreement (CALUP ILA). The request is from Humberto Perez for property located at 3535 Katrina Avenue, further identified as PIN 5641-70-7417. The property will be developed with one single-family home. Pursuant to the CALUP ILA, all requests for service in Area A must be jointly approved by the Cabarrus County Board of Commissioners and Concord City Council.

REQUESTED ACTION:
Motion to approve the request for the City of Concord to provide water service at 3535 Katrina Avenue, further identified as PIN 5641-70-7417 and to authorize County Manager to execute Agreement subject to review and approval by the County Attorney.

EXPECTED LENGTH OF PRESENTATION:
5 Minutes

SUBMITTED BY:
Susie A. Morris, Planning and Zoning Manager
Richard Koch, County Attorney

BUDGET AMENDMENT REQUIRED:
No

COUNTY MANAGER'S RECOMMENDATIONS/COMMENTS:

ATTACHMENTS:

- ILA Amendment Document - PEREZ 3535 KATRINA
- Prelimnary Application for Service 3535 Katrina
- Map

STATE OF NORTH CAROLINA	AD HOC MODIFICATION OF CITY OF THE CONCORD-CABARRUS COUNTY INTERLOCAL AGREEMENT REGARDING
COUNTY OF CABARRUS	THE CENTRAL AREA PLAN (PEREZ-3535 KATRINA AVENUE/5641-70-7417)

This AD HOC MODIFICATION OF THE CONCORD-CABARRUS COUNTY INTERLOCAL AGREEMENT REGARDING THE CENTRAL AREA PLAN ("the "Modification") is entered into effective as of the last date of execution by the parties as shown below, by, between and among the CITY OF CONCORD ("Concord"), a North Carolina municipal corporation, and CABARRUS COUNTY ("County").

RECITALS

1. On June 28, 2008, these same parties entered into an "Interlocal Agreement" regarding the implementation of the Central Area Plan ("CAP").

2. This Interlocal Agreement was to continue in effect for a period of 15 years and contemplated a review of the efficacy of the Interlocal Agreement every 5 years.

3. The parties have had discussions about specific issues and parcels affected by the CAP since the execution of the Interlocal Agreement.

4. The parties have also had specific discussions about a parcel owned by Humberto Perez, who wishes to construct a new single-family home on the parcel, which is located in Area A of the Interlocal Agreement. Pursuant to the terms of the Interlocal Agreement, the CAP prohibits Concord from extending utilities to real property parcels in Area A.

5. The CAP and the Interlocal Agreement have been successful in redirecting residential development into other areas of Cabarrus County, but there are instances in the Central Area in which it makes sense to modify the Interlocal Agreement to allow a limited amount of development in areas where utilities already exist or are reasonably available.

6. The purpose of this Amendment is to modify the Interlocal Agreement to the limited extent of addressing the above-described circumstance involving the below identified parcel(s).

In consideration of the above Recitals and the Terms below, which the parties specifically acknowledge and agree make this Modification legally binding and enforceable, the parties agree as provided below.

TERMS

1. Concord agrees to provide water utility services under its normal and customary terms and conditions to the property located at 3535 Katrina Avenue (PIN 5641-70-7417)

2. Except as specifically changed by this Modification, the provisions of the Interlocal Agreement shall remain in full force and effect.

IN WITNESS, the parties have executed this Modification as indicated below, all pursuant to legal authority duly given.

CITY OF CONCORD

By: _____ Date: _____
Lloyd Payne, City Manager

CABARRUS COUNTY

By: _____ Date: _____
Mike Downs, County Manager

City of Concord, North Carolina

Preliminary Application – Extension of Concord Utilities outside Concord City Limits

(Please type or print in black ink)

1. Name of development: Impala 2 story house
2. Name and address of owner(s)/developer(s): Humberto Perez
   3970 elkwood ct concord nc 28025
3. Owner(s)/developer(s) telephone: 7042804255 Fax: _____
4. Name and address of surveyor/engineer: Guillermo Anzola
   11124 coachman cir Charlotte nc 28277
5. Surveyor/engineer's telephone: 7047714874 Fax: _____
6. Name, telephone and fax number, and address of agent (if any): _____
7. Name and address of person to whom comments should be sent: Humberto Perez
   3970 elkwood ct concord nc 28025
8. Telephone number of person to whom comments should be sent: 7042804255
   Fax: _____
9. Location of property: 3535 Katrina ave concord nc 28025
10. Cabarrus County P.I.N.#: 5641707417
11. Current zoning classification: _____
12. Total acres: 0.463 Total lots proposed: 1
13. Brief Description of development: New 2 story house approximately 3,600 sqft
14. Proposed Construction Schedule Starting date march 10 2022
15. Type of Service requested City water (water tap)

03/01/2022
Date


Signature of Owner/Agent

Humberto Perez
Name (printed)

NOTE: *By affixing his or her signature hereto, the owner/developer acknowledges understanding of and agreement to comply with all provisions of the Concord City Code section 62.*

Staff Use Only:

Received by: _____ Date: _____

Proposed CALUP ILA Amendment
3535 Katrina Avenue
PIN 5641-70-7417



CABARRUS COUNTY

BOARD OF COMMISSIONERS
WORK SESSION

June 6, 2022
5:30 PM

AGENDA CATEGORY:
Discussion Items for Action

SUBJECT:
Planning and Development - Budget Amendment to Allocate Newly Awarded Duke Helping Home Fund Revenues and Expenses

BRIEF SUMMARY:
Duke Energy has awarded an additional $20,000 for the Helping Home Fund. The program does not require a match and is a companion program to Weatherization Program. These funds pay for new HVAC systems, appliances, water heaters, and various other health and safety repairs in the homes of qualified applicants. This program has allowed the county to Weatherize some homes that would have otherwise been deferred and provided needed appliances for low income, elderly and disabled clients. To date, staff has expended almost all of the previous grant serving 11 households. The repairs include 6 HVAC replacements, 1 HVAC repair, 3 water heaters, 2 washers, 2 dryers and 2 stoves.

REQUESTED ACTION:
Motion to adopt the budget amendment.

EXPECTED LENGTH OF PRESENTATION:
1 Minute

SUBMITTED BY:
Kelly Sifford, AICP
Planning and Development Director

BUDGET AMENDMENT REQUIRED:
Yes

COUNTY MANAGER'S RECOMMENDATIONS/COMMENTS:

ATTACHMENTS:

- Budget Amendment

Budget Revision/Amendment Request

Date: 20-Jun-22 **Amount:** 20,000.00

Dept. Head: Kelly Sifford **Department:** Community Development

☐ **Internal Transfer Within Department** ☐ **Transfer Between Departments/Funds** ☑ **Supplemental Request**

Allocate additional funding received from Duke Energy Carolinas.

Fund	Indicator	Department/ Object/ Project	Account Name	Approved Budget	Increase Amount	Decrease Amount	Revised Budget
001	6	3250-6376	Duke Energy Carolinas	32,000.00	20,000.00		52,000.00
001	9	3250-9493-DECHS	DEC Health & Safety	8,000.00	10,000.00		18,000.00
001	9	3250-9493-DECHV	DEC HVAC	24,000.00	10,000.00		34,000.00
						Total	104,000.00

Budget Officer

☐ Approved

☐ Denied

_____

Signature

_____

Date

County Manager

☐ Approved

☐ Denied

_____

Signature

_____

Date

Board of Commissioners

☐ Approved

☐ Denied

_____

Signature

_____

Date

CABARRUS COUNTY

BOARD OF COMMISSIONERS
WORK SESSION

June 6, 2022
5:30 PM

AGENDA CATEGORY:
Discussion Items - No Action

SUBJECT:
BOC - NCACC Annual Conference Update

BRIEF SUMMARY:
Staff will update the Board of Commissioners regarding plans for the upcoming North Carolina Association of County Commissioners annual conference.

REQUESTED ACTION:
Provide information only.

EXPECTED LENGTH OF PRESENTATION:
10 Minutes

SUBMITTED BY:
Mike Downs, County Manger

BUDGET AMENDMENT REQUIRED:
No

COUNTY MANAGER'S RECOMMENDATIONS/COMMENTS:

CABARRUS COUNTY

BOARD OF COMMISSIONERS
WORK SESSION

June 6, 2022
5:30 PM

AGENDA CATEGORY:
Discussion Items - No Action

SUBJECT:
BOC - NCACC County Legislative Goals

BRIEF SUMMARY:
Every two years, North Carolina Association of County Commissioners (NCACC) members engage in a process to determine the legislative goals that are in the best interest of counties. The NCACC goals-setting process begins in August of even-numbered years and consists of five stages: beginning with the solicitation of county proposals and ending with the adoption of the legislative agenda at the Legislative Goals Conference.

The submission deadline for legislative goals is September 30, and goals submitted by or before the deadline will be referred to a steering committee for review and consideration.

REQUESTED ACTION:
Receive input.

EXPECTED LENGTH OF PRESENTATION:
10 Minutes

SUBMITTED BY:
Lauren Linker, Clerk to the Board

BUDGET AMENDMENT REQUIRED:
No

COUNTY MANAGER'S RECOMMENDATIONS/COMMENTS:

ATTACHMENTS:

- Legislative Goals Handbook
- 2020 Submitted Legislative Goals

North Carolina
Association of
County Commissioners

Legislative Goals Handbook

Spring 2022

The NCACC Legislative Goals Process

Mission Statement

The Association's Legislative Goals process is thoughtful, deliberative, inclusive, and fair. The investment of time and energy, and value of full discourse, strengthens our Association as we advocate for counties. The process is designed to create an informed grassroots organization and to build a cohesiveness of purpose within the organization that, in turn, grants a degree of credibility to the Association. All counties and all county officials are invited and encouraged to participate in the Legislative Goals process.

CONTENTS

This handbook is intended to offer the reader an overview and guidance about the rules and processes used to develop the legislative agenda of the North Carolina Association of County Commissioners. Information is presented in a format that tracks the chronological course of action for the goals adoption process.

Page 4	Background & 2022-2023 Timeline
Page 5	Stage 1 — Seeking Goal Proposals
Page 6	Stage 2 — Steering Committee Review of Guiding Principles
Page 7	Stage 3 — Steering Committee Review
Page 8	Stage 4 — Legislative Goals Committee
Page 10	Stage 5 — Board of Directors Consideration
Page 11	Stage 6 — Legislative Goals Conference
Page 13	Guidance Outside of Legislative Goals Process

Background and 2022-2023 Timeline

Every two years, in the months preceding a long session of the General Assembly, the North Carolina Association of County Commissioners engages in a process to determine the legislative goals it should pursue in the best interest of the counties. The process is thorough, deliberative, and time intensive. It is designed to allow for input from as many county commissioners, county officials and stakeholders as possible. By maximizing participation from so many of the organization's members, it is possible to reach agreement on goals that are important to all members of this diverse organization.

NCACC goals-setting process begins in May of each even-numbered year and consists of six stages. These stages are described in detail in this handbook.

Below is the timeline for the 2022-2023 legislative goals process:

Legislative Goals Process Timeline	
When	**What**
May – September	Submission of county goal proposals
June	Review of Guiding Principles by Steering Committees (non-voting session)
Mid-September	Review and voting of goal proposals and Guiding Principles by Steering Committees
October	Legislative Goals Committee reviews Steering Committee recommendations, approves Core Values and package of goals for Board of Directors Board of Directors finalizes package to be presented to full membership
November	Membership adopts goals at Legislative Goals Conference

Stage 1 — Seeking Proposed Goals (May - September)

The Association's goals-setting process begins with an effort to solicit proposals that members think should be part of the county legislative agenda for the upcoming legislative biennium. The Association solicits proposals from county boards of commissioners. Suggested goals can be submitted by:

- adopted resolutions from full boards,
- a letter from Board Chairs on behalf of the full boards
- a letter from the president of an affiliate and related county organizations (which are groups of county officials/staff organized by function)

Affiliate Organizations include but are not limited to:

- Association of North Carolina Boards of Health
- N.C. Association of Assessing Officers
- N.C. Association of County Boards of Social Services
- N.C. Association of County Attorneys
- N.C. Association of County Clerks to the Board
- N.C. Association of County Directors of Social Services
- N.C. Association of Government Finance Officers
- N.C. Association of Emergency Medical Services Administrators (NCAEMSA)
- N.C. Association of Local Health Directors
- N.C. Association of Registers of Deeds
- N.C. Tax Collectors' Association

The Association casts a wide net to encourage inclusiveness and full membership participation. Discussion and action on proposed goals by full boards of commissioners is requested because this interaction contributes to the deliberative process and builds consensus.

Goal proposals must be submitted via the NCACC online form. Proposals should be in the form of a policy statement and include background information on the impetus of the proposal.

Stage 2 — Steering Committee Review of Guiding Principles (June)

The Steering Committees review guiding principles from each of the respective subject areas set forth by the Association, and these areas are outlined in the next section of the handbook. The guiding principles are general declarations of ongoing positions that give guidance on broad policy objectives, such as "no mandates without funding." These statements also guide the staff in dealing with unanticipated issues that arise in the legislative context or that affect the counties in other ways, as with proposed administrative rules and regulations or state agency policies.

Recommendations made by the Steering Committees in June will be voted on at Steering Committee meetings in September in conjunction with goals proposals.

Because Steering Committees are ongoing and have broad member participation, they are a critical first step in the Legislative Goals development process. The committees meet regularly and are available to review legislation during the legislative session; they are used to guide unanticipated legislative action and to recommend any actions that might be advisable to the NCACC Board of Directors for formal consideration and action. This issue is described in greater detail in a later section included in this handbook.

Stage 3 — Steering Committee Review (Mid-September)

The Steering Committee review of goal proposals is the first step in the legislative goals development process. The Association has seven Steering Committees, organized by subject matter. These are permanent, standing committees. Membership on Steering Committees is open to any county official – elected, appointed or administrative; chairs are appointed by the Association President following each Annual Conference. The Steering Committees are:

- Agriculture
- Environment
- General Government
- Health and Human Services
- Justice and Public Safety
- Public Education
- Taxation and Finance

Proposed goals are sorted according to subject matter by NCACC staff and referred to the appropriate Steering Committees for review. Steering Committees may hear from county officials who submit goal proposals and may review staff research and analysis. The participation of county staff on Steering Committees provides professional expertise that can be critically important when Steering Committees deliberate. Though staff expertise is critical, particularly at this early stage, it is ultimately elected county commissioners who will decide the legislative goals package as the goals-setting process moves forward.

During the goal setting process the Steering Committee members are asked to make specific recommendations and take action on each submitted goal. Committee actions include:

- Favorable – A goal is approved to send to the Legislative Goals Committee for further discussion and consideration.
- Amend – The committee may revise or amend a proposal.
- Unfavorable – The committee declines to send the goal forward.
- Needs Further Study – The committee has insufficient information to make an informed decision and requests that the sponsors either do further research or bring back answers to particular questions at a later date.
- Motions must be approved by a two-thirds majority of members present. Only county commissioners present at the meeting may vote.

The committees are empowered to develop their own suggested goals, as needed. Each committee submits its proposed goals to the Legislative Goals Committee. Prior to the meeting of Steering Committees, NCACC staff may consolidate similar proposals and put forth proposed language for consideration.

Stage 4 — Legislative Goals Committee (October)

The Legislative Goals Committee is a non-standing committee. The committee membership is traditionally no more than 35 members. The committee is composed of county commissioners who are nominated and selected by the President. Members may nominate others or themselves. The committee is newly appointed every two years and meets as needed. Members are selected to ensure balance with respect to political affiliation, county population, race, and gender to accurately reflect the diversity of Association membership. Two co-chairs, a Republican and a Democrat, are appointed by the NCACC President to lead the Legislative Goals Committee.

The members of the Legislative Goals Committee include:

- Legislative Goals Committee Chairs
- Steering Committee Chairs
- NCACC Board of Trustees Chair or their designee
- An elected commissioner from each of the Association's 18 districts
- Other members as appointed by the President

The Legislative Goals Committee reviews the recommendations of the Steering Committees. Steering Committee chairs present their committees' recommendations and relay the committee discussion regarding each proposal. The county officials who want to advocate for their proposals are allowed to make presentations to the Legislative Goals Committee. The committee may also review research and analysis related to the proposals provided by NCACC staff.

The Legislative Goals Committee may and is encouraged to narrow the list of proposals. It also reconciles conflicts or duplication between Steering Committee recommendations and prioritizes its recommendations. The Goals Committee may rank goals in a priority order and may also select a limited number of priority goals to assist in focusing the Association's legislative efforts. The proposals and guiding principles are then submitted to the Board of Directors for consideration. Goals forwarded to the Bord of Directors must receive a two0thirds majority vote by the Legislative Goals Committee.

Core Values Statement Review

The Goals Committee is also charged with reviewing the Association's core value statement. This statement provides fundamental policy guidance regarding the Association's advocacy efforts. The Goals Committee may review, evaluate, and make suggested changes to periodically update these core values to recognize changing advocacy environments. The committee shall include the core values statement along with its recommendations to the Board of Directors for inclusion in the goals package to be presented to the full membership.

Stage 5 — Board of Directors (October)

As the Association's goal-setting process moves forward, the elected county commissioners become more involved in the decision-making process. The Board of Directors is almost exclusively elected commissioners, with the one exception of a non-voting county manager, and the Executive Director.

At its October meeting, the board reviews the recommendations of the Legislative Goals Committee. As is customary during earlier stages of the process, the board may hear presentations, review research and analysis, and add, delete, or amend proposals to the core values and guiding principles statements.

Goal proposals approved by the board must receive a two-thirds majority vote.

The board gives final approval to a package of goal proposals, Association core values, and guiding principles that are to be voted on by the full membership at the Legislative Goals Conference in October. This process provides individual county boards of commissioners' time and opportunity for a full review prior to the conference.

Stage 6 — Legislative Goals Conference (November)

The final stage of the Association's Legislative Goals process is the Legislative Goals Conference, to which all Association members are invited. Historically, more than 85 counties have been represented. The goals conference is conducted according to rules designed to encourage member participation and consensus.

Goals Voting Process and Procedures

- *Prior to the conference:*
  - NCACC staff coordinate with the President, the Legislative Goals
  - Committee Chairs and the parliamentarian to review the voting process and procedures.
  - Every member county appoints a voting delegate. A letter requesting notification of the county's voting delegate shall be sent from the Association to each county.

- *At the conference:*
  - Voting delegates register to obtain appropriate voting credentials.
  - Every county in attendance has one vote. The voting delegate can be any county official, including non-elected officials, and a county may choose an alternate. No proxies are allowed.
  - Goals are presented en bloc by each Steering Committee subject category. Goals Committee Chairs present the goals to the membership. The Association President or presiding officer is responsible for action.
  - All motions will be ruled on by the Association President or presiding officer.
  - The President of the North Carolina Association of County Commissioners will appoint a parliamentarian for the conference.
  - Upon motion of any voting delegate, any individual goal proposal can be set aside for detailed discussion.
  - Two-thirds majority votes are required to approve or alter the proposed goals.
  - Following approval of the goal proposals, members will be asked to select five priority goals. These represent goal proposals that address the most critical need of counties.
  - Pursuant to Article VIII, Section Three of the NCACC Constitution the latest edition of Robert's Rules of Order shall be the parliamentary authority on questions not covered by the Constitution or by this handbook.

Conclusion

All goals and policies approved at the Legislative Goals Conference are included in the official NCACC legislative agenda. The official document containing the Association's core values, legislative goals and guiding principles shall be mailed to all 100 counties and presented to each member of the North Carolina General Assembly, to the Governor, and to other executive branch leaders.

Guidance Outside of Legislative Goals Process

Throughout the legislative biennium, new issues will arise that were not anticipated or considered during the organization's legislative goals process. The Association Steering Committees have the authority and responsibility to study new issues, to research and analyze the effect or implications of proposed legislation, and to make recommendations to the NCACC Board of Directors. Any such action is communicated on a regular basis to the Association members.

Upon recommendation of the Legislative Goals Committee Chairs, the committee may meet between the legislative long and short sessions, to review goal progress and make suggestions to the board related to goal priorities, especially given an ever-changing legislative environment.

North Carolina Association of County Commissioners

323 West Jones Street, Suite 500
Raleigh, North Carolina, 27603

919-715-2893
www.ncacc.org

Cabarrus County Board of Commissioners
2020-2021 Legislative Goals

Unfunded Mandates

1. Request Federal and State Legislatures to avoid passing any legislation that results in unfunded mandates for local governments.
   A. Provide additional funding for Human Services, Public Schools, and Jails to meet the current needs of the county.
   B. Maintain or increase current levels of Medicaid Funding.

Local Option Revenues

1. Provide additional opportunities for local option revenues.
   A. Flexibility in sales tax revenues.
   B. Support counties efforts to increase local revenues. When appropriate allow requests to move forward pending local voter approval.
   C. Authorize all local option revenue sources that have previously been given to other counties.
   D. Require state administrative offices to provide sales tax information when requested by counties for budgeting purposes.
   E. Reinstate sales tax exemption for school systems.

Collective Bargaining

1. Oppose collective bargaining for all state and local government employees.

Schools

1. Oppose any shift of charter school capital funding to counties.
2. Support the adjustment of local contributions to match the services that charter schools are required to provide.
3. Return proceeds from the North Carolina Education Lottery Funds to their original 40% of the total proceeds going to counties for school capital needs.
4. Reinstate full funding for school growth based Average Daily Membership. (ADM)
5. Support high quality broadband connectivity for all counties.

Human Services

1. Revise and make appropriate adjustments to County MOU requirements in the performance measures required by HB630. The DSS performance measures should match federal requirements; concessions should be made for extenuating circumstances beyond a DSS' control related to court system, mental health services, and client cooperation; and DSS' need reliable data reports and access to track performance measures.
2. Advocate for increased funding for Adult & Aging Services to support Adult Protective Services and Guardianship.
3. Advocate for hold harmless provisions and staggered payment plans to control/cap the liability to counties under the Medicaid and NCHC Overpayment recoupment plan which holds counties financially responsible for the erroneous issuance of Medicaid benefits and Medicaid claims payments resulting when the county DSS takes any action that requires

payment of Medicaid claims for an ineligible individual...the Division will recoup from the county any amounts paid relating to deductibles, co-pay, co-insurance, premiums and PML as a result of the erroneous eligibility and/or incorrect calculation of the PML. Adult Medicaid and Long Term Care cases could result in substantially large paybacks and cause undue hardship on counties with only 60 days to recoup payment. Some counties are opting to purchase liability insurance.

4. Advocate for more Child Care Subsidy funding to address waiting lists and for the state to utilize federal block grants for the intended purpose and not supplant federal dollars for state dollars (ex. In the short session the General Assembly supplanted $50m of Child Care Development Block Grant funds for other purposes, which reduced the number of subsidy slots for addressing day care subsidy waiting lists in counties).

General Legislation

1. Support local citizen involvement by requiring a local referendum prior to legislative actions to change existing procedures for electing county commissioners, ie. creating districts, territories, etc.
2. Study the impact to local government finances of exempting nonprofits from the requirement of paying property taxes and review possible payment in lieu of taxes requirements.
3. Improve the Tier rating system by allowing smaller towns and cities located in Tier Three counties to compete for all available grants by creating split tiered counties.
4. Change North Carolina Rural Center's grant/loan award criteria to more closely match the USDA Rural Development aid requirements – specifically related to prohibition against aid to municipalities in Tier 3 counties.

Medicaid

1. Pursue Medicaid reimbursement options for Community Paramedic services.

Board of Elections

1. Support the creation of larger voting districts'
2. Allow counties to reduce the amount of operational voting precincts.
3. Continue to permit early voting districts.
4. Support flexibility for local Boards of Elections to re-organize precincts in order to create more uniform precinct sizes.

Mental Health

1. Request to revisit and reexamine the current North Carolina Certificate of Need (CON) law, which prohibits health care providers, including mental health facilities, from acquiring, replacing or adding to their facilities without the prior approval of the Department of Health and Human Services. Exploration of the CON law would reveal limitations associated with available services, restrictions based on provider geographic location and the most cost effective and efficient service provisions. By reviewing and making necessary revisions to the CON law, it would allow providers to increase capacity through site expansion, increase bed availability and more adequately meet the needs of residents.

2. Recommend the creation of a Medicaid opt-in program, which would allow residents of North Carolina to choose Medicaid through a pay for premium based system. This recommendation is based on the limitation of commercial insurance services provided in the areas of advanced mental health access.

Early Childhood Education

1. Request for additional funding to support early childhood education programs.

Environmental

1. Protect Soil & Water Conservation Grants and/or funding streams per the "2016 Policies, Positions, & Actions Items".

Library System

1. Support legislation to restore state aid funding of public libraries to the pre-2011 level of $15.7 million and eliminate special provisions that distribute state aid outside of the equitable formula developed by the state library system.

CABARRUS COUNTY

BOARD OF COMMISSIONERS
WORK SESSION

June 6, 2022
5:30 PM

AGENDA CATEGORY:
Discussion Items - No Action

SUBJECT:
Cabarrus Cooperative Extension - Agribusiness and Environmental Conservation Field Days

BRIEF SUMMARY:
The Cabarrus County Center of NC Cooperative Extension staff will give an update on the involvement of our staff, volunteers and community partners, to increase agricultural awareness at the Cabarrus County Fair.

REQUESTED ACTION:
Receive update.

EXPECTED LENGTH OF PRESENTATION:
20 Minutes

SUBMITTED BY:
Tracy LeCompte, Cooperative Extension Director

BUDGET AMENDMENT REQUIRED:
No

COUNTY MANAGER'S RECOMMENDATIONS/COMMENTS:

ATTACHMENTS:

- Agribusiness Days Reimagined

In order to meet the needs of a growing middle school population, promote agriculture throughout the school year, and make adjustments for the well-being of volunteers, staff, students and educators, Cabarrus Cooperative Extension is moving forward with the plan to host an Agricultural and Environmental Field Day Event at a time other than during the physical operation of the Cabarrus County Fair.

Details:

- To Be held April 4-6, 2023 at Cabarrus Arena & Event Center
- Open to all 6th grade students in Cabarrus County (all schools welcome ~2000+ students)
- Youth will participate in hands-on activities related to animal science, horticulture, soil and water conservation, food & nutrition and agricultural technology.

Planning:

The logistics of how this event will run will be determined by a planning committee with representation from all invested partners.

Benefits:

- Will allow more space for participating students and presenters to spread out for adequate interaction space.
- Increase safety for animal interaction for participants.
- Allow Extension staff, volunteers and community partners to engage more in the normal open hours of the fair.

Concerns	Solutions
Agricultural growers and producers will have responsibilities for planting and animal husbandry at that time that may conflict with availability for presenters.	Stronger Partnership with local FFA programs to allow high school youth to showcase school animals.
May have increased costs for set up and equipment use. Cost for arena staff and equipment.	Seeking donors, sponsors, and grants.
Spring is a busy time of year for schools and educational programs with Cooperative Extension	Set the date early enough for everyone to hold dates on calendars.

Partners & Associated Groups:

Cabarrus Cooperative Extension, Cabarrus County Fair, Cabarrus County Schools, Extension Community Association, Extension Master Gardener Volunteers, Cabarrus 4-H Youth Development, Cabarrus Extension Advisory Leadership Council, Cabarrus Soil & Water Conservation District, Mt. Pleasant FFA, Cabarrus Cattlemen's Association

CABARRUS COUNTY

BOARD OF COMMISSIONERS
WORK SESSION

June 6, 2022
5:30 PM

AGENDA CATEGORY:
Discussion Items - No Action

SUBJECT:
County Manager - Northwest High School Replacement Design

BRIEF SUMMARY:
The County's Capital Improvement Plan (CIP) allocated funding in FY22 for the design of the Northwest High School replacement. Additional funding is not currently needed; however, given the overall project cost has increased it is anticipated additional design funds would be needed to construct the school. CCS staff will brief the board on the project and anticipated costs.

REQUESTED ACTION:
Receive input.

EXPECTED LENGTH OF PRESENTATION:
5 Minutes

SUBMITTED BY:
Rodney Harris, Deputy County Manager
Brian Cone, CCS Director of Architecture, Planning, and Construction

BUDGET AMENDMENT REQUIRED:
No

COUNTY MANAGER'S RECOMMENDATIONS/COMMENTS:

CABARRUS COUNTY

BOARD OF COMMISSIONERS
WORK SESSION

June 6, 2022
5:30 PM

AGENDA CATEGORY:
Discussion Items - No Action

SUBJECT:
County Manager - Southeast Library and Senior Center Site Selection

BRIEF SUMMARY:
In order to replace the Harrisburg branch library, along with adding a new senior center, the County needs suitable land in the southeast. Staff have identified several options that can meet the county's needs. Board input is needed on the location before entering into formal negotiations for the desired site.

REQUESTED ACTION:
Provide input.

EXPECTED LENGTH OF PRESENTATION:
15 Minutes

SUBMITTED BY:
Rodney Harris, Deputy County Manager
Kyle Bilafer, Area Manager of Operations

BUDGET AMENDMENT REQUIRED:
No

COUNTY MANAGER'S RECOMMENDATIONS/COMMENTS:

ATTACHMENTS:

- Harrisburg Area Site Options

Future Southeast Library and Senior Center Location Options

Board of Commissioners

June 6, 2022

CABARRUS COUNTY
America Thrives Here

Harrisburg Town Center

Site Positives
High visibility
Proximity to residential
Master stormwater
Master roadway

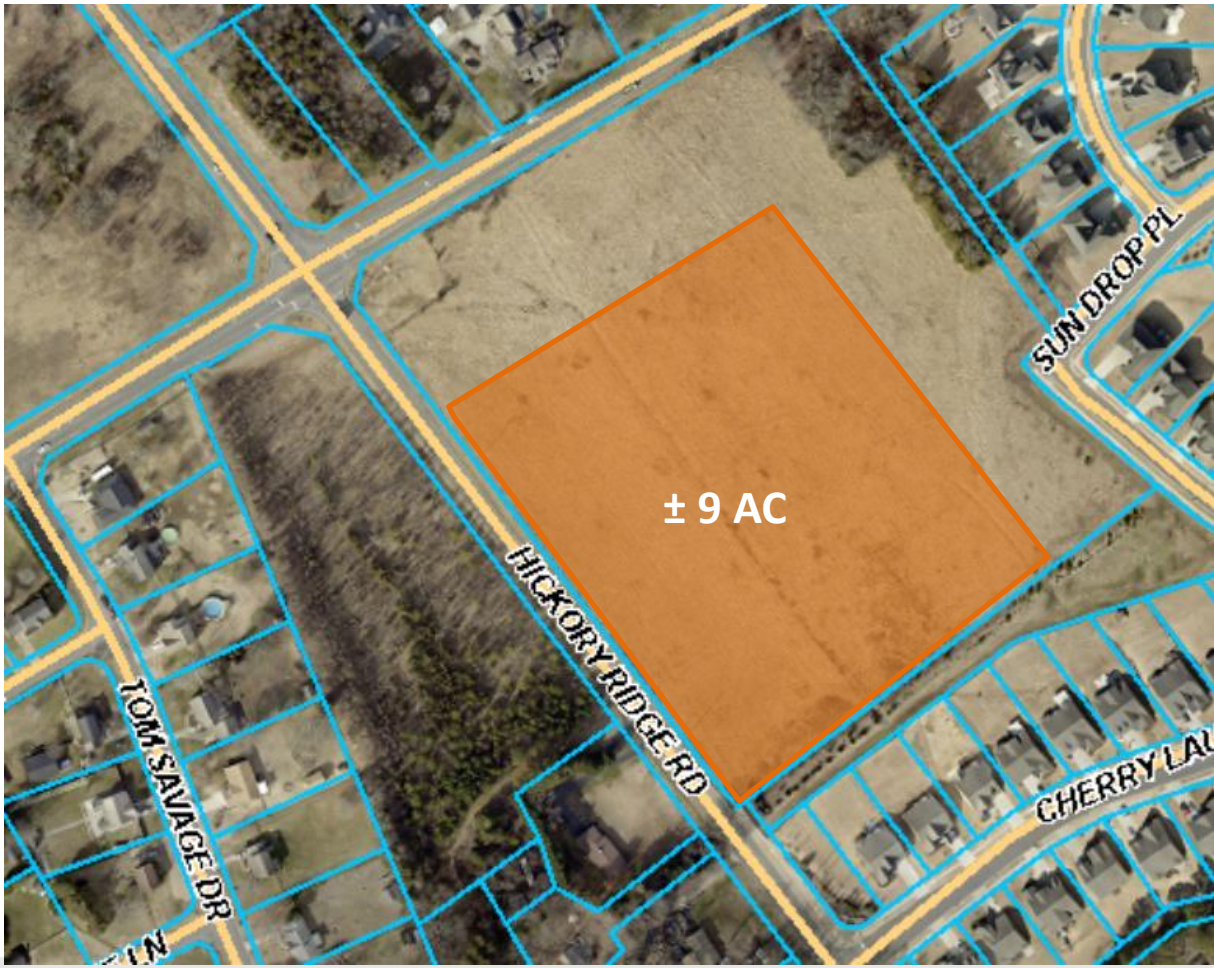
Site Negatives
Narrow building footprint
Limits outdoor amenities
Cost per acre
Parking
Less proximity to SE Cabarrus



Hickory Ridge and Rocky River Rd

Site Positives
High visibility
Replace residential
Proximity to SE Cabarrus
Proximity to residential

Site Negatives
Land lease
Stormwater costs
Roadway costs



Rocky River Rd and McMillan Dr

Site Positives
Land cost
Proximity to SE Cabarrus
Outdoor amenity potential

Site Negatives
Less visibility
Topography
Stormwater costs
Roadway costs



Hickory Ridge and Rocky River Rd

Site Positives
High visibility
Topography
Proximity to SE Cabarrus
Proximity to residential

Site Negatives
Stormwater costs
Roadway costs



CABARRUS COUNTY

BOARD OF COMMISSIONERS
WORK SESSION

June 6, 2022
5:30 PM

AGENDA CATEGORY:
Approval of Regular Meeting Agenda

SUBJECT:
BOC - Approval of Regular Meeting Agenda

BRIEF SUMMARY:
The proposed agenda for the June 20, 2022 regular meeting is attached.

REQUESTED ACTION:
Motion to approve the agenda for the June 20, 2022 regular meeting as presented.

EXPECTED LENGTH OF PRESENTATION:
1 Minute

SUBMITTED BY:
Lauren Linker, Clerk to the Board

BUDGET AMENDMENT REQUIRED:
No

COUNTY MANAGER'S RECOMMENDATIONS/COMMENTS:

ATTACHMENTS:

- Approval of Regular Meeting Agenda

CABARRUS COUNTY

BOARD OF COMMISSIONERS
REGULAR MEETING

June 20, 2022
6:30 PM

MISSION STATEMENT

THROUGH VISIONARY LEADERSHIP AND GOOD STEWARDSHIP, WE WILL ADMINISTER STATE REQUIREMENTS, ENSURE PUBLIC SAFETY, DETERMINE COUNTY NEEDS, AND PROVIDE SERVICES THAT CONTINUALLY ENHANCE QUALITY OF LIFE

CALL TO ORDER BY THE CHAIRMAN

PRESENTATION OF COLORS

INVOCATION

A. APPROVAL OR CORRECTIONS OF MINUTES

1. Approval or Correction of Meeting Minutes

B. APPROVAL OF THE AGENDA

C. RECOGNITIONS AND PRESENTATIONS

1. Active Living and Parks - July Park and Recreation Month Proclamation
2. Human Resources - Recognition of Senior Parks Program Manager Perry Gabriel on His Retirement from Cabarrus County Government

D. INFORMAL PUBLIC COMMENTS

E. OLD BUSINESS

F. CONSENT AGENDA

(Items listed under consent are generally of a routine nature. The Board may take action to approve/disapprove all items in a single vote. Any item may be withheld from a general action, to be discussed and voted upon separately at the discretion of the Board.)

1. Active Living and Parks - Cox Mill Easement Request from Concord Parks and Recreation
2. Active Living and Parks - Matching Incentive Grant Update Proposal

3. Appointments - Board of Equalization and Review
4. Appointments - Centralina Workforce Development Board
5. Appointments - Mount Pleasant Planning Board and Board of Adjustment (ETJ)
6. Appointments - Public Health Authority of Cabarrus County
7. Appointments - Transportation Advisory Board
8. Appointments and Removals - Juvenile Crime Prevention Council
9. Appointments and Removals - Tourism Authority of Cabarrus County
10. Appointments (Removals) - Adult Care Home Community Advisory Committee
11. Appointments (Removals) - Cabarrus County Youth Commission
12. Cabarrus County Tourism Authority - FY2023 Budget Approval
13. Cabarrus Regional Chamber of Commerce - Funding for Edge Factor
14. County Manager - Adoption of the New Retention and Disposition Schedule for North Carolina
15. County Manager - Northwest High School Replacement Design
16. DHS - FY23 HCCBG (Home and Community Care Block Grant) Funding Plan
17. Human Resources - Personnel Ordinance Updates
18. Legal - Ad Hoc Amendment to Central Area Land Use Plan Interlocal Agreement for 3535 Katrina Avenue, Further Identified as PIN 5641-70-7417
19. Planning and Development - Budget Amendment to Allocate Newly Awarded Duke Helping Home Fund Revenues and Expenses
20. Tax Administration - Refund and Release Reports – May 2022

G. NEW BUSINESS

1. County Manager - Adoption of the FY23 Budget

H. REPORTS

1. BOC - Receive Updates from Commission Members who Serve as Liaisons to Municipalities or on Various Boards/Committees
2. BOC - Request for Applications for County Boards/Committees
3. Budget - Monthly Budget Amendment Report
4. Budget - Monthly Financial Update
5. County Manager - Monthly Building Activity Reports
6. County Manager - Monthly New Development Report
7. EDC - May 2022 Monthly Summary Report

I. GENERAL COMMENTS BY BOARD MEMBERS

J. WATER AND SEWER DISTRICT OF CABARRUS COUNTY

K. CLOSED SESSION

L. ADJOURN

Scheduled Meetings

July 5	**Work Session**	**4:00 p.m.**	**Multipurpose Room**
July 18	**Regular Meeting**	**6:30 p.m.**	**BOC Meeting Room**
July 20	**Cabarrus Summit**	**6:00 p.m.**	**Cabarrus Arena**
August 1	**Work Session**	**4:00 p.m.**	**Multipurpose Room**
August 15	**Regular Meeting**	**6:30 p.m.**	**BOC Meeting Room**

Mission: Through visionary leadership and good stewardship, we will administer state requirements, ensure public safety, determine county needs, and provide services that continually enhance quality of life.

Vision: Our vision for Cabarrus is a county where our children learn, our citizens participate, our dreams matter, our families and neighbors thrive, and our community prospers.

Cabarrus County Television Broadcast Schedule
Cabarrus County Board of Commissioners' Meetings

The most recent Commissioners' meeting is broadcast at the following days and times. Agenda work sessions begin airing after the 1st Monday of the month and are broadcast for two weeks up until the regular meeting. Then the regular meeting begins airing live the 3rd Monday of each month and is broadcast up until the next agenda work session.

Sunday - Saturday	**1:00 P.M.**
Sunday - Tuesday	**6:30 P.M.**
Thursday & Friday	**6:30 P.M.**

In accordance with ADA regulations, anyone who needs an accommodation to participate in the meeting should notify the ADA Coordinator at 704-920-2100 at least forty-eight (48) hours prior to the meeting.