



Agenda

1. Call to Order
2. Pledge of Allegiance
3. Invocation
4. Adjustment and approval of February 1, 2022 meeting agenda

PUBLIC COMMENT PERIOD

Notes on the Public Comment Period - Each speaker may speak up to 3 minutes, and the total comment period will be 15 minutes or less. Citizens should sign up with the Town Clerk to speak prior to the start of the meeting. Although the Council is interested in hearing your concerns, speakers should not expect Council action or deliberation on subject matter brought up during the Public Comment segment. Topics requiring further investigation will be referred to the appropriate town officials or staff and may be scheduled for a future agenda. Thank you for your consideration of the Town Council, staff, and other speakers.

REQUESTS AND COMMUNICATIONS

5. LaunchHOLLYSPRINGS Update

CONSENT AGENDA

6. Approve the minutes of the January 11, 2022 workshop meeting and the January 18, 2022 Business meeting.
7. Adopt Updated Records Retention Schedules

PUBLIC HEARINGS

8. D1 Training Special Exception Use 21-SEU-07 - Quasi-Judicial Hearing

NEW BUSINESS

9. Holly Springs Road Widening - Phase 2 (Transportation Bond) Project - Construction Contracts

UNFINISHED BUSINESS

10. Park Ordinance Amendment Regarding Professional Photography in Public Parks

OTHER BUSINESS

MANAGER'S REPORT

CLOSED SESSION -

ADJOURNMENT

In accordance with ADA regulations please contact the Town Clerk's office at least 48 hours before the meeting to request an auxiliary aid or service needed to participate in this meeting:

linda.mckinney@hollyspringsnc.gov 919-557-3900



Holly Springs Town Council

Town Council Meeting Agenda Cover Sheet

Agenda Item#: 5.

Requests & Communications

Title: LaunchHOLLYSPRINGS Update

Strategic Priority Area: Economic Prosperity & Diversity

Staff Resource: Linda McKinney, Town Clerk

Action(s):

Receive report.

Explanation:

- Recieve an update from Bob Shimmel, director of LaunchHOLLYSPRINGS on the efforts of the program over the past year and outline current and upcoming program efforts.

Background:

- LaunchHOLLYSPRINGS is a community-based program, chartered by Holly Springs Rotary Club, helping local entrepreneurs with limited access to resources to start and/or grow successful companies.
- The program specializes in serving underfunded, women, or minority-owned businesses.
- The Town has provided grants of \$1000 per year over the last several years, and a member of the Town's Economic Development Department has a seat on the board.

Funding Source(s):

N/A

Attachment(s):

None



Holly Springs Town Council

Town Council Meeting Agenda Cover Sheet

Agenda Item#: 6.

Consent Agenda

Title: Approve the minutes of the January 11, 2022 workshop meeting and the January 18, 2022 Business meeting.

Strategic Priority Area: Organizational Excellence

Staff Resource: Linda McKinney, Town Clerk

Action(s):

Approve the minutes of the Council's workshop meeting held January 11, 2022 and the Business meeting held January 18, 2022.

Explanation:

- Minutes in draft form are attached for the Council's review.
- If there are any corrections, please call the Town Clerk at 919-557-3900 in advance of Tuesday night's meeting so that corrected versions of the draft minutes can be circulated for review before adoption of the Consent Agenda.

Background:

Funding Source(s):

N/A

Attachment(s):

1. 1.11.22 workshop minutes-DRAFT
2. 1.18.22 minutes_draft



MINUTES

The Holly Springs Town Council held a workshop meeting on Tuesday, January 11, 2022 at the Law Enforcement Center and via livestream. Mayor Mayefskie presided, calling the meeting to order at 6:00 p.m. A quorum was established as the Mayor and four Council members were present as the meeting opened, and one Council member was present via livestream.

Council Members Present in the room: Mayor Sean Mayefskie, Mayor Pro Tem Dan Berry, and Council members Aaron Wolff, Timothy Forrest, and Kristi Bennett. Council Member Shaun McGrath participated via livestream.

Council Members Absent: None.

Planning Board Members Present: Thomas Urquart, Ernie Carpico, Joanna Holder, Van Crandall, Chris Deshazor, and Rick Madoni

Staff Members Present: Randy Harrington, Town Manager; Daniel Weeks, Assistant Town Manager; Corey Petersohn, Administration; Jeff Wilson, IT Director; John Schifano, Town Attorney; LeeAnn Plumer, Director Parks and Recreation; Chris Hills, Director, Development Services; Sean Ryan, Development Services; Cheryl Caines, Development Services; Kendra Parrish, Executive Director, Utilities and Infrastructure; Aaron Levitt, Utilities and Infrastructure, Matthew Mutter, IT, and Kathy White, Deputy Town Clerk (recording the minutes); Scott Chase, Assistant Town Manager participated via livestream.

1. Overview: Randy Harrington, Town Manager, gave an overview of the meeting agenda.

2. Comprehensive Transportation Plan (CTP) Policy

Sean Ryan, Development Services, said the purpose of this item is to Update the Council on the progress of the Comprehensive Transportation Plan (CTP) and Traffic Assessment Policy update, and highlight the next steps. He introduced Kristina Whitfield and Kevin Dean from Kimley Horn. Ms. Whitfield said the development of the CTP represents a collaborative effort to establish a vision for the Town's transportation network, and identify a coordinated set of multimodal projects to achieve it. She discussed the past 15 months of work and 25 various community and stakeholder engagements involved in the planning process, including analyzing socioeconomic conditions, creating a vision and set of goals, and prioritizing those goals. They plan on submitting the final report to the Council to be formally adopted in April of 2022. She then introduced Kevin Dean, who continued the presentation by discussing the Traffic Assessment Policy. He gave a typical Traffic Impact Analysis (TIA) process overview, explained the three different tiers and volume development methodology. He explained the difference in having the Town's Consultant versus a Developer's Consultant prepare a TIA. He then explained how they tie in the various TIA's together, so that they consider future buildout areas and potential traffic issues that may arise. He discussed why they use a mile radius as the standard for the TIA.

Discussion continued on the difference between having a Town's Consultant conduct the TIA versus a Developer's Consultant. Chris Hills, Director, Development Services, explained the

potential for a conflict of interest in having a Developer's Consultant, and the benefits of having a Town hired consultant, because they will have a consistent reviewer. He pointed out that they would also have a few consultants on call, to avoid a conflict of interest. Mr. Dean also explained that whichever consultant is used, the Town doesn't pay for the TIA, the Developer does. Council member Wolff said hiring a consultant allows for ongoing institutional knowledge of the Town as they conduct analyses.

Discussion continued debating the advantages and disadvantages of having the Developer hire a Consultant versus the Town hiring the Consultant. The current process is the TIA is prepared by the Developer's Consultant. Tonight, staff is not asking for a decision from the Council, but they would like to adopt the policy in mid-April. It was decided that staff will reach out to other communities who have switched to the alternate method and report back to Council at the March Workshop.

3. Northeast Gateway

Cheryl Caines, Development Services, said the purpose of this item is to update the Council on the Northeast Gateway Master Plan. She explained that the tonight's presentation includes an overview of the existing conditions, analysis and discussion on the area issues, priorities, and potential future development types. She introduced Jackie Wells from Houseal Lavigne Associates, who gave an overview of the project, showing the area of the Northgate Master Plan. They've received community feedback through an online questionnaire. She then discussed the existing conditions, the Land Use and Character Plan, transportation considerations, and infrastructure considerations.

Discussion opened with questions regarding how the online questionnaire worked. Ms. Wells explained that it was put out on the Town's social media platform, and more feedback will come at the public meeting to be held on January 12th. They discussed how traffic from the new 540 Highway will impact the area, as well as how traffic on Holly Springs Road will be increased. They discussed the importance of keeping land for parks and recreation use, and not just high-density usage.

Ms. Wells continued the presentation by explaining the three key opportunity sites, and then described the different types of dwellings to consider; single family, duplex and multi-unit residential properties. She also described mixed use, commercial and office/corporate campus buildings. Discussion continued on the different zonings in the area, and how they would change from the existing land use to Mixed Use Center and Regional Center.

Ms. Wells said the next steps are a Visioning Workshop on January 12th, then they'll begin the preliminary land use plan in winter/spring of 2022, and draft the master plan in the spring/summer of 2022.

4. Holly Springs Road Phase II

Kendra Parrish, Utilities & Infrastructure, outlined the options that could address the funding gap associated with the Holly Springs Road Phase II Bids. She started by giving some background on the project and the original bid opening and how, due to increased construction costs, there is a funding gap of \$18.5 million. She then explained the two options that she would like Council to consider. Option 1 keeps everything within the Transportation Bond, using T-Bonds and existing grants. Option 2 uses Transportation Bonds and other revenue sources to close the gap. She also explained that both options include grant funds that are available. With

Option 1, there is no impact to cash funds, but it could impact other transportation projects, because transportation bonds can only be used for transportation projects. Option 2 protects more of the transportation bond funds, but would impact the fund balance for other projects, such as utilities and other infrastructure.

Discussion continued on ARP funds and how they can be used. Randy Harrington, Town Manager explained that the Treasury Department has recently released some updates on flexibility on the restrictions, and staff is looking into how those funds can be used. Ms. Parrish explained that they are working with Congresswoman Deborah Ross to help navigate the ARP fund process.

Mr. Harrington explained that the bids are good through February 2nd, but the bid holder is willing to work with the Town to some extent. Aaron Levitt, Utilities and Infrastructure, said the low bidder is eagerly waiting for the Council's decision, but they understand the situation the Town is in. They're not looking to extend bid prices without some sort of negotiation.

Also discussed was how value engineering could be used to save money. It was explained that there wasn't anything that would make a large difference. Chad Beck, project engineer then gave some background on how the project was designed. He also explained that some value engineering changes have already been made.

The option of phasing this project to save funds for other projects was brought up and discussed. Mr. Beck explained that a temporary transition would just create another bottle neck further down the road from where it was widened as part of a first phase. Also, design change, permits, etc., would wind up costing more in the long run than this original plan. Ms. Parrish then explained the benefits of this project, such as pedestrian safety, school safety, etc. It was also explained that this bond referendum was approved by the residents, and they would be very disappointed if the project didn't go forward.

The Council decided that they prefer Option 1, using Transportation funds to close the funding gap.

5. 2022 Annual Retreat Planning

Randy Harrington shared a draft of the Retreat Agenda and explained what would be discussed over the three-day conference.

Corey Petersohn, Administration, reviewed the discussion held at the last workshop on the Strategic Plan, since it will be discussed at the Retreat. LeeAnn Plumer, Parks and Recreation spoke about the Parks & Recreation Master Plan. She discussed the findings, such as the demand for connected greenways, facilities expansion and diversification, and environmental awareness. Mr. Petersohn then explained the Preliminary Draft goals under the Engaged, Healthy & Active Community Opportunity areas.

OPEN DISCUSSION

Mayor Mayefskie said the Chamber's Economic Forecast scheduled for tomorrow in Fuquay-Varina has been changed to a virtual meeting.

Randy Harrington announced that the Triangle Community Coalition will be holding their annual "Coffee Discussion" on February 17th from 3-4 pm He invited two Council Members and the Mayor to attend the virtual meeting. Council members Aaron Wolff and Tim Forrest and Mayor Mayefskie said they would attend the meeting Mr. Harrington also said Cassie Hack, Communications Director, is available for training on media relations.

Closed Session: none.

5. Adjournment: There being no further business, Motion to adjourn was made by Mayor Pro Tem Berry seconded by Council member Wolff and passed with a unanimous vote. The January 11, 2022 Workshop meeting of the Holly Springs Town Council was adjourned at 8:35 pm.

Respectfully Submitted on Tuesday, February 1, 2022.

A handwritten signature in cursive script, reading "Kathryn L. White", is written over a solid black horizontal line.

Kathryn White
Deputy Town Clerk



MINUTES

The Holly Springs Town Council met in regular session on Tuesday, January 18, 2022. Mayor Mayefskie presided, calling the meeting to order at 7 p.m. A quorum was established as the Mayor and three Council members were present in the Chamber as the meeting opened.

Council Members Present in the room: Mayor Mayefskie, Mayor Pro Tem Dan Berry, Council members Timothy Forrest, and Kristi Bennet.

Council Member Present by electronic means: Council member Shaun McGrath

Council Members absent: Aaron Wolff

Staff Members Present in Chambers: Randy Harrington, *Town Manager*; Scott Chase, *Assistant Town Manager*; Daniel Weeks, *Assistant Town Manager*; Kathy White, *Deputy Town Clerk* (recording the minutes); Mathew Mutter, *IT*; Antwan Morrison, *Director, Finance*; Corey Petersohn, *Administration*; LeRoy Smith, *Fire Chief*; Joe Harasti, *Fire Department*; Chris Hills, *Director Development Services*; Cheryl Caines, *Development Services*; Elizabeth Goodson, *Development Services*; Sara Emig, *Utilities and Infrastructure*; LeeAnn Plumer, *Director, Parks and Recreation*; Austin Ohms, *Parks and Recreation*.

2. and 3. The Pledge of Allegiance was recited followed by an invocation by Father Chris Koehn, of St. Mary Magdalene Catholic Church.

4. Agenda Adjustment: The January 18, 2022 meeting agenda was adopted with changes, if any, as listed: none.

Motion: Berry

Second: Tim Forrest

Vote: Unanimous

Public Comment: At this time, an opportunity was provided for members of the audience who had registered to speak to address the Council, and the Clerk was asked for any written comments received prior to the meeting.

The following written comments were received: none.

The following comments were received in person: none.

RECOGNITIONS

5. 12U Boys and 12U Girls All-star Soccer Teams

Austin Ohms, Parks and Recreation, introduced the coaches and players of the 12U Boys and 12U Girls All-Star Soccer teams and congratulated them on winning the Statewide Athletics Committee state championship. The team members were presented with certificates.

6. Recognition of Holly Springs Fire Department Crew

LeRoy Smith, Fire Chief, introduced Mr. James Hardt who said he suffered cardiac arrest on December 7, 2020 and his heart stopped beating. His wife called 911, and the dispatcher instructed her on how to perform CPR until rescue personnel from Holly Springs Fire Department and Wake County EMS arrived and they performed life-saving interventions. He wished to publicly thank them

for saving his life. Raleigh-Wake 911 Dispatch Emily McPherson, Battalion Chief Hunter Byars, Captain Mike LeBeau, Engineer Michael Anderson, and Firefighters Brittany Cushine and Lawrence Grande all received commendations from Chief LeRoy Smith. Joe Harasti, Life Safety Educator explained the importance of knowing how to perform CPR, and that courses are offered by the Parks and Recreation Department.

Consent Agenda

The Council passed a motion to approve all items on the Consent Agenda. The motion carried following a motion by Mayor Pro Tem Berry, a second by Council Member Forrest and a unanimous vote. The following actions were affected:

7. Minutes – Council approved the minutes of the business meeting held January 4, 2022.

8. Sale of Surplus Skid Steer – The Council approved the sale of a surplus Skid Steer.

9. Engineering Design and Construction Standards Supplement #6 – The Council approved Supplement #6 updates to the Engineering Design and Construction Standards.

PUBLIC HEARINGS

10. Norris Crossing Rezoning 20-REZ-04

Chris Hills, Development Services, said that the applicant requested on January 13, 2022 that this hearing be tabled to the February 15, 2022 meeting of Town Council. Because the hearing was advertised, he requested that Mayor Mayefskie open the public hearing and continue it to February 15, 2022.

Mayor Mayefskie opened the public hearing.

JoAnna Holder, 101 Ocean Jasper Drive expressed concerns about the rezoning from an R10 to R8, such as cut throughs and bringing additional homes to the area. She believes this will create challenges for EMS services and residents having issues with access to the neighborhood.

Whitney Vargas, 304 Obsidian Drive, HOA president of Stonemont community, said neither she nor the HOA members have been contacted by the developer in order to allow them to express their concerns. She's concerned with traffic, the overcrowding and redistricting in the schools.

Action: Motion to continue the Public Hearing to February 15, 2022.

Motion by: Bennett

Second by: Forrest

Vote: unanimous

NEW BUSINESS

11. Park Ordinance Amendment Regarding Professional Photography in Public Parks

LeeAnn Plumer, Director, Parks and Recreation, said the purpose of this item was to review the policy regarding professional photography in Town Parks. She said that currently professional and amateur photography is permitted as long as areas are not restricted to general park users. Use of equipment such as props, lights, screens, etc. for photography is not permitted. The Town was contacted by photographers wanting clarification of the rules and requesting a way to get the

results the Town wants while still allowing them to use the park. The amendments will clarify the rules, allow accountability, and create a way for park staff to track data. She explained that there have been questions about whether the photographers need insurance. Since they haven't been able to get legal advice from the Town Attorney, that question remains unanswered.

Councilman Forrest said he would like to table this item to the February 1st meeting, to allow Town Attorney to provide legal advice on the insurance question. Mayor Pro Tem Berry asked Ms. Plumer to clarify the restrictions on props such as confetti, smoke bombs, and other litter generating materials, and wants to make sure that there is flexibility on how the ordinance is written and that staff can tailor those restrictions as needed. Mayor Mayefskie asked how the proposed \$100 permit fee compares with what other municipalities in the area charge. Ms. Plumer explained they surveyed smaller and larger municipalities in the Triangle area, and the \$100 annual permit fee was very much in line with other municipalities.

Action: Motion to table the item to the February 1, 2022 Meeting

Motion by: Forrest

Second by: Berry

Vote: unanimous

12. Americans with Disabilities Act Transition Plan

Sara Emig, Utilities and Infrastructure, introduced Harrison Wenchell from Stewart Engineering to present the draft ADA Transition Plan. He gave some historical context of the ADA, explaining that it was signed into law by President Bush in 1990. The ADA prohibits discrimination and guarantees that people with disabilities have the same opportunities as everyone else. Per Title II of the Act, municipalities must have a plan in place to accommodate those who may use public facilities. Federal transportation funding may be withheld unless there is an ADA Transition plan in place or in the works for the municipality. These requirements include compliant pedestrian ramps, sidewalks with truncated domes for those visually impaired and traffic signals with an audio component.

Mr. Wenchell then explained the ADA Planning stages. He said that they conducted facility evaluations around town, as well as conducted an online survey, and then gave results of the study and survey. Next, he explained the short-term, mid-term and long-term implementation priorities. He also stated that the ADA Transition Plan is a living document to be consistently updated and presented to the Town Council every 5 years. The Town will review the document at least once a year to identify the need for updates or additional information. Any substantial updates to the main body of the document will require a public comment period to satisfy Town public outreach efforts. Annual reviews of on-going monitoring and inspection of public facilities will correlate with development of the Capital Improvement Plan. After the approval and adoption of the Transition Plan by the Town Council, future steps would be to become ADA compliant under Title II.

Council member Forrest asked who the Town's ADA Coordinator is, and was told that Sara Emig is the interim coordinator until the Town fills the position with a full-time employee. They then discussed the funding of the ADA plan. The Town's budget for the ADA plan is budgeted at \$25,000 for this year, and \$30,000 for the next four years.

Council member McGrath asked since there is no direct ADA federal funding available, are there any other federal or state grants available? Mr. Wenchell explained that there aren't direct grants available, but the funds are usually built into existing programs that NC DOT has. The best way is to ensure that all new developments are built to ADA requirements. CM McGrath asked if ARP funds can be used for these improvements, Mr. Wenchell said he believed it could be but he would check.

Council Member Bennett asked if the Transition Plan would also include Town Programs, and not just to facilities. Mr. Wenchell said yes, the plan covers everything the Town provides its residents, whether it's accessibility to buildings, policies or programs.

Action: Motion to adopt the Americans with Disabilities Act (ADA) Transition Plan.

Motion by: Forrest

Second by: Bennett

Vote: unanimous

13. Annual Appointments to Planning Board and Board of Adjustment

Mayor Mayefskie said that there were two openings on the Board of Adjustment for in-town members, and three openings on the Planning Board for in-town members, as well as one partial term opening on the Planning Board for a member from the ETJ.

Mayor Pro Tem Berry said in light of the fact that the new UDO will combine the Planning Board and Board of Adjustments effective March 1, 2022, he's proposing the Council nominating six people off of the list and letting the individual boards decide how they dedicate the members.

Action 1: Motion to appoint Ernie Carpico, Thomas Urquart, Chanel Wilkins, Josh Prizer and Danielle Hewetson as members of the newly combined Planning Board for 3-year terms ending February 28, 2025.

Motion by: Berry

Second by: Forrest

Vote: unanimous

Action 2: Motion to recommend that Wake County Board of Commissioners appoint Duane Hansen as Extra Territorial Jurisdiction Member of the Holly Springs Planning Board with a term ending February 28, 2023.

Motion by: Berry

Second by: Bennett

Vote: unanimous

OTHER BUSINESS

Mayor Mayefskie said he attended the Wake County Mayor's Association meeting, and feels that Holly Springs is very fortunate to have a large number of volunteers to serve, and he thanks those who submitted applications. He informed everyone that the next Board of Adjustment meeting will be virtual on January 25th. He and Mr. Harrington will be attending the NC Transportation Summit Raleigh. Also, he, along with Council Members Bennett and Forrest attended the grand opening of ActiveTrax. Finally, he and Randy Harrington attended the MLK Celebration program last Sunday, and he felt the celebration was quite moving.

Council Member Bennett said tonight's meeting was another example of how great the Holly Springs community is with the soccer kids, and the Emergency Response Team.

Council Member McGrath thanked the IT department for their work on making the live streaming meetings so accessible. He also thanked the first responders recognized tonight, as well as those who helped with last weekend's ice storm, clearing trees and brush. He also thanked former and active members in the military who serve our country.

MANAGER'S REPORT

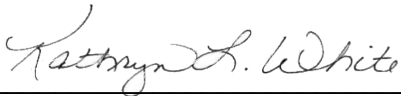
Randy Harrington, Town Manager, thanked the Police, Fire and Public Works crews for their efforts over the weekend during the storm. He also said the Parks & Recreation had a great event on Monday morning, making the care packages for healthcare workers. We'll be having the Horseshoe Rehabilitation event; more information will be coming soon.

He then said The Arbor Creek/Middle Creek greenway bid opening will be held tomorrow afternoon, and the Council will receive an update in their Friday briefing. Finally, he said the first meeting of the Police Citizen's Advisory Community group will be on Thursday at 7:00 pm at the Law Enforcement Center.

CLOSED SESSION: none.

Adjournment: Mayor Pro Tem Berry made a motion to adjourn at 8:32 pm. It was seconded by Council Member Tim Forrest and passed with a unanimous vote.

Respectfully Submitted on Tuesday, February 1, 2022.



Kathryn L. White, Deputy Town Clerk

Addenda pages as referenced in these minutes follow and are a part of the official record.



Holly Springs Town Council

Town Council Meeting Agenda Cover Sheet

Agenda Item#: 7.

Consent Agenda

Title: Adopt Updated Records Retention Schedules

Strategic Priority Area: Organizational Excellence

Staff Resource: Linda McKinney, Town Clerk

Action(s):

Adopt Resolution 22-01 adopting the General and Program Records Retention Schedules released by the Division of Archives and Records of the North Carolina Department of Natural and Cultural Resources.

Explanation:

- In November of 2021, the Division of Archives and Records released two updates to the records retention policy.
- The 2021 General Records Schedule will supersede the 2019 version upon adoption and includes updated records standards for the following:
 - Administration & Management
 - GIS
 - Information Technology
 - Public Relations
 - Budget/Fiscal/Payroll
 - Human Resources
 - Legal and
 - Risk Management
- The 2021 Program Records Schedule is a new retention schedule created from the former Municipal Records schedule and includes updated records standards for the following programs:
 - Code Enforcement/Inspection
 - Parks & Recreation
 - Law Enforcement
 - Animal Services
 - EMS/Fire Department
 - Planning and Development
- Changes include technical clean-ups, combining items from the previous separate schedules into the new general schedule (i.e. Agendas and Meeting Packets under "Planning" was discontinued, and is covered instead under the General Schedule Agendas and Meeting Packets) and the addition of standards for records not mentioned in the previous schedule (i.e. Flood Control: Flood Studies, and Recycling Water Records)
- Retention times for those records where the Division of Archives and Records allows municipalities to set their own time frames have been set in consultation with the Town Attorney and Department Heads.

- The schedules are attached for review.

Background:

- The North Carolina Department of Natural and Cultural Resources (DNCR), Division of Archives and Records, provides a records retention schedule for all agencies in North Carolina.
- These schedules are an agreement between the local government agencies and DNCR, serving as the inventory and schedule that DNCR is directed to provide by G.S. 121-5(c) and G.S. 132-8.
- Municipalities that do not sign on to this schedule are required to keep all records indefinitely.
- Record retention is important to retain a record of Town business and the history of the Town.
- Holly Springs adopted the Municipal Records Retention and Disposition Schedule in 1997 and adopted amendments to that schedule in 2002, 2009, and 2012.
- In 2019, the division changed the way it updates schedules in order to be more efficient, and the Town adopted those portions of the schedule which were amended.

Funding Source(s):

N/A

Attachment(s):

1. 2021 General Records Schedule
2. 2021 Program Records Schedule
3. 22-01 Adopt Records Retention Schedule

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

Municipal/County Clerk or Manager
Title: _____


Sarah E. Koonts, Director
Division of Archives and Records

APPROVED

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 <u>1 year after election</u> <i>Retention Note: Official record maintained permanently by the County Board of Elections.</i>	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.	

1: Administration and Management

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

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

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

ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.04	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

* 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
1.06	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 <u>N/A</u>	
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 <u>1 year after release of</u> decennial census	

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

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

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

ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.12	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.

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

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

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

ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.14	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 <u>1 year</u>	

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

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

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

ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.16	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. <i>Retention Note: The correspondence (including e-mail) of the most senior administrator has historical value and should be retained permanently.</i>	
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.	

* 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
1.19	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.	

* 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
1.23	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 <u>1 year</u>	
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. <i>Retention Note: According to 2 CFR 200.333(c), records for real property and equipment acquired with Federal funds must be retained for 3 years after disposition of the property/equipment.</i>	Retention: 09 NCAC 03M .0703 2 CFR 200.333

* 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
1.25	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 <u>1 year</u>	
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 <u>1 year</u>	

* 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
1.30	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 <u>3 years</u>	
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. <i>Retention Note: If notification is necessary for a particular process, reference the relevant case file for disposition instructions (e.g., tax notifications).</i>	
1.34	 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 <u>6 months</u>	Confidentiality: G.S. 132-1.12 G.S. 132-1.13

* 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
1.35	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 <u>3 years</u>	
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

* 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
1.38	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 <u>1 year</u>	
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.	

* 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
1.41	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 <u>6 months</u> .	

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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 <u>1 year after included</u> in approved minutes	
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 <u>3 years</u>	
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 <u>after newly appointed members are sworn in</u>	
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. <i>NOTE: If these serve as the official minutes, as allowed by G.S. 143-318.10(e), their retention should be permanent. These disposition instructions apply to recordings produced solely for the purpose of generating official written minutes.</i>	

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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 <u>after approval of minutes of parent board, if included</u>	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.	

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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 <u>1 year</u>	
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 <u>superseded or obsolete</u>	

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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 <u>3 years</u>. <i>Retention Note: Reports and studies listed elsewhere in this schedule should be retained the specified period of time.</i>	

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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 <u>6 months after decision is made</u>	
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 <u>once failed, or 1 year</u> after tabled	

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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 <u>6 months</u>	

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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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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. <i>Retention Note: Annual budgets should be entered into the minutes of the governing board.</i>	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 <u>3 years</u>	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 assignment of agency credit cards and purchasing cards along with authorization logs.	Destroy in office when superseded or obsolete.*	Confidentiality: G.S. 132-1.2(2)
2.21	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 reports 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 <u>3 years</u>	

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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. <i>Retention Note: According to 2 CFR 200.333(c), records for real property and equipment acquired with Federal funds must be retained for 3 years after disposition of the property/equipment.</i>	Retention: 09 NCAC 03M .0703 2 CFR 200.333
2.28	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 <u>1 year</u> c) Destroy in office all remaining records after 3 years.*	Authority: G.S. 159-30

* 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 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.* <i>Retention Note: Packing slips may be destroyed upon verification of items received if they are not the only record of the purchase of the item.</i>	
2.37	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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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. <i>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.</i>	
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).	

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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 <u>3 years</u>	

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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, <i>Either:</i> Transfer snapshot to NCOneMap according to established procedures, complying with standards and procedures adopted by the North Carolina Geographic Information Coordinating Council . <i>Or:</i> If retained in office, your agency must comply with standards (for metadata, file naming, data sharing, and long term preservation) and procedures adopted by the North Carolina Geographic Information Coordinating Council .	
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, <i>Either:</i> Transfer snapshot to NCOneMap according to established procedures, complying with standards and procedures adopted by the North Carolina Geographic Information Coordinating Council . <i>Or:</i> If retained in office, your agency must comply with standards (for metadata, file naming, data sharing, and long term preservation) and procedures adopted by the North Carolina Geographic Information Coordinating Council .	

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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, <i>Either:</i> Transfer snapshot to NCOneMap according to established procedures, complying with standards and procedures adopted by the North Carolina Geographic Information Coordinating Council . <i>Or:</i> If retained in office, your agency must comply with standards (for metadata, file naming, data sharing, and long term preservation) and procedures adopted by the North Carolina Geographic Information Coordinating Council .	
3.10	LAYERS: ORTHOIMAGERY See also GEOSPATIAL RECORDS , page A-13.	Create a snapshot of dataset when created. To maintain permanently, <i>Either:</i> Transfer snapshot to NCOneMap according to established procedures, complying with standards and procedures adopted by the North Carolina Geographic Information Coordinating Council . <i>Or:</i> If retained in office, your agency must comply with standards (for metadata, file naming, data sharing, and long term preservation) and procedures adopted by the North Carolina Geographic Information Coordinating Council .	

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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, <i>Either:</i> Transfer snapshot to NCOneMap according to established procedures, complying with standards and procedures adopted by the North Carolina Geographic Information Coordinating Council . <i>Or:</i> If retained in office, your agency must comply with standards (for metadata, file naming, data sharing, and long term preservation) and procedures adopted by the North Carolina Geographic Information Coordinating Council .	
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, <i>Either:</i> Transfer snapshot to NCOneMap according to established procedures, complying with standards and procedures adopted by the North Carolina Geographic Information Coordinating Council . <i>Or:</i> If retained in office, your agency must comply with standards (for metadata, file naming, data sharing, and long term preservation) and procedures adopted by the North Carolina Geographic Information Coordinating Council .	

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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, <i>Either:</i> Transfer snapshot to NCOneMap according to established procedures, complying with standards and procedures adopted by the North Carolina Geographic Information Coordinating Council . <i>Or:</i> If retained in office, your agency must comply with standards (for metadata, file naming, data sharing, and long term preservation) and procedures adopted by the North Carolina Geographic Information Coordinating Council .	
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, <i>Either:</i> Transfer snapshot to NCOneMap according to established procedures, complying with standards and procedures adopted by the North Carolina Geographic Information Coordinating Council . <i>Or:</i> If retained in office permanently, your agency must comply with standards (for metadata, file naming, data sharing, and long term preservation) and procedures adopted by the North Carolina Geographic Information Coordinating Council .	

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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.± <i>Retention note: Contact the State Archives of North Carolina before destroying any tax maps, watershed maps, or zoning maps.</i> Agency Policy: Destroy in office after <u>3 years</u>	

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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

4: HR

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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

4: HR

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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.	

4: HR

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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.

4: HR

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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

4: HR

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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)

4: HR

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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)

4: HR

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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.	

4: HR

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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. <i>Retention Note: Records must be maintained separately from an employee's personnel jacket. If part of a worker's compensation claim, follow disposition for Workers' Compensation Program Claims (below).</i>	Authority: 29 CFR 1910.1020(e) Confidentiality: 29 CFR 1630.14(c)(1) 29 CFR 1910.1030(h)(1)(iii) Retention: 29 CFR 1627.3(b)(1)(v) 29 CFR 1910.1020(d) 42 USC 12112(d)(3)

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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 <u>1 year after separation</u>	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

4: HR

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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)

4: HR

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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 (LGRS) 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.	

4: HR

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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. <i>Note: All official copies of claims records should be transferred to the North Carolina Industrial Commission in compliance with G.S. 97-92(a).</i>	Destroy in office agency's working file for workers' compensation claims by its employees 5 years after employee returns to work or separates from agency.*	Confidentiality: G.S. 8-53 G.S. 97-92(b)

4: HR

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STANDARD 5: INFORMATION TECHNOLOGY (IT) RECORDS

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

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

ITEM #	STANDARD 5: INFORMATION TECHNOLOGY RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
5.01 	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. <i>Note: The data itself is subject to the disposition instructions indicated for its relevant records series; these are merely records about migrating said data.</i>	Destroy in office 1 year after completion of data migration.	
5.05	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. <i>Note: The digital surrogate becomes the record copy and must be retained according to the disposition instructions for that record type.</i>	
5.07 	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 <u>1 year</u>	
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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5: IT

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.	

5: IT

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STANDARD 6: LEGAL RECORDS

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

ITEM #	STANDARD 6: LEGAL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.01	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. <i>Retention Note: Annexation maps and ordinances must be filed with the County Register of Deeds office and the office of the Secretary of State (G.S. 160A-29, G.S. 160A-58.61 and G.S. 160A-58.90). A map must also be filed with the county board of elections (G.S. 163-288.1).</i>	
6.03	AUTHENTICATIONS Certificates of authentication issued by the agency.	Retain in office permanently.	

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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.* <i>Retention Note: 29 CFR 1602.14 defines final disposition of the charge or the action as "the date of expiration of the statutory period within which the aggrieved person may bring an action in a U.S. District Court or, where an action is brought against an employer either by the aggrieved person, the Commission, or by the Attorney General, the date on which such litigation is terminated."</i>	Retention: 29 CFR 1602.14 29 CFR 1602.31

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@ 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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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. <i>Retention Note: The Clerk should present a copy of the oaths of elected officials to the Clerk of Superior Court for recording.</i>	Authority: G.S. 105-349 G.S. 153A-26 G.S. 160A-61 G.S. 160A-68 G.S. 160A-284 Retention: G.S. 7A-103(2)
6.21	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 <u>1 month</u>	
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 <u>1 year</u>	

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7: PR

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.	

7: PR

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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 <u>1 year</u> , unless historically important	
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.	

7: PR

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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.* <i>Note: These disposition instructions apply only to the request, internal agency records related to searching for and preparing responsive records, and communication of response; the documents that are responsive to public records requests should be handled according to their respective disposition instructions. However, if the agency also retains separate copies of the documents that are responsive to public records requests, they may also be destroyed 2 years after completion of the request.</i>	
7.12	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 <u>1 year</u> after speech delivered	

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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.	

7: PR

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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.	

* 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
8.07	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

* 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
8.11	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). <i>Note: Title 10A of the NC Administrative Code provides guidelines about the records requirements for persons who receive, possess, use, transfer, own or acquire any sources of radiation within the State of North Carolina.</i>	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. <i>(Note: If building is sold, transfer records to new owner.)</i> 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)

* 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
8.12	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. <i>Retention Note: A data sheet for a mixture may be discarded if the new data sheet includes the same hazardous chemicals as the original formulation. If the formulation is different, both data sheets must be retained for 30 years. Data sheets may also be discarded if some other record identifying the substances used, where they were used, and when they were used is retained the required 30-year period.</i>	Retention: 29 CFR 1910.1020(d)(1)(ii)(B)

* 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					

[illegible]

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

☐ Change a retention period

Standard Number _____ Page _____ Item Number _____

Standard Number _____ Page _____ Item Number _____

Title of Records Series in Schedule or Proposed Title:

Inclusive Dates of Records:

Proposed Retention Period:

Description of Records:

Justification for Change:

Requested by:

Signature

Title

Date

Approved by:

Signature

Requestor's Supervisor

Date



Request for Disposal of Unscheduled Records

AGENCY INFORMATION

Requestor name

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

Phone and email

Mailing Address

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

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

Requested by:

Signature

Title

Date

Approved by:

Signature

Requestor's Supervisor

Date

Concurred by:

Signature

Assistant Records Administrator
State Archives of North Carolina

Date



Request for Disposal of Original Records Duplicated by Electronic Means

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

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

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

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

Requested by: _____
Signature Title Date

Approved by: _____
Signature Requestor's Supervisor Date

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



File Plan

[illegible]

Related Records Series Found in Local Agency Program Schedules

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

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

Here’s how to use the table:

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

ACCOUNTS RECEIVABLE @

Records concerning receivables owed and collected. Includes billing statements, records of payment received, remittances, subsidiary registers, overpayment or refund records, deposits, fines and fees assessed, and collection of past due accounts. Also includes records concerning accounts sent to NC Debt Setoff Program for collection.

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

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

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

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	Public Hospitals Schedule
	Clinical Laboratory Records: Instrument Maintenance Records	
	Cytology Records: Instrument Maintenance Records File	
	Instrument Maintenance File	

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 Traffic Accident Reports	Local Government Agencies Program Schedule
(continued on following page)		

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

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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, Director

Division of Archives and Records

APPROVED

Head of Governing Body

Title: _____



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.	

10: Airport Authority

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

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

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.

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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

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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 <u>2 years after completion</u>	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.

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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 <u>3 years</u>	
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.*	

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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.*	

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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 <u>3 years</u>	
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 <u>3 years</u>	
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 <u>5 years</u>	
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.	

* 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
13.07	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. <i>For retention of copies of fire incident reports filed with other agencies, see: GENERAL RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES, Reports (STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS).</i>	Retain original report permanently.	Authority/Retention: G.S. 58-79-45

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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 <u>3 years</u> 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 <u>1 year</u>	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 <u>3 months</u>	

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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)

* 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
15.02	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 <u>N/A</u> c) Destroy in office remaining records when reference value ends. ± Agency Policy: Destroy in office after <u>N/A</u>	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 <u>3 years</u>	
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 <u>3 years</u>	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.	

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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 <u>5 years</u>	
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 contingent liabilities. Includes reports, audits, and other related records.	a) For recipients, destroy in office 3 years after the receivables or liabilities have been satisfied. b) For subrecipients, destroy in office after such receivables or liabilities have been satisfied.	Retention: 24 CFR 570.502(a)(7)(i)(B)
16.04	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)

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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

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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 <u>1 year</u>	
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 <u>3 years</u>	
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 <u>1 year</u>	
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 <u>1 year</u>	
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 <u>1 year</u>	
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 <u>3 years</u> 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. $\pm$ Agency Policy: Destroy in office after <u>3 years</u>	
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 <u>5 years</u> 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 <u>3 years</u>	
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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± 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
18.29 	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 <u>3 years</u>	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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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 <u>3 years</u>	
19.03	CEMETERY INTERMENT RECORDS Includes name of deceased, date of interment, and location of plot.	Retain in office permanently. <i>Retention Note: If these records are maintained as an electronic database, a copy should be maintained on paper or microfilm and updated regularly.</i>	

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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 <u>3 years</u>	
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 <u>6 years</u>	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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2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES

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

20. Law Enforcement Records

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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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2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES

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 <u>3 years</u>	
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 <u>3 years</u>	Confidentiality: G.S. 132-1.4 G.S. 132-1.7(a2) Authority/ Confidentiality/ Retention 28 CFR 23.20

20. Law Enforcement Records

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2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES

ITEM #	STANDARD 20: LAW ENFORCEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
20.12 	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 <u>1 year</u>	
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.*	

20. Law Enforcement Records

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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 <u>3 years</u>	

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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 <u>3 years</u>	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 <u>3 years</u>	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 <i>Original fingerprint records are forwarded to the State Bureau of Investigation.</i> SEE ALSO: Juvenile Case History Identification Records, below.	a) If records are made part of a case file, follow disposition instructions for: Case File: Felonies Case File: Misdemeanors b) Destroy in office after 3 years if not made part of case file.	Confidentiality: G.S. 132-1.4 Authority: G.S. 15A-502
20.23	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 <u>1 year after case is closed</u>	

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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 <u>3 years</u>	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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2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES

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 <u>3 years</u>	
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.*	

20. Law Enforcement Records

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2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES

ITEM #	STANDARD 20: LAW ENFORCEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
20.31 	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

20. Law Enforcement Records

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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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2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES

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 <u>juvenile reaches 18 years of age</u>	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)

20. Law Enforcement Records

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2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES

ITEM #	STANDARD 20: LAW ENFORCEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
20.40 	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 <u>20 days</u>	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)

20. Law Enforcement Records

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2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES

ITEM #	STANDARD 20: LAW ENFORCEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
20.44	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 <u>3 years</u>	

20. Law Enforcement Records

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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.* <i>Retention Note: If a minor is involved in the incident, records should be retained until the minor reaches age 30.</i>	Authority: 28 CFR Part 115
20.49	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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2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES

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

20. Law Enforcement Records

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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 <u>1 year</u>	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

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2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES

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.*	

21. Tax Records (Municipal)

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2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES

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

21. Tax Records (Municipal)

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2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES

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.	

21. Tax Records (Municipal)

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2021 PROGRAM RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES

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 <u>3 years</u>	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)

21. Tax Records (Municipal)

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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					

[illegible]

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>).



Request for Change in Local Government Records Schedule

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

AGENCY INFORMATION

Requestor name

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

Phone and e-mail

Mailing Address

CHANGE REQUESTED

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

☐ Add a new item

☐ Delete an existing item

Standard Number _____ Page _____ Item Number _____

☐ Change a retention period

Standard Number _____ Page _____ Item Number _____

Title of Records Series in Schedule or Proposed Title:

Inclusive Dates of Records:

Proposed Retention Period:

Description of Records:

Justification for Change:

Requested by:

Signature

Title

Date

Approved by:

Signature

Requestor's Supervisor

Date



Request for Disposal of Unscheduled Records

AGENCY INFORMATION

Requestor name

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

Phone and e-mail

Mailing Address

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

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

Requested by:

Signature

Title

Date

Approved by:

Signature

Requestor's Supervisor

Date

Concurred by:

Signature

Assistant Records Administrator
State Archives of North Carolina

Date



Request for Disposal of Original Records Duplicated by Electronic Means

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

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

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	

[illegible]

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Resolution No. 22-01

Date Adopted:

Effective Date:

**RESOLUTION OF THE TOWN OF HOLLY SPRINGS TOWN COUNCIL
ADOPTING THE NC DEPARTMENT OF CULTURAL RESOURCES
GENERAL RECORDS RETENTION SCHEDULE AND PROGRAM
RECORDS RETENTION SCHEDULE AS AMENDED OCTOBER 2021**

WHEREAS, the Holly Springs Town Council has previously adopted the North Carolina Department of Cultural Resources Municipal Records Retention and Disposition Schedule; and

WHEREAS, the Town Council has provided for periodic amendments to the North Carolina Department of Cultural Resources Municipal Records Retention and Disposition Schedule by resolution and at the discretion of the Town Council; and

WHEREAS, the Town Council desires to replace the most recent version of the schedule in its entirety by the version attached to this resolution as "Exhibit A" which includes both General and Program Records Schedules;

NOW, THEREFORE, BE IT RESOLVED BY THE TOWN COUNCIL OF THE TOWN OF HOLLY SPRINGS, NORTH CAROLINA that it adopts and enacts in their entirety each of the following:

1) *Records Retention and Disposition Schedule- General Records Schedule: Local Government Agencies*, NC Department of Natural and Cultural Resources, Dated October 1, 2021; and

2) *Records Retention and Disposition Schedule- Program Records Schedule: Local Government Agencies*, NC Department of Natural and Cultural Resources, Dated October 1, 2021

Adopted by the Holly Springs Town Council on this, the 1st day of February, 2022.

Town of Holly Springs by

ATTEST:

Sean Mayefskie, Mayor

Linda McKinney, Town Clerk





Holly Springs Town Council

Town Council Meeting Agenda Cover Sheet

Agenda Item#: 8.

Public Hearings

Title: D1 Training Special Exception Use 21-SEU-07 - Quasi-Judicial Hearing

Strategic Priority Area: Responsible & Balanced Growth

Staff Resource: Cheryl Caines, Development Services

Action(s):

1. Conduct Quasi-Judicial Public Hearing to consider a Special Exception Use (SEU) to allow for an athletic training facility within the RT Research & Technology District.
2. Adopt Resolution 22-02 to make and accept the Findings of Fact for consideration of and to approve the SEU, with the conditions listed in the attachment.

Explanation:

- A Special Exception Use (SEU) is a Permitted Use within a specific zoning district that may not necessarily fit in the surrounding areas and uses and is subject to further review. Applicants requesting an SEU must be able to demonstrate that all required Findings of Fact are being met.
- The Town Council, through public hearing and sworn testimony, must be able to make findings that these facts will be met.
- The applicant is requesting SEU approval for an athletic training facility at 250 Premier Dr.
- Since the parcel is zoned RT Research & Technology, a SEU is required to evaluate the appropriateness of an athletic training facility.

Background:

- The applicant is requesting an SEU to allow use of an existing tenant space for an athletic training facility.
- The space was previously used as an athletic training facility (NC Kat Volleyball).
- No changes are proposed to the building exterior or site.

Planning Board Recommendation

- The Planning Board discussed the proposal on January 25, 2022 and recommended the Town Council approve the proposed Special Exception Use (8-0)
- Discussion items included questions on parking and hours of operation.

Funding Source(s):

Town Council Business Meeting
February 1, 2022

N/A

Attachment(s):

1. 21SEU07_D1 Training_Planning Board Staff Report
2. 21SEU07_D1 Training_Petitions_Plan
3. 22-02 - 21SEU07_D1Training_ResolutionFingsofFact



Town of Holly Springs Staff Report to the Planning Board

REQUEST FOR SPECIAL EXCEPTION USE D-1 Training (250 Premier Drive) 21-SEU-07

PETITIONER(S):

Richard Adams
145 Ironcreek Pl.
Apex, NC 27539

OWNER(S):

Micrastev, LLC
16160 Pantheon Pass
Delray Beach, FL 33446

LOCATION:

☒ [X] Within Corporate Limits of Holly Springs ☐ [] Within Holly Springs ETJ ☐ [] Annexation Pending

ANTICIPATED REVIEW SCHEDULE:

Planning Board: January 25, 2022

Town Council Public Hearing & Action: February 1, 2022

STAFF CONTACTS: Cheryl Caines, Planner II

Steidrick Baker, Development Plan Reviewer

ATTACHMENTS:

Petitioner's Response to the Special Exception Use Petition Findings of Fact

PARCEL INFORMATION			
OWNER	PARCEL #	ZONING	AREA
Micrastev, LLC	0649128266	RT Research & Technology	3.11
TOTAL			3.11 acres

ADJACENT PROPERTY SITE DATA		
	ZONING	EXISTING LAND USE
Subject Property	RT Research & Technology	Business Park
North	RT Research & Technology	Business Park
South	PUD Planned Unit Development	Warehouse
East	RT Research & Technology	Vacant
West	PUD Planned Unit Development	R&D and flex

PROPERTY HISTORY

Subdivision History

Project Number: N/A

Description: Recombination of Holland Industrial Park

Recorded: 2007

SPECIAL EXCEPTION USE

Request to allow for an Athletic Training Facility as specified in Unified Development Ordinance Section 4.02 RT Research & Technology to allow an at the property located at 250 Premier Dr.

Special Exception Use Findings of Fact:

A special exception use may only be granted upon the presentation of sufficient evidence to enable a written determination that:

- The proposed use will not be injurious to the public health, safety, comfort, community moral standards, convenience or general welfare;
- The proposed use will not injure or adversely affect the adjacent area;
- The proposed use will be consistent with the character of the district, land uses authorized therein, and the Town of Holly Springs Comprehensive Plan;
- The proposed use shall conform to all development standards of the applicable district (unless a waiver of such development standards is requested as part of the special exception use petition and approved as set forth above, in which case the proposed use shall conform to the terms and conditions of such waiver).
- Access drives or driveways are or will be sufficient in size and properly located to: ensure automotive and pedestrian safety and convenience, traffic flow as set forth in Section 7.09 – Pedestrian Circulation and Vehicular Area Design; and, control and access in case of fire or other emergency;
- Off-street parking areas, off-street loading areas, trash enclosures, trash pick-up and removal, and other service areas are located so as to be safe, convenient, allow for access in case of emergency, and to minimize economic, glare, odor, and other impacts on adjoining properties and properties in the general neighborhood;
- The lot, building or structure proposed for the use has adequate restroom facilities, cooking facilities, safety equipment (smoke alarms, floatation devices, etc.), or any other service or equipment necessary to provide for the needs of those persons whom may work at, visit or own property nearby to the proposed use;

- h. Utilities, schools, fire, police and other necessary public and private facilities and services will be adequate to handle the needs of the proposed use;
- i. The location and arrangement of the use on the site, screening, buffering, landscaping, and pedestrian ways harmonize with adjoining properties and the general area and minimize adverse impacts; and,
- j. The type, size, and intensity of the proposed use (including but not limited to such considerations as the hours of operation and numbers of people who are likely to utilize or be attracted to the use) will not have significant adverse impacts on adjoining properties or the neighborhood.

STAFF ANALYSIS

PROJECT OVERVIEW

A Special Exception Use is a Permitted Use within a specific zoning district that may not necessarily fit in with the surrounding areas and uses and is subject to further review. Applicants requesting a Special Exception Use, must be able to demonstrate that all required Findings of Fact are being met. The Town Council through the public hearing and sworn testimony must be able to make findings that these facts will be met and/or adhered to as part of the motion. If the Town Council determines that a Fact cannot be met or adhered to, then the Special Exception should be denied.

The applicant is requesting Special Exception Use approval for an Athletic Training Facility located at 250 Premier Drive. Since the property is zoned RT Research & Technology, a Special Exception Use is required to evaluate the appropriateness of an Athletic Training Facility at this location.

PLANNING & ZONING

Land Use & Character

The Land Use Plan has this property designated as Business and Industrial. These centers provide opportunities to concentrate employment clusters throughout the town. They support both large-scale, single tenant office and industrial buildings and smaller, multi-tenant office and industrial buildings that are clustered and may support and serve one another. Business & Industrial Centers are typically buffered from surrounding development by tree preservation areas or landscaped areas, with the type and size of the buffer a function of the activities being performed on the site.

Special Exception Use Analysis

The applicant is not proposing any changes to the exterior of the building or site. The previous use was another athletic facility (NC Kat Volleyball), which was approved through a Special Exception Use (SEU) process (16-SEU-02). The findings of fact for that SEU were specific to the volleyball facility; therefore, a new Special Exception Use is required for the D1 Training business.

The primary hours of operation for the Athletic Training Facility are shown to be outside of normal daytime business activity and as such, the operation of the facility would not likely impact adjacent properties.

ENGINEERING

Water/Sewer Service:

Water and gravity sewer service are provided to this building through existing utility services. No revisions are anticipated with this special exception use.

Transportation

All required road widening was completed with the original building construction. No revisions are anticipated with this special exception use.

PLANNING BOARD RECOMMENDATION TO THE TOWN COUNCIL

Motion that the Planning Board recommend the Town Council approve/ deny Special Exception Use #21-SEU-07 as specified in Unified Development Ordinance Section 4.02 RT Research & Technology to allow an Athletic Training Facility use at the property located at 250 Premier Drive, Wake County PIN 0649128266, as submitted by Richard Adams with the following conditions:

- 1. All previous conditions of approval for Green Oaks Business Center shall apply to this amendment except for any condition that describes a fee or a fee-in-lieu to be paid shall now comply with the current amounts due pursuant to the town's current annual budget or any unexpired development agreement.**
- 2. All operations must adhere to the evidence submitted by the applicant as stated in the findings of fact submitted and those findings of fact specified by the Town Council in conjunction with 21-SEU-07.**

TOWN OF HOLLY SPRINGS

DEVELOPMENT PETITION PACKET

DPM Appendix # A.04
Supplement 1 to 3
June 2018



Major Subdivision, Master Plan-Detailed, Master Plan-Schematic,
Development Plan- Gateway, Development Plan-Non-Gateway, Development Plan-
Development Options, Special Exception Use

General Information

A Traffic Impact Analysis (TIA) scope determination is required from the Department of Engineering prior to scheduling a Concept Plan Review Meeting. The Request for TIA Scope, Form 8031 is available here:

www.hollyspringsnc.us/engineering. Please contact the Department of Engineering at (919) 557-3938 for more information.

A Concept Plan Review Meeting must be held a minimum of ten (10) business days prior but no more than 8 weeks before the Petition Submittal Deadline as specified on the appropriate submittal calendar. Please email hsplanning@hollyspringsnc.us to schedule a Concept Meeting. For more information, contact the Department of Planning & Zoning at (919) 557-3908.

FOR MORE INFORMATION:

Current Fee Schedule: <http://www.hollyspringsnc.us/planning>

NOTE: All fees include the initial two (2) staff reviews three (3) for Development Options for Residential Districts, and Plans for Official Action review. Each additional review will cost 1/2 the original petition submittal fee.

Review Process: Town of Holly Springs Development Procedures Manual (DPM)-
Subdivision (master or Preliminary Plan- Section 3
Development Plans- Section 4
Special Exception Use- Section 6.01

Review Calendar: See Town of Holly Springs Development Procedures Manual (DPM) Appendix 1.

The DPM is available for purchase in the Department of Planning & Zoning or on-line at:
<http://www.hollyspringsnc.us/planning>

The full review procedures for Development Plans and Special Exception uses can be found in the *Town of Holly Springs Development Procedures Manual*.

Submittal Requirements

All information required as part of your petition must be provided in both hardcopy original and in PDF format to the FTP website. (I.e. transmittal, applications, maps, special studies, etc.) with each review. Please submit PDF as 1 file containing the complete submittal and name the file with the project name and date.

Link to FTP website: <http://www.hollyspringsnc.us/PlanningFTP>

New or Major Amendment:

- ☐ Submit the following number of copies:
- (6) 24" x 36"
 - (2) 11" x 17"
 - (1) PDF version

Minor Amendment:

- ☐ Submit the following number of copies:
- (6) 24" x 36" *
 - (2) 11" x 17"
 - (1) PDF version
- *For amendments only affecting elevations, (2) 24"x36" copies are required

PLAN SHEET REQUIREMENTS:

The Plan Requirements & Data Checklist items must be included on the specific plan sheets as indicated. If complete information is not provided, it will cause a delay in the review process and move the project into a later review cycle. If a required item is not shown on the specified sheet, provide a written statement explaining why the item has not been included. If this petition is being submitted for a Wireless Telecommunications Facility, review UDO Section 8.01 for submittal requirements.

PUD approval or as outlined at the Concept Plan Review Meeting)

Development Plan (Multifamily):

The following items must be submitted with the Petition for Multifamily Development Plan to be deemed a complete submittal:

- | | |
|--|--|
| ☐ Petition Form | ☐ Waiver Request Forms if applicable, as determined at the Concept Plan Review Meeting |
| ☐ All plan submittals must be folded to a convenient size (maximum dimensions 9"x14") | ☐ Stormwater Fee-in-lieu Request Form |
| ☐ Processing Fees (make check payable to: Town of Holly Springs) | ☐ Preliminary Stormwater Submittal Checklist |
| ☐ Plan Requirements and Data Checklist | ☐ Residential Development Notification Form |
| ☐ Master Sign Plan Form if applicable, as determined at the Concept Plan Review Meeting | ☐ Engineering Special Studies- TIA, FFA, and Sewer Report- to be submitted directly to the Department of Engineering with separate check for payment of associated fees (per conditions from Master Plan, PUD approval or as outlined at the Concept Plan Review Meeting) |
| ☐ Postmaster certification of Cluster Mailbox Unit location | |
| ☐ Certification of Plan Revisions, if a revision to an approved plan | |

Development Plan (Residential Development Options & Infill Development Options):

The following items must be submitted with the Petition for Residential Development Options or Infill Development Options to be deemed a complete submittal:

- | | |
|--|--|
| ☐ Petition Form | ☐ Stormwater Fee-in-lieu Request Form |
| ☐ All plan submittals must be folded to a convenient size (maximum dimensions 9"x14") | ☐ Preliminary Stormwater Submittal Checklist |
| ☐ Processing Fees (make check payable to: Town of Holly Springs) | ☐ Detailed Findings of Fact for Development Options or Infill Development Options, consistent with the UDO |
| ☐ Plan Requirements and Data Checklist | ☐ Residential Development Notification Form |
| ☐ Master Sign Plan Form if applicable, as determined at the Concept Plan Review Meeting | ☐ Engineering Special Studies- TIA, FFA, and Sewer Report- to be submitted directly to the Department of Engineering with separate check for payment of associated fees (per conditions from Master Plan, PUD approval or as outlined at the Concept Plan Review Meeting) |
| ☐ Postmaster certification of Cluster Mailbox Unit location | |
| ☐ Certification of Plan Revisions, if a revision to an approved plan | |
| ☐ Waiver Request Forms if applicable, as determined at the Concept Plan Review Meeting | |

Special Exception Use:

The following items must be submitted with the Petition for a Special Exception Use to be deemed a complete submittal:

- | | |
|--|---|
| ☒ Petition Form | ☐ Waiver Request Forms if applicable, as determined at the Concept Plan Review Meeting |
| ☒ Visually Way | ☐ Grease Trap Survey (any business using or disposing of fats, oils or grease) |
| ☐ Processing Fees (make check payable to: Town of Holly Springs) | ☐ Industrial Waste Survey (all businesses) |
| ☐ Plan Requirements and Data Checklist | ☒ Detailed Findings of Fact for Special Exception Use, consistent with the UDO |

DEVELOPMENT PETITION

The current Filing Fees can be found on-line in the Town of Holly Springs Fee Schedule:
http://www.hollyspringsnc.us/planning



Petition Type:

☐ Master Plan

- ☐ New Detailed ☐ New Schematic
☐ Major Amendment ☐ Minor Amendment*

☐ Preliminary Plan- Major Subdivision

- ☐ New ☐ Major Amendment ☐ Minor Amendment*

☐ Development Plan (check all that apply)

- ☐ New ☐ Major Amendment ☐ Minor Amendment*
☐ Gateway Non-Residential/Mixed Use Gross Building Floor Area _____
☐ Non-Gateway Non-Residential/Mixed Use Gross Building Floor Area _____
☐ Multifamily
☐ Residential Development Options or Infill Development Options

☒ Special Exception Use

- ☒ New ☐ Family Child Care Home

* Specify purpose of amendment on Certificate of Plan Revisions

For DPZ Use only

Project # _____

Fees Paid: \$ _____

Date Received: _____

☐ Initial ☐ Revised ☐ Final

Project Information:

Project Name: D-1 Training Facility

If this project is part of a previously approved plan, please specify: _____

PUD/Master Plan/Subdivision _____ Shopping Center/Lot# _____

Project Location: 250 Premier Dr, Holly Springs

Use street address. If none, use the closest intersection

☒ Within Corporate Limits ☐ Within Holly Springs ETJ ☐ Pending Annexation

PIN: _____ Real Estate ID: _____

Project Acreage (rounded to nearest tenth): _____ Partial Parcel: ☐ No ☐ Yes (additional fee)Current Zoning: RT Proposed Use (see UDO Primary Use List): Athletic Training FacilityOpen Space [See UDO Section 7.06(F)(4)]: ☐ Dedication ☐ Fee-in-lieu ☐ Combination ☐ N/AWaivers Requested: ☐ No ☐ Yes- Specify UDO Section Number(s): _____

If yes, complete and attach appropriate Waiver Petition(s) from Waiver Packet

Scoping Meeting Date: _____ Concept Meeting Date: _____

If the Concept Meeting Date is not within 8 weeks of the submittal date, another Concept Meeting is required prior to submittal.

Petition Contact Information: (complete each contact in its entirety- please print or type)

Project Applicant/Contact

(check one) ☒ Owner ☐ Owner's Agent ☐ Design Professional ☐ Developer ☐ Other _____Name Richard Adams Company D-1 TrainingMailing Address 145 Ironcreek PLCity Apex State NC Zip 27535Telephone # (903) 530-5047 E-Mail Richard.Adams@d1training.comHow would you like to receive staff review comments? ☒ E-Mail ☐ US MailHow would you like to receive Official Action Notices? ☒ E-Mail ☐ US Mail- CertifiedDesign Professional if different than Applicant/Contact n/a

Name _____ Company _____

Mailing Address _____

City _____ State _____ Zip _____

Telephone # (_____) _____ E-Mail _____

How would you like to receive staff review comments? ☐ E-Mail ☐ US MailHow would you like to receive Official Action Notices? ☐ E-Mail ☐ US Mail- Certified

Developer

Name _____ Company _____
 Mailing Address _____
 City _____ State _____ Zip _____
 Telephone # () _____ E-Mail _____
 How would you like to receive staff review comments? ☐ E-Mail ☐ US Mail
 How would you like to receive Official Action Notices? ☐ E-Mail ☐ US Mail- Certified

Architect

Name _____ Company _____
 Mailing Address _____
 City _____ State _____ Zip _____
 Telephone # () _____ E-Mail _____
 How would you like to receive staff review comments? ☐ E-Mail ☐ US Mail
 How would you like to receive Official Action Notices? ☐ E-Mail ☐ US Mail- Certified

Landscape Architect

Name _____ Company _____
 Mailing Address _____
 City _____ State _____ Zip _____
 Telephone # () _____ E-Mail _____
 How would you like to receive staff review comments? ☐ E-Mail ☐ US Mail
 How would you like to receive Official Action Notices? ☐ E-Mail ☐ US Mail- Certified

Other: York Properties (any other contact that should receive comments and correspondence for this project)

Name Judson McMillan Company York Properties
 Mailing Address _____
 City _____ State _____ Zip _____
 Telephone # (919) 821-1350 Alternate Telephone # () _____
 Fax # () _____ E-Mail Judsonmcmillan@yorkproperties.com
 How would you like to receive staff review comments? ☐ Fax ☒ E-Mail ☐ US Mail
 How would you like to receive Official Action Notices? ☐ Fax ☒ E-Mail ☐ US Mail- Certified

Property Owner - Required

Name Michael Weisbro Company MICRASTEV, LLC
 Mailing Address 16160 Pantheon PASS
 City Delray Beach State FL Zip 33446
 Telephone # () _____ E-Mail _____
 How would you like to receive staff review comments? ☐ E-Mail ☐ US Mail
 How would you like to receive Official Action Notices? ☐ E-Mail ☐ US Mail- Certified

Certificate of Submittal Completion

I, RICHARD Adams, certify that the information provided on this petition, plans and checklist are complete and accurate to the best of my knowledge.

Signature: Richard Adams Date: 12/9/2021

TOWN OF HOLLY SPRINGS
SPECIAL EXCEPTION USE
FINDINGS OF FACT

DPZ Application # 17-11
Supplement # 1-3
October 2018



You must respond to all findings; please type or print legibly in blue or black ink.

Project Information:

Project Name: D-1 Training Facility

Special Exception Use:

UDO Section No.: _____

Special Exception Use: Athletic Training

Specific Special Exception Use Request:

See attached

For DPZ Use only

Project # _____

Date Received: _____

Findings of Fact:

A petition for Special Exception Use may only be approved upon the presentation of sufficient evidence. Please include as much detailed information or unique conditions that would enable the Board to make a written determination that:

(1) The proposed use will not be injurious to the public health, safety, comfort, community moral standards, convenience or general welfare:

See attached

(2) The proposed use will not injure or adversely affect the adjacent area or property values therein:

See attached

(3) The proposed use will be consistent with the character of the district, land uses authorized therein, and the Town of Holly Springs Comprehensive Plan:

See attached

(4) The proposed use shall conform to all development standards of the applicable district (unless a waiver of such development standards is requested as part of the special exception use petition and approved by the Town Council in which case the proposed use shall conform to the terms and conditions of such waiver):

See attached

(5) Access drives or driveways are or will be sufficient in size and properly located to: ensure automotive and pedestrian safety and convenience, traffic flow as set forth in Section 7.09 – Pedestrian Circulation and Vehicular Area Design; and, control and access in case of fire or other emergency:

See attached

(6) Off-street parking areas, off-street loading areas, trash enclosures, trash pick-up and removal, and other service areas are located so as to be safe, convenient, allow for access in case of emergency, and to minimize economic, glare, odor, and other impacts on adjoining properties and properties in the general neighborhood:

See attached

(7) The lot, building or structure proposed for the use has adequate restroom facilities, cooking facilities, safety equipment (smoke alarms, floatation devices, etc.), or any other service or equipment necessary to provide for the needs of those persons whom may work at, visit or own property nearby to the proposed use:

See attached

(8) Utilities, schools, fire, police and other necessary public and private facilities and services will be adequate to handle the proposed use:

See attached

(9) The location and arrangement of the use on the site, screening, buffering, landscaping, and pedestrian ways harmonize with adjoining properties and the general area and minimize adverse impacts:

See attached

(10) The type, size, and intensity of the proposed use, including such considerations as the hours of operation and numbers of people who are likely to utilize or be attracted to the use, will not have significant adverse impacts on adjoining properties or the neighborhood:

See attached

Certificate of Completion

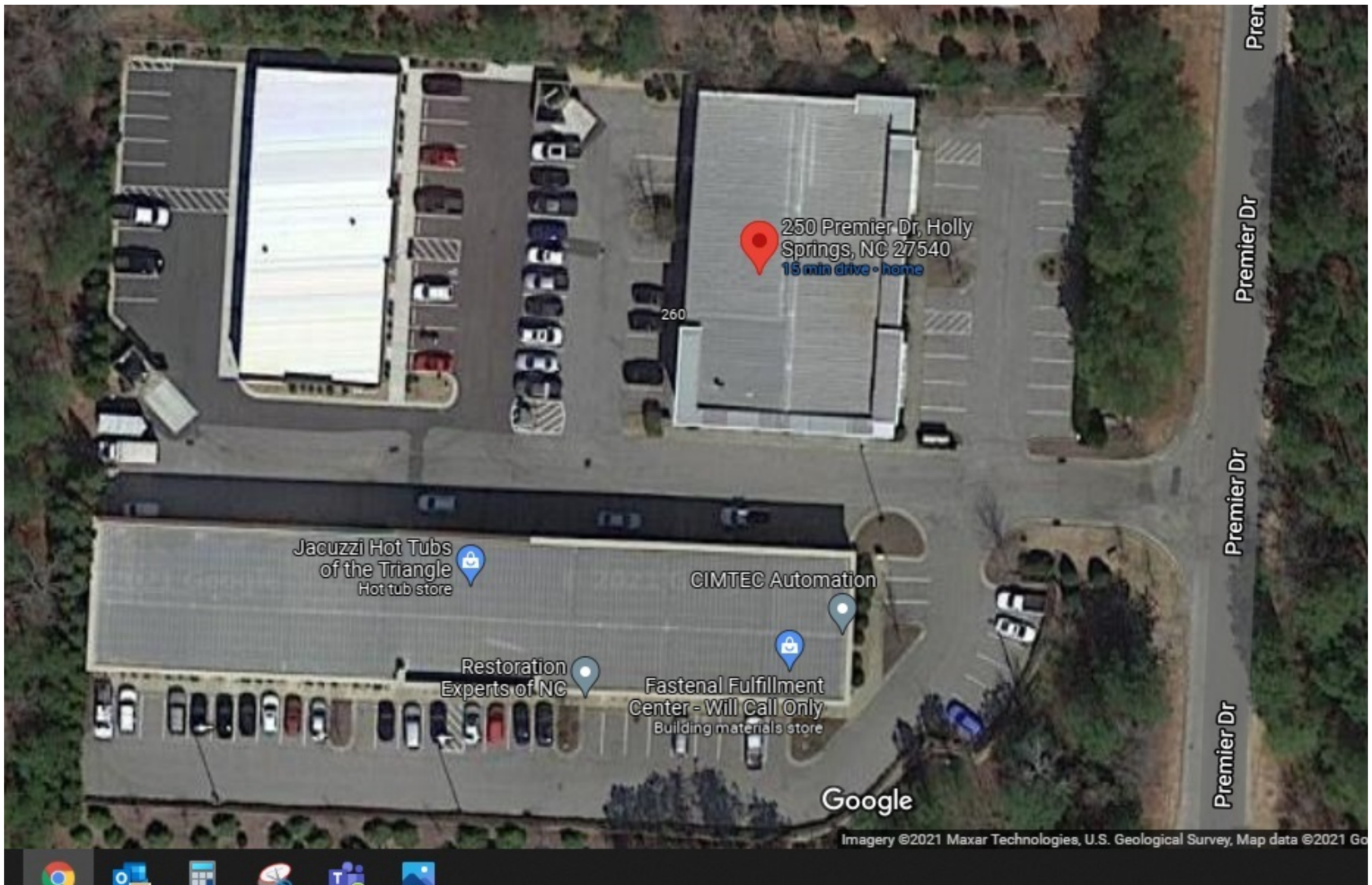
I certify that all information presented in this application is accurate to the best of my knowledge and belief. Further, I grant permission for members of the Planning Board, Town Council, and Town Staff to visit the site in question for informational, advertisement, and inspection needs.

Signature of Applicant: *Richard Adams*

Date: *12/9/2021*

Signature of Owner: *Richard Adams*

Date: *12/9/2021*



SPECIAL EXCEPTION USE – FINDINGS OF FACT SHEET

D1 Training Facility

A state-of-the-art athletic training facility for youth and adults. The facility offers customized fitness equipment, professional coaches, and sports science-backed programs for beginner through professional athletes.

Town of Holly Springs Special Exception Use Findings of Fact

Project Information

Project Name - D1 Training Facility

Special Exception Use:

UDO Section No:

Special Exception Use: Athletic Training

Specific Special Exception Use Request:

- Athletic training / fitness and weight area
- Daily boot camps, strength training classes
- One on one personal training
- Sport specific camps and workout sessions
- Conditioning sessions
- Nutritional information/educational sessions
- Open houses and information sessions for the community
- Other athletic uses as space is available
- Retail sales with branded workout attire and gear, pre-packaged healthy snacks, bottled water

Findings of Fact:

A petition for Special Exception Use may only be approved upon the presentation of sufficient evidence. Please include as much detailed information or unique conditions that would enable the Board to make a written determination that:

1. The proposed use will not be injurious to the public health, safety, comfort, community moral standards, convenience or general welfare:

D1 Training Facilities aim to provide high level sport and athletic training and fitness for beginner and pro athletes as well as health and fitness enthusiasts. The training programs and facilities model the Division 1 Universities across the nation and hold the highest of standards for coaches, staff, athletes, and participants. All coaches and staff working with student athletes are required to follow rigorous training protocols including background checks. None

of the proposed activities and sessions intend to be injurious to the public health, safety, comfort, community moral standards, convenience or general welfare of the community.

2. The proposed use will not injure or adversely affect the adjacent area or property values therein:

All athletic training sessions and programs will be held inside the facility. No exterior modifications to the appearance of the building, with the exception of the allowed facility name/signage. Once established, truck deliveries or loading dock use is not required. The proposed use does not have the intent to injure or adversely affect the adjacent area or property values therein.

3. The proposed use will be consistent with the character of the district, land uses authorized therein and the Town of Holly Springs Comprehensive Plan:

D1 Training has the intention to follow all regulations in order to comply with the character of the district, land uses authorized therein and the Town of Holly Springs Comprehensive Plan.

4. The proposed use shall conform to all development standards of the applicable district (unless a waiver of such development standards is requested as part of the special exception use petition and approved by the Town Council in which case the proposed use shall conform to the terms and conditions of such waiver):

D1 Training has the intention to conform to all development standards of the applicable district.

5. Access drives or driveways are or will be sufficient in size and properly located to ensure automotive and pedestrian safety and convenience, traffic flow as set forth in Section 7.09 – Pedestrian Circulation and Vehicular Area Design; and, control and access in case of fire or other emergency:

A large number of D1 athletes are students/minors and will be driven and dropped off by parents or will carpool with teammates. Group training sessions are small in size (<10) and adequate parking is available in front of and rear of the building with proper sidewalk/pedestrian walkways available for safe passage. Fire exits and lanes will remain clear at all times and not blocked by parked vehicles. Popular D1 operating times will be early morning (5am – 8am), evenings (3pm – 10pm) and weekends (7am – 2pm) which are outside the core operating times for the local businesses.

6. Off-street parking areas, off-street loading areas, trash enclosures, trash pick-up, and removal, and other service areas are located so as to be safe, convenient, allow for access in case of emergency, and to minimize economic, glare, odor, or other impacts on adjoining properties in the general neighborhood:

Off street loading areas, trash enclosures, trash pick-up and removal areas are located at the rear of the building with safe and convenient access. Due to the nature of a fitness facility, glare, odor, or other impacts on adjoining properties are not anticipated in the general neighborhood.

7. The lot, building or structure proposed for the use has adequate restroom facilities, cooking facilities, safety equipment (smoke alarms, floatation devices, etc.), or any other service or equipment necessary to provide for the needs of those persons whom may work at, visit or own property nearby for the proposed use:

The facility has two (2) separate restrooms. The female restroom has four toilet partitions (including one ADA accessible) and the male restroom has three toilet partitions (one that is ADA accessible) and one urinal. Due to the group size that will utilize the facility at the same time, this number is adequate for the building use. Cooking facilities are not required for this type of business. Smoke alarms are installed following proper regulations. All fitness equipment will be installed with proper safety measures in place. An AED and first aid kits will be on site and readily accessible. Staff will hold first aid, CPR and AED certifications.

8. Utilities, schools, fire, police and other necessary public and private facilities and service will be adequate to handle the proposed use:

Water, electric and waste disposal are available at the property location. The site has adequate HVAC units that will be utilized as needed. Holly Springs Fire and Police Departments are located 6 minutes from the facility location (coming from Flint Point Lane and Holly Springs Road). There are several urgent care facilities located nearby as well as the new UNC Rex Hospital on Main St.in downtown Holly Springs. No other external services are expected to be needed for users of the D1 facility.

9. The location and arrangement of the use of the site, screening, buffering, landscaping, and pedestrian ways harmonize with adjoining properties and the general area and minimize adverse impact:

The building facility has approved and adequate screening, buffering and landscaping. It is not anticipated that users of the D1 facility will need to access adjacent businesses, therefore pedestrian use will be primarily limited to the walkways from the parking areas/drop off areas to the building.

10. The type, size, and intensity at the proposed use, including sue considerations as the hours of operation and numbers of people who are likely to utilize or be attracted to the use, will not have significant adverse impacts on the adjoining properties or the neighborhood:

D1 Training facility users will utilize the parking areas primarily in the front and rear of the building (as needed). The facility will be open year-round from approximately 5am – 10pm, Monday-Friday and 7am – 2pm on the weekends. It is anticipated that the heavy use times will be early in the morning, afternoons and evenings and some weekend participation. D1 Training will work with the adjacent property owners to ensure D1 users are following the parking requirements.



Resolution No. 22-02

Date Adopted: February 1, 2022

Effective Date: February 1, 2022

**RESOLUTION OF THE TOWN OF HOLLY SPRINGS TOWN COUNCIL
MAKING FINDINGS OF FACT FOR
SPECIAL EXCEPTION USE (21-SEU-07);
D1 TRAINING**

WHEREAS, the Town of Holly Springs Town Council adopted *Town of Holly Springs Unified Development Ordinance* ("UDO") in November 2002; and

WHEREAS, pursuant to NCGS §§160A-361 & 388 and the UDO, the Town Council of Holly Springs ("Town Council") has the authority to grant special exception uses, variances, and waivers if competent and substantial evidence is presented by the Petitioner which allows the Town Council to find as a fact that conditions either currently exist or may exist after implementation of conditions by the Town Council. Such findings are each of the following:

Special Exception Use Findings of Fact:

A special exception use may only be granted upon the presentation of sufficient evidence to enable a written determination that:

- a. The proposed use will not be injurious to the public health, safety, comfort, community moral standards, convenience or general welfare;
- b. The proposed use will not injure or adversely affect the adjacent area;
- c. The proposed use will be consistent with the character of the district, land uses authorized therein, and the Town of Holly Springs Comprehensive Plan;
- d. The proposed use shall conform to all development standards of the applicable district (unless a waiver of such development standards is requested as part of the special exception use petition and approved as set forth above, in which case the proposed use shall conform to the terms and conditions of such waiver).
- e. Access drives or driveways are or will be sufficient in size and properly located to: ensure automotive and pedestrian safety and convenience, traffic flow as set forth in Section 7.09 – Pedestrian Circulation and Vehicular Area Design; and, control and access in case of fire or other emergency;
- f. Off-street parking areas, off-street loading areas, trash enclosures, trash pick-up and removal, and other service areas are located so as to be safe, convenient, allow for access in case of emergency, and to minimize economic, glare, odor, and other impacts on adjoining properties and properties in the general neighborhood;
- g. The lot, building or structure proposed for the use has adequate restroom facilities, cooking facilities, safety equipment (smoke alarms, floatation devices, etc.), or any other service or equipment necessary to provide for the needs of

those persons whom may work at, visit or own property nearby to the proposed use;

- h. Utilities, schools, fire, police and other necessary public and private facilities and services will be adequate to handle the needs of the proposed use;
- i. The location and arrangement of the use on the site, screening, buffering, landscaping, and pedestrian ways harmonize with adjoining properties and the general area and minimize adverse impacts; and,
- j. The type, size, and intensity of the proposed use (including but not limited to such considerations as the hours of operation and numbers of people who are likely to utilize or be attracted to the use) will not have significant adverse impacts on adjoining properties or the neighborhood.

WHEREAS, the Town Council has heard sworn testimony and has accepted and entered the Petitioner's written findings of fact into the minutes (Exhibit A) for the following requested Special Exception Use:

Part 1: Special Exception Use (21-SEU-07)

Special Exception Use #21-SEU-07 as specified in Unified Development Ordinance Section 4.02 RT Research and Technology District to allow for an athletic training facility in the RT Research and Technology District at the property located at 250 Premier Dr., Wake County PIN 0649128266

WHEREAS, the Town Council has received competent and substantial evidence and has therefore found the Petitioner's written findings of fact. The Town Council finds that the Petitioner's findings of fact to be consistent with the public testimony received on the requested Special Exception Use, and therefore the Town Council is able to reach conclusions independently (Exhibit C) or be reasonably able to meet the conclusions on the Findings of Fact upon implementation of conditions listed on Exhibit D to this Resolution.

NOW, THEREFORE, BE IT RESOLVED BY THE TOWN COUNCIL OF THE TOWN OF HOLLY SPRINGS, NORTH CAROLINA:

- 1. To make and accept the Findings of Fact for Special Exception Use (21-SEU-07); as submitted by Richard Adams.
- 2. This resolution shall take effect immediately.

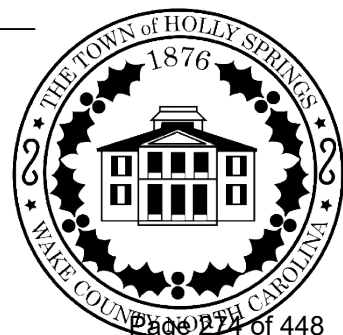
Adopted by the Holly Springs Town Council on this, the 1st day of February, 2022.

Town of Holly Springs by

Sean Mayefskie, Mayor

ATTEST:

Linda McKinney, Town Clerk



RESOLUTION EXHIBIT A

Part 1: Special Exception Use (21-SEU-07) Findings of Fact Submitted By Petitioner

1. The proposed use will not be injurious to the public health, safety, comfort, community moral standards, convenience or general welfare:

D1 Training Facilities aim to provide high level sport and athletic training and fitness for beginner and pro athletes as well as health and fitness enthusiasts. The training programs and facilities model the Division 1 Universities across the nation and hold the highest of standards for coaches, staff, athletes, and participants. All coaches and staff working with student athletes are required to follow rigorous training protocols including background checks. None of the proposed activities and sessions intend to be injurious to the public health, safety, comfort, community moral standards, convenience or general welfare of the community.

2. The proposed use will not injure or adversely affect the adjacent area or property values therein:

All athletic training sessions and programs will be held inside the facility. No exterior modifications to the appearance of the building, with the exception of the allowed facility name/signage. Once established, truck deliveries or loading dock use is not required. The proposed use does not have the intent to injure or adversely affect the adjacent area or property values therein.

3. The proposed use will be consistent with the character of the district, land uses authorized therein and the Town of Holly Springs Comprehensive Plan:

D1 Training has the intention to follow all regulations in order to comply with the character of the district, land uses authorized therein and the Town of Holly Springs Comprehensive Plan.

4. The proposed use shall conform to all development standards of the applicable district (unless a waiver of such development standards is requested as part of the special exception use petition and approved by the Town Council in which case the proposed use shall conform to the terms and conditions of such waiver):

D1 Training has the intention to conform to all development standards of the applicable district.

5. Access drives or driveways are or will be sufficient in size and properly located to ensure automotive and pedestrian safety and convenience, traffic flow as set forth in Section 7.09 – Pedestrian Circulation and Vehicular Area Design; and, control and access in case of fire or other emergency:

A large number of D1 athletes are students/minors and will be driven and dropped off by parents or will carpool with teammates. Group training sessions are small in size (<10) and adequate parking is available in front of and rear of the building with proper sidewalk/pedestrian walkways available for safe passage. Fire exits and lanes will remain clear at all times and not blocked by parked vehicles. Popular D1 operating times will be early morning (5am – 8am), evenings (3pm – 10pm) and weekends (7am – 2pm) which are outside the core operating times for the local businesses.

6. Off-street parking areas, off-street loading areas, trash enclosures, trash pick-up, and removal, and other service areas are located so as to be safe, convenient, allow for access in case of emergency, and to minimize economic, glare, odor, or other impacts on adjoining properties in the general neighborhood:

Off street loading areas, trash enclosures, trash pick-up and removal areas are located at the rear of the building with safe and convenient access. Due to the nature of a fitness facility, glare, odor, or other impacts on adjoining properties are not anticipated in the general neighborhood.

7. The lot, building or structure proposed for the use has adequate restroom facilities, cooking facilities, safety equipment (smoke alarms, floatation devices, etc.), or any other service or equipment necessary to provide for the needs of those persons whom may work at, visit or own property nearby for the proposed use:

The facility has two (2) separate restrooms. The female restroom has four toilet partitions (including one ADA accessible) and the male restroom has three toilet partitions (one that is ADA accessible) and one urinal. Due to the group size that will utilize the facility at the same time, this number is adequate for the building use. Cooking facilities are not required for this type of business. Smoke alarms are installed following proper regulations. All fitness equipment will be installed with proper safety measures in place. An AED and first aid kits will be on site and readily accessible. Staff will hold first aid, CPR and AED certifications.

8. Utilities, schools, fire, police and other necessary public and private facilities and service will be adequate to handle the proposed use:

Water, electric and waste disposal are available at the property location. The site has adequate HVAC units that will be utilized as needed. Holly Springs Fire and Police Departments are located 6 minutes from the facility location (coming from Flint Point Lane and Holly Springs Road). There are several urgent care facilities located nearby as well as the new UNC Rex Hospital on Main St. in downtown Holly Springs. No other external services are expected to be needed for users of the D1 facility.

9. The location and arrangement of the use of the site, screening, buffering, landscaping, and pedestrian ways harmonize with adjoining properties and the general area and minimize adverse impact:

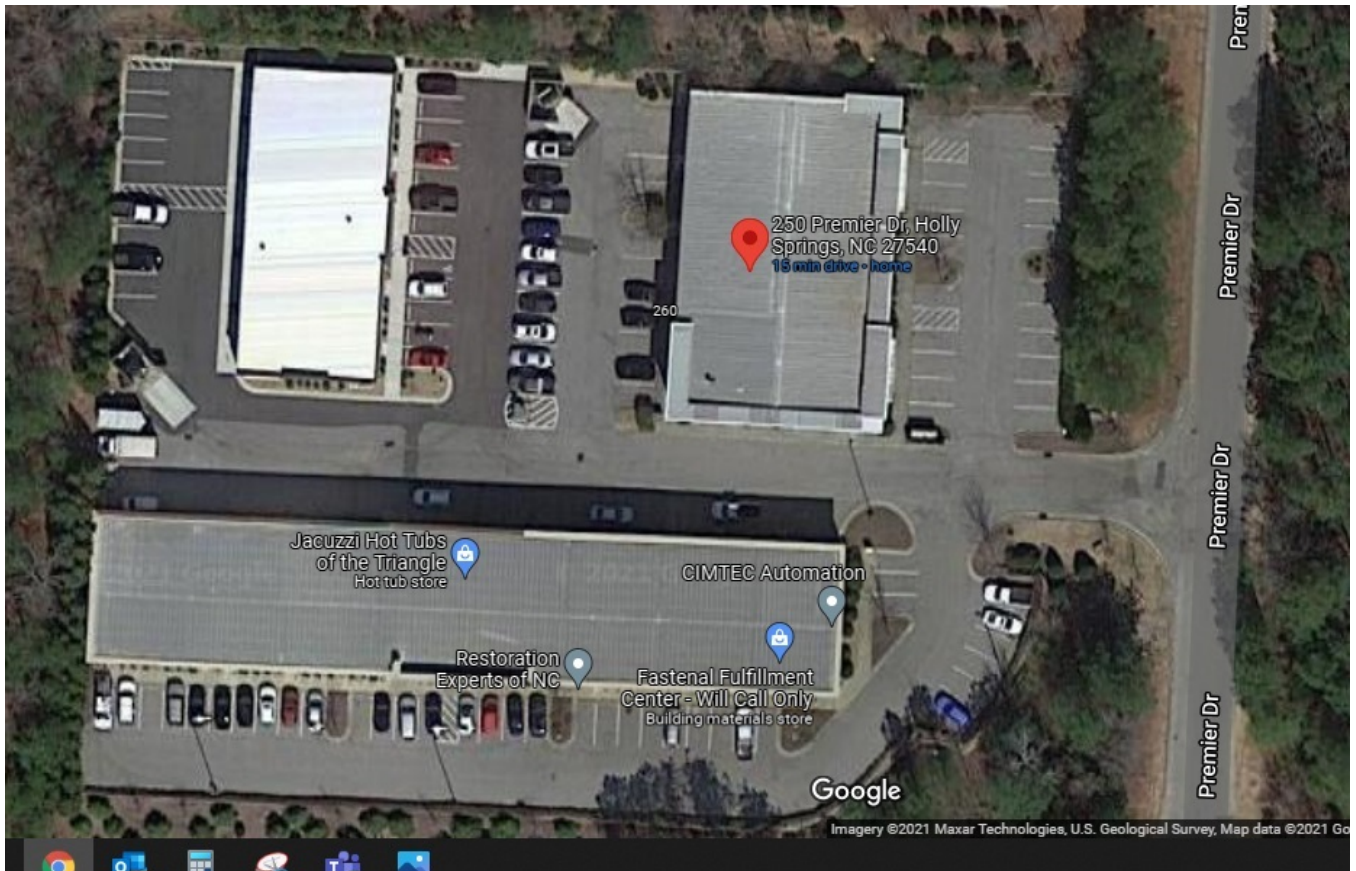
The building facility has approved and adequate screening, buffering and landscaping. It is not anticipated that users of the D1 facility will need to access adjacent businesses, therefore pedestrian use will be primarily limited to the walkways from the parking areas/drop off areas to the building.

10. The type, size, and intensity at the proposed use, including sue considerations as the hours of operation and numbers of people who are likely to utilize or be attracted to the use, will not have significant adverse impacts on the adjoining properties or the neighborhood:

D1 Training facility users will utilize the parking areas primarily in the front and rear of the building (as needed). The facility will be open year-round from approximately 5am – 10pm, Monday-Friday and 7am – 2pm on the weekends. It is anticipated that the heavy use times will be early in the morning, afternoons and evenings and some weekend participation. D1 Training will work with the adjacent property owners to ensure D1 users are following the parking requirements.

RESOLUTION EXHIBIT B

SITE PLANS



RESOLUTION EXHIBIT C

TOWN COUNCIL'S FINDINGS OF FACT

The Town Council accepts the findings of fact as presented in Exhibit A unless specified below:

The Town Council made the following additional findings:

Part 1: Special Exception Use (21-SEU-07)

No additional findings

RESOLUTION EXHIBIT D
CONDITIONS OF APPROVAL

The Town Council added the following conditions in order to adequately make and accept the Findings of Fact:

Part 1: Special Exception Use (21-SEU-07)

1. All previous conditions of approval for Green Oaks Business Center shall apply to this amendment except for any condition that describes a fee or a fee-in-lieu to be paid shall now comply with the current amounts due pursuant to the town's current annual budget or any unexpired development agreement.
2. All operations must adhere to the evidence submitted by the applicant as stated in the findings of fact submitted and those findings of fact specified by the Town Council in conjunction with 21-SEU-07.



Holly Springs Town Council

Town Council Meeting Agenda Cover Sheet

Agenda Item#: 9.

New Business

Title: Holly Springs Road Widening - Phase 2 (Transportation Bond) Project - Construction Contracts

Strategic Priority Area: Safe & Friendly
Responsible & Balanced Growth
Engaged, Healthy, & Active Community
Economic Prosperity & Diversity

Staff Resource: Tim Athy, Utilities and Infrastructure

Action(s):

- Award and authorize the Town Manager to sign and execute the Construction contract for the Holly Springs Road Widening - Phase 2 project to Fred Smith Company in the amount of \$22,186,104 (with \$2,200,000 of the 2018 Transportation Bond funds being allocated as project contingency).
- Award and authorize the Town Manager to sign and execute the Construction Engineering & Inspections (CEI) and Contract Administration (CA) contract for the Holly Springs Road Widening - Phase 2 (T-Bond) project to Kimley-Horn & Associates in the amount of \$2,691,355 (with \$270,000 of the 2018 Transportation Bond funds being allocated as project contingency).
- Authorize the Town Manager to request from the Capital Area Metropolitan Planning Organization (CAMPO) the reallocation of \$2 million of State grant funds, as managed through the CAMPO, currently set aside for Holly Springs Rd. - Phase 1 to the Holly Springs Rd. - Phase 2 project.
- Authorize the Town Manager to request an additional \$2 million in Federal grant gap funding from the Capital Area Metropolitan Planning Organization (CAMPO) for Holly Springs Rd. - Phase 2.
- Authorize the Town Manager to negotiate, sign, and execute any other required agreements, amendments, or change orders necessary to deliver the Holly Springs Rd. Phase 2 project that are consistent with prior Council action, direction, and within the project budget and approved funding sources.

Explanation:

- On December 2, 2021, Town staff opened four contractor bids for the construction of the Holly Springs Road Widening - Phase 2 project.
- Fred Smith Company was the lowest responsive, responsible bidder at \$22,186,104.
- A third-party engineer's estimate for construction was \$19,280,810.
- Staff recommends awarding the construction contract to Fred Smith Company.
- The Construction Engineering & Inspections (CEI) and Contract Administration (CA) contract includes daily inspections, field engineering, stakeholder coordination, public engagement, and documentation during the construction of this project, all per North Carolina Department of Transportation guidelines.
- Kimley-Horn was selected by Town staff to perform the CEI & CA responsibilities through the Qualification Based Selection (QBS) process.
- 13 consultants submitted Letters of Interest.
- Town staff interviewed the three most qualified consultants.
- Staff recommends awarding the CEI/CA contract to Kimley-Horn in the amount of \$2,691,355

Town Council Business Meeting
February 1, 2022

- Funding for the project will be a combination of 2018 T-Bond funds (1st & 2nd issuance + Bond Premiums), federally funded Locally Administered Projects Program (LAPP) grants, and the American Rescue Plan "ARP" (for waterline upsizing).
- Construction mobilization is expected to begin in the spring of 2022 (construction duration is anticipated to take up to three years)
- The Holly Springs Road - Phase 1 project (Main Street to Flint Point Lane) received \$2,014,496 in Federal grants but is currently challenged by a \$6 million funding gap. Due to the Holly Springs Road - Phase 1 funding gap, Town staff recommends requesting CAMPO reallocate project funds to the Holly Springs Road - phase 1 project.
 - CAMPO has the ability to distribute gap funding for their Federally administered projects.
 - CAMPO funds a maximum of 50% of funding gaps, municipalities are responsible for the remaining gap funds (minimum of 50%)
 - Gap funding will be for construction costs only
 - The current construction gap is \$4 million, therefore a potential of \$2 million can be sought

Background:

- As part of the 2018 Transportation Bond referendum, the Holly Springs Road Widening – Phase 2 project will widen Holly Springs Road from Flint Point Lane to Sunset Lake Road.
- The project will increase the road capacity from a two-lane road to a four-lane road, improve safety, and upgrade the bridge over Middle Creek to decrease the chance of roadway flooding during heavy rain events.
- Construction bid results, supply chain disruptions, construction cost escalation climate, and potential funding sources to close the funding gap were discussed at the December 14, 2021 Town Council Workshop.
- At the January 11, 2022 Town Council Workshop, the Council reviewed proposed funding options and directed staff to fund the project using a combination of 2018 Transportation Bond funds (1st & 2nd issuance + Bond Premiums), federally funded Locally Administered Projects Program (LAPP) grants and American Rescue Plan (ARP) funds.
- Under the funding plan, four projects (Holly Springs Rd. Phase 2, Main St. right turn lane, Avent Ferry Rd. realignment, and 3rd lane on NC55 bypass) are estimated to require most of the \$40 million 2018 Transportation Bond allocation given the current and foreseeable cost escalation construction bid climate.
- It is anticipated the project will be completed during the winter of 2025.

Funding Source(s):

\$28,583,000 Transportation Bond (1st & 2nd issuance + Bond Premiums)
 \$ 2,460,000 American Rescue Plan (ARP) 2021 (Forcemain)
\$ 6,157,000 LAPP Grants + Potential \$2 million CAMPO Gap Funding
 \$37,200,000 Total

Attachment(s):

1. CEI_Contract_Scope
2. 2021-05-24 Overall_Map
3. Construction_Contract_Docs
4. Bid_Tabulations
5. Letter_of_Recommendation

October 13, 2021

Tim Athy, P.E.
Town of Holly Springs
128 South Main Street
Holly Springs, NC 27540

Re: Professional Services Agreement

Dear Mr. Athy:

Kimley-Horn and Associates, Inc. (“Kimley-Horn” or “Consultant”) is pleased to submit this letter agreement (the “Agreement”) to the Town of Holly Springs (“Client”) for providing Roadway and Structures Construction Engineering and Inspection.

Project Understanding

The Consultant and team will provide full-time construction administration, full-time construction observation, and materials testing for U-6243 Holly Springs Road Widening – Phase 2. The consultant will utilize the services of Johnson, Mirmiran & Thompson and Stewart Engineering (Subconsultants) for daily inspection, field reporting, and materials testing. Consultant understands that the construction schedule for U-6243 is 1,095 calendar days. Consultant assumes that the total duration of their services will be a total of 160 weeks, which includes startup and project closeout.

Scope of Services

Kimley-Horn will provide the services specifically set forth below.

Task 1 – Public Engagement

Public Engagement. Consultant will engage the public and key stakeholders throughout the life of the project. The engagement will include a public informational meeting, one-on-one meetings, and a project website.

Informational Meeting. Consultant assumes one public informational meeting will be held prior to giving the selected contractor notice to proceed. The meeting will serve to notify adjacent property owners of the upcoming construction and address any specific questions regarding their property or business during construction. Consultant assumes the meeting will be held at the Town or local school and be drop-in style with no formal presentation. The informational meeting will be held to inform the public, pursuant to NCGS 160A-499.4. *Consultant assumes (1) information meeting prior to notice to proceed.*

Meetings (one-on-one). Consultant assumes that one-on-one meetings will be held with the adjacent schools, businesses along the west side of the project, the golf course, and police and fire departments. *Consultant assumes (7) individual meetings with adjacent owners.*

Project Website. Consultant will set up and maintain project website depicting the project corridor and key information throughout the life of the project. The website will be used to update the public about schedule, travel lane changes, and travel delays; allow input; and provide responses to questions.

Task 2 – Meetings

Right-of-Way Meetings. Consultant, if requested by the Town, will assist the Town and/or agent with meetings to facilitate the acquisition of the right-of-way along the corridor. Consultant would attend the meeting to answer questions related to construction to help expedite the process. The consultant will produce meeting minutes and provide to the Town. *Consultant assumes (5) information meetings.*

Utility Coordination and Meetings. Consultant will coordinate and meet with utility companies in conjunction with the selected contractor. The contractor is ultimately responsible for this task per the contract specifications; however, to expedite this process, the consultant will assist with this task. The consultant will have a utility kick-off meeting with all utility companies prior to notice to proceed. Once construction begins, consultant will coordinate bi-weekly with utility companies to assist the contractor. The consultant will produce meeting minutes and provide to the Town. *Consultant assumes (1) kick-off meeting, (5) field meetings, and (70) bi-weekly updates.*

NCDOT Coordination 540 Project. Consultant will coordinate and meet, if necessary, with the adjacent 540 construction project. The coordination will allow both projects to communicate any upcoming traffic changes to minimize any traffic delays. The coordination will be related to schedule, traffic shifts, and detours that may affect this corridor into Holly Springs. The consultant will produce meeting minutes and provide to the Town. *Consultant assumes (1) meeting, (3) field meetings, and (70) bi-weekly updates.*

Meetings at Town Request. Consultant, if requested by the Town, will meet to discuss miscellaneous issues related to the project. *Consultant assumes (6) meetings if requested by the Town.*

Task 3 – Project Administration

Project ShareFile Site. Consultant will set up and maintain a project site where all project information will be housed and updated during the life of the project. This site will provide access to all key team personnel, as well as the Town of Holly Springs and NCDOT, to view documents as necessary. Consultant will notify team members when new information is uploaded to the website.

Project Contact List. Consultant will set up and maintain project contact list. This process will begin at the preconstruction meeting and conclude at the end of the project. The contact list will include but not be limited to the construction phase team, Town, NCDOT personnel, contractor and subcontractor personnel, and adjacent property contact.

Pre-Construction Meeting. Consultant will administer pre-construction meeting with the contractor, Town, NCDOT, and other stakeholders before the start of construction. Consultant will compile meeting minutes and distribute to all stakeholders. The consultant will produce meeting minutes and provide to the Town. *Consultant assumes (1) pre-construction meeting.*

Review of Shop Drawings and Approved Products List. Consultant will review and take appropriate action with respect to Shop Drawings and Samples and other data that Contractor is required to submit, but only for general conformance with the Contract Documents. Such review and action will not extend to means, methods, techniques, equipment choice and usage, schedules, or procedures of construction or to related safety programs. Any action in response to a shop drawing will not constitute a change in the Contract Documents, which can be changed only through the Change Orders. Consultant will review the shop drawing submittals with the NCDOT Approved Products for compliance with the plans and specifications. *Consultant anticipates approximately 200 items will require review and approval. We also anticipate that these would be compiled into 25 larger packages and submitted for review.*

Bi-Weekly Meetings. Consultant will administer bi-weekly meetings with the contractor, Town, NCDOT, and other stakeholders. Consultant will compile meeting minutes and distribute to all stakeholders. The consultant will produce meeting minutes and provide to the Town. *Consultant assumes 78 bi-weekly meetings.*

Pre-Installation Meetings. Consultant will administer pre-installation meetings for major contract items with the contractor, Town, NCDOT, and other stakeholders. Consultant anticipates meeting for traffic, pedestrian, and school pattern changes. Consultant will compile meeting minutes and distribute to all stakeholders.

Engineers Weekly Summary. Consultant will compile data from the project on a weekly basis, such as field and testing reports, weather data, schedule status, and any outstanding items. This information will be placed into an Engineers Weekly Summary and distributed to the Town and NCDOT. *Consultant assumes 156 weekly summaries.*

Visits to Site and Observation of Construction. Consultant will make visits to observe the progress of the work. Observations will not be exhaustive or extend to every aspect of Contractor's work but will be limited to spot checking and similar methods of general observation. Based on the site visits, Consultant will evaluate whether Contractor's work is generally proceeding in accordance with the Contract Documents and keep Town informed of the general progress of the work.

Consultant will not supervise, direct, or control Contractor's work, and will not have authority to stop the work or responsibility for the means, methods, techniques, equipment choice and use, schedules, or procedures of construction selected by Contractor, for safety programs incident to the Contractor's work, or for failure of Contractor to comply with laws. Consultant does not guarantee Contractor's performance and has no responsibility for Contractor's failure to perform in accordance with the Contract Documents. Consultant assumes 78 site visits will be required; site visits are to be incorporated with bi-weekly meetings. *It is anticipated that up to 36 additional (non-bi-weekly meeting) site visits will be required. It is anticipated that 17 sites visits will be required during the bridge construction by the Engineer of Record.*

Recommendations with Respect to Defective Work. Consultant will recommend to Town that Contractor's work be disapproved and rejected while it is in progress if Consultant believes that such work will not produce a completed project that generally conforms to the Contract Documents.

Review Requests for Information. Consultant will respond to reasonable and appropriate Contractor requests for information made in accordance with the Contract Documents and issue necessary clarifications and interpretations. Any orders authorizing variations from the Contract Documents will be made only by the Town. *Consultant assumes 40 requests for information submitted for review.*

Review of Supplemental Agreements. Consultant will review Supplemental Agreements submitted by the contractor on behalf of the Town. Consultant will review any supplemental agreement submitted by the contractor with the approved Contract Documents and make a recommendation to Town and NCDOT. Our review will involve coordination with NCDOT and Town to include all stakeholders in the process. Consultant will also follow NCDOT LAP Project funding guidelines. *Consultant assumes 10 supplemental agreements.*

Review Pay Applications. Based on its observations and on review of applications for payment and supporting documentation, Consultant will recommend amounts that Contractor be paid. Recommendations will be based on Consultant's knowledge, information, and belief, and will state whether in Consultant's opinion Contractor's work has progressed to the point indicated, subject to any qualifications stated in the recommendation. Consultant's recommendations will not be a representation that its observations to check Contractor's work have been exhaustive, extended to every aspect of Contractor's work, or involved detailed inspections.

Consultant will review, approve, and make recommendation for payment to Town. The submitted pay application will be reviewed with Subconsultant and cross-checked with submitted field reports. Consultant will also review to determine if all information that is required by NCDOT for LAPP funding is included, such as material tickets, supplier list, W-9 forms, DBE-IS for subcontractors, subcontractor approval forms, sales tax, certified payroll, and an updated schedule. *Consultant assumes 36 monthly and 1 final pay application.*

Review Subcontract Approval Forms. Consultant will review subcontract approval forms for compliance for Town. The submitted subcontract approval forms will be cross-checked against the pay applications and daily field reports. These subcontract forms will be approved and submitted with the pay application. *Consultant assumes 20 subcontract approval forms will be submitted for the project.* Fee assumptions:

Review of Wage Interviews. Consultant will review all wage interviews in accordance with LAPP funding guidelines. Subconsultant will be conducting the interviews quarterly and submitting to Consultant for review. Consultant will review the interviews against the certified payroll submitted by the contractor, as well as the daily reports submitted by Subconsultant. *Consultant assumes 40 wage interviews.*

Substitutes and "or-equal." Consultant will evaluate and determine the acceptability of substitute or "or-equal/equivalent" materials and equipment proposed by Contractor in accordance with the Contract Documents.

Periodic NCDOT Reviews. Consultant will set up periodic reviews with NCDOT to verify that the material and information we are compiling are in accordance with LAPP reimbursement. Consultant will engage NCDOT monthly for these reviews. It is anticipated that these reviews will be part of a bi-weekly

meeting. *Consultant assumes 18 reviews with NCDOT.*

LAPP Reimbursement Notebook. Consultant will compile and maintain the project notebook to be submitted to NCDOT at the end of the project for LAPP funding reimbursement. The project notebook is in addition to the project website, as we will be required to submit notebooks at the end of the project.

Project Closeout. Consultant will work with Town and NCDOT to close out the project. This process will include a pre-punch list, punch list walk through, follow-up punch list walk through, NCDOT audit, and Materials and Testing Audit.

Substantial Completion. When requested by Contractor and Town, Consultant will conduct a site visit to determine if the work is substantially complete. Work will be considered substantially complete following satisfactory completion of all items with the exception of those identified on a final punch list.

Final Notice of Acceptability of the Work. Consultant will conduct a final site visit to determine if the completed Work of Contractor is generally in accordance with the Contract Documents and the final punch list so that Consultant may recommend final payment to Contractor.

Disagreements between Town and Contractor. Consultant will, if requested by Town, render written decision on all claims of Town and Contractor relating to the acceptability of Contractor's work or the interpretation of the requirements of the Contract Documents. In rendering decisions, Consultant shall be fair and not show partiality to Town or Contractor and shall not be liable in connection with any decision.

Record Drawings. Consultant will assemble record drawing package showing significant changes reported by the Contractor or made to the design by Consultant. Record drawing information will be provided by the Contractor per the contract specifications. Record drawing information will be assembled per the NCDOT construction manual and LAP Project requirements. Record drawings are not guaranteed to be as-built, but will be based on information made available.

Record Retention. The Consultant will retain the project records for 3 years or as required by NCDOT.

Task 4 – Construction Phase Services Bridge

- Consultant will provide professional construction phase services for the bridge as specifically stated below: Kimley-Horn will review the shop drawings and construction submittals related to the bridge. Consultant will also maintain a record log of the submittals. The following shop drawings are expected for review at each stage:
 - Prestressed Concrete Girders
 - Steel Diaphragms
 - Bearing Devices
 - Temporary Shoring
 - Concrete Mix and Materials
 - Stay-In-Place Forms
 - Steel Piles

- Railings
- Reinforcing Steel
- Demo plan
- Drilled Shafts
- Formwork

Consultant will review and approve, or take other appropriate action, in respect to Shop Drawings which Contractor is required to submit. Reviews and approvals of shop drawings provided by Kimley-Horn are only performed for conformance with the information given in the Contract Documents and are not meant to dictate means, methods, techniques, equipment choice and usage, sequences, schedules, or procedures of construction or to related safety precautions and programs.

- Consultant has assumed a total of 17 site visits, with a maximum of one structural representative present at each site visit. The number of field visits includes: one pre-construction conference prior to commencement of bridge work at the site; 12 preinstallation meetings outlined below (6 visits per construction stage); and a maximum of four site visits for miscellaneous structural items. The following preinstallation meetings have been identified:
 - Pile driving at substructure locations
 - Temporary shoring
 - Bents/end bents pours and preparation
 - Girder placement
 - Deck pour preparation and screed arrangement
 - Approach slab preparation

The purpose of these site visits is to allow the Consultant to better carry out the duties and responsibilities specifically assigned in this scope, and to provide the Client a greater degree of confidence that the completed work will generally conform to the Contract Documents. Consultant shall not supervise, direct, or have control over Contractor's work during such visits or as a result of such observations of Contractor's work in progress. Additionally, Kimley-Horn has no authority over or responsibility for the means, methods, techniques, equipment choice and usage, sequences, schedules, or procedures of construction selected by Contractor, for safety precautions and programs incident to Contractor's work, nor for any failure of Contractor to comply with laws and regulations applicable to Contractor's furnishing and performing the work. Accordingly, Consultant neither guarantees the performance of any Contractor nor assumes responsibility for any Contractor's failure to furnish and perform its work in accordance with the Contract Documents.

- Consultant will respond to reasonable and appropriate Contractor Requests for Information (RFIs) and issue necessary clarifications and interpretations of the Contract Documents to Client as appropriate to the orderly completion of Contractor's work. The Consultant has assumed a total of 20 RFIs for the entirety of construction.

Task 5 – Construction Phase Services Water and Sewer

Consultant will provide professional construction phase services for the installation of water and

sewer as specifically stated below

Shop Drawing Submittal Review – Consultant will review or take other appropriate action in respect to Shop Drawings which the Contractor is required to submit, but only for conformance with the information given in the Contract Documents.

Consultant will provide review comments and/or preliminary approvals to Client for concurrence prior to returning submittals to the Contractor. Such review and approvals or other action will not extend to means, methods, techniques, equipment choice and usage, schedules, or procedures of construction or to related safety programs.

Consultant will evaluate and provide a recommendation to the Client for conformance to the Contract Documents of substitute or "or-equal" materials and equipment proposed by Contractor. Client will make final determination of acceptability.

Requests for Information – Consultant will respond to reasonable and appropriate Contractor requests for information and issue necessary clarifications and interpretations of the Contract Documents. Any orders authorizing variations from the Contract Documents will be made by Client.

Visits to Site and Observation of Construction – Consultant will make occasional site visits to observe key components of the water and sewer utility work. Such observations will not be exhaustive or extend to every aspect of Contractor's water and sewer utility work. Observations will be limited to spot checking, selective measurement, and similar methods of general observation.

Consultant will not supervise, direct, or have control over Contractor's work, nor shall Consultant have authority to stop the Work or have responsibility for the means, methods, techniques, equipment choice and usage, schedules, or procedures of construction selected by Contractor, for safety programs incident to Contractor's work, or for any failure of Contractor to comply with any laws. Consultant does not guarantee the performance of any Contractor and has no responsibility for Contractor's failure to perform its work in accordance with the Contract Documents.

Consultant will recommend to Client that Contractor's work be disapproved and rejected while it is in progress if, on the basis of its observations, Consultant believes that such work will not produce a completed Project that generally conforms to the Contract Documents.

Testing and inspection of water and sewer utilities as required in the Contract Documents will be facilitated by others. Consultant will coordinate with Client to obtain test results necessary for Consultant to provide Engineer's Certification of the water and sewer utilities. Consultant may receive and review certificates of inspections within Consultant's area of responsibility or of tests and approvals required by laws or the Contract Documents. Consultant's review of certificates will be for the purpose of determining that the results certified indicate compliance with the Contract Documents and will not be an independent evaluation that the content or procedures of such inspections, tests, or approvals comply with the requirements of the Contract Documents. Consultant shall be entitled to rely on the results of such tests.

Engineer's Certification – Consultant will conduct occasional site visits throughout the progress of water and sewer utility work, will coordinate with subconsultant on-site construction observer(s) and with Client's inspections personnel, and will review acceptance testing results and as-built documents prepared and submitted by the Contractor. After receipt and review of acceptable as-built data from the Contractor, deemed sufficient for Consultant's production of record drawings, and determination of general conformance of constructed water and sewer utilities to the Contract Documents, Consultant will prepare and submit Engineer's Certification and record drawings.

Consultant will provide Partial Certifications for constructed portions of the water and sewer utilities as required to allow reconnection of users to newly constructed portions of the water and sewer utilities which have been accepted for service by the Client. Partial Certifications will consist of a sealed Engineer's Partial Certification form letter and accompanying marked up plan sheets, indicating the utility work to which the Partial Certification applies.

Water and Sewer Utility Construction Record Drawings – Consultant will review Contractor provided as-built survey and red line drawings against Consultant observations and Client personnel feedback and will communicate deficiencies to the Contractor for revision. Consultant shall be entitled to rely upon the accuracy and completeness of as-built and red line documentation provided by the Contractor for the production of record drawings.

Meetings and Coordination – Consultant will attend up to three (3) pre-installation meetings, up to one (1) each for water utilities, gravity sewer, and sewer force main. Consultant will attend up to fifteen (15) regular construction progress meetings as requested by the Client to address matters related to water and sewer utility construction.

Limitation of Responsibilities. Consultant shall not be responsible for the acts or omissions of any Construction Contractor, or of any of their subcontractors, suppliers, or of any other individual or entity performing or furnishing the work. This does not apply to Consultants' subcontractors. Consultant shall not have the authority or responsibility to stop the work of any Contractor.

Task 6 – Construction Inspection

See Exhibit A

Task 7 – Construction Materials Testing

See Exhibit B

Services Not Included

Any other services, including but not limited to the following, are not included in this Agreement:

- Plan revisions/meetings resulting from adjacent site requests
- Plan revisions based on unforeseen or changed site conditions
- Services beyond anticipated construction schedule

Additional Services

Any services not specifically provided for in the above scope will be billed as additional services and performed at our then-current hourly rates. Additional services we can provide include, but are not limited to, the following:

- Plan revisions/meetings resulting from adjacent site requests
- Plan revisions based on unforeseen or changed site conditions
- Services beyond anticipated construction schedule

Schedule

It is anticipated that the total project construction schedule will be 1,095 days (3 years) from Notice to Proceed, plus startup and closeout.

Fee and Expenses

Kimley-Horn will perform the Services in Tasks 1 through 5 on a labor fee plus expense basis with the anticipated labor and expense fee shown below. The following amounts are estimates and for purposes of compliance with the Local Government Fiscal Control Act the consultant may not exceed billing the Town these amounts without a written change approved by the Town.

Task 1 through 5	\$846,177.25
Task 6	\$1,744,284.91
Task 7	\$14,000.00
Expenses	\$86,889.94
Total Anticipated Labor and Expense Hourly Fee	\$2,691,352.10

Kimley-Horn will not exceed the anticipated labor and expense fee shown without authorization from the Town. Individual task amounts are provided for budgeting purposes only. Kimley-Horn reserves the right to reallocate amounts among tasks as necessary.

Labor and expense fee will be billed according to the NCDOT approved rates, which is subject to annual adjustment. Administrative time related to the project may be billed hourly. All permitting, application, and similar project fees will be paid directly by the Town.

Payment will be due within 25 days of your receipt of the invoice and should include the invoice number and Kimley-Horn project number.

Closure

In addition to the matters set forth herein, our Agreement shall include and be subject to, and only to, the attached Standard Provisions, which are incorporated by reference. As used in the Standard Provisions, "Consultant" shall refer to Kimley-Horn and Associates, Inc., and "Client" shall refer to The Town of Holly Springs.

Kimley-Horn, in an effort to expedite invoices and reduce paper waste, submits invoices via email in an Adobe PDF format. We can also provide a paper copy via regular mail if requested. Please include the invoice number and Kimley-Horn project number with all payments. Please provide the following information:

____ Please email all invoices to _____

____ Please copy _____

If you want us to proceed with the services, please have an authorized person sign this Agreement below and return to us [with a retainer of _____]. We will commence services only after we have received a fully executed agreement and a retainer in the amount of \$_____. Fees and times stated in this Agreement are valid for sixty (60) days after the date of this letter.

To ensure proper set up of your projects so that we can get started, please complete and return with the signed copy of this Agreement the attached Request for Information. Failure to supply this information could result in delay in starting work on your project.

We appreciate the opportunity to provide these services to you. Please contact me if you have any questions.

Very truly yours,

KIMLEY-HORN AND ASSOCIATES, INC.

Signed: 
 Printed Name: Todd Ireland
 Title: Vice President

Signed: 
 Printed Name: Chad Beck
 Title: Vice President

The Town of Holly Springs

SIGNED: _____

PRINTED NAME: _____

TITLE: _____

Client's Federal Tax ID: _____
 Client's Business License No.: _____
 Client's Street Address: _____

Attachment – Request for Information
 Attachment – Standard Provisions

Request for Information

Please return this information with your signed contract; failure to provide this information could result in delay in starting your project

Client Identification

Full, Legal Name of Client					
Mailing Address for Invoices					
Contact for Billing Inquiries					
Contact's Phone and e-mail					
Client is (check one)	Owner	☐	Agent for Owner	☐	Unrelated to Owner

Property Identification

	Parcel 1	Parcel 2	Parcel 3	Parcel 4
Street Address				
County in which Property is Located				
Tax Assessor's Number(s)				

Property Owner Identification

	Owner 1	Owner 2	Owner 3	Owner 4
Owner(s) Name				
Owner(s) Mailing Address				
Owner's Phone No.				
Owner of Which Parcel #?				

Project Funding Identification – List Funding Sources for the Project

Attach additional sheets if there are more than 4 parcels or more than 4 owners

TOWN OF HOLLY SPRINGS CONTRACT SIGNATURE PAGE

NOTICE TO ALL CONTRACTORS & VENDORS:

Notwithstanding anything to the contrary in your contracts, this Contract is valid and enforceable only on the following conditions: Any language in the attached contract purporting to create an indemnity against the Town is hereby stricken and given no effect. Any provision for forum selection or choice of law other than the situs of this contract (Wake County, North Carolina) is hereby stricken and given no effect. The signatures below are only effective upon your acceptance of the foregoing. In the event that you do not accept this notice and notification, inform the Contract Manager/Contact listed below immediately. For contracts obligating a town expenditure exceeding \$500, a PO is required.

VENDOR SIGNATURE:

I certify the above language is acceptable.

_____ Date: _____

Printed Name & Title: _____

Approved as to form:

John Schifano, Town Attorney

Town Contact: _____

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

Antwan Morrison, Finance Director
PO Number: _____

TOWN OF HOLLY SPRINGS

By: _____
Randy Harrington, Town Manager

ATTEST:

(Town Seal)

By: _____
☐ Linda C. McKinney, Town Clerk
☐ Kathryn White, Deputy Town Clerk

KIMLEY-HORN AND ASSOCIATES, INC.
STANDARD PROVISIONS

(1) **Consultant's Scope of Services and Additional Services.** The Consultant will perform only the services specifically described in this Agreement. If requested by the Client and agreed to by the Consultant, the Consultant will perform Additional Services, which shall be governed by these provisions. Unless otherwise agreed to in writing, the Client shall pay the Consultant for any Additional Services an amount based upon the Consultant's then-current hourly rates plus an amount to cover certain direct expenses including telecommunications, in-house reproduction, postage, supplies, project related computer time, and local mileage. Other direct expenses will be billed at 1.15 times cost.

(2) **Client's Responsibilities.** In addition to other responsibilities herein or imposed by law, the Client shall:

- (a) Designate in writing a person to act as its representative, such person having complete authority to transmit instructions, receive information, and make or interpret the Client's decisions.
- (b) Provide all information and criteria as to the Client's requirements, objectives, and expectations for the project and all standards of development, design, or construction.
- (c) Provide the Consultant all available studies, plans, or other documents pertaining to the project, such as surveys, engineering data, environmental information, etc., all of which the Consultant may rely upon.
- (d) Arrange for access to the site and other property as required for the Consultant to provide its services.
- (e) Review all documents or reports presented by the Consultant and communicate decisions pertaining thereto within a reasonable time so as not to delay the Consultant.
- (f) Furnish approvals and permits from governmental authorities having jurisdiction over the project and approvals and consents from other parties as may be necessary.
- (g) Obtain any independent accounting, legal, insurance, cost estimating and feasibility services required by Client.
- (h) Give prompt written notice to the Consultant whenever the Client becomes aware of any development that affects the Consultant's services or any defect or noncompliance in any aspect of the project.

(3) **Period of Services.** Unless otherwise stated herein, the Consultant will begin work after receipt of a properly executed copy of this Agreement. This Agreement assumes conditions permitting continuous and orderly progress through completion of the services. Times for performance shall be extended as necessary for delays or suspensions due to circumstances that the Consultant does not control. If such delay or suspension extends for more than six months, Consultant's compensation shall be renegotiated.

(4) **Method of Payment.** Client shall pay Consultant as follows:

- (a) Invoices will be submitted periodically for services performed and expenses incurred. Payment of each invoice will be due within 30 days of receipt. The Client shall also pay any applicable sales tax. All retainers will be held by the Consultant and applied against the final invoice. ~~Interest will be added to accounts not paid within 25 days at the maximum rate allowed by law.~~ If the Client fails to make any payment due under this or any other agreement within 30 days after the Consultant's transmittal of its invoice, the Consultant may, after giving notice to the Client, suspend services and withhold deliverables until all amounts due are paid.
- (b) If the Client relies on payment or proceeds from a third party to pay Consultant and Client does not pay Consultant's invoice within 60 days of receipt, Consultant may communicate directly with such third party to secure payment.
- (c) If the Client objects to an invoice, it must advise the Consultant in writing giving its reasons within 14 days of receipt of the invoice or the Client's objections will be waived, and the invoice shall conclusively be deemed due and owing. If the Client objects to only a portion of the invoice, payment for all other portions remains due.
- (d) ~~If the Consultant initiates legal proceedings to collect payment, it may recover, in addition to all amounts due, its reasonable attorneys' fees, reasonable experts' fees, and other expenses related to the proceedings. Such expenses shall include the cost, at the Consultant's normal hourly billing rates, of the time devoted to such proceedings by its employees.~~
- (e) The Client agrees that the payment to the Consultant is not subject to any contingency or condition. The Consultant may negotiate payment of any check tendered by the Client, even if the words "in full satisfaction" or words intended to have similar effect appear on the check without such negotiation being an accord and satisfaction of any disputed debt and without prejudicing any right of the Consultant to collect additional amounts from the Client.

(5) **Use of Documents.** All documents and data prepared by the Consultant are related exclusively to the services described in this Agreement, and may be used only if the Client has satisfied all of its obligations under this Agreement. They are not intended or represented to be suitable for use or reuse by the Client or others on extensions of this project or on any other project. Any modifications by the Client to any of the Consultant's documents, or any reuse of the documents without written authorization by the Consultant will be at the Client's sole risk and without liability to the Consultant, and the Client shall indemnify, defend and hold the Consultant harmless from all claims, damages, losses and expenses, including but not limited to attorneys' fees, resulting therefrom. The Consultant's electronic files and source code remain the property of the Consultant and shall be provided to the Client only if expressly provided for in this Agreement. Any electronic files not containing an electronic seal are provided only for the convenience of the Client,

and use of them is at the Client's sole risk. In the case of any defects in the electronic files or any discrepancies between them and the hardcopy of the documents prepared by the Consultant, the hardcopy shall govern.

(6) **Opinions of Cost.** Because the Consultant does not control the cost of labor, materials, equipment or services furnished by others, methods of determining prices, or competitive bidding or market conditions, any opinions rendered as to costs, including but not limited to the costs of construction and materials, are made solely based on its judgment as a professional familiar with the industry. The Consultant cannot and does not guarantee that proposals, bids or actual costs will not vary from its opinions of cost. If the Client wishes greater assurance as to the amount of any cost, it shall employ an independent cost estimator. Consultant's services required to bring costs within any limitation established by the Client will be paid for as Additional Services.

(7) **Termination.** The obligation to provide further services under this Agreement may be terminated by either party upon seven days' written notice in the event of substantial failure by the other party to perform in accordance with the terms hereof, or upon thirty days' written notice for the convenience of the terminating party. The Consultant shall be paid for all services rendered and expenses incurred to the effective date of termination, and other reasonable expenses incurred by the Consultant as a result of such termination.

(8) **Standard of Care.** The standard of care applicable to Consultant's services will be the degree of care and skill ordinarily exercised by consultants performing the same or similar services in the same locality at the time the services are provided. No warranty, express or implied, is made or intended by the Consultant's performance of services, and it is agreed that the Consultant is not a fiduciary with respect to the Client.

(9) **LIMITATION OF LIABILITY.** In recognition of the relative risks and benefits of the Project to the Client and the Consultant, the risks are allocated such that, to the fullest extent allowed by law, and notwithstanding any other provisions of this Agreement or the existence of applicable insurance coverage, that the total liability, in the aggregate, of the Consultant and the Consultant's officers, directors, employees, agents, and subconsultants to the Client or to anyone claiming by, through or under the Client, for any and all claims, losses, costs or damages whatsoever arising out of or in any way related to the services under this Agreement from any causes, including but not limited to, the negligence, professional errors or omissions, strict liability or breach of contract or any warranty, express or implied, of the Consultant or the Consultant's officers, directors, employees, agents, and subconsultants, shall not exceed the Consultant's policy limits. Higher limits of liability may be negotiated for additional fee. This Section 9 is intended solely to limit the remedies available to the Client or those claiming by or through the Client, and nothing in this Section 9 shall require the Client to indemnify the Consultant.

(10) **Mutual Waiver of Consequential Damages.** In no event shall either party be liable to the other for any consequential, incidental, punitive, or indirect damages including but not limited to loss of income or loss of profits.

(11) **Construction Costs.** Under no circumstances shall the Consultant be liable for extra costs or other consequences due to unknown conditions or related to the failure of contractors to perform work in accordance with the plans and specifications. Consultant shall have no liability whatsoever for any costs arising out of the Client's decision to obtain bids or proceed with construction before the Consultant has issued final, fully-approved plans and specifications. The Client acknowledges that all preliminary plans are subject to substantial revision until plans are fully approved and all permits obtained.

(12) **Certifications.** All requests for the Consultant to execute certificates, lender consents, or other third-party reliance letters must be submitted to the Consultant at least 14 days prior to the requested date of execution. The Consultant shall not be required to execute certificates, consents, or third-party reliance letters that are inaccurate, that relate to facts of which the Consultant does not have actual knowledge, or that would cause the Consultant to violate applicable rules of professional responsibility.

(13) **Dispute Resolution.** All claims by the Client arising out of this Agreement or its breach shall be submitted first to mediation in accordance with the American Arbitration Association as a condition precedent to litigation. Any mediation or civil action by Client must be commenced within one year of the accrual of the cause of action asserted but in no event later than allowed by applicable statutes.

(14) **Hazardous Substances and Conditions.** Consultant shall not be a custodian, transporter, handler, arranger, contractor, or remediator with respect to hazardous substances and conditions. Consultant's services will be limited to analysis, recommendations, and reporting, including, when agreed to, plans and specifications for isolation, removal, or remediation. The Consultant will notify the Client of unanticipated hazardous substances or conditions of which the Consultant actually becomes aware. The Consultant may stop affected portions of its services until the hazardous substance or condition is eliminated.

(15) **Construction Phase Services.**

(a) If the Consultant prepares construction documents and the Consultant is not retained to make periodic site visits, the Client assumes all responsibility for interpretation of the documents and for construction observation, and the Client waives any claims against the Consultant in any way connected thereto.

(b) The Consultant shall have no responsibility for any contractor's means, methods, techniques, equipment choice and usage, sequence, schedule, safety programs, or safety practices, nor shall Consultant have any authority or responsibility to stop or direct the work of any contractor. The Consultant's visits will be for the purpose of endeavoring to provide the Client a greater degree of confidence that the completed work of its contractors will generally conform to the construction documents prepared by the Consultant. Consultant neither guarantees the performance of contractors, nor assumes responsibility for any contractor's failure to perform its work in accordance with the contract documents.

(c) The Consultant is not responsible for any duties assigned to it in the construction contract that are not expressly provided for in this Agreement. The Client agrees that each contract with any contractor shall state that the contractor shall be solely responsible for job site safety and its means and methods; that the contractor shall indemnify the Client and the Consultant for all claims and liability arising out of job site accidents; and that the Client and the Consultant shall be made additional insureds under the contractor's general liability insurance policy.

(16) No Third-Party Beneficiaries; Assignment and Subcontracting. This Agreement gives no rights or benefits to anyone other than the Client and the Consultant, and all duties and responsibilities undertaken pursuant to this Agreement will be for the sole benefit of the Client and the Consultant. The Client shall not assign or transfer any rights under or interest in this Agreement, or any claim arising out of the performance of services by Consultant, without the written consent of the Consultant. The Consultant reserves the right to augment its staff with subconsultants as it deems appropriate due to project logistics, schedules, or market conditions. If the Consultant exercises this right, the Consultant will maintain the agreed-upon billing rates for services identified in the contract, regardless of whether the services are provided by in-house employees, contract employees, or independent subconsultants.

(17) Confidentiality. The Client consents to the use and dissemination by the Consultant of photographs of the project and to the use by the Consultant of facts, data and information obtained by the Consultant in the performance of its services. If, however, any facts, data or information are specifically identified in writing by the Client as confidential, the Consultant shall use reasonable care to maintain the confidentiality of that material.

(18) Miscellaneous Provisions. This Agreement is to be governed by the law of the State where the Project is located. This Agreement contains the entire and fully integrated agreement between the parties and supersedes all prior and contemporaneous negotiations, representations, agreements or understandings, whether written or oral. Except as provided in Section 1, this Agreement can be supplemented or amended only by a written document executed by both parties. Any conflicting or additional terms on any purchase order issued by the Client shall be void and are hereby expressly rejected by the Consultant. Any provision in this Agreement that is unenforceable shall be ineffective to the extent of such unenforceability without invalidating the remaining provisions. The non-enforcement of any provision by either party shall not constitute a waiver of that provision nor shall it affect the enforceability of that provision or of the remainder of this Agreement.



Exhibit A

September 13, 2021

Kimley-Horn and Associates
421 Fayetteville Street, Suite 600
Raleigh, NC 27601

Attn: Todd Ireland, CET
Vice President

RE: Proposed Scope of Services for Construction Engineer & Inspections
U-6243 Holly Springs Road Widening Phase II
Holly Springs, NC

Mr. Ireland,

JMT is pleased to provide you with this scope for Construction Engineering & Inspection services on the above referenced project. JMT has the capability and experience to perform the services requested. Based on the contractor's scope of work and the anticipated operations that will be performed concurrently, we feel it is appropriate to staff the project with two full-time inspectors, and one part-time inspector. By including a part-time inspector, we feel our team will be able to cover all inspection and testing needs that may arise, while also having the flexibility to allow for cost savings during "slower" phases of construction (i.e. NCDOT seasonal limitations, etc.).

Herein you will find a summary of our scope of services and estimated fee.

Proposed Scope of Services

JMT will perform Construction Inspection, Materials Testing and Sampling, and Limited Construction Administration (CA) for the project. These services will include the following:

Construction Inspection

- Daily observation and documentation of the contractor's operations
- Erosion control inspections in accordance with NPDES requirements
- Materials Received Reporting (MRRs)
- Red-lined as-built drawings
- Monitoring of subcontractor's operations for DBE compliance
- Completion of testing reports including pile driving logs, density and concrete testing reports
- Asphalt Roadway Reports
- Tracking of pay quantities
- Conducting wage rate interviews
- Monitoring of Traffic Control

Construction Materials Testing and Sampling

- Materials testing and sampling in accordance with NCDOT's Minimum Sampling Guide
- Compaction testing of subgrade soil
- Proofrolling to verify stability
- Field testing of fresh concrete
- Sampling of fresh concrete, borrow material, Aggregate Base Course (ABC), and asphalt

Limited Construction Administration

- Assist Kimley-Horn as needed, specifically with NCDOT related issues
- Assist in coordination between NCDOT Division 5, NCDOT Turnpike Authority (NCTA), and project team regarding the nearby "Complete 540" project
- Attend progress meetings
- Perform site visits as needed to assist in solving issues that arise in the field

Fee

Based upon the proposed scope of work herein, our fee is shown below:

Construction Engineering & Inspection (JMT) - \$1,826,655.97

Attached is our Construction Engineering & Inspection fee estimate breakdown on the NCDOT's Scope and Fee spreadsheet. Included on this spreadsheet are our Direct Costs.

JMT plans to invoice our monthly efforts for CEI services based on a time and material basis, which are highly contingent upon the contractor's work schedule. The fee shown above is an estimate and is hereby an amount not to exceed without prior written authorization from the Town.

If you have any questions or need further information, please do not hesitate to contact me at 919-812-9288 or ptownsend@jmt.com.

Sincerely,

JOHNSON, MIRMIRAN & THOMPSON, INC.



Phillip Townsend, PE
Senior Associate



Bill Jenkins, PE, PLA
Senior Vice President

**PROPOSAL FOR CONSTRUCTION SERVICES**

Date: September 13, 2021
Company: Kimley-Horn
Address: 421 Fayetteville St., Ste 600
Raleigh, NC 27601
Attn.: Todd Ireland
Project Name: U-6243 Holly Springs Road
Location: Holly Springs
Site Contact: TBD

Scope of Work:

- 200 Concrete compressive strength tests
- 40 Asphalt Core Thickness & Density
- 5 Borrow Sample Tests
- 6 ABC Proctor Tests
- 10 Trips (1/2 Day) for Technician w/ Nuclear Gauge

Fee: Work shall be invoiced based on:
☒ Unit Rates (attached) (Est. \$14,000)
☐ Lump Sum \$

Invoicing: Billing Address: _____
Attn.: _____
PO No.: _____

Scheduling: For daily inspections and tests, Stewart requires that the contractor call or email a request for services by 3 p.m. on the day prior to the need. For weekend or holiday work, at least a 48-hr notice is required.

Acceptance: _____
Signature Print Name Date

BILLING RATES**STAFF RATES (PER HOUR)**

1. Engineering Technician I	\$ 48.00
2. Engineering Technician II	\$ 56.00
3. Engineering Technician III	\$ 69.00
4. Special Inspector I	\$ 64.00
5. Special Inspector II	\$ 69.00
6. Special Inspector III	\$ 79.00
7. Certified Welding Inspector (CWI)	\$ 95.00
8. Testing & Inspections Project Manager	\$ 105.00
9. Testing & Inspection Service Line Manager (PE)	\$ 130.00
10. Geotechnical Engineering Intern (EI)	\$ 95.00
11. Geotechnical Project Engineer (PE)	\$ 105.00
12. Geotechnical Project Manager (PE)	\$ 115.00
13. Practice Leader (PE)	\$ 185.00
14. Clerical	\$ 55.00

LABORATORY TESTING & EQUIPMENT CHARGES (EACH)

1. Atterberg Limits	\$ 100.00
2. Particle Size Analysis: Soil / Aggregate	\$ 90.00/\$125.00
3. Washed #200	\$ 60.00
4. Hydrometer	\$ 85.00
5. Specific Gravity	\$ 95.00
6. Water Content	\$ 15.00
7. NCDOT Soil Classification Suite	\$ 185.00
8. Organic Content (Loss of Ignition)	\$ 65.00
9. Corrosion Suite – soil (pH, resistivity, sulfate, chloride)	\$ 375.00
10. Thermal Conductivity of Soil	\$ 700.00
11. Compaction Characteristics (Proctor Tests)	
a. Standard: Soil / Aggregate	\$ 150.00/\$175.00
b. Modified: Soil / Aggregate	\$ 165.00/\$200.00
12. Proctor Rush Surcharge	\$ 35.00
13. Proctor Rock Correction Surcharge	\$ 35.00
14. CBR Testing	
a. One point	\$ 225.00
b. Three points	\$ 550.00
15. Unit Weight Determination/One-point proctor	\$ 65.00
16. Tri-axial Shear Strength	
a. Unconsolidated-Undrained	\$ 400.00
b. Consolidated-Undrained w/ pore pressure	\$ 1,200.00
c. Consolidated-Drained w/ pore pressure	\$ 900.00
d. Remolding Charge (per point)	\$ 75.00
17. Soil Permeability	
a. Undisturbed	\$ 300.00
b. Remolded	\$ 350.00
18. Consolidation	\$ 650.00
19. Expansion Index	\$ 425.00
20. Soil Swell Test (30-day)	\$ 625.00
21. Compressive Strength Testing	
a. Concrete Cylinders (4-in. x 8-in.)	\$ 12.00
b. Concrete Cylinders (6-in. x 12-in.)	\$ 20.00
c. Concrete Cores	\$ 30.00
d. Concrete Beams (flexural strength)	\$ 100.00
e. Mortar Cubes	\$ 20.00
f. Grout Prisms	\$ 30.00
g. Rock cores	\$ 100.00
22. Asphalt Core Thickness and Density	\$ 125.00
23. Concrete Coring Equipment (per day)	\$ 300.00
24. Sprayed Fireproofing Material	
a. Density	\$ 32.50
b. Adhesion	\$ 32.50
25. Floor Flatness Equipment (per day)	\$ 250.00

NOTES

1. All Technician and Inspector rates are subject to a 1.5 multiplier for overtime, which includes greater than 8 hours per day, Saturdays and work before 7 a.m. and after 6 p.m. Sunday hours will be billed with a 2.0 multiplier. Holiday hours will be billed with a 3.0 multiplier. Billing increments for all staff is ¼-hour.
2. For scheduling purposes, Stewart requires notification before 2 p.m. the preceding day for all testing and inspection services. When able, we will cover work on shorter notice but cannot guarantee staff availability.
3. Compression testing premium of \$20.00 per test applied to weekend breaks.

CEI and ALL TECHNICIAN SCOPE and ESTIMATE--(WITH SHIFT PREMIUM No 87% Rule--STAND-ALONE or ON-CALL)

Version: 2021.07.06.RJS

Choose YES or NO to Hide/Unhide Appropriate Estimate Sheets as dictated by Task Order Scope.

Construction Engineering and Inspection (CEI)

WBS-XXXXX.XX

PROJECT DESCRIPTION

LSC #XXXXXXXXXX

ENGINEERING AND INSPECTION TECHNICIANS

Regular Direct Labor

Kimley-Horn	Prime Contractor Technicians	\$	-	Prime CEI Tech Salary Cost	Prime CEI Tech Fee Cost
Kimley-Horn	Prime Contractor Overhead Audited -- FIELD	\$	-	\$	-
JMT	Subcontractor1 Technicians	\$	630,225.54	Sub1 CEI Tech Salary Cost	Sub1 CEI Tech Fee Cost
JMT	Subcontractor1 Overhead Audited -- FIELD	122.02%	769,001.20	\$ 1,399,226.74	\$ 125,930.41
SUBCONTRACTOR2 NAME	Subcontractor2 Technicians	\$	-	Sub2 CEI Tech Salary Cost	Sub2 CEI Tech Fee Cost
SUBCONTRACTOR2 NAME	Subcontractor2 Overhead Audited -- FIELD	\$	-	\$	-
SUBCONTRACTOR3 NAME	Subcontractor3 Technicians	\$	-	Sub3 CEI Tech Salary Cost	Sub3 CEI Tech Fee Cost
SUBCONTRACTOR3 NAME	Subcontractor3 Overhead Audited -- FIELD	\$	-	\$	-
Subtotal		\$	1,399,226.74	\$ 1,399,226.74	\$ 125,930.41
Operating Margin (Fixed Fee Rate) (Usually 9%)		9.00%	\$ 125,930.41		
Subtotal		\$	1,525,157.15		
Kimley-Horn	TOTAL PREMIUM LABOR - Prime Contractor	\$	-	Prime TOTAL CEI Tech Cost	\$
JMT	TOTAL PREMIUM LABOR - Subcontractor1	\$	41,764.14	Sub1 TOTAL CEI Tech Cost	\$ 1,566,921.29
SUBCONTRACTOR2 NAME	TOTAL PREMIUM LABOR - Subcontractor2	\$	-	Sub2 TOTAL CEI Tech Cost	\$
SUBCONTRACTOR3 NAME	TOTAL PREMIUM LABOR - Subcontractor3	\$	-	Sub3 TOTAL CEI Tech Cost	\$
TOTAL DIRECT SALARY COST CEI TECHNICIANS		\$	1,566,921.29	\$	1,566,921.29

PROJECT MANAGEMENT/CONTRACT ADMINISTRATION

Direct Labor

Kimley-Horn	Prime Contractor Project Manager	\$	263,638.32	Prime PM/CA Salary Cost	Prime PM/CA Fee Cost
Kimley-Horn	Prime Contractor Overhead	194.46%	512,671.08	\$ 776,309.40	\$ 69,867.85
JMT	Subcontractor1 Project Manager	\$	65,520.00	Sub1 PM/CA Salary Cost	Sub1 PM/CA Fee Cost
JMT	Subcontractor1 Overhead	148.35%	97,198.92	\$ 162,718.92	\$ 14,644.70
SUBCONTRACTOR2 NAME	Subcontractor2 Project Manager	\$	-	Sub2 PM/CA Salary Cost	Sub2 PM/CA Fee Cost
SUBCONTRACTOR2 NAME	Subcontractor2 Overhead	\$	-	\$	-
SUBCONTRACTOR3 NAME	Subcontractor3 Project Manager	\$	-	Sub3 PM/CA Salary Cost	Sub3 PM/CA Fee Cost
SUBCONTRACTOR3 NAME	Subcontractor3 Overhead	\$	-	\$	-
Subtotal		\$	939,028.32		
Operating Margin (Fixed Fee Rate) (Usually 9%)		9.00%	\$ 84,512.55	\$ 939,028.32	\$ 84,512.55
TOTAL DIRECT SALARY COST PM/CA		\$	1,023,540.87	\$	1,023,540.87

APPENDIX D (continued)			
PROJECT DIRECT EXPENSES			
TOTAL DIRECT EXPENSES		\$	98,611.60
AGREEMENT COSTS AND FEES SUMMARY			
Direct Salary Cost CEI Technicians		\$	1,566,921.29
Direct Salary Cost Project Management/Contract Administration		\$	1,023,540.87
Project Direct Expenses		\$	98,611.60
TOTAL AGREEMENT COSTS AND FEES		\$	2,689,073.76
Kimley-Horn	Facilities Cost of Capital (Prime Contractor TECHNICIANS) FIELD	0.310%	\$ -
Kimley-Horn	Facilities Cost of Capital (Prime Contractor PROJECT MANAGER) HOME	0.310%	\$ 817.28
JMT	Facilities Cost of Capital (Subcontractor 1 TECHNICIANS) FIELD	0.210%	\$ 1,323.47
JMT	Facilities Cost of Capital (Subcontractor 1 PROJECT MANAGER) HOME	0.210%	\$ 137.59
SUBCONTRACTOR2 NAME	Facilities Cost of Capital (Subcontractor 2 TECHNICIANS) FIELD	\$	-
SUBCONTRACTOR2 NAME	Facilities Cost of Capital (Subcontractor 2 PROJECT MANAGER) HOME	\$	-
SUBCONTRACTOR3 NAME	Facilities Cost of Capital (Subcontractor 3 TECHNICIANS) FIELD	\$	-
SUBCONTRACTOR3 NAME	Facilities Cost of Capital (Subcontractor 3 PROJECT MANAGER) HOME	\$	-
TOTAL Non-DIRECT SALARY COST CEI TECHNICIANS & PM/CA		\$	2,278.34
TOTAL DIRECT and NON-DIRECT SALARY COST CEI TECHS & PM/CA		\$	2,592,740.50
Contingency			
TOTAL AGREEMENT AMOUNT		\$	2,691,352.10
FOR STAND-ALONE PURCHASE ORDERS ONLY -- ADDITIVE:			
STAND-ALONE PO WILL BE WRITTEN FOR THIS AMOUNT:			
MANHOURS TECHNICIANS		17748	
MANHOURS PROJECT MANAGEMENT		5433	
TOTAL MANHOURS		23181	
LABOR COSTS \$		2,592,740.50	
DIRECT EXPENSES \$		98,611.60	
TOTAL COSTS		\$2,691,352.10	
Prime TOTAL CoC Cost		PRIME TOTAL D&ND Salary COST	
\$ 817.28		\$ 846,994.53	
Sub1 TOTAL CoC Cost		Sub1 TOTAL D&ND Salary COST	
\$ 1,461.06		\$ 1,745,745.97	
Sub2 TOTAL CoC Cost		Sub2 TOTAL D&ND Salary COST	
\$ -		\$ -	
Sub3 TOTAL CoC Cost		Sub3 TOTAL D&ND Salary COST	
\$ -		\$ -	
\$ 2,278.34		\$ 2,592,740.50	
TOTAL AGREEMENT AMOUNT		\$ 2,691,352.10	

Total Labor Cost
\$671,989.68

ENGINEERING AND INSPECTION - TECHNICIANS
DIRECT LABOR COST SUMMARY
PROJECT DESCRIPTION
JMT

CALENDAR YEAR **2021**

Personnel Classification / Employee Name	Regular Hours ¹	Overtime Hours ²	Total Hours	Regular Rate ³	Regular Labor Cost	Overtime Hours	Overtime Rate	Overtime Labor Cost	Shift Premium Hours	Shift Premium Rate	Shift Premium Labor Cost	Total Labor Cost
Transportation Technician IV	1980	198	2178	\$ 37.32	\$ 81,282.96	198	\$ 18.66	\$ 3,694.68	990	\$ 3.73	\$ 3,692.70	\$ 88,670.34
Transportation Technician III	1980	198	2178	\$ 32.99	\$ 71,852.22	198	\$ 16.50	\$ 3,267.00	990	\$ 3.30	\$ 3,267.00	\$ 78,386.22
Transportation Technician IV (Part Time)	1560		1560	\$ 36.50	\$ 56,940.00	0	\$ 18.25	\$ -		\$ 3.65	\$ -	\$ 56,940.00
			0		\$ -	0	\$ -	\$ -		\$ -	\$ -	\$ -
			0		\$ -	0	\$ -	\$ -		\$ -	\$ -	\$ -
			0		\$ -	0	\$ -	\$ -		\$ -	\$ -	\$ -
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			0		\$ -	0	\$ -	\$ -		\$ -	\$ -	\$ -
TOTALS	5520	396	5916		\$ 210,075.18	396		\$ 6,961.68	1980		\$ 6,959.70	\$ 223,996.56

NOTES:

¹ Estimated 165 hours / month

² Estimated 10% of Regular Hours

³ Rates shown are Maximum Allowable Rates for purposes of establishing the Project CEI budget.

Actual Reimbursable Rates will be approved by the DEPARTMENT for each technician and shall not exceed the maximum allowable rates established for the classification.

TOTAL PREMIUM LABOR \$ 13,921.38

ENGINEERING AND INSPECTION - TECHNICIANS
DIRECT LABOR COST SUMMARY
PROJECT DESCRIPTION
JMT

CALENDAR YEAR 2022

Personnel Classification / Employee Name	Regular Hours ¹	Overtime Hours ²	Total Hours	Regular Rate ³	Regular Labor Cost	Overtime Hours	Overtime Rate	Overtime Labor Cost	Shift Premium Hours	Shift Premium Rate	Shift Premium Labor Cost	Total Labor Cost
Transportation Technician IV	1980	198	2178	\$ 37.32	\$ 81,282.96	198	\$ 18.66	\$ 3,694.68	990	\$ 3.73	\$ 3,692.70	\$ 88,670.34
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			0	\$ -	\$ -	0	\$ -	\$ -		\$ -	\$ -	\$ -
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			0	\$ -	\$ -	0	\$ -	\$ -		\$ -	\$ -	\$ -
TOTALS	5520	396	5916		\$ 210,075.18	396		\$ 6,961.68	1980		\$ 6,959.70	\$ 223,996.56

NOTES:

TOTAL PREMIUM LABOR \$ 13,921.38

¹ Estimated 165 hours / month² Estimated 10% of Regular Hours³ Rates shown are Maximum Allowable Rates for purposes of establishing the Project CEI budget.

Actual Reimbursable Rates will be approved by the DEPARTMENT for each technician and shall not exceed the maximum allowable rates established for the classification.

ENGINEERING AND INSPECTION - TECHNICIANS
DIRECT LABOR COST SUMMARY
PROJECT DESCRIPTION
JMT

CALENDAR YEAR 2023

Personnel Classification / Employee Name	Regular Hours ¹	Overtime Hours ²	Total Hours	Regular Rate ³	Regular Labor Cost	Overtime Hours	Overtime Rate	Overtime Labor Cost	Shift Premium Hours	Shift Premium Rate	Shift Premium Labor Cost	Total Labor Cost
Transportation Technician IV	1980	198	2178	\$ 37.32	\$ 81,282.96	198	\$ 18.66	\$ 3,694.68	990	\$ 3.73	\$ 3,692.70	\$ 88,670.34
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			0	\$ -	\$ -	0	\$ -	\$ -		\$ -	\$ -	\$ -
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			0	\$ -	\$ -	0	\$ -	\$ -		\$ -	\$ -	\$ -
TOTALS	5520	396	5916		\$ 210,075.18	396		\$ 6,961.68	1980		\$ 6,959.70	\$ 223,996.56

NOTES:

TOTAL PREMIUM LABOR \$ 13,921.38

¹ Estimated 165 hours / month² Estimated 10% of Regular Hours³ Rates shown are Maximum Allowable Rates for purposes of establishing the Project CEI budget.

Actual Reimbursable Rates will be approved by the DEPARTMENT for each technician and shall not exceed the maximum allowable rates established for the classification.

ENGINEERING AND INSPECTION - TECHNICIANS
DIRECT LABOR COST SUMMARY
PROJECT DESCRIPTION
JMT

GRAND TOTAL FOR ALL CALENDAR YEARS 2021 TO 0

Personnel Classification / Employee Name	Regular Hours ¹	Overtime Hours ²	Total Hours	Regular Rate ³	Regular Labor Cost	Overtime Hours	Overtime Rate	Overtime Labor Cost	Shift Premium Hours	Shift Premium Rate	Shift Premium Labor Cost	Total Labor Cost
TOTALS	16560	1188	17748		\$630,225.54	1188		\$20,885.04	5940		\$ 20,879.10	\$671,989.68

NOTES:

¹ Estimated 165 hours / month² Estimated 10% of Regular Hours³ Rates shown are Maximum Allowable Rates for purposes of establishing the Project CEI budget.

Actual Reimbursable Rates will be approved by the DEPARTMENT for each technician and shall not exceed the maximum allowable rates established for the classification.

TOTAL PREMIUM LABOR \$ 41,764.14

Total Labor Cost
\$ 263,638.32

Robert J. Stroup:
Overtime is not allowed
for PROJECT MANAGERS.

ENGINEERING MANAGEMENT/CONTRACT ADMINISTRATION
DIRECT LABOR COST
PROJECT DESCRIPTION
Kimley-Horn

CALENDAR YEAR 2021

Personnel Classification / Employee Name ¹	Regular Hours	Overtime Hours	Total Hours	Regular Rate	Regular Labor Cost	Overtime Hours	Overtime Rate	Overtime Labor Cost	Total Labor Cost
PROJECT MANAGER - Todd Ireland	495		495	\$ 70.20	\$ 34,749.00	0	\$ 35.10	\$ -	\$ 34,749.00
SENIOR ENGINEER - Chad Beck (EOR)	70		70	\$ 67.32	\$ 4,712.40	0	\$ 33.66	\$ -	\$ 4,712.40
ENGINEER - Tyler White	22		22	\$ 43.52	\$ 957.44	0	\$ 21.76	\$ -	\$ 957.44
ENGINEER - Caleb Lowman	450		450	\$ 46.64	\$ 20,988.00	0	\$ 23.32	\$ -	\$ 20,988.00
TOTALS	1037	0	1037		\$ 61,406.84	0	\$ 113.84	\$ -	\$ 61,406.84

¹ One Management visit for prime firm is reimbursable every quarter
One Management visit from subcontractors is reimbursable two times per year

Robert J. Stroup:
Overtime is not allowed
for PROJECT MANAGERS.

ENGINEERING MANAGEMENT/CONTRACT ADMINISTRATION
DIRECT LABOR COST
PROJECT DESCRIPTION
Kimley-Horn

CALENDAR YEAR **2021**

Personnel Classification / Employee Name ¹	Regular Hours	Overtime Hours	Total Hours	Regular Rate	Regular Labor Cost	Overtime Hours	Overtime Rate	Overtime Labor Cost	Total Labor Cost
ENGINEER - Patrick Cooksey (Structural EOR)	105		105	\$ 44.72	\$ 4,695.60	0	\$ 22.36	\$ -	\$ 4,695.60
ENGINEER - Nate Harvey (Water/Sewer EOR)	180		180	\$ 44.72	\$ 8,049.60	0	\$ 22.36	\$ -	\$ 8,049.60
ANALYST - Liam Kelley	25		25	\$ 31.74	\$ 793.50	0	\$ 15.87	\$ -	\$ 793.50
			0		\$ -	0	\$ -	\$ -	\$ -
TOTALS	310	0	310	\$ 121.18	\$ 13,538.70	0	\$ 60.59	\$ -	\$ 13,538.70

¹ One Management visit for prime firm is reimbursable every quarter
One Management visit from subcontractors is reimbursable two times per year

ENGINEERING MANAGEMENT/CONTRACT ADMINISTRATION
DIRECT LABOR COST
PROJECT DESCRIPTION
Kimley-Horn

Robert J. Stroup:
Overtime is not allowed
for PROJECT MANAGERS.

CALENDAR YEAR **2022**

Personnel Classification / Employee Name ¹	Regular Hours	Overtime Hours	Total Hours	Regular Rate	Regular Labor Cost	Overtime Hours	Overtime Rate	Overtime Labor Cost	Total Labor Cost
PROJECT MANAGER - Todd Ireland	495		495	\$ 73.71	\$ 36,486.45	0	\$ 36.86	\$ -	\$ 36,486.45
SENIOR ENGINEER - Chad Beck (EOR)	70		70	\$ 70.69	\$ 4,948.30	0	\$ 35.35	\$ -	\$ 4,948.30
ENGINEER - Tyler White	22		22	\$ 45.70	\$ 1,005.40	0	\$ 22.85	\$ -	\$ 1,005.40
ENGINEER - Caleb Lowman	450		450	\$ 48.97	\$ 22,036.50	0	\$ 24.49	\$ -	\$ 22,036.50
TOTALS	1037	0	1037	\$ 239.07	\$ 64,476.65	0	\$ 119.54	\$ -	\$ 64,476.65

¹ One Management visit for prime firm is reimbursable every quarter
One Management visit from subcontractors is reimbursable two times per year

ENGINEERING MANAGEMENT/CONTRACT ADMINISTRATION
DIRECT LABOR COST
PROJECT DESCRIPTION
Kimley-Horn

Robert J. Stroup:
Overtime is not allowed
for PROJECT MANAGERS.

CALENDAR YEAR **2022**

Personnel Classification / Employee Name ¹	Regular Hours	Overtime Hours	Total Hours	Regular Rate	Regular Labor Cost	Overtime Hours	Overtime Rate	Overtime Labor Cost	Total Labor Cost
ENGINEER - Patrick Cooksey (Structural EOR)	105		105	\$ 46.96	\$ 4,930.80	0	\$ 23.48	\$ -	\$ 4,930.80
ENGINEER - Nate Harvey (Water/Sewer EOR)	180		180	\$ 46.96	\$ 8,452.80	0	\$ 23.48	\$ -	\$ 8,452.80
ANALYST - Liam Kelley	25		25	\$ 33.33	\$ 833.25	0	\$ 16.67	\$ -	\$ 833.25
			0		\$ -	0	\$ -	\$ -	\$ -
TOTALS	310	0	310	\$ 127.25	\$ 14,216.85	0	\$ 63.63	\$ -	\$ 14,216.85

¹ One Management visit for prime firm is reimbursable every quarter
One Management visit from subcontractors is reimbursable two times per year

Robert J. Stroup:
Overtime is not allowed
for PROJECT MANAGERS.

ENGINEERING MANAGEMENT/CONTRACT ADMINISTRATION
DIRECT LABOR COST
PROJECT DESCRIPTION
Kimley-Horn

CALENDAR YEAR **2023**

Personnel Classification / Employee Name ¹	Regular Hours	Overtime Hours	Total Hours	Regular Rate	Regular Labor Cost	Overtime Hours	Overtime Rate	Overtime Labor Cost	Total Labor Cost
PROJECT MANAGER - Todd Ireland	662		662	\$ 77.40	\$ 51,238.80	0	\$ 38.70	\$ -	\$ 51,238.80
SENIOR ENGINEER - Chad Beck (EOR)	80		80	\$ 74.22	\$ 5,937.60	0	\$ 37.11	\$ -	\$ 5,937.60
ENGINEER - Tyler White	31		31	\$ 47.98	\$ 1,487.38	0	\$ 23.99	\$ -	\$ 1,487.38
ENGINEER - Caleb Lowman	600		600	\$ 51.42	\$ 30,852.00	0	\$ 25.71	\$ -	\$ 30,852.00
TOTALS	1373	0	1373	\$ 251.02	\$ 89,515.78	0	\$ 125.51	\$ -	\$ 89,515.78

¹ One Management visit for prime firm is reimbursable every quarter
One Management visit from subcontractors is reimbursable two times per year

Robert J. Stroup:
Overtime is not allowed
for PROJECT MANAGERS.

ENGINEERING MANAGEMENT/CONTRACT ADMINISTRATION
DIRECT LABOR COST
PROJECT DESCRIPTION
Kimley-Horn

CALENDAR YEAR **2023**

Personnel Classification / Employee Name ¹	Regular Hours	Overtime Hours	Total Hours	Regular Rate	Regular Labor Cost	Overtime Hours	Overtime Rate	Overtime Labor Cost	Total Labor Cost
ENGINEER - Patrick Cooksey (Structural EOR)	140		140	\$ 49.30	\$ 6,902.00	0	\$ 24.65	\$ -	\$ 6,902.00
ENGINEER - Nate Harvey (Water/Sewer EOR)	240		240	\$ 49.30	\$ 11,832.00	0	\$ 24.65	\$ -	\$ 11,832.00
ANALYST - Liam Kelley	50		50	\$ 34.99	\$ 1,749.50	0	\$ 17.50	\$ -	\$ 1,749.50
			0		\$ -	0	\$ -	\$ -	\$ -
TOTALS	430	0	430	\$ 133.59	\$ 20,483.50	0	\$ 66.80	\$ -	\$ 20,483.50

¹ One Management visit for prime firm is reimbursable every quarter
One Management visit from subcontractors is reimbursable two times per year

ENGINEERING MANAGEMENT/CONTRACT ADMINISTRATION
DIRECT LABOR COST SUMMARY
PROJECT DESCRIPTION
Kimley-Horn

CALENDAR YEAR					2021	TO	2023		
Personnel Classification / Employee Name ¹	Regular Hours	Overtime Hours	Total Hours	Regular Rate	Regular Labor Cost	Overtime Hours	Overtime Rate	Overtime Labor Cost	Total Labor Cost
TOTALS	4497	0	4497		\$ 263,638.32	0		\$ -	\$ 263,638.32

¹ One Management visit for prime firm is reimbursable every quarter
 One Management visit from subcontractors is reimbursable two times per year

Total Labor Cost
\$ 65,520.00

ENGINEERING MANAGEMENT/CONTRACT ADMINISTRATION
DIRECT LABOR COST
PROJECT DESCRIPTION
JMT

CALENDAR YEAR

Personnel Classification / Employee Name ¹	Regular Hours	Overtime Hours	Total Hours	Regular Rate	Regular Labor Cost	Overtime Hours	Overtime Rate	Overtime Labor Cost	Total Labor Cost
PROJECT MANAGER	312		312	\$ 70.00	\$ 21,840.00	0	\$ 35.00	\$ -	\$ 21,840.00
			0		\$ -	0	\$ -	\$ -	\$ -
			0		\$ -	0	\$ -	\$ -	\$ -
			0		\$ -	0	\$ -	\$ -	\$ -
TOTALS	312	0	312		\$ 21,840.00	0	\$ 35.00	\$ -	\$ 21,840.00

¹ One Management visit for prime firm is reimbursable every quarter
One Management visit from subcontractors is reimbursable two times per year

ENGINEERING MANAGEMENT/CONTRACT ADMINISTRATION
DIRECT LABOR COST
PROJECT DESCRIPTION
JMT

CALENDAR YEAR

Personnel Classification / Employee Name ¹	Regular Hours	Overtime Hours	Total Hours	Regular Rate	Regular Labor Cost	Overtime Hours	Overtime Rate	Overtime Labor Cost	Total Labor Cost
PROJECT MANAGER	312		312	\$ 70.00	\$ 21,840.00	0	\$ 35.00	\$ -	\$ 21,840.00
			0		\$ -	0	\$ -	\$ -	\$ -
			0		\$ -	0	\$ -	\$ -	\$ -
			0		\$ -	0	\$ -	\$ -	\$ -
TOTALS	312	0	312	\$ 70.00	\$ 21,840.00	0	\$ 35.00	\$ -	\$ 21,840.00

¹ One Management visit for prime firm is reimbursable every quarter

One Management visit from subcontractors is reimbursable two times per year

ENGINEERING MANAGEMENT/CONTRACT ADMINISTRATION
DIRECT LABOR COST
PROJECT DESCRIPTION
JMT

CALENDAR YEAR

Personnel Classification / Employee Name ¹	Regular Hours	Overtime Hours	Total Hours	Regular Rate	Regular Labor Cost	Overtime Hours	Overtime Rate	Overtime Labor Cost	Total Labor Cost
PROJECT MANAGER	312		312	\$ 70.00	\$ 21,840.00	0	\$ 35.00	\$ -	\$ 21,840.00
			0		\$ -	0	\$ -	\$ -	\$ -
			0		\$ -	0	\$ -	\$ -	\$ -
			0		\$ -	0	\$ -	\$ -	\$ -
TOTALS	312	0	312	\$ 70.00	\$ 21,840.00	0	\$ 35.00	\$ -	\$ 21,840.00

¹ One Management visit for prime firm is reimbursable every quarter
 One Management visit from subcontractors is reimbursable two times per year

ENGINEERING MANAGEMENT/CONTRACT ADMINISTRATION
DIRECT LABOR COST SUMMARY
PROJECT DESCRIPTION
JMT

CALENDAR YEAR 0 TO 0

Personnel Classification / Employee Name ¹	Regular Hours	Overtime Hours	Total Hours	Regular Rate	Regular Labor Cost	Overtime Hours	Overtime Rate	Overtime Labor Cost	Total Labor Cost
TOTALS	936	0	936		\$ 65,520.00	0		\$ -	\$ 65,520.00

¹ One Management visit for prime firm is reimbursable every quarter

One Management visit from subcontractors is reimbursable two times per year

**CONTRACT ENGINEERING AND INSPECTION
DIRECT EXPENSES
FIELD EQUIPMENT AND SUPPLIES FURNISHED BY
PROJECT DESCRIPTION**

Version: 2021.07.06.RJS

TOTAL DIRECT COSTS:	\$ 98,611.60
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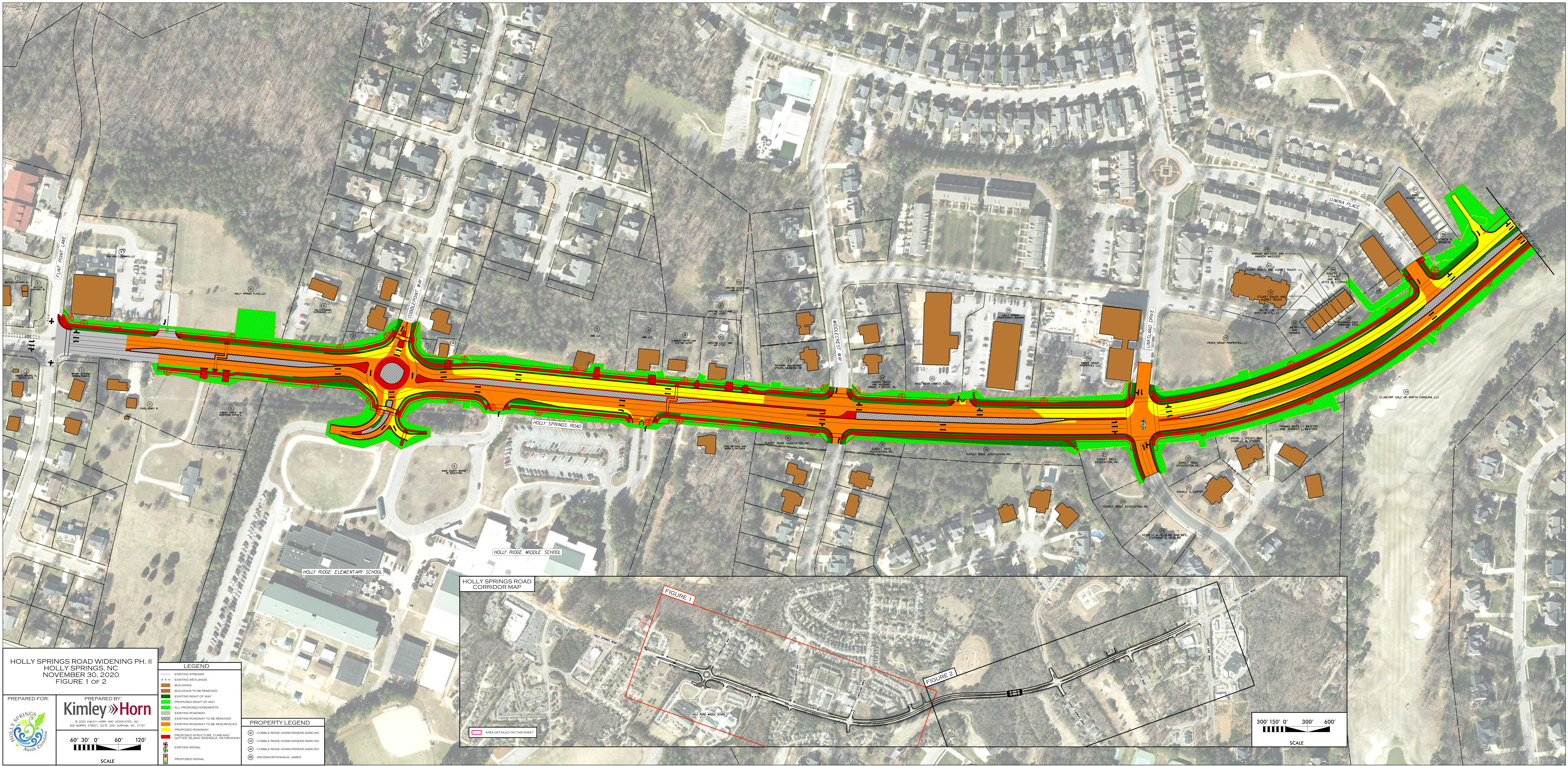
* Vehicle Base Rates per E. B. Tharrington, PE memo dated July 24, 2020 entitled "Vehicle Base Rates for Construction Engineering & Inspection".

** Nuclear Gauge monthly reimbursement rate per M. L. Sylvestre, PE memo dated May 13, 2019 entitled "Reimbursement for Private Engineering Firm Furnished Nuclear Gauge".

Phones, Computers, iPads, Data Plans, Wifi, ...etc. are in Overhead.

Item No.	Description	Months	Quantity	Unit	Unit Price	Unit Tax	Total Unit Cost	Salvage Value	Total Cost
1	Project Vehicles - 2 wheel drive - # Vehicles*	18	1	veh-mo	\$835.00		\$ 835.00		\$ 15,030.00
2	Gas Reimbursement: 2-WD @ \$0.16 per mile Gas reimbursement based on \$/gal/16 mpg.			miles	\$0.16				\$ -
3	Project Vehicles - 4 wheel drive - # Vehicles*	36	2	veh-mo	\$915.00		\$ 915.00		\$ 65,880.00
4	Gas Reimbursement: 4-WD @ \$0.19 per mile Gas reimbursement based on \$/gal/14mpg.			miles	\$0.19				\$ -
5	Project Vehicles - Survey Vehicle - # Vehicle			veh-mo			\$ -		\$ -
6	Gas Reimbursement: Survey Vehicle @ \$TBD per mile Gas reimbursement based on \$TBD/gal/TBD mpg			miles					\$ -
7	Communication (# mobile phones)-- -- RECOVERED THROUGH FIRM'S OVERHEAD.			mo			\$ -		\$ -
8	Survey Equipment			Actual Cost (Not-to-Exceed)			\$ -		\$ -
9	Troxler 3450 Thick Nuclear Gauges (Rent/Purchase)- MONTHLY REIMBURSEMENT RATE = \$400/month. **			gauge-month	\$ 400.00		\$ 400.00		\$ -
10	Leak Test, Calibration, Cleaning and Lubrication- INCLUDED IN MONTHLY REIMBURSEMENT RATE ABOVE. **			yr			\$ -		\$ -
11	Yearly NCDENR License Fee of -- INCLUDED IN MONTHLY REIMBURSEMENT RATE ABOVE. **			yr			\$ -		\$ -
12	Quarterly Testing of 10 Badges per test- INCLUDED IN MONTHLY REIMBURSEMENT RATE ABOVE. **			yr		\$ -	\$ -		\$ -
13	Mounted Transportation Box-- INCLUDED IN MONTHLY REIMBURSEMENT RATE ABOVE. **			Actual Cost (Not-to-Exceed)		\$ -	\$ -		\$ -
14	Safety Harness w/ 2 Lanyards			Actual Cost (Not-to-Exceed)		\$ -	\$ -		\$ -
15	Field Office (Rent Monthly)			mo		\$ -	\$ -		\$ -
16	Field Office Set up			Actual Cost (Not-to-Exceed)		\$ -	\$ -		\$ -
17	Utilities (Monthly)			mo		\$ -	\$ -		\$ -
18	Office Furniture			Actual Cost (Not-to-Exceed)		\$ -	\$ -		\$ -
19	Monthly Office supplies (\$50 per month) -- IF PEF PROVIDES A FIELD OFFICE -- -- RECOVERED THROUGH FIRM'S OVERHEAD.			mo		\$ -	\$ -		\$ -
20	Computer (LAPTOP) -- HAS A \$300.00 SALVAGE VALUE (CALCULATED AUTOMATICALLY) -- -- RECOVERED THROUGH FIRM'S OVERHEAD.			Actual Cost (Not-to-Exceed)		\$ -	\$ -	\$ -	\$ -
21	Concrete Air Pot			Actual Cost (Not-to-Exceed)		\$ -	\$ -		\$ -
22	Concrete Slump Cone			Actual Cost (Not-to-Exceed)		\$ -	\$ -		\$ -
23	Conventional Density Equipment Set			Actual Cost (Not-to-Exceed)		\$ -	\$ -		\$ -
24	Copier			Actual Cost (Not-to-Exceed)		\$ -	\$ -		\$ -
25	Copier Maintenance (yearly)			Actual Cost (Not-to-Exceed)		\$ -	\$ -		\$ -
26	Fax			Actual Cost (Not-to-Exceed)		\$ -	\$ -		\$ -
27	Trips by Project Management								
28	PEF Prime = 4 trips per year @ ____ miles (Total # of Trips)		360	mi	\$ 0.560		\$ 0.560		\$ 201.60
29	PEF Subconsultant1 = 2 trips per year @ ____ miles (Total # of Trips)			mi	\$ 0.560		\$ 0.560		\$ -
30	PEF Subconsultant2 = 2 trips per year @ ____ miles (Total # of Trips)			mi	\$ 0.560		\$ 0.560		\$ -
31	PEF Subconsultant3 = 2 trips per year @ ____ miles (Total # of Trips)			mi	\$ 0.560		\$ 0.560		\$ -
32	-- Miscellaneous Direct Costs, etc. --								\$ -
33	Laboratory Testing Stewart	1	1	Each	\$ 14,000.000	\$ -	\$ 14,000.000		\$ 14,000.00
34	Project Website	1	1	Each	\$ 3,500.000	\$ -	\$ 3,500.000		\$ 3,500.00
35	Miscellaneous					\$ -	\$ -		\$ -
36	Miscellaneous					\$ -	\$ -		\$ -
37	Miscellaneous					\$ -	\$ -		\$ -
38	Miscellaneous					\$ -	\$ -		\$ -
39	Miscellaneous					\$ -	\$ -		\$ -
40	Miscellaneous					\$ -	\$ -		\$ -
41	Miscellaneous					\$ -	\$ -		\$ -
42	Miscellaneous					\$ -	\$ -		\$ -

TOTAL DIRECT COSTS:	\$ 98,611.60
----------------------------	---------------------



HOLLY SPRINGS ROAD WIDENING PH. II
HOLLY SPRINGS, NC
NOVEMBER 30, 2020
FIGURE 1 OF 2

PREPARED FOR:


PREPARED BY:

© 2020 KIMLEY-HORN AND ASSOCIATES, INC.
300 MORRIS STREET, SUITE 200, DURHAM, NC 27701

LEGEND

- EXISTING STREAMS
- EXISTING WETLANDS
- BUILDINGS
- BUILDINGS TO BE REMOVED
- EXISTING RIGHT-OF-WAY
- PROPOSED RIGHT-OF-WAY
- ALL PROPOSED EASEMENTS
- EXISTING ROADWAY
- EXISTING ROADWAY TO BE REMOVED
- EXISTING ROADWAY TO BE RESURFACED
- PROPOSED ROADWAY
- PROPOSED STRUCTURE, CURB AND GUTTER, ISLAND, SIDEWALK, OR DRIVEWAY
- EXISTING SIGNAL
- PROPOSED SIGNAL

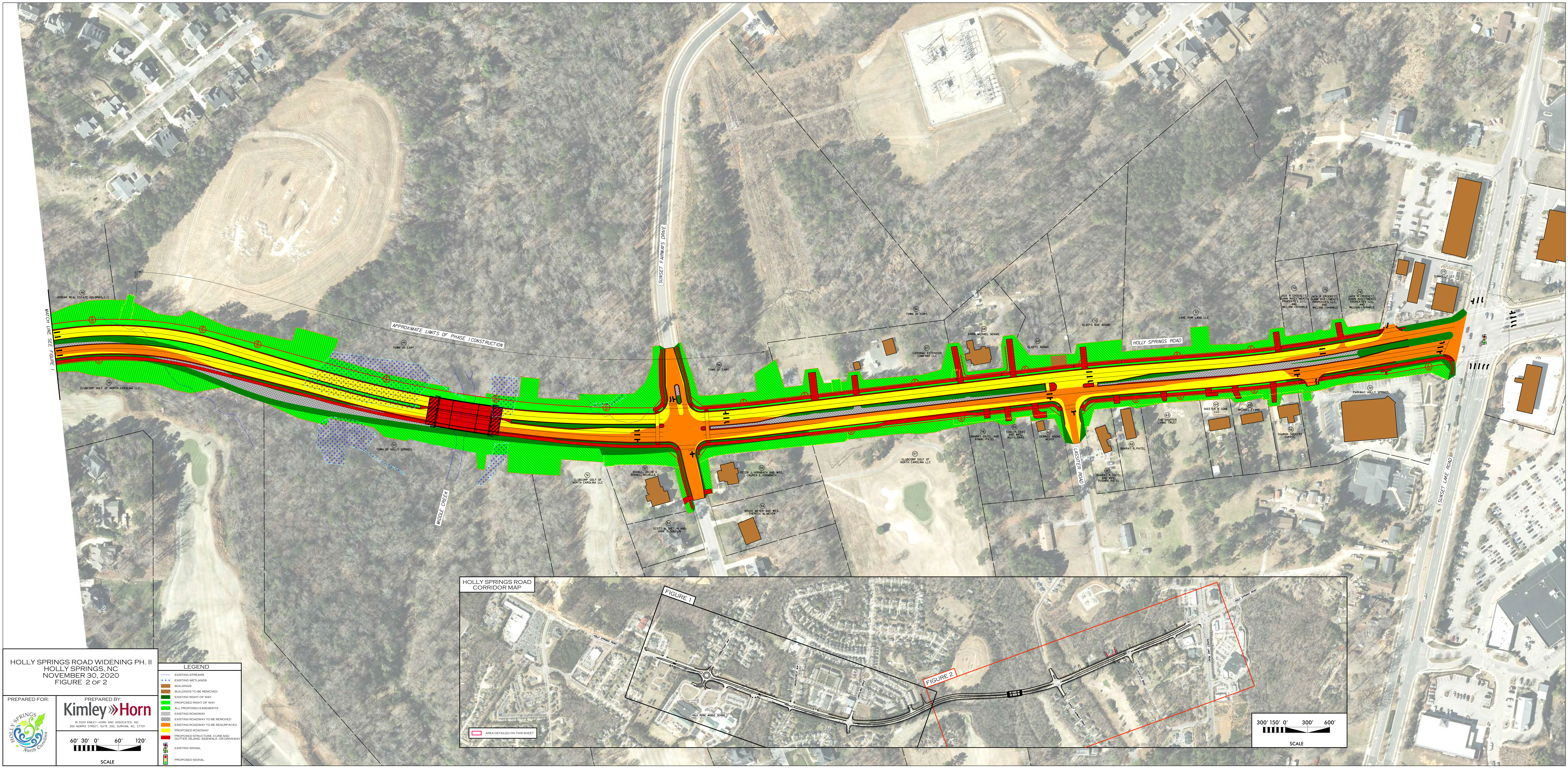
PROPERTY LEGEND

- COBBLE RIDGE HOMEOWNERS ASSN INC
- COBBLE RIDGE HOMEOWNERS ASSN INC
- COBBLE RIDGE HOMEOWNERS ASSN INC
- GROESKORTENHAUS, JAMES

SCALE

60' 30' 0' 60' 120'





HOLLY SPRINGS ROAD WIDENING PH. II

HOLLY SPRINGS, NC

NOVEMBER 30, 2020

FIGURE 2 OF 2

PREPARED FOR:

Holly Springs
North Carolina

© 2020 KIMLEY-HORN AND ASSOCIATES, INC.
300 MORRIS STREET, SUITE 200, DURHAM, NC 27701

PREPARED BY:

Kimley-Horn

LEGEND

EXISTING STREAMS

EXISTING WETLANDS

BUILDINGS

BUILDINGS TO BE REMOVED

EXISTING RIGHT-OF-WAY

PROPOSED RIGHT-OF-WAY

ALL PROPOSED EASEMENTS

EXISTING ROADWAY

EXISTING ROADWAY TO BE REMOVED

EXISTING ROADWAY TO BE RESURFACED

PROPOSED ROADWAY

PROPOSED STRUCTURE, CURB AND GUTTER, ISLAND, SIDEWALK, OR DRIVEWAY

EXISTING SIGNAL

PROPOSED SIGNAL

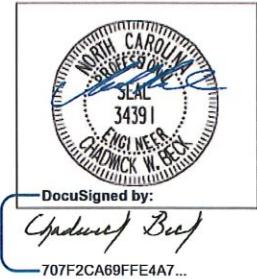
60' 30' 0' 60' 120'

SCALE



Addendum # 2

U-6243 Holly Springs Road Widening Phase Town of Holly Springs November 30, 2021



11/30/2021

The following changes and clarifications are applicable to the referenced project and are now a part of its contract documents. Where any article, division, or subparagraph of the original contract documents or other addenda is supplemented herein, the provisions of the original documents shall remain in effect. All the supplemental provisions shall be considered as added thereto. Where any such article, division, or subparagraphs are amended, voided, or superseded thereby, the provisions of such article, division, or subparagraph not so specifically amended, voided, or superseded shall remain in effect.

The attention of each contractor is called to the following clarifications, additions to, and changes in the plans and specifications, on the above project. It will be the responsibility of each contractor to call such clarifications, additions, and changes in plans and specifications to the attention of subcontractors concerned. The Town in no way assumes any responsibility for notifying any subcontractor, material dealers, or others not having received the original contract documents.

Bidder must acknowledge receipt of Addendum No. 2 on page 158 of the project specifications.

Item 1: Reference the fire hydrant on UC-4 @ the school entrance. Note 1 is called out which says up to two RJ 45 Bends are to be installed. Are these incidental to this hydrant or are the included in the per LB water fitting price?
The bends for the hydrant are included in line 181 Ductile Iron Water Pipe Fittings

Item 2: UC-7 @ approx. station 50+00.
How is the 20" plug valve called out to be paid for?
The plug valve is paid within Bid Alt UC2

Item 3: Could you please confirm one of the demo addresses listed as 9904. A subcontractor mentioned it was listed differently in the field, But GIS shows it as correct, but two other maps has it conflicting address 9900 and the other as 9904. See below for specification revision; the Special Provision for "Demolition of Buildings and Appurtenances" has been revised to remove abatement and include an additional structure

DEMOLITION OF BUILDINGS AND APPURTENANCES

(1-1-02) (Rev. 1-17-12)

210

SP2 R10

Demolish the buildings and appurtenances listed below in accordance with Section 210 of the *2018 Standard Specifications*:

Building Removal 1
10248 Holly Springs Road
Parcel ID 17 (Plan Sheet 5)
Demolish and remove building and appurtenances per Section 210 of the 2018 Standard Specifications. Contractor should assume asbestos testing will be required by the contractor when preparing the bid.

Building Removal 2
9900 Holly Springs Road
Parcel ID 69 (Plan Sheet 9)
Demolish and remove building and appurtenances per Section 210 of the 2018 Standard Specifications. Contractor should assume asbestos testing will be required by the contractor when preparing the bid.

Building Removal 3
9908 Holly Springs Road
Parcel ID 68 (Plan Sheet 9)
Demolish and remove building and appurtenances per Section 210 of the 2018 Standard Specifications. Contractor should assume asbestos testing will be required by the contractor when preparing the bid.

Item 4: Can you tell me if there is a bidder's list for this project, other than the pre-bid attendee list? A bidders list is available on the Town's project website.

Item 5: Will HUB-Certified subcontractors help with the minority percentages that are needed? DBE requirements are shown in Special Provision SP1 G63, and Z-8

Item 6: Looking at the utility by others – gas line relocation, structure plans, traffic control plans, and delay entry, it appears that the phase 1, bent 2 drilled shafts will be in conflict with the existing gas line. Is Dominion going to make a temporary tie at their bore locations to allow work on phase 1 of the bridge to begin prior to obtaining parcels 10, 48, and 46? Is the direct bury portion of the gas line within existing ROW? Is there a time frame for completing the relocation of the gas line? It looks like the will hold up construction on parcels 49 and 56. It also appears the gas line maybe in conflict with the storm drainage crossline pipes between station 96+00 and the beginning of the project. Are there any plans to relocate that portion of the gas line? It is anticipated the HDD portion of the gas line relocation will be completed in conjunction with the early phases of the project. There will be coordination required between contractor and gas company and some clearing will be required prior to the relocation be completed. The remaining gas line relocations will be completed in conjunction with this project once right of way has been acquired.

Item 7: Can we get an Excel spreadsheet for the bid items? No

Item 8: Typical 14 on Plan Sheet 2C shows both C1 and C2. Which is correct? C2 is correct, see attached updated typical 14

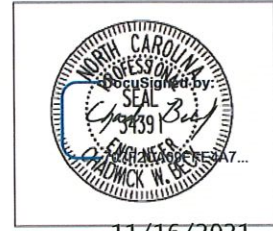
Item 9: Can you please provide a detail for the temporary asphalt shown on Plan Sheet 4 and 5? The temporary sidewalk on TMP-4 and TMP-5 is 2" of S9.5C and the temporary pavement is per Typical Section No. 4. This information is shown in Section B-B on TMP-5

Item 10: Page 40 of the Proposal calls for the structure on Parcel 17 to be removed. Plan Sheet 5 does not show this structure being removed. Is this correct? The structure is not specifically called out to be removed however the structure on Parcel 17 is to be removed

Item 11: Plan Sheet 9 shows the structure on Parcel 68 being removed? Yes, see Item 3 above

Addendum # 1

**U-6243 Holly Springs Road Widening Phase
Town of Holly Springs
November 15, 2021**



11/16/2021

The following changes and clarifications are applicable to the referenced project and are now a part of its contract documents. Where any article, division, or subparagraph of the original contract documents or other addenda is supplemented herein, the provisions of the original documents shall remain in effect. All the supplemental provisions shall be considered as added thereto. Where any such article, division, or subparagraphs are amended, voided, or superseded thereby, the provisions of such article, division, or subparagraph not so specifically amended, voided, or superseded shall remain in effect.

The attention of each contractor is called to the following clarifications, additions to, and changes in the plans and specifications, on the above project. It will be the responsibility of each contractor to call such clarifications, additions, and changes in plans and specifications to the attention of subcontractors concerned. The Town in no way assumes any responsibility for notifying any subcontractor, material dealers, or others not having received the original contract documents.

Bidder must acknowledge receipt of Addendum No. 1 on page 158 of the project specifications.

Item 1: Structure Subsurface Plans

See additional attached information

Item 2: "Seeding and Mulching" unit of measure

See attached Itemized Proposal; the Unit of Measure for "Seeding and Mulching" is revised to Acres

Item 3: Additional pay items related to "6" Perforated Subdrain Pipe"

See attached Itemized Proposal; the following items have been added to the Proposal:

- SUBDRAIN EXCAVATION
- GEOTEXTILE FABRIC
- COARSE AGGR BACKFILL
- FINE AGGR
- 6" PVC OUTLET PIPE
- SUBDRAIN OUTLET

Item 4: Additional pay item related to "3" Milling"

See attached Itemized Proposal; the "3" Milling" has been added to the Proposal.
See attached Itemized Proposal; the quantity for "1.5" Milling" has been revised

- Item 5: Plan revision related to “Flowable Fill”**
See attached updated “Drainage Summary Sheets” to include Flowable Fill
- Item 6: Additional pay items related to “Special Inlet Protection”**
See attached Itemized Proposal; pay items for “Special Inlet Protection (Gutter Buddy)” and “Special Inlet Protection (Silt Sack)” have been added to the Proposal
- Item 7: Pay item revision related to “Special Inlet Protection (6.51)”**
See attached Itemized Proposal; the pay item for “Block and Gravel Inlet Protection” has been revised to “Standard Inlet Protection (6.51)”
- Item 8: Special Provision revision related to “Standard Inlet Protection (6.51)”**
See below for specification revision; the Special Provision for “Block and Gravel Inlet Protection (6.52)” is being revised to “Standard Inlet Protection (6.51)”

STANDARD INLET PROTECTION (6.51)

SP (Kimley-Horn and Associates, Inc.)

Description

Install block and gravel inlet protection as indication in the plans per detail 6.51. Block and gravel inlet protection includes coordination, installation, materials, protection during construction from damage and maintenance of the inlet protection and labor, etc. If block and gravel inlet protection is damage due to the negligence of the contractor or sub-contractor no additional payment will be made for the repair. Items needed for maintenance such as stone and hardware cloth, etc. will be paid for at the contractor unit price for those items.

Materials

Includes but not limited to, block, hardware cloth, stone, etc.

Measurement and Payment

The quantity for “Block and Gravel Inlet Protection” will be paid for by Each that has been incorporated into the work and accepted by the Engineer.

Payment will be made under:

Pay Item	Pay Unit
Standard Inlet Protection (6.51)	

- Item 9: Pay item revision related to “2.5” Skimmer”**
See attached Itemized Proposal; the pay item for “2.5” Skimmer” has been update to a quantity of “0”
- Item 10: Pay item revision related to “Law Enforcement”**

See attached Itemized Proposal; a pay item for “Law Enforcement” has been added to the Proposal

Item 11: Special Provision revision related to “Demolition of Buildings and Appurtenances”

See below for specification revision; the Special Provision for “Demolition of Buildings and Appurtenances” has been revised to remove abatement

DEMOLITION OF BUILDINGS AND APPURTENANCES

(1-1-02) (Rev. 1-17-12)

210

SP2 R10

Demolish the buildings and appurtenances listed below in accordance with Section 210 of the *2018 Standard Specifications*:

Building Removal 1
10248 Holly Springs Road
Parcel ID 17 (Plan Sheet 5)
Demolish and remove building and appurtenances per Section 210 of the 2018 Standard Specifications. Contractor should assume asbestos testing will be required by the contractor when preparing the bid.
Building Removal 2
9904 Holly Springs Road
Parcel ID 69 (Plan Sheet 9)
Demolish and remove building and appurtenances per Section 210 of the 2018 Standard Specifications. Contractor should assume asbestos testing will be required by the contractor when preparing the bid.

Item 12: Pay item revision related to “Clearing and Grubbing”

See attached Itemized Proposal; the pay item for “Clearing and Grubbing” has been revised from Acres to Lump Sum

Item 13: Pay item revision related to “Fine Grading”

See attached Itemized Proposal; a pay item for “Fine Grading” has been added to the Proposal

Item 14: Plan revision related to inverts

See attached updated “Drainage Summary Sheets” for revisions to structures 420, 515, 519, 724, 830, 831, 832, 908

Item 15: Plan revision related to inverts

See attached updated “Drainage Summary Sheets” for revisions to structures 420, 515, 519, 724, 804, 814, 830, 831, 832, 908, and 918

Item 16: Plan revision related to inverts

See attached Itemized Proposal; quantity revisions were made to “15” RC4” and “24” RC4” pipe

Item 17: Plan revision related Drainage Summary Sheet

See attached updated “Drainage Summary Sheets” for revision to the frame and grate NCDOT Standard 840.1 &r

Item 18: Additional summary sheets

See attached additional sheets; “Earthwork Summary”

Item 19: Price Adjustment – Asphalt Binder for Plant Mix

See below for specification revision; the Special Provision for “Price Adjustment – Asphalt Binder for Plant Mix” has been revised to reflect the November 1, 2021 price

PRICE ADJUSTMENT - ASPHALT BINDER FOR PLANT MIX

(11-21-00)

620

SP6 R25

Price adjustments for asphalt binder for plant mix will be made in accordance with Section 620 of the *2018 Standard Specifications*.

The base price index for asphalt binder for plant mix is **\$509.55** per ton.

This base price index represents an average of F.O.B. selling prices of asphalt binder at supplier's terminals on **November 1, 2021**.

**Advertisement, Proposal, Contract Documents, and
Technical Specifications for
U-6243**

**Holly Springs Road Widening Phase 2
Wake County, North Carolina**

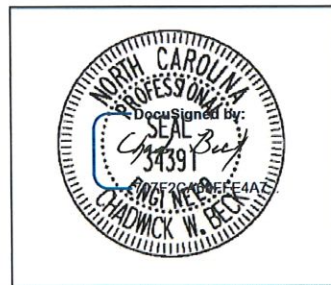
Prepared for:

**Town of Holly Springs
North Carolina
Town of Holly Springs Project No. 19-009**

Prepared by:

**Kimley-Horn and Associates, Inc.
300 South Main Street, Suite 212
Holly Springs, North Carolina 27540**

October 2021



10/21/2021

**MAYOR:
TOWN CLERK:
TOWN MANAGER:
EXECUTIVE DIRECTOR:
PRINCIPAL ENGINEER:
PROJECT ENGINEER:**

**DICK SEARS
LINDA MCKINNEY
RANDY HARRINGTON
KENDRA D PARRISH, P.E. CFM
AARON S. LEVITT, P.E.
TIM ATHY, P.E.**

U-6243

Holly Springs, North Carolina

TOWN OF HOLLY SPRINGS

PROJECT NAME: U-6243 HOLLY SPRINGS ROAD WIDENING PHASE 2

DATE OF ADVERTISING: October 24, 2021

DATE OF BID OPENING: December 2, 2021 at 3:00 p.m.

NAME OF BIDDER: FSC II, LLC dba FERO SMITH COMPANY

ADDRESS: 701 CORPORATE CENTER DR., SUITE 101, RALEIGH NC 27607

NC. LICENSE NO. (if applicable): 43848

BID DEPOSIT 5%: BID BOND 5% OF TOTAL BID

TOTAL BID: 22,186,104.³⁰

DBE PERCENTAGE: 9.82%

CONTRACTOR SIGNATURE: Thomas J Johnson Jr

U-6243

Holly Springs, North Carolina

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Holly Springs, North Carolina

INVITATION FOR BIDS

TOWN OF HOLLY SPRINGS
Holly Springs, North Carolina

October 24, 2021

Sealed bids should be submitted to the attention of Mr. Brent Quick (Finance Department – Town Hall), Town of Holly Springs, 128 South Main Street, Holly Springs, North Carolina, 27540 and marked **"19-009 – HOLLY SPRINGS ROAD WIDENING PHASE 2"**.

Bids will be received at the Town of Holly Springs, Finance Department, 128 South Main Street, Holly Springs, N.C. until **3:00 p.m. on December 2, 2021**.

The project is generally described as follows:

U-6243 consists of approximately 7,950 LF of roadway widening along Holly Springs Road (SR 1152). Project will include grading, drainage, bridge construction, paving, curb and gutter, traffic control, pavement markings and markers, utilities, erosion control, signing, signals, and other related items as shown on the plans in accordance with these specifications and plans. All work shall be performed in accordance with the North Carolina Department of Transportation Standard Specifications for Roads and Structures dated January 2018 with all amendments and supplements.

Plans, Specifications, and Contract documents may be seen on the Town's website at www.hollyspringsnc.us (available for download), and at the following electronic plan rooms: Carolina Plan Room, Carolina AGC, iSqFt, Planscope.com (Accent Imaging), PlanHub, Bidclerk, Construct Connect, NC Institute of Minority Economic Development (NCIMED), Dodge Data & Analytics, HCACarolinas and Interactive Purchasing System (IPS) <https://www.ips.state.nc.us/IPS/Default.aspx>.

REQUIRED: Plan holders are required to sign up for "Construction Bids" notifications at www.hollyspringsnc.us/bids.aspx for further project notifications/addenda.

A pre-bid meeting for explanation of the project requirements will be conducted at **10:00 AM on November 5, 2021** in Council Chambers at 128 S. Main St., Holly Springs, NC, 27540.

The project will be funded by public funds from the Town of Holly Springs and NCDOT, therefore; bidding, contract award and bonding requirements shall conform to N.C Statutes for public facilities construction. Minority firms are encouraged to submit proposals.

Award will be made to the lowest, responsive, responsible bidder unless all bids are rejected. The Town of Holly Springs reserves the right to reject any or all bids.

Contractors offering a proposal on this project must be licensed (if applicable) to do the specified type of contracting in the State of North Carolina. The Use of any sub-contractor on this project must be approved by the Engineer. Any bidder that is currently in litigation with the town will be disqualified from bidding.

Bidder Prequalification - Bidders are required to be prequalified with NCDOT for their specific discipline. Please refer to Section 102-2 of the NCDOT 2018 Standard Specifications. Contractors wishing to become prequalified may obtain information through the NCDOT website at <http://www.ncdot.gov/business/>.

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Holly Springs, North Carolina

The TOWN OF HOLLY SPRINGS reserves the right to waive any informality, to reject any and all BIDS, and to award a contract which, in its judgment, is in the best interest of the Town of Holly Springs.

The BIDDER to whom a contract may be awarded shall fully comply with the requirements of all North Carolina General Statutes governing the practice of general contracting and the procedures for letting of public contracts.

All bids shall include the entire contract document bound as it was presented for bid, with applicable bidding information filled out. Do not remove sections and resubmit. Each proposal shall be accompanied by a certified check or bid bond in the amount of not less than five percent (5%) of the amount of the total of the itemized bid in the form and subject to the conditions provided in the Instruction to Bidders.

Kendra D. Parrish, PE
Executive Director
Utilities & Infrastructure

U-6243

Holly Springs, North Carolina

INSTRUCTIONS TO BIDDERS

Each proposal shall be submitted in a sealed envelope on the printed form, or exact copies thereof, contained in the Contract Documents. These proposals shall be plainly marked:

“U-6243 – HOLLY SPRINGS ROAD WIDENING PHASE 2
Town of Holly Springs Project No. 19-009”

The envelope shall also be marked with the Bidder's name, address, North Carolina **contractor license number (if applicable)**, and name and phone number of a contact person. **All bids shall include the entire contract document bound as it was presented for bid, with applicable bidding information filled out. Do not remove section and resubmit.**

If mailed or delivered, the envelope shall show the date and time of the Bid Opening in order to guard against premature opening of the Bid. Addresses for Delivery of Bids:

US Postal Service	Delivery
Attn: Brent Quick Town of Holly Springs Finance Department P O Box 8 Holly Springs, NC 27540	Attn: Brent Quick Town of Holly Springs Finance Department 128 South Main Street Holly Springs, NC 27540

Bids submitted by facsimile shall not be accepted.

The Owner may consider non-responsive any Bid not prepared and submitted in accordance with the provisions hereof and may waive any informalities or reject any and all Bids.

Each proposal shall be accompanied by a Bid Bond payable to the Town of Holly Springs for an amount of not less than five percent (5%) of the total amount bid; or in lieu of the Bid Bond, the bidder may offer a certified check in an amount of not less than five percent (5%) of the total amount bid. The Bids and bidder's bond or checks of all bidders may be held for a period of ninety (90) days pending award of the contract. Notification of award of contract shall be evidence of intent to contract and shall extend time for holding the contractor's bid surety for a time mutually agreed between the Town of Holly Springs and the bidder.

Each proposal is required to have a page providing references to include the company name, address, phone number, e-mail and contact name and position and the type of work completed.

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Holly Springs, North Carolina

AWARDING CONTRACT

The Town of Holly Springs, in accordance with the provisions of *Title VI of the Civil Rights Act of 1964* (78 Stat. 252) and the Regulations of the Department of Transportation (49 C.F.R., Part 21), issued pursuant to such act, hereby notifies all bidders that it will affirmatively insure that the contract entered into pursuant to this advertisement will be awarded to the lowest responsible bidder without discrimination on the ground of race, color, or national origin.

Award will be made to the lowest responsible and responsive Bidder for each Contract as soon as practicable, provided that in the selection of equipment or materials, a Contract may be awarded to a responsible Bidder other than the lowest in the interest of standardization or if ultimate economy is clearly evident.

Evaluation of Bids

1. All spaces for lump sum and unit prices in the Bid Form shall be filled in with a number. Spaces left blank will be evaluated as zero (\$0.00).
2. Discrepancies between the multiplication of units of Work and Unit Prices will be resolved in favor of the Unit Prices.
3. Discrepancies between the indicated sum of any column of figures and the correct sum thereof will be resolved in favor of the correct sum.
4. Discrepancies between words and figures will be resolved in favor of the words.

The award of the Contract, if it is awarded, will be to the lowest responsive, responsible bidder on the base bid. The Town of Holly Springs reserves the right to waive technicalities and/or reject any or all bids. Bid alternates will not be considered in the award of this contract and only authorized if needed.

The Owner will not consider any bid or award of Contract to any person, firm, or corporation who has defaulted in any obligation to the Owner or who, in the opinion of the Owner, failed to perform their work satisfactorily, either as to character or time.

Any bidder that is currently in litigation with the town will be disqualified from bidding

A conditioned or qualified bid will not be accepted.

Requirements for the submittal information will vary based on the complexity and importance of the product to the project as a whole. Submittals should be prepared in a concise and straightforward manner. Submittals shall clearly identify variances from the specifications. Products that clearly do not meet the requirements of the specifications and plans should not be submitted. Unless noted, products shall be the manufacturer's standard offering, with standard options.

Incomplete submittals, or submittals received after the deadline, shall not be considered.

Submittals are to be delivered to the Engineer at the address indicated in the "Notice To

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Holly Springs, North Carolina

Bidders". The Owner and Engineer shall review all submittals and issue an Addendum to all document holders no later than 7 days prior to the bid opening date, listing the approved products.

Pre-approval of materials or equipment does not, in any manner, preclude the manufacturer from meeting the full requirements of the specifications, including any performance guarantees required, unless specific exceptions are noted in the pre-approval.

No Post-Bid substitutions shall be permitted except as herein provided.

A Performance Bond and a Payment Bond, each in the amount of one hundred percent (100%) of the contract price, with a corporate surety approved by the Town of Holly Springs, will be required for the faithful performance of the contract. Bidders shall provide certification that performance and payment bond sureties are licensed in North Carolina.

DBE participation must be documented and submitted with bids.

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Reference Sheet
(To be filled out with each submittal package)

Company Name	Address	Phone	E-mail	Contact person Name	Contact Person Position	Type of Work Completed
Town of Cary	Cary, NC	919-380-4104	Bob.shultes@townofcary.org	Bob Shultes	Project Manager	Road Const/Bridge
Town of Holly Springs	Holly Springs, NC	919-557-3931	Dirk.siedenbrodt@hollyspringnc.us	Dirk Siedenbrodt	Project Engineer	Road Construction
City of Raleigh	Raleigh, NC	919-851-8077	David.savage@raleighnc.gov	David Savage	Senior Engineer	Road Construction
City of Durham	Durham, NC	919-560-4326	Clint.Blackburn@durhamnc.gov	Clint Blackburn	Senior Engineer	Road Construction
NCDOT	Raleigh, NC	919-209-1090	rlbeamer@ncdot.gov	Ryan Beamer	Division Engineer	Road Construction/Bridge

ADDITIONAL INSTRUCTIONS

All bids shall be prepared and submitted in accordance with the following requirements. Failure to comply with any requirement shall cause the bid to be considered irregular and shall be grounds for rejection of the bid.

1. The bid form furnished by **Town of Holly Springs** with the proposal shall be used and shall not be altered in any manner.
2. All entries on the bid form, including signatures, shall be written in ink.
3. The Bidder shall submit a unit price for every item on the bid form. The unit prices for the various contract items shall be written in figures. *****Unit prices must be limited to TWO decimal places.*****
4. An amount bid shall be entered on the bid form for every item. The amount bid for each item shall be determined by multiplying each unit bid by the quantity for that item, and shall be written in figures in the "Amount Bid" column of the form.
5. The total amount bid shall be written in figures in the proper place on the bid form. The total amount shall be determined by adding the amounts bid for each item.
6. Changes in any entry shall be made by marking through the entry in ink and making the correct entry adjacent thereto in ink. A representative of the Bidder shall initial the change in ink. Do not use "White Out" or similar product to make corrections.
7. The bid shall be properly executed. All bids shall show the following information:
 - a. Name of individual, firm, corporation, partnership, or joint venture submitting bid.
 - b. Name of individual or representative submitting bid and position or title.
 - c. Name, signature, and position or title of witness.
 - d. Federal Identification Number
 - e. Contractor's License Number (If available)

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8. Bids submitted by corporations shall bear the seal of the corporation.
9. The bid shall not contain any unauthorized additions, deletions, or conditional bids.
10. The bidder shall not add any provision reserving the right to accept or reject an award, or to enter into a contract pursuant to an award.

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Holly Springs, North Carolina

PROPOSAL FORM

TO: THE TOWN OF HOLLY SPRINGS, NORTH CAROLINA ("Owner")

FROM: "BIDDER" FSC 11, LLC dba FRED SMITH COMPANYADDRESS 701 CORPORATE CENTER DR., SUITE 101
RAVENA NC 27607DATE OF BID 12/2/2021 DECEMBER 02, 2021

The Bidder hereby signifies that it is his/her/its intention and purpose to enter into a formal Contract with the Town of HOLLY SPRINGS, North Carolina, to furnish all labor, materials, tools, equipment, apparatus, supplies, and the like required, and to do all the work necessary, for and because of the construction, erection, and/or installation of the proposed "Project":

U-6243 – HOLLY SPRINGS ROAD WIDENING PHASE 2Town of Holly Springs Project No. **19-009**

for the Town of HOLLY SPRINGS, North Carolina in accordance with the Contract Documents, including Addenda thereto.** There is deposited, herewith, a certified check in the amount of (must be dollar amount): _____ Dollars (\$ _____), or a Bid Bond in the amount of five percent (5%) of the total aggregate amount of the Bid, made payable to the Owner, the same to be refunded to the Bidder under the conditions of and in accordance with the terms of this Proposal, which are as follows:

BASE BID AND BID ALTERNATE

THAT: The Bidder has carefully examined the Plans and Specifications and all other Contract Documents and fully understands them.

THAT: The Bidder has carefully examined the site of the Project and is familiar with the conditions under which the work, or any part thereof, is to be performed and the conditions which must be fulfilled in furnishing and/or installing, erecting or constructing any or all items of the Project.

THAT: The Bidder shall provide all necessary tools, machinery, equipment, apparatus, and all other means necessary to do all the work and shall furnish all labor, materials and all else required to complete such Contract as may be entered into, in the manner prescribed in and in accordance with the terms of the Specifications and the Contract and in accordance with the true intent and meaning thereof, and in accordance with the Plans and/or Drawings and the requirements of the Consulting Engineers under them, in a first class manner.

[Terms continued on the following page.]

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Holly Springs, North Carolina

** Fill in appropriate Addenda number(s): Addendum # 1 Dated 11/15/21
 Addendum # 2 Dated 11/30/21
 Addendum # _____ Dated _____
 Addendum # _____ Dated _____
 Addendum # _____ Dated _____
 Addendum # _____ Dated _____

THAT: The rights of the Owner and the recommendations of the Consulting Engineers shall not be questioned in the Award of the Contract.

THAT: It is the intention of the Owner to let contracts on the basis of the Bids received in accordance with G.S. 143-129 and in such manner as the Owner may deem to be for the best interests of the Owner.

THAT: The Owner reserves the right to reject any or all proposals.

THAT: The work under each Section will be awarded under one Contract and that the Owner shall have the right to include such item or items as the Owner may deem to be in the best interests of the Owner.

THAT: On being awarded the Contract, the Bidder shall execute a Performance Bond and a Payment Bond, on the forms included herein, each equal to one hundred percent (100%) of the Awarded Contract Price (Contract Sum), as security for the faithful performance of the Contract.

THAT: The Bidder shall submit, in the blank spaces provided, all data, guarantees and other information called for.

THAT: The Bidder shall submit, herewith, drawings, or cuts and Specifications showing and describing in detail the equipment and/or apparatus which the undersigned proposes to furnish.

THAT: This Proposal shall be signed and submitted in the manner prescribed in the Instructions to Bidders.

THAT: Should this Proposal not be accepted by the Owner, the certified check, in the amount of (must be dollar amount): _____ Dollars (\$ _____) or the five percent (5%) Bid Bond, as applicable, deposited herewith shall be returned to the Bidder.

THAT: Should this Proposal be accepted by the Owner and the Bidder fail or neglect to execute the Contract and furnish the required Bonds within fifteen (15) days after receiving notifications of the acceptance of the Proposal and/or receipt of the formal Contract and Bond forms, the certified check, in the amount of (must be dollar amount): _____ Dollars (\$ _____), or the Bid Bond, deposited herewith shall be retained by the Owner as liquidated damages, it being understood that the Owner reserves the right to extend the time allowed for executing the Contract and/or furnishing the Bond in its sole discretion.
 [Terms continued on the following page.]

THAT: The Bidder shall complete such Contract as may be entered into within the number of consecutive

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Holly Springs, North Carolina

calendar days specified in the Contract from the date of the Notice to Proceed.

THAT: The Bidder proposes to enter into a Contract in accordance with this Proposal, the Plans and Specifications and the Contract Documents included herein, for the prices shown on the following pages.

THAT: The Bidder shall be required to submit a complete detailed itemized unit cost breakdown of the Bid Items on the Itemized Bid Proposal form along with a computed Lump Sum Bid Price amount with this proposal.

THAT: It is the intent of these Contract Documents to obtain a Contract based on Unit Prices with project awarded based upon the lowest qualified total bid based upon unit prices applied to the estimated quantities. Where a discrepancy exists between words and numbers in the Bid amount, the written words shall govern. Where a discrepancy exists between unit prices and mathematical computations in the Itemized Proposal, the unit prices and quantities in the Itemized Proposal shall govern.

THAT: The successful bidder shall have all proper Bidder licenses and privilege licenses required under North Carolina state laws governing their respective trade(s).

THAT: Notice to Proceed and project available shall occur within 60 days of award of contract by the Town Council.

U-6243

Holly Springs, North Carolina

BID PROPOSAL
GENERAL CONSTRUCTION
FOR THE

U-6243 Holly Springs Road Widening Phase 2 - Holly Springs, NC

Town of Holly Springs Project 19-009
(the "Project")

ITEMIZED PROPOSAL

The attached itemized list of work items and materials shall be made a part of this contract along with the completed price per unit of work item. The itemized bid proposal shall consist of the full completion of this supplemented with any work item the contractor deems necessary to complete the project.

TOTAL "BASE BID" PRICE for the construction of the Project complete as indicated by the Contract Documents (in words and figures):

TWENTY TWO MILLION ONE HUNDRED EIGHTY SIX THOUSAND ONE HUNDRED FOUR Dollars

and THIRTY Cents (\$ 22,186,104.³⁰)

Bidder FSL II, LLC dba Fred Smith Company
(Print)

NOTE: PROPOSAL SIGNATURE REQUIRED, ALL PROPOSALS MUST BE PROPERLY EXECUTED TO BE CONSIDERED A VALID BID.

ITEMIZED PROPOSAL
Version 2

Project U-6243 Holly Springs Road Widening- Phase 2

Line	Sec No	Pay Item	Quantity	Unit	Price	Amount
1	800	Mobilization (5%)	1	LS	1,100,000.00	1,100,000.00
2	801	Construction Surveying (2.5%)	1	LS	345,000.00	345,000.00
3	200	Clearing and Grubbing	1	LS	1,830,000.00	1,830,000.00
4	226	Undercut Excavation	2250	CY	30.00	67,500.00
5	225	Unclassified Excavation	19600	CY	20.00	392,000.00
6	230	Borrow Excavation	61800	CY	25.00	1,545,000.00
7	240	Drainage Ditch Excavation	2070	CY	18.00	37,260.00
8	SP	Exploratory Excavation - Standard	25	HR	275.00	6,875.00
9	SP	Exploratory Excavation - Vacuum	25	HR	375.00	9,375.00
10	250	Removal of Existing Asphalt Pavement	15850	SY	8.00	126,800.00
11	265	Select Granular Material	2000	CY	35.00	70,000.00
12	270	Geotextile for Soil Stabilization	5425	SY	3.50	18,987.50
13	300	Foundation Conditioning Material, Minor Structures	960	TON	40.00	38,400.00
14	300	Foundation Conditioning, Geotextile	3010	SY	3.00	9,030.00
15	305	15" Drainage Pipe	152	LF	78.00	11,856.00
16	305	18" Drainage Pipe	76	LF	85.00	6,460.00
17	310	72" RC Pipe Culverts, Class III	28	LF	645.00	18,060.00
18	310	15" RC Pipe Culverts, Class IV	6260	LF	72.00	450,720.00
19	310	18" RC Pipe Culverts, Class IV	1180	LF	89.00	105,020.00
20	310	24" RC Pipe Culverts, Class IV	896	LF	120.00	107,520.00
21	310	30" RC Pipe Culverts, Class IV	180	LF	158.00	28,440.00
22	310	36" RC Pipe Culverts, Class IV	60	LF	212.00	12,720.00
23	310	42" RC Pipe Culverts, Class IV	40	LF	260.00	10,400.00
24	310	72" RC Pipe Culverts, Class IV	32	LF	720.00	23,040.00
25	310	15" HDPE Pipe Culverts	150	LF	78.00	11,700.00
26	310	18" HDPE Pipe Culverts	40	LF	82.00	3,280.00
27	310	18" CS Pipe Culverts, 0.064" Thick	44	LF	118.00	5,192.00
28	310	15" CS Pipe Elbows, 0.064" Thick	2	EA	800.00	1,600.00
29	310	18" CS Pipe Elbows, 0.064" Thick	2	EA	900.00	1,800.00
30	340	Pipe Removal	683	LF	40.00	27,320.00
31	SP	Removal of Existing Structure at Sta. 109+31.20	1	LS	60,000.00	60,000.00
32	450	Pile Excavation in Soil	48	LF	100.00	4,800.00
33	450	Pile Excavation Not in Soil	33	LF	120.00	3,960.00
34	411	3'-6" Dia Drilled Piers in Soil	341	LF	700.00	238,700.00
35	411	3'-6" Dia Drilled Piers Not in Soil	113	LF	700.00	79,100.00
36	411	Permanent Steel Casing for 3'-6" dia Drilled Pier	222	LF	70.00	15,540.00
37	411	SID Inspections	3	EA	500.00	1,500.00
38	411	CSL Testing	3	EA	3,000.00	9,000.00
39	412	Unclassified Structure Excavation at Station 109+31.20	1	LS	50,000.00	50,000.00
40	420	Reinforced Concrete Deck Slab	11633	SF	72.00	837,576.00
41	420	Grooving Bridge Floors	11212	SF	1.00	11,212.00
42	420	Class A Concrete (Bridge)	222	CY	1,500.00	333,000.00
43	422	Bridge Approach Slabs	1	LS	215,000.00	215,000.00
44	SP	Type 1 Standard Approach Fill, Station -L- 109+31.20	1	LS	80,000.00	80,000.00
45	425	Reinforcing Steel (Bridge)	55371	LB	2.00	110,742.00
46	425	Spiral Column Reinforcing Steel (Bridge)	10612	LB	3.00	31,836.00
47	430	45" Prestressed Concrete Girders	1325	LF	375.00	496,875.00
48	450	Pile Driving Equipment Setup for HP 14x73 Steel Piles	18	EA	2,000.00	36,000.00
49	450	HP 14x73 Steel Piles	570	LF	75.00	42,750.00
50	450	Steel Pile Points	18	EA	150.00	2,700.00
51	460	Two Bar Metal Rail	141	LF	200.00	28,200.00
52	460	1'-2" x 3'-0" Concrete Parapet	149	LF	170.00	25,330.00
53	460	Concrete Barrier Rail	149	LF	180.00	26,820.00
54	430	Elastomeric Bearings	1	LS	15,000.00	15,000.00
55	430	Fiber Optic Conduit System	150	LF	50.00	7,500.00
56	505	Shallow Undercut	750	CY	30.00	22,500.00
57	505	Class IV Subgrade Stabilization	1475	TON	28.00	41,300.00
58	520	Aggregate Base Course	15850	TON	32.00	507,200.00

11/16/2021

Line	Item	Sec No	Pay Item	Quantity	Unit	Price	Amount
59		545	Incidental Stone Base	1000	TON	40.00	40,000.00
60		607	Milling Asphalt Pavement 1.5" Depth	4450	SY	3.50	15,575.00
61		607	Incidental Milling	2000	SY	11.00	22,000.00
62		610	Asphalt Conc Base Course, Type B25.0C	6465	TON	60.00	387,900.00
63		610	Asphalt Conc Intermediate Course, Type I19.0C	7750	TON	70.00	542,500.00
64		610	Asphalt Conc Surface Course, Type S9.5C	9595	TON	70.00	671,650.00
65		620	Asphalt Binder For Plant Mix	1240	TON	560.00	694,400.00
66		654	Asphalt Plant Mix, Pavement Repair	700	TON	200.00	140,000.00
67		815	6" Perforated Subdrain Pipe	1800	LF	12.25	22,050.00
68		828	Temporary Steel Plate Covers for Masonry Drainage Structures	10	EA	3,000.00	30,000.00
69		838	Reinforced Endwalls	8	CY	1,400.00	11,200.00
70		840	Pipe Collars	5	CY	1,800.00	9,000.00
71		SP	Flowable Fill	21	CY	500.00	10,500.00
72		840	Masonry Drainage Structures	126	EA	4,300.00	541,800.00
73		840	Masonry Drainage Structures	57	LF	265.00	15,105.00
74		840	Frame with Grate, Std 840.16	8	EA	950.00	7,600.00
75		840	Frame with Grate, Std 840.18	0	EA	2,500.00	0.00
76		840	Frame with Two Grates, Std 840.24	2	EA	1,100.00	2,200.00
77		840	Frame with Grate & Hood, Std 840.03, Type E	13	EA	1,150.00	14,950.00
78		840	Frame with Grate & Hood, Std 840.03, Type F	46	EA	1,150.00	52,900.00
79		840	Frame with Grate & Hood, Std 840.03, Type G	52	EA	1,150.00	59,800.00
80		840	Frame with Cover, Std 840.54	6	EA	960.00	5,760.00
81		846	1'-6" Concrete Curb & Gutter	11625	LF	18.50	215,062.50
82		846	2'-6" Concrete Curb & Gutter	15735	LF	21.50	338,302.50
83		846	2'-9" Concrete Curb & Gutter	1390	LF	23.00	31,970.00
84		846	8" x 18" Concrete Curb & Gutter	155	LF	35.50	5,502.50
85		848	Concrete Curb Ramp (NCDOT)	50	EA	2,700.00	135,000.00
86		848	4" Concrete Sidewalk	11900	SY	42.00	499,800.00
87		848	6" Concrete Driveway	2020	SY	69.00	139,380.00
88		852	5" Monolithic Island (Keyed In)	1050	SY	66.00	69,300.00
89		858	Adjustment of Catch Basins	2	EA	1,200.00	2,400.00
90		858	Adjustment of Manholes (SS & Water)	6	EA	1,000.00	6,000.00
91		858	Adjustment of Valve Meter Boxes or Boxes	19	EA	650.00	12,350.00
92		859	Convert Existing Catch Basin To Junction Box	2	EA	2,600.00	5,200.00
93		862	Steel Beam Guardrail	2205	LF	27.50	60,637.50
94		862	Steel Beam Guardrail, Shop Curved	530	LF	28.00	14,840.00
95		862	Guardrail End Units, Type CAT-1	7	EA	1,150.00	8,050.00
96		862	Additional Guardrail Posts	5	EA	55.00	275.00
97		SP	Guardrail End Units, Type TL-3	7	EA	3,400.00	23,800.00
98		862	Guardrail Anchor Units, Type B-77	4	EA	2,600.00	10,400.00
99		SP	Concrete Vehicular Apron	355	SY	115.00	40,825.00
100		876	Rip Rap, Class B	1615	TON	75.00	121,125.00
101		876	Rip Rap, Class I	410	TON	80.00	32,800.00
102		876	Rip Rap, Class II	220	TON	85.00	18,700.00
103		876	Rip Rap Class II (2'-0" Thick)	337	TON	85.00	28,645.00
104		876	Geotextile for Drainage	3220	SY	3.00	9,660.00
105		SP	Low Permeability Geotextile	1440	SY	4.00	5,760.00
106		901	Contractor Furnished, Type "E" Sign	625	SF	18.75	11,718.75
107		901	Contractor Furnished, Type "D" Sign	139	SF	18.75	2,606.25
108		SP	Contractor Furnished, RRFB Sign	36	SF	25.00	900.00
109		902	Plain Concrete Sign Foundations	1	CY	250.00	250.00
110		903	Supports, 3-LB Steel U-Channel	1640	LF	5.18	8,495.20
111		903	Supports, Breakaway Steel Beam	605	LB	5.00	3,025.00
112		903	Supports, Wood	30	LF	100.00	3,000.00
113		904	Sign Erection, Type E	123	EA	97.25	11,961.75
114		904	Sign Erection, Type D	7	EA	135.00	945.00
115		SP	Sign Erection, RRFB	4	EA	12,500.00	50,000.00
116		907	Disposal of Support, U-Channel	1	EA	5.00	5.00
117		907	Disposal of Sign System, U-Channel	48	EA	5.00	240.00
118		1005	No. 57 Stone	12	TON	80.00	960.00
119		1042/SP	Boulders	20	TON	165.00	3,300.00
120		1056	Geotextile for Drainage, Type 2	30	SF	6.00	180.00
121		1110	Work Zone Signs (Stationary)	750	SF	8.00	6,000.00
122		1110	Work Zone Signs (Barricade Mounted)	700	SF	11.00	7,700.00
123		1110	Work Zone Signs (Portable)	625	SF	25.00	15,625.00
124		1115	Flashing Arrow Board	2	EA	3,000.00	6,000.00
125		1115	Portable Changeable Message Sign	4	EA	11,000.00	44,000.00
126		1130	Drums	375	EA	55.00	20,625.00
127		1135	Cones	10	EA	35.00	350.00

Line	Sec No	Pay Item	Quantity	Unit	Price	Amount
128	1145	Barricades (Type III)	140	LF	30.00	4,200.00
129	SP	Pedestrian Channelizing Devices	390	LF	63.00	24,570.00
130	1150	Flagger	500	DAY	600.00	300,000.00
131	1160	Temporary Crash Cushions	2	EA	9,750.00	19,500.00
132	1160	Remove and Reset Temporary Crash Cushions	2	EA	2,750.00	5,500.00
133	1170	Portable Concrete Barrier (Unanchored)	400	LF	36.20	14,480.00
134	1170	Portable Concrete Barrier (Anchored)	630	LF	59.20	37,326.00
135	1170	Remove and Reset Portable Concrete Barrier (Anchored)	1000	LF	20.00	20,000.00
136	SP	Temporary Curb Ramp	6	EA	2,800.00	16,800.00
137	1180	Skinny Drums	360	EA	45.00	16,200.00
138	1205	Thermoplastic Pavement Marking Lines (4", 90 Mils)	10505	LF	1.50	15,757.50
139	1205	Thermoplastic Pavement Marking Lines (8", 90 Mils)	3740	LF	2.00	7,480.00
140	1205	Thermoplastic Pavement Marking Lines (12", 90 Mils)	160	LF	4.00	640.00
141	1205	Thermoplastic Pavement Marking Lines (24", 90 Mils)	1415	LF	12.00	16,980.00
142	1205	Thermoplastic Pavement Marking Characters (90 Mils)	6	EA	120.00	720.00
143	1205	Thermoplastic Pavement Marking Symbols (90 Mils)	117	EA	215.00	25,155.00
144	1205	Paint Pavement Marking Lines (4", 90 Mils)	111500	LF	0.18	20,070.00
145	1205	Paint Pavement Marking Lines (8", 90 Mils)	8950	LF	0.65	5,817.50
146	1205	Paint Pavement Marking Lines (24", 90 Mils)	3900	LF	2.00	7,800.00
147	1205	Paint Pavement Marking Symbols	125	EA	35.00	4,375.00
148	1205	Paint Pavement Marking Characters	25	EA	35.00	875.00
149	1205	Removal of Pavement Marking Lines (4")	44000	LF	0.50	22,000.00
150	1205	Removal of Pavement Marking Lines (8")	1750	LF	1.00	1,750.00
151	1205	Removal of Pavement Marking Lines (24")	1100	LF	3.00	3,300.00
152	1205	Removal of Pavement Marking Symbols and Characters	58	EA	50.00	2,900.00
153	1251	Temporary Raised Pavement Markers	1100	EA	5.00	5,500.00
154	1253	Snowplowable Raised Pavement Markers	420	EA	45.00	18,900.00
155	1266	Tubular Markers (Fixed)	15	EA	115.00	1,725.00
156	PSP	Acer rubrum 'October Glory'	5	EA	430.00	2,150.00
157	PSP	Cercis canadensis	44	EA	350.00	15,400.00
158	PSP	Azalea x 'Autumn Angel'	15	EA	52.00	780.00
159	PSP	Buddleja x 'SMNBDPT' TM	55	EA	52.00	2,860.00
160	PSP	Ilex glabra 'Shamrock'	84	EA	52.00	4,368.00
161	PSP	Echinacea x 'Powwow Wild Berry'	1000	EA	19.00	19,000.00
162	PSP	Carex divulsa	1100	EA	13.00	14,300.00
163	PSP	Rudbeckia fulgida 'Goldstrum'	1241	EA	13.00	16,133.00
164	PSP	Andropogon virginicus	1160	EA	13.00	15,080.00
165	PSP	Muhlenbergia capillaris	1568	EA	24.00	37,632.00
166	PSP	Deschampsia cespitosa 'Goldtau'	1924	EA	19.00	36,556.00
167	PSP	Panicum virgatum 'Northwind'	1056	EA	28.00	29,568.00
168	PSP	Schizachyrium scoparium	922	EA	28.00	25,816.00
169	PSP	Cynodon dactylon 'Tif 19'	11862	SY	6.20	73,544.40
170	PSP	Sod (Contractor Shall Match Species of Existing Adjacent Sod)	2440	SY	6.20	15,128.00
171	PSP	Seed & Mulching (See Roadway Plans for Seed Schedule)	4.1	ACR	2,600.00	10,660.00
172	PSP	Hardwood Mulch	525	CY	50.00	26,250.00
173	PSP	Topsoil	4,600	CY	38.00	174,800.00
174	PSP	Soil Amendments	2,550	CY	40.00	102,000.00
175	PSP	One-Year Landscape Establishment	1	LS	25,800.00	25,800.00
176	1510	6" Water Line	60	LF	93.00	5,580.00
177	1510	8" Water Line	75	LF	105.00	7,875.00
178	1510	12" Water Line	681	LF	230.00	156,630.00
179	1510	16" Water Line	2153	LF	180.00	387,540.00
180	1510	20" HDPE Water Line	686	LF	235.00	161,210.00
181	1510	Ductile Iron Water Pipe Fittings	17700	LB	10.00	177,000.00
182	1515	6" Valve	6	EA	1,675.00	10,050.00
183	1515	12" Valve	3	EA	4,200.00	12,600.00
184	1515	16" Valve	7	EA	11,000.00	77,000.00
185	1515	Air Release Valve (Sanitary)	1	EA	23,000.00	23,000.00
186	1515	Air Release Valve (Potable Water)	1	EA	8,000.00	8,000.00
187	1515	5/8" Water Meter	1	EA	1,500.00	1,500.00
188	1515	Relocate Water Meter	12	EA	2,750.00	33,000.00
189	1515	Relocate 1" RPZ BFPA	1	EA	2,950.00	2,950.00
190	1515	Fire Hydrant	8	EA	5,800.00	46,400.00
191	1515	Fire Hydrant Leg	187	LF	75.00	14,025.00
192	1515	16" Line Stop w/ Bypass	2	EA	26,000.00	52,000.00
193	1515	Water Service Line	616	LF	35.00	21,560.00
194	SP	8" Insertion Valve	2	EA	18,000.00	36,000.00
195	SP	12" Insertion Valve	4	EA	26,000.00	104,000.00
196	SP	16" Insertion Valve	1	EA	35,000.00	35,000.00
197	1520	8" Sanitary Gravity Sewer	1001	LF	96.00	96,096.00
198	1520	16" Force Main Sewer	4134	LF	210.00	868,140.00

Line	Item	Sec No	Pay Item	Quantity	Unit	Price	Amount
199		1520	Sanitary Sewer Cleanout	5	EA	975.00	4,875.00
200		1520	Sewer Service Line	493	LF	80.00	39,440.00
201		1520	Ductile Iron Sewer Pipe Fittings	6300	LB	17.00	107,100.00
202		1530	Abandon 21" Utility Pipe	200	LF	36.00	7,200.00
203		1520	21" Sanitary Gravity Sewer	65	LF	315.00	20,475.00
204		1525	4' Dia Utility MH	7	EA	4,700.00	32,900.00
205		1525	5' Dia Utility MH	3	EA	5,800.00	17,400.00
206		1525	4' Dia MH Wall	44	LF	25.00	1,100.00
207		1525	5' Dia MH Wall	20	LF	30.00	600.00
208		1530	Abandon 6" Utility Pipe	60	LF	55.00	3,300.00
209		1530	Abandon 8" Utility Pipe	984	LF	9.50	9,348.00
210		1530	Abandon 12" Utility Pipe	974	LF	10.50	10,227.00
211		1530	Abandon 16" Utility Pipe	6119	LF	16.00	97,904.00
212		1530	Remove Fire Hydrant	7	EA	1,000.00	7,000.00
213		1530	Abandon Utility Manhole	9	EA	1,900.00	17,100.00
214		1540	18" Steel Encasement	62	LF	275.00	17,050.00
215		1540	30" Steel Encasement	47	LF	300.00	14,100.00
216		1550	Bore & Jack of 18"	62	LF	390.00	24,180.00
217		1550	Bore & Jack of 30"	47	LF	500.00	23,500.00
218		1550	Directional Drilling of 20"	686	LF	850.00	583,100.00
219		1605	Temporary Silt Fence	17385	LF	2.50	43,462.50
220		SP	Tree Protection Fence	6510	LF	2.25	14,647.50
221		1610	Erosion Control Stone, Class A	450	TON	70.00	31,500.00
222		1610	Erosion Control Stone, Class B	670	TON	65.00	43,550.00
223		1610	Sediment Control Stone	1345	TON	50.00	67,250.00
224		1615	Temporary Mulching	17.5	ACR	750.00	13,125.00
225		1620	Seed for Temporary Seeding	1700	LB	5.25	8,925.00
226		1620	Fertilizer for Temporary Seeding	10.5	TON	1,430.00	15,015.00
227		1622	Temporary Slope Drains	200	LF	30.00	6,000.00
228		1630	Silt Excavation	1600	CY	50.00	80,000.00
229		1631	Matting for Erosion Control	24300	SY	1.35	32,805.00
230		SP	Coir Fiber Mat	100	SY	9.00	900.00
231		1632	1/4" Hardware Cloth	3895	LF	6.50	25,317.50
232		SP	15" Temporary Pipe	330	LF	98.00	32,340.00
233		SP	18" Temporary Pipe	50	LF	140.00	7,000.00
234		SP	30" Temporary Pipe	16	LF	170.00	2,720.00
235		SP	36" Temporary Pipe	30	LF	180.00	5,400.00
236		1639	Special Stilling Basins	22	EA	250.00	5,500.00
237		SP	Wattle	50	LF	18.00	900.00
238		SP	Polycrylamide (PAM)	50	LB	25.00	1,250.00
239		SP	Standard Inlet Protection (6.51)	5	EA	600.00	3,000.00
240		SP	Permanent Soil Reinforcement Mat	1330	SY	5.00	6,650.00
241		1640	Coir Fiber Baffle	295	LF	8.00	2,360.00
242		SP	1-1/2" Skimmer	6	EA	2,500.00	15,000.00
243		SP	2-1/2" Skimmer	0	EA	5,000.00	0.00
244		1660	Seeding and Mulching	24	ACR	2,200.00	52,800.00
245		1660	Mowing	15	ACR	90.00	1,350.00
246		1661	Seed for Repair Seeding	225	LB	7.00	1,575.00
247		1661	Fertilizer for Repair Seeding	0.5	TON	3,000.00	1,500.00
248		1662	Seed for Supplemental Seeding	550	LB	6.00	3,300.00
249		1665	Fertilizer Topdressing	16.5	TON	1,000.00	16,500.00
250		SP	Impervious Dike	251	LF	120.00	30,120.00
251		SP	Response for Erosion Control	15	EA	500.00	7,500.00
252		SP	Concrete Washout Structure	6	EA	1,900.00	11,400.00
253		SP	Temporary Shoring	2500	SF	31.00	77,500.00
254		1705	Pedestrian Signal Head (16", 1 Section with Countdown)	9	EA	660.00	5,940.00
255		1705	Signal Cable	3700	LF	2.10	7,770.00
256		1705	Vehicle Signal Head (12", 3 Section)	12	EA	700.00	8,400.00
257		1705	Vehicle Signal Head (12", 4 Section)	3	EA	926.00	2,775.00
258		1710	Messenger Cable (3/8")	220	LF	2.10	462.00
259		1715	Tracer Wire	8445	LF	0.60	5,067.00
260		1715	Paved Trenching (2 Conduits, 2 Inch)	350	LF	19.00	6,650.00
261		1715	Unpaved Trenching (2 Conduits, 2 Inch)	4582	LF	9.50	43,529.00
262		1715	Directional Drill (2 Conduits, 2 Inch)	3655	LF	23.00	84,065.00
263		1716	Junction Box (Standard Size)	6	EA	295.00	1,770.00
264		1716	Junction Box (Over-Sized, Heavy Duty)	2	EA	570.00	1,140.00
265		1720	Wood Pole	3	EA	1,240.00	3,720.00
266		1721	Guy Assembly	4	EA	440.00	1,760.00
267		1722	2" Riser with Weatherhead	2	EA	570.00	1,140.00
268		1725	Inductive Loop Sawcut	1270	LF	7.05	8,953.50
269		1726	Lead-In Cable (14-2)	4070	LF	1.80	7,326.00

Line	Sec No	Pay Item	Quantity	Unit	Price	Amount
270	SP	Site Survey	1	EA	500.00	500.00
271	SP	Luminaire Arm for Video System	4	EA	805.00	3,220.00
272	SP	Camera With Internal Loop Emulator Processing Unit	4	EA	9,540.00	38,160.00
273	SP	Relocate Camera Sensor Unit	2	EA	1,240.00	2,480.00
274	1730	Communications Cable (48 Fiber)	9672	LF	1.80	17,409.60
275	1730	Communications Cable (288 Fiber)	6975	LF	4.20	29,295.00
276	1730	Drop Cable	295	LF	1.05	309.75
277	1731	Splice Enclosure	1	EA	1,240.00	1,240.00
278	1731	Interconnect Center	1	EA	1,240.00	1,240.00
279	1733	Delineator Marker	22	EA	73.00	1,606.00
280	1734	Remove Existing Communications Cable	14057	LF	0.30	4,217.10
281	SP	Metal Pole With Single Mast Arm	2	EA	18,900.00	37,800.00
282	SP	Soil Test	2	EA	3,300.00	6,600.00
283	SP	Drilled Pier Foundation*	11	CY	1,140.00	12,540.00
284	SP	Mast Arm With Metal Pole Design	2	EA	2,000.00	4,000.00
285	1745	Sign For Signals	3	EA	620.00	1,860.00
286	1746	Relocate Existing Sign	4	EA	130.00	520.00
287	1743	Type I Post With Foundation	8	EA	1,060.00	8,480.00
288	1743	Type II Pedestal With Foundation	4	EA	1,650.00	6,600.00
289	1751	Controller (Type 2070E)	1	EA	4,210.00	4,210.00
290	1751	Detector Card (Type 2070I)	8	EA	130.00	1,040.00
291	SP	Vehicle Preemption System Intersection Equipment	1	EA	9,080.00	9,080.00
292	SP	Metal Pole Foundation Removal	2	EA	520.00	1,040.00
293	SP	Metal Pole Removal	2	EA	260.00	520.00
294	SP	TOHS Junction Box (Over-Sized, Heavy Duty)	22	EA	670.00	14,740.00
295	SP	Ethernet Edge Switch	1	EA	2,320.00	2,320.00
296	SP	Remove Existing Junction Boxes	16	EA	1.00	16.00
ADN 01-1	500	Fine Grading	1	LS	1,200,000.00	1,200,000.00
ADN 01-2	607	Milling Asphalt Pavement 3.0" Depth	20885	SY	4.00	83,540.00
ADN 01-3	SP	Law Enforcement	50	HR	60.00	3,000.00
ADN 01-4		Special Inlet Protection (Gutter Buddy)	76	EA	200.00	15,200.00
ADN 01-5		Special Inlet Protection (Silt Sack)	77	EA	215.00	16,555.00
ADN 01-6	815	Subdrain Excavation	2000	CY	15.00	30,000.00
ADN 01-7	815	Geotextile for Subsurface Drains	1300	SY	5.00	6,500.00
ADN 01-8	815	Subdrain Fine Aggregate	175	TON	50.00	8,750.00
ADN 01-9	815	Subdrain Course Aggregate	125	TON	60.00	7,500.00
ADN 01-10	815	6" Outlet Pipe	400	LF	30.00	12,000.00
ADN 01-11	815	Subdrain Pipe Outlet	10	EA	600.00	6,000.00
					TOTAL BASE BID	22,196,104.30
BID ALTERNATE TEMPORARY DETOUR						
Line	Sec No	Pay Item	Quantity	Unit	Price	Amount
297	225	Unclassified Excavation	1000	CY	20.00	20,000.00
298	230	Borrow Excavation	1,500	CY	25.00	37,500.00
299	240	Drainage Ditch Excavation	15	CY	18.00	270.00
300	520	Aggregate Base Course	600	TON	32.00	19,200.00
301	610	Asphalt Conc Base Course, Type B25.0C	10	TON	60.00	600.00
302	610	Asphalt Conc Intermediate Course, Type I19.0C	290	TON	70.00	20,300.00
303	610	Asphalt Conc Surface Course, Type S9.5C	210	TON	70.00	14,700.00
304	620	Asphalt Binder For Plant Mix	30	TON	560.00	16,800.00
305	828	Temporary Steel Plate Covers for Masonry Drainage Structures	3	EA	3,000.00	9,000.00
306	1110	Work Zone Signs (Stationary)	80	SF	8.00	640.00
307	1110	Work Zone Signs (Barricade Mounted)	28	SF	11.00	308.00
308	1130	Drums	100	EA	55.00	5,500.00
309	1145	Barricades (Type III)	40	LF	30.00	1,200.00
310	SP	Pedestrian Channelizing Devices	20	LF	63.00	1,260.00
311	1160	Temporary Crash Cushion	1	EA	9,750.00	9,750.00
312	1205	Paint Pavement Marking Lines (4", 90 MILS)	8,500	LF	0.50	4,250.00
					BID ALTERNATE TEMPORARY DETOUR TOTAL	161,278.00
BID ALTERNATE UC1 - BETTERMENT 16" WATER LINE						

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Holly Springs, North Carolina

ITEMIZED PROPOSAL

Line Item	Sec. No	Pay Item	Quantity	Unit	Price	Amount
1	800	Mobilization (5%)	1	LS		
2	801	Construction Surveying (2.5%)	1	LS		
3	200	Clearing and Grubbing	26	ACR		
4	226	Undercut Excavation	2250	CY		
5	225	Unclassified Excavation	19600	CY		
6	230	Borrow Excavation	61800	CY		
7	240	Drainage Ditch Excavation	2070	CY		
8	SP	Exploratory Excavation - Standard	25	HR		
9	SP	Exploratory Excavation - Vacuum	25	HR		
10	250	Removal of Existing Asphalt Pavement	15850	SY		
11	265	Select Granular Material	2000	CY		
12	270	Geotextile for Soil Stabilization	5425	SY		
13	300	Foundation Conditioning Material, Minor Structures	960	TON		
14	300	Foundation Conditioning, Geotextile	3010	SY		
15	305	15" Drainage Pipe	152	LF		
16	305	18" Drainage Pipe	76	LF		
17	310	72" RC Pipe Culverts, Class III	28	LF		
18	310	15" RC Pipe Culverts, Class IV	6344	LF		
19	310	18" RC Pipe Culverts, Class IV	1180	LF		
20	310	24" RC Pipe Culverts, Class IV	884	LF		
21	310	30" RC Pipe Culverts, Class IV	180	LF		
22	310	36" RC Pipe Culverts, Class IV	60	LF		
23	310	42" RC Pipe Culverts, Class IV	40	LF		
24	310	72" RC Pipe Culverts, Class IV	32	LF		
25	310	15" HDPE Pipe Culverts	150	LF		
26	310	18" HDPE Pipe Culverts	40	LF		
27	310	18" CS Pipe Culverts, 0.064" Thick	44	LF		
28	310	15" CS Pipe Elbows, 0.064" Thick	2	EA		
29	310	18" CS Pipe Elbows, 0.064" Thick	2	EA		
30	340	Pipe Removal	683	LF		
31	SP	Removal of Existing Structure at Sta. 109+31.20	1	LS		
32	450	Pile Excavation in Soil	48	LF		
33	450	Pile Excavation Not in Soil	33	LF		
34	411	3'-6" Dia Drilled Piers in Soil	341	LF		
35	411	3'-6" Dia Drilled Piers Not in Soil	113	LF		
36	411	Permanent Steel Casing for 3'-6" dia Drilled Pier	222	LF		
37	411	SID Inspections	3	EA		
38	411	CSL Testing	3	EA		
39	412	Unclassified Structure Excavation at Station 109+31.20	1	LS		

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Line Item	Sec. No	Pay Item	Quantity	Unit	Price	Amount
40	420	Reinforced Concrete Deck Slab	11633	SF		
41	420	Grooving Bridge Floors	11212	SF		
42	420	Class A Concrete (Bridge)	222	CY		
43	422	Bridge Approach Slabs	1	LS		
44	SP	Type 1 Standard Approach Fill, Station -L- 109+31.20	1	LS		
45	425	Reinforcing Steel (Bridge)	55371	LB		
46	425	Spiral Column Reinforcing Steel (Bridge)	10612	LB		
47	430	45" Prestressed Concrete Girders	1325	LF		
48	450	Pile Driving Equipment Setup for HP 14x73 Steel Piles	18	EA		
49	450	HP 14x73 Steel Piles	570	LF		
50	450	Steel Pile Points	18	EA		
51	460	Two Bar Metal Rail	141	LF		
52	460	1'-2" x 3'-0" Concrete Parapet	149	LF		
53	460	Concrete Barrier Rail	149	LF		
54	430	Elastomeric Bearings	1	LS		
55	430	Fiber Optic Conduit System	150	LF		
56	505	Shallow Undercut	750	CY		
57	505	Class IV Subgrade Stabilization	1475	TON		
58	520	Aggregate Base Course	15850	TON		
59	545	Incidental Stone Base	1000	TON		
60	607	Milling Asphalt Pavement 1.5" Depth	25330	SY		
61	607	Incidental Milling	2000	SY		
62	610	Asphalt Conc Base Course, Type B25.0C	6465	TON		
63	610	Asphalt Conc Intermediate Course, Type I19.0C	7750	TON		
64	610	Asphalt Conc Surface Course, Type S9.5C	7840	TON		
65	620	Asphalt Binder For Plant Mix	1170	TON		
66	654	Asphalt Plant Mix, Pavement Repair	700	TON		
67	815	6" Perforated Subdrain Pipe	1800	LF		
68	828	Temporary Steel Plate Covers for Masonry Drainage Structures	10	EA		
69	838	Reinforced Endwalls	8	CY		
70	840	Pipe Collars	5	CY		
71	SP	Flowable Fill	25	CY		
72	840	Masonry Drainage Structures	126	EA		
73	840	Masonry Drainage Structures	57	LF		
74	840	Frame with Grate, Std 840.16	8	EA		
75	840	Frame with Grate, Std 840.18	2	EA		
76	840	Frame with Two Grates, Std 840.24	2	EA		
77	840	Frame with Grate & Hood, Std 840.03, Type E	13	EA		
78	840	Frame with Grate & Hood, Std 840.03, Type F	46	EA		
79	840	Frame with Grate & Hood, Std 840.03, Type G	52	EA		

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Line Item	Sec. No	Pay Item	Quantity	Unit	Price	Amount
80	840	Frame with Cover, Std 840.54	6	EA		
81	846	1'-6" Concrete Curb & Gutter	11625	LF		
82	846	2'-6" Concrete Curb & Gutter	15735	LF		
83	846	2'-9" Concrete Curb & Gutter	1390	LF		
84	846	8" x 18" Concrete Curb & Gutter	155	LF		
85	848	Concrete Curb Ramp (NCDOT)	50	EA		
86	848	4" Concrete Sidewalk	11900	SY		
87	848	6" Concrete Driveway	2020	SY		
88	852	5" Monolithic Island (Keyed In)	1050	SY		
89	858	Adjustment of Catch Basins	2	EA		
90	858	Adjustment of Manholes (SS & Water)	6	EA		
91	858	Adjustment of Valve Meter Boxes or Boxes	19	EA		
92	859	Convert Existing Catch Basin To Junction Box	2	EA		
93	862	Steel Beam Guardrail	2205	LF		
94	862	Steel Beam Guardrail, Shop Curved	530	LF		
95	862	Guardrail End Units, Type CAT-1	7	EA		
96	862	Additional Guardrail Posts	5	EA		
97	SP	Guardrail End Units, Type TL-3	7	EA		
98	862	Guardrail Anchor Units, Type B-77	4	EA		
99	SP	Concrete Vehicular Apron	355	SY		
100	876	Rip Rap, Class B	1615	TON		
101	876	Rip Rap, Class I	410	TON		
102	876	Rip Rap, Class II	220	TON		
103	876	Rip Rap Class II (2'-0" Thick)	337	TON		
104	876	Geotextile for Drainage	3220	SY		
105	SP	Low Permeability Geotextile	1440	SY		
106	901	Contractor Furnished, Type "E" Sign	625	SF		
107	901	Contractor Furnished, Type "D" Sign	139	SF		
108	SP	Contractor Furnished, RRFB Sign	36	SF		
109	902	Plain Concrete Sign Foundations	1	CY		
110	903	Supports, 3-LB Steel U-Channel	1640	LF		
111	903	Supports, Breakaway Steel Beam	605	LB		
112	903	Supports, Wood	30	LF		
113	904	Sign Erection, Type E	123	EA		
114	904	Sign Erection, Type D	7	EA		
115	SP	Sign Erection, RRFB	4	EA		
116	907	Disposal of Support, U-Channel	1	EA		
117	907	Disposal of Sign System, U-Channel	48	EA		
118	1005	No. 57 Stone	12	TON		
119	1042/SP	Boulders	20	TON		
120	1056	Geotextile for Drainage, Type 2	30	SF		

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Line Item	Sec. No	Pay Item	Quantity	Unit	Price	Amount
121	1110	Work Zone Signs (Stationary)	750	SF		
122	1110	Work Zone Signs (Barricade Mounted)	700	SF		
123	1110	Work Zone Signs (Portable)	625	SF		
124	1115	Flashing Arrow Board	2	EA		
125	1115	Portable Changeable Message Sign	4	EA		
126	1130	Drums	375	EA		
127	1135	Cones	10	EA		
128	1145	Barricades (Type III)	140	LF		
129	SP	Pedestrian Channelizing Devices	390	LF		
130	1150	Flagger	500	DAY		
131	1160	Temporary Crash Cushions	2	EA		
132	1160	Remove and Reset Temporary Crash Cushions	2	EA		
133	1170	Portable Concrete Barrier (Unanchored)	400	LF		
134	1170	Portable Concrete Barrier (Anchored)	630	LF		
135	1170	Remove and Reset Portable Concrete Barrier (Anchored)	1000	LF		
136	SP	Temporary Curb Ramp	6	EA		
137	1180	Skinny Drums	360	EA		
138	1205	Thermoplastic Pavement Marking Lines (4", 90 Mils)	10505	LF		
139	1205	Thermoplastic Pavement Marking Lines (8", 90 Mils)	3740	LF		
140	1205	Thermoplastic Pavement Marking Lines (12", 90 Mils)	160	LF		
141	1205	Thermoplastic Pavement Marking Lines (24", 90 Mils)	1415	LF		
142	1205	Thermoplastic Pavement Marking Characters (90 Mils)	6	EA		
143	1205	Thermoplastic Pavement Marking Symbols (90 Mils)	117	EA		
144	1205	Paint Pavement Marking Lines (4", 90 Mils)	111500	LF		
145	1205	Paint Pavement Marking Lines (8", 90 Mils)	8950	LF		
146	1205	Paint Pavement Marking Lines (24", 90 Mils)	3900	LF		
147	1205	Paint Pavement Marking Symbols	125	EA		
148	1205	Paint Pavement Marking Characters	25	EA		
149	1205	Removal of Pavement Marking Lines (4")	44000	LF		
150	1205	Removal of Pavement Marking Lines (8")	1750	LF		
151	1205	Removal of Pavement Marking Lines (24")	1100	LF		
152	1205	Removal of Pavement Marking Symbols and Characters	58	EA		
153	1251	Temporary Raised Pavement Markers	1100	EA		
154	1253	Snowplowable Raised Pavement Markers	420	EA		
155	1266	Tubular Markers (Fixed)	15	EA		
156	PSP	Acer rubrum 'October Glory'	5	EA		

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Line Item	Sec. No	Pay Item	Quantity	Unit	Price	Amount
157	PSP	Cercis canadensis	44	EA		
158	PSP	Azalea x 'Autumn Angel'	15	EA		
159	PSP	Buddleja x 'SMNBDPT' TM	55	EA		
160	PSP	Ilex glabra 'Shamrock'	84	EA		
161	PSP	Echinacea x 'Powwow Wild Berry'	1000	EA		
162	PSP	Carex divulsa	1100	EA		
163	PSP	Rudbeckia fulgida 'Goldstrum'	1241	EA		
164	PSP	Andropogon virginicus	1160	EA		
165	PSP	Muhlenbergia capillaris	1568	EA		
166	PSP	Deschampsia cespitosa 'Goldtau'	1924	EA		
167	PSP	Panicum virgatum 'Northwind'	1056	EA		
168	PSP	Schizachyrium scoparium	922	EA		
169	PSP	Cynodon dactylon 'Tif 19'	11862	SY		
170	PSP	Sod (Contractor Shall Match Species of Existing Adjacent Sod)	2440	SY		
171	PSP	Seed & Mulching (See Roadway Plans for Seed Schedule)	4.1	SY		
172	PSP	Hardwood Mulch	525	CY		
173	PSP	Topsoil	4,600	CY		
174	PSP	Soil Amendments	2,550	CY		
175	PSP	One-Year Landscape Establishment	1	LS		
176	1510	6" Water Line	60	LF		
177	1510	8" Water Line	75	LF		
178	1510	12" Water Line	681	LF		
179	1510	16" Water Line	2153	LF		
180	1510	20" HDPE Water Line	686	LF		
181	1510	Ductile Iron Water Pipe Fittings	17700	LB		
182	1515	6" Valve	6	EA		
183	1515	12" Valve	3	EA		
184	1515	16" Valve	7	EA		
185	1515	Air Release Valve (Sanitary)	1	EA		
186	1515	Air Release Valve (Potable Water)	1	EA		
187	1515	5/8" Water Meter	1	EA		
188	1515	Relocate Water Meter	12	EA		
189	1515	Relocate 1" RPZ BFP	1	EA		
190	1515	Fire Hydrant	8	EA		
191	1515	Fire Hydrant Leg	187	LF		
192	1515	16" Line Stop w/ Bypass	2	EA		
193	1515	Water Service Line	616	LF		
194	SP	8" Insertion Valve	2	EA		
195	SP	12" Insertion Valve	4	EA		
196	SP	16" Insertion Valve	1	EA		

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Line Item	Sec. No	Pay Item	Quantity	Unit	Price	Amount
197	1520	8" Sanitary Gravity Sewer	1001	LF		
198	1520	16" Force Main Sewer	4134	LF		
199	1520	Sanitary Sewer Cleanout	5	EA		
200	1520	Sewer Service Line	493	LF		
201	1520	Ductile Iron Sewer Pipe Fittings	6300	LB		
202	1530	Abandon 21" Utility Pipe	200	LF		
203	1520	21" Sanitary Gravity Sewer	65	LF		
204	1525	4' Dia Utility MH	7	EA		
205	1525	5' Dia Utility MH	3	EA		
206	1525	4' Dia MH Wall	44	LF		
207	1525	5' Dia MH Wall	20	LF		
208	1530	Abandon 6" Utility Pipe	60	LF		
209	1530	Abandon 8" Utility Pipe	984	LF		
210	1530	Abandon 12" Utility Pipe	974	LF		
211	1530	Abandon 16" Utility Pipe	6119	LF		
212	1530	Remove Fire Hydrant	7	EA		
213	1530	Abandon Utility Manhole	9	EA		
214	1540	18" Steel Encasement	62	LF		
215	1540	30" Steel Encasement	47	LF		
216	1550	Bore & Jack of 18"	62	LF		
217	1550	Bore & Jack of 30"	47	LF		
218	1550	Directional Drilling of 20"	686	LF		
219	1605	Temporary Silt Fence	17385	LF		
220	SP	Tree Protection Fence	6510	LF		
221	1610	Erosion Control Stone, Class A	450	TON		
222	1610	Erosion Control Stone, Class B	670	TON		
223	1610	Sediment Control Stone	1345	TON		
224	1615	Temporary Mulching	17.5	ACR		
225	1620	Seed for Temporary Seeding	1700	LB		
226	1620	Fertilizer for Temporary Seeding	10.5	TON		
227	1622	Temporary Slope Drains	200	LF		
228	1630	Silt Excavation	1600	CY		
229	1631	Matting for Erosion Control	24300	SY		
230	SP	Coir Fiber Mat	100	SY		
231	1632	1/4" Hardware Cloth	3895	LF		
232	SP	15" Temporary Pipe	330	LF		
233	SP	18" Temporary Pipe	50	LF		
234	SP	30" Temporary Pipe	16	LF		
235	SP	36" Temporary Pipe	30	LF		
236	1639	Special Stilling Basins	22	EA		
237	SP	Wattle	50	LF		

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Line Item	Sec. No	Pay Item	Quantity	Unit	Price	Amount
238	SP	Polycrylamide (PAM)	50	LB		
239	SP	Block and Gravel Inlet Protection	5	EA		
240	SP	Permanent Soil Reinforcement Mat	1330	SY		
241	1640	Coir Fiber Baffle	295	LF		
242	SP	1-1/2" Skimmer	6	EA		
243	SP	2-1/2" Skimmer	1	EA		
244	1660	Seeding and Mulching	24	ACR		
245	1660	Mowing	15	ACR		
246	1661	Seed for Repair Seeding	225	LB		
247	1661	Fertilizer for Repair Seeding	0.5	TON		
248	1662	Seed for Supplemental Seeding	550	LB		
249	1665	Fertilizer Topdressing	16.5	TON		
250	SP	Impervious Dike	251	LF		
251	SP	Response for Erosion Control	15	EA		
252	SP	Concrete Washout Structure	6	EA		
253	SP	Temporary Shoring	2500	SF		
254	1705	Pedestrian Signal Head (16", 1 Section with Countdown)	9	EA		
255	1705	Signal Cable	3700	LF		
256	1705	Vehicle Signal Head (12", 3 Section)	12	EA		
257	1705	Vehicle Signal Head (12", 4 Section)	3	EA		
258	1710	Messenger Cable (3/8")	220	LF		
259	1715	Tracer Wire	8445	LF		
260	1715	Paved Trenching (2 Conduits, 2 Inch)	350	LF		
261	1715	Unpaved Trenching (2 Conduits, 2 Inch)	4582	LF		
262	1715	Directional Drill (2 Conduits, 2 Inch)	3655	LF		
263	1716	Junction Box (Standard Size)	6	EA		
264	1716	Junction Box (Over-Sized, Heavy Duty)	2	EA		
265	1720	Wood Pole	3	EA		
266	1721	Guy Assembly	4	EA		
267	1722	2" Riser with Weatherhead	2	EA		
268	1725	Inductive Loop Sawcut	1270	LF		
269	1726	Lead-In Cable (14-2)	4070	LF		
270	SP	Site Survey	1	EA		
271	SP	Luminaire Arm for Video System	4	EA		
272	SP	Camera With Internal Loop Emulator Processing Unit	4	EA		
273	SP	Relocate Camera Sensor Unit	2	EA		
274	1730	Communications Cable (48 Fiber)	9672	LF		
275	1730	Communications Cable (288 Fiber)	6975	LF		
276	1730	Drop Cable	295	LF		

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BID ALTERNATE TEMPORARY DETOUR

Line Item	Sec. No	Pay Item	Quantity	Unit	Price	Amount
297	225	Unclassified Excavation	1000	CY		
298	230	Borrow Excavation	1,500	CY		
299	240	Drainage Ditch Excavation	15	CY		
300	520	Aggregate Base Course	600	TON		
301	610	Asphalt Conc Base Course, Type B25.0C	10	TON		
302	610	Asphalt Conc Intermediate Course, Type I19.0C	290	TON		
303	610	Asphalt Conc Surface Course, Type S9.5C	210	TON		
304	620	Asphalt Binder For Plant Mix	30	TON		
305	828	Temporary Steel Plate Covers for Masonry Drainage Structures	3	EA		
306	1110	Work Zone Signs (Stationary)	80	SF		
307	1110	Work Zone Signs (Barricade Mounted)	28	SF		
308	1130	Drums	100	EA		
309	1145	Barricades (Type III)	40	LF		
310	SP	Pedestrian Channelizing Devices	20	LF		
311	1160	Temporary Crash Cushion	1	EA		
312	1205	Paint Pavement Marking Lines (4", 90 MILS)	8,500	LF		

TOTAL ALTERNATE BID TEMPORARY DETOUR \$_____

U-6243

Holly Springs, North Carolina

BID ALTERNATE UC1 BETTERMENT 16" WATERLINE

Line Item	Sec. No	Pay Item	Quantity	Unit	Price	Amount
313	1510	12" Water Line	12	LF		
314	1510	16" Water Line	850	LF		
315	1510	Ductile Iron Water Pipe Fittings	1800	LB		
316	1515	6" Valve	1	EA		
317	1515	12" Valve	1	EA		
318	1515	16" Valve	2	EA		
319	1515	Fire Hydrant	1	EA		
320	1515	Fire Hydrant Leg	12	LF		

TOTAL ALTERNATE BID UC1 \$ _____**BID ALTERNATE UC2 UPSIZE OF PROPOSED FORCEMAIN TO 20" SIZE**

Line Item	Sec. No	Pay Item	Quantity	Unit	Price	Amount
321	1515	20" Plug Valve	1	EA		
322	1520	16" Force Main Sewer	-3955	LF		
323	1520	20" Force Main Sewer	3955	LF		
324	1520	Ductile Iron Sewer Pipe Fittings	4200	LB		

TOTAL ALTERNATE BID UC2 \$ _____**BID ALTERNATE UC3 TEMPORARY WATERLINE CONNECTION OF -W5-**

Line Item	Sec. No	Pay Item	Quantity	Unit	Price	Amount
325	1510	12" Water Line	34	LF		
326	1510	Ductile Iron Water Pipe Fittings	1000	LB		
327	1515	12" Tapping Sleeve & Valve	1	EA		
328	SP	Abandonment of Temporary Connection	1	LS		

TOTAL ALTERNATE BID UC3 \$ _____**BID ALTERNATE UC4 LONGTERM SANITARY SEWER BYPASS**

Line Item	Sec. No	Pay Item	Quantity	Unit	Price	Amount
329	SP	Generic Utility Item - Long Term SS Bypass	120	DAY		

TOTAL ALTERNATE BID UC4 \$ _____

U-6243

Holly Springs, North Carolina

CERTIFIED LIST OF EQUIPMENT/MATERIAL MANUFACTURERS

The Bidder, as part of the procedure for the submission of Bids on the Project, submits the following list of Equipment/Materials Manufacturers to be used in the performance of work to be done on said Project. The list of Manufacturers and all equipment/materials furnished shall be based on requirements of the Contract Documents. Changes to this list after the Bid opening shall only be as approved by the Owner upon request by the Bidder or as required by the Owner based upon review of Bidder's submittals:

<u>EQUIPMENT/MATERIALS</u>	<u>MANUFACTURER</u>
<u>ASPHALT</u>	<u>FRED SMITH COMPANY</u>

It is understood and agreed that, if awarded a Contract, the Bidder shall not make any additions, deletions or substitutions to this certified list without the consent of the Owner. Failure to identify a manufacturer for any or all of the items listed shall constitute an entry of one of the manufacturers listed in its respective technical specification.

U-6243

Holly Springs, North Carolina

CERTIFICATION AFFIDAVIT

THE ABOVE INFORMATION IS TRUE AND COMPLETE TO THE BEST OF MY KNOWLEDGE AND BELIEF. I FURTHER UNDERSTAND AND AGREE THAT, IF AWARDED A CONTRACT, THIS CERTIFICATION SHALL BE ATTACHED THERETO AND BECOME A PART THEREOF.

FSC II, LLC dba Feed Smith Company
[If Bidder is not an individual, enter entity name here]

By: Thomas T. Johnson Jr.
(Signature)

NAME OF SIGNER: Thomas T. Johnson, Jr.
(Please Print or Type)

TITLE OF SIGNER: Vice President
(Please Print or Type)

DATE: 12/2/2021

U-6243

Holly Springs, North Carolina

BID SECURITY:

Accompanying this Proposal is a (1) Bid Bond in the amount of
(2) ONE MILLION ONE HUNDRED NINE THOUSAND THREE HUNDRED FIVE Dollars
(\$ 1,109,305.22). AND TWENTY-TWO CENTS

NOTE: (1) Insert the words "bank draft," "certified check," "bid bond", "cash", or "cashiers check", as the case may be.

(2) Amount must be equal to at least five percent (5%) of the total Bid.

BIDDER'S LICENSE (If applicable):

The Bidder certifies that (he/she/it) is licensed as a Bidder under the specific North Carolina state law regulating his/her/its particular trade and that the number of the license under which he/she/it now operates is 43848.

BIDDER'S CERTIFICATION AS TO ORGANIZATION AND AUTHORITY:

The Bidder certifies that the Affidavit of Organization and Authority, like the other documents attached hereto, form an integral part of the Proposal, and the Bidder acknowledges that the Owner will rely on the information provided therein in reviewing the Proposal and awarding a Contract.

LIQUIDATED DAMAGES:

The Bidder agrees, further, that the Owner may retain those amounts indicated in the Contract from the amount of compensation due the Bidder, under the terms of the Contract, for each and every day that the work remains incomplete and/or unsatisfactory beyond the completion date(s) specified in the Notice to Proceed. This amount is agreed upon as the proper measure of liquidated damages the Owner will sustain, per day, by the failure of the Bidder to complete the work within the stipulated time, and it is not to be construed in any sense as a penalty.

The Bidder shall not have or bring a claim against the Owner, or raise as a defense against the imposition of liquidated damages, other construction purportedly impeding Bidder's progress or timely project completion.

U-6243

Holly Springs, North Carolina

(SIGNATURE PAGE)

Dated DECEMBER 2, 2021.

FSL II, LLC dba Fred Smith Company (SEAL)

Bidder—Legal Entity

By: Thomas T. Johnson, Jr. (SEAL)
(SIGN HERE)

SEAL-if corporation



Thomas T. Johnson, Jr.

Printed Name

701 CORPORATE CENTER DR., SUITE 101

RALEIGH NC 27607

Address

(919) 783-5700

Telephone No.

Subscribed and sworn to before me this 2nd day of DECEMBER, 2021

David T. Fountain
Notary Public

My Commission Expires:

12/06/2021



Contract No. 19-009
County Wake

Rev. 7-25-17

STATE OF NORTH CAROLINA
TOWN OF HOLLY SPRINGS
RALEIGH, NC

BID BOND

Principal: FSC II, LLC dba Fred Smith Company
Name of Principal Contractor
Surety: Western Surety Company
Name of Surety
Contract Number: 19-009 County: Wake
Date of Bid: December 2, 2021

KNOW ALL MEN BY THESE PRESENTS, That we, the PRINCIPAL CONTRACTOR (hereafter, PRINCIPAL) and SURETY above named, are held and firmly bound unto the **TOWN OF HOLLY SPRINGS** in the full and just sum of five (5) percent of the total amount bid by the Principal for the project stated above, for the payment of which sum well and truly to be made, we bind ourselves, our heirs, executors, administrators, and successors, jointly and severally, firmly by these presents.

NOW, THEREFORE, the condition of this obligation is: the Principal shall not withdraw its bid within sixty (60) days after the opening of the bids, or within such other time period as may be provided in the proposal, and if the **TOWN OF HOLLY SPRINGS** shall award a contract to the Principal, the Principal shall, within ten (10) calendar days after written notice of award is received by him, provide bonds with good and sufficient surety, as required for the faithful performance of the contract and for the protection of all persons supplying labor, material, and equipment for the prosecution of the work. In the event the Principal requests permission to withdraw his bid due to mistake in accordance with the provisions of Article 103-3 of the *Standard Specifications for Roads and Structures*, the conditions and obligations of this Bid Bond shall remain in full force and effect until the **TOWN OF HOLLY SPRINGS** makes a final determination to either allow the bid to be withdrawn or to proceed with award of the contract. In the event a determination is made to award the contract, the Principal shall have ten (10) calendar days to comply with the requirements set forth above. In the event the Principal withdraws its bid after bids are opened except as provided in Article 103-3, or after award of the contract has been made fails to execute such additional documents as may be required and to provide the required bonds within the time period specified above, then the amount of the bid bond shall be immediately paid to the **TOWN OF HOLLY SPRINGS** as liquidated damages.

IN TESTIMONY WHEREOF, the Principal and Surety have caused these presents to be duly signed and sealed.

This the 2nd day of December, 20 21

Western Surety Company
Surety

By Renee Ellis
General Agent or Attorney-in-Fact Signature

Seal of Surety

Renee Ellis, Attorney in Fact
Print or type Signer's Name

Contract No.
County

19-009

Wake

Rev. 7-25-17

BID BOND

CORPORATION

SIGNATURE OF CONTRACTOR (Principal)

Full name of Corporation

Address as prequalified

By _____
Signature of President, Vice President, Assistant Vice President
Select appropriate title

Print or type Signer's name

Affix Corporate Seal

Attest

Signature of Secretary, Assistant Secretary
Select appropriate title

Print or type Signer's name

Contract No.
County

19-009
Wake

Rev. 7-25-17

BID BOND

LIMITED LIABILITY COMPANY

SIGNATURE OF CONTRACTOR (Principal)

Name of Contractor

FSC II, LLC dba Fred Smith Company
Full name of Firm

701 Corporate Center Drive, Suite 101, Raleigh, NC 27607
Address as prequalified

Signature of Member/
Manager/Authorized Agent

Thomas T. Johnson, Jr.
Individually



THOMAS T. JOHNSON, JR.

Print or type Signer's name

Contract No.
County

19-009

Wake

Rev. 7-25-17

BID BOND

INDIVIDUAL DOING BUSINESS UNDER A FIRM NAME

SIGNATURE OF CONTRACTOR (Principal)

Name of Contractor

Individual Name

Trading and doing business as

Full name of Firm

Address as prequalified

Signature of Contractor

Individually

Print or type Signer's name

Signature of Witness

Print or type Signer's name

Contract No.
County

19-009

Wake

Rev. 7-25-17

BID BOND

INDIVIDUAL DOING BUSINESS IN HIS OWN NAME

SIGNATURE OF CONTRACTOR (Principal)

Name of Contractor

Print or type Individual Name

Address as prequalified

Signature of Contractor

Individually

Print or type Signer's name

Signature of Witness

Print or type Signer's name

Contract No. 19-009
County Wake

Rev. 7-25-17

BID BOND

PARTNERSHIP

SIGNATURE OF CONTRACTOR (Principal)

Full name of Partnership

Address as prequalified

By _____
Signature of Partner

Print or type Signer's name

Signature of Witness

Print or type Signer's name

Contract No.
County

19-009

Wake

Rev. 7-25-17

BID BOND
JOINT VENTURE (2 or 3)
SIGNATURE OF CONTRACTORS (Principal)

Instructions to Bidders: **2 Joint Ventures**, Fill in lines (1), (2) and (3) and execute. **3 Joint Venturers** Fill in lines (1), (2), (3), (4) and execute. Line (1), print or type the name of Joint Venture. On line (2), print or type the name of one of the joint venturers and execute below in the appropriate manner required by Article 102-8 of the *Specifications*. On Line (3), print or type the name of second joint venturer and execute below in the appropriate manner required by said article of the *Specifications*. On Line (4), print or type the name of the third joint venturer, if applicable and execute below in the appropriate manner required by said article of the *Specifications*. This form of execution must be strictly followed.

(1) _____
Name of Joint Venture

(2) _____
Name of Contractor

Address as prequalified

Signature of Witness or Attest By Signature of Contractor

Print or type Signer's name Print or type Signer's name

If Corporation, affix Corporate Seal

and

(3) _____
Name of Contractor

Address as prequalified

Signature of Witness or Attest By Signature of Contractor

Print or type Signer's name Print or type Signer's name

If Corporation, affix Corporate Seal

and

(4) _____
Name of Contractor *(for 3 Joint Venture only)*

Address as prequalified

Signature of Witness or Attest By Signature of Contractor

Print or type Signer's name Print or type Signer's name

If Corporation, affix Corporate Seal

U-6243

Holly Springs, North Carolina

BID BOND

This is a Bid Bond that is subject to the provisions of Article 3 of Chapter 44A of the North Carolina General statutes.

This Bid Bond is executed on December 2, 2021

The name of the PRINCIPAL is FSC II, LLC dba Fred Smith Company (1)

Limited Liability Company (2)

The name of the SURETY is Western Surety Company

The TOWN OF HOLLY SPRINGS, NORTH CAROLINA is the OWNER.

The amount of the Bond is five percent of the amount bid
(Dollars) (\$ 5%)

KNOW BY ALL MEN BY THESE PRESENTS, the Principal and Surety above named are hereby held and firmly bound unto the above named OWNER hereinafter called the OWNER in the penal sum of the amount stated above in lawful money of the United States, for the payment of which, well and truly to be made, we hereby jointly and severally bind ourselves, our heirs, executors, administrators, successors and assigns.

The condition of the above obligation is such that whereas the Principal has submitted to the OWNER a certain Bid Proposal, attached hereto and hereby made a part hereof to enter into a Contract in writing, for the construction of:

"U-6243 – HOLLY SPRINGS ROAD WIDENING PHASE 2
Town of Holly Springs Project No. 19-009"

NOW, THEREFORE

- (a) If said Bid Proposal shall be rejected; or in the alternate,
- (b) If said Bid Proposal shall be accepted and the Principal shall execute and deliver a Contract in the form of Contract attached hereto (properly completed in accordance with said Bid Proposal) and shall furnish a bond for his faithful performance of said Contract, and for the payment of all persons performing labor or furnishing materials in connection therewith, and shall in all other respects perform the agreement created by the acceptance of said Bid Proposal, then this obligation shall be void, otherwise the same shall remain in force and effect; it being expressly understood and agreed that the liability of the Surety for any and all claims hereunder shall, in no event, exceed the penal amount of this obligation as herein stated.

U-6243

Holly Springs, North Carolina

The Surety, for value received, hereby stipulates and agrees that the obligations of said Surety and its Bid Bond shall be in no way impaired or affected by any extension of the time within which the Owner may accept such Bid Proposal; and said Surety does hereby waive notice of any such extension.

IN WITNESS WHEREOF, the Principal and the Surety have hereunto set their hands and seals, and such of them as are corporations have caused their corporate seals to be hereto affixed and these presents to be signed by their proper officers, the day and year first set forth above.

ATTEST:


(Principal) Secretary
(SEAL)



Witness as to Principal

701 Corporate Center Drive, Suite 101, Raleigh, NC 27607
(Address)

FSC II, LLC dba Fred Smith Company
Principal

BY:  (3)

701 Corporate Center Drive, Suite 101, Raleigh, NC 27607
(Address)

ATTEST:

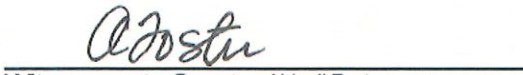

N. C. Resident Agent
(SEAL) G. Timothy Wilkerson

Western Surety Company
Surety

By: 
Renee Ellis, Attorney in Fact (4)

(Name)
2601 Bell Road, Montgomery, AL 36117
(Address)

334-244-0004
(Phone Number)


Witness as to Surety Abigail Foster

2601 Bell Road, Montgomery, AL 36117
(Address)

- (1) Insert the correct name of Principal.
- (2) Insert whether the Principal is a corporation, a partnership, a limited liability company or an individual.
- (3) If Principal is a partnership, all partners should execute the Bid Bond. If Bidder is a limited liability company, all managers (or all members, if the company is member-managed) should execute the Bond.
- (4) Provide contact name, address and phone number for bid bond surety.

Western Surety Company

POWER OF ATTORNEY APPOINTING INDIVIDUAL ATTORNEY-IN-FACT

Know All Men By These Presents, That WESTERN SURETY COMPANY, a South Dakota corporation, is a duly organized and existing corporation having its principal office in the City of Sioux Falls, and State of South Dakota, and that it does by virtue of the signature and seal herein affixed hereby make, constitute and appoint

Thomas J. Gentile, Billie Jo Sanders, Renee Ellis, Paul B Scott Jr., David J Durden, Milton A Kopf III, Individually

of Montgomery, AL, its true and lawful Attorney(s)-in-Fact with full power and authority hereby conferred to sign, seal and execute for and on its behalf bonds, undertakings and other obligatory instruments of similar nature

- In Unlimited Amounts -

and to bind it thereby as fully and to the same extent as if such instruments were signed by a duly authorized officer of the corporation and all the acts of said Attorney, pursuant to the authority hereby given, are hereby ratified and confirmed.

This Power of Attorney is made and executed pursuant to and by authority of the By-Law printed on the reverse hereof, duly adopted, as indicated, by the shareholders of the corporation.

In Witness Whereof, WESTERN SURETY COMPANY has caused these presents to be signed by its Vice President and its corporate seal to be hereto affixed on this 2nd day of June, 2021.



WESTERN SURETY COMPANY

Paul T. Bruflat, Vice President

State of South Dakota }
County of Minnehaha } ss

On this 2nd day of June, 2021, before me personally came Paul T. Bruflat, to me known, who, being by me duly sworn, did depose and say: that he resides in the City of Sioux Falls, State of South Dakota; that he is the Vice President of WESTERN SURETY COMPANY described in and which executed the above instrument; that he knows the seal of said corporation; that the seal affixed to the said instrument is such corporate seal; that it was so affixed pursuant to authority given by the Board of Directors of said corporation and that he signed his name thereto pursuant to like authority, and acknowledges same to be the act and deed of said corporation.

My commission expires

March 2, 2026



M. Bent, Notary Public

CERTIFICATE

I, L. Nelson, Assistant Secretary of WESTERN SURETY COMPANY do hereby certify that the Power of Attorney hereinabove set forth is still in force, and further certify that the By-Law of the corporation printed on the reverse hereof is still in force. In testimony whereof I have hereunto subscribed my name and affixed the seal of the said corporation this 2nd day of December, 2021.



WESTERN SURETY COMPANY

L. Nelson, Assistant Secretary

U-6243

Holly Springs, North Carolina

BID BOND

This is a Bid Bond that is subject to the provisions of Article 3 of Chapter 44A of the North Carolina General statutes.

This Bid Bond is executed on _____, 20__.

The name of the PRINCIPAL is _____ (1)

_____ (2)

The name of the SURETY is _____

The TOWN OF HOLLY SPRINGS, NORTH CAROLINA is the OWNER.

The amount of the Bond is _____

_____ (Dollars) (\$_____)

KNOW BY ALL MEN BY THESE PRESENTS, the Principal and Surety above named are hereby held and firmly bound unto the above named OWNER hereinafter called the OWNER in the penal sum of the amount stated above in lawful money of the United States, for the payment of which, well and truly to be made, we hereby jointly and severally bind ourselves, our heirs, executors, administrators, successors and assigns.

The condition of the above obligation is such that whereas the Principal has submitted to the OWNER a certain Bid Proposal, attached hereto and hereby made a part hereof to enter into a Contract in writing, for the construction of:

“U-6243 – HOLLY SPRINGS ROAD WIDENING PHASE 2
Town of Holly Springs Project No. 19-009”

NOW, THEREFORE

- (a) If said Bid Proposal shall be rejected; or in the alternate,
- (b) If said Bid Proposal shall be accepted and the Principal shall execute and deliver a Contract in the form of Contract attached hereto (properly completed in accordance with said Bid Proposal) and shall furnish a bond for his faithful performance of said Contract, and for the payment of all persons performing labor or furnishing materials in connection therewith, and shall in all other respects perform the agreement created by the acceptance of said Bid Proposal, then this obligation shall be void, otherwise the same shall remain in force and effect; it being expressly understood and agreed that the liability of the Surety for any and all claims hereunder shall, in no event, exceed the penal amount of this obligation as herein stated.

U-6243

Holly Springs, North Carolina

The Surety, for value received, hereby stipulates and agrees that the obligations of said Surety and its Bid Bond shall be in no way impaired or affected by any extension of the time within which the Owner may accept such Bid Proposal; and said Surety does hereby waive notice of any such extension.

IN WITNESS WHEREOF, the Principal and the Surety have hereunto set their hands and seals, and such of them as are corporations have caused their corporate seals to be hereto affixed and these presents to be signed by their proper officers, the day and year first set forth above.

ATTEST:

(Principal) Secretary
(SEAL)

Principal

BY: _____ (3)

(Address)

Witness as to Principal

(Address)

ATTEST:

N. C. Resident Agent
(SEAL)

Surety

By: _____

(Name) (4)

(Address)

(Phone Number)

Witness as to Surety

(Address)

- (1) Insert the correct name of Principal.
- (2) Insert whether the Principal is a corporation, a partnership, a limited liability company or an individual.
- (3) If Principal is a partnership, all partners should execute the Bid Bond. If Bidder is a limited liability company, all managers (or all members, if the company is member-managed) should execute the Bond.
- (4) Provide contact name, address and phone number for bid bond surety.

U-6243

Holly Springs, North Carolina

POWER OF ATTORNEY
(Attach)

U-6243

Holly Springs, North Carolina

BIDDER'S CERTIFICATES
AFFIDAVIT OF ORGANIZATION AND AUTHORITY
SWORN STATEMENT

STATE OF NORTH CAROLINA)COUNTY OF WAKE)

THOMAS T. JOHNSON, JR. being first duly sworn on oath deposes and says that the Bidder on the attached Bid Proposal is organized as indicated below and that all statements herein made are made on behalf of such Bidder and that this deponent is authorized to make them.

(Fill Out Applicable Paragraph)

CORPORATION:

The Bidder is a corporation organized and existing under the laws of the State of _____, it operates under the legal name of _____, and the full names of its officers are as follows:

President _____
 Secretary _____
 Treasurer _____
 Manager _____

and it does _____ have a corporate seal. The _____ is/are authorized to sign construction proposals and contracts for the company by action of its Board of Directors taken _____, a certified copy of which is hereto attached. (Strike out this last phrase if not applicable.)

PARTNERSHIP:

The Bidder is a [limited/general] partnership consisting of individual/corporate partners as follows:

General PartnersLimited Partners

The partnership does business under the name of : _____

LIMITED LIABILITY COMPANY:

The bidder is a [member-managed/manager-managed] limited liability company consisting of the following individual/corporate members/managers:

SEE ATTACHED "Managers CERTIFICATE OF MANAGER" Members

U-6243

Holly Springs, North Carolina

INDIVIDUAL:

The Bidder is an individual whose full name is:

and if operating under a trade name, said trade name is as follows:

The business address of the Bidder is:

701 CORPORATE CENTER DR
SUITE 101
RALEIGH NC 27607

Its phone number is: 919-783-5700

The contact person for this Proposal is:

DARRELL SMITH

FSC II, LLC dba FRED SMITH COMPANY
Bidder

By: Thomas J Johnson

Subscribed and sworn to before me this 2ND day of DECEMBER, 2021.

David T. Fountain
Notary Public

WAKE

County

My Commission Expires:

12/06/2021



FSC II, LLC

CERTIFICATE OF MANAGER

The undersigned hereby certifies that he is the duly named Manager of FSC II, LLC, a North Carolina limited liability company which conducts business as "Fred Smith Company", "Rose Brothers Paving Company", and "Daurity Springs Quarry" (the "Company"), and further certifies as follows:

1. Section 6.9 of the Amended and Restated Operating Agreement of Company, dated July 17, 2004, as amended (the "Operating Agreement"), provides as follows:

"SECTION 6.9 Officers. The Managers, by resolution, may appoint from time to time a Chief Executive Officer, an Administrative Officer, a Secretary, and one or more other Officers of Company with such titles, powers, duties, compensation and other terms as the Managers may determine to be necessary or appropriate, subject to any applicable restrictions specifically provided in this Agreement or contained in the Act. Among other things, Officers may be authorized by the Managers to execute contracts and other instruments on behalf of the Company, and such authority may be general or limited to specific instances. Officers need not (but may) be residents of the State of North Carolina, Members or Managers of the Company. Any such Officers shall serve, subject to the provisions of this Agreement, until their respective successors are duly appointed and qualified. Any Officer may be removed by the Managers at any time with or without cause; but such removal shall not itself affect the contractual rights, if any, of the officer so removed. The compensation of all Officers shall be fixed by the Managers or as prescribed by this Agreement. The current Officers of the Company, and their authority, is set forth on Schedule B attached hereto and incorporated herein."

2. Schedule B to the Operating Agreement provides as follows:

"Officers and Authority"

Name	Title
Fred J. Smith, III	Chief Executive Officer
Jason M. Williams	President
Glenn Gardon	Vice President
Cassandra Dixon	Vice President
R. Alan Palmer	Vice President
Brent E. Wood	Vice President and Secretary
Andrew J. Norton	Vice President and Assistant Secretary
Thomas T. Johnson, Jr.	Vice President and Assistant Secretary
Ryan Brooks	Assistant Secretary
Todd K. Andrews	Assistant Secretary
William Reade Dawson	Vice President and Assistant Secretary

Walter U. Viele	Vice President and Assistant Secretary
Brett Armstrong	Vice President and Assistant Secretary
Greg Hoffman	Vice President and Assistant Secretary

Any above-named officer of the Company is authorized to execute on behalf of the Company all contracts, purchase orders, payment applications, bids, bid bonds, lien waivers, and bond waivers."

3. Pursuant to Section 6.9 of the Operating Agreement, by his execution hereof, until further notice, the Manager does hereby authorize the division officers named below to execute contracts, purchase orders, payment applications, bids, bid bonds, lien waivers, and bond waivers on behalf of the Company, pursuant to which the commitment or liability of the Company does not exceed \$5,000,000 as to any individual contract, purchase order, payment application, bid, bid bond, lien waiver, or bond waiver as follows:

Name	Division Title
Jeff Allen	Vice President - Eastern Division
Charles Phelps	Vice President - Commercial Division
Jordan Bailey Watkins	Vice President - Piedmont Division
Tim Rose	Rose Brothers Paving Company Area Manager
Jeff Storms	Vice President - Fleet
Robert Baugnon	Vice President - Personnel

4. Pursuant to Section 6.9 of the Operating Agreement, by his execution hereof, until further notice, the Manager does hereby authorize the individuals named below to attest the signature of any division officer listed in paragraph 3 above as division secretary on contracts, purchase orders, payment applications, bids, bid bonds, lien waivers, and bond waivers on behalf of the Company, pursuant to which the commitment or liability of the Company does not exceed \$5,000,000 as to any individual contract, purchase order, payment application, bid, bid bond, lien waiver, or bond waiver:

John R. McGlamery, Jr.	DaVaughn Dixon
Jeremy Helms	Jim Wiggins
Charles Rose	Robbie Parker
David Yates	Bob Marsh
Nick Wilkinson	Phillip Bunn
Ryan Van Lerberghe	Deyna Ackerman

5. Pursuant to Section 6.9 of the Operating Agreement, by his execution hereof, until further notice, the Manager does hereby authorize the individuals named below to execute contracts, purchase orders, payment applications, lien waivers, and bond waivers on behalf of the Company, pursuant to which the commitment or liability of the Company does not exceed \$3,000,000 as to any individual contract, purchase order, payment application, bid, bid bond, lien waiver, or bond waiver as follows:

Phillip Bunn
John R. McGlamery, Jr.
Ryan Van Lerberghe
Nick Wilkinson
Jeremy Helms

David Yates
Bob Marsh
Robbie Parker
Deyna Ackerman
DaVaughn Dixon

6. Pursuant to Section 6.9 of the Operating Agreement, by his execution hereof, until further notice, the Manager does hereby authorize the individuals named below to execute contracts and purchase orders on behalf of the Company, pursuant to which the commitment or liability of the Company: (a) does not exceed \$100,000 as to any individual contract or purchase order, and (b) does not require a commitment by the Company to make payments more than one (1) year after the execution of the contract or purchase order, as follows:

Brian Conrad
Caleb Ellis
Elliott Morton
Alana Locklear
Chris Fody
Joseph Newcomb
Guy Thompson
Charles Rose
Chad McCaskey
Michael Gravatt
Trevor Leander
Craig Taylor, Jr.
Steve VanDeventer
Jimmy Cole

John LaCerde
Jess Adams
Anthony "Joe" Staynings
Paul Heatherington
Justin Stewart
Richard Andy Brown
Bradley Yovanovich
Jim Wiggins
Zak Boyd
Jonathan Frost
Preston Locklear
Hannable McGarity
Allen Hedgepeth

7. Pursuant to Section 6.9 of the Operating Agreement, by his execution hereof, until further notice, the Manager does hereby authorize the individuals named below to execute contracts and purchase orders on behalf of the Company, pursuant to which the commitment or liability of the Company: (a) does not exceed \$25,000 as to any individual contract or purchase order, and (b) does not require a commitment by the Company to make payments more than one (1) year after the execution of the contract or purchase order, as follows:

Brooks Pierce
Ricky Holloman
Ricky Pendergrass
Drew Leggett
Lisa Day
Steve Mercaldo
Jason Holland
Russell Ross
Jay Spencer

Melissa Lawson
Paul Tsekumah
Mike Sedlock
Polly Stephens
Lawrence "Buddy" Lee
James Petrucci
Joe Polansky
Terry White
Chris McLean

Sean Madden
Brandon Aycock
Billy Pugh
Allen Gray Smith
David Fountain
Ray Patino
Christian Solis
Greg Snyder

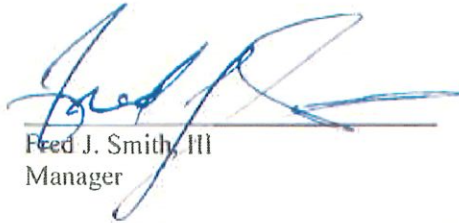
Daniel McElwey
Jay Hawekotte
James Creech
Matthew Baugnon
Martin Lehmann
Michael Bullock
Ronnie Lamm

8. Pursuant to Section 6.9 of the Operating Agreement, by his execution hereof, until further notice, the Manager does hereby authorize Cassandra Dixon, as the Vice President of Accounting of the Company, to establish and maintain debit and/or credit authorization limits for individual employees of the Company with: (a) BBVA Compass Bank; and (b) Bank of America.

9. Pursuant to Section 6.9 of the Operating Agreement, by his execution hereof, until further notice, the Manager does hereby authorize Cassandra Dixon, as the Vice President of Accounting of the Company, to establish and maintain authorization limits for approval of invoices, payment applications and time cards within the Company's accounting software systems by individual employees of the Company.

This Certificate of Manager shall supersede and replace any and all previously adopted Schedule B of the Operating Agreement.

IN WITNESS WHEREOF, the undersigned has executed this certificate effective on November __, 2021.



Fred J. Smith III
Manager

U-6243

Holly Springs, North Carolina

EQUAL EMPLOYMENT OPPORTUNITY ADDENDUM

During the performance of the Contract the Bidder agrees as follows:

- a. The Bidder shall not discriminate against any employee or applicant because of race, color, religion, sex, or national origin. The Bidder shall take affirmative action to ensure that applicants are employed, and that employees are treated during employment, without regard to race, color, religion, sex, or national origin. Such action shall include but not be limited to the following: employment, upgrading, demotion, or transfer, recruitment or recruitment advertising, layoff or termination, rates of pay or other forms of compensation, and selection for training, including apprenticeship. The Bidder agrees to post in conspicuous places, available to employees and applicants for employment, notices setting forth the provisions of the nondiscrimination clause.
- b. The Bidder shall, in all solicitations or advertisements for employees placed by or on behalf of the Bidder, state that all qualified applicants will receive consideration for employment without regard to race, color, religion, sex, or national origin.
- c. The Bidder shall send to each labor union or representative of workers with which he has a collective bargaining agreement or other contract understanding, a notice, to be provided, advising the labor union or worker's representative of the Bidder's commitments under the Equal Employment Opportunity Section of the Contract, and shall post copies of the notice in conspicuous places available to employees and applicants for employment.
- d. In the event of the Bidder's noncompliance with the nondiscrimination clauses of the Contract or with any of such rules, regulations, or orders, the Contract may be canceled, terminated, or suspended in whole or in part and the Bidder may be declared ineligible for further OWNER contracts.
- e. The Bidder will include the provisions of this Addendum in every subcontract or purchase order unless exempted by rules, regulations, or orders of the OWNER so that such provisions will be binding upon each Subcontractor or vendor.

Contract No. _____

Rev. 11-1-12

County _____

U-6243

Holly Springs, North Carolina

**EXECUTION OF BID
NON-COLLUSION AFFIDAVIT, DEBARMENT CERTIFICATION AND GIFT BAN CERTIFICATION**

CORPORATION

The person executing the bid, on behalf of the Bidder, being duly sworn, solemnly swears (or affirms) that neither he, nor any official, agent or employee of the bidder has entered into any agreement, participated in any collusion, or otherwise taken any action which is in restraint of free competitive bidding in connection with any bid or contract, that the bidder has not been convicted of violating *N.C.G.S. § 133-24* within the last three years, and that the Bidder intends to do the work with its own bonafide employees or subcontractors and is not bidding for the benefit of another contractor.

In addition, execution of this bid in the proper manner also constitutes the Bidder's certification of status under penalty of perjury under the laws of the United States in accordance with the Debarment Certification attached, provided that the Debarment Certification also includes any required statements concerning exceptions that are applicable.

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

SIGNATURE OF CONTRACTOR

Full name of Corporation

Address as Prequalified

Attest _____

Secretary/Assistant Secretary
Select appropriate title

By _____

President/Vice President/Assistant Vice President
Select appropriate title

Print or type Signer's name

Print or type Signer's name

CORPORATE SEAL

AFFIDAVIT MUST BE NOTARIZED

Subscribed and sworn to before me this the

_____ day of _____ 20__.

NOTARY SEAL

Signature of Notary Public

of _____ County

State of _____

My Commission Expires: _____

Contract No. _____
 County _____
 U-6243

Rev. 11-1-12

Holly Springs, North Carolina

**EXECUTION OF BID
 NON-COLLUSION AFFIDAVIT, DEBARMENT CERTIFICATION AND GIFT BAN CERTIFICATION**

PARTNERSHIP

The person executing the bid, on behalf of the Bidder, being duly sworn, solemnly swears (or affirms) that neither he, nor any official, agent or employee of the bidder has entered into any agreement, participated in any collusion, or otherwise taken any action which is in restraint of free competitive bidding in connection with any bid or contract, that the bidder has not been convicted of violating *N.C.G.S. § 133-24* within the last three years, and that the Bidder intends to do the work with its own bonafide employees or subcontractors and is not bidding for the benefit of another contractor.

In addition, execution of this bid in the proper manner also constitutes the Bidder's certification of status under penalty of perjury under the laws of the United States in accordance with the Debarment Certification attached, provided that the Debarment Certification also includes any required statements concerning exceptions that are applicable.

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

SIGNATURE OF CONTRACTOR

Full Name of Partnership	
Address as Prequalified	
Signature of Witness	By Signature of Partner
Print or type Signer's name	Print or type Signer's name

AFFIDAVIT MUST BE NOTARIZED

Subscribed and sworn to before me this the

NOTARY SEAL

_____ day of _____ 20__.

 Signature of Notary Public

of _____ County

State of _____

My Commission Expires: _____

Contract No. _____
 County _____
 U-6243

Rev. 11-1-12

Holly Springs, North Carolina

**EXECUTION OF BID
 NON-COLLUSION AFFIDAVIT, DEBARMENT CERTIFICATION AND GIFT BAN CERTIFICATION**

LIMITED LIABILITY COMPANY

The person executing the bid, on behalf of the Bidder, being duly sworn, solemnly swears (or a firms) that neither he, nor any official, agent or employee of the bidder has entered into any agreement, participated in any collusion, or otherwise taken any action which is in restraint of free competitive bidding in connection with any bid or contract, that the bidder has not been convicted of violating *N.C.G.S. § 133-24* within the last three years, and that the Bidder intends to do the work with its own bonafide employees or subcontractors and is not bidding for the benefit of another contractor.

In addition, execution of this bid in the proper manner also constitutes the Bidder's certification of status under penalty of perjury under the laws of the United States in accordance with the Debarment Certification attached, provided that the Debarment Certification also includes any required statements concerning exceptions that are applicable.

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

SIGNATURE OF CONTRACTOR

FSC II, LLC dba FRED SMITH COMPANY

Full Name of Firm

701 CORPORATE CENTER DRIVE, SUITE 101, RALEIGH NC 27607

Address as Prequalified

Carl E. Collie

Signature of Witness

Thomas T. Johnson, Sr.

Signature of ~~Member~~ Manager/Authorized Agent
 Select appropriate title

CARL E. COLLIE

Print or type Signer's name

THOMAS T. JOHNSON, SR.

Print or type Signer's Name

AFFIDAVIT MUST BE NOTARIZED

Subscribed and sworn to before me this the

NOTARY SEAL

_____ day of _____ 20__.

 Signature of Notary Public

of _____ County

State of _____

My Commission Expires: _____

Contract No. _____
 County _____
 U-6243

Rev. 11-1-12

Holly Springs, North Carolina

**EXECUTION OF BID
 NON-COLLUSION AFFIDAVIT, DEBARMENT CERTIFICATION AND GIFT BAN
 CERTIFICATION**

JOINT VENTURE (2) or (3)

The person executing the bid, on behalf of the Bidder, being duly sworn, solemnly swears (or affirms) that neither he, nor any official, agent or employee of the bidder has entered into any agreement, participated in any collusion, or otherwise taken any action which is in restraint of free competitive bidding in connection with any bid or contract, that the bidder has not been convicted of violating *N.C.G.S. § 133-24* within the last three years, and that the Bidder intends to do the work with its own bonafide employees or subcontractors and is not bidding for the benefit of another contractor.

In addition, execution of this bid in the proper manner also constitutes the Bidder's certification of status under penalty of perjury under the laws of the United States in accordance with the Debarment Certification attached, provided that the Debarment Certification also includes any required statements concerning exceptions that are applicable.

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

SIGNATURE OF CONTRACTOR

Instructions: **2 Joint Venturers** Fill in lines (1), (2) and (3) and execute. **3 Joint Venturers** Fill in lines (1), (2), (3) and (4) and execute. On Line (1), fill in the name of the Joint Venture Company. On Line (2), fill in the name of one of the joint venturers and execute below in the appropriate manner. On Line (3), print or type the name of the other joint venturer and execute below in the appropriate manner. On Line (4), fill in the name of the third joint venturer, if applicable and execute below in the appropriate manner.

(1)													
	Name of Joint Venture												
(2)													
	Name of Contractor												
	Address as Prequalified												
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	and												
(3)													
	Name of Contractor												
	Address as Prequalified												
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Signature of Witness or Attest		Signature of Contractor											
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	and												
(4)													
	Name of Contractor (for 3 Joint Venture only)												
	Address as Prequalified												
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	By												
Signature of Witness or Attest		Signature of Contractor											
Print or type Signer's name		Print or type Signer's name											

If Corporation, affix Corporate Seal

NOTARY SEAL

Affidavit must be notarized for Line (2)

Subscribed and sworn to before me this _____ day of _____ 20____

Signature of Notary Public _____
 of _____ County
 State of _____
 My Commission Expires: _____

NOTARY SEAL

Affidavit must be notarized for Line (3)

Subscribed and sworn to before me this _____ day of _____ 20____

Signature of Notary Public _____
 of _____ County
 State of _____
 My Commission Expires: _____

NOTARY SEAL

Affidavit must be notarized for Line (4)

Subscribed and sworn to before me this _____ day of _____ 20____

Signature of Notary Public _____
 of _____ County
 State of _____
 My Commission Expires: _____

Contract No. _____
 County _____
 U-6243

Rev. 11-1-12

Holly Springs, North Carolina

**EXECUTION OF BID
 NON-COLLUSION AFFIDAVIT, DEBARMENT CERTIFICATION AND GIFT BAN CERTIFICATION**

INDIVIDUAL DOING BUSINESS UNDER A FIRM NAME

The person executing the bid, on behalf of the Bidder, being duly sworn, solemnly swears (or a firms) that neither he, nor any official, agent or employee of the bidder has entered into any agreement, participated in any collusion, or otherwise taken any action which is in restraint of free competitive bidding in connection with any bid or contract, that the bidder has not been convicted of violating *N.C.G.S. § 133-24* within the last three years, and that the Bidder intends to do the work with its own bonafide employees or subcontractors and is not bidding for the benefit of another contractor.

In addition, execution of this bid in the proper manner also constitutes the Bidder's certification of status under penalty of perjury under the laws of the United States in accordance with the Debarment Certification attached, provided that the Debarment Certification also includes any required statements concerning exceptions that are applicable.

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

SIGNATURE OF CONTRACTOR

Name of Contractor

 Individual name

Trading and doing business as

 Full name of Firm

 Address as Prequalified

 Signature of Witness

 Signature of Contractor, Individually

 Print or type Signer's name

 Print or type Signer's name

AFFIDAVIT MUST BE NOTARIZED

Subscribed and sworn to before me this the

NOTARY SEAL

_____ day of _____ 20__.

 Signature of Notary Public

of _____ County

State of _____

My Commission Expires: _____

Contract No. _____
 County _____
 U-6243

Rev. 11-1-12

Holly Springs, North Carolina

**EXECUTION OF BID
 NON-COLLUSION AFFIDAVIT, DEBARMENT CERTIFICATION AND GIFT BAN CERTIFICATION**

INDIVIDUAL DOING BUSINESS IN HIS OWN NAME

The person executing the bid, on behalf of the Bidder, being duly sworn, solemnly swears (or affirms) that neither he, nor any official, agent or employee of the bidder has entered into any agreement, participated in any collusion, or otherwise taken any action which is in restraint of free competitive bidding in connection with any bid or contract, that the bidder has not been convicted of violating *N.C.G.S. § 133-24* within the last three years, and that the Bidder intends to do the work with its own bonafide employees or subcontractors and is not bidding for the benefit of another contractor.

In addition, execution of this bid in the proper manner also constitutes the Bidder's certification of status under penalty of perjury under the laws of the United States in accordance with the Debarment Certification attached, provided that the Debarment Certification also includes any required statements concerning exceptions that are applicable.

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

SIGNATURE OF CONTRACTOR

Name of Contractor _____
 Print or type Individual name

 Address as Prequalified

 Signature of Contractor, Individually

 Print or type Signer's Name

 Signature of Witness

 Print or type Signer's name

AFFIDAVIT MUST BE NOTARIZED

Subscribed and sworn to before me this the

NOTARY SEAL

_____ day of _____ 20__.

 Signature of Notary Public

of _____ County

State of _____

My Commission Expires: _____

Contract No. _____
County _____
U-6243

Rev. 11-1-12

Holly Springs, North Carolina

DEBARMENT CERTIFICATION

Conditions for certification:

1. The prequalified bidder shall provide immediate written notice to the Municipality if at any time the bidder learns that his certification was erroneous when he submitted his debarment certification or explanation filed with the Municipality, or has become erroneous because of changed circumstances.
2. The terms *covered transaction*, *debarred*, *suspended*, *ineligible*, *lower tier covered transaction*, *participant*, *person*, *primary covered transaction*, *principal*, *proposal*, and *voluntarily excluded*, as used in this provision, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. A copy of the Federal Rules requiring this certification and detailing the definitions and coverages may be obtained from the Municipality project representative.
3. The prequalified bidder agrees by submitting this form, that he will not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in Municipal contracts, unless authorized by the Municipality.
4. For Federal Aid projects, the prequalified bidder further agrees that by submitting this form he will include the Federal-Aid Provision titled *Required Contract Provisions Federal-Aid Construction Contract (Form FHWA PR 1273)* provided by the Municipality, without subsequent modification, in all lower tier covered transactions.
5. The prequalified bidder may rely upon a certification of a participant in a lower tier covered transaction that he is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless he knows that the certification is erroneous. The bidder may decide the method and frequency by which he will determine the eligibility of his subcontractors.
6. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this provision. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
7. Except as authorized in paragraph 6 herein, the Municipality may terminate any contract if the bidder knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available by the Federal Government.

Contract No. _____
County _____
U-6243

Rev. 11-1-12

Holly Springs, North Carolina

DEBARMENT CERTIFICATION

The prequalified bidder certifies to the best of his knowledge and belief, that he and his principals:

- a. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
- b. Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records; making false statements; or receiving stolen property;
- c. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph b. of this certification; and
- d. Have not within a three-year period preceding this proposal had one or more public transactions (Federal, State or local) terminated for cause or default.
- e. Will submit a revised Debarment Certification immediately if his status changes and will show in his bid proposal an explanation for the change in status.

If the prequalified bidder cannot certify that he is not debarred, he shall provide an explanation with this submittal. An explanation will not necessarily result in denial of participation in a contract.

Failure to submit a non-collusion affidavit and debarment certification will result in the prequalified bidder's bid being considered non-responsive.

☐

Check here if an explanation is attached to this certification.

Contract No. _____
 County _____
 U-6243

Rev. 11-1-12

Holly Springs, North Carolina

Town of Holly Springs

AFFIDAVIT A

AFFIDAVIT of Intent to Perform Contract with Own Workforce.

County of Wake

Affidavit of FSC II, LLC dba Fred Smith Company
 (Name of Bidder)

I hereby certify that it is our intent to perform a minimum of _____ % of the work required for the

HOLLY SPRINGS ROAD WIDENING PHASE 2

contract.

(Name of Project)

In making this certification, the Bidder states that the Bidder does not customarily subcontract substantial elements of work for this type project, and normally performs and has the capability to perform and will perform substantial elements of the work on this project with his/her own current work forces; and

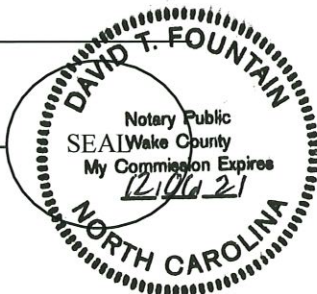
The Bidder agrees to provide any additional information or documentation requested by the owner in support of the above statement.

The undersigned hereby certifies that he or she has read this certification and is authorized to bind the Bidder to the commitments herein contained.

Date: 12/2/2021 Name of Authorized Officer: THOMAS T. JOHNSON, Sr.

Signature: Thomas Johnson

Title: VICE PRESIDENT



State of North Carolina, County of WAKE
 Subscribed and sworn to before me this 2ND day of DEC. 2021
 Notary Public David T. Fountain
 My commission expires 12/06/2021

Contract No. _____
 County _____
 U-6243

Rev. 11-1-12

Holly Springs, North Carolina

NONDISCRIMINATION CLAUSE

It is specifically agreed as part of the consideration of the signing of this Bid Proposal, and the resulting execution of a Contract, that the parties hereto, their agents, officials, employees or servants shall not discriminate in any manner on the basis of age, handicap, race, color, creed, gender, religious affiliation, or national origin with reference to the subject matter of the Contract, no matter how remote.

This provision, being incorporated for the benefit of the Town of HOLLY SPRINGS and its residents, may be enforced as set out in the ordinances of the Town of HOLLY SPRINGS, enforcement of this provision shall be by action for specific performance, injunctive relief, or other remedy as by law provided.

This provision shall be binding on the successors and assigns of the parties hereto with reference to the subject matter of the Contract.

(Use the following form for signatures by a CORPORATION):

ATTEST: _____ (Assistant) Secretary _____ (Printed Name) (Corporate Seal)	_____ Corporate Name BY: _____ (Vice) President _____ (Printed Name)
---	--

(Use the following form for signatures by a PARTNERSHIP):

_____ WITNESS _____ (Printed Name)	_____ (SEAL) Partnership Name BY: _____ (SEAL) General Partner
--	--

Contract No. _____

Rev. 11-1-12

County _____

U-6243

Holly Springs, North Carolina

(Use the following form for signatures by a LIMITED LIABILITY COMPANY):

Carl E. Bellie
WITNESS

CARL E. BELLIE
(Printed Name)

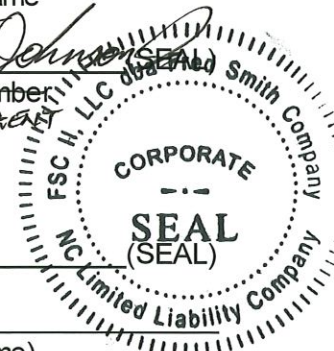
FSC II, LLC dba Fred Smith Company (SEAL)
Company Name

BY:

Thomas Johnson
Manager/Member
AUTHORIZED AGENT

(Use the following form for signatures by an INDIVIDUAL):

(Printed Name)



WITNESS

(Printed Name)

Subscribed and sworn to before me this 2ND day of DECEMBER, 2021.
David T. Fountain
Notary Public
WAKE
County

My Commission Expires:

12/06/21



Contract No. _____
County _____
U-6243

Rev. 11-1-12

Holly Springs, North Carolina

NOTICE OF AWARD

TO: CONTRACTOR/BIDDER: _____

ADDRESS: _____

FROM: _____

OWNER: Town of HOLLY SPRINGS
UTILITIES & INFRASTRUCTURE
HOLLY SPRINGS, NORTH CAROLINA

PROJECT:

**"U-6243 – HOLLY SPRINGS ROAD WIDENING PHASE 2
Town of Holly Springs Project No. 19-009"**

You are hereby notified that the Owner has considered the Bid Proposal submitted by you for the above-described project in response to its Notice to Bidders dated _____.

It appears that it is to the best interest of said Owner to accept your Bid Proposal in the amount of: _____

Dollars (\$_____). You are therefore hereby notified that your Bid Proposal has been accepted for _____

The Bidder is required by as a condition of its Award of the Contract to execute and deliver the formal Contract with the Owner and to furnish the required Bidder's Performance and Payment Bonds within fifteen (15) days from the date of the delivery of this Notice to you.

If you fail to execute said Contract and to furnish said Bonds within fifteen (15) days from the date of delivery of this Notice, said Owner will be entitled to consider all your rights arising out of the Owner's acceptance of your Bid Proposal as abandoned and to award the work covered by your Bid Proposal to another bidder, or to readvertise the work or otherwise dispose thereof as the Owner may see fit.

Dated this _____ day of _____, 20____.

Town of HOLLY SPRINGS, North Carolina

By: _____

Title: _____

Contract No. _____
County _____
U-6243

Rev. 11-1-12

Holly Springs, North Carolina

ACCEPTANCE OF NOTICE

Receipt of the above Notice of Award is hereby acknowledged this _____ day of _____, 20____.

Bidder

By: _____

Title: _____

Contract No. _____
County _____
U-6243

Rev. 11-1-12

Holly Springs, North Carolina

AGREEMENT (CONTRACT)

INSTRUCTIONS TO CONTRACTORS AND REQUIREMENTS AS TO FORM FOR TOWN OF HOLLY SPRINGS, NC AGREEMENTS

DO NOT REMOVE FROM AGREEMENT

Please observe the following in executing the attached Agreement:

1. The Owner may contract with four types of legal entities.
 - (a) If the Agreement is with an individual, that individual should sign the Agreement exactly as his/her name is set out. If the Agreement is with an individually-owned business, the Agreement should be with the individual owner, and not the named business.
 - (b) Execution on behalf of a corporation should be by the president or a vice president, attested by the corporate secretary, with the corporate seal affixed. An official other than president or vice president should attach documentation of his/her authority to execute and bind the corporation.
 - (c) If the Agreement is with a partnership, all general partners of the partnership should execute the Agreement unless an authorized partner is designated to execute, in which case documentation of such authorization should be attached.
 - (d) If the Agreement is with a limited liability company, all managers of the limited liability company should execute the Agreement. If the limited liability company is member-managed, all members should sign the Agreement. If only certain manager(s) or member(s) of the limited liability company are authorized to execute the Agreement, documentation of such authorization should be attached.
2. After signing the Agreement, the appropriate notary's acknowledgement, in the individual, corporate or partnership form should be completed.
3. The Performance Bond and Payment Bond should be attached to the Agreement package. They should be signed by the Contractor, and its signature should be acknowledged with the appropriate acknowledgement form. Next, the Bonds, in approved form, must be signed by the authorized agent of the Surety Company issuing the Bonds, and an executed Power of Attorney document authorizing the agent to sign must accompany the Bond Documents.
4. The Agreement and Bonds should not be dated, except by the last person executing the Agreement, normally the Town Clerk.
5. The Bid Form and all other documents submitted with the Bid shall be included with the Agreement.
6. Bid Proposal: Complete the Acceptance of Notice section on the last page of this document.
7. Fill in the Contractor name and address.

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Holly Springs, North Carolina

8. Choose the appropriate signature page and complete it in its entirety.
9. Complete bonds and affidavits in their entirety.
10. Certificate of Insurance. The General Conditions of the Contract, as modified by the Supplementary Conditions and the Special Conditions, require the Certificate of Insurance to include the Indemnification Agreement on the reverse side of the Certificate. All parties required to be named as additional insured parties by the Contract Documents in connection with the attached Agreement shall be named on the Certificate of Insurance for each policy.
11. Most Certificates of Insurance state under the cancellation clause that “the issuing company will endeavor to mail 30 days written notice to the ...” and “but failure to mail such notice shall impose no obligation or liability of any kind upon the Company, its agents or representatives”. If your certificate states this, the words “endeavor to” and “but failure to mail such notice shall impose no obligation or liability of any kind upon the Company, its agents or representatives” must be stricken in order to comply with the Contract Documents.
12. Four copies of the Agreement are sent to the Contractor. The original and duplicates should be signed and returned to the Engineer or Architect for signature by the Owner, after which one duplicate will be returned to the Contractor and one copy will be sent to the Contractor’s Bonding Company(ies).
13. Failure to fully complete all four sets of the Agreement will cause delays in the approval by the Owner and therefore delay the issuance of the Notice to Proceed.

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AGREEMENT

This Agreement (the "Agreement") is made this ____ day of _____, in the year 20____, by and between the Town of Holly Springs, North Carolina, (the "Owner") and _____ of _____, (the "Contractor").

WITNESSETH

THAT, WHEREAS, an Award of Contract (the "Award") for:

"U-6243 – HOLLY SPRINGS ROAD WIDENING PHASE 2 Town of Holly Springs Project No. 19-009"

as prepared by the Town of Holly Springs, (hereinafter called "Engineer's Consultant"), has recently been awarded to the Contractor by the Owner.

AND WHEREAS, the work to be performed by the Contractor or its subcontractors, and the labor, materials, equipment, apparatus, and supplies to be provided in connection therewith (collectively, the "Work") is more particularly described in the Proposal (the "Proposal") attached hereto.

AND WHEREAS, the aggregate cost of the Work (referred to as either the "Contract Price" or the "Contract Sum") and the individual prices and rates of the various components of the Work that together comprise the Contract Price, are more particularly described in the Proposal.

AND WHEREAS, it was one of the conditions of said Award that a formal contract should be executed by and between the Owner and the Contractor, evidencing the terms of said Award.

NOW THEREFORE, THIS AGREEMENT FURTHER WITNESSETH THAT the Owner and the Contractor represent, warrant, covenant and agree as follows:

It is agreed and understood that the terms and conditions of the following documentation of are a part of and parcel to this Agreement to the same extent as if incorporated herein in full:

U-6243 consists of approximately 7,950 LF of roadway widening along Holly Springs Road (SR 1152). Project will include grading, drainage, bridge construction, paving, curb and gutter, traffic control, pavement markings and markers, utilities, erosion control, signing, signals, and other related items as shown on the plans in accordance with these specifications and plans. All work shall be performed in accordance with the North Carolina Department of Transportation Standard Specifications for Roads and Structures dated January 2018 with all amendments and supplements.

The Contractor hereby covenants and agrees with the Owner that it will, for a sum equal to the Contract Price, well and faithfully perform, provide and execute the Work in accordance with each and every one of the conditions, covenants, stipulations, terms and provisions contained in the Notice to Bidders/Invitation to Bid, the Instructions to Bidders, the Proposal, the Plans, the Specifications, the General Conditions and the Contract Documents (as that term is defined in the General Conditions), all of which are a part of and parcel to this Agreement to the same extent as if incorporated herein in full.

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And the Owner does hereby covenant and agree with the Contractor that it will pay to the Contractor, when due and payable under the terms of the Contract Documents and the Award, the Contract Price, and that it will well and faithfully comply with and perform each and every obligation imposed upon it by said Contract Documents and the terms of said Award.

The Contractor shall commence the Work on the commencement date specified in a written order of the Owner (the "Notice to Proceed"). The Work shall be **finally and fully completed in the manner and times described in Table 1 below**, so that it is ready for final payment, as evidenced by the Engineer's or the Architect's written recommendation. In the event that the Work is not completed to the standards and degrees required by the Contract Times, or either of them, liquidated damages shall be assessed against the Contractor for each day of delay as described herein below

LIQUIDATED DAMAGES

The parties recognize and acknowledge that Owner will suffer financial losses if the Work is not completed as required within the Contract Times. They also recognize and acknowledge that the damages caused by the contractor's delays are difficult to ascertain and that the expense and difficulty to both parties in proving or contesting the amounts of those losses would be substantial. Instead of requiring proof of those amounts, it is agreed that Contractor shall be liable for and shall pay owner the following amounts under owner's damages, and engineering charges, all as liquidated damages, and not as a penalty in the event the Work remains incomplete at the end of the contract time specified in the Notice to Proceed.

The Contractor agrees further that the Owner may retain those amounts indicated below from the amount of Compensation due the Contractor for each day that the work remains incomplete beyond the completion date specified in the Notice to Proceed. Payment by the Owner to the Contractor in lieu of retainage does not constitute a waiver by the Owner. This amount is agreed upon as the proper measure of liquidated damages the Owner will sustain, per day, by the failure of the undersigned to complete the work within the stipulated time, and it is not to be construed, in any sense, as a penalty. The parties agree this is a reasonable amount.

No Contractor shall have a claim against the Owner as a result of a third party's lack of progress or project completion.

The date of availability for this contract is **upon written notice to proceed**.

The completion date for this contract is **1,095 calendar days** after and including Date of Availability.

The liquidated damages for this contract are **Two Thousand and Five Hundred Dollars (\$2,500)** per calendar day.

Payment of the charges described herein shall not excuse or relieve the Contractor for any other liability under the Contract Documents for delay in the progress schedule of the Work, and all other penalties imposed on the Contractor and remedies available to the Owner under the Contract Documents shall remain in full force and effect.

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IN WITNESS WHEREOF, said Contractor and Owner, being duly authorized, have caused these presents to be signed in their names as of the day and year first above written.

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

By: _____

Name: _____

Title: _____

ATTEST:

TOWN OF HOLLY SPRINGS,
a North Carolina municipality

By: _____

By: _____

Name: Linda McKinney

Name: Randy Harrington

Title: Town Clerk

Title: Town Manager

(SEAL)

STATE OF _____

COUNTY OF _____

I, _____, a Notary Public of _____ County,
State of _____, do hereby certify that _____
personally came before me this day and acknowledged that he/she is the Town Clerk of the Town of Holly
Springs, a North Carolina municipality, and that, by authority duly given and as the act of the corporation,
the foregoing instrument was signed in its name by its Town Manager, sealed with its seal, and attested by
himself/herself as its Town Clerk.

Witness my hand and official seal, this the _____ day of _____, 20 ____.

Notary Public

My Commission Expires: _____

[OFFICIAL SEAL]

Contract No. _____
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[Contractor's Signature, if individual(s)]

CONTRACTOR:

(SEAL)

(SEAL)

(SEAL)

STATE OF _____

COUNTY OF _____

I, _____, a Notary Public of _____ County, State
of _____, do hereby certify that _____
personally appeared before me this day and acknowledged the due execution of the foregoing instrument.

Witness my hand and official seal, this the _____ day of _____, 20__.

Notary Public

My Commission expires: _____

[OFFICIAL SEAL]

IMPORTANT

NOTE: If Contractor is an individual, his/her signature shall be placed above. The signature of the Contractor shall also be acknowledged before a Notary Public or other person authorized by law to execute such acknowledgment.

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[OR: Contractor's Signature, if a corporation]

CONTRACTOR:

a _____ corporation

ATTEST:

Secretary
(SEAL)

By: _____
Name: _____
Title: _____ President

STATE OF _____

COUNTY OF _____

I, _____, a Notary Public of _____ County, State of _____, do hereby certify that _____ personally came before me this day and acknowledged that he/she is _____ Secretary of _____, a _____ corporation, and that, by authority duly given and as the act of the corporation, the foregoing instrument was signed in its name by its _____ President, sealed with its corporate seal, and attested by himself/herself as its _____ Secretary.

Witness my hand and official seal, this the _____ day of _____, 20__.

Notary Public

My Commission Expires: _____

[OFFICIAL SEAL]

IMPORTANT

NOTE: If the Contractor is a Corporation, the legal name of the Corporation shall be set forth above, together with the signature of the officer or officers authorized to sign Contracts on behalf of the Corporation. If the signature is by an agent other than an authorized officer of the Corporation, a Resolution must be attached hereto. The signature of the Contractor shall also be acknowledged before a Notary Public or other person authorized by law to execute such acknowledgment.

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[OR: Contractor's Signature, if a partnership]

CONTRACTOR:

_____,
a [general/limited] partnership (SEAL)

By: _____ (SEAL)

Name: _____

Title: General Partner

STATE OF _____

COUNTY OF _____

I, _____, a Notary Public of _____ County, State of _____, do hereby certify that _____, General Partner of _____, a _____ [general/limited] partnership, personally appeared before me this day and acknowledged the due execution of the foregoing instrument as his/her act and deed and as the act and deed of the partnership.

Witness my hand and official seal, this the _____ day of _____, 20__.

Notary Public

My Commission Expires: _____

[OFFICIAL SEAL]

IMPORTANT

NOTE: If Contractor is a partnership, the true name of the firm shall be set forth above, together with the signatures of all the general partners. If the signature is by an agent other than a general partner, a Resolution must be attached hereto. The signature of the Contractor shall also be acknowledged before a Notary Public or other person authorized by law to execute such acknowledgment.

[OR: Contractor's Signature, if a limited liability company]

CONTRACTOR:

_____,
a limited liability company (SEAL)

By: _____ (SEAL)

Name: _____

Title: Member/Manager

STATE OF _____

COUNTY OF _____

I, _____, a Notary Public of _____ County, State of _____, do hereby certify that _____ a [Member/Manager] of _____, a _____ limited liability company, personally appeared before me this day and acknowledged the due execution of the foregoing instrument as his/her act and deed and as the act and deed of the company.

Witness my hand and official seal, this the _____ day of _____, 20____.

Notary Public

My Commission Expires: _____

[OFFICIAL SEAL]

IMPORTANT

NOTE: If Contractor is a limited liability company, the true name of the firm shall be set forth above, together with the signatures of all the managers. If the signature is by an agent other than all of the managers of the limited liability company (or all of the members, if the company is member-managed), a Resolution must be attached hereto. The signature of the Contractor shall also be acknowledged before a Notary Public or other person authorized by law to execute such acknowledgment.

PERFORMANCE BOND

This Bond is executed on _____, 20__.

The name of the PRINCIPAL is _____(1)

a _____(2)

The name of the SURETY is _____

The TOWN OF HOLLY SPRINGS, NORTH CAROLINA is the CONTRACTING BODY.

The amount of the Bond is _____
_____ Dollars (\$ _____)

KNOW ALL MEN BY THESE PRESENTS, that we, the PRINCIPAL and SURETY above named, are held and firmly bound unto the above named CONTRACTING BODY, hereinafter called the "Contracting Body", in the penal sum of the amount stated above in lawful money of the United States, for the payment of which sum well and truly to be made, we bind ourselves, our heirs, executors, administrators, and successors, jointly and severally, firmly by these presents.

THE CONDITION OF THIS OBLIGATION IS SUCH, that whereas, the Principal entered into a certain Agreement with the Contracting Body, dated the ____ day of _____, 20__ for work described by Plans and Specifications prepared by Town of Holly Springs, herein called and referred to as the "Engineers", a copy of said Agreement is hereto attached and made a part hereof for the construction of:

"U-6243 – HOLLY SPRINGS ROAD WIDENING PHASE 2
Town of Holly Springs Project No. 19-009"

NOW THEREFORE, if the Principal shall well and truly perform and fulfill all the undertakings, covenants, terms, conditions, and agreements of said Agreement during the original term of said Agreement and any extensions thereof that may be granted by the Contracting Body, with or without notice to the Surety, and during the life of any guaranty required under the Agreement, and shall also well and truly perform and fulfill all the undertakings, covenants, terms, conditions, and agreements of any and all duly authorized modifications of said Agreement that may hereafter be made, notice of which modifications to the SURETY being hereby waived, then, this obligation is to be void; otherwise it shall remain in full force and virtue.

IN WITNESS WHEREOF, the above-bounden parties have executed this instrument under their several seals on the date indicated above, the name and seal of each corporate party being hereto affixed and these presents duly signed by its undersigned representative, pursuant to authority of its governing body.

ATTEST:

(Principal) Secretary
(SEAL)

Principal

By: _____(3)

(Address)

Witness as to Principal

(Address)

Surety

By: _____(4)
(Name)

ATTEST:

By: _____
[N.C. Resident Agent]
(SEAL)

(Address)

(Phone Number)

Witness as to Surety

(Address)

NOTE: Date of Bond must not be prior to date of Agreement.

- (1) Insert the correct name of Contractor.
- (2) Insert whether the Contractor is a corporation, a partnership, a limited liability company or an individual.
- (3) If Contractor is a partnership, all general partners should execute the Bond. If Contractor is a limited liability company, all managers (or all members, if the company is member-managed) should execute the Bond .
- (4) Provide contact name, address and phone number for performance bond surety.

PAYMENT BOND

This Bond is executed on _____, 20__.

The name of the PRINCIPAL is _____ (1)

a. _____ (2)

The name of the SURETY is _____

The TOWN OF HOLLY SPRINGS, NORTH CAROLINA is the CONTRACTING BODY.

The amount of the Bond is _____ Dollars (\$ _____)

KNOW ALL MEN BY THESE PRESENTS, that we, the PRINCIPAL and SURETY above named, are held and firmly bound unto the above named CONTRACTING BODY, hereinafter called the "Contracting Body", in the penal sum of the amount stated above in lawful money of the United States, for the payment of which sum well and truly to be made, we bind ourselves, our heirs, executors, administrators, and successors, jointly and severally, firmly by these presents.

THE CONDITION OF THIS OBLIGATION IS SUCH, that whereas, the Principal entered into a certain Agreement with the Contracting Body, dated the ____ day of _____, 20__ for work described by Plans and Specifications prepared by Town of Holly Springs, herein called and referred to as the "Engineers", a copy of said Agreement is hereto attached and made a part hereof for the construction of:

"U-6243 – HOLLY SPRINGS ROAD WIDENING PHASE 2
Town of Holly Springs Project No. 19-009"

NOW THEREFORE, if the Principal shall promptly make payment to all persons supplying labor and material in the prosecution of the work provided for in said Agreement, and any and all duly authorized modifications of said Agreement that may hereafter be made, notice of which modifications to the SURETY being hereby waived, then this obligation is to be void; otherwise it shall remain in full force and virtue.

IN WITNESS WHEREOF, the above-bounden parties have executed this instrument under their several seals on the date indicated above, the name and corporate seal of each corporate party being hereto affixed and these presents duly signed by its undersigned representative, pursuant to authority of its governing body.

ATTEST:

(Principal) Secretary
(SEAL)

Principal

By: _____(3)

(Address)

Witness as to Principal

(Address)

Surety

By: _____(4)

(Name)

(Address)

(Phone Number)

ATTEST:

By: _____
[N.C. Resident Agent]
(SEAL)

Witness as to Surety

(Address)

NOTE: Date of Bond must not be prior to date of Agreement.

- (1) Insert the correct name of the Contractor.
- (2) Insert whether the Contractor is a corporation, a partnership, a limited liability company or an individual.
- (3) If Contractor is a partnership, all general partners should execute the Bond. If Contractor is a limited liability company, all managers (or all members, if the company is member-managed) should execute the Bond.
- (4) Provide contact name, address and phone number for payment bond surety.

AFFIDAVIT

(To be attached to all Agreements)

STATE OF _____)
COUNTY OF _____) SS
_____)

_____ being first duly sworn on oath deposes and says that s/he
is _____ (attorney-in-fact or agent) of
_____ (bonding company) surety on the attached Agreement on
_____ executed by
_____ (Contractor).

Affiant further deposes and says that no officer, official or employee of the Owner has any interest directly or indirectly, or is receiving any premium, commission fee or other thing of value on account of the same or furnishing of the Bond, undertaking or Contract of Indemnity, Guaranty, Suretyship in connection with the above mentioned Agreement.

Signed _____

Subscribed and sworn to before me this ____ day of _____, 20__.

(Notary Public, _____ County, _____)

My Commission Expires _____

RESOLUTION OF CONTRACTOR'S PARTNERS, MANAGERS OR MEMBERS

(Attach if necessary)

CERTIFICATE OF INSURANCE

(Attach)

[See the General Conditions for specific requirements.]

NOTICE TO PROCEED

TO: CONTRACTOR: _____
ADDRESS: _____

FROM: Kendra D. Parrish, PE, CFM
Executive Director
Utilities & Infrastructure

OWNER: Town of Holly Springs
P.O. Box 8
128 S. Main St.
Holly Springs, North Carolina 27540

“U-6243 – HOLLY SPRINGS ROAD WIDENING PHASE 2
Town of Holly Springs Project No. 19-009”

CONTRACT PRICE/SUM: \$ _____

You are hereby notified to commence Work on the referenced project on or before _____, 20__ (the “Commencement Date”), and are to finally and fully complete the Work within **1,095 CONSECUTIVE CALENDAR DAYS** after and including Date of Availability of the Commencement Date. Your Contract final completion date is therefore _____, 20__.

The Agreement provides for assessment of liquidated damages for each consecutive calendar day after the above established completion date that the Work remains incomplete to the standard and degree required.

ENGINEER/ARCHITECT:

By: _____
Name: _____
Title: _____
Date: _____

CERTIFICATE OF TOWN ATTORNEY

I am the Town Attorney for the Town of Holly Springs and after receiving these documents, I find them legally sufficient as to form.

BY: _____

TITLE: _____

DATE: _____

CERTIFICATE OF FINANCE OFFICER

I hereby certify that I am the legal and duly appointed Financial Officer for the Owner of this project and that provision for the payment of the moneys to fall due under this agreement has been made or will be made by appropriation duly made or by bonds or notes duly authorized, as required by the Local Government and Fiscal Control Act.

BY: _____

TITLE: _____

DATE: _____

**STATE OF NORTH CAROLINA
E-VERIFY AFFIDAVIT
COUNTY OF WAKE TOWN OF HOLLY SPRINGS**

NOW COMES Affiant, first being sworn, deposes and says as follows:

1. I have submitted a bid for contract or desire to enter into a contract with the Town of Holly Springs;
2. As part of my duties and responsibilities pursuant to said bid and/or contract, I attest that I am aware of and in compliance with the requirements of E-Verify, Article 2 of Chapter 64 of the North Carolina General Statutes, to include (mark which applies):

X After hiring an employee to work in the United States I verify the work authorization of said employee through E-Verify and retain the record of the verification of work authorization while the employee is employed and for one year thereafter; or

 I employ less than twenty-five (25) employees in the State of North Carolina.

3. As part of my duties and responsibilities pursuant to said bid and/or contract, I attest that to the best of my knowledge any subcontractors employed as a part of this bid and/or contract are in compliance with the requirements of E-Verify, Article 2 of Chapter 64 of the North Carolina General Statutes, to include (mark which applies):

X After hiring an employee to work in the United States the subcontractor verifies the work authorization of said employee through E-Verify and retain the record of the verification of work authorization while the employee is employed and for one year thereafter; or

 Employ less than twenty-five (25) employees in the State of North Carolina.

Specify subcontractor: FSC 11, LLC dba Fred Smith Company

This the 2 day of December, 2021.

Thomas Johnson
Affiant

Sworn to and subscribed before me, this the 2nd day of DEC., 2021

[OFFICIAL SEAL]



David T. Fountain Notary Public
My Commission Expires: 12/06/2021



STATE OF NORTH CAROLINA
DEPARTMENT OF TRANSPORTATION

LETTER OF INTENT TO PERFORM AS A SUBCONTRACTOR

CONTRACT:

NAME OF BIDDER:

The undersigned intends to perform work in connection with the above contract upon execution of the bid and subsequent award of contract by the Board of Transportation as:

Name of MBE/WBE/DBE Subcontractor _____

Address _____

City _____ State _____ Zip _____

Please check all that apply:

Minority Business Enterprise (MBE) _____

Women Business Enterprise (WBE) _____

Disadvantaged Business Enterprise (DBE) _____

The MBE /WBE /DBE status of the above named subcontractor is certified by the North Carolina Department of Transportation. The above named subcontractor is prepared to perform the described work listed on the attached MBE/WBE/DBE Commitment Items sheet, in connection with the above contract upon execution of the bid and subsequent award of contract by the Board of Transportation. The above named subcontractor is prepared to perform the described work at the estimated Commitment Total for Subcontractor Price identified on the MBE/WBE/DBE Commitment Items sheet and amount indicated below.

Commitment Total based on estimated Unit Prices and Quantities on the "attached" MBE/WBE/DBE Commitment Items sheet. Amount \$ _____

The above named bidder and subcontractor mutually accepts the Commitment Total estimated for the Unit Prices and Quantities. This commitment total is based on estimated quantities only and most likely will vary up or down as the project is completed. Final compensation will be based on actual quantities of work performed and accepted during the pursuance of work. The above listed amount represents the entire dollar amount quoted based on these estimated quantities. No conversations, verbal agreements, and/or other forms of non-written representations shall serve to add, delete, or modify the terms as stated. This document shall not serve in any manner as an actual subcontract between the two parties. A separate subcontractor agreement will describe in detail the contractual obligations of the bidder and the MBE/WBE/DBE subcontractor.

Affirmation

The above named MBE/ WBE/ DBE subcontractor affirms that it will perform the portion(s) of the contract for the estimated dollar value as stated above.

Name of MBE/ WBE/ DBE Subcontractor

Name of Bidder

Signature / Title

Signature / Title

Date

Date

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LISTING OF DBE SUBCONTRACTORS				Sheet <u>1</u> of <u>7</u>
Firm Name and Address	Item No.	Item Description	* Agreed upon Unit Price	** Dollar Volume of Item
Name ARBOREX TREE SERVICE 2526 FERDINAND DR. Address KNIGHTDALE, NC 27545	1	MOBILIZATION	\$15,000 ⁷⁵	\$15,000 ⁷⁵
	3	CLEAR ³ GRUB	\$247,749 ⁷⁵	\$247,749 ⁷⁵
Name				
Address				
Name				
Address				
Name				
Address				
Name				
Address				
Name				
Address				

* The Dollar Volume shown in this column shall be the Actual Price Agreed Upon by the Prime Contractor and the DBE subcontractor, and these prices will be used to determine the percentage of the DBE participation in the contract.

** Dollar Volume of DBE Subcontractor Percentage of Total Contract Bid Price:

If firm is a Material Supplier Only, show Dollar Volume as 60% of Agreed Upon Amount from Letter of Intent.

If firm is a Manufacturer, show Dollar Volume as 100% of Agreed Upon Amount from Letter of Intent.

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LISTING OF DBE SUBCONTRACTORS					Sheet <u>2</u> of <u>7</u>
Firm Name and Address	Item No.	Item Description	* Agreed upon Unit Price	** Dollar Volume of Item	
Name SEAL BROTHERS 3618 W. PINE STR. Address MT. AIRY, NC 27030	219	SILT FENCE	\$ 2 ⁵⁰	\$ 43,462 ⁵⁰	
	220	TREE FENCE	\$ 2 ²⁵	\$ 14,647 ⁵⁰	
Name Address	231	1/4" HARDWARE CLOTH	\$ 6 ⁵⁰	\$ 25,317 ⁵⁰	
	237	WATTLE	\$ 10 ⁰⁰	\$ 500 ⁻	
Name Address	241	COIR FIBER WATTLE	\$ 8 ⁰⁰	\$ 2,360 ⁻	
Name Address					
Name Address					
Name Address					
Name Address					

* The Dollar Volume shown in this column shall be the Actual Price Agreed Upon by the Prime Contractor and the DBE subcontractor, and these prices will be used to determine the percentage of the DBE participation in the contract.

** Dollar Volume of DBE Subcontractor Percentage of Total Contract Bid Price:

If firm is a Material Supplier Only, show Dollar Volume as 60% of Agreed Upon Amount from Letter of Intent.

If firm is a Manufacturer, show Dollar Volume as 100% of Agreed Upon Amount from Letter of Intent.

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LISTING OF DBE SUBCONTRACTORS			Sheet <u>3A</u>	of <u>7</u>
Firm Name and Address	Item No.	Item Description	* Agreed upon Unit Price	** Dollar Volume of Item
Name <u>LMJ PAVEMENT MARKING, LLC</u> Address <u>76 OAK FERN LN.</u> <u>WILLOW SPRINGS, NC 27592</u>	<u>1</u>	<u>MOB</u>	<u>\$ 5000⁻</u>	<u>\$ 5000⁻</u>
	<u>254</u>	<u>PEO SIGNAL</u>	<u>\$ 640⁻</u>	<u>\$ 5740⁻</u>
	<u>255</u>	<u>SIGNAL CABLE</u>	<u>\$ 2⁻</u>	<u>\$ 7400⁻</u>
Name Address	<u>256</u>	<u>VEH. HEAD (3)</u>	<u>\$ 675⁻</u>	<u>\$ 8100⁻</u>
	<u>257</u>	<u>VEH. HEAD (4)</u>	<u>\$ 895⁻</u>	<u>\$ 2685⁻</u>
	<u>258</u>	<u>3/8 MSG CABLE</u>	<u>\$ 2⁻</u>	<u>\$ 440⁻</u>
Name Address	<u>259</u>	<u>TRACER WIRE</u>	<u>\$ 0⁵⁰</u>	<u>\$ 4222⁵⁰</u>
	<u>260</u>	<u>PAVED TRENCH</u>	<u>\$ 18⁻</u>	<u>\$ 6,300⁻</u>
	<u>261</u>	<u>UNPAVED TRENCH</u>	<u>\$ 9⁻</u>	<u>\$ 41,238⁻</u>
Name Address	<u>262</u>	<u>DIRECT. DRILL</u>	<u>\$ 22⁰⁵</u>	<u>\$ 80,592⁵</u>
	<u>263</u>	<u>JUNCTION BOX</u>	<u>\$ 285⁻</u>	<u>\$ 1710⁻</u>
	<u>264</u>	<u>JUNCT. BOX (05)</u>	<u>\$ 550⁻</u>	<u>\$ 1100⁻</u>
Name Address	<u>265</u>	<u>WOOD POLE</u>	<u>\$ 1200⁻</u>	<u>\$ 3,600⁻</u>
	<u>266</u>	<u>GUY ASSY</u>	<u>\$ 425⁻</u>	<u>\$ 1,700⁻</u>
	<u>267</u>	<u>2" RISER</u>	<u>\$ 550⁻</u>	<u>\$ 1100⁻</u>
Name Address	<u>268</u>	<u>INDUCT. LOOP</u>	<u>\$ 6⁸²</u>	<u>\$ 8661⁴⁰</u>
	<u>269</u>	<u>14-2 LEAD-IN</u>	<u>\$ 1⁷⁵</u>	<u>\$ 7122⁵⁰</u>
	<u>270</u> <u>271</u>	<u>LUM. ARM</u>	<u>\$ 780⁻</u>	<u>\$ 3120⁻</u>
Name Address	<u>272</u>	<u>CAMERA</u>	<u>\$ 9250⁻</u>	<u>\$ 37,000⁻</u>
	<u>273</u>	<u>RELOC. CAMERA</u>	<u>\$ 1200⁻</u>	<u>\$ 2400⁻</u>
	<u>274</u>	<u>COMM CABLE (48)</u>	<u>\$ 1⁷⁵</u>	<u>\$ 16,926⁻</u>

* The Dollar Volume shown in this column shall be the Actual Price Agreed Upon by the Prime Contractor and the DBE subcontractor, and these prices will be used to determine the percentage of the DBE participation in the contract.

** Dollar Volume of DBE Subcontractor Percentage of Total Contract Bid Price:

If firm is a Material Supplier Only, show Dollar Volume as 60% of Agreed Upon Amount from Letter of Intent.

If firm is a Manufacturer, show Dollar Volume as 100% of Agreed Upon Amount from Letter of Intent.

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LISTING OF DBE SUBCONTRACTORS			Sheet 33	of 7
Firm Name and Address	Item No.	Item Description	* Agreed upon Unit Price	** Dollar Volume of Item
Name LMJ (continued)	275	COMM CABLE (288)	\$ 4 ⁻	\$27,900 ⁻
	276	DROP CABLE	\$ 1 ⁻	\$295 ⁻
	277	SPLICE	\$ 1200 ⁻	\$1200 ⁻
Name	278	INTERCONNECT	\$1200 ⁻	\$1200 ⁻
	279	DELINATOR	\$ 70 ⁻	\$1540 ⁻
	280	RX COMM CABLE	\$ 0 ²⁵	\$3514 ²⁵
Name	281	METAL POLE	\$18,250 ⁻	\$36,500 ⁻
	282	SOIL TEST	\$ 3185 ⁻	\$6370 ⁻
	283	DRILLED PIER	\$1100 ⁻	\$12,100 ⁻
Name	284	MAST ARM	\$ 0 ⁰¹	\$ 0 ⁰²
	285	SIGN	\$ 600 ⁻	\$1800 ⁻
	286	RELOC. SIGN	\$ 125 ⁻	\$ 500 ⁻
Name	287	TYPE 1 POST	\$1025 ⁻	\$8200 ⁻
	288	TYPE 2 PED.	\$ 1600 ⁻	\$6400 ⁻
	289	CONTROLLER	\$ 4078 ⁻	\$4078 ⁻
Name	290	DET. CARD	\$ 125 ⁻	\$1000 ⁻
	291	VEH. PRE-EMPT	\$ 8800 ⁻	\$8800 ⁻
	292	REM. METAL POLE FIBER	\$ 500 ⁻	\$1000 ⁻
Name	293	REM. METAL POLL	\$ 250 ⁻	\$500 ⁻
	294	TOHS JB (OS)	\$ 650 ⁻	\$14,300 ⁻
	295	ETHERNET SWITCH	\$ 2245 ⁻	\$2245 ⁻
	296	REM JUNCT. BOX	\$ 0 ⁰¹	\$0 ¹⁶

* The Dollar Volume shown in this column shall be the Actual Price Agreed Upon by the Prime Contractor and the DBE subcontractor, and these prices will be used to determine the percentage of the DBE participation in the contract.

** Dollar Volume of DBE Subcontractor Percentage of Total Contract Bid Price:

If firm is a Material Supplier Only, show Dollar Volume as 60% of Agreed Upon Amount from Letter of Intent.
If firm is a Manufacturer, show Dollar Volume as 100% of Agreed Upon Amount from Letter of Intent.

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LISTING OF DBE SUBCONTRACTORS			Sheet <u>4</u>	of <u>7</u>
Firm Name and Address	Item No.	Item Description	* Agreed upon Unit Price	** Dollar Volume of Item
Name AUSTIN TRUCKING, LLC. Address PO BOX 606 CLAYTON, NC 27520	62	B2S.0C	\$ 3 ⁴²⁷	\$ 22,155 ⁻
	63	I19.0C	\$ 8 ⁹⁷¹	\$ 69,525 ⁻
Name (HAULING ONLY) Address (PAID HOURLY)	64	S9.5C	\$ 9 ⁹⁵	\$ 95,475 ⁻
Name 				
Name (HAULING ONLY) Address (PAID BY UNIT)	11	SELECT GRAN	\$ 9 ⁰⁰	\$ 18,000 ⁻
	13	FC MATL	\$ 5 ⁻	\$ 4800 ⁻
Name	57	CL-IV	\$ 5 ⁻	\$ 7375 ⁻
Address	58	ABC	\$ 5 ⁻	\$ 79,250 ⁻
	100	CL-B	\$ 5 ⁵⁰	\$ 8882 ⁵⁰
Name	101	CL-1	\$ 6 ⁵⁰	\$ 2665 ⁻
Address	102	CL-2	\$ 8 ⁵⁰	\$ 1870 ⁻
	103	CL-2 (2')	\$ 8 ⁵⁰	\$ 2864 ⁵⁰
Name	221	CL-A	\$ 5 ²⁵	\$ 2362 ⁵⁰
Address	222	CL-B	\$ 5 ⁵⁰	\$ 3685 ⁻
	223	SED STONE	\$ 5 ⁻	\$ 6725 ⁻

* The Dollar Volume shown in this column shall be the Actual Price Agreed Upon by the Prime Contractor and the DBE subcontractor, and these prices will be used to determine the percentage of the DBE participation in the contract.

** Dollar Volume of DBE Subcontractor Percentage of Total Contract Bid Price:

If firm is a Material Supplier Only, show Dollar Volume as 60% of Agreed Upon Amount from Letter of Intent.

If firm is a Manufacturer, show Dollar Volume as 100% of Agreed Upon Amount from Letter of Intent.

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LISTING OF DBE SUBCONTRACTORS			Sheet 5	of 7
Firm Name and Address	Item No.	Item Description	* Agreed upon Unit Price	** Dollar Volume of Item
Name PACIFIC TRUCKING , INC.	3	CLEAR & GRUB	\$ 93,630 ⁻	\$ 93,630 ⁻
Address 100 E. SIXFORK RD SUITE 300130 RALEIGH, NC 27609	4	UNDERCUT	\$ 13 ²²⁷ ⁻	\$ 29,750 ⁻
Name (HAULING ONLY)	5	UNCL EXC	\$ 5 ⁷⁶⁸ ⁻	\$ 113,050 ⁻
Address PAID HOURLY	6	BORROW	\$ 13 ¹⁹⁷ ⁻	\$ 815,575 ⁻
Name	10	RX PAVEMENT	\$ 2 ⁰⁴⁴ ⁻	\$ 32,400 ⁻
Address				
Name				
Address				
Name				
Address				
Name				
Address				
Name				
Address				

* The Dollar Volume shown in this column shall be the Actual Price Agreed Upon by the Prime Contractor and the DBE subcontractor, and these prices will be used to determine the percentage of the DBE participation in the contract.

** Dollar Volume of DBE Subcontractor Percentage of Total Contract Bid Price:

If firm is a Material Supplier Only, show Dollar Volume as 60% of Agreed Upon Amount from Letter of Intent.

If firm is a Manufacturer, show Dollar Volume as 100% of Agreed Upon Amount from Letter of Intent.

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LISTING OF DBE SUBCONTRACTORS			Sheet <u>6</u> of <u>7</u>	
Firm Name and Address	Item No.	Item Description	* Agreed upon Unit Price	** Dollar Volume of Item
Name Address				
Name Address				
Name Address				
Name Address				
Name Address				
Name Address				

* The Dollar Volume shown in this column shall be the Actual Price Agreed Upon by the Prime Contractor and the DBE subcontractor, and these prices will be used to determine the percentage of the DBE participation in the contract.

** Dollar Volume of DBE Subcontractor
\$ 2,178,381.98

Percentage of Total Contract Bid Price
9.82 %

** Dollar Volume of DBE Subcontractor Percentage of Total Contract Bid Price:
If firm is a Material Supplier Only, show Dollar Volume as 60% of Agreed Upon Amount from Letter of Intent.
If firm is a Manufacturer, show Dollar Volume as 100% of Agreed Upon Amount from Letter of Intent.

Form 880-LG
Rev. 2-16-10



NORTH CAROLINA DEPARTMENT OF TRANSPORTATION
SUPPLEMENTAL AGREEMENT or FORCE ACCOUNT DOCUMENTATION

SUPPLEMENTAL AGREEMENT NO: _____ FORCE ACCOUNT DOCUMENTATION NO: _____

PROJECT NO: _____ FEDERAL AID NO: _____

COUNTY: _____ CONTRACT NO: _____

CONTRACTOR: _____

1. Description, location, and justification for change:

2. Estimation of quantities of work resulting from change and the basis of payment:

Line Code No.	Description	Unit	Negotiated or Contract Price	Field Change		Original Plan	
				Quantity	Amount	Quantity	Amount

Total Field Change Amount: _____ Total Original Plan Amount: _____
Supplemental Agreement Net Underrun: _____ Supplemental Agreement Net Overrun: _____

3. Extension of contract time (if applicable):

1. The Contractor agrees to perform the work described in this Supplemental Agreement in consideration of the payment set out herein.
2. The terms and conditions of said contract are hereby ratified and remain in full force and effect except as modified by such Supplemental Agreement(s) as may heretofore have been entered into between the Department and the Contractor and as modified by this Supplemental Agreement.
3. All terms and conditions of this Supplemental Agreement are herein set out and there are no agreements relating thereto not expressed herein.
4. This Supplemental Agreement shall not constitute a release or waiver of any lawful claims that the Contractor has or may have against the Department under said contract pursuant to G.S. 136-29 except for the matters specifically covered herein.

APPROVAL RECOMMENDED: BY: _____ LOCAL GOVERNMENT AGENCY OFFICIAL DATE: _____	CONTRACTOR: BY: _____ AUTHORIZED REPRESENTATIVE DATE: _____
APPROVAL RECOMMENDED: BY: _____ NCDOT ENGINEER DATE: _____	APPROVAL GRANTED: BY: _____ NCDOT ENGINEER DATE: _____

Documentation of the authorized Force Account work shall be completed for all state and federally-funded projects.

APPROVAL GRANTED: BY: _____ RESIDENT ENGINEER DATE: _____	APPROVAL GRANTED: BY: _____ DIVISION ENGINEER DATE: _____
---	---

Approval of the Federal Highway Administration ☐ is ☐ is not requested.

APPROVED with the understanding that Federal participation in this work, the cost of which cannot be met from Federal aid funds provided for under the now effective project agreement, will be contingent upon additional Federal aid funds being made available for the project by a modified project agreement, to be executed prior to or at the final voucher stage.

APPROVED: FEDERAL HIGHWAY ADMINISTRATION

REVIEWED: CONSTRUCTION UNIT

BY: _____ BY: _____

DATE: _____ DATE: _____

U-6243

Holly Springs, North Carolina

CONTRACTOR'S SALES TAX REPORT
N. C. State and Local Sales Taxes Paid

OWNER:		Project:			
CONTRACTOR:		For Period:			
ADDRESS:		To:			
Name of Vendor	Address	Invoice Number	Date	Invoice Amount	N. C. Tax
					County Tax
TOTAL				\$	\$

I, _____, certify that the foregoing statement of applicable sales taxes paid in connection with the referenced contract is true to the best of my knowledge and belief. This the _____ day of _____ 20____.

CORPORATE SEAL

(Signed) _____
(Title) _____

U-6243

Holly Springs, North Carolina

(REQUIRED AT TIME OF FINAL PAYMENT)

AFFIDAVIT

Project No: U-6243

State of North Carolina

County of Wake

In the State of North Carolina, County of Wake, being duly sworn, deposes and says that they are _____ of _____ and that they have full and official knowledge of all and every debt and obligation for labor and materials which have entered into and become a part of the public facilities constructed under Project No. U-6243; and, acting in their official capacity, and for the specific purpose of obtaining the funds due on this final estimate, they further depose and say that all debts or obligations for such labor and materials have been fully and completely paid and discharged in good and lawful money of the United States of America or by evidence of exchange or trade acceptances endorsed and guaranteed by a solvent National or State bank, and that there are no suits for damages against the contractor, pending, prospective or otherwise, in consequence of their operations on the said project except as follows:

In witness whereof they have set their hand and seal,

I, _____, a notary public of the County and State aforesaid, hereby certify that _____ personally known to me to be the affiant in the foregoing affidavit, personally appeared before me this day and having been by me duly sworn, deposes and says that the facts set forth in the above affidavit are true and correct.

Witness my hand and official seal this the _____ day of _____, 2021.

Notary Public

My Commission Expires: _____

(SEAL)

U-6243

Holly Springs, North Carolina

State of North Carolina

Department of Transportation

Subcontractor Payment Information

Submit with Invoice To:

Invoice
Coordinator
North Carolina Department of Transportation
Division /
Branch
Address
Raleigh, NC XXXXX-XXXX

Firm Invoice No.
Reference
NCDOT PO / Contract
Number
WBS No. (State Project
No.)
Date of Invoice
Signed

Invoice Line Item Reference	Paye r Nam e	Payer Federal Tax Id	Subcontractor /Subconsultan t / Material Supplier Name	Subcontractor /Subconsultan t / Material Supplier Federal Tax Id	Amount Paid To Subcontracto r / Subconsultan t / Material Supplier This Invoice	Date Paid To Subcontracto r / Subconsultan t / Material Supplier This Invoice

Total Amount Paid to Subcontractor Firms \$

NOTE: - These documents are scanned into our Fiscal program. Please do not highlight or shade the figures.

I certify that this information accurately reflects actual payments made and the dates the payments were made to Subcontractors/
Subconsultants/Material Suppliers on the above referenced project.

Signature

Title

Print Name

Date

Rev.
01/07

APPENDIX

U-6243 Erosion Control Permit
U-6243 401 Water Quality Certification
U-6243 404 General Permit Verification
U-6243 Geotechnical Report
U-6243 Duke Energy Power Relocation Plans (By others)
U-6243 Duke Energy Lighting Plans (By others)
U-6243 Lumen Plans (By others)
U-6243 Dominion Energy (By others)

Opinion of Probable Construction Cost

REV 100%

Project U-6243 Holly Springs Road Widening- Phase 2
Route Holly Springs Road
Location Holly Springs, NC
Typical Section 4-Lane Divided w/ Sidewalks

County: Wake

BASE COST

\$19,280,000

MAIN SCHEDULE						
Line Item	Sec No	Pay Item	Quantity	Unit	Price	Amount
1	800	Mobilization (5%)	1	LS	\$ 834,600.00	\$ 834,600.00
2	801	Construction Surveying (2.5%)	1	LS	\$ 327,300.00	\$ 327,300.00
3	200	Clearing and Grubbing	1	LS	\$ 405,000.00	\$ 405,000.00
4	226	Undercut Excavation	2250	CY	\$ 35.00	\$ 78,750.00
5	225	Unclassified Excavation	19600	CY	\$ 15.00	\$ 294,000.00
6	230	Borrow Excavation	61800	CY	\$ 12.00	\$ 741,600.00
7	240	Drainage Ditch Excavation	2070	CY	\$ 15.00	\$ 31,050.00
8	SP	Exploratory Excavation - Standard	25	HR	\$ 100.00	\$ 2,500.00
9	SP	Exploratory Excavation - Vacuum	25	HR	\$ 100.00	\$ 2,500.00
10	250	Removal of Existing Asphalt Pavement	15850	SY	\$ 5.25	\$ 83,212.50
11	265	Select Granular Material	2000	CY	\$ 42.00	\$ 84,000.00
12	270	Geotextile for Soil Stabilization	5425	SY	\$ 4.00	\$ 21,700.00
13	300	Foundation Conditioning Material, Minor Structures	960	TON	\$ 80.00	\$ 76,800.00
14	300	Foundation Conditioning, Geotextile	3010	SY	\$ 2.75	\$ 8,277.50
15	305	15" Drainage Pipe	152	LF	\$ 50.00	\$ 7,600.00
16	305	18" Drainage Pipe	76	LF	\$ 55.00	\$ 4,180.00
17	310	72" RC Pipe Culverts, Class III	28	LF	\$ 440.00	\$ 12,320.00
18	310	15" RC Pipe Culverts, Class IV	6260	LF	\$ 62.00	\$ 388,120.00
19	310	18" RC Pipe Culverts, Class IV	1180	LF	\$ 75.00	\$ 88,500.00
20	310	24" RC Pipe Culverts, Class IV	896	LF	\$ 90.00	\$ 80,640.00
21	310	30" RC Pipe Culverts, Class IV	180	LF	\$ 135.00	\$ 24,300.00
22	310	36" RC Pipe Culverts, Class IV	60	LF	\$ 175.00	\$ 10,500.00
23	310	42" RC Pipe Culverts, Class IV	40	LF	\$ 200.00	\$ 8,000.00
24	310	72" RC Pipe Culverts, Class IV	32	LF	\$ 500.00	\$ 16,000.00
25	310	15" HDPE Pipe Culverts	150	LF	\$ 90.00	\$ 13,500.00
26	310	18" HDPE Pipe Culverts	40	LF	\$ 95.00	\$ 3,800.00
27	310	18" CS Pipe Culverts, 0.064" Thick	44	LF	\$ 50.00	\$ 2,200.00
28	310	15" CS Pipe Elbows, 0.064" Thick	2	EA	\$ 200.00	\$ 400.00
29	310	18" CS Pipe Elbows, 0.064" Thick	2	EA	\$ 225.00	\$ 450.00
30	340	Pipe Removal	683	LF	\$ 22.00	\$ 15,026.00
31	SP	Removal of Existing Structure at Sta. 109+31.20	1	LS	\$ 20,000.00	\$ 20,000.00
32	450	Pile Excavation in Soil	48	LF	\$ 210.00	\$ 10,080.00
33	450	Pile Excavation Not in Soil	33	LF	\$ 290.00	\$ 9,570.00
34	411	3'-6" Dia Drilled Piers in Soil	341	LF	\$ 1,370.00	\$ 467,170.00
35	411	3'-6" Dia Drilled Piers Not in Soil	113	LF	\$ 2,300.00	\$ 259,900.00
36	411	Permanent Steel Casing for 3'-6"dia Drilled Pier	222	LF	\$ 385.00	\$ 85,470.00
37	411	SID Inspections	3	EA	\$ 750.00	\$ 2,250.00
38	411	CSL Testing	3	EA	\$ 2,900.00	\$ 8,700.00
39	412	Unclassified Structure Excavation at Station 109+31.20	1	LS	\$ 12,000.00	\$ 12,000.00
40	420	Reinforced Concrete Deck Slab	11633	SF	\$ 30.00	\$ 348,990.00
41	420	Grooving Bridge Floors	11212	SF	\$ 1.00	\$ 11,212.00
42	420	Class A Concrete (Bridge)	222	CY	\$ 770.00	\$ 170,940.00
43	422	Bridge Approach Slabs	1	LS	\$ 50,000.00	\$ 50,000.00
44	SP	Type 1 Standard Approach Fill, Station -L- 109+31.20	1	LS	\$ 30,000.00	\$ 30,000.00
45	425	Reinforcing Steel (Bridge)	55371	LB	\$ 1.50	\$ 83,056.50
46	425	Spiral Column Reinforcing Steel (Bridge)	10612	LB	\$ 2.00	\$ 21,224.00
47	430	45" Prestressed Concrete Girders	1325	LF	\$ 300.00	\$ 397,500.00
48	450	Pile Driving Equipment Setup for HP 14x73 Steel Piles	18	EA	\$ 550.00	\$ 9,900.00
49	450	HP 14x73 Steel Piles	570	LF	\$ 60.00	\$ 34,200.00
50	450	Steel Pile Points	18	EA	\$ 300.00	\$ 5,400.00
51	460	Two Bar Metal Rail	141	LF	\$ 120.00	\$ 16,920.00
52	460	1'-2" x 3'-0" Concrete Parapet	149	LF	\$ 110.00	\$ 16,390.00
53	460	Concrete Barrier Rail	149	LF	\$ 100.00	\$ 14,900.00
54	430	Elastomeric Bearings	1	LS	\$ 10,000.00	\$ 10,000.00
55	430	Fiber Optic Conduit System	150	LF	\$ 25.00	\$ 3,750.00
56	505	Shallow Undercut	750	CY	\$ 30.00	\$ 22,500.00
57	505	Class IV Subgrade Stabilization	1475	TON	\$ 25.00	\$ 36,875.00
58	520	Aggregate Base Course	15850	TON	\$ 20.00	\$ 317,000.00

1/11/2022

Line						
Item	Sec No	Pay Item	Quantity	Unit	Price	Amount
59	545	Incidental Stone Base	1000	TON	\$ 50.00	\$ 50,000.00
60	607	Milling Asphalt Pavement 1.5" Depth	4450	SY	\$ 3.00	\$ 13,350.00
61	607	Incidental Milling	2000	SY	\$ 10.00	\$ 20,000.00
62	610	Asphalt Conc Base Course, Type B25.0C	6465	TON	\$ 75.00	\$ 484,875.00
63	610	Asphalt Conc Intermediate Course, Type I19.0C	7750	TON	\$ 75.00	\$ 581,250.00
64	610	Asphalt Conc Surface Course, Type S9.5C	9595	TON	\$ 75.00	\$ 719,625.00
65	620	Asphalt Binder For Plant Mix	1240	TON	\$ 509.00	\$ 631,160.00
66	654	Asphalt Plant Mix, Pavement Repair	700	TON	\$ 175.00	\$ 122,500.00
67	815	6" Perforated Subdrain Pipe	1800	LF	\$ 15.00	\$ 27,000.00
68	828	Temporary Steel Plate Covers for Masonry Drainage Structures	10	EA	\$ 1,900.00	\$ 19,000.00
69	838	Reinforced Endwalls	8	CY	\$ 1,500.00	\$ 11,250.00
70	840	Pipe Collars	5	CY	\$ 1,700.00	\$ 8,500.00
71	SP	Flowable Fill	21	CY	\$ 420.00	\$ 8,820.00
72	840	Masonry Drainage Structures	126	EA	\$ 2,400.00	\$ 302,400.00
73	840	Masonry Drainage Structures	57	LF	\$ 600.00	\$ 34,200.00
74	840	Frame with Grate, Std 840.16	8	EA	\$ 800.00	\$ 6,400.00
75	840	Frame with Grate, Std 840.18	0	EA	\$ 800.00	\$ -
76	840	Frame with Two Grates, Std 840.24	2	EA	\$ 800.00	\$ 1,600.00
77	840	Frame with Grate & Hood, Std 840.03, Type E	13	EA	\$ 850.00	\$ 11,050.00
78	840	Frame with Grate & Hood, Std 840.03, Type F	46	EA	\$ 850.00	\$ 39,100.00
79	840	Frame with Grate & Hood, Std 840.03, Type G	52	EA	\$ 850.00	\$ 44,200.00
80	840	Frame with Cover, Std 840.54	6	EA	\$ 680.00	\$ 4,080.00
81	846	1'-6" Concrete Curb & Gutter	11625	LF	\$ 16.00	\$ 186,000.00
82	846	2'-6" Concrete Curb & Gutter	15735	LF	\$ 22.00	\$ 346,170.00
83	846	2'-9" Concrete Curb & Gutter	1390	LF	\$ 28.00	\$ 38,920.00
84	846	8" x 18" Concrete Curb & Gutter	155	LF	\$ 24.00	\$ 3,720.00
85	848	Concrete Curb Ramp (NCDOT)	50	EA	\$ 2,500.00	\$ 125,000.00
86	848	4" Concrete Sidewalk	11900	SY	\$ 40.00	\$ 476,000.00
87	848	6" Concrete Driveway	2020	SY	\$ 75.00	\$ 151,500.00
88	852	5" Monolithic Island (Keyed In)	1050	SY	\$ 93.00	\$ 97,650.00
89	858	Adjustment of Catch Basins	2	EA	\$ 1,200.00	\$ 2,400.00
90	858	Adjustment of Manholes (SS & Water)	6	EA	\$ 600.00	\$ 3,600.00
91	858	Adjustment of Valve Meter Boxes or Boxes	19	EA	\$ 600.00	\$ 11,400.00
92	859	Convert Existing Catch Basin To Junction Box	2	EA	\$ 2,000.00	\$ 4,000.00
93	862	Steel Beam Guardrail	2205	LF	\$ 19.00	\$ 41,895.00
94	862	Steel Beam Guardrail, Shop Curved	530	LF	\$ 18.00	\$ 9,540.00
95	862	Guardrail End Units, Type CAT-1	7	EA	\$ 800.00	\$ 5,600.00
96	862	Additional Guardrail Posts	5	EA	\$ 45.00	\$ 225.00
97	SP	Guardrail End Units, Type TL-3	7	EA	\$ 3,000.00	\$ 21,000.00
98	862	Guardrail Anchor Units, Type B-77	4	EA	\$ 1,800.00	\$ 7,200.00
99	SP	Concrete Vehicular Apron	355	SY	\$ 200.00	\$ 71,000.00
100	876	Rip Rap, Class B	1615	TON	\$ 60.00	\$ 96,900.00
101	876	Rip Rap, Class I	410	TON	\$ 65.00	\$ 26,650.00
102	876	Rip Rap, Class II	220	TON	\$ 70.00	\$ 15,400.00
103	876	Rip Rap Class II (2'-0" Thick)	337	TON	\$ 55.00	\$ 18,535.00
104	876	Geotextile for Drainage	3220	SY	\$ 4.00	\$ 12,880.00
105	SP	Low Permeability Geotextile	1440	SY	\$ 5.00	\$ 7,200.00
106	901	Contractor Furnished, Type"E" Sign	625	SF	\$ 20.00	\$ 12,500.00
107	901	Contractor Furnished, Type"D" Sign	139	SF	\$ 20.00	\$ 2,780.00
108	SP	Contractor Furnished, RRFB Sign	36	SF	\$ 100.00	\$ 3,600.00
109	902	Plain Concrete Sign Foundations	1	CY	\$ 300.00	\$ 300.00
110	903	Supports, 3-LB Steel U-Channel	1640	LF	\$ 8.00	\$ 13,120.00
111	903	Supports, Breakaway Steel Beam	605	LB	\$ 10.00	\$ 6,050.00
112	903	Supports, Wood	30	LF	\$ 5.00	\$ 150.00
113	904	Sign Erection, Type E	123	EA	\$ 150.00	\$ 18,450.00
114	904	Sign Erection, Type D	7	EA	\$ 180.00	\$ 1,260.00
115	SP	Sign Erection, RRFB	4	EA	\$ 800.00	\$ 3,200.00
116	907	Disposal of Support, U-Channel	1	EA	\$ 7.50	\$ 7.50
117	907	Disposal of Sign System, U-Channel	48	EA	\$ 5.00	\$ 240.00
118	1005	No. 57 Stone	12	TON	\$ 60.00	\$ 720.00
119	1042/SP	Boulders	20	TON	\$ 200.00	\$ 4,000.00
120	1056	Geotextile for Drainage, Type 2	30	SF	\$ 5.00	\$ 150.00
121	1110	Work Zone Signs (Stationary)	750	SF	\$ 8.00	\$ 6,000.00
122	1110	Work Zone Signs (Barricade Mounted)	700	SF	\$ 15.00	\$ 10,500.00
123	1110	Work Zone Signs (Portable)	625	SF	\$ 15.00	\$ 9,375.00
124	1115	Flashing Arrow Board	2	EA	\$ 5,000.00	\$ 10,000.00
125	1115	Portable Changeable Message Sign	4	EA	\$ 6,500.00	\$ 26,000.00
126	1130	Drums	375	EA	\$ 55.00	\$ 20,625.00
127	1135	Cones	10	EA	\$ 40.00	\$ 400.00

Line							
Item	Sec No	Pay Item	Quantity	Unit	Price	Amount	
128	1145	Barricades (Type III)	140	LF	\$ 50.00	\$ 7,000.00	
129	SP	Pedestrian Channelizing Devices	390	LF	\$ 45.00	\$ 17,550.00	
130	1150	Flagger	500	DAY	\$ 300.00	\$ 150,000.00	
131	1160	Temporary Crash Cushions	2	EA	\$ 10,000.00	\$ 20,000.00	
132	1160	Remove and Reset Temporary Crash Cushions	2	EA	\$ 2,700.00	\$ 5,400.00	
133	1170	Portable Concrete Barrier (Unanchored)	400	LF	\$ 37.00	\$ 14,800.00	
134	1170	Portable Concrete Barrier (Anchored)	630	LF	\$ 50.00	\$ 31,500.00	
135	1170	Remove and Reset Portable Concrete Barrier (Anchored)	1000	LF	\$ 10.00	\$ 10,000.00	
136	SP	Temporary Curb Ramp	6	EA	\$ 2,250.00	\$ 13,500.00	
137	1180	Skinny Drums	360	EA	\$ 55.00	\$ 19,800.00	
138	1205	Thermoplastic Pavement Marking Lines (4", 90 Mils)	10505	LF	\$ 1.00	\$ 10,505.00	
139	1205	Thermoplastic Pavement Marking Lines (8", 90 Mils)	3740	LF	\$ 2.25	\$ 8,415.00	
140	1205	Thermoplastic Pavement Marking Lines (12", 90 Mils)	160	LF	\$ 6.00	\$ 960.00	
141	1205	Thermoplastic Pavement Marking Lines (24", 90 Mils)	1415	LF	\$ 16.00	\$ 22,640.00	
142	1205	Thermoplastic Pavement Marking Characters (90 Mils)	6	EA	\$ 200.00	\$ 1,200.00	
143	1205	Thermoplastic Pavement Marking Symbols (90 Mils)	117	EA	\$ 250.00	\$ 29,250.00	
144	1205	Paint Pavement Marking Lines (4", 90 Mils)	111500	LF	\$ 0.30	\$ 33,450.00	
145	1205	Paint Pavement Marking Lines (8", 90 Mils)	8950	LF	\$ 0.80	\$ 7,160.00	
146	1205	Paint Pavement Marking Lines (24", 90 Mils)	3900	LF	\$ 3.25	\$ 12,675.00	
147	1205	Paint Pavement Marking Symbols	125	EA	\$ 45.00	\$ 5,625.00	
148	1205	Paint Pavement Marking Characters	25	EA	\$ 45.00	\$ 1,125.00	
149	1205	Removal of Pavement Marking Lines (4")	44000	LF	\$ 0.30	\$ 13,200.00	
150	1205	Removal of Pavement Marking Lines (8")	1750	LF	\$ 0.60	\$ 1,050.00	
151	1205	Removal of Pavement Marking Lines (24")	1100	LF	\$ 3.50	\$ 3,850.00	
152	1205	Removal of Pavement Marking Symbols and Characters	58	EA	\$ 30.00	\$ 1,740.00	
153	1251	Temporary Raised Pavement Markers	1100	EA	\$ 8.00	\$ 8,800.00	
154	1253	Snowplowable Raised Pavement Markers	420	EA	\$ 45.00	\$ 18,900.00	
155	1266	Tubular Markers (Fixed)	15	EA	\$ 45.00	\$ 675.00	
156	PSP	Acer rubrum 'October Glory'	5	EA	\$ 800.00	\$ 4,000.00	
157	PSP	Cercis canadensis	44	EA	\$ 500.00	\$ 22,000.00	
158	PSP	Azalea x 'Autumn Angel'	15	EA	\$ 40.00	\$ 600.00	
159	PSP	Buddleja x 'SMNBDPT' TM	55	EA	\$ 60.00	\$ 3,300.00	
160	PSP	Ilex glabra 'Shamrock'	84	EA	\$ 60.00	\$ 5,040.00	
161	PSP	Echinacea x 'Powwow Wild Berry'	1000	EA	\$ 15.00	\$ 15,000.00	
162	PSP	Carex divulsa	1100	EA	\$ 15.00	\$ 16,500.00	
163	PSP	Rudbeckia fulgida 'Goldstrum'	1241	EA	\$ 15.00	\$ 18,615.00	
164	PSP	Andropogon virginicus	1160	EA	\$ 20.00	\$ 23,200.00	
165	PSP	Muhlenbergia capillaris	1568	EA	\$ 20.00	\$ 31,360.00	
166	PSP	Deschampsia cespitosa 'Goldtau'	1924	EA	\$ 15.00	\$ 28,860.00	
167	PSP	Panicum virgatum 'Northwind'	1056	EA	\$ 20.00	\$ 21,120.00	
168	PSP	Schizachyrium scoparium	922	EA	\$ 15.00	\$ 13,830.00	
169	PSP	Cynodon dactylon 'Tif 19'	11862	SY	\$ 20.00	\$ 237,240.00	
170	PSP	Sod (Contractor Shall Match Species of Existing Adjacent Sod)	2440	SY	\$ 20.00	\$ 48,800.00	
171	PSP	Seed & Mulching (See Roadway Plans for Seed Schedule)	4.1	ACR	\$ 7,300.00	\$ 29,930.00	
172	PSP	Hardwood Mulch	525	CY	\$ 80.00	\$ 42,000.00	
173	PSP	Topsoil	4,600	CY	\$ 70.00	\$ 322,000.00	
174	PSP	Soil Amendments	2,550	CY	\$ 70.00	\$ 178,500.00	
175	PSP	One-Year Landscape Establishment	1	LS	\$ 40,000.00	\$ 40,000.00	
176	1510	6" Water Line	60	LF	\$ 100.00	\$ 6,000.00	
177	1510	8" Water Line	75	LF	\$ 140.00	\$ 10,500.00	
178	1510	12" Water Line	681	LF	\$ 150.00	\$ 102,150.00	
179	1510	16" Water Line	2153	LF	\$ 170.00	\$ 366,010.00	
180	1510	20" HDPE Water Line	686	LF	\$ 130.00	\$ 89,180.00	
181	1510	Ductile Iron Water Pipe Fittings	17700	LB	\$ 9.50	\$ 168,150.00	
182	1515	6" Valve	6	EA	\$ 1,900.00	\$ 11,400.00	
183	1515	12" Valve	3	EA	\$ 4,300.00	\$ 12,900.00	
184	1515	16" Valve	7	EA	\$ 10,500.00	\$ 73,500.00	
185	1515	Air Release Valve (Sanitary)	1	EA	\$ 10,000.00	\$ 10,000.00	
186	1515	Air Release Valve (Potable Water)	1	EA	\$ 8,500.00	\$ 8,500.00	
187	1515	5/8" Water Meter	1	EA	\$ 2,500.00	\$ 2,500.00	
188	1515	Relocate Water Meter	12	EA	\$ 1,550.00	\$ 18,600.00	
189	1515	Relocate 1" RPZ BFPA	1	EA	\$ 2,000.00	\$ 2,000.00	
190	1515	Fire Hydrant	8	EA	\$ 4,200.00	\$ 33,600.00	
191	1515	Fire Hydrant Leg	187	LF	\$ 100.00	\$ 18,700.00	
192	1515	16" Line Stop w/ Bypass	2	EA	\$ 47,000.00	\$ 94,000.00	
193	1515	Water Service Line	616	LF	\$ 50.00	\$ 30,800.00	
194	SP	8" Insertion Valve	2	EA	\$ 12,000.00	\$ 24,000.00	
195	SP	12" Insertion Valve	4	EA	\$ 18,000.00	\$ 72,000.00	
196	SP	16" Insertion Valve	1	EA	\$ 25,000.00	\$ 25,000.00	
197	1520	8" Sanitary Gravity Sewer	1001	LF	\$ 130.00	\$ 130,130.00	
198	1520	16" Force Main Sewer	4134	LF	\$ 240.00	\$ 992,160.00	

Line						
Item	Sec No	Pay Item	Quantity	Unit	Price	Amount
199	1520	Sanitary Sewer Cleanout	5	EA	\$ 1,500.00	\$ 7,500.00
200	1520	Sewer Service Line	493	LF	\$ 40.00	\$ 19,720.00
201	1520	Ductile Iron Sewer Pipe Fittings	6300	LB	\$ 10.00	\$ 63,000.00
202	1530	Abandon 21" Utility Pipe	200	LF	\$ 40.00	\$ 8,000.00
203	1520	21" Sanitary Gravity Sewer	65	LF	\$ 230.00	\$ 14,950.00
204	1525	4' Dia Utility MH	7	EA	\$ 2,700.00	\$ 18,900.00
205	1525	5' Dia Utility MH	3	EA	\$ 5,000.00	\$ 15,000.00
206	1525	4' Dia MH Wall	44	LF	\$ 335.00	\$ 14,740.00
207	1525	5' Dia MH Wall	20	LF	\$ 400.00	\$ 8,000.00
208	1530	Abandon 6" Utility Pipe	60	LF	\$ 10.00	\$ 600.00
209	1530	Abandon 8" Utility Pipe	984	LF	\$ 12.00	\$ 11,808.00
210	1530	Abandon 12" Utility Pipe	974	LF	\$ 13.00	\$ 12,662.00
211	1530	Abandon 16" Utility Pipe	6119	LF	\$ 16.00	\$ 97,904.00
212	1530	Remove Fire Hydrant	7	EA	\$ 1,100.00	\$ 7,700.00
213	1530	Abandon Utility Manhole	9	EA	\$ 1,800.00	\$ 16,200.00
214	1540	18" Steel Encasement	62	LF	\$ 120.00	\$ 7,440.00
215	1540	30" Steel Encasement	47	LF	\$ 210.00	\$ 9,870.00
216	1550	Bore & Jack of 18"	62	LF	\$ 370.00	\$ 22,940.00
217	1550	Bore & Jack of 30"	47	LF	\$ 450.00	\$ 21,150.00
218	1550	Directional Drilling of 20"	686	LF	\$ 430.00	\$ 294,980.00
219	1605	Temporary Silt Fence	17385	LF	\$ 3.00	\$ 52,155.00
220	SP	Tree Protection Fence	6510	LF	\$ 3.00	\$ 19,530.00
221	1610	Erosion Control Stone, Class A	450	TON	\$ 50.00	\$ 22,500.00
222	1610	Erosion Control Stone, Class B	670	TON	\$ 50.00	\$ 33,500.00
223	1610	Sediment Control Stone	1345	TON	\$ 40.00	\$ 53,800.00
224	1615	Temporary Mulching	17.5	ACR	\$ 1,400.00	\$ 24,500.00
225	1620	Seed for Temporary Seeding	1700	LB	\$ 4.00	\$ 6,800.00
226	1620	Fertilizer for Temporary Seeding	10.5	TON	\$ 1,100.00	\$ 11,550.00
227	1622	Temporary Slope Drains	200	LF	\$ 25.00	\$ 5,000.00
228	1630	Silt Excavation	1600	CY	\$ 15.00	\$ 24,000.00
229	1631	Matting for Erosion Control	24300	SY	\$ 1.30	\$ 31,590.00
230	SP	Coir Fiber Mat	100	SY	\$ 10.00	\$ 1,000.00
231	1632	1/4" Hardware Cloth	3895	LF	\$ 6.00	\$ 23,370.00
232	SP	15" Temporary Pipe	330	LF	\$ 60.00	\$ 19,800.00
233	SP	18" Temporary Pipe	50	LF	\$ 65.00	\$ 3,250.00
234	SP	30" Temporary Pipe	16	LF	\$ 80.00	\$ 1,280.00
235	SP	36" Temporary Pipe	30	LF	\$ 90.00	\$ 2,700.00
236	1639	Special Stilling Basins	22	EA	\$ 600.00	\$ 13,200.00
237	SP	Wattle	50	LF	\$ 6.00	\$ 300.00
238	SP	Polycrylamide (PAM)	50	LB	\$ 15.00	\$ 750.00
239	SP	Standard Inlet Protection (6.51)	5	EA	\$ 450.00	\$ 2,250.00
240	SP	Permanent Soil Reinforcement Mat	1330	SY	\$ 7.00	\$ 9,310.00
241	1640	Coir Fiber Baffle	295	LF	\$ 6.00	\$ 1,770.00
242	SP	1-1/2" Skimmer	6	EA	\$ 1,000.00	\$ 6,000.00
243	SP	2-1/2" Skimmer	0	EA	\$ 1,200.00	\$ -
244	1660	Seeding and Mulching	24	ACR	\$ 2,600.00	\$ 62,400.00
245	1660	Mowing	15	ACR	\$ 150.00	\$ 2,250.00
246	1661	Seed for Repair Seeding	225	LB	\$ 10.00	\$ 2,250.00
247	1661	Fertilizer for Repair Seeding	0.5	TON	\$ 1,200.00	\$ 600.00
248	1662	Seed for Supplemental Seeding	550	LB	\$ 5.00	\$ 2,750.00
249	1665	Fertilizer Topdressing	16.5	TON	\$ 1,100.00	\$ 18,150.00
250	SP	Impervious Dike	251	LF	\$ 90.00	\$ 22,590.00
251	SP	Response for Erosion Control	15	EA	\$ 5,000.00	\$ 75,000.00
252	SP	Concrete Washout Structure	6	EA	\$ 1,200.00	\$ 7,200.00
253	SP	Temporary Shoring	2500	SF	\$ 55.00	\$ 137,500.00
254	1705	Pedestrian Signal Head (16", 1 Section with Countdown)	9	EA	\$ 1,100.00	\$ 9,900.00
255	1705	Signal Cable	3700	LF	\$ 4.00	\$ 14,800.00
256	1705	Vehicle Signal Head (12", 3 Section)	12	EA	\$ 900.00	\$ 10,800.00
257	1705	Vehicle Signal Head (12", 4 Section)	3	EA	\$ 1,100.00	\$ 3,300.00
258	1710	Messenger Cable (3/8")	220	LF	\$ 5.00	\$ 1,100.00
259	1715	Tracer Wire	8445	LF	\$ 1.25	\$ 10,556.25
260	1715	Paved Trenching (2 Conduits, 2 Inch)	350	LF	\$ 23.00	\$ 8,050.00
261	1715	Unpaved Trenching (2 Conduits, 2 Inch)	4582	LF	\$ 11.00	\$ 50,402.00
262	1715	Directional Drill (2 Conduits, 2 Inch)	3655	LF	\$ 23.00	\$ 84,065.00
263	1716	Junction Box (Standard Size)	6	EA	\$ 350.00	\$ 2,100.00
264	1716	Junction Box (Over-Sized, Heavy Duty)	2	EA	\$ 750.00	\$ 1,500.00
265	1720	Wood Pole	3	EA	\$ 1,500.00	\$ 4,500.00
266	1721	Guy Assembly	4	EA	\$ 500.00	\$ 2,000.00
267	1722	2" Riser with Weatherhead	2	EA	\$ 700.00	\$ 1,400.00
268	1725	Inductive Loop Sawcut	1270	LF	\$ 7.00	\$ 8,890.00
269	1726	Lead-In Cable (14-2)	4070	LF	\$ 2.00	\$ 8,140.00

Line						
Item	Sec No	Pay Item	Quantity	Unit	Price	Amount
270	SP	Site Survey	1	EA	\$ 500.00	\$ 500.00
271	SP	Luminaire Arm for Video System	4	EA	\$ 500.00	\$ 2,000.00
272	SP	Camera With Internal Loop Emulator Processing Unit	4	EA	\$ 3,500.00	\$ 14,000.00
273	SP	Relocate Camera Sensor Unit	2	EA	\$ 2,000.00	\$ 4,000.00
274	1730	Communications Cable (48 Fiber)	9672	LF	\$ 4.00	\$ 38,688.00
275	1730	Communications Cable (288 Fiber)	6975	LF	\$ 5.00	\$ 34,875.00
276	1730	Drop Cable	295	LF	\$ 3.75	\$ 1,106.25
277	1731	Splice Enclosure	1	EA	\$ 1,600.00	\$ 1,600.00
278	1731	Interconnect Center	1	EA	\$ 1,900.00	\$ 1,900.00
279	1733	Delineator Marker	22	EA	\$ 85.00	\$ 1,870.00
280	1734	Remove Existing Communications Cable	14057	LF	\$ 1.00	\$ 14,057.00
281	SP	Metal Pole With Single Mast Arm	2	EA	\$ 14,000.00	\$ 28,000.00
282	SP	Soil Test	2	EA	\$ 1,000.00	\$ 2,000.00
283	SP	Drilled Pier Foundation*	11	CY	\$ 1,300.00	\$ 14,300.00
284	SP	Mast Arm With Metal Pole Design	2	EA	\$ 500.00	\$ 1,000.00
285	1745	Sign For Signals	3	EA	\$ 500.00	\$ 1,500.00
286	1746	Relocate Existing Sign	4	EA	\$ 300.00	\$ 1,200.00
287	1743	Type I Post With Foundation	8	EA	\$ 1,900.00	\$ 15,200.00
288	1743	Type II Pedestal With Foundation	4	EA	\$ 2,000.00	\$ 8,000.00
289	1751	Controller (Type 2070E)	1	EA	\$ 1,000.00	\$ 1,000.00
290	1751	Detector Card (Type 2070I)	8	EA	\$ 150.00	\$ 1,200.00
291	SP	Vehicle Preemption System Intersection Equipment	1	EA	\$ 12,000.00	\$ 12,000.00
292	SP	Metal Pole Foundation Removal	2	EA	\$ 4,000.00	\$ 8,000.00
293	SP	Metal Pole Removal	2	EA	\$ 2,800.00	\$ 5,600.00
294	SP	TOHS Junction Box (Over-Sized, Heavy Duty)	22	EA	\$ 750.00	\$ 16,500.00
295	SP	Ethernet Edge Switch	1	EA	\$ 5,000.00	\$ 5,000.00
296	SP	Remove Existing Junction Boxes	16	EA	\$ 200.00	\$ 3,200.00
ADN 01-1	500	Fine Grading	1	LS	\$ 350,000.00	\$ 350,000.00
ADN 01-2	607	Milling Asphalt Pavement 3.0" Depth	20885	SY	\$ 6.00	\$ 125,310.00
ADN 01-3	SP	Law Enforcement	50	HR	\$ 60.00	\$ 3,000.00
ADN 01-4	SP	Special Inlet Protection (Gutter Buddy)	76	EA	\$ 450.00	\$ 34,200.00
ADN 01-5	SP	Special Inlet Protection (Silt Sack)	77	EA	\$ 450.00	\$ 34,650.00
ADN 01-6	815	Subdrain Excavation	2000	CY	\$ 18.00	\$ 36,000.00
ADN 01-7	815	Geotextile for Subsurface Drains	1300	SY	\$ 6.00	\$ 7,800.00
ADN 01-8	815	Subdrain Fine Aggregate	175	TON	\$ 30.00	\$ 5,250.00
ADN 01-9	815	Subdrain Course Aggregate	125	TON	\$ 30.00	\$ 3,750.00
ADN 01-10	815	6" Outlet Pipe	400	LF	\$ 10.00	\$ 4,000.00
ADN 01-11	815	Subdrain Pipe Outlet	10	EA	\$ 250.00	\$ 2,500.00
					SUBTOTAL	\$ 17,527,300
					CONTINGENCY (10%)	\$ 1,752,700
					MAIN SCHEDULE TOTAL	\$ 19,280,000
BID ALTERNATE A						
Line						
Item	Sec No	Pay Item	Quantity	Unit	Price	Amount
297	225	Unclassified Excavation	1000	CY	\$ 10.00	\$ 10,000.00
298	230	Borrow Excavation	1,500	CY	\$ 18.00	\$ 27,000.00
299	240	Drainage Ditch Excavation	15	CY	\$ 15.00	\$ 225.00
300	520	Aggregate Base Course	600	TON	\$ 28.00	\$ 16,800.00
301	610	Asphalt Conc Base Course, Type B25.0C	10	TON	\$ 80.00	\$ 800.00
302	610	Asphalt Conc Intermediate Course, Type I19.0C	290	TON	\$ 80.00	\$ 23,200.00
303	610	Asphalt Conc Surface Course, Type S9.5C	210	TON	\$ 80.00	\$ 16,800.00
304	620	Asphalt Binder For Plant Mix	30	TON	\$ 425.00	\$ 12,750.00
305	828	Temporary Steel Plate Covers for Masonry Drainage Structures	3	EA	\$ 2,000.00	\$ 6,000.00
306	1110	Work Zone Signs (Stationary)	80	SF	\$ 15.00	\$ 1,200.00
307	1110	Work Zone Signs (Barricade Mounted)	28	SF	\$ 25.00	\$ 700.00
308	1130	Drums	100	EA	\$ 55.00	\$ 5,500.00
309	1145	Barricades (Type III)	40	LF	\$ 65.00	\$ 2,600.00
310	SP	Pedestrian Channelizing Devices	20	LF	\$ 48.00	\$ 960.00
311	1160	Temporary Crash Cushion	1	EA	\$ 6,500.00	\$ 6,500.00
312	1205	Paint Pavement Marking Lines (4", 90 MILS)	8,500	LF	\$ 0.30	\$ 2,550.00
					SUBTOTAL	\$ 133,600
					CONTINGENCY (10%)	\$ 13,400
					ALTERNATE A TOTAL	\$ 147,000
BID ALTERNATE UC1 - BETTERMENT 16" WATER LINE						

Line						
Item	Sec No	Pay Item	Quantity	Unit	Price	Amount
Line						
Item	Sec No	Item Description	Quantity	Unit	Unit Price	Amount
313	1510	12" Water Line	12	LF	\$ 150.00	\$ 1,800.00
314	1510	16" Water Line	850	LF	\$ 170.00	\$ 144,500.00
315	1510	Ductile Iron Water Pipe Fittings	1800	LB	\$ 9.50	\$ 17,100.00
316	1515	6" Valve	1	EA	\$ 1,900.00	\$ 1,900.00
317	1515	12" Valve	1	EA	\$ 4,300.00	\$ 4,300.00
318	1515	16" Valve	2	EA	\$ 10,500.00	\$ 21,000.00
319	1515	Fire Hydrant	1	EA	\$ 4,200.00	\$ 4,200.00
320	1515	Fire Hydrant Leg	12	LF	\$ 100.00	\$ 1,200.00
					SUBTOTAL	\$ 196,000
					CONTINGENCY (10%)	\$ 19,600
					ALTERNATE UC1 TOTAL	\$ 215,600
BID ALTERNATE UC2 - UPSIZE TO 20" FORCE MAIN						
Line						
Item	Sec No	Item Description	Quantity	Unit	Unit Price	Amount
321	1515	20" Plug Valve	1	EA	\$ 20,000.00	\$ 20,000.00
322	1520	16" Force Main Sewer	-3955	LF	\$ 240.00	\$ (949,200.00)
323	1520	20" Force Main Sewer	3955	LF	\$ 260.00	\$ 1,028,300.00
324	1520	Ductile Iron Sewer Pipe Fittings	4200	LB	\$ 10.00	\$ 42,000.00
					SUBTOTAL	\$ 141,100
					CONTINGENCY (10%)	\$ 14,100
					ALTERNATE UC2 TOTAL	\$ 155,200
BID ALTERNATE UC3 - TEMPORARY WATER LINE CONNECTION OF -W5-						
Line						
Item	Sec No	Item Description	Quantity	Unit	Unit Price	Amount
325	1510	12" Water Line	34	LF	\$ 150.00	\$ 5,100.00
326	1510	Ductile Iron Water Pipe Fittings	1000	LB	\$ 9.50	\$ 9,500.00
327	1515	12" Tapping Sleeve & Valve	1	EA	\$ 12,000.00	\$ 12,000.00
328	SP	Abandon Temporary Connection	1	LS	\$ 2,000.00	\$ 2,000.00
					SUBTOTAL	\$ 28,600
					CONTINGENCY (10%)	\$ 2,900
					ALTERNATE UC3 TOTAL	\$ 31,500
BID ALTERNATE UC4 - LONG TERM BYPASS						
Line						
Item	Sec No	Item Description	Quantity	Unit	Unit Price	Amount
329	SP	Generic Utility Item - Long Term SS Bypass	120	DAY	\$ 1,335.00	\$ 160,200.00
					SUBTOTAL	\$ 160,200
					CONTINGENCY (10%)	\$ 16,000
					ALTERNATE UC4 TOTAL	\$ 176,200

BID TABULATIONS

Project
Bid Date

U-6243 Holly Springs Road Widening- Phase 2
12/2/2021

					Engineers Estimate	
Line	Sec No	Pay Item	Quantity	Unit	Unit Price	Amount
1	800	Mobilization (5%)	1	LS	\$ 834,600.00	\$ 834,600.00
2	801	Construction Surveying (2.5%)	1	LS	\$ 327,300.00	\$ 327,300.00
3	200	Clearing and Grubbing	1	LS	\$ 405,000.00	\$ 405,000.00
4	226	Undercut Excavation	2250	CY	\$ 35.00	\$ 78,750.00
5	225	Unclassified Excavation	19600	CY	\$ 15.00	\$ 294,000.00
6	230	Borrow Excavation	61800	CY	\$ 12.00	\$ 741,600.00
7	240	Drainage Ditch Excavation	2070	CY	\$ 15.00	\$ 31,050.00
8	SP	Exploratory Excavation - Standard	25	HR	\$ 100.00	\$ 2,500.00
9	SP	Exploratory Excavation - Vacuum	25	HR	\$ 100.00	\$ 2,500.00
10	250	Removal of Existing Asphalt Pavement	15850	SY	\$ 5.25	\$ 83,212.50
11	265	Select Granular Material	2000	CY	\$ 42.00	\$ 84,000.00
12	270	Geotextile for Soil Stabilization	5425	SY	\$ 4.00	\$ 21,700.00
13	300	Foundation Conditioning Material, Minor Structures	960	TON	\$ 80.00	\$ 76,800.00
14	300	Foundation Conditioning, Geotextile	3010	SY	\$ 2.75	\$ 8,277.50
15	305	15" Drainage Pipe	152	LF	\$ 50.00	\$ 7,600.00
16	305	18" Drainage Pipe	76	LF	\$ 55.00	\$ 4,180.00
17	310	72" RC Pipe Culverts, Class III	28	LF	\$ 440.00	\$ 12,320.00
18	310	15" RC Pipe Culverts, Class IV	6260	LF	\$ 62.00	\$ 388,120.00
19	310	18" RC Pipe Culverts, Class IV	1180	LF	\$ 75.00	\$ 88,500.00
20	310	24" RC Pipe Culverts, Class IV	896	LF	\$ 90.00	\$ 80,640.00
21	310	30" RC Pipe Culverts, Class IV	180	LF	\$ 135.00	\$ 24,300.00
22	310	36" RC Pipe Culverts, Class IV	60	LF	\$ 175.00	\$ 10,500.00
23	310	42" RC Pipe Culverts, Class IV	40	LF	\$ 200.00	\$ 8,000.00
24	310	72" RC Pipe Culverts, Class IV	32	LF	\$ 500.00	\$ 16,000.00
25	310	15" HDPE Pipe Culverts	150	LF	\$ 90.00	\$ 13,500.00
26	310	18" HDPE Pipe Culverts	40	LF	\$ 95.00	\$ 3,800.00
27	310	18" CS Pipe Culverts, 0.064" Thick	44	LF	\$ 50.00	\$ 2,200.00
28	310	15" CS Pipe Elbows, 0.064" Thick	2	EA	\$ 200.00	\$ 400.00
29	310	18" CS Pipe Elbows, 0.064" Thick	2	EA	\$ 225.00	\$ 450.00
30	340	Pipe Removal	683	LF	\$ 22.00	\$ 15,026.00
31	SP	Removal of Existing Structure at Sta. 109+31.20	1	LS	\$ 20,000.00	\$ 20,000.00
32	450	Pile Excavation in Soil	48	LF	\$ 210.00	\$ 10,080.00
33	450	Pile Excavation Not in Soil	33	LF	\$ 290.00	\$ 9,570.00
34	411	3'-6" Dia Drilled Piers in Soil	341	LF	\$ 1,370.00	\$ 467,170.00
35	411	3'-6" Dia Drilled Piers Not in Soil	113	LF	\$ 2,300.00	\$ 259,900.00
36	411	Permanent Steel Casing for 3'-6"dia Drilled Pier	222	LF	\$ 385.00	\$ 85,470.00
37	411	SID Inspections	3	EA	\$ 750.00	\$ 2,250.00
38	411	CSL Testing	3	EA	\$ 2,900.00	\$ 8,700.00
39	412	Unclassified Structure Excavation at Station 109+31.20	1	LS	\$ 12,000.00	\$ 12,000.00
40	420	Reinforced Concrete Deck Slab	11633	SF	\$ 30.00	\$ 348,990.00
41	420	Grooving Bridge Floors	11212	SF	\$ 1.00	\$ 11,212.00
42	420	Class A Concrete (Bridge)	222	CY	\$ 770.00	\$ 170,940.00
43	422	Bridge Approach Slabs	1	LS	\$ 50,000.00	\$ 50,000.00
44	SP	Type 1 Standard Approach Fill, Station -L- 109+31.20	1	LS	\$ 30,000.00	\$ 30,000.00
45	425	Reinforcing Steel (Bridge)	55371	LB	\$ 1.50	\$ 83,056.50
46	425	Spiral Column Reinforcing Steel (Bridge)	10612	LB	\$ 2.00	\$ 21,224.00
47	430	45" Prestressed Concrete Girders	1325	LF	\$ 300.00	\$ 397,500.00
48	450	Pile Driving Equipment Setup for HP 14x73 Steel Piles	18	EA	\$ 550.00	\$ 9,900.00
49	450	HP 14x73 Steel Piles	570	LF	\$ 60.00	\$ 34,200.00
50	450	Steel Pile Points	18	EA	\$ 300.00	\$ 5,400.00
51	460	Two Bar Metal Rail	141	LF	\$ 120.00	\$ 16,920.00
52	460	1'-2" x 3'-0" Concrete Parapet	149	LF	\$ 110.00	\$ 16,390.00
53	460	Concrete Barrier Rail	149	LF	\$ 100.00	\$ 14,900.00
54	430	Elastomeric Bearings	1	LS	\$ 10,000.00	\$ 10,000.00
55	430	Fiber Optic Conduit System	150	LF	\$ 25.00	\$ 3,750.00
56	505	Shallow Undercut	750	CY	\$ 30.00	\$ 22,500.00
57	505	Class IV Subgrade Stabilization	1475	TON	\$ 25.00	\$ 36,875.00
58	520	Aggregate Base Course	15850	TON	\$ 20.00	\$ 317,000.00
59	545	Incidental Stone Base	1000	TON	\$ 50.00	\$ 50,000.00
60	607	Milling Asphalt Pavement 1.5" Depth	4450	SY	\$ 3.00	\$ 13,350.00
61	607	Incidental Milling	2000	SY	\$ 10.00	\$ 20,000.00
62	610	Asphalt Conc Base Course, Type B25.0C	6465	TON	\$ 75.00	\$ 484,875.00
63	610	Asphalt Conc Intermediate Course, Type I19.0C	7750	TON	\$ 75.00	\$ 581,250.00
64	610	Asphalt Conc Surface Course, Type S9.5C	9595	TON	\$ 75.00	\$ 719,625.00

Line						
Item	Sec No	Pay Item	Quantity	Unit	Unit Price	Amount
65	620	Asphalt Binder For Plant Mix	1240	TON	\$ 509.00	\$ 631,160.00
66	654	Asphalt Plant Mix, Pavement Repair	700	TON	\$ 175.00	\$ 122,500.00
67	815	6" Perforated Subdrain Pipe	1800	LF	\$ 15.00	\$ 27,000.00
68	828	Temporary Steel Plate Covers for Masonry Drainage Structures	10	EA	\$ 1,900.00	\$ 19,000.00
69	838	Reinforced Endwalls	8	CY	\$ 1,500.00	\$ 12,000.00
70	840	Pipe Collars	5	CY	\$ 1,700.00	\$ 8,500.00
71	SP	Flowable Fill	21	CY	\$ 420.00	\$ 8,820.00
72	840	Masonry Drainage Structures	126	EA	\$ 2,400.00	\$ 302,400.00
73	840	Masonry Drainage Structures	57	LF	\$ 600.00	\$ 34,200.00
74	840	Frame with Grate, Std 840.16	8	EA	\$ 800.00	\$ 6,400.00
75	840	Frame with Grate, Std 840.18	0	EA	\$ 800.00	\$ -
76	840	Frame with Two Grates, Std 840.24	2	EA	\$ 800.00	\$ 1,600.00
77	840	Frame with Grate & Hood, Std 840.03, Type E	13	EA	\$ 850.00	\$ 11,050.00
78	840	Frame with Grate & Hood, Std 840.03, Type F	46	EA	\$ 850.00	\$ 39,100.00
79	840	Frame with Grate & Hood, Std 840.03, Type G	52	EA	\$ 850.00	\$ 44,200.00
80	840	Frame with Cover, Std 840.54	6	EA	\$ 680.00	\$ 4,080.00
81	846	1'-6" Concrete Curb & Gutter	11625	LF	\$ 16.00	\$ 186,000.00
82	846	2'-6" Concrete Curb & Gutter	15735	LF	\$ 22.00	\$ 346,170.00
83	846	2'-9" Concrete Curb & Gutter	1390	LF	\$ 28.00	\$ 38,920.00
84	846	8" x 18" Concrete Curb & Gutter	155	LF	\$ 24.00	\$ 3,720.00
85	848	Concrete Curb Ramp (NCDOT)	50	EA	\$ 2,500.00	\$ 125,000.00
86	848	4" Concrete Sidewalk	11900	SY	\$ 40.00	\$ 476,000.00
87	848	6" Concrete Driveway	2020	SY	\$ 75.00	\$ 151,500.00
88	852	5" Monolithic Island (Keyed In)	1050	SY	\$ 93.00	\$ 97,650.00
89	858	Adjustment of Catch Basins	2	EA	\$ 1,200.00	\$ 2,400.00
90	858	Adjustment of Manholes (SS & Water)	6	EA	\$ 600.00	\$ 3,600.00
91	858	Adjustment of Valve Meter Boxes or Boxes	19	EA	\$ 600.00	\$ 11,400.00
92	859	Convert Existing Catch Basin To Junction Box	2	EA	\$ 2,000.00	\$ 4,000.00
93	862	Steel Beam Guardrail	2205	LF	\$ 19.00	\$ 41,895.00
94	862	Steel Beam Guardrail, Shop Curved	530	LF	\$ 18.00	\$ 9,540.00
95	862	Guardrail End Units, Type CAT-1	7	EA	\$ 800.00	\$ 5,600.00
96	862	Additional Guardrail Posts	5	EA	\$ 45.00	\$ 225.00
97	SP	Guardrail End Units, Type TL-3	7	EA	\$ 3,000.00	\$ 21,000.00
98	862	Guardrail Anchor Units, Type B-77	4	EA	\$ 1,800.00	\$ 7,200.00
99	SP	Concrete Vehicular Apron	355	SY	\$ 200.00	\$ 71,000.00
100	876	Rip Rap, Class B	1615	TON	\$ 60.00	\$ 96,900.00
101	876	Rip Rap, Class I	410	TON	\$ 65.00	\$ 26,650.00
102	876	Rip Rap, Class II	220	TON	\$ 70.00	\$ 15,400.00
103	876	Rip Rap Class II (2'-0" Thick)	337	TON	\$ 55.00	\$ 18,535.00
104	876	Geotextile for Drainage	3220	SY	\$ 4.00	\$ 12,880.00
105	SP	Low Permeability Geotextile	1440	SY	\$ 5.00	\$ 7,200.00
106	901	Contractor Furnished, Type"E" Sign	625	SF	\$ 20.00	\$ 12,500.00
107	901	Contractor Furnished, Type"D" Sign	139	SF	\$ 20.00	\$ 2,780.00
108	SP	Contractor Furnished, RRFB Sign	36	SF	\$ 100.00	\$ 3,600.00
109	902	Plain Concrete Sign Foundations	1	CY	\$ 300.00	\$ 300.00
110	903	Supports, 3-LB Steel U-Channel	1640	LF	\$ 8.00	\$ 13,120.00
111	903	Supports, Breakaway Steel Beam	605	LB	\$ 10.00	\$ 6,050.00
112	903	Supports, Wood	30	LF	\$ 5.00	\$ 150.00
113	904	Sign Erection, Type E	123	EA	\$ 150.00	\$ 18,450.00
114	904	Sign Erection, Type D	7	EA	\$ 180.00	\$ 1,260.00
115	SP	Sign Erection, RRFB	4	EA	\$ 800.00	\$ 3,200.00
116	907	Disposal of Support, U-Channel	1	EA	\$ 7.50	\$ 7.50
117	907	Disposal of Sign System, U-Channel	48	EA	\$ 5.00	\$ 240.00
118	1005	No. 57 Stone	12	TON	\$ 60.00	\$ 720.00
119	1042/SP	Boulders	20	TON	\$ 200.00	\$ 4,000.00
120	1056	Geotextile for Drainage, Type 2	30	SF	\$ 5.00	\$ 150.00
121	1110	Work Zone Signs (Stationary)	750	SF	\$ 8.00	\$ 6,000.00
122	1110	Work Zone Signs (Barricade Mounted)	700	SF	\$ 15.00	\$ 10,500.00
123	1110	Work Zone Signs (Portable)	625	SF	\$ 15.00	\$ 9,375.00
124	1115	Flashing Arrow Board	2	EA	\$ 5,000.00	\$ 10,000.00
125	1115	Portable Changeable Message Sign	4	EA	\$ 6,500.00	\$ 26,000.00
126	1130	Drums	375	EA	\$ 55.00	\$ 20,625.00
127	1135	Cones	10	EA	\$ 40.00	\$ 400.00
128	1145	Barricades (Type III)	140	LF	\$ 50.00	\$ 7,000.00
129	SP	Pedestrian Channelizing Devices	390	LF	\$ 45.00	\$ 17,550.00
130	1150	Flagger	500	DAY	\$ 300.00	\$ 150,000.00
131	1160	Temporary Crash Cushions	2	EA	\$ 10,000.00	\$ 20,000.00
132	1160	Remove and Reset Temporary Crash Cushions	2	EA	\$ 2,700.00	\$ 5,400.00
133	1170	Portable Concrete Barrier (Unanchored)	400	LF	\$ 37.00	\$ 14,800.00

Line						
Item	Sec No	Pay Item	Quantity	Unit	Unit Price	Amount
134	1170	Portable Concrete Barrier (Anchored)	630	LF	\$ 50.00	\$ 31,500.00
135	1170	Remove and Reset Portable Concrete Barrier (Anchored)	1000	LF	\$ 10.00	\$ 10,000.00
136	SP	Temporary Curb Ramp	6	EA	\$ 2,250.00	\$ 13,500.00
137	1180	Skinny Drums	360	EA	\$ 55.00	\$ 19,800.00
138	1205	Thermoplastic Pavement Marking Lines (4", 90 Mils)	10505	LF	\$ 1.00	\$ 10,505.00
139	1205	Thermoplastic Pavement Marking Lines (8", 90 Mils)	3740	LF	\$ 2.25	\$ 8,415.00
140	1205	Thermoplastic Pavement Marking Lines (12", 90 Mils)	160	LF	\$ 6.00	\$ 960.00
141	1205	Thermoplastic Pavement Marking Lines (24", 90 Mils)	1415	LF	\$ 16.00	\$ 22,640.00
142	1205	Thermoplastic Pavement Marking Characters (90 Mils)	6	EA	\$ 200.00	\$ 1,200.00
143	1205	Thermoplastic Pavement Marking Symbols (90 Mils)	117	EA	\$ 250.00	\$ 29,250.00
144	1205	Paint Pavement Marking Lines (4", 90 Mils)	111500	LF	\$ 0.30	\$ 33,450.00
145	1205	Paint Pavement Marking Lines (8", 90 Mils)	8950	LF	\$ 0.80	\$ 7,160.00
146	1205	Paint Pavement Marking Lines (24", 90 Mils)	3900	LF	\$ 3.25	\$ 12,675.00
147	1205	Paint Pavement Marking Symbols	125	EA	\$ 45.00	\$ 5,625.00
148	1205	Paint Pavement Marking Characters	25	EA	\$ 45.00	\$ 1,125.00
149	1205	Removal of Pavement Marking Lines (4")	44000	LF	\$ 0.30	\$ 13,200.00
150	1205	Removal of Pavement Marking Lines (8")	1750	LF	\$ 0.60	\$ 1,050.00
151	1205	Removal of Pavement Marking Lines (24")	1100	LF	\$ 3.50	\$ 3,850.00
152	1205	Removal of Pavement Marking Symbols and Characters	58	EA	\$ 30.00	\$ 1,740.00
153	1251	Temporary Raised Pavement Markers	1100	EA	\$ 8.00	\$ 8,800.00
154	1253	Snowplowable Raised Pavement Markers	420	EA	\$ 45.00	\$ 18,900.00
155	1266	Tubular Markers (Fixed)	15	EA	\$ 45.00	\$ 675.00
156	PSP	Acer rubrum 'October Glory'	5	EA	\$ 800.00	\$ 4,000.00
157	PSP	Cercis canadensis	44	EA	\$ 500.00	\$ 22,000.00
158	PSP	Azalea x 'Autumn Angel'	15	EA	\$ 40.00	\$ 600.00
159	PSP	Buddleja x 'SMNBDPT' TM	55	EA	\$ 60.00	\$ 3,300.00
160	PSP	Ilex glabra 'Shamrock'	84	EA	\$ 60.00	\$ 5,040.00
161	PSP	Echinacea x 'Powwow Wild Berry'	1000	EA	\$ 15.00	\$ 15,000.00
162	PSP	Carex divulsa	1100	EA	\$ 15.00	\$ 16,500.00
163	PSP	Rudbeckia fulgida 'Goldstrum'	1241	EA	\$ 15.00	\$ 18,615.00
164	PSP	Andropogon virginicus	1160	EA	\$ 20.00	\$ 23,200.00
165	PSP	Muhlenbergia capillaris	1568	EA	\$ 20.00	\$ 31,360.00
166	PSP	Deschampsia cespitosa 'Goldtau'	1924	EA	\$ 15.00	\$ 28,860.00
167	PSP	Panicum virgatum 'Northwind'	1056	EA	\$ 20.00	\$ 21,120.00
168	PSP	Schizachyrium scoparium	922	EA	\$ 15.00	\$ 13,830.00
169	PSP	Cynodon dactylon 'Tif 19'	11862	SY	\$ 20.00	\$ 237,240.00
170	PSP	Sod (Contractor Shall Match Species of Existing Adjacent Sod)	2440	SY	\$ 20.00	\$ 48,800.00
171	PSP	Seed & Mulching (See Roadway Plans for Seed Schedule)	4.1	ACR	\$ 7,300.00	\$ 29,930.00
172	PSP	Hardwood Mulch	525	CY	\$ 80.00	\$ 42,000.00
173	PSP	Topsoil	4,600	CY	\$ 70.00	\$ 322,000.00
174	PSP	Soil Amendments	2,550	CY	\$ 70.00	\$ 178,500.00
175	PSP	One-Year Landscape Establishment	1	LS	\$ 40,000.00	\$ 40,000.00
176	1510	6" Water Line	60	LF	\$ 100.00	\$ 6,000.00
177	1510	8" Water Line	75	LF	\$ 140.00	\$ 10,500.00
178	1510	12" Water Line	681	LF	\$ 150.00	\$ 102,150.00
179	1510	16" Water Line	2153	LF	\$ 170.00	\$ 366,010.00
180	1510	20" HDPE Water Line	686	LF	\$ 130.00	\$ 89,180.00
181	1510	Ductile Iron Water Pipe Fittings	17700	LB	\$ 9.50	\$ 168,150.00
182	1515	6" Valve	6	EA	\$ 1,900.00	\$ 11,400.00
183	1515	12" Valve	3	EA	\$ 4,300.00	\$ 12,900.00
184	1515	16" Valve	7	EA	\$ 10,500.00	\$ 73,500.00
185	1515	Air Release Valve (Sanitary)	1	EA	\$ 10,000.00	\$ 10,000.00
186	1515	Air Release Valve (Potable Water)	1	EA	\$ 8,500.00	\$ 8,500.00
187	1515	5/8" Water Meter	1	EA	\$ 2,500.00	\$ 2,500.00
188	1515	Relocate Water Meter	12	EA	\$ 1,550.00	\$ 18,600.00
189	1515	Relocate 1" RPZ BFPA	1	EA	\$ 2,000.00	\$ 2,000.00
190	1515	Fire Hydrant	8	EA	\$ 4,200.00	\$ 33,600.00
191	1515	Fire Hydrant Leg	187	LF	\$ 100.00	\$ 18,700.00
192	1515	16" Line Stop w/ Bypass	2	EA	\$ 47,000.00	\$ 94,000.00
193	1515	Water Service Line	616	LF	\$ 50.00	\$ 30,800.00
194	SP	8" Insertion Valve	2	EA	\$ 12,000.00	\$ 24,000.00
195	SP	12" Insertion Valve	4	EA	\$ 18,000.00	\$ 72,000.00
196	SP	16" Insertion Valve	1	EA	\$ 25,000.00	\$ 25,000.00
197	1520	8" Sanitary Gravity Sewer	1001	LF	\$ 130.00	\$ 130,130.00
198	1520	16" Force Main Sewer	4134	LF	\$ 240.00	\$ 992,160.00
199	1520	Sanitary Sewer Cleanout	5	EA	\$ 1,500.00	\$ 7,500.00
200	1520	Sewer Service Line	493	LF	\$ 40.00	\$ 19,720.00
201	1520	Ductile Iron Sewer Pipe Fittings	6300	LB	\$ 10.00	\$ 63,000.00
202	1530	Abandon 21" Utility Pipe	200	LF	\$ 40.00	\$ 8,000.00
203	1520	21" Sanitary Gravity Sewer	65	LF	\$ 230.00	\$ 14,950.00
204	1525	4' Dia Utility MH	7	EA	\$ 2,700.00	\$ 18,900.00

Line							
Item	Sec No	Pay Item	Quantity	Unit	Unit Price	Amount	
205	1525	5' Dia Utility MH	3	EA	\$ 5,000.00	\$ 15,000.00	
206	1525	4' Dia MH Wall	44	LF	\$ 335.00	\$ 14,740.00	
207	1525	5' Dia MH Wall	20	LF	\$ 400.00	\$ 8,000.00	
208	1530	Abandon 6" Utility Pipe	60	LF	\$ 10.00	\$ 600.00	
209	1530	Abandon 8" Utility Pipe	984	LF	\$ 12.00	\$ 11,808.00	
210	1530	Abandon 12" Utility Pipe	974	LF	\$ 13.00	\$ 12,662.00	
211	1530	Abandon 16" Utility Pipe	6119	LF	\$ 16.00	\$ 97,904.00	
212	1530	Remove Fire Hydrant	7	EA	\$ 1,100.00	\$ 7,700.00	
213	1530	Abandon Utility Manhole	9	EA	\$ 1,800.00	\$ 16,200.00	
214	1540	18" Steel Encasement	62	LF	\$ 120.00	\$ 7,440.00	
215	1540	30" Steel Encasement	47	LF	\$ 210.00	\$ 9,870.00	
216	1550	Bore & Jack of 18"	62	LF	\$ 370.00	\$ 22,940.00	
217	1550	Bore & Jack of 30"	47	LF	\$ 450.00	\$ 21,150.00	
218	1550	Directional Drilling of 20"	686	LF	\$ 430.00	\$ 294,980.00	
219	1605	Temporary Silt Fence	17385	LF	\$ 3.00	\$ 52,155.00	
220	SP	Tree Protection Fence	6510	LF	\$ 3.00	\$ 19,530.00	
221	1610	Erosion Control Stone, Class A	450	TON	\$ 50.00	\$ 22,500.00	
222	1610	Erosion Control Stone, Class B	670	TON	\$ 50.00	\$ 33,500.00	
223	1610	Sediment Control Stone	1345	TON	\$ 40.00	\$ 53,800.00	
224	1615	Temporary Mulching	17.5	ACR	\$ 1,400.00	\$ 24,500.00	
225	1620	Seed for Temporary Seeding	1700	LB	\$ 4.00	\$ 6,800.00	
226	1620	Fertilizer for Temporary Seeding	10.5	TON	\$ 1,100.00	\$ 11,550.00	
227	1622	Temporary Slope Drains	200	LF	\$ 25.00	\$ 5,000.00	
228	1630	Silt Excavation	1600	CY	\$ 15.00	\$ 24,000.00	
229	1631	Matting for Erosion Control	24300	SY	\$ 1.30	\$ 31,590.00	
230	SP	Coir Fiber Mat	100	SY	\$ 10.00	\$ 1,000.00	
231	1632	1/4" Hardware Cloth	3895	LF	\$ 6.00	\$ 23,370.00	
232	SP	15" Temporary Pipe	330	LF	\$ 60.00	\$ 19,800.00	
233	SP	18" Temporary Pipe	50	LF	\$ 65.00	\$ 3,250.00	
234	SP	30" Temporary Pipe	16	LF	\$ 80.00	\$ 1,280.00	
235	SP	36" Temporary Pipe	30	LF	\$ 90.00	\$ 2,700.00	
236	1639	Special Stilling Basins	22	EA	\$ 600.00	\$ 13,200.00	
237	SP	Wattle	50	LF	\$ 6.00	\$ 300.00	
238	SP	Polycrylamide (PAM)	50	LB	\$ 15.00	\$ 750.00	
239	SP	Standard Inlet Protection (6.51)	5	EA	\$ 450.00	\$ 2,250.00	
240	SP	Permanent Soil Reinforcement Mat	1330	SY	\$ 7.00	\$ 9,310.00	
241	1640	Coir Fiber Baffle	295	LF	\$ 6.00	\$ 1,770.00	
242	SP	1-1/2" Skimmer	6	EA	\$ 1,000.00	\$ 6,000.00	
243	SP	2-1/2" Skimmer	0	EA	\$ 1,200.00	\$ -	
244	1660	Seeding and Mulching	24	ACR	\$ 2,600.00	\$ 62,400.00	
245	1660	Mowing	15	ACR	\$ 150.00	\$ 2,250.00	
246	1661	Seed for Repair Seeding	225	LB	\$ 10.00	\$ 2,250.00	
247	1661	Fertilizer for Repair Seeding	0.5	TON	\$ 1,200.00	\$ 600.00	
248	1662	Seed for Supplemental Seeding	550	LB	\$ 5.00	\$ 2,750.00	
249	1665	Fertilizer Topdressing	16.5	TON	\$ 1,100.00	\$ 18,150.00	
250	SP	Impervious Dike	251	LF	\$ 90.00	\$ 22,590.00	
251	SP	Response for Erosion Control	15	EA	\$ 5,000.00	\$ 75,000.00	
252	SP	Concrete Washout Structure	6	EA	\$ 1,200.00	\$ 7,200.00	
253	SP	Temporary Shoring	2500	SF	\$ 55.00	\$ 137,500.00	
254	1705	Pedestrian Signal Head (16", 1 Section with Countdown)	9	EA	\$ 1,100.00	\$ 9,900.00	
255	1705	Signal Cable	3700	LF	\$ 4.00	\$ 14,800.00	
256	1705	Vehicle Signal Head (12", 3 Section)	12	EA	\$ 900.00	\$ 10,800.00	
257	1705	Vehicle Signal Head (12", 4 Section)	3	EA	\$ 1,100.00	\$ 3,300.00	
258	1710	Messenger Cable (3/8")	220	LF	\$ 5.00	\$ 1,100.00	
259	1715	Tracer Wire	8445	LF	\$ 1.25	\$ 10,556.25	
260	1715	Paved Trenching (2 Conduits, 2 Inch)	350	LF	\$ 23.00	\$ 8,050.00	
261	1715	Unpaved Trenching (2 Conduits, 2 Inch)	4582	LF	\$ 11.00	\$ 50,402.00	
262	1715	Directional Drill (2 Conduits, 2 Inch)	3655	LF	\$ 23.00	\$ 84,065.00	
263	1716	Junction Box (Standard Size)	6	EA	\$ 350.00	\$ 2,100.00	
264	1716	Junction Box (Over-Sized, Heavy Duty)	2	EA	\$ 750.00	\$ 1,500.00	
265	1720	Wood Pole	3	EA	\$ 1,500.00	\$ 4,500.00	
266	1721	Guy Assembly	4	EA	\$ 500.00	\$ 2,000.00	
267	1722	2" Riser with Weatherhead	2	EA	\$ 700.00	\$ 1,400.00	
268	1725	Inductive Loop Sawcut	1270	LF	\$ 7.00	\$ 8,890.00	
269	1726	Lead-In Cable (14-2)	4070	LF	\$ 2.00	\$ 8,140.00	
270	SP	Site Survey	1	EA	\$ 500.00	\$ 500.00	
271	SP	Luminaire Arm for Video System	4	EA	\$ 500.00	\$ 2,000.00	
272	SP	Camera With Internal Loop Emulator Processing Unit	4	EA	\$ 3,500.00	\$ 14,000.00	
273	SP	Relocate Camera Sensor Unit	2	EA	\$ 2,000.00	\$ 4,000.00	
274	1730	Communications Cable (48 Fiber)	9672	LF	\$ 4.00	\$ 38,688.00	
275	1730	Communications Cable (288 Fiber)	6975	LF	\$ 5.00	\$ 34,875.00	

Line						
Item	Sec No	Pay Item	Quantity	Unit	Unit Price	Amount
Line						
Item	Sec No	Item Description	Quantity	Unit	Unit Price	Amount
321	1515	20" Plug Valve	1	EA	\$ 20,000.00	\$ 20,000.00
322	1520	16" Force Main Sewer	-3955	LF	\$ 240.00	\$ (949,200.00)
323	1520	20" Force Main Sewer	3955	LF	\$ 260.00	\$ 1,028,300.00
324	1520	Ductile Iron Sewer Pipe Fittings	4200	LB	\$ 10.00	\$ 42,000.00
		10% Contingency	1	LS	\$ 14,110.00	\$ 14,110.00
TOTAL ALTERNATE BID UC2						\$ 155,210.00
BID ALTERNATE UC3 - TEMPORARY WATER LINE CONNECTION OF -W5-						
Line						
Item	Sec No	Item Description	Quantity	Unit	Unit Price	Amount
325	1510	12" Water Line	34	LF	\$ 150.00	\$ 5,100.00
326	1510	Ductile Iron Water Pipe Fittings	1000	LB	\$ 9.50	\$ 9,500.00
327	1515	12" Tapping Sleeve & Valve	1	EA	\$ 12,000.00	\$ 12,000.00
328	SP	Abandon Temporary Connection	1	LS	\$ 2,000.00	\$ 2,000.00
		10% Contingency	1	LS	\$ 2,860.00	\$ 2,860.00
TOTAL ALTERNATE BID UC3						\$ 31,460.00
BID ALTERNATE UC4 - LONG SANITARY SEWER BYPASS						
Line						
Item	Sec No	Item Description	Quantity	Unit	Unit Price	Amount
329	SP	Generic Utility Item - Long Term SS Bypass	120	DAY	\$ 1,335.00	\$ 160,200.00
		10% Contingency	1	LS	\$ 16,020.00	\$ 16,020.00
TOTAL ALTERNATE BID UC4						\$ 176,220.00

LETTER OF RECOMMENDATION FOR BID AWARD

January 20, 2022

Tim Athy, P.E.
Town of Holly Springs
Transportation Engineer
128 S. Main Street
Holly Springs, NC 27540

RE: **U-6243 Holly Springs Road Widening Phase 2 - Recommendation for Award**

Dear Mr. Athy:

On **December 2, 2021**, the Town took bids for the **U-6243 Holly Springs Road Widening Phase 2**. In response to the Invitation to Bid, the Town received bids from **four** contractors. The low bidder **Fred Smith Company, LLC**, submitted a base bid of **\$22,186,104.30**.

Disadvantage Business Enterprises (DBE) Goals for the project were **13%**. **Fred Smith Company, LLC** submitted **DBE** participation of **9.82%**.

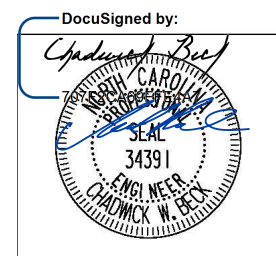
At the time the bids were received, **Kimley-Horn and Associates** checked each bid against the requirements contained in the Project Manual. The bid furnished by **Fred Smith Company, LLC** was determined to meet the requirements for a complete bid submittal.

Bids have also been evaluated for unbalanced bidding. This process included looking at **Fred Smith Company, LLC** unit prices and comparing them against the unit bid prices of the other three bidders. I found no evidence of unbalanced bidding by **Fred Smith Company, LLC**.

The evaluations and checks performed by **Kimley-Horn and Associates** indicate that **Fred Smith Company, LLC** has provided the Town with the lowest bid for its **U-6243 Holly Springs Road Widening Phase 2** project. Additionally, everything we have evaluated indicates that **Fred Smith Company, LLC** is a responsible bidder and that it did make a good faith effort to meet the DBE goals established for this project. Accordingly, it is my recommendation that the Town of Holly Springs award **U-6243 Holly Springs Road Widening Phase 2** project to **Fred Smith Company, LLC**.



Chadwick Beck, PE
Project Manager
Kimley-Horn and Associates, Inc.



1/20/2022



Holly Springs Town Council

Town Council Meeting Agenda Cover Sheet

Agenda Item#: 10.

Unfinished Business

Title: Park Ordinance Amendment Regarding Professional Photography in Public Parks

Strategic Priority Area: Engaged, Healthy, & Active Community

Staff Resource: LeeAnn Plumer, Parks & Recreation

Action(s):

- Adopt Ordinance 22-01 Amending Chapter 10 - Parks and Recreation Ordinance to include provisions for an annual professional photography permit and updated regulations regarding professional photography in public parks.
- Amend the Fee Schedule to add an Annual Professional Photography Permit Fee in the amount of \$100.

Explanation:

- Town parks, especially Bass Lake and Sugg Farm, are highly desired locations for amateur and professional photography. A recent uptick in use and possible violations of the rules by photographers has identified the need to review the current policy.
- An amendment is requested to Chapter 10 Parks and Recreation, Section 10-9 Private For-Profit Activities, to require professional photographers/videographers conducting business in town parks and along greenways to register and obtain an annual photography permit.
- The proposed amendment includes clarifying language regarding lighting and props that are permitted and adds a requirement to remove litter and debris resulting from use. Variations from the list of minor props will require the written approval of the department director.
- Staff does not recommend requiring proof of liability insurance for permitted photographers.
- Enforcement and penalty remedies are also now outlined as part of the ordinance.
- Wake Co, Raleigh, Rolesville, Greensboro and others have similar photography permit requirements.
- The proposed annual permit fee of \$100 is in line with the other jurisdictions noted above. The permit will be valid for one year from the date of purchase. Permits will be sold at Bass Lake Park, the Hunt Center and the Cultural Center.
- A "bag tag" will be issued as the permit and color-coded with a date to easily identify if photographers have a current permit on file.

Background:

- Chapter 10 Parks and Recreation Ordinance, adopted June 2020, section 10-9 Private

Town Council Business Meeting
February 1, 2022

For-Profit Activities, states the following regarding photography in parks: *"Professional and amateur photography is permitted as long as areas are not restricted to general park users. Use of equipment such as props, lights, screens, etc. for photography is not permitted."*

- Both the Town Council and staff received feedback from local photographers to consider changes for more clarity regarding the use of lights and props; and to provide a means for accountability for those who violate park rules during photoshoots.
- The request was originally heard at the January 18, 2022 Town Council meeting and tabled to the February 1, 2022 Town Council meeting to allow the Town Attorney to provide legal advice regarding insurance requirements for photographers.

Funding Source(s):

N/A

Attachment(s):

1. P&R Photography Fee Additions - Effective Jan 18, 2022
2. 22-01 Parks Ordinance amendments

Parks & Recreation Department

Description	Approved Fee FY2021-22	Proposed Fee
Photography Permit		
Annual Photography Permit	\$0	\$100
(valid 1 yr from date of purchase)		

Highlighted Fees are the Proposed Fee changes to go into effect on Jan. 18, 2022.



Ordinance No. 22-01

Date Submitted: February 1, 2022

Date Adopted:

AN ORDINANCE TO AMEND SECTIONS OF THE CODE OF ORDINANCES OF HOLLY SPRINGS, NORTH CAROLINA

NOW THEREFORE, BE IT ORDAINED by the Holly Springs Town Council of the Town of Holly Springs, North Carolina, that the **Code of Ordinances Chapter 10: Parks and Recreation, Section 9 Private** for Profit Activities is amended as follows:

Part 1:

Sec 10 – 9 Private for Profit Activities.

a. Profit making activities for commercial entities or individuals will not be permitted in any public facility or upon park lands with the exception of North Main Athletic Complex unless approved in writing by the director of parks and recreation. Professional and amateur photography is permitted as long as areas are not restricted to general park users. Use of equipment such as props, lights, screens, etc. for photography is not permitted.

b. "No person may take professional photographs or video footage in any town park for a fee without first receiving a permit from the director of Parks and Recreation, or their designee. Permit fees shall be set by the town council in the annual budget ordinance. Failure to obtain a permit shall constitute trespass and subject the photographer or videographer to a fine pursuant to Section 12-352 of the Town Code. The permit shall contain reasonable restrictions to ensure compliance and must contain at least the following restrictions:

1. Work may take place only during park hours
2. Photographers/videographers may not impede the general public's use of the park
3. Hand-held or bodily portable (i.e. tripod, blanket, stool, small chair, etc) props and lighting are permitted. No large props may be used without express prior approval.
4. Photographers/videographers are responsible for litter pick-up and removal of any debris resulting from use.
5. Failure to abide by the permit requirements may result in forfeiture of annual permit.

Part 2: REPEAL OF CONFLICTING ORDINANCES

All ordinances or parts of the Town Code of Ordinances of the Town of Holly Springs conflicting or inconsistent with the provisions of this Ordinance are hereby repealed.

Part 3: SEVERABILITY

If any section, part of a section, paragraph, sentence, clause, phrase, or word of this Ordinance is for any reason held or declared to be unconstitutional, inoperative or void, such holdings shall not affect the remaining portion of this Ordinance and it shall be construed to have been the legislative intent to pass the Ordinance without such unconstitutional, invalid or inoperative part therein, and the remainder of this Ordinance after the exclusion of such part or parts shall be deemed to be held valid as if such part or parts had not been included therein, or if this Ordinance or any of the provisions thereof shall be held

inapplicable to any person, group of persons, property, kind of property, circumstances, or set of circumstances, such holdings shall not affect the applicability thereof to any other person, property or circumstances.

Part 4: INCLUSION IN CODE

It is the intention of the Town Council entered as hereby ordained, that the provisions of this Ordinance shall become and be made part of the Town Code of Ordinances of the Town of Holly Springs, North Carolina; that the Section(s) of this Ordinance may be renumbered or relettered to accomplish such intention, and that the word "Ordinance" may be changed to "Section, or "Article" or other word.

Part 5: EFFECTIVE DATE

The provisions of this ordinance shall become effective November 30, 2021 in accordance with the laws of the State of North Carolina.

Adopted this, the 1st day of February 2022.

Town of Holly Springs by

Sean Mayefskie, Mayor

ATTEST:

Linda McKinney, Town Clerk

