



Wake Forest Board of Commissioners Work Session
Meeting Agenda
December 07, 2021 at 6:00 PM

1. Presentations

- 1.1. Closed Session
- 1.2. Public Hearing on and Consideration of the Northeast Community Plan (CPZ-21-02)
 - [Agenda Summary](#)
 - [Staff Report](#)
 - [Attachment A - Application](#)
 - [Exhibit 1 - Draft Northeast Community Plan](#)
 - [Exhibit 2 - Proposed Draft Northeast Community Plan Revisions.pdf](#)
 - [Attachment B - Ordinance.docx](#)
- 1.3. Consideration of updates to the Town of Wake Forest Record Retention Policy.
 - [Summary_Consideration of updates to the Town of Wake Forest Record Retention Policy.docx](#)
 - [Attachment 1 2021 Records Retention Schedule.pdf](#)
 - [Attachment 2 Digital Records Procedure](#)
 - [Attachment 3 Resolution adopting the 2021 Municipal Retention and Disposition Schedule](#)
- 1.4. Consideration of action regarding updates to the Town of Wake Forest Board of Commissioners Rules of Procedure.
 - [Summary - Resolution to update Rules of Procedure 2021.docx](#)
 - [Attachment 1 Rules of Procedure 2021 Update.pdf](#)
- 1.5. Consideration of action regarding updates to the Code of Ethics for Members of the Advisory Boards, Committees, Commissions, and Board of Commissioners of the Town of Wake Forest.
 - [Summary - Resolution to Approve and Adopt a Code of Ethics for Advisory Boards.docx](#)
 - [Attachment 1 Code of Ethics for Advisory Board Members 2021 Update.pdf](#)

2. Discussion of Monthly Financial Report

- 2.1. Discussion of Monthly Financial Report
[October 31 2021 Financial Summaries.pdf](#)

3. Review of Draft Agenda for Upcoming Regular Meeting

- 3.1. Review of Draft Agenda for Upcoming Regular Meeting
[DRAFT2021Dec21Agenda-2021Nov30..docx](#)

4. Other Business

- 4.1. Consideration of and Public Hearing on Comprehensive Transportation Plan Amendment (CPZ-21-01)
[Summary Sheet](#)
[Staff Report](#)
[Attachment A- Application](#)
[Attachment B- Proposed Changes](#)
[Attachment C- Ordinance](#)
[Exhibit 1- Proposed Maps](#)
[Exhibit 2- Proposed Tables](#)
[Exhibit 3- Proposed Cross-Sections](#)
- 4.2. Consideration of Ordinance Update Amending Town of Wake Forest Code of Ordinances Chapter 26 - Solid Waste
[Chapter 26_Ordinance Update_December 2021 \(003\).docx](#)
[Chapter 26 Code-summary.docx](#)

5. Commissioner Reports

6. Adjournment



Board of Commissioners Work Session Agenda Item Report

Agenda Item No.: 2021-394-

Submitted by: Sherry Scoggins

Submitting Department: Administration

Meeting Date: December 7, 2021

SUBJECT

Closed Session

Recommendation:

NC GS 143-318.11

Item Summary:

ATTACHMENTS

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Board of Commissioners Work Session Agenda Item Report

Agenda Item No.: 2021-359-
Submitted by: Michelle Michael
Submitting Department: Planning
Meeting Date: December 7, 2021

SUBJECT

Public Hearing on and Consideration of the Northeast Community Plan (CPZ-21-02)

Recommendation:

Item Summary:

ATTACHMENTS

- [Agenda Summary](#)
- [Staff Report](#)
- [Attachment A - Application](#)
- [Exhibit 1 - Draft Northeast Community Plan](#)
- [Exhibit 2 - Proposed Draft Northeast Community Plan Revisions.pdf](#)
- [Attachment B - Ordinance.docx](#)

Agenda Item: Public Hearing on and Consideration of the Northeast Community Plan (CPZ-21-02)

Summary: The Town of Wake Forest has changed considerably since the 2007 Northeast Neighborhood Plan was adopted. New growth in recent decades has brought much prosperity to Wake Forest, but it also has presented some challenges. The Northeast Community Plan attempts to offer guidance on how to better navigate emerging challenges and capitalize on the potential opportunities new growth brings. Policy recommendations concerning neighborhood preservation, equitable growth, improved connectivity, and key partnerships are contained within the Plan. Furthermore, these policies have been summarized into direct action items at the end of the document for Plan implementation. Finally, an appendix contains more detailed data and analysis, including a revitalized DuBois Campus concept plan for the heart of the community.

Attachments: See staff report.



Staff Report

Case CPZ-21-02: Northeast Community Plan

Meeting Date	December 7, 2021
Requested Action	Public Hearing on and Consideration of the Northeast Community Plan Update
Case Manager	Michelle Michael, Senior Planner – Historic Preservation
Planning Board Recommendation	The Planning Board unanimously recommended approval of the proposed Plan.

PUBLIC MEETINGS

Public Comment Session	Public Hearing
November 9, 2021	December 7, 2021

CASE INFORMATION

Applicant	Town of Wake Forest 301 S. Brooks Street Wake Forest, NC
<i>See Attachment A for a copy of the application</i>	

CASE SUMMARY

The Northeast Community is Wake Forest's historically African American neighborhood located northeast of Downtown Wake Forest. Settled at the close of the Civil War many residents are descendants of the early families that made it their home. The Town of Wake Forest completed the first Northeast Community Plan in 2007. In mid-2020, the Town embarked on the Northeast Community Update. The firm Rhodeside-Harwell and Associates assembled a team including RKG, Timmons Group, and Public Participation Partners to complete the plan.

The team with assistance from Town Staff assembled an advisory committee made up of neighborhood residents and advocates to guide the plan. The Advisory Committee met four times over the course of the project. A group of stakeholders was also identified. Over 22 stakeholder interviews were conducted. The initial public outreach was in the form of a mailed survey. The survey was mailed to every address in the subject area and every property owner in the subject area. Responses were received from 109 citizens. The second public outreach event consisted of two virtual public workshops that were also televised on Channel 10. An online survey was used also for this event. The draft plan recommendations were provided to the public at an in-person community event in September at the DuBois Campus with over 75 participants.

The following four themes emerged from the existing conditions analysis, community feedback, and review of existing plans and ordinances: Preserve & Protect, Flourish, Connect, and Partner. From these themes, strategies and actions were formulated to accomplish the goals. An implementation matrix with the action item, relevant theme, and timeline is included to provide step-by-step guidance for the Town and the community.

STAFF RECOMMENDATION

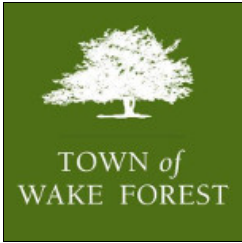
Staff recommends approval of the proposed Northeast Community Plan Update (Exhibit 1) with changes as proposed (Exhibit 2).

ATTACHMENTS

- Attachment A: Application
- Attachment B: Ordinance

EXHIBIT

- Exhibit 1: Draft Northeast Community Plan
- Exhibit 2: Proposed Draft Northeast Community Plan Revisions



Comprehensive Plan Amendment

Comp Plan Amendment

Town of Wake Forest, NC

301 S. Brooks St.

Wake Forest, NC 27587-2932

TEL (919) 435-9510 | FAX (919) 435-9539

Project Overview

#648931

Project Title: Northeast Community Plan Update

Jurisdiction: Town of Wake Forest (Wake County)

Application Type: Comprehensive Plan Amendment

State: NC

Workflow: Comp Plan Amendment

County: Wake

Checklist - Comprehensive Plan & UDO Amendment

A submittal checklist is available to view additional documents which are required to submitted with this application. After answering the application questions, you will be asked to upload the required documents.

[VIEW COMPREHENSIVE PLAN & UDO AMENDMENT
SUBMITTAL CHECKLIST](#)

Missing items will result in the application being declined and returned to the applicant to resubmit. A revised and complete application including all missing items must be received or the application will be not be deemed complete and routed for review.

Please confirm you have reviewed the associated submitted checklist for this permit and confirm you will submit all documents required on the submittal checklist: Yes

Data - Basic Location

If your Comprehensive Plan Amendment is associated with specific property(s) please answer the following questions. If not, proceed to the next page.

Project/Development Name: Northeast Community Plan Update

submittal. Please return to the home screen and select **Annexation Petition** from the application type drop down.

Land Use:

Acreage:

GIS Acreage:

Project Contact - Applicant/Owner

Please enter all project contacts related to your application.

This is an important step to ensure all members of the applicant team receive email notifications associated with the project which may include comments, requested revisions, scheduled meetings or hearings, and final decisions. This also informs Town staff of the team members assigned role with the project.

Project Contact - Applicant

Courtney Tanner
Town of Wake Forest
401 Elm Avenue
Wake Forest, NC 27587
P:(919) 435-9536
ctanner@wakeforestnc.gov

Amendment Type

Please answer the below questions to provide reviewers an overview of the application. Additional information may also be provided through uploading an attachment.

Plan Being Amended: Northeast Area Plan

Type of Amendment:

Description of Request:

Text, Map

Update the entire plan to reflect current community conditions.

NORTHEAST COMMUNITY PLAN

Our neighborhood. Our vision.



TOWN of
WAKE FOREST

DRAFT: NOVEMBER 2021



TOWN of
WAKE FOREST

ACKNOWLEDGMENTS

BOARD OF COMMISSIONERS

Mayor Vivian Jones
Jim Dyer
Chad Sary
Liz Simpers
Bridget Wall-Lennon
Adam Wright

PLANNING BOARD

Colleen Sharpe
Karin Kuropas
Christopher Joyner
Joe Kimray
Thomas Ballman
Michael Siderio
Michael Hickey

TOWN ADMINISTRATION & DEPARTMENTS

Administration
Planning
Economic Development
Downtown Development
Parks, Recreation and Cultural Resources
Public Works

STAKEHOLDERS

Advisory Group

Stakeholder Group (Representatives from Town Departments, Wake County, Religious Institutions, Northeast Community Coalition, and neighborhood groups)

CONSULTANT TEAM

RHI
RKG
Timmons Group
Public Participation Partners (P3)

THANKS TO ALL COMMUNITY MEMBERS WHO PARTICIPATED AND CONTRIBUTED TO THE PLANNING PROCESS!

TABLE OF CONTENTS

1. EXISTING CONDITIONS	5
1.A BACKGROUND	5
1.B STUDY AREA AND PLAN GOALS	6
1.C STUDY AREA TODAY	8
1.C.1 HISTORIC RESOURCES, LAND USE, REGULATORY FRAMEWORK, COMMUNITY FACILITIES, DEVELOPMENT	10
1.C.2 CONNECTIVITY	20
1.C.3 NATURAL RESOURCES & OPEN SPACES	22
1.D DEMOGRAPHICS AND HOUSING ANALYSIS	24
1.E REAL ESTATE MARKET ANALYSIS	32
1.F EXISTING PLANS AND RELEVANT RECOMMENDATIONS	36
1.G PUBLIC PARTICIPATION AND FEEDBACK	40
 2. PLAN RECOMMENDATIONS	 55
2.A THEMES AND RECOMMENDATIONS	55
2.B FUTURE LAND USE MAP	78
 3. IMPLEMENTATION	 85
3.A IMPLEMENTATION MATRIX	86
 4. APPENDICES	 93
4.A ADDITIONAL DEMOGRAPHICS AND HOUSING ANALYSIS	94
4.B ADDITIONAL REAL ESTATE MARKET ANALYSIS	104
4.C DUBOIS CAMPUS CONCEPT	124



EXISTING CONDITIONS

1.A BACKGROUND

The Northeast Community is a well-established neighborhood in the Town of Wake Forest. Located just north of Downtown Wake Forest, the neighborhood is one of the Town's oldest and has a long and vibrant history. The neighborhood was founded by formerly enslaved African Americans after the Civil War and remains a predominantly African American community today.

As the Town of Wake Forest grows and evolves, the Northeast Community will play a significant role in its future. This document is intended to serve as a community plan to guide the growth of the Northeast Community. This first section of this Plan provides an overview of the area's existing conditions, as well as the communities needs and desires, as collected through a robust community outreach program and through extensive physical mapping.

For additional history and context, please visit the [Town Website](#) and view the [Northeast Community Storymap](#).

THE NORTHEAST COMMUNITY PLAN & THE TOWN OF WAKE FOREST COMMUNITY PLAN

The Northeast Community Plan is closely linked to the Town of Wake Forest Community Plan. While the Town of Wake Forest Community Plan provides larger scale and overarching recommendations, the Northeast Community Plan provides a more fine grained and focused approach for addressing current and future plans for the neighborhood. The Town of Wake Forest Community Plan will acknowledge the Northeast Community Plan's recommendations as a part of the overall plan to enrich the Town's broader strategies for the future.



1.B STUDY AREA AND PLAN GOALS

The Northeast Community is located in the northeast quadrant of the Town of Wake Forest and comprises over 315 acres and more than 700 parcels. The Northeast Community Plan will provide direction and guidance for the future development of, and improvements to, the entire Northeast Community as it continues to play a significant role in the future of Wake Forest.

THE STUDY AREA

The Northeast Community is a significant historic core neighborhood for Wake Forest. Settled after the Civil War, the Community established itself as a vibrant center of African American culture and tradition. Many of the neighborhood's families can trace their roots back to the original families who settled the area.

The neighborhood abuts the downtown commercial area. It is bordered by E. Roosevelt Avenue/Wait Avenue to the south and N. White Street to the west. Ailey Young Park marks the eastern boundary of the study area (see [Figure 1.B.1](#)).

The neighborhood has a rich history, with several active historic churches including the Olive Branch and Spring Street Presbyterian churches. The neighborhood is home to the former Wake Forest Normal and Industrial School, the first private school in the Town for African American children. Founded by noted local residents Allen Young and Nathaniel Mitchell, the school provided rich educational opportunities for the area's residents. The Neighborhood also contains the site of the former W.E.B. DuBois school, a local school that provided public education for the area's African American children.

PLAN GOALS

- Create a cohesive and workable plan that embraces the Neighborhood's history and community.
- Enhance and protect the quality of life in the community.
- Evaluate current conditions within the Northeast Community and understand the impact of current and future land uses, development, connectivity changes, and related factors.
- Address local economic conditions and create a platform to encourage local services and jobs.
- Provide specific goals and actions to achieve a unified neighborhood vision.

STUDY AREA MAP

FIGURE: 1.B.1

1



1.C THE STUDY AREA TODAY

The Northeast Community is a product of historic development patterns, resources, policies, and planning efforts. To achieve an inclusive understanding of the community, a comprehensive review of land use, regulatory frameworks, transportation assets, previous planning efforts, community amenities, historic resources, and environmental concerns was undertaken. This information is summarized below.

1.C.1 HISTORIC RESOURCES, LAND USE, RESIDENTIAL CHARACTER ZONING, COMMUNITY FACILITIES, DEVELOPMENT ACTIVITY

HISTORIC RESOURCES

The Northeast Community is bordered by three National Register Historic Districts and one Local Historic District located on the west side of the community (see [Figure 1.C.1a](#)).

- The **Local Historic District** was created in 1979 to preserve an architecturally significant and historic portion of the town. The district is largely located north of the Southeastern Baptist Theological Seminary with a small portion lying to the south.
- The **Glen Royall Mill Village Historic District** was listed in the National Register of Historic Places in 1999. This district includes much of the village that was built around the Royall Cotton Mill.
- The **Downtown Wake Forest Historic District** was listed in the National Register of Historic Places in 2002 and includes several blocks along S. White Street which makes up the Town's historic commercial core.
- The **Wake Forest Historic District** was listed in the National Register of Historic Places in 2003 and contains the former campus of Wake Forest College (current Southeastern Baptist Theological Seminary) and the surrounding areas that make up much of the Town's historic core.

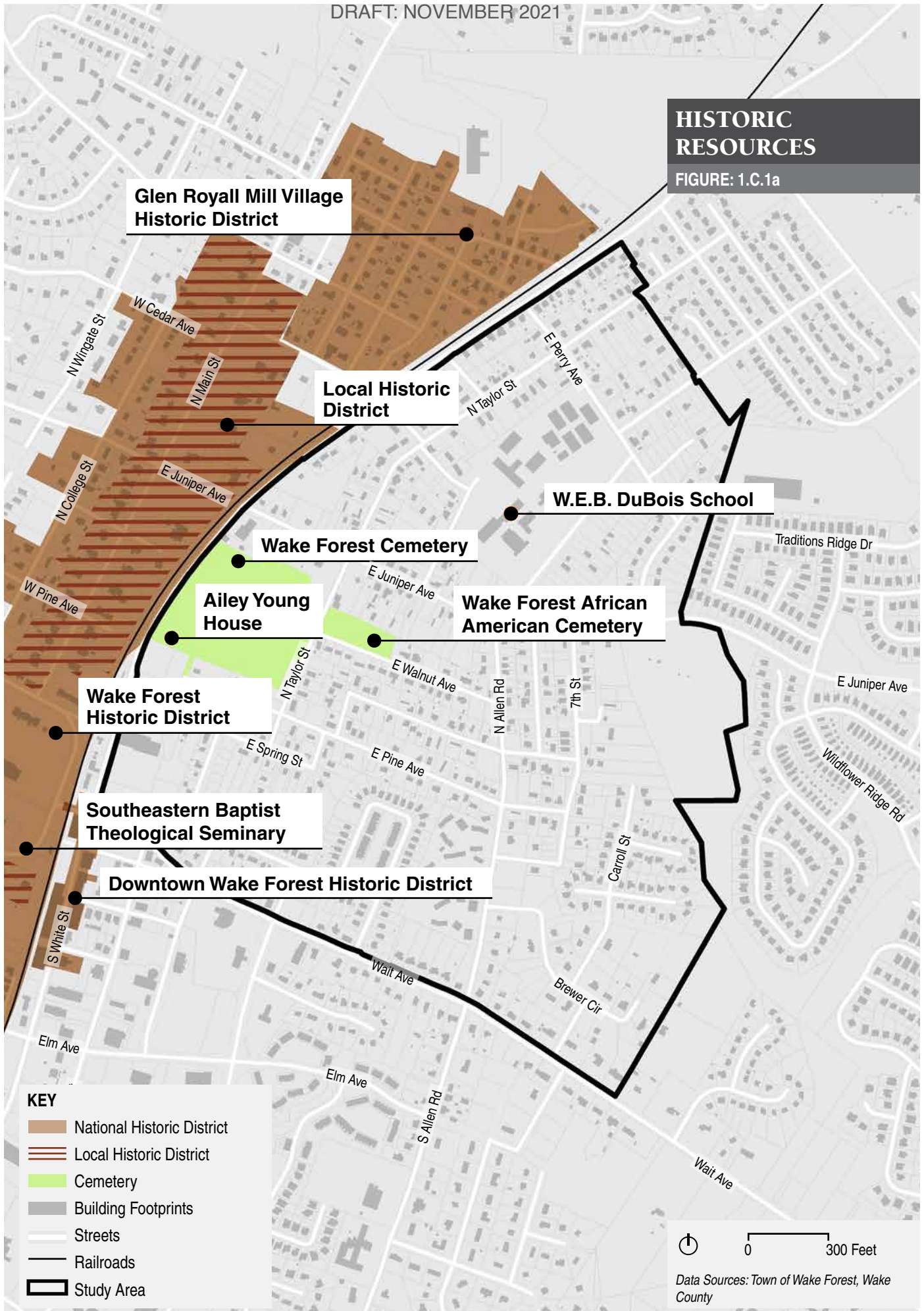
The Northeast Community is home to several historic properties.

- The **Ailey Young House** is considered one of the oldest African American buildings in Wake Forest. Built c.1875, it is a prime example of Reconstruction-era African American housing. Named for Ailey Young, an African American woman and early owner of the property, the house is a vibrant reminder of the Northeast Community's significant history.
- The **W.E.B. DuBois School** was built in the 1920s as a public school for African American children. The DuBois School was integrated in 1971 and became the Wake Forest/Rolesville Middle School. In 1989, the school was closed. The DuBois campus remains a well known and loved historic site.
- The **Olive Branch Baptist Church** has served the Northeast Community since the close of the Civil War and is the oldest continually operating church in the neighborhood. The church and cemetery were added to the North Carolina Study List for the National Register in 2020.
- The **Wake Forest Cemetery & Wake Forest African American Cemetery** are both located along N. White Street in Northeast. The cemeteries are over 100 years old and contain graves of many of Wake Forest's notable residents.

HISTORIC RESOURCES

FIGURE: 1.C.1a

1



LAND USE

The majority of the study area is reserved for residential uses (see [Figure 1.C.1b](#)). The large institutional land use area comprising the W.E.B. DuBois School site is located within the northern half of the study area. There is a small recreation area located at E. Juniper Avenue and N. Taylor Street, and two green spaces which connect 7th Street to Ailey Young Park. It is noted, however, that there is no physical access to the park from these two green spaces on 7th Street. In the southwest corner of the study area, there is a small commercial district bordering N. White Street and E. Roosevelt Avenue.

The Northeast Community promotes a desirable and relatively affordable quality of life, but needs appropriate measures to protect these assets as redevelopment takes place.

Several infill residential lots have been developed recently and many such developments do not align with the historic architectural character of the Northeast neighborhood (architectural style, exterior materials, form, massing, landscape treatments, etc.). As the community develops further, its overall character needs to be preserved. Preservation will necessitate the careful management of both incremental changes and new infill development(s) that continue to occur in the community.

While located close to Downtown, the Northeast Community lacks desirable commercial amenities including healthy food options. Additionally, there is an absence of a sense of place or identity of the existing commercial areas located within the study area.



A residential neighborhood with single-family homes

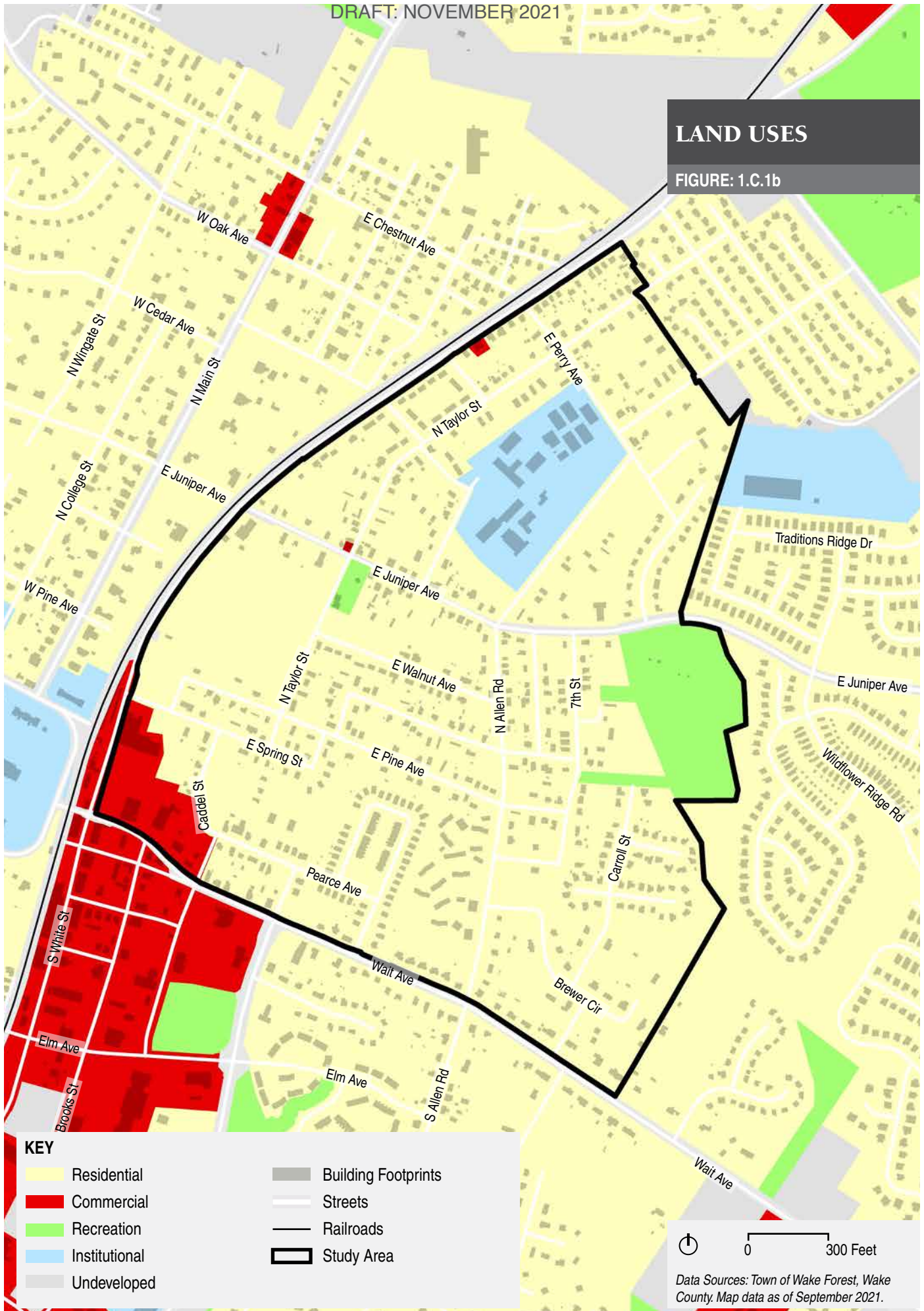


Commercial establishment at the intersection of N White Street and E. Roosevelt Avenue provides convenience amenities to the Northeast Community

LAND USES

FIGURE: 1.C.1b

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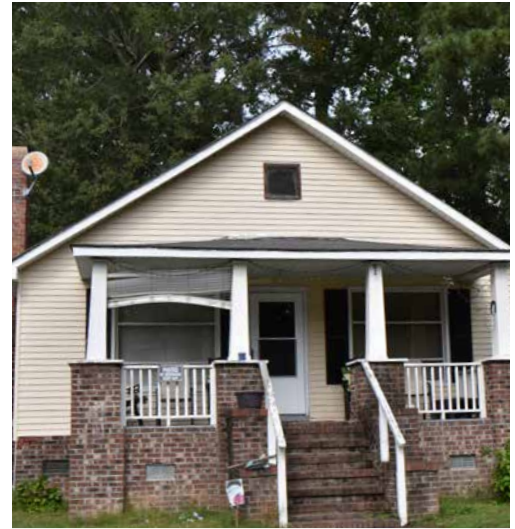


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RESIDENTIAL CHARACTER



Existing single-family home with landscaping and mature trees



Existing craftsman style home



Example of new infill housing beside existing home



Multi-family public housing complex



New infill single-family homes



New single-family homes along Caddel Street by Habitat

COMMERCIAL & INSTITUTIONAL CHARACTER

1



Alston-Massenburg Center provides community gathering amenities



Commercial establishments along E. Roosevelt Avenue



DuBois Center, site of former Rosenwald School and ancillary facilities, is one of the largest sites currently housing primarily institutional uses



Hope House promotes variety of community programs including food drives and mentoring



Downtown is located on the south side of the study area



Shopping center along N. White Street just north of the CVS

ZONING

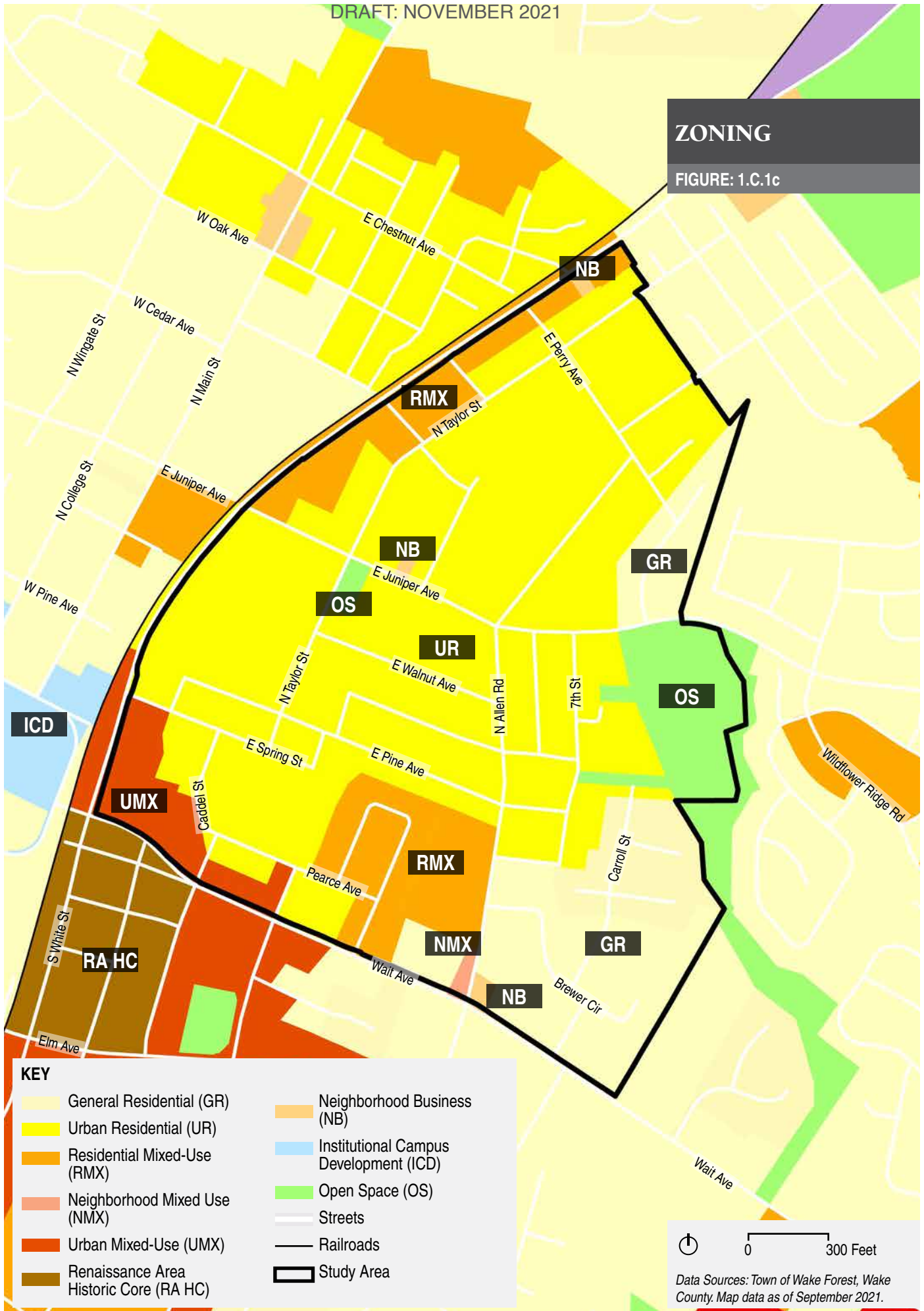
The study area encompasses a variety of zoning designations, with the majority of areas designated residential (see [Figure 1.C.1c](#)).

- Urban Residential (UR) allows for single-family housing, duplexes, small apartment buildings and townhomes. UR covers much of the central portion of the study area.
- Urban Mixed Use (UMX), Residential Mixed Use (RMX), and Neighborhood Business (NB) allow for higher density housing and limited commercial uses. These zones are located along Wait Avenue and Roosevelt Avenue in the southern part of the study area and along N. White Street in the northeastern part of the study area.
- General Residential (GR3 & GR5) zone allow for residential uses and related recreational, religious, and education facilities. This zone serves as a transition between rural and urban developments/character areas. GR is located in the southeastern and northeastern portions of the neighborhood.
- Open Space (OS) preserves and protects environmentally sensitive lands and are under public ownership. OS is located on the eastern side and of the study area, with a small space in the center of the study area.

Currently, as per the Town's regulations, any non- residential uses on residentially-zoned parcels are considered non-conforming. Rezoning is required to add any commercial or institutional development in areas that are zoned for residential use within the study area. An application for rezoning must be submitted to the planning department for consideration. Such rezoning are considered by the Town government based on parcel-specific rezoning application(s).

ZONING

FIGURE: 1.C.1c



COMMUNITY FACILITIES

The study area contains many community facilities including churches, civic organizations, and other community assets (see [Figure 1.C.1d](#)).

Religious Institutions

- Olive Branch Baptist Church
- Faith Tabernacle UHC
- Spring Street Christian Church

Civic Amenities (*providing public gathering and community center functionalities*)

- Alston-Massenburg Center
- Hope House
- Ailey Young Park
- Community Assets
- Ailey Young House
- DuBois Campus

Located immediately outside of the study area are multiple community facilities including:

- Wake Forest Church of God
- Franklin Academy High School
- Glen Royal Baptist Church
- Ailey Young Park
- Southeastern Baptist Theological Seminary
- Downtown Wake Forest
- Wake Forest Historical Museum

While these are, in general, modestly-sized community gathering spaces, there is an opportunity to create a large public gathering space within the Community that can provide both indoor and outdoor events.



Spring Street Christian Church is one of many churches providing services to the community



Taylor Street Park sprayground adjacent to Alston-Massenburg Center



Shelter and outdoor gathering facilities at the Hope House

COMMUNITY FACILITIES

FIGURE: 1.C.1d

1



DEVELOPMENT ACTIVITY

The study area has a small number of active development projects. All these projects represent infill developments within the Neighborhood (see [Figure 1.C.1e](#)). Active projects include:

- Trinity Park- 12 lot, residential development
- Brewer Circle Development- 9 lot, residential development
- Walt Avenue Condos- multi-unit residential complex

In addition, there are a number of active development projects outside of the study area -- most notably the Traditions residential area. Traditions (formally

Traditions West) is a 240- acre, 439 lot residential development which is located on the eastern border of the study area.

While new developments are to be encouraged throughout the Community, attention should be given to promoting those that fit the character and context of the Northeast Community. New developments should also promote affordability and provide amenities that can benefit the Neighborhood's residents at large.



Habitat for Humanity developed single-family homes along Caddel Street



New development signage at Perry Street (northeast of the DuBois Center site)



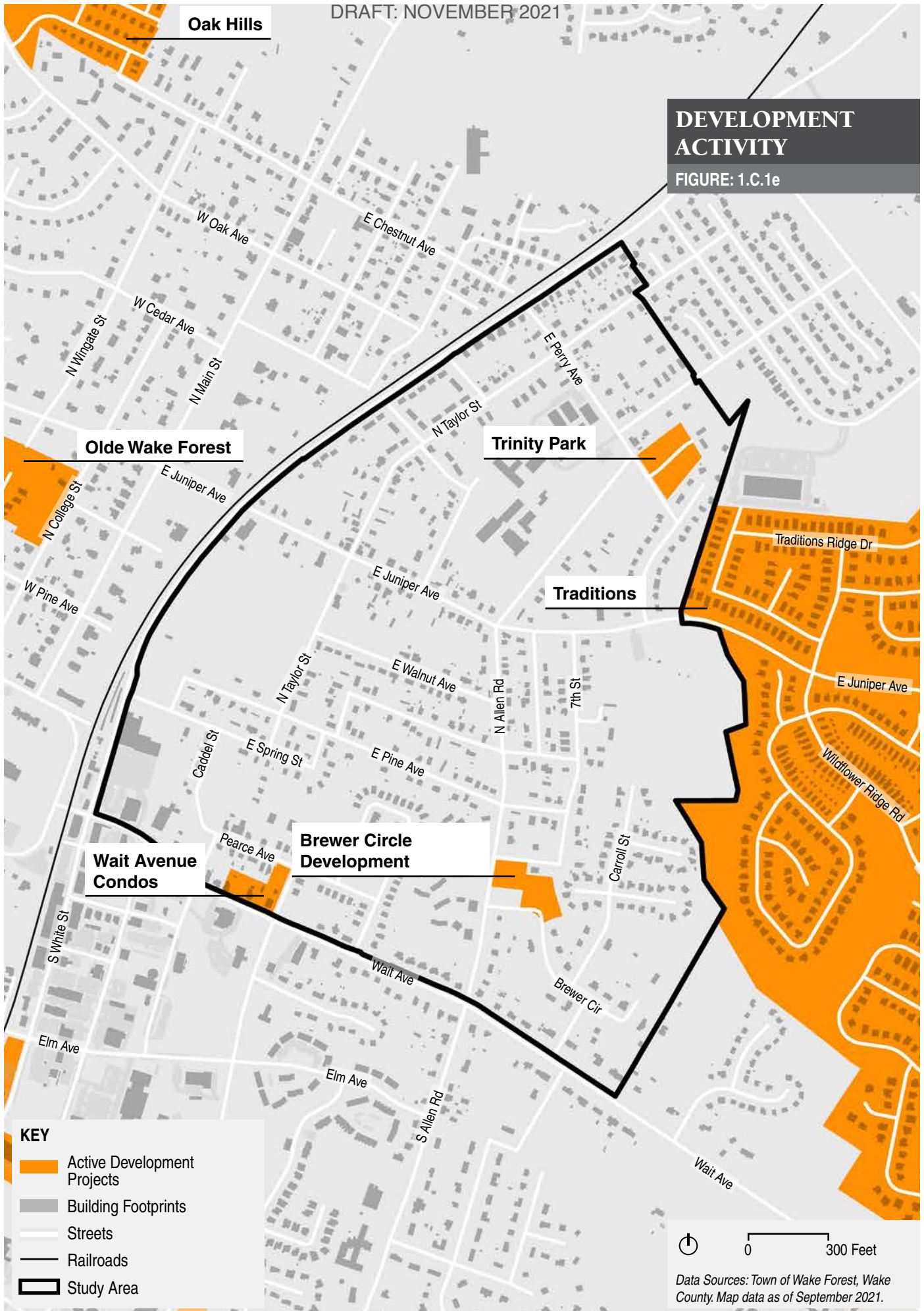
Traditions development located to the east side of the Northeast Community

Oak Hills

DEVELOPMENT ACTIVITY

FIGURE: 1.C.1e

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1.C.2 CONNECTIVITY

CONNECTIVITY

Existing connectivity is limited, particularly in the form of pedestrian and bicycle amenities, throughout the study area (see [Figure 1.C.2](#)). However, the Town has been gradually working on improving the pedestrian and bicycle facilities in the area through the implementation of planned public infrastructure projects, including those recommended in the Town's 2019 Comprehensive Transportation Plan.

- The Wake Forest Loop is the only bus line in the study area. The bus travels along N. White Street, E. Juniper Avenue, N. Allen Road, and Wait Avenue and connects mostly to points south. The loop interchanges with other transit lines along its route, outside of the Northeast Community. This service is free for residents.
- Currently, there are no existing bicycle facilities within the study area. However, there is a proposed bike lane/ sharrow along Wait Avenue on the extreme southern border of the study area. This proposed bicycle facility would

integrate with both existing and planned infrastructure improvements for the area.

- There are no existing greenway/ multi-use paths within the Northeast Community. However, there are planned facilities along E. Juniper Avenue and along N. White Street from E. Juniper Avenue to Royal Mill Avenue. These planned improvements will connect to existing greenway/ multi use paths on E. Juniper Avenue and Royal Mill Avenue. There is also a proposed multi-use path along Wait Avenue at N. Allen Road.

Connectivity in Northeast should be improved through a variety of interventions including new multi-use paths, greenways, and streetscapes. In addition, pedestrian and bicyclist safety should be prioritized with street calming elements and other improvements.



Numerous streets with the study area lack safe/ appropriate pedestrian/ bicycle facilities



Bicycle and pedestrian opportunities are not present on this street

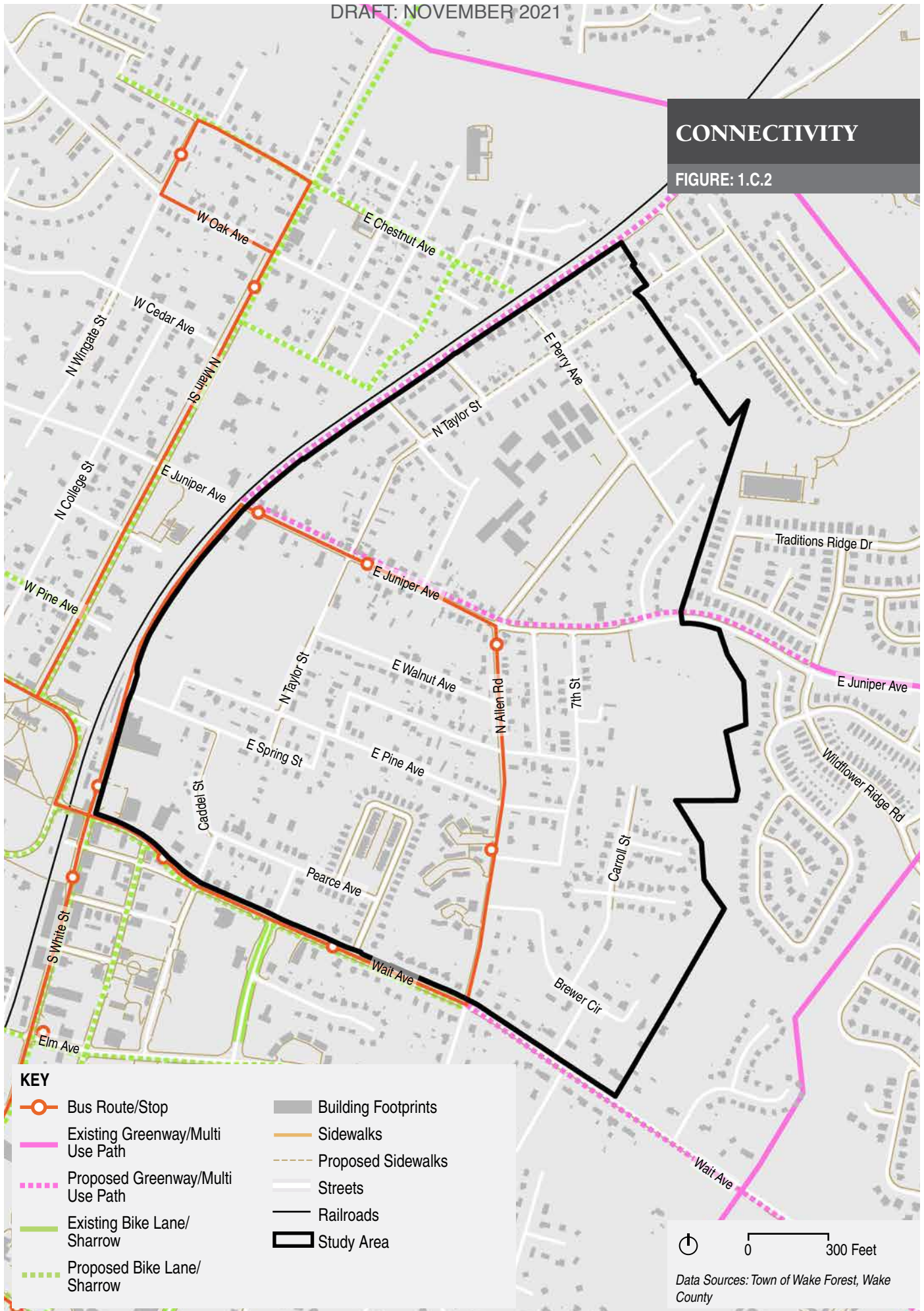


One of the transit stops for the Wake Forest Loop that services the Northeast Community

CONNECTIVITY

FIGURE: 1.C.2

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1.C.3 NATURAL RESOURCES AND OPEN SPACES

NATURAL RESOURCES & OPEN SPACES

The study area has a number of small streams which traverse the area. None of these are noted to be within the 500-year flood plain (see Figure 1.C.3).

The Northeast Community's mature tree canopy and coverage contribute to its character as an attractive and peaceful environment. The canopy is notable on the eastern side of the study area around Ailey Young Park.

Other open spaces in the Neighborhood include the Wake Forest Cemetery, Wake Forest African American Cemetery, Ailey Young Park, and the Taylor Street Park Sprayground (at the Alston-Massenburg Center).

New developments should take into consideration preservation of natural resources and environmentally sensitive areas such as stream corridors, wooded lots and steep slope areas. Additionally, every effort should be made to preserve the Neighborhood's tree canopy, as well as expand it via streetscape improvements.



Ailey Young Park



Community garden on North Taylor Street Christian Church along Spring Street

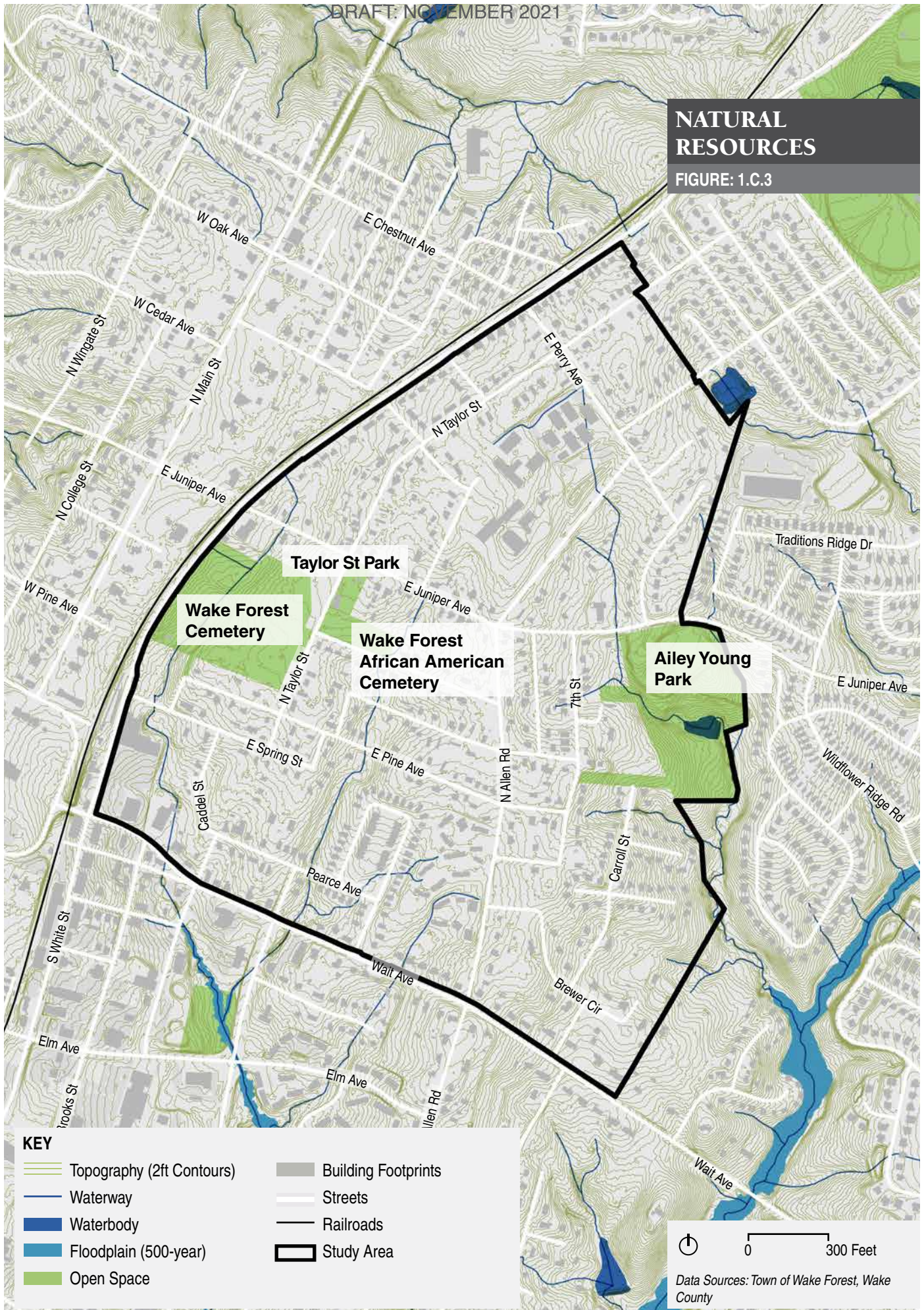


Wake Forest Cemetery

NATURAL RESOURCES

FIGURE: 1.C.3

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1.D DEMOGRAPHIC AND HOUSING ANALYSIS

The demographic trend and projection analysis provides the metrics to better understand the Northeast Community, its economy, and how the community may evolve over the next 10 years. Analysis was conducted of recent demographic trends for the Northeast Community study area, the Town of Wake Forest, and the Raleigh-Cary Metropolitan Statistical Area (MSA) (Figure 1.D.1). This analysis produced a series of findings that identify potential opportunities and constraints that the study area must address as it moves forward with revitalization. The emerging market demand pressures identified in the analysis may reshape the development patterns of the Northeast Community study area and help define a framework for future programs, public investment and land use policies. Major findings, key issues, population and housing trends, as well as implications of the findings are included in this section. For additional demographic and housing data and analysis, please refer to Chapter 4: Appendix.

MAJOR FINDINGS

Demographics

- **Stagnant Growth, Especially Since 2010** – The population gains and household growth in the Northeast Community study area have been falling behind compared to the Town of Wake Forest and the MSA, and have almost plateaued, whereas, the Town has outperformed the MSA in the same metrics since 2010. This seems to suggest that the study area has not been sharing the recovery momentum experienced in the Town as a whole after the last recession of 2009-2010.
- **Distinct Characteristics** – The data suggest that there are more family households in the MSA and the Town, whereas the study area has proportionally younger and smaller households.
- **Racially Diverse Population** – The study area has a diverse population, with a robust representation from the African American population. There is also a sizable White population, which has been declining since 2010. This racial distribution stands in contrast to the Town of Wake Forest demographic in that the percentages of the African American population in the Town and MSA are substantially lower than in the study area.
- **High Education Attainment Levels Stand in Contrast to Modest Household Incomes** – The study area has a high share of the population with at least some college or higher degrees, but it has proportionally more households with lower incomes compared to the Town of Wake Forest and the MSA. This is most likely because in 2020, 66% of the employed population aged 16 and above worked in the service and retail trade industries, which provide lower wages.

Housing

- **Housing Market Echoes the Lull in Growth, While Ownership Increasing** – The increasing homeownership rate in the study area is a positive trend that should be further encouraged as the area builds up household wealth and channels investments to the housing stock and the community.
- **Naturally-Occurring Affordable Housing Could Still Face Challenges** – The study area is comprised predominately of owner-occupied units and the area is still considered affordable in the Wake Forest market. But the household incomes in the study area are still significantly lagging behind the Town of Wake Forest and the MSA. If the housing prices in the study area continue to increase, which is very likely, while the income levels continue to lag behind, then some of the existing naturally-occurring affordable housing will not be affordable anymore.

KEY DEMOGRAPHIC AND HOUSING ISSUES

Issue 1

Population changes in the Northeast Community are stagnating at 0.4% per year over the past decade and household growth may not be sufficient to sustain a healthy, growing community in the future.

- *Market Factors* – The diversity of housing options in the Northeast is limited in terms of housing types, age, and price. This is limiting outside interest in the community as a place to live and is isolating it from growth occurring in other parts of town.
- *Opportunity* – To attract young families and single people, greater housing options are needed. There is an opportunity to offer broader housing types and choices to attract new residents on a modest scale.

Issue 2

There is a mismatch between the education levels of Northeast Community residents and their lower income levels, compared to the Town and MSA. The median household income of \$85,660 in the Town is 1.1 times the MSA level (\$76,960), while the median household income in the study area (\$57,601) is only 67.2% of the Town level in 2020. Roughly 72.2% of Northeast residents have completed at least some college education.

- *Market Factors* – The lack of access to better paying jobs for the Northeast residents keep household income levels lower than their higher education levels would indicate. Also, unemployment levels are higher for younger people under 20 years old suggesting that job training or entrepreneur development may be needed to improve access to higher paying jobs.

- *Opportunity* – Gaining access to better paying jobs may require updated skills, technical certifications, and job training for local residents. The DuBois Campus has a long and proud history of providing education services to local residents, but those services are no longer being offered. In the future, the reestablishment of education and expanded job training programs to locations such as at a renewed DuBois Campus is an achievable goal.

Issue 3

Homes within the Northeast Community are still more modestly priced and affordable than other neighborhoods in the Town, mostly because the homes are older and smaller in size than the rest of Wake Forest. A more diverse housing stock will offer people different housing options at different stages of life. Having more rental options will attract younger households that are not ready to own a home.

- *Market Factors* – Limited new housing development is starting to occur within the Northeast Community at market rate prices that may be beyond local residents' ability-to-pay. New housing priced between \$200,000 and \$300,000 would diversify the study area's housing options and would still be affordable to many local residents.
- *Opportunity* – Local affordable housing developers are actively seeking to acquire land for affordable housing. A public/private development partnership is one way to achieve affordable housing if suitable land can be obtained at reasonable prices.

METHODOLOGY

Study Area Boundaries

The analysis highlighted the recognized Northeast Community study area boundaries as identified by the Town of Wake Forest's Planning Department. This area includes community assets such as the DuBois Campus, the Alston-Massenburg Center, and Ailey Young Park. ESRI Business Analyst is the primary data source, whose data is based on U.S. Census data. It should be noted that some anomalies exist in ESRI's data allocation methods when census block groups are split. The study area boundary does not neatly align with Census block group boundaries, and includes split census block groups. In this case, ESRI creates a centroid in each census block group and attributes all the census data in the block group that contains the centroid. As such, it is possible that though the study area boundary only cuts through a small portion of a block group, the data of that block group is represented in the study area. In another word, it is possible that data is being pulled from adjacent neighborhoods with different characteristics and possibly skewing the numbers. However, RKG was not able to adjust ESRI's data allocation methods.

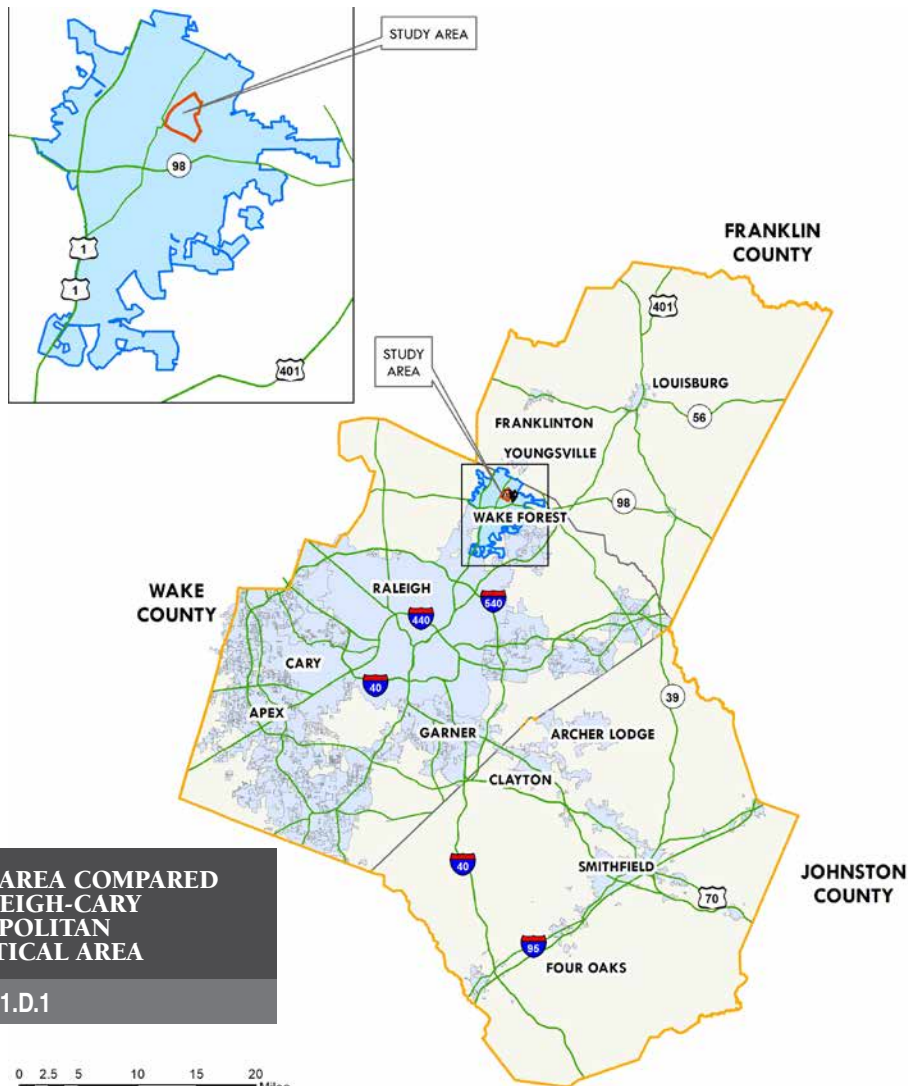
To produce comparative metrics, the Town of Wake Forest and the Raleigh-Cary MSA were also analyzed and are shown in [Figure 1.D.1](#). This expanded regional analysis provides a comparative measuring stick for evaluating the existing conditions and recent trends in the study area.

Studying the broader MSA offers a context for evaluating the demographic changes that are likely to influence and reshape the study area over time. While the Town of Wake Forest is a center of affluence in Wake

County, the Northeast Community falls behind the broader community in certain key metrics such as median household income. However, the Northeast Community can leverage its proximity to Downtown (to the south), the amenities of Ailey Young Park (in the study area), and robust new residential development associated with the Traditions subdivision (located to the north and the east of the study area). As a result, strategic investments and well-crafted public policy should allow the residents of the Northeast Community to better position the community for future growth.

Data Sources

Primary data sources used for this study include demographic information from the U.S. Census Bureau and current estimates and projections from ESRI. ESRI is a nationally recognized third-party data provider that uses U.S. Census data to generate estimates and projections of socioeconomic variables for a range of geographic areas. Note that Census only released the 2020 data in August, 2021, which is prior to when this analysis was conducted.



STUDY AREA COMPARED TO RALEIGH-CARY METROPOLITAN STATISTICAL AREA

FIGURE: 1.D.1

Credit: RKG Associates, Inc., 2021

Visual Summary of Demographics

**Slow Population Gains**

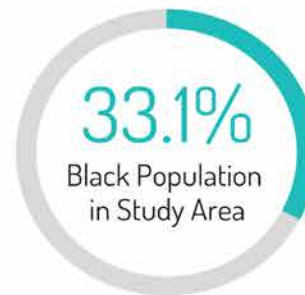
in terms of average annual percent change of population between 2010 and 2020.

**Younger Median Age**

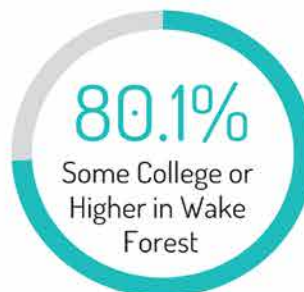
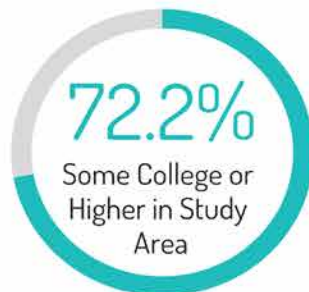
in the Study Area of 32.4 years in 2020, compared to 36.0 in Wake Forest and 36.4 in MSA. The Study Area also has a higher share of young people under 35 and seniors 65+.

**Smaller Household Size**

in the Study Area in 2020. In contrast to the Town and MSA, the average household size in the Study Area has been declining.

**More Diverse Population**

in the Study Area in terms of racial composition, and this is projected to continue through 2025.

**High Education Attainment Levels**

in the Study Area as well as in the Town of Wake Forest compared to the national level.

Study Area

Wake Forest



\$57,601

\$85,660

But Lower Household Incomes

in the Study Area compared to the Town of Wake Forest, suggesting a lack of advanced economic opportunities.

Visual Summary of Housing

Study Area



58.6%

Wake Forest



69.6%

Homeownership Rate

in the Study Area is lower than the Town of Wake Forest, but has been rising since 2010.

Study Area



23.5%

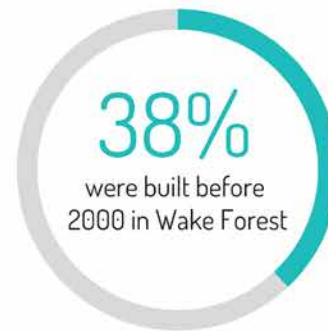
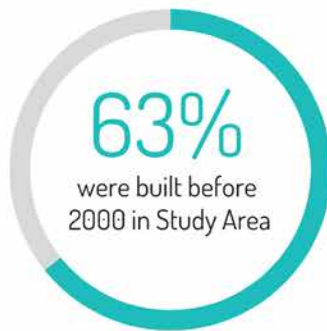
Wake Forest



13.5%

Multi-Unit Structures

with 5 or more units which are usually rental units account for a higher share in the Study Area than Wake Forest.



Older Housing Stock

in the Study Area, as the majority of the housing units were built before 2000, and new housing units built have since been declining.

Study Area



\$212,048

Wake Forest



\$290,886

Lower Median Home Value

in the Study Area which is only 75% of that in Wake Forest in 2020.

Study Area



Wake Forest



Lower Monthly Gross Rent

is more common in the Study Area. It has proportionally more rental units with lower monthly gross rents, with 62.8% requiring rents under \$1,000 versus 38.7% in Wake Forest.

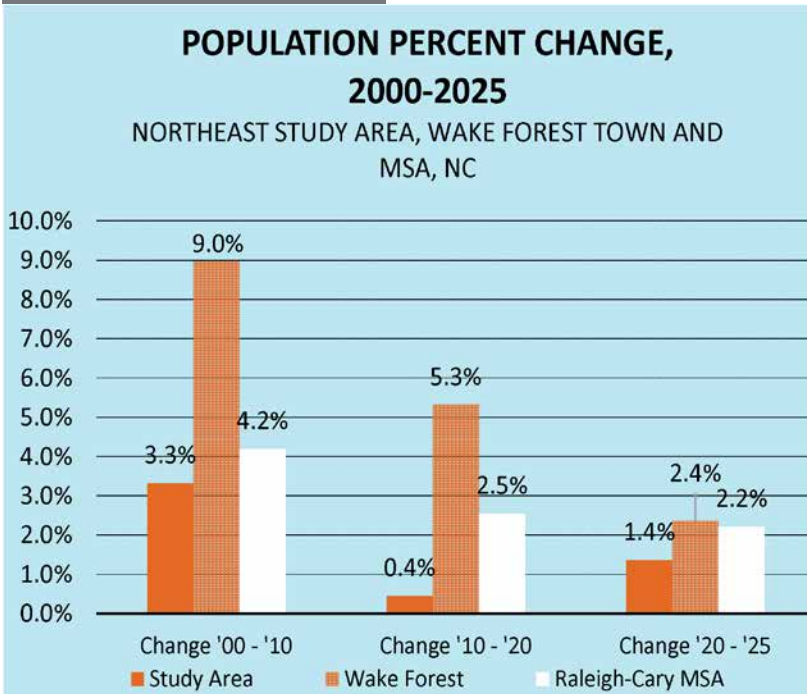
POPULATION

Population Trends (2000-2025)

The Town of Wake Forest has seen robust population growth by 9.0% and 5.3% per year between 2000 and 2010, and between 2010 and 2020 respectively, outperforming the MSA's 4.2% and 2.5% annual gains during the same periods. The Town's population stood at 46,437 in 2020, accounting for 3% of the MSA's population of 1,417,213. The Town added 30,465 people between 2000 and 2020 at an annual rate of 10%, and the MSA saw an actual

growth of 620,165 people at an annual rate of 4.1% during the same two decades. In comparison, the population in the Northeast Community study area grew by only 493 at an annual rate of 2.1% between 2000 and 2020. It has been growing at 3.3% annually between 2000 and 2010, and almost flattened at 0.4% per year since 2010, falling behind both the Town and the MSA. The study area experienced an actual change of 418 people between 2000 and 2010, and merely 75 people between 2010 and 2020. This suggests that the study area, which accounts for 3.8% of the Town's population, has not fully shared the growth in either the Town of Wake Forest or in the MSA. Also, the population growth rates for the MSA, the Town, and the Northeast study area have all been trending downward from a peak in the 2000s. The three geographies are projected to further close their gaps in population gains and stabilize at growth rates between 1.4% and 2.4% per year between 2020 and 2025 (Figure 1.D.2, Table 1.D.1).

FIGURE: 1.D.2



Credit: ESRI and RKG Associates, Inc., 2021

Household Trends

The average household size of 2.56 in the study area was smaller than the Town (2.85 persons) and the MSA at 2.59 persons in 2020. Further, the average household sizes in the Town and the MSA have been increasing, while the opposite is true in the study area, where the average household size has been declining since 2010 (Figure 1.D.3). This suggests that there are larger households in the Town of Wake Forest, whereas the study area is attracting smaller

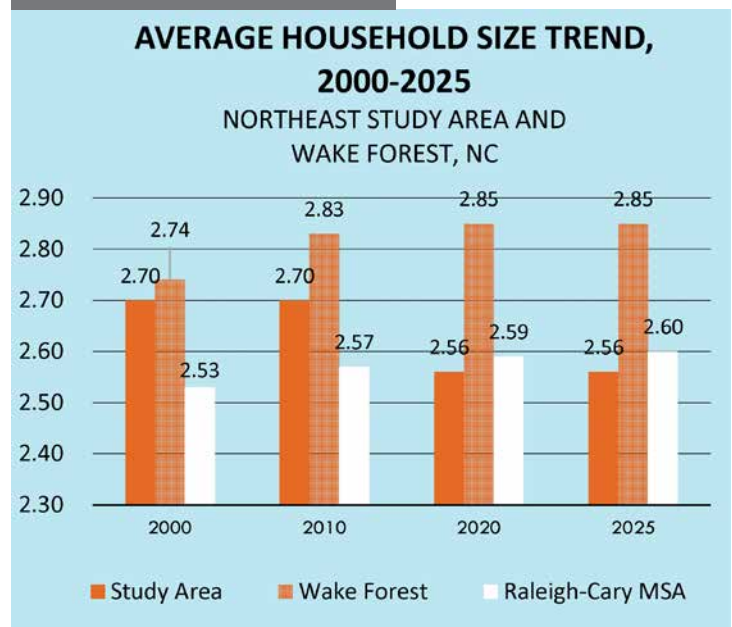
TABLE: 1.D.1

Population Trends and Projections										
Northeast Community Study and Surrounding Areas, NC (2000-2025)										
Jurisdiction	2000	2010	2020	2025	Change '00 - '10		Change '10 - '20		Change '20 - '25	
					Actual Chg.	Ann. % Chg.	Actual Chg.	Ann. % Chg.	Actual Chg.	Ann. % Chg.
Study Area	1,259	1,677	1,752	1,871	418	3.3%	75	0.4%	119	1.4%
Wake Forest	15,972	30,331	46,437	51,917	14,359	9.0%	16,106	5.3%	5,480	2.4%
Raleigh-Cary MSA	797,048	1,130,490	1,417,213	1,573,657	333,442	4.2%	286,723	2.5%	156,444	2.2%

Credit: ESRI and RKG Associates, Inc., 2021

households and more single-person households. In general, the study area has proportionally more non-family households with unrelated persons than the Town (32.8% versus 25.1%) and a much higher percentage of households of one or two persons (58.3%) than the Town (49.7%). Most households in the study area are two-person family households with no 65+ persons (55.2%) and one-person households with no 65+ persons (15.2%).

FIGURE: 1.D.3



Credit: ESRI and RKG Associates, Inc., 2021

IMPLICATIONS OF FINDINGS

Residents in the Northeast Community feel isolated from the rest of the Town of Wake Forest in terms of road connections to adjacent neighborhoods, access to shopping and services and economic opportunities as compared to the rest of the community. The site analysis confirmed that there are physical barriers that are isolating the community (e.g., railroad tracks along the western edge, limited road connections leading to the community, etc.). The lack of population growth is a threat to the long-term health of the community and new households are not being added to the community. The lack of newer housing choices is keeping homebuyers and families from considering the Northeast Community as a place to live. While new homes are being constructed in the hundreds just outside the study area boundaries, very little has occurred in the Northeast Community itself. The resident population is educated, has moderate household incomes, and is predominantly comprised of younger singles and senior households. For the Northeast Community to prosper, more opportunities for young families to move into the neighborhood are needed. That can be accomplished with more diverse housing choices, including the renovation of existing homes to modernize them. Also, the community wants to add amenities and community activities to celebrate the community and invite others to learn the history of the area. Steps should be taken to address these issues and make the Northeast Community more accessible to the larger Wake Forest community.

1.E REAL ESTATE MARKET ANALYSIS

The Real Estate Market Analysis examines recent trends in the North Wake County real estate submarkets that are shaping the Town of Wake Forest and the Northeast Community. Where possible, data that is specific to the study area was obtained and analyzed, but in most cases, the secondary data obtained for this analysis represent larger submarkets that overlap with the study area. The purpose of this analysis is to understand the market context with regard to future changes that might occur in the Northeast Community and how existing trends have the potential to impact the area – both positively and negatively.

Similar to the Demographic and Housing Analysis section, the study area was compared in its larger context whenever possible, whether that be a larger submarket or the Town of Wake Forest as a whole. This section includes an analysis of the following market segments: (1) ownership housing, (2) multi-family rental housing, (3) retail, (4) office and (5) industrial flex. Industrial flex is a special category of industrial use that combine production, assembly and warehousing with office and showroom/ retail space, depending on the operation. It is the type of space typically occupied by operations such as small manufacturers, brewers, artists, auto shops, and cabinet makers, as examples. Major findings, key issues, as well as implications of the findings are included in this section. For additional real estate market data and analysis, please refer to [Chapter 4: Appendix](#).

MAJOR FINDINGS

- Northeast Community Primarily Consists of Single-Family Homes, but is More Diverse than the Town Housing Stock** – Roughly 88% of all residential properties in the study area are single-family homes, with only 6.2% mobile homes and 5.4% duplexes. Surprisingly, this is more diverse than the Town's residential base, which consists of nearly 98% single-family home properties.
- Northeast Community Lacks Momentum for New Housing Development** – Since 2000, the study area has seen very little new housing development – only 15.7% (81 properties) of the residential properties have been developed over the past 20 years. By way of comparison, almost 73% of the Town's 13,320 residential properties have been developed since 2000, which is 4.6 times the rate of the study area. Most of this new development consists of primarily single-family homes.
- Northeast Community's Small Housing Size and Older Homes are Contributing to Affordability** - The age of the study area housing and its relative size (half the average size of the Town's housing) leads to greater

affordability. Home size is one way to maintain housing affordability, but it restricts the diversity of housing choices to mostly entry level homes. Homes in the Northeast Community are older on average than are those in the Town.

- Residential Sales Prices are Increasing Rapidly Threatening Housing Affordability in the Study Area** – The homes selling in the Northeast Community study area have had an average sales price of \$159,539 over the past five years, which was only 48.2% of the Town average price of \$331,336. In that regard, homes are still selling at affordable levels and are accessible to moderate income households. However, the potential for Northeast homes to remain affordable in the future is being threatened by annual price changes, which have increased by 48% since 2016 on a per square foot basis. Based on average home sales prices, regardless of building size, average prices have increased from \$110,000 in 2016 to \$189,000 in 2020, an increase of 72% in five years, which far outpaces the Town's sells price increases of 19.5% and 21.9% respectively.
- Strong Apartment Demand in the Northeast Raleigh Submarket** – The Northeast Raleigh submarket will benefit disproportionately from the pending growth rate of the Raleigh metro area. The REIS (Real Estate Information Services) data confirms the socioeconomic findings that the Wake Forest area is a destination.
- Office Market Demand is Weak in Wake Forest** – There is not a sufficient demand to build new office space in the US-1/Capitol Boulevard Corridor submarket, which is the closest REIS office submarket to the Northeast Community.
- Flex/R&D Market is Stable but not Growing** – The Flex category in this submarket is a major player for the metro area. However, this category is currently built out. If a product is conceived that meets a specific target need, there is existing capacity in the submarket to effectively deliver the product. Flex/R&D is not an appropriate target for the Northeast Community.
- Development Pipeline** – While the Town of Wake Forest is experiencing an active development market, the Northeast Community has seen less development interest. There is currently a 14-home subdivision being constructed on Perry Street. Growing development momentum over the past decade in Wake Forest could impact the Northeast Community. Traditions, a residential community, is adjacent to the Northeast Community and is adding hundreds of new households to this part of town.
- Retail Market has Capacity for Growth** – The analysis determined that there is the potential for millions of dollars in retail spending annually that can be recaptured within or adjacent to the Northeast Community. This translates into approximately 58,500 square feet of retail space in the study area. While not all of this retail space is adequate to attract new businesses it may create opportunities for existing establishments to expand their businesses. As the three mile radius of the study area is being supplied with retail, any considerations for the neighborhood should be targeted to specific needs and gaps in service. There are shopping needs in the Northeast Community that are going unmet. Retail categories that could support more building square footage include: furniture stores (8,821 SF) and home furnishing stores (3,340 SF). Drinking

establishment or bars is the largest category at 9,420 SF, which is consistent with a revitalizing downtown center. Other miscellaneous merchandise stores (8,543 SF), other miscellaneous store retailers (8,643 SF) clothing stores (7,103 SF), books & periodical & music stores (3,465 SF) are some of the other store types.

KEY MARKET ISSUES

Issue 1

The Northeast Community does not currently offer many multi-family housing options such as apartment buildings, which are typically rented by people who are not ready for, or interested in, homeownership.

- *Market Factors* – The Raleigh-Durham MSA has a shortage of affordable housing. Various affordable housing developers are looking for land, on which to build affordable single-family homes and apartment communities. The Northeast Community has the potential to help meet that need in the Town of Wake Forest.
- *Opportunity* – Rental housing would offer options for younger singles, couples, young families and offer “step-down” housing for empty-nesters. The Northeast Community can accommodate new affordable and mixed-income housing at several locations, including the DuBois Center property and at the corner of N. White and E. Roosevelt Street, between N. Taylor Street and E. Spring Street.

Issue 2

The DuBois Center property is the largest single redevelopment opportunity in the Northeast Community. The future of this property can potentially meet a lot of the

needs addressed by community residents through this planning process.

- *Market Factors* – The DuBois Center property is envisioned as a mix of uses, built around a core educational mission and a museum commemorating the history of the site. In addition, the property could house job training, day care, recreational facilities, community meeting and activity space, and housing.
- *Opportunity* – There is an opportunity to create a partnerships involving the DuBois Alumni Association with a public entity (local, state, federal government), Non-profit Organization, Non-Profit service provider and/or nonprofit housing developer.

Issue 3

The Northeast Community as a whole has expressed the need to have more commercial shopping opportunities and jobs for area residents. While the study area is largely a single-family neighborhood, the area around the intersection of N. White Street and E. Roosevelt Avenue offers a significant commercial mixed-use redevelopment opportunity.

- *Market Factors* – A mixed-income residential development with additional commercial development would expand downtown across E. Roosevelt to E. Spring Street and down to N. Taylor. The area has some active commercial establishments that could be incorporated into the redevelopment and other space that is currently vacant.
- *Opportunity* – The Town of Wake Forest and the City of Raleigh may have to work with developers to make infrastructure investments in this area.

Issue 4

The Northeast Community is made up of many smaller single-family homes, with a large percentage built before 1980. The older housing stock will need reinvestment over time to keep this affordably priced housing supply habitable in the future. In response, the Town of Wake Forest Planning Department is embarking on an Affordable Housing Plan in 2021-2022. This plan will examine Wake Forest's existing housing situation within the region, identify housing needs, and develop strategies on how best to address those needs.

- *Market Factors* – The market for affordable housing is very strong in the Raleigh-Durham region and naturally occurring affordable housing is a rare and declining resource. In order to retain this housing supply in the Northeast Community, homeowners will require low interest loans and grants to renovate housing to make them safe and modernize them.
- *Opportunity* – The Town of Wake Forest, through its Planning Department, has an opportunity to offer a multi-year housing rehabilitation program, targeting low- and moderate-income homeowners.

METHODOLOGY

Data Sources

Study area data was obtained from the Wake County Property Assessor's Department in 2020. The data includes all property assessment information on each property in the Northeast Community, including land and building assessed values, building square footage, age structure built and other relevant property information. Real estate sales information was obtained from Redfin, a national residential brokerage company that reports Multiple Listing Service (MLS) home sales data.

REIS/Moody's Analytics is a data analytics firm that provides real estate market trend data throughout the U.S. in all major metropolitan markets. They track historical activity in a variety of market segments (e.g., multi-family, retail, office, senior housing, industrial, etc.) for such metrics as building space inventory changes, asking rents, vacancy rates and annual absorption. Finally, ESRI data was used to analyze the local retail supply and demand spending from households in the Northeast Community study area.

IMPLICATIONS OF FINDINGS

The real estate market findings indicate that the Northeast Community has various opportunities for new residential and commercial mixed-use development but in limited locations. Residential rehabilitation is needed throughout the community to upgrade the existing housing supply, to modernize interiors, and to ensure that life safety issues are addressed. This can be accomplished through a targeted neighborhood rehabilitation program. The construction of new affordable and mixed income housing is also in demand and could be introduced at a portion of the DuBois Center property; primarily to northside currently occupied by the Wake County Public School System. Finally, an opportunity to do a mixed-use commercial redevelopment near the corner of N. White Street and E. Roosevelt Street could expand the size of downtown Wake Forest by several blocks. Higher density multi-family housing should be a core element of this redevelopment with a mixture of affordable and market rate units.

1.F EXISTING PLANS AND RELEVANT RECOMMENDATIONS

The evolution of the Northeast Community, specifically in recent years, has been assisted through the strategic implementation efforts of recommendations emerging from past plans and studies. The current planning process builds on the existing plans by consolidating many of the relevant recommendations (as shown below), many of which are still being either evaluated or are in the process of being implemented.

EXISTING PLANS

The following plans and documents were reviewed as part of this study:

1. Northeast Neighborhood Plan (2007)
2. Wake Forest Community Master Plan (2009)
3. Wake Forest Historic Preservation Plan (2012)
4. Parks, Recreation, & Cultural Resources Master Plan (2015)
5. Renaissance Plan for Downtown Wake Forest (2017)
6. Comprehensive Transportation Plan (2019)

While all of these plans included the Northeast Community, in some form, only the Northeast Neighborhood Plan from 2007 was developed for the sole purpose of planning the future development and growth of the Northeast Community.

PLANS & KEY RECOMMENDATIONS

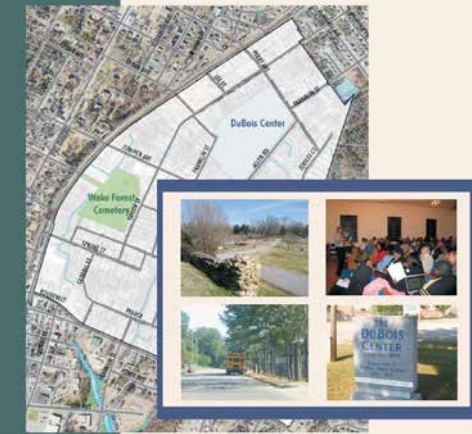
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2007



Northeast Neighborhood Plan

A Road Map for the Future



July 2007

CLATION ASSOCIATES
DELORES BAILEY
DR. EMIL MALIZIA

NORTHEAST NEIGHBORHOOD PLAN

The 2007 Northeast Neighborhood Plan outlined a strategy to enhance the social, cultural, and historic character of the Northeast by identifying the following needed public services, desired physical improvements, and economic development opportunities for the neighborhood. Following are the relevant recommendations:

- Implement traffic calming elements throughout the neighborhood and install/ updated physical

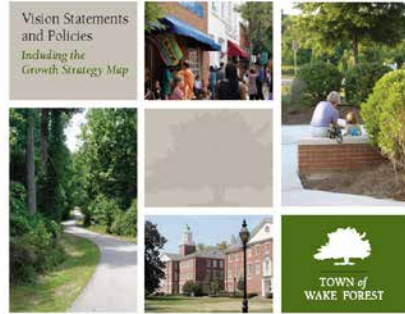
improvements along streets including new crosswalks, lighting, and sidewalks to facilitate walking in and around the Northeast Community.

- Provide new opportunities for commercial development in the Northeast.
- Provide resources for homeowners, and increased awareness of relevant housing assistance programs, home improvement resources, and relevant town ordinances including nuisance, trash, and recycling programs.
- Build community capital through community events, clean up days, job training programs, youth and senior programs, and community organizations.
- Increase transit options in the neighborhood, including those connecting to employment centers and surrounding neighborhoods, and provide affordable transportation programs for youth and seniors.
- Prepare guidelines to address the design of new buildings and homes.

2009



Vision Statements
and Policies
*Including the
Growth Strategy Map*

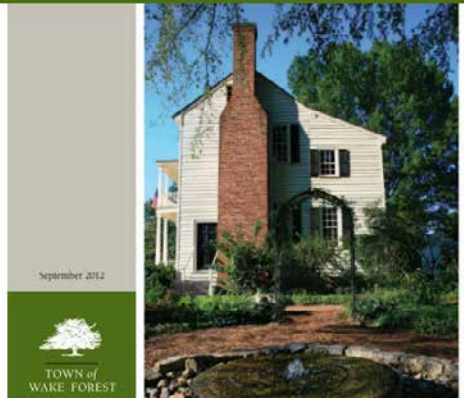


WAKE FOREST COMMUNITY MASTER PLAN (2009)

Recommended:

- Prioritizing rehabilitation and restoration of housing stock throughout Wake Forest.
- Partnering with the public on housing programs including code enforcement and public improvements.

2012



HISTORIC PRESERVATION PLAN

- Described the current state of historic preservation in Wake Forest and prescribed policies to guide the future of historic preservation. Identified the Ailey Young House and W.E.B. DuBois school site as historic resources.

2015

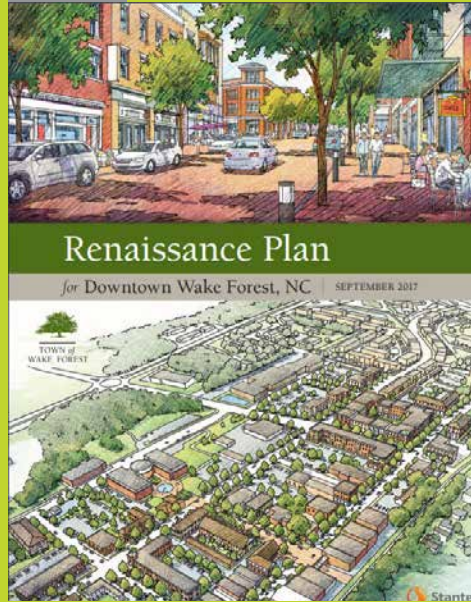


**Parks, Recreation, and Cultural
Resources Master Plan**
May 2015

PARKS, RECREATION, & CULTURAL RESOURCES MASTER PLAN

- Recommended providing new amenities in, and connections to, Ailey Young Park.

2017



Renaissance Plan

for Downtown Wake Forest, NC SEPTEMBER 2017

RENAISSANCE PLAN FOR DOWNTOWN WAKE FOREST

Recommended:

- Adding commercial space and a grocery store near the Northeast Community.
- Transforming the transition area between Downtown Wake Forest and the Northeast Community with new infill developments, an urban grained street and block network, and street improvements.

2019



Comprehensive Transportation Plan

Welcome to the Town of Wake Forest Comprehensive Transportation Plan (CTP). To view the contents, navigate through the tabs located at the top of the page. We recommend viewing this on Google Chrome on a computer. Please see navigation instructions below.

COMPREHENSIVE TRANSPORTATION PLAN

- Recommended developing new multi-use paths, greenways, and bike lanes through the Northeast Community to connect the neighborhood to surrounding areas.

1.G PUBLIC PARTICIPATION AND FEEDBACK

The planning process has been fundamentally informed and shaped by meaningful public participation and feedback. As part of a broad community engagement effort, stakeholder interviews, surveys, and public meetings were held to guide the development of this plan. The comments and stories collected, the information gathered, and ideas heard were all incorporated into the planning process for this effort.

ADVISORY GROUP & STAKEHOLDER INTERVIEWS



- The Plan has been guided by an Advisory Group consisting of community residents, advocates, and members of public, private and non-profit sector entities. These individuals have provided significant feedback during the entire Northeast Plan process.
- Stakeholder meetings were conducted in November 2020. Over 20 separate interview sessions were conducted with 39 participants, including residents, churches, business owners, representatives from local community organizations, from the Town of Wake Forest including the Board of Commissioners, and staff from Wake County.

COMMUNITY SURVEY & PUBLIC MEETINGS



1. Community Survey

Conducted to gain understanding of community's needs and desires

2. Meeting #1: Existing Conditions, Surveys and Visioning Workshop

Conducted virtually due to COVID-19 protocols and its related "stay at home" mandate

3. Meeting #2: Recommendations, Survey and Implementation Strategy Open House

Held outdoors in person

4. Meeting #3: Draft Plan

At Board of Commissioners and Planning Board Public Hearing

PROJECT WEBSITE



Contained several options for sharing and gathering information including virtual public meetings, surveys and other related information about this planning process.

<https://www.wakeforestnc.gov/northeast-community-plan>

STAKEHOLDER INTERVIEWS

KEY TAKEAWAYS

Community Assets

- The Northeast area has a strong sense of community and neighborhood pride.
- Neighborhood facilities including Alston- Massenburg Center, local churches, and Hope House provide significant opportunities for partnership, community outreach, programming and connection.
- Community gardens and local after-school programming provide important and well-used opportunities for local children and residents.
- Neighborhood connectivity is increasing and improving with the installation of new sidewalk infrastructure.
- Social events including the Juneteenth celebration provide opportunities for both cohesion and community assistance. These benefits are enhanced through several on-going and successful community assistance programs and organizations.

Issues

Community Character

- Fear of displacement has grown over the past decade as neighborhood is becoming more diverse and housing becomes more expensive.
- Newer housing and infill development are of a different character than that of the older, existing houses. In general, these more recent additions lack front porches, gardens, and front yards which older housing in the area has.
- The Northeast Community is physically divided from both the neighborhoods to the west of the railroad tracks and the new Traditions neighborhood to the east.

- Trash, ineffective street upkeep, and the poor aesthetic of the streets themselves impact the overall appearance of the neighborhood..
- Homelessness remains a concern of the neighborhood.
- There is a general perception that the Northeast Community is unsafe although statistics do not bear this out.

Neighborhood Connectivity

- The existing sidewalk network is incomplete and not continuous.
- Frequency of transit is lacking.
- Lighting needs to be updated and improved to maintain safety.

Community/ Neighborhood Facilities

- New charter schools are increasing competition with public educational facilities, and access to internet is a challenge for some students.
- Job training programs are underutilized.
- The Northeast has few gathering places for neighborhood youth.
- The community is largely a food desert with little convenient access to fresh and healthy food.

Affordability

- Housing costs are increasing and young families are leaving the community.
- New housing in and around the Northeast Community is not affordable for many existing neighborhood residents, and there are a significant number of run down or abandoned homes.
- Gentrification and displacement are major concerns as the cost of homeownership increases, brought on in part by the development of new communities such as Traditions in the community's immediate vicinity.

Opportunities

Physical Improvements

- Improved streetscape and pedestrian facilities including crosswalks, greenways, street trees, multi-use paths, and wayfinding.
- Create a “cornerstone” or gathering point for the neighborhood.
- Utilize public art opportunities to better connect Downtown to the Northeast Community.
- Create a historic walking tour for the neighborhood to make Wake Forest residents and visitors more aware of the assets of this area.

Community Opportunities

- Make Northeast a destination by potentially adding festivals, art shows, jazz music, and local shops to the neighborhood.
- Promote food security and add a grocery store within or adjacent to the neighborhood.
- Add more programming and educational opportunities at the Alston Massenburg Center, Community Garden, and local churches. Delete the space before the period.
- Open the Ailey Young House as an African American Heritage Site to celebrate the history of the Northeast Community.

- Pursue funding opportunities for additional parks and recreational opportunities.
- Create expanded workforce training for local residents and provide opportunities to develop accessible jobs near or within the neighborhood.
- Explore making the Northeast an Opportunity Zone as initiative to see if it qualifies and if it does should it occur.

Residential Character & Affordable Housing

- Balance new development with measures to ensure the protection of existing housing.
- Promote the creation of affordable housing options that still retain the character of the historic housing patterns in the community.
- Create a user friendly Pattern Book of Design Guidelines to guide new housing development.
- Consider the creation of a community land trust as well as potential density bonuses to both retain and encourage affordable housing.

Site Development

- Redevelop the DuBois School Campus into a community amenity.

COMMUNITY SURVEY

A community survey was conducted in January 2021, with access available both online and on paper. The survey was distributed via the web, mail, and at popular locations throughout the Northeast Community,

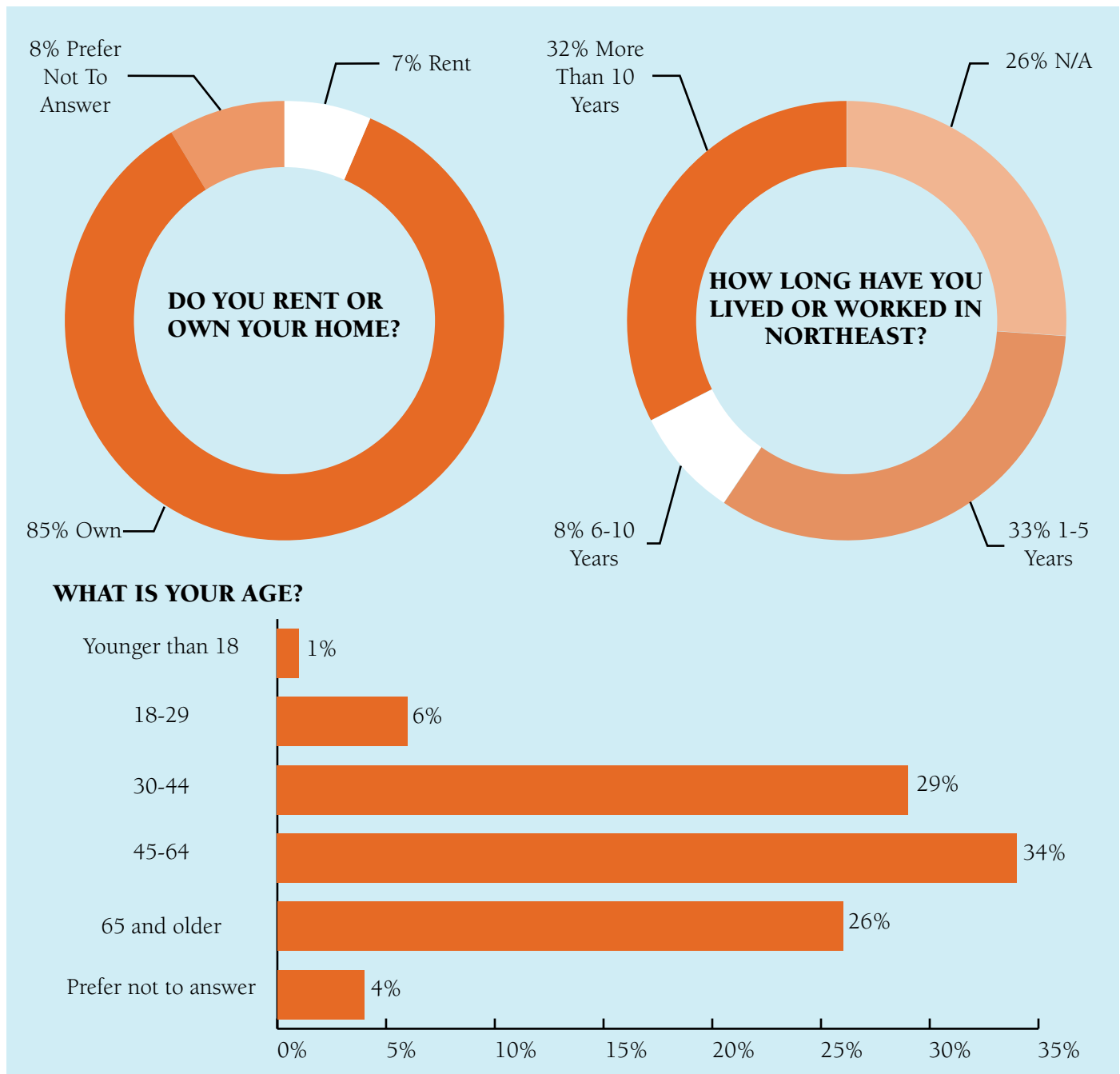
ABOUT THE RESPONDENTS

The survey received 109 responses.

KEY TAKEAWAYS

Residents responded to a variety of questions about the Northeast, including what they liked about the neighborhood, what they would like to see improved, and what places they typically visited. These questions were intended to uncover how residents felt about their neighborhood and how well local amenities and businesses were used.

The following pages showcase the key survey takeaways via graphs, charts and related summaries.

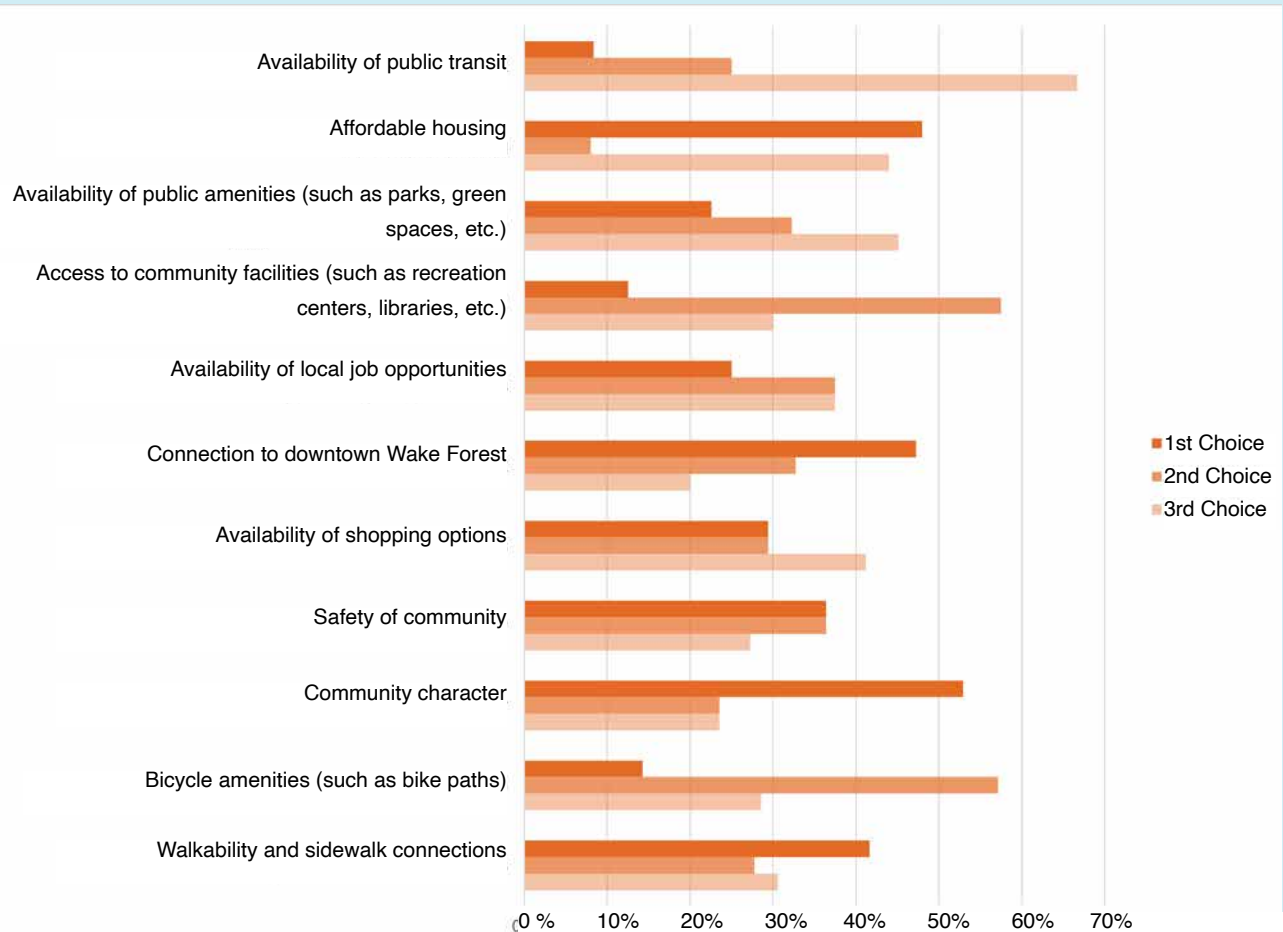


TOP THREE LIKES

According to the survey, residents' top three **LIKES** in the community are:

1. Community Character
2. Affordable Housing
3. Connection to Downtown Wake Forest

WHAT ARE THE TOP THREE THINGS YOU LIKE ABOUT NORTHEAST?

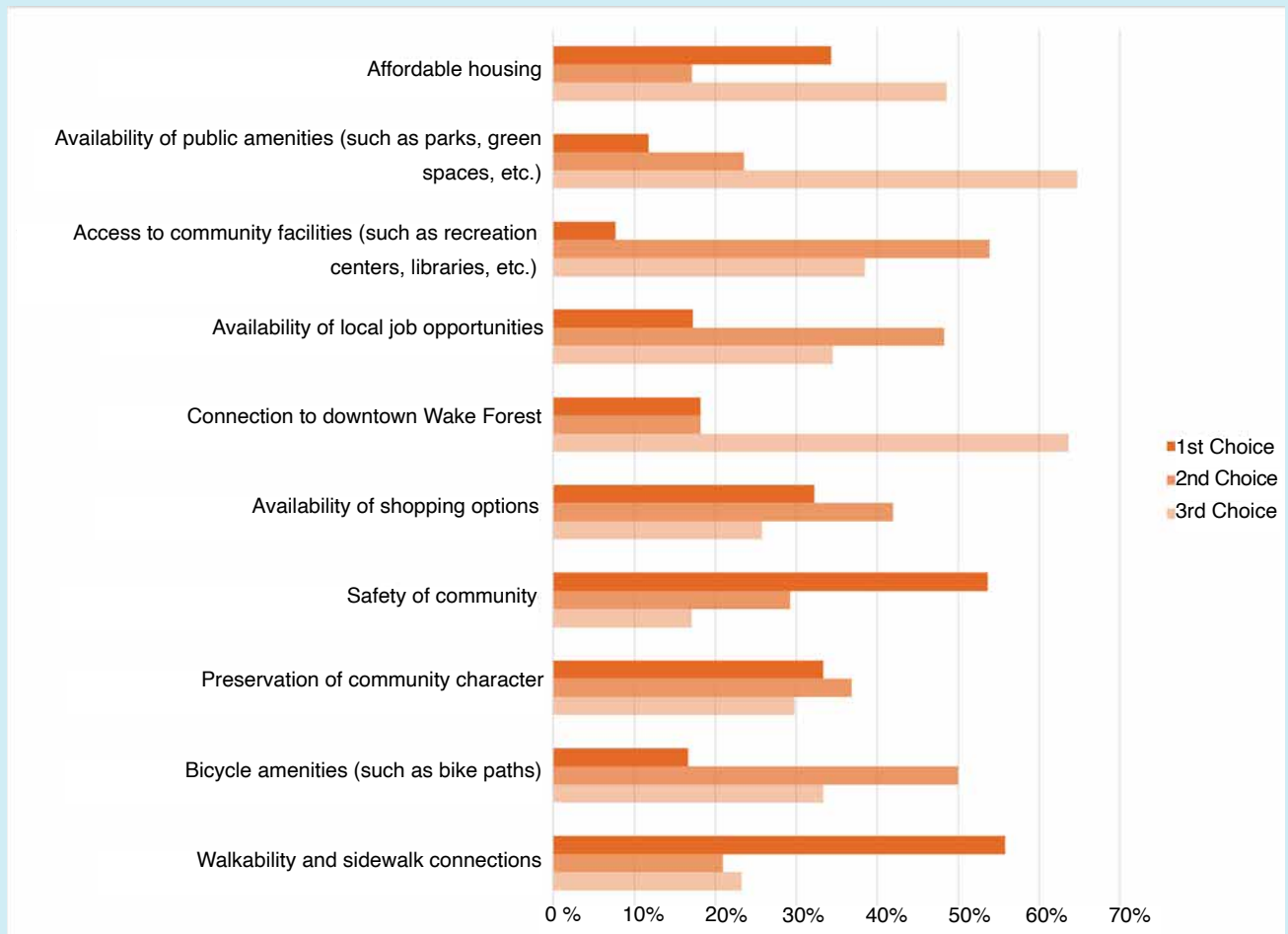


TOP THREE IMPROVEMENTS

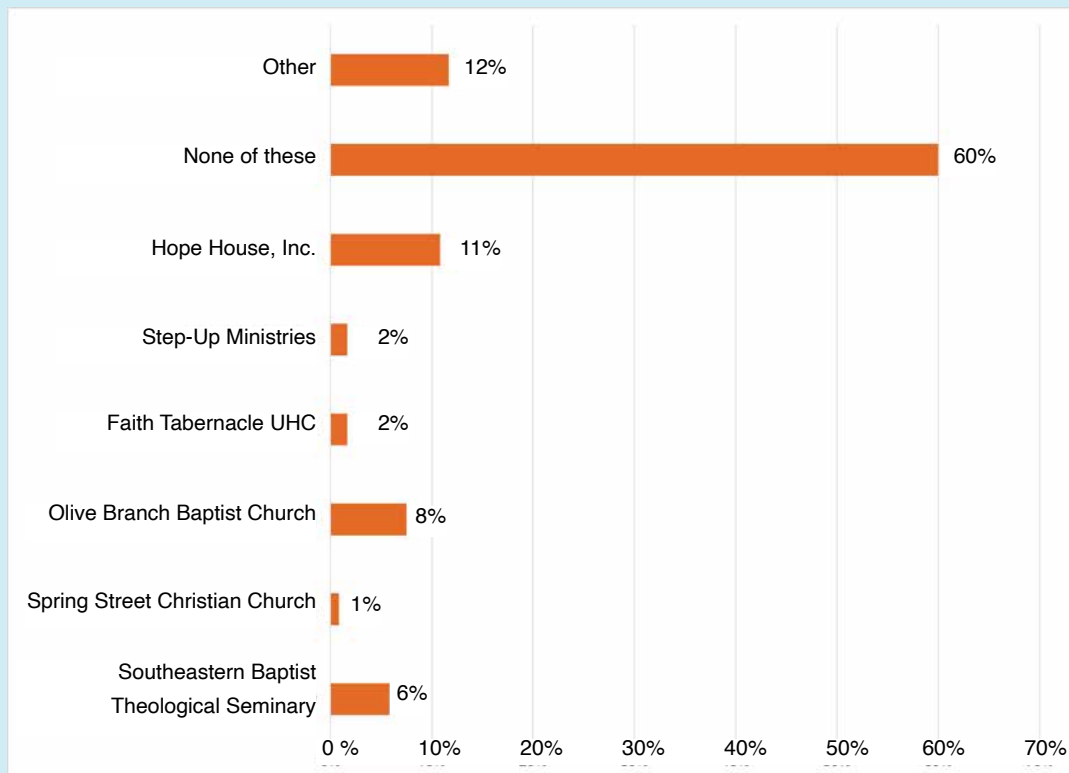
The top three characteristics that residents wished to **IMPROVE** in the community are:

1. Walkability and sidewalk connections
2. Safety of the community
3. Preservation of community character

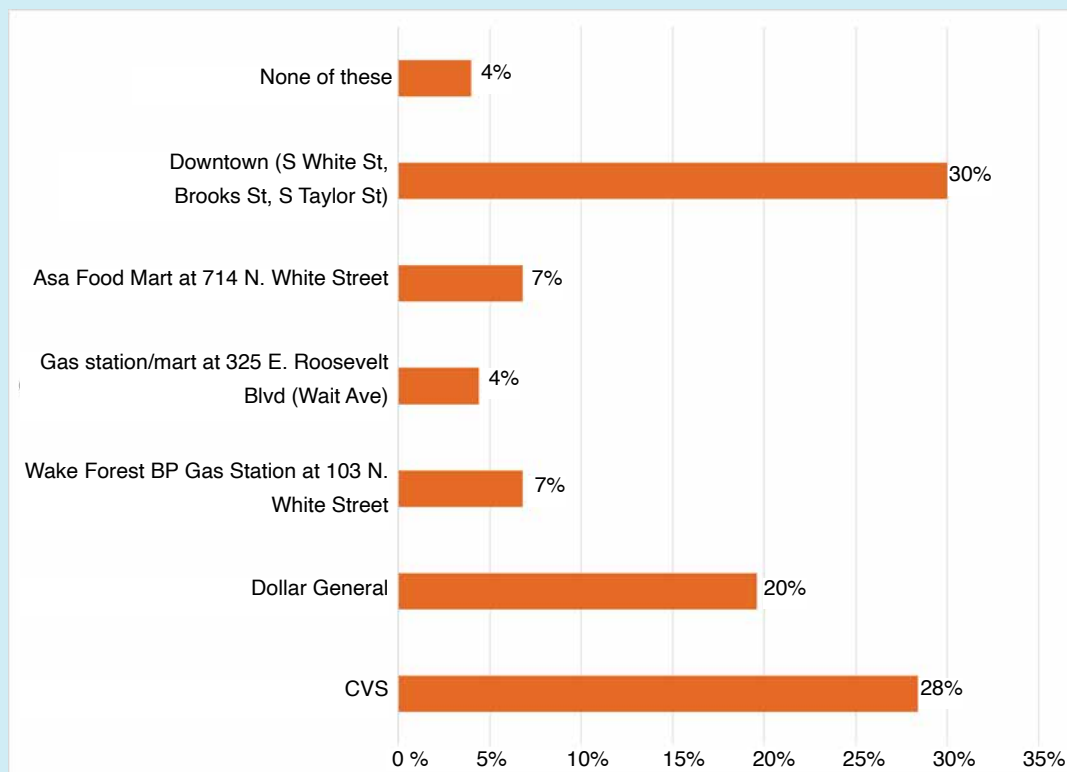
WHAT ARE THE TOP THREE THINGS YOU WANT IMPROVED IN NORTHEAST?



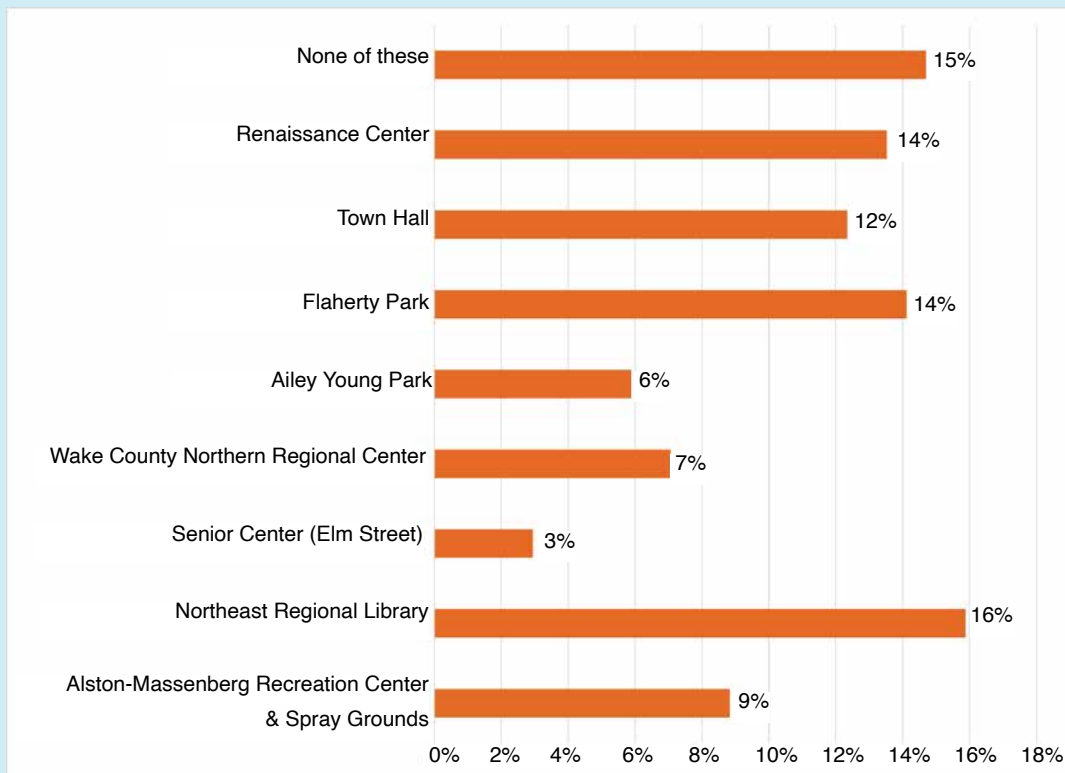
WHICH OF THE FOLLOWING RELIGIOUS INSTITUTIONS DO YOU VISIT ONE OR MORE TIMES A MONTH (PRIOR TO COVID-19)?



WHICH OF THESE SHOPPING LOCATIONS DO YOU VISIT ONE OR MORE TIMES A MONTH (PRIOR TO COVID-19)?



WHICH OF THE FOLLOWING PUBLIC AMENITIES DO YOU VISIT ONE OR MORE TIMES A MONTH (PRIOR TO COVID-19)?



The survey also asked respondents about which shopping locations, public amenities, and religious institutions they visited more than once a month. These questions helped the Planning Team understand the neighborhood places that are important or heavily utilized, and where individuals go to fulfill their daily errands and tasks.

The survey included an open-ended response section for residents to provide more nuanced and detailed responses. From these responses, multiple themes emerged, including:

- Worry about increasing traffic levels and speeding in the neighborhood, and associated safety concerns.
- A desire to clean up the trash and rundown properties in the neighborhood.
- Concern about displacement, gentrification, and the style of the newer housing. New housing without porches and yards do not fit into the character of the neighborhood which set them apart from the traditional housing styles in the Northeast -- with elements such as front porches and yards.
- A desire for a community gathering space which includes programming for youth, adults, and seniors.
- A desire to reimagine the DuBois School Campus as a community centerpiece.
- A desire for healthier food options, a local grocery store, and the strengthening of food security for the community.
- The need to create a safer built environment with more sidewalks, crosswalks, traffic calming improvements, better lighting, and more street trees.

PUBLIC MEETINGS

Two public meetings were conducted through the project process. The information gleaned from the public meetings and from other community conversations was used to create the neighborhood vision, recommendations and implementation strategies for the current Plan.

MEETING #1- EXISTING CONDITIONS AND VISIONING WORKSHOP

Public Meeting #1 was held on March 9 & 13th, 2021. This community visioning workshop synthesized the results of the stakeholder interviews and the first public survey, and engaged community members to brainstorm ideas for a shared vision of the future for the Northeast.

Due to the Covid-19 pandemic, this workshop was held virtually using a Zoom platform. For those who were unable to attend virtually, the option for call in access to the meeting was also provided along with it being televised on public access television.

MEETING AGENDA

Workshop participants were given an overview of the Northeast Community plan update process, and the general observations and findings to date.

After a brief introduction, participants were divided into small breakout groups to participate in a “Community Thoughts” activity. This activity asked residents to provide their reflections about the Northeast through three lenses:

1. **Worry:** Do you have any worries or concerns about the future of your community or about the project?
2. **Keep:** What aspects of your community do you want to make sure are kept or preserved in the future?
3. **Plan:** When envisioning the future, what are some new features, amenities, or programs you would like to add to the planning process for your community?

A survey was distributed both electronically and by hard copy. This survey was available to all on the project website, and was also distributed in hard copy at additional community functions.

KEEP:

- Preserve the history, identity, strong character, and church community within the Northeast.
- Preserve existing commercial activity.
- Preserve senior care and housing programs, as well as housing assistance programs for all eligible residents.
- Preserve and maintain the neighborhood's unique architecture and character including its front porches, yards, setbacks, and general small-town feel.
- Preserve the community's green spaces and parks.
- Preserve the community's assets including the Alston-Massenburg Center, Ailey Young House, Olive Branch Church, Wake Forest Cemetery, and Ailey Young Park.

*Preservation of **historically significant** facilities, structures and grounds...*

Ethnic Diversity, Affordability...

*...preserve any **green spaces**...*

*...appropriate use of the **Dubois Center**...*

- Promote food security and increase the availability of fresh and healthy foods.
- Create more programming, activities, gathering places, and services for children, teenagers, and seniors in the neighborhood.
- Add more sidewalks, trees, public art, and other amenities to the streets.
- Add more commercial activity, including banking options, for local residents.
- Strengthen connections to the adjacent communities and neighborhoods.
- Tell the story of the Northeast through a museum, historic walk, and/or historic markers to help ground the community in its past and its future.
- Improve existing public housing and maintenance efforts.
- Increase park amenities to include new and varied activity areas.

*It would be nice to create an
affordable housing neighborhood...*

...something to further *economic well being* for residents, something for their heritage in the *Dubois Center*...



MEETING #2- RECOMMENDATIONS AND IMPLEMENTATION STRATEGY OPEN HOUSE

Public Meeting #2 was held on September 9th, 2021. This meeting was held as an open house format at the grounds of the DuBois Campus. The intent of the meeting was to receive feedback on draft recommendations.

MEETING AGENDA

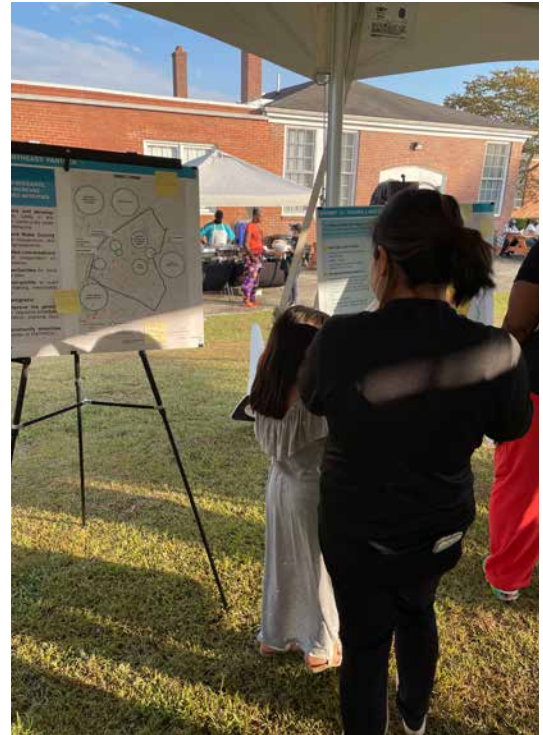
Open house participants were given an overview of the Northeast Community plan update process, existing conditions and recommendations to date. Several exhibit boards were displayed - they ranged from land use, connectivity, market and demographics to themed recommendations, a future land use map and a concept for the DuBois Campus. Attendees had the option to view the exhibits and discuss their thoughts with project team members as well as share feedback via post-it notes on the exhibits.

A brief survey was also distributed during meeting's on-site registration process. This survey was available to all on the project website.

The meeting was organized as a community gathering event to celebrate the planning process. It was held outdoor (under open tents) with food and drinks available for all attendees.

The meeting was attended by over 75 residents and community members.

A follow-up "town-hall" format meeting was conducted by Town staff on September 28, 2021 to gather additional feedback on the future land use map.



Images from the
Community Open House

KEY TAKEAWAYS

The following “key takeaways” provide a snapshot of the feedback that was collected during and/or after the meeting. The takeaways are organized under overarching topics of affordability, legacy, connectivity, community programming, DuBois Campus Concept and economic opportunities.

Affordability

- Preserve affordability and Naturally-Occurring Affordable Housing (NOAH).
- Add more affordable housing .
- Provide assistance to existing homeowners (e.g., small grants to help owners remodel their older homes).
- Expressed concern about displacement.

Legacy

- Promote history of the neighborhood.
- Research family history, age of Northeast community.
- Preserve community architecture (e.g., no more driveways in the front of homes).

Connectivity and Green Spaces

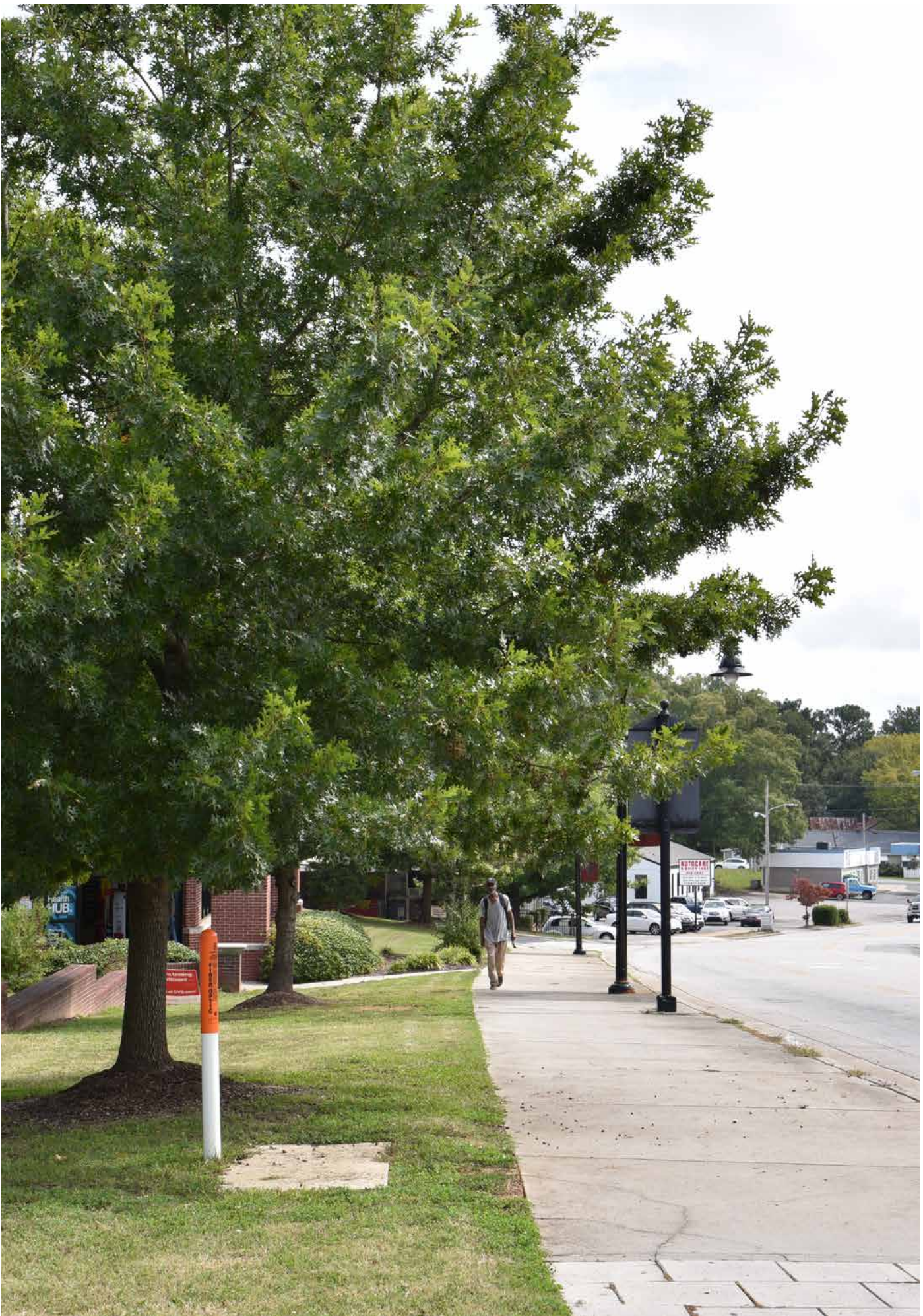
- Provide a place for children to play with their friends.
- Like preservation of green space.
- Add Ailey Young Park within the study boundary.
- Consider safer streets.
- Fill sidewalk gaps.
- Provide adequate lighting.
- Improved maintenance and shrubbery along streets.
- Provide a possible roundabout or 3-4 way stop sign at Ailey Young Park coming out of Traditions and from Allen Road down Juniper Avenue.
- Provide additional connectivity and commercial options.

Economic Opportunities and Redevelopment

- Learn more about what jobs can be brought to the neighborhood.
- Provide more economic opportunity.
- Provide affordable store franchise, fitness center, and urgent care.
- Provide short-term industry certifications in close proximity -- this will increase wages which in turn will increase eligibility for home loans and purchases.
- DuBois Campus Concept
 - i. Affordable housing on site.
 - ii. Childcare facility on campus.
 - iii. Commercial on the exterior of the site.
 - iv. Prefer focus on revitalization on campus versus housing on site (which may not actually be affordable for residents in Northeast).

Community Programming

- Consider summer youth programs.
- Bring YMCA back to community.
- Promote education opportunity for youth beginning at K-12 including daily homework programs.



PLAN RECOMMENDATIONS

2

2.A THEMES AND RECOMMENDATIONS

The plan recommendations are derived from three elements (as noted in the graphics below): the community feedback, synthesis of the physical inventory (data and mapping), as well as relevant recommendations from existing plans. The recommendations are organized by four themes, which help to guide and inform the Northeast Community Plan.



**COMMUNITY
PARTICIPATION
& FEEDBACK**

+



**PHYSICAL
INVENTORY,
DATA & MAPPING
ANALYSIS**

+



**EXISTING PLANS
& STUDIES**

=



**THEMES &
RECOMMENDATIONS**



THEMES FOR THE NORTHEAST

These themes are the guiding elements that encapsulate the vision and goals of the Northeast Community Plan. The following four themes emerged from the existing conditions analysis, community feedback and participation, and review of existing plans:

A. PRESERVE + PROTECT

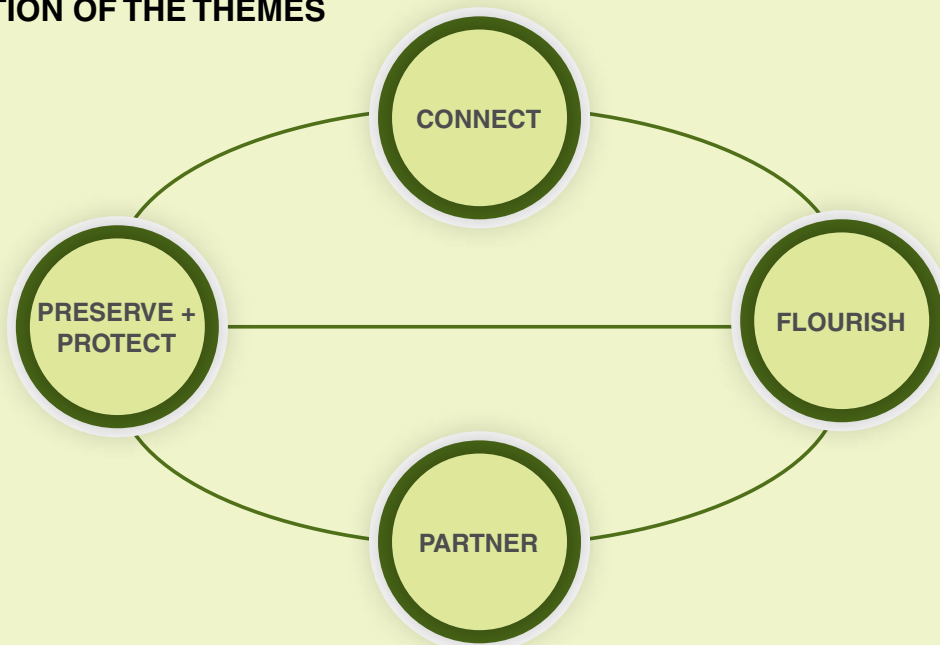
B. FLOURISH

C. CONNECT

D. PARTNER

The themes **Preserve + Protect** and **Flourish** serve as the foundation of the Opportunities framework. **Connect** and **Partner** serve as the connective tissue between the two foundational themes.

CORRELATION OF THE THEMES



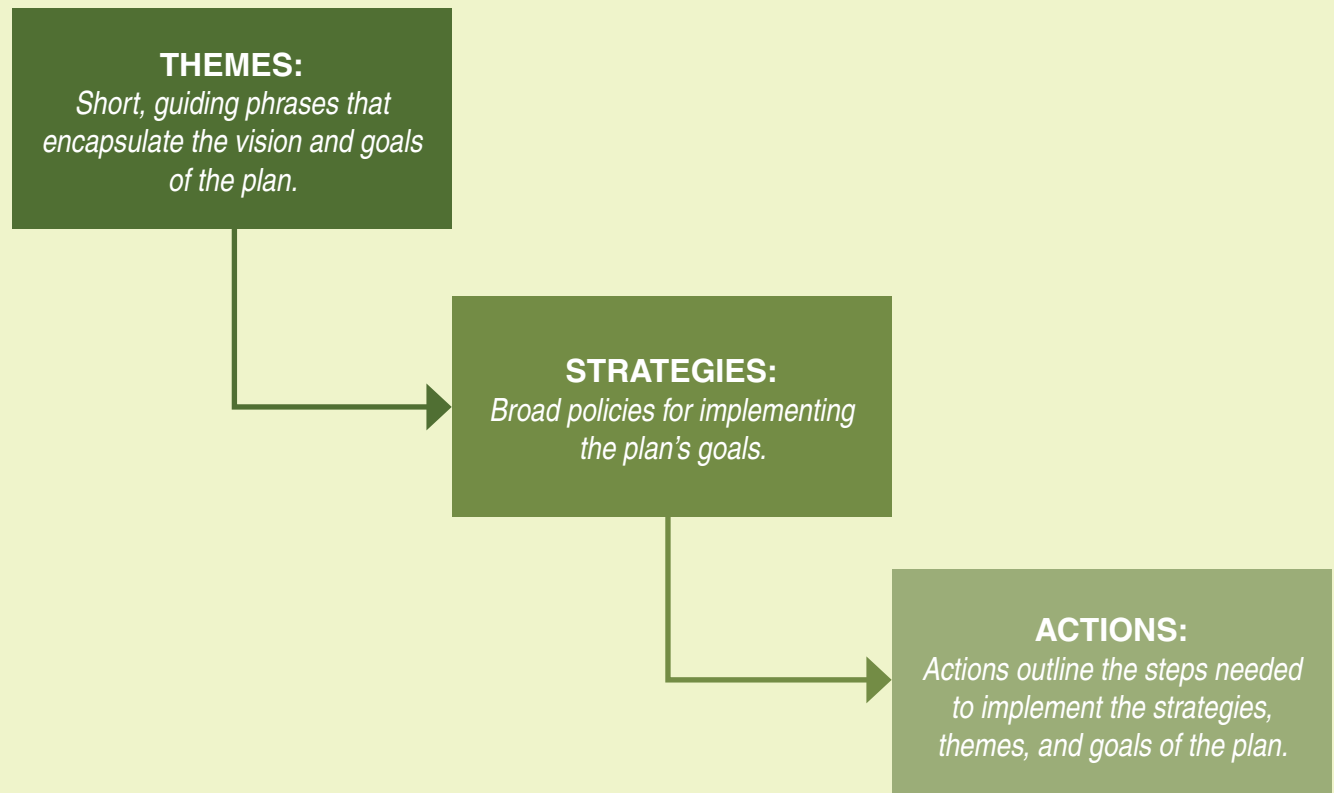
ORGANIZATION OF THEMES

Specific strategies and actions are derived from the four themes as described in the diagram below.

- **Strategies** are the broad policies for implementing the themes and goals of the plan.
- **Actions** outline the steps needed to implement these strategies, themes, and goals.

The following pages showcase the four themes and their corresponding strategies. Each theme is supported by opportunities diagrams.

ORGANIZATION STRUCTURE OF THEMES AND RECOMMENDATIONS



PRESERVE + PROTECT

PRESERVE AND PROTECT THE NEIGHBORHOOD ELEMENTS THAT DEFINE AND DISTINGUISH THE NORTHEAST COMMUNITY.

STRATEGY

- 1. Maintain existing affordable housing* where possible and work towards minimizing displacement of local residents by new development.**

As new development continues to place pressure on existing residents, it will become increasingly important to identify programs, initiatives, and targeted funding mechanisms (including small grant programs) to allow existing residents flexibility in maintaining their home.

Programs and initiatives focusing on housing improvement or rehabilitation and aging in place, will be of particular importance due to the high number of income-restricted seniors living in the community.

Additionally, providing residents with a better understanding of the real estate market and the pros and cons of selling their homes will further ensure residents are making well-informed decisions about their housing situation when approached by developers, investors, and builders.

Notes:

* The Department of Housing and Urban Development (HUD) generally defines “Affordable Housing” as housing on which the occupant is paying no more than 30 percent of gross income for housing costs, including utilities. For specific information on Wake Forest’s affordable housing, refer to the Affordable Housing Plan.

STRATEGY

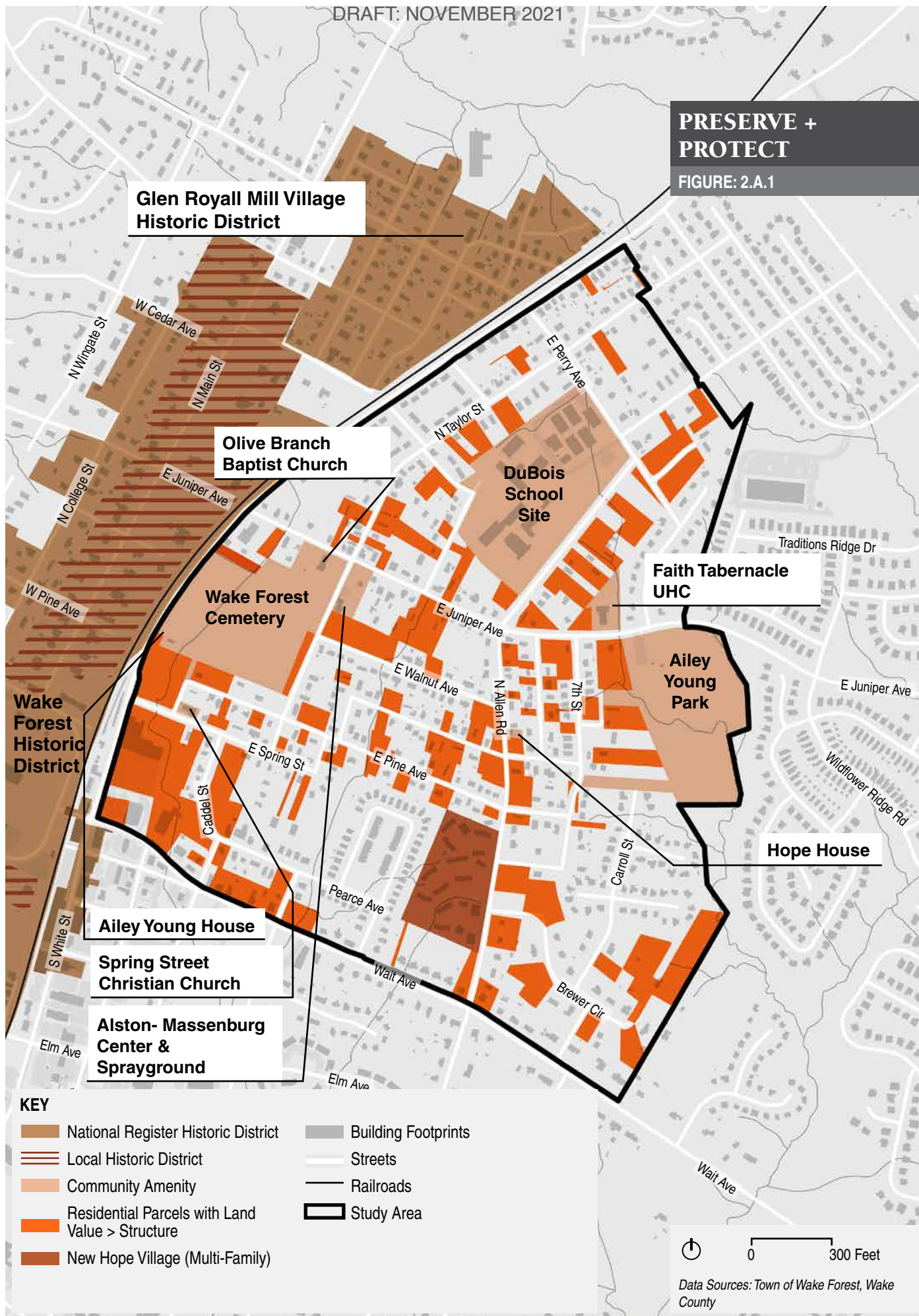
- 2. Preserve existing parks, greens, and open spaces.**

Since parks and green spaces are amenities members of the Northeast Community feel are important to the neighborhood’s aesthetic appeal and quality of life, work should be done to maintain and enhance these spaces.

Wayfinding signage and interpretive panels offer park and greenspace users an improved experience by better directing people to important sites and providing information about a particular place, which may not be self-evident to most.

PRESERVE + PROTECT

FIGURE: 2.A.1



Furthermore, existing parks and greenspaces can be further enriched by exploring opportunities to add a multitude of small-scale social gathering places including community gardens, playgrounds, neighborhood pocket parks, etc. Effort should be made to equitably provide park and green spaces with universal accessibility.

A specific park that could benefit from these aforementioned additions is Ailey Young Park. As the largest park space in the Northeast Community, it will be important to modernize this space to align with the other community park improvements planned throughout the Town.

STRATEGY

3. Preserve and share the history of the Northeast Community

The story of Wake Forest cannot be told without understanding the history of the Northeast Community. Therefore, it is imperative that local historic sites are identified and that educational programs to tell the stories of these sites are made available.

Working with federal, state and local preservation programs, effort should be made to formally recognize and protect these historic sites in the Northeast Community. Moreover, the Town should continue to explore the establishment of a historic district to preserve the historic character of the neighborhood.

Historic markers or other interpretive materials should be installed where appropriate to better convey the story and significance of these important sites. One such site of particular importance that would benefit from this is the Ailey Young House. The site can act as a gateway into the community, as well as a place to celebrate the African-American heritage of Wake Forest.

STRATEGY

4. Protect the elements of the Community (whether physical, social, community- based, or other) that create and define its identity.

Being established shortly after the Civil War, the Northeast Community has developed over many generations and thus has established its own unique community character and feel.



Community gardens serve the need towards healthy food production as well community building initiatives



Playgrounds provide recreational spaces, while also providing gathering places for a community.

Given the rarity of this development pattern within Wake Forest, efforts should be made to preserve the existing design character of the neighborhood by establishing design guidelines and, if feasible, an overlay zoning district to align new construction with existing orientation, massing, height, size, setback, and scale.

While the built environment is a significant factor in the look and feel of a neighborhood, trees and other greenery are equally important to community character. On account of this, the Town should continue to identify masses of mature and specimen trees throughout the community and encourage their protection where feasible. This is especially critical for public gathering areas that are, in part, defined by their lush vegetation.

Further, the Town should continue to implement tree planting programs and identify potential locations for additional tree planting. Trees should be positioned in areas that not only enhance the aesthetic appeal of a site, but provide ample shade for pedestrians.



Lush green spaces around recreational areas provide aesthetic appeal and shade for pedestrians and park users.



The Northeast Community has a mature tree canopy. Effort should be made to protect specimen trees and add more tree planting program.

2

THEME B

FLOURISH

PROVIDE FOR INCLUSIVE, SUSTAINABLE, AND EQUITABLE GROWTH THAT SERVES THE NORTHEAST OF TODAY AND THE NORTHEAST OF TOMORROW.

STRATEGY

- 1. Provide a variety of affordable housing options (ownership and rental) created via both new and infill residential developments.**

Due to the explosive growth recently experienced around the Triangle region, continued developer interest in the Northeast Community is almost guaranteed. While some displacement is unfortunately a potential byproduct of this, new market rate development, if done correctly, can provide ample new housing opportunities for existing and future residents.

Specifically, focusing additional residential growth along N. Allen Road and E. Juniper Avenue and ensuring a diverse mix of product types at a variety of price points (e.g., townhomes, duplexes, narrow lot single-family, etc.) will help meet additional housing needs for the growing community.

While market rate housing will play a role in the Northeast Community's future growth, it is imperative that subsidized and mixed-income housing is also an essential ingredient of the overall housing mix. Research should be performed to identify potential infill



Narrow lot single family homes provide a key affordable residential building typology.



This duplex home in an affordable housing development in North Charleston, SC provides affordable housing.

Oak Hills

FLOURISH

FIGURE: 2.A.2

2

Olde Wake Forest

Trinity Park

Traditions
Influence Area

Ailey Young
Park

Hargroves Corner

Wait Avenue
Condos

Brewer Circle S/D

Downtown
Influence Area

KEY

-  Opportunity Sites
-  Active Development Projects
-  Development Projects Under Review
-  Parks
-  Building Footprints
-  Streets
-  Railroads
-  Study Area



0 300 Feet

Data Sources: Town of Wake Forest, Wake County

development sites that could support future affordable housing development in the Northeast Community.

Critical to the success of maintaining housing affordability in the community will be to allow strategic placement of new multi-family development—focused primarily in existing higher density areas such as the County of Wake Housing Authority sites.



Accessory Dwelling Units (ADU) helps with home/personal equity addition for property owners (Image Credit:ca-times.brightspotcdn.org)



Mixed-income housing is encouraged to provide affordable housing options (Image Credit:seattlehousing.org)

For single-family homes, accessory dwelling units (ADUs) can provide another opportunity for expanding housing choices in the Northeast Community, while being respectful to lower intensity areas due to their limited size. Furthermore, this could allow for the creation of rental income for homeowners to help with equity development or housing for extended family members.

STRATEGY

2. Promote new commercial developments.

As more residents continue to flock to Wake Forest, the demand for commercial development like retail and service uses will rise. Much of the larger-scale commercial development will be focused on major thoroughfares with high visibility. However, there is an opportunity for smaller-scale commercial to thrive in the Northeast Community.

Land use policies should focus commercial growth along Wait Avenue/E Roosevelt Avenue and N. White Street as these locations offer high visibility and substantial redevelopment potential. New commercial development located adjacent to residential areas should be appropriately buffered as well.

Though the Town does not prohibit national chain businesses from locating in commercial spaces, the Town should encourage locally owned businesses that serve the needs of the Northeast Community such as grocery stores, banks, health providers, and senior care services.

STRATEGY**3. Create a community-informed redevelopment plan for the DuBois Center.**

Several decades ago, the DuBois Center site was considered by many to be the core of the Northeast Community. Unfortunately, today, most of the site sits unused and in need of substantial repair.

As time passes on without significant investment, the site continues to deteriorate. Therefore, it is imperative that a redevelopment plan be drafted and implemented to bring life back to this integral community asset.

Based on community feedback, the redevelopment plan should focus heavily on creating an educational and recreational hub, organized around a central public gathering space — amenitized with seating areas, plazas and landscaping.

To further benefit the surrounding community and potentially generate funds for reinvestment at the DuBois Center, development of a new residential community comprising of affordable housing units should be explored. This could be done as a community land trust model with permanent affordable housing under a long-term ground lease or through partial sale of land.

For all potential uses envisioned for the DuBois Center, appropriate architecture and scale should be considered. As most current and formerly standing buildings were constructed using brick material, any new institutional buildings constructed should incorporate this material into the facades.

A more detailed summary of potential redevelopment scenarios for the DuBois Center can be found within the Plan's Appendix.



Former Rosenwald School Building at the DuBois Campus site



Mixed-use building at a prominent corner and/or gateway location

STRATEGY

4. Identify additional redevelopment opportunity sites.

Though redevelopment of the DuBois Center should be a high priority, there are other potential redevelopment sites that offer much opportunity and should be explored:

- a. Commercial parcels along Wait Avenue/E. Roosevelt Avenue and N. White Street for commercial and mixed-use opportunities.
- b. Vacant shopping center site on N. White Street for mixed-use opportunity. This project should include commercial and mixed-use development opportunities. The project should incorporate a number of employment-generating uses such as:
 - Small neighborhood serving grocery/market for the downtown area.
 - Small office users.
 - Retail shops.
 - Specialty food shops (e.g., sandwich shop, bakery/café, barber shop/beautician, etc.).
 - Restaurants and entertainment.
 - Other complimentary uses.
- c. Parcels around the intersection of E. Juniper Street and N. White Street – small-scale commercial node providing neighborhood amenities/convenience.



Small-scale corner store/cafe



Small-scale mixed-use (residential above commercial uses)

STRATEGY**5. Expand parks, greens, and open spaces.**

Redevelopment doesn't always have to focus on new commercial, residential, mixed-use etc., but can also pertain to new park and greenspaces. Working with residents, the Town should continue to seek out additional green spaces, including informal or community driven sites, in the Northeast Community and explore opportunities to add these spaces to the open space, greenway, and parks network. Additional open spaces should be explored as part of new developments as well.

STRATEGY**6. Explore potential rezoning actions and associated regulatory modifications to accommodate more non-residential uses within the Northeast Community.**

Many of the proposed redevelopment strategies mentioned herein likely involve modifications to the Town's development code. The Town should utilize the Future Land Use Map recommendations featured at the end of this section to inform the location(s) of future non-residential uses. This may entail the rezoning of targeted parcels (e.g., DuBois site, parcels along Wait Avenue) to accommodate and encourage non-residential uses.

STRATEGY**7. Ensure that the existing public infrastructure system is adequate to accommodate new development.**

As growth occurs in and around the Northeast Community, it will be vital to ensure this new activity is properly served by adequate infrastructure. The Town should perform a thorough analysis of utility infrastructure systems within the study area - including broadband network coverage. The analysis should be used to update the list of needed improvements in the study area, which may be carried out through the Town's Capital Improvements Plan or through coordination with utility agencies.

CONNECT

CREATE INTERNAL CONNECTIONS WITHIN NORTHEAST AND BEYOND THROUGH MOBILITY, DESIGN, AND COMMUNITY BUILDING IMPROVEMENTS.

STRATEGY

1. Improve pedestrian and bicycle facilities to fill in network gaps and provide new connections for a multi-modal network.

Much of the Northeast Community was planned and demarcated in the late 18th and early 20th century—before the automobile age fully took hold. Consequently, like other older areas of Wake Forest, streets generally are well-connected and rarely end in dead ends or cul-de-sacs.

In order to maintain this higher level of connectivity, it is important that resources are allocated to implement the proposed facilities outlined in the *2019 Comprehensive Transportation Plan (CTP)*. The Town should explore and create new streetscape guidelines to provide for new lighting, signage, wayfinding, historic interpretive panels, and other elements, while ensuring consistency with the CTP.

The Town should also promote improved maintenance of roadways including street cleaning, shrub maintenance along streets, etc.

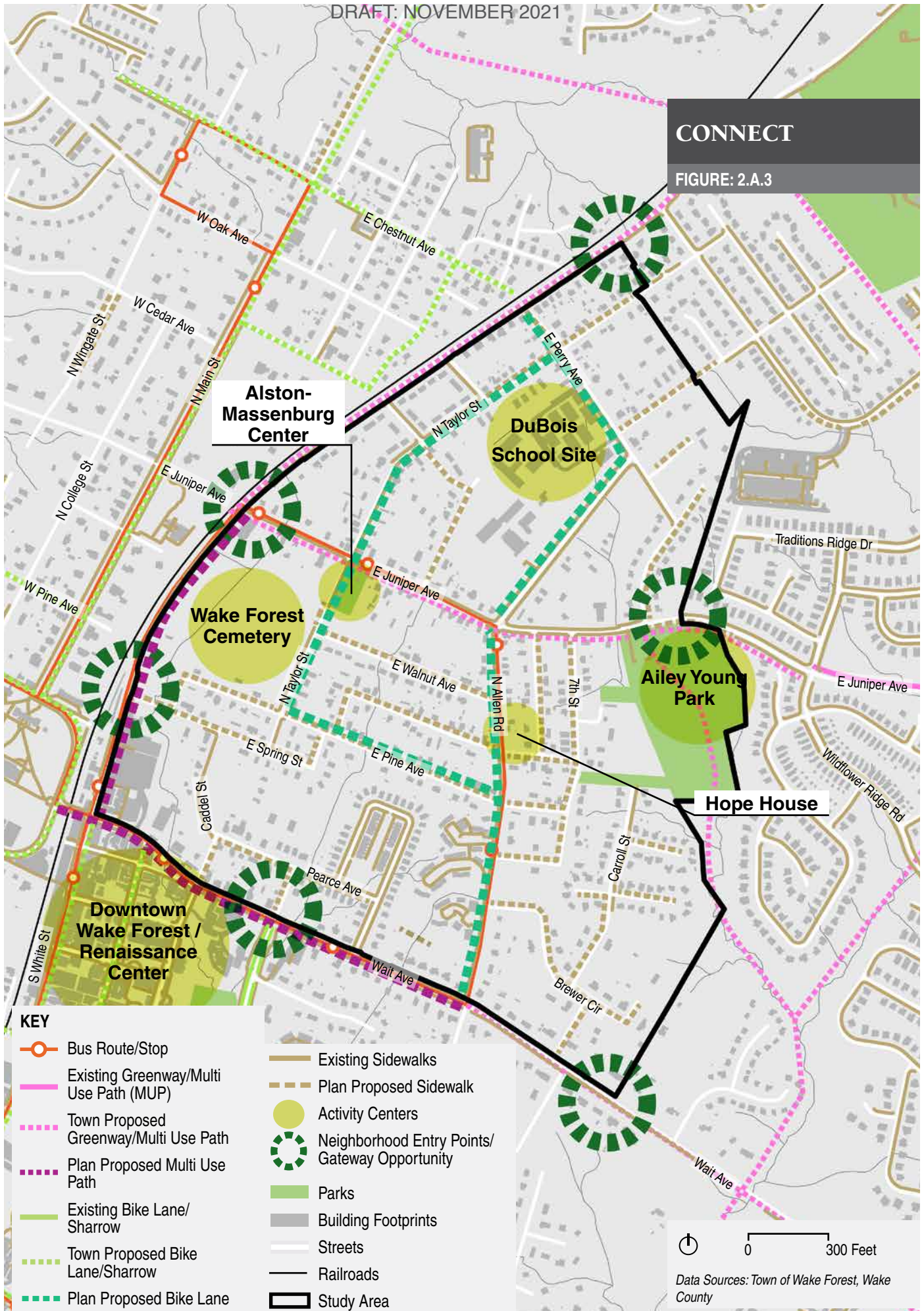
In the long term, the Town should update roadways to CTP recommended cross-sections and consider pursuing recommended roadway related actions for the following roadway connections:

- *N. White Street (between E. Roosevelt Avenue and E. Spring Street)*
 - i. Consider adding on-street parking.
- *N. Taylor Street (between Juniper Avenue / Walnut Avenue)*
 - ii. Convert to one-way if necessary for sidewalks on both sides of Taylor Street.
 - iii. Consider seeking agreement with Olive Branch Baptist Church and the Feggins & Feggins Funeral Service for shared parking for the Alston-Massenburg Center.
 - iv. Evaluate viability of sidewalks on both sides of Taylor Street.

CONNECT

FIGURE: 2.A.3

2



- *N. Allen Road*
 - v. Consider adding on-street parking along N Allen Road (north of Juniper Avenue).
 - vi. Consider opportunities for traffic calming measures.
 - vii. Widen sidewalks on west side of N. Allen Road to provide better access to DuBois Campus.
 - viii. Consider adding a mid-block crossing to mitigate the relatively longer block length of N. Allen Road between Juniper Avenue and E. Perry Avenue.
- *E. Juniper Avenue / N. Allen Road*
 - ix. Consider horizontal deflection (i.e., mini-roundabout) at this intersection to deter speeding.
- *Flaherty Avenue*
 - x. Place school pavement marking in front of the school.
- *Jubilee Court*
 - xi. Consider installing traffic calming measures to reduce cut-through traffic.
- *N. White Street / E. Juniper Avenue*
 - xii. Explore opportunity to signalize particularly as the Dubois campus develops.



Traffic calming element such as mini-roundabouts assist in reducing high vehicle speed while contextually fitting within modest-scaled neighborhoods.



Traffic calming measures such as on-street parking should be implemented to reduce speeding

STRATEGY

2. Install traffic calming elements to decrease speeding on key streets and improve safety for pedestrians, bicyclists, and non-motorists.

As some residents have voiced concerns over the speed of traffic in the neighborhood, opportunities for reducing speeding should be considered in future roadway projects.

Specific examples may include on-curb extensions at intersections, center islands/median installations, horizontal deflection (i.e., mini-roundabout), warning signage, etc.

Additional on-street parking should also be considered as it not only alleviates parking constraints, but buffers pedestrians from automobile lanes and provides periphery “friction” along a street—often slowing down drivers.

STRATEGY**3. Improve pedestrian and bicycle facilities to fill in network gaps and provide new connections for a multimodal network.**

The Town's 2019 Comprehensive Transportation Plan emphasizes a multi-modal approach to transportation. In addition to considerations for automobile traffic, it will be important to implement the proposed bicycle and pedestrian facilities outlined in the CTP. Specifically, these recommendations include:

- *Wait Avenue*
 - i. Provide crosswalks across Wait Avenue (i.e. N Taylor Street, N. Franklin Street, etc.).
 - ii. If traffic volumes along Wait Avenue are a concern, consider installing Rectangular Rapid Flashing Beacons at crosswalks or similar options (including mid-block crossing/s).
- *Juniper Avenue:*
 - iii. As traffic increases along Juniper Avenue, monitor for High Intensity Activated crossWalk (HAWK) signals at the proposed mid-block crossing to connect with Dunn Creek Greenway.
- *N Allen Street:*
 - iv. Explore adding sharrows (shared car and bicycle access lanes) along N. Allen Street to provide an additional north-south bicycle route.
- *7th Street*
 - v. Evaluate adding new pedestrian connection from 7th Street to Ailey Young Park.

The Town should continue to consider

accessibility in future bicycle and pedestrian facilities by performing a thorough analysis of roadways within the study area from an accessibility perspective. This would involve creating an inventory of needed improvements and periodic review and implementation to ensure ADA compliance.

STRATEGY**4. Implement the proposed greenways in the 2019 Comprehensive Transportation Plan; identify additional high priority additions to the greenway network.**

In an effort to further increase bicycle and pedestrian connections to areas outside of the Northeast Community, work should be done to reinforce and expand access to the greenway system. Some opportunities for this include:

- *Carroll Street / 7th Avenue*
 - i. Install pedestrian facilities along Carroll Street / 7th Avenue to provide direct access to the Dunn Creek Greenway.
- *Downtown Greenway Connection*
 - ii. Examine extending the Downtown Greenway (as identified in the CTP) into the study area to provide trail access to residents west of N. Allen Road. Depending on the route, this could provide Northeast Community residents with a back route into the CVS shopping center (activity center in close proximity to Downtown).

STRATEGY

5. Explore new transit connections/routes to link the Northeast to surrounding commercial and job centers.

Another important element to the Town's multi-modal approach to transportation is transit. A robust transit system not only increases mobility for a neighborhood, but also provides residents with an alternative to automobile ownership— helping households already straddled with burdensome housing costs.

The Town should investigate the viability of adding a transit route to/ from points north of the study area (i.e. Flaherty Park, Youngsville, etc.). Any new routes should have transfer options with the Wake Forest Loop. This would be especially beneficial as the DuBois Center campus begins to redevelop, which could serve potential new affordable housing units on-site.

New emerging technologies present a lot of opportunity for increased mobility in the study area. The Town should explore innovative multimodal technologies (i.e.

microtransit/micromobility) to give residents of the Northeast Community additional transportation options. Such microtransit options may include bikeshare, scooters, etc. Locate applicable microtransit docking stations near activity centers within and adjacent to the Northeast Community (such as, at the intersection of E. Roosevelt Avenue and N. White Street, at Alston-Massenburg Center, etc.)

The prospect of improved regional and intercity rail service may also offer mobility benefits for the Northeast Community. The Town should continue coordination with NCDOT and GoRaleigh to advance the Wake Forest Commuter Rail (S-Line) initiative. A key objective of this initiative should be identifying a train station site in close proximity to Downtown and the Northeast Community.



Micromobility improvements such as bike sharing programs should provide additional options for community connections. (Image Credit:assetssimpleviewinc.com)



Wake Forest Loop has provided needed transit connections for neighborhood residents to jobs and shopping according to community feedback. Explore additional transit service based on demands. (Image Credit:wakeforestnc.gov)



The S-Line initiative aims to improve intercity passenger rail service and establish a new commuter rail service for the Triangle region.

PARTNER

EMPOWER AND BUILD PARTNERSHIPS WITH RESIDENTS, ORGANIZATIONS, AND LOCAL LEADERS TO INCREASE OPPORTUNITIES FOR COMMUNITY-CENTERED ACTIVITIES IN THE NORTHEAST COMMUNITY.



Note: The partnerships described herein do not necessarily all involve the Town of Wake Forest and may include partnerships between other organizations apart from the Town.

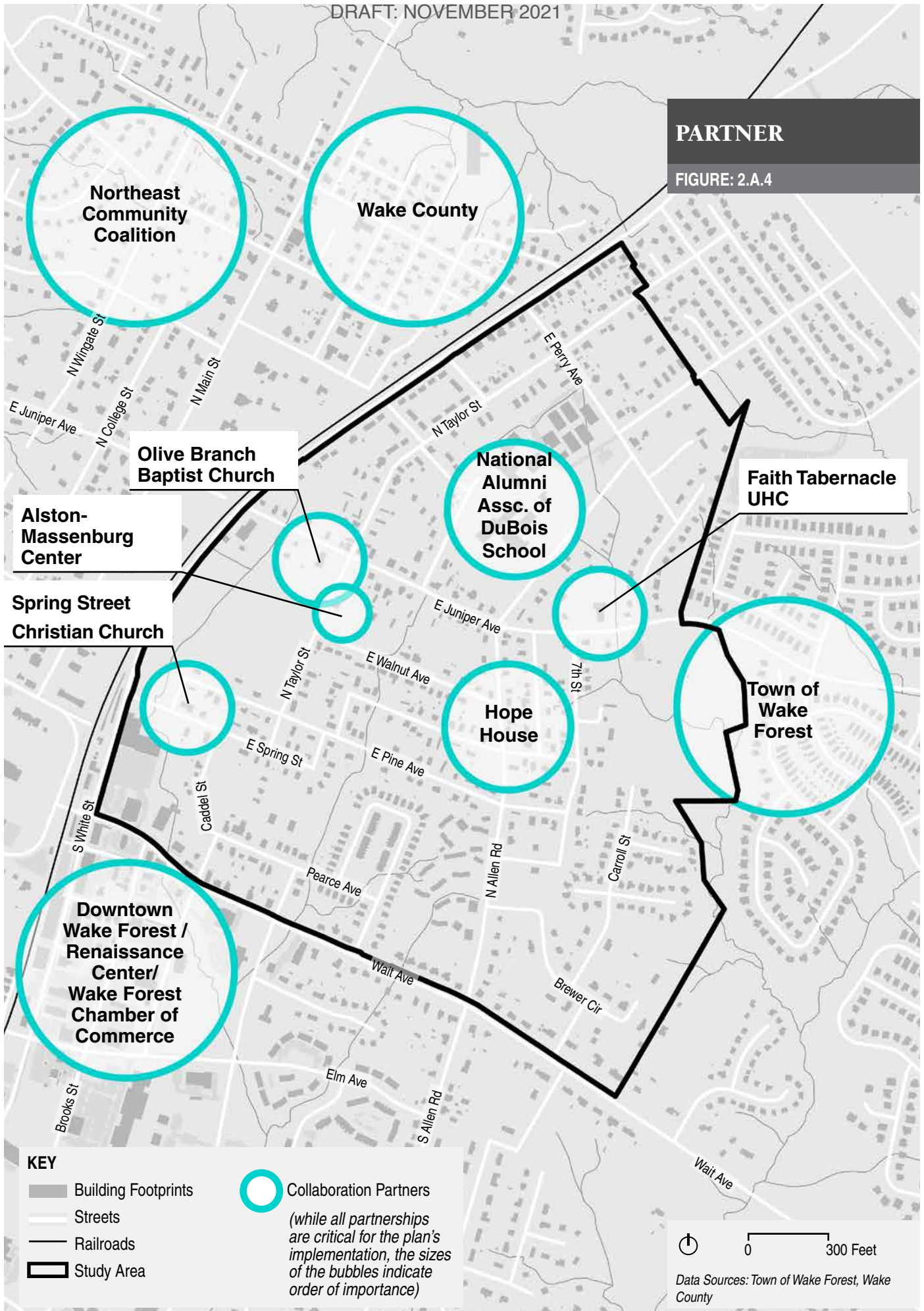
STRATEGY

- 1. Continue existing community celebrations and develop additional events (such as clean up days, food drives, Unity in the Community, etc.) to strengthen community pride and identity, and to draw people into the Community.**

Besides being a fun way to recreate, community events build connections between neighbors and also to residents outside the Northeast Community. The Town should work with local community organizations (such as NECC, churches, DuBois Alumni Association, etc.) to understand the needs and requirements for existing community celebrations and to help coordinate new ones.



Community events build connections between neighbors and also to residents outside the Northeast Community.



STRATEGY**2. Identify mentoring and job training opportunities for local residents to prepare individuals for diverse jobs.****ACTIONS**

Though much of this Plan focuses on the built environment, it is equally important to invest in the Northeast Community's people. Mentoring and job training programs are designed to equip current and future workers with the skills they need to start successful careers.

Specifically, Job Readiness Programs to train and prepare community members for employment should be explored. Coupling these programs with a local daycare center may further strengthen the workforce, so parents no longer must choose between a job and childcare. Ideally, these programs could be hosted at a revitalized DuBois Center Campus.

STRATEGY**3. Engage with local places of worship and non-profits to build community capacity and capital for job training, food security, fellowship, volunteer pool, community enrichment and education.**

Local non-profits and places of worship are the organizations best suited to build trust within the Northeast Community. Many of these groups could serve as hosts or ambassadors for programs like job training, food security, fellowship, volunteer pool, community enrichment, and education.

To properly empower these local non-profit groups and places of worship, appropriate resources, organizations (including public and private sector or through public-private partnerships), and grant funding to implement community programs should be identified.

STRATEGY**4. Provide youth and senior programming options.**

As previously mentioned, investing in the Northeast Community's people is key to this Plan's success. This rings especially true for the community's youth who especially benefit from mentorship and tutelage, in order to set them up for success into adulthood.

Partnerships should be formed to identify and implement youth programming such as mentoring, after school programs, daily homework initiatives, summer youth programs, recreation activities, etc.

The Northeast Community's seniors should also be looked to as a resource, as many have the life experience needed to be best suited for offering mentorship and care. Partnerships should be formed to identify senior programming opportunities and topics such as health care, nutrition, exercise, home repair and community well-being.

2.B FUTURE LAND USE MAP

The Future Land Use Map (FLUM) is a long-term map of land uses in the Northeast that will help to guide future growth. The map (see [Figure 2.B.1](#)) was created and informed by community feedback and by the four themes developed during the creation of the Northeast Community Plan. As per this FLUM, every parcel within the Northeast study area has been assigned a future land use designation.

FUTURE LAND USE MAP GOALS

The FLUM designations are “advisory” in nature and different from underlying “regulatory” framework of zoning designations for each parcel. The goals of the FLUM are as follows:

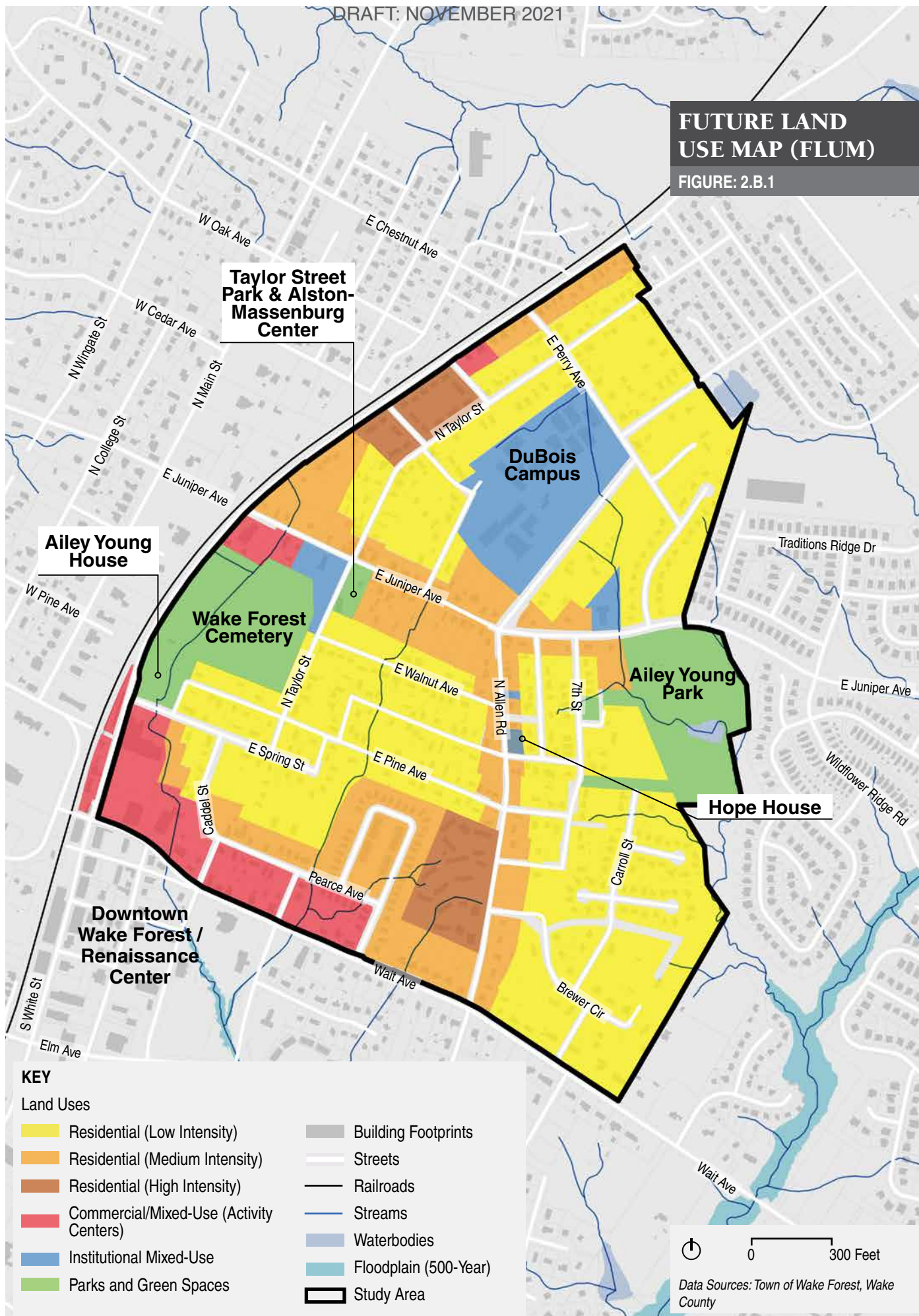
- Promote balance between preservation of the existing community and sustainable growth.
- Provide affordable housing throughout the area, varying in form, size, intensity/scale.

- Promote control and coordination between the land uses and their associated building typologies, form, and site improvements.
- Provide potential future land use opportunity/ies to property owners.
- Assist Town officials in reviewing applications for rezoning(s) and site development(s).

The following pages present the FLUM followed by descriptions of the land use categories as well as associated precedent images.

FUTURE LAND USE MAP (FLUM)

FIGURE: 2.B.1



FUTURE LAND USE MAP CATEGORIES

The following categories show potential building character including heights, uses, and building frontage options. In addition, each category shows precedent images that highlight potential building and adjoining public space character. Please note that these images are not intended for implementation/ construction purposes, but only as illustrative examples.

2

Residential (Low Intensity)

- **Location:** Existing single-family residential neighborhoods
- **Building Height:** 1-2 stories
- **Uses:** Single-Family (detached), Duplex, Accessory Dwelling Units



Residential (Medium Intensity)

- **Location:** Existing residential neighborhoods; this land use will act as transitional intensities/densities between Residential (Low Intensity) and higher intensity uses (such as, higher intensities of Residential, Commercial, Institutional, Mixed-Use)
- **Building Height:** Up to 3 stories
- **Uses:** Single-Family (attached & detached), Duplex, Accessory Dwelling Units



Single-Family (Detached - Medium Intensity)



Duplex



Single-Family (Attached)

Residential (High Intensity)

- **Location:** Existing multi-family residential areas; this land use will act as transitional intensities/densities between Residential (Low/Medium Intensity) and higher intensity uses (such as, Commercial, Institutional, Mixed-Use)
- **Building Height:** Up to 3 stories
- **Uses:** Single-Family (attached), Duplex, Triplex, Quadplex, Multi-Family (limited), Accessory Dwelling Units



Duplex



Townhomes



Small Apartments

2 Commercial/Mixed-Use (Activity Centers)

- **Location:** At major activity centers (such as near Downtown and existing commercial areas)
- **Building Height:** Up to 4 stories
- **Uses:** Residential (multi-family limited to upper floors), Commercial, Office, Retail (at ground floors only)



Commercial



Mixed-Use (Residential above Commercial)



Mixed-Use

Institutional Mixed-Use

- **Location:** Existing and future education/ institutional land use areas, places of worship
- **Building Height:** Up to 3 stories
- **Uses:** Education/Learning, Residential, Commercial, Office, Places of Worship, Technology/Flex Uses, Recreation



Institutional Campus



Institutional Building integrated with Green Space



Place of Worship

Parks and Green Spaces

- **Uses:** Parks (including pocket parks, parklets), community gardens, recreation centers, community centers, cemeteries.



Community Park



Green Space integrated with Multi-Use Path



Public Plazas / Gathering Opportunities



3

IMPLEMENTATION



3.A IMPLEMENTATION MATRIX

The Northeast Community Plan recommendations provide a pathway towards the shared future vision of the community. Fundamental to achieving this vision will be the phasing, funding, implementation, and tracking of the specific policies and actions proposed in the Plan.

This implementation matrix provides an outline that the Town of Wake Forest and other relevant stakeholders can use to implement the recommendations of this plan. The matrix consists of a series of actions for each strategy that, once implemented, will achieve the goals of this plan. The matrix consists of:

- Targeted Actions
- Relevant Strategies & Themes
- Timeline

The **targeted action** items will help guide the Town of Wake Forest, as well as non-profit and private organizations, toward informed decision making on advancing the recommendations envisioned in this plan.

The **timeline** for implementing the actions varies given their complexity, cost, number of partners, and other factors. The timeline includes short term (0 to 2 years), medium term (3 to 8 years), and long term (8+ years) phases.

Additionally, the Town will allocate appropriate funding to help with implementation of certain actions. Such decisions will be taken on a case-by-case basis for each of the targeted actions. Some action items may require a combination of funding sources. **Funding** sources may include:

- Town's General Fund
- Grant programs
- Federal, state and county level funds (transportation, public improvements, arts, etc.)
- Local creative funding (such as the Rehabilitation Fund)
- Local Public Art Commission/Municipal Art Fund.
- Wake County (Wake County Housing and Community Revitalization, Wake County Housing Affordability & Community Revitalization, Wake County Schools, Housing Authority of the County of Wake, and others)
- Northeast Community Coalition (NECC)
- National Alumni Association of DuBois School
- Local Churches and Religious Institutions (including Hope House)
- Wake Forest Area Chamber of Commerce
- YMCA (Wake County)
- Boy's and Girl's Club
- Wake Forest Downtown Inc.
- Local financial institutions
- Local historic groups and organizations (Wake Forest Historical Museum)
- Job training organizations including Wake Technical Community College, NC Works Career Center, and others

The Town may also **partner** with a number of agencies, non-profits, churches, and other groups to achieve the objectives of this plan. These partners can include:

- Town of Wake Forest partners (Planning, Parks, Transportation/Public Works)

IMPLEMENTATION MATRIX

#	TARGETED ACTIONS	RELEVANT THEMES & STRATEGIES	TIMELINE
1	Identify programs, initiatives, targeted funding mechanisms, counseling, and educational opportunities to allow existing residents flexibility in maintaining their chosen place of residence.	Preserve + Protect Partner	Ongoing
2	Focus additional residential and non-residential growth as per Future Land Use Map recommendations and explore rezoning targeted parcels (e.g., DuBois site, parcels along Wait Avenue) to accommodate and encourage non-residential uses.	Preserve + Protect Flourish	Short to Medium
3	Research potential in-fill development sites that could support future affordable housing development in the Northeast Community — which may include a mix of multi-family housing, attached single-family housing, and detached single-family housing.	Preserve + Protect Flourish	Short
4	Update the UDO to require appropriate transitions and buffers between new commercial development and residential neighborhoods.	Preserve + Protect	Medium
5	Update the UDO to allow Accessory Commercial Units (ACU).	Flourish	Medium
6	Continue to include provisions for accessory dwelling units (ADUs) within development regulations, including future overlay districts, to encourage the creation of such units.	Flourish	Medium
7	Establish an overlay zoning district to align new construction with existing orientation, massing, height, size, setback, building and scale. Determine building frontages applicable to each land use category based on research of existing lot widths.	Preserve + Protect Flourish	Short to Medium
8	Prepare and adopt discretionary guidelines to guide the design of residential and non-residential properties.	Preserve + Protect Flourish	Short to Medium
9	Identify additional green spaces and small-scale social gathering places (e.g. community gardens, pocket parks, playgrounds, etc.) in the Northeast Community and explore opportunities to add these spaces to the open space, greenway, and parks network.	Preserve + Protect Connect	Ongoing
10	Modernize Ailey Young Park to align with other community park improvements. Assess the demands and desires of the community's recreational needs and explore potential improvements at the park.	Preserve + Protect Flourish	Medium

IMPLEMENTATION MATRIX

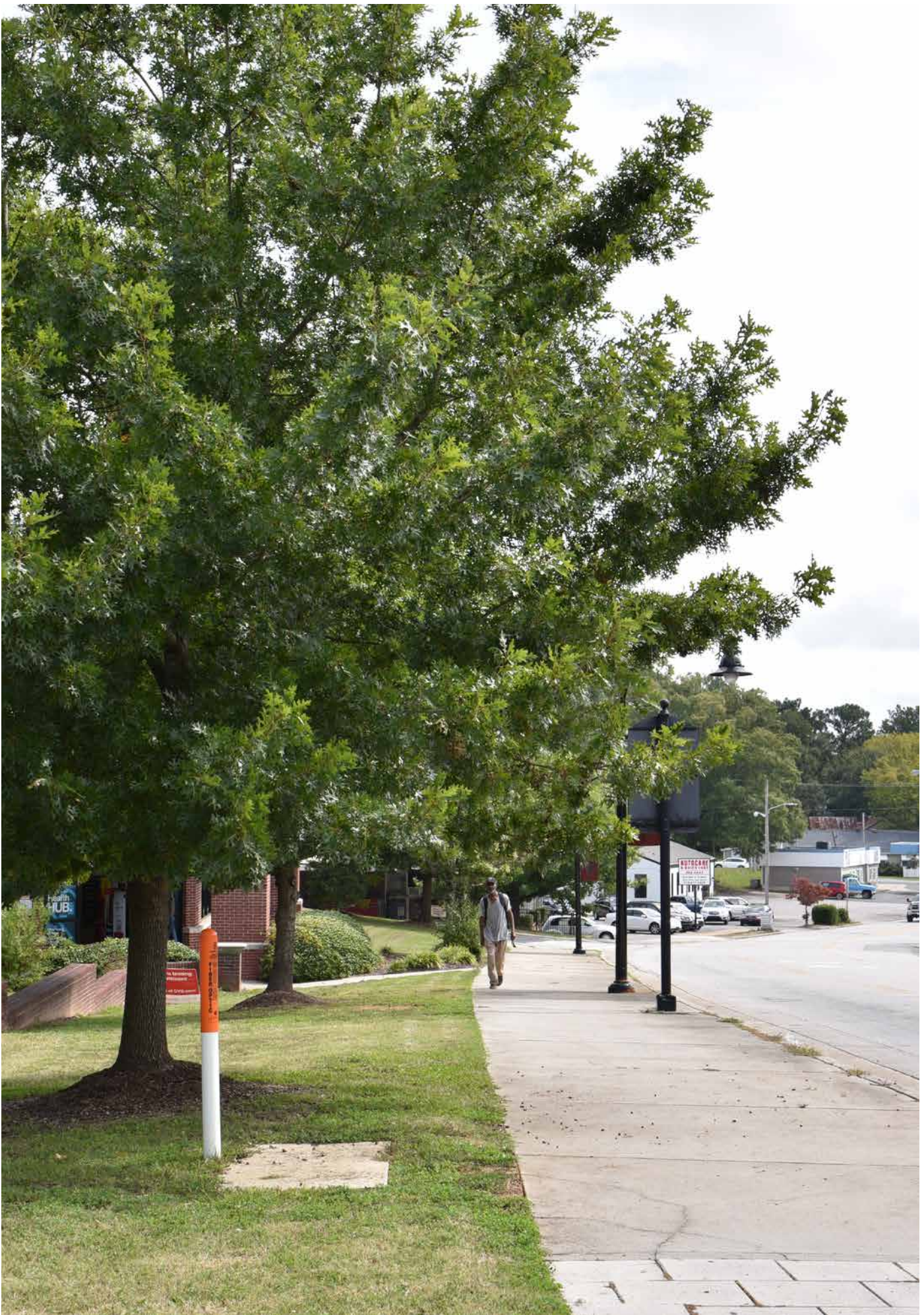
#	TARGETED ACTIONS	RELEVANT THEMES & STRATEGIES	TIMELINE
11	Design and install wayfinding, signage and interpretive panels at existing parks. Such signage may include maps of the larger scale greenway network in addition to information regarding specific locations. Wayfinding signage should consider both pedestrian and bicycle friendly scales as well as vehicular scale for visibility/legibility.	Preserve + Protect Connect	Short to Medium
12	Continue to implement tree planting programs and identify potential locations for additional tree planting.	Preserve + Protect Partner	Ongoing
13	Continue to identify masses of mature and specimen trees throughout the community and encourage their protection where feasible.	Preserve + Protect	Ongoing
14	Identify additional local historic sites within the Northeast Community through engagement activities with local leaders, groups, and places of worship.	Preserve + Protect Partner	Ongoing
15	Work with national, state and local historic preservation programs to formally protect identified historic and culturally significant sites in the Northeast Community.	Preserve + Protect Partner	Medium
16	Preserve the Ailey Young House as an African-American heritage site. The site can act as a gateway into the community, as well as a place to celebrate the African-American heritage of Wake Forest.	Preserve + Protect	Short to Medium
17	Identify opportunities to provide educational programming to tell the stories of local historic sites and their role in both the Northeast Community and Town of Wake Forest.	Preserve + Protect Connect	Ongoing
18	Continue to install historic markers or other interpretive material at historic sites.	Preserve + Protect Connect	Ongoing
19	Explore the establishment of a historic district and/or cultural landscape to preserve the historic character of the Northeast.	Preserve + Protect	Short to Medium
20	Implement the streetscape recommendations that align with the 2019 Comprehensive Transportation Plan (CTP – updated 2021).	Preserve + Protect Flourish Connect	Ongoing

IMPLEMENTATION MATRIX

#	TARGETED ACTIONS	RELEVANT THEMES & STRATEGIES	TIMELINE
21	Perform a thorough analysis of utility infrastructure systems within the study area - including broadband network coverage. The analysis should be used to update the list of needed improvements in the study area, which may be carried out through the Town's Capital Improvements Plan or through coordination with utility agencies.	Flourish Partner	Ongoing
22	Implement the proposed bicycle, pedestrian, greenways, multiuse paths, roadway, and connectivity facilities outlined in the 2019 Comprehensive Transportation Plan (CTP - updated 2021).	Flourish Connect	Medium to Long
23	Conduct an ADA audit of existing bike and pedestrian facilities within the study area to ensure ADA compliance.	Connect	Medium
24	Promote maintenance of roadways including street cleaning, shrub maintenance along streets, etc.	Preserve + Protect Connect	Ongoing
25	Consider opportunities to reduce speeding along neighborhood roadways. Interventions could include traffic calming installations, on-street parking to buffer pedestrians from automotive lanes and deter speeding, and warning signage at specific locations to deter cut-through traffic.	Flourish Connect	Short
26	Explore creation of community gateway improvements at key intersections including identifying signage (i.e. "Northeast Community). Such gateway improvements may include landscaping, public art, signage, lighting, etc.	Flourish Connect	Medium to Long
27	Explore opportunities to provide spaces and programming options for the installation of public art, specifically at activity centers in and around the community.	Flourish Connect Partner	Ongoing
28	Continue coordination with NCDOT and GoRaleigh to advance the Wake Forest Commuter Rail (S-Line) initiative.	Connect Partner	Ongoing
29	Explore innovative multimodal technologies (i.e. microtransit / micromobility) to give residents of the Northeast Community additional transportation options.	Flourish Connect Partner	Medium
30	As the DuBois campus redevelops, investigate enhancing the transit service in the study area to include stops in the northern and eastern portions of the study area.	Flourish Connect Partner	Long

IMPLEMENTATION MATRIX

#	TARGETED ACTIONS	RELEVANT THEMES & STRATEGIES	TIMELINE
31	Investigate the viability of adding a transit route to / from points north of the study area (i.e. Flaherty Park, Youngsville, etc.).	Flourish Connect Partner	Medium
32	Collaborate with Wake County to identify funding opportunities (e.g., Community Development Block Grants) for affordable housing and other neighborhood improvement activities.	Preserve + Protect Flourish Partner	Ongoing
33	Encourage the redevelopment of the W.E.B. DuBois School Campus to include uses and programming that benefit both the Alumni Association and surrounding neighborhood.	Flourish Partner	Long
34	Work with local community organizations (such as NECC, places of worship, Alumni Association, etc.) to understand needs and requirements for existing community celebrations, as well as identify additional opportunities for new community celebrations. As part of this effort, identify funding sources and collaborative partners to launch new community events.	Flourish Partner	Ongoing
35	Strengthen existing job training and mentorship programs that can be or are provided through local organizations in Wake Forest. Provide additional opportunities as new skills are needed. Enact additional job readiness programs, directed at younger and older residents, to help individuals transition into new jobs.	Flourish Partner	Medium to Long
36	Work with local organizations to identify and implement youth programming such as mentoring, after school programs, daily homework initiatives, summer youth programs, recreation activities, etc.	Flourish Partner	Short
37	Work with local organizations and religious institutions to identify and implement child care programming to help support working families in the Northeast Community.	Flourish Partner	Short to Medium
38	Work with local organizations to identify senior programming opportunities and topics such as health care, nutrition, exercise, home repair and community well-being.	Flourish Partner	Short to Medium
39	Identify local funding sources and locations that could host youth and senior programming activities.	Flourish Partner	Short



APPENDIX

4.A ADDITIONAL DEMOGRAPHIC & HOUSING ANALYSIS

This section consists of additional analysis of demographic trend and projections to better understand the Northeast Community, its economy, and how the community may evolve over the next 10 years. This section should be used specifically in conjunction with [section 1.D](#) under Existing Conditions.

Population Age Distribution

In terms of median age, the study area (32.4) was much younger than the Town (36.0) and the MSA (36.4) in 2020. The characteristic of a younger population reflects the fact that the age group with the highest population share in the study area is 25-34 years, versus the group with the highest share in the Town and the MSA is aged 35-44. Further, the group aged 15-34, which includes young people in high school through undergraduate and graduate school in some cases, was proportionally larger in the study area (31.4%) than the Town (24.8%) and the MSA (27.7%) in 2020. This may suggest that the study area has attracted more young family households and college student households than the Town, though both geographies are surrounded by colleges and universities.

However, the study area has also seen a slightly higher share of the senior population aged at or over 65 (13.4%) than both the Town (11.4%) and the MSA (12.2%) in 2020. In fact, the age cohort of 65-74 has seen the fastest annual growth between 2010 and 2020 at 7.0% among all age groups,

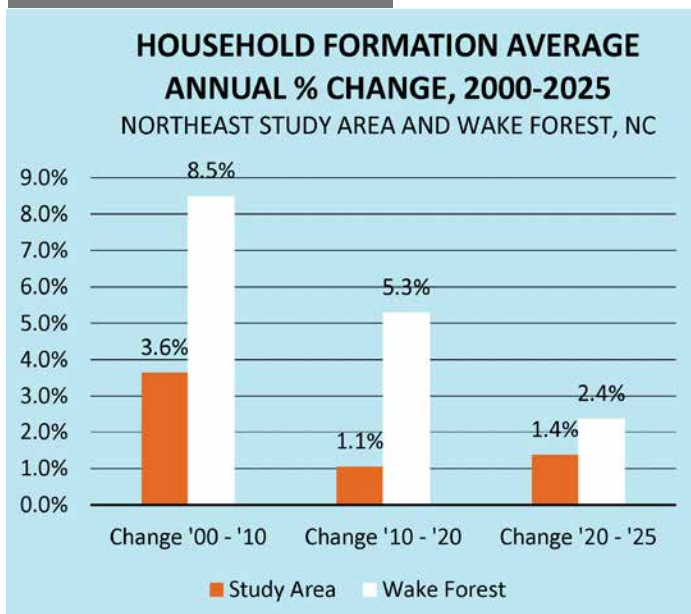
much higher than the MSA (4.5%) though trailing the Town (13.0%). The senior group aged 65+ has also been increasing its population share in all three geographies since 2010, and this is projected to continue through 2025. The group aged 65+ is projected to increase from 11.1% in 2010 to 14.3% in 2025 in the study area, while the comparable projection in the Town is from 8.2% to 13.2% and from 9.0% to 14.1% in the MSA during the same period. This suggests that the area is following a national trend of an aging population, with this trend more prominent in the study area than in either the Town or the MSA.

In general, the study area has proportionally more people falling on the two ends of the age spectrum – younger people under 35 and seniors aged 65+ – than the Town and the MSA. This pattern could add pressure to homeownership in the study area, as these two age groups usually have lower household incomes required for home purchases and maintenance compared to more financially established working age groups aged between 35 to 64 years.

TABLE: 4.A.1

Population Age Distribution									
Northeast Community Study Area and Surrounding Areas, NC (2000-2025)									
	Study Area			Wake Forest			Raleigh-Cary MSA		
	2010	2020	2025	2010	2020	2025	2010	2020	2025
0-4 years	154	142	152	2,760	3,436	3,790	82,526	90,702	102,288
5-9 years	144	130	133	3,124	3,854	4,101	85,917	96,370	103,861
10-14 years	126	121	122	2,608	3,668	3,998	81,395	99,205	105,435
15-24 years	237	273	300	3,154	5,619	5,970	151,486	195,575	210,870
25-34 years	292	277	320	3,913	5,897	6,801	165,052	196,993	232,901
35-44 years	216	230	215	5,763	7,383	8,255	183,139	199,827	215,591
45-54 years	186	186	208	4,064	6,315	6,645	165,052	195,575	199,854
55-64 years	133	161	155	2,457	5,015	5,451	115,310	168,648	180,971
65-74 years	67	114	127	1,456	3,343	4,205	59,916	109,125	133,761
75-84 years	74	65	88	728	1,393	2,025	30,523	46,768	67,667
85+ years	45	56	52	303	557	623	11,305	17,007	20,458
Total Population	1,678	1,753	1,872	30,331	46,436	51,917	1,130,490	1,417,213	1,573,657
Median Age	31.0	32.4	31.5	34.1	36.0	36.5	34.9	36.4	36.4
Percentage Distribution									
0-4 years	9.2%	8.1%	8.1%	9.1%	7.4%	7.3%	7.3%	6.4%	6.5%
5-9 years	8.6%	7.4%	7.1%	10.3%	8.3%	7.9%	7.6%	6.8%	6.6%
10-14 years	7.5%	6.9%	6.5%	8.6%	7.9%	7.7%	7.2%	7.0%	6.7%
15-24 years	14.1%	15.6%	16.0%	10.4%	12.1%	11.5%	13.4%	13.8%	13.4%
25-34 years	17.4%	15.8%	17.1%	12.9%	12.7%	13.1%	14.6%	13.9%	14.8%
35-44 years	12.9%	13.1%	11.5%	19.0%	15.9%	15.9%	16.2%	14.1%	13.7%
45-54 years	11.1%	10.6%	11.1%	13.4%	13.6%	12.8%	14.6%	13.8%	12.7%
55-64 years	7.9%	9.2%	8.3%	8.1%	10.8%	10.5%	10.2%	11.9%	11.5%
65-74 years	4.0%	6.5%	6.8%	4.8%	7.2%	8.1%	5.3%	7.7%	8.5%
75-84 years	4.4%	3.7%	4.7%	2.4%	3.0%	3.9%	2.7%	3.3%	4.3%
85+ years	2.7%	3.2%	2.8%	1.0%	1.2%	1.2%	1.0%	1.2%	1.3%

FIGURE: 4.A.1



Race and Ethnicity of Population

Like the Town and the MSA, the population in the study area is predominantly White, accounting for 58.9% in 2020. However, the percentage of White residents in the study area (58.9%) is almost 15 percentage points lower than that for the Town (73.8%) and almost five percentage points lower than the MSA (64.5%) in 2020. The percentages of the White population in all three geographies have also been trending downward since 2010 and this is projected to continue through 2025. In addition, the percentage of the Black population in the study area stood at 33.1% in 2020, much higher than in the MSA (19.9%) and nearly double the share of 16.3% in the Town.

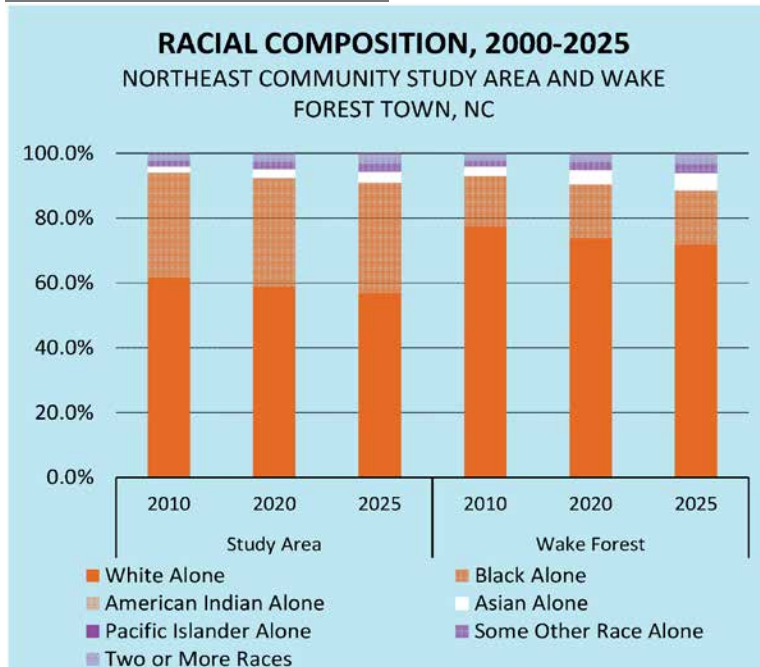
Contrary to the MSA, the proportions of the Black population in both the study area and the Town have been rising since 2010 and are estimated to continue to rise through 2025. At the same time, while the percentages of people of Hispanic origins in the study area, the Town, and the MSA have all been increasing since 2010, the share in the study area has been falling behind the Town and the MSA, especially since 2020 (Table 4.A.2, Figure 4.A.2). These trends reflect that the study area is much more racially diverse than the Town and the MSA with a strong Black population. Nevertheless, the racial diversity of the population in all three geographies is projected to strengthen into 2025.

TABLE: 4.A.2

Racial & Ethnic Composition of Population									
Northeast Community Study Area and Surrounding Areas, VA (2000-2025)									
	Study Area			Wake Forest			Raleigh-Cary MSA		
Racial/Ethnic Group	2010	2020	2025	2010	2020	2025	2010	2020	2025
White Alone	1,034	1,033	1,063	23,476	34,270	37,227	763,081	914,102	980,388
Black Alone	539	580	633	4,610	7,569	8,567	228,359	282,025	311,584
American Indian Alone	7	7	7	121	186	208	5,652	7,086	7,868
Asian Alone	30	47	64	910	1,950	2,752	49,742	94,953	127,466
Pacific Islander Alone	0	2	2	0	46	52	0	1,417	1,574
Some Other Race Alone	30	35	41	485	1,068	1,350	56,525	76,530	92,846
Two or More Races	39	51	62	728	1,393	1,765	27,132	42,516	51,931
Hispanic Origin	89	109	127	1,699	3,251	4,050	27,132	157,311	188,839
Total Population	1,678	1,753	1,872	30,331	46,436	51,921	1,130,490	1,417,213	1,573,657
Percent Distribution									
White Alone	61.6%	58.9%	56.8%	77.4%	73.8%	71.7%	67.5%	64.5%	62.3%
Black Alone	32.1%	33.1%	33.8%	15.2%	16.3%	16.5%	20.2%	19.9%	19.8%
American Indian Alone	0.4%	0.4%	0.4%	0.4%	0.4%	0.4%	0.5%	0.5%	0.5%
Asian Alone	1.8%	2.7%	3.4%	3.0%	4.2%	5.3%	4.4%	6.7%	8.1%
Pacific Islander Alone	0.0%	0.1%	0.1%	0.0%	0.1%	0.1%	0.0%	0.1%	0.1%
Some Other Race Alone	1.8%	2.0%	2.2%	1.6%	2.3%	2.6%	5.0%	5.4%	5.9%
Two or More Races	2.3%	2.9%	3.3%	2.4%	3.0%	3.4%	2.4%	3.0%	3.3%
Hispanic Origin	5.3%	6.2%	6.8%	5.6%	7.0%	7.8%	2.4%	11.1%	12.0%

Credit: ESRI and RKG Associates, Inc., 2021

FIGURE: 4.A.2



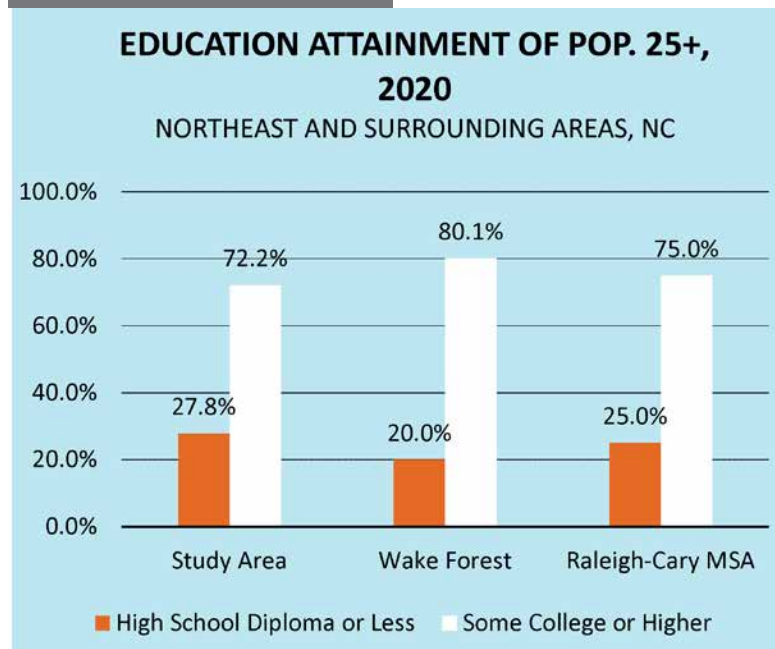
Education Attainment

The education attainment levels in the study area, the Town, and the MSA are favorable as all three geographies have over 70% of their population aged over 25 years having some college or higher degrees as of 2020. This is much higher than both the state (63.6%) and national levels (61.9%), though the study area (72.2%) is slightly behind the Town (80.1%) and the MSA (75.0%) (Figure 4.A.3).

Median Household Income

While the Northeast population is highly educated, like the Town and the MSA, the modest household incomes in the study area are not matching the high education attainment levels seen in both the Town and the MSA. The percentage of study area households making under \$35,000 per year (31.5%) is almost double that of the Town (16.0%), and much higher than the MSA level (19.4%) in 2020. At the same time, the share of households earning above \$100,000 annually in the study area is 28.5%, which is much lower than the Town (43.1%) or the MSA (37.9%). Additionally, the median household income of \$85,660 in the Town is 1.1 times the MSA level (\$76,960), while the median household income in the study area

FIGURE: 4.A.3



(\$57,601) is only 67.2% of the Town level (Table 4.A.3, Table 4.A.4). For context, the median household income was \$68,400 on a national level with “middle class” defined as households with incomes ranging between \$34,200 (half the U.S. median income) to \$136,800 (twice the U.S. median income).

TABLE: 4.A.3

Distribution of Household Income, 2020						
Northeast Community Study Area and Surrounding Cities, NC						
	Study Area		Wake Forest		Raleigh-Cary MSA	
Household Income	Count	% of Total	Count	% of Total	Count	% of Total
<\$15,000	79	11.9%	842	5.2%	32,237	6.0%
\$15,000 - \$24,999	62	9.3%	826	5.1%	32,774	6.1%
\$25,000 - \$34,999	69	10.3%	923	5.7%	39,222	7.3%
\$35,000 - \$49,999	72	10.8%	1,636	10.1%	62,325	11.6%
\$50,000 - \$74,999	131	19.6%	2,787	17.2%	95,099	17.7%
\$75,000 - \$99,999	64	9.6%	2,220	13.7%	72,533	13.5%
\$100,000 - \$149,999	123	18.4%	3,418	21.1%	98,860	18.4%
\$150,000 - \$199,999	29	4.3%	1,879	11.6%	45,669	8.5%
\$200,000+	39	5.8%	1,685	10.4%	59,101	11.0%
Total Household	668	100.0%	16,201	100.0%	537,282	100.0%
Under \$35,000/yr.	210	31.5%	2,592	16.0%	104,233	19.4%
\$100,000 +/yr.	190	28.5%	6,983	43.1%	203,630	37.9%
Median Household Income	\$57,601	N/A	\$85,660	N/A	\$76,960	N/A

Credit: ESRI and RKG Associates, Inc., 2021

This mismatch between the high education attainment levels and the comparatively lower household incomes in the study area could be partially explained by the higher unemployment rate and proportionally more people with services occupations in the study area compared to the Town and the MSA. The population unemployment rate for the 16+ cohort in 2020 is 12.7% in the study area, higher than the Town (10.3%) and the MSA (9.9%).

The study area also has a lower share of white-collar workers (70.7%), especially in the management/business/financial (15.4%) and professional (26.0%) fields. In comparison, the Town has 75.7% of white-collar workers, including 21.0% in management/business/financial and 30.7% in the professional field, and the MSA has 71.4% of white-collar workers including 19.4% in management/business/financial and 29.2% professional workers. White-collar jobs are usually associated with higher educational attainment levels and salaries. All these metrics point to a possible shortage of advanced employment opportunities, especially higher-paying white-collar jobs in the study area compared to the Town and the MSA, as the study area has not been sharing the economic growth in its surrounding area.

TABLE: 4.A.4

Median Household Income Change, 2020-2025				
Northeast Community Study Area and Surrounding Cities, NC				
	2020	2025	Chg. '20-'25	% Chg.
Study Area	\$57,601	\$60,589	\$2,988	5.2%
Wake Forest	\$85,660	\$94,561	\$8,901	10.4%
Raleigh-Cary MSA	\$76,960	\$82,167	\$5,207	6.8%

Credit: ESRI and RKG Associates, Inc., 2021

HOUSING

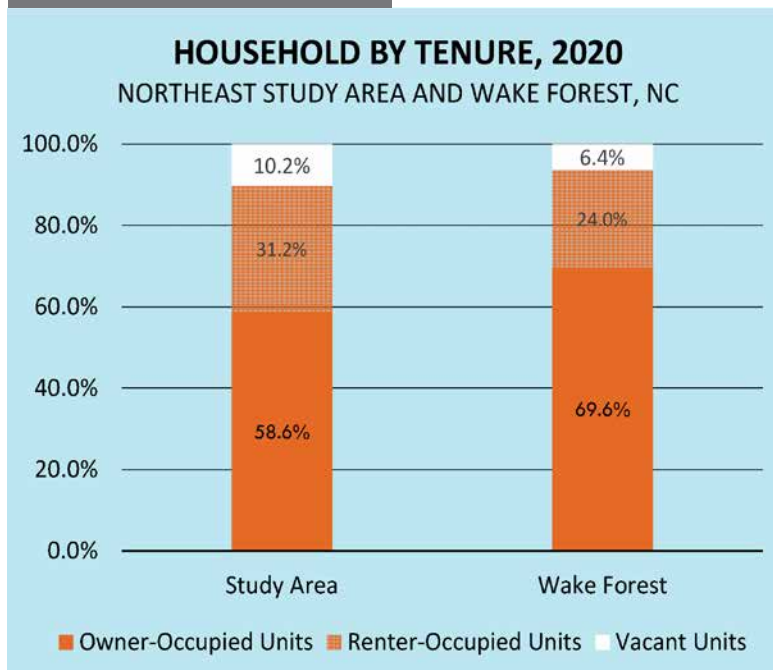
Housing Tenure

Housing units in both the study area and the Town of Wake Forest are predominantly owner-occupied, while the ownership rate in the study area (58.6%) was lagging the Town (69.6%) in 2020. However, the study area percentage of owner-occupied units rose 14 percentage points from 2010 to 2020 (44.4% to 58.6%). In comparison, the Town has only seen a two-percentage point increase in the home ownership rate from 67.4% to 69.6% during the same period. The increasing homeownership rate, coupled with a decrease of 63 renter-occupied units between 2010 and 2020 in the study area, is a positive trend. This likely suggests that some rental units may have been converted to ownership units, adding to home buying options and channeling investment to the housing market and the community in the study area.

Another positive trend is that the percentages of vacant units have been declining in both the study area (13.2% to 10.2%) and the Town (7.5% to 6.4%) between 2010 and 2020. The study area has seen an actual reduction of 16 vacant units during the previous decade, as compared to the increase of vacant units in the Town. The housing vacancy rate is also projected to continue to decline in both geographies between 2020 and 2025 (Figure 4.A.4, Table 4.A.5).

However, the growth rates of owner-occupied units and total housing units in the study area still fall behind the Town. The study area's owner-occupied units increased by 4.1% annually compared to 5.6% in the Town, and total housing units grew by 0.7% per year, much lower than the Town level of 5.1% between 2010 and 2020. In general, the study area has seen a much slower recovery from the last housing recession compared to the Town, with limited new housing development.

FIGURE: 4.A.4



Credit: ESRI and RKG Associates, Inc., 2021

TABLE: 4.A.5

Housing Trends and Changes by Tenure, 2010-2025				
Northeast Community Study Area and Wake Forest Town, NC				
	Study Area		Wake Forest	
	Count	Percent	Count	Percent
2010				
Owner-Occupied Units	309	44.4%	7,722	67.4%
Renter-Occupied Units	295	42.4%	2,875	25.1%
Total Occupied Units	604	86.8%	10,597	92.5%
Vacant Units	92	13.2%	863	7.5%
Total Units	696	100.0%	11,460	100.0%
2020				
Owner-Occupied Units	436	58.6%	12,044	69.6%
Renter-Occupied Units	232	31.2%	4,158	24.0%
Total Occupied Units	668	89.8%	16,202	93.6%
Vacant Units	76	10.2%	1,111	6.4%
Total Units	744	100.0%	17,313	100.0%
2025				
Owner-Occupied Units	460	58.2%	13,409	69.6%
Renter-Occupied Units	255	32.2%	4,709	24.4%
Total Occupied Units	715	90.4%	18,118	94.0%
Vacant Units	76	9.6%	1,158	6.0%
Total Units	791	100.0%	19,276	100.0%
	Actual Chg.	Ann. % Chg.	Actual Chg.	Ann. % Chg.
Change 2010-2020				
Owner-Occupied Units	127	4.1%	4,322	5.6%
Renter-Occupied Units	(63)	-2.1%	1,283	4.5%
Total Occupied Units	64	1.1%	5,605	5.3%
Vacant Units	(16)	-1.7%	248	2.9%
Total Units	48	0.7%	5,853	5.1%
Change 2020-2025				
Owner-Occupied Units	24	1.1%	1,365	2.3%
Renter-Occupied Units	23	2.0%	551	2.7%
Total Occupied Units	47	1.4%	1,916	2.4%
Vacant Units	0	0.0%	47	0.8%
Total Units	47	1.3%	1,963	2.3%

Credit: ESRI and RKG
Associates, Inc., 2021

Housing Unit Type

The housing stock in both the study area and the Town of Wake Forest predominantly consists of single-family homes, though the single-family home (detached and attached) percentage in the study area falls behind the Town at 69.7% versus 80.7%, according to American Community Survey 2014-2018 Estimates.

Other than structures with two to four units, the study area's percentage for all multi-unit structures (five or more units) is higher than the Town (23.5% versus 13.5%). Also, structures with ten or more units make up 15.6% of the study area's housing count, compared to 10.0% in the Town during the same period (Table 4.A.6).

The study area's higher percentage of multi-unit structures, which are usually rental units, resonates with its larger share of renter households than is the case for the Town of Wake Forest. These are most likely occupied by younger one- or two-person households, though the homeownership rate in the study area has been rising. This also likely means that some renters may be renting houses with poorer conditions for a lower price, and parts of the housing stock in the study area may need repairs to prevent deterioration and neighborhood blight, which can be a challenge for lower income households.

Year Built

The study area's housing stock is proportionally older than that found in the Town of Wake Forest, with 63.3% of its housing units built before 2000, compared to 37.6% in the Town. At the same time, the study area appears to be slowing down in housing unit production, while the Town is still growing. The Town saw a boom in the

production of housing units between 2000 and 2009 with units built in this period accounting for 42.2%; the Town has added another 20.2% since 2010, back to the pre-recession level. In comparison, the study area added its largest portion (35.6%) of units between 1990 and 1999 and has since seen declining new unit production over the decades (Table 4.A.7).

TABLE: 4.A.6

Housing Stock by Unit Type (ACS 2014-2018 Estimates)				
Northeast Community Study Area and Wake Forest, NC				
	Study Area		Wake Forest	
	Count	Percent	Count	Percent
Single Family (Detached)	520	61.1%	9,809	67.2%
Single Family (Attached)	73	8.6%	1,981	13.6%
2 to 4 Units	26	3.1%	722	4.9%
5 to 9 Units	67	7.9%	509	3.5%
10 or More Units	133	15.6%	1,460	10.0%
Mobile Home/Other	32	3.8%	124	0.8%
Total	851	100.0%	14,605	100.0%

TABLE: 4.A.7

Housing Stock by Structure Year Built, 2020				
Northeast Community Study Area and Town of Wake Forest, NC				
	Study Area		Wake Forest	
	Count	Percent	Count	Percent
2010-Present	112	13.2%	2,954	20.2%
2000-2009	200	23.5%	6,159	42.2%
1990-1999	303	35.6%	2,988	20.5%
1980-1989	85	10.0%	951	6.5%
Before 1980	151	17.7%	1,553	10.6%
Total	851	100.0%	14,605	100.0%

Credit: ESRI and RKG Associates, Inc., 2021

It is anecdotally observed that there have been few new housing developments in the study area since 2000. The study area has seen some new subdivisions, but those are just very recently developed. This lack of growth momentum is also reflected in the study area's slower population and household gains compared to the Town. This likely suggests that the Town of Wake Forest has been able to weather the last recession better and has seen effective recovery, while the study area has not been sharing the same growth momentum.

TABLE: 4.A.8

Housing Value of Owner-Occupied Units, 2020				
Northeast Community Study Area and Town of Wake Forest, NC				
	Study Area		Wake Forest	
	Count	Percent	Count	Percent
\$0-\$149,999	97	22.2%	1,197	9.9%
\$150,000-\$299,999	228	52.3%	5,194	43.1%
\$300,000-\$499,999	98	22.5%	4,767	39.6%
\$500,000-\$999,999	11	2.5%	816	6.8%
\$1,000,000 Or More	2	0.5%	69	0.6%
Total	436	100.0%	12,043	100.0%
Median Value	\$212,048	N/A	\$290,886	N/A

Credit: ESRI and RKG Associates, Inc., 2021

Housing Value

Most homes in both the study area and the Town of Wake Forest are valued below \$500,000, accounting for 97.0% in the study area and 92.7% in the Town. However, the study area has proportionally more homes with lower values than the Town, with almost 75% of the housing in the study area valued under \$300,000, versus only 53% in the Town. In particular, the study area has 22.2% (97 units) of housing valued under \$150,000, and the Town has only 9.9 % (1,197 units). Further, the median home value in the study area is \$212,048, which is only 73% of the Town level (\$290,886) (Table 4.A.8).

This corresponds closely the older housing stock and slow housing development in the study area and suggests that the Northeast Community has more naturally occurring affordable housing than the Town, though lower home values are sometimes associated with poorer housing conditions that can pose maintenance challenges for existing homeowners and potential home buyers.

Gross Rent

Like home values, the study area has proportionally more renter-occupied units with lower rents than the Town. According to the American Community Survey 2014-2018 Estimates, rental units with monthly gross rents under \$1,000 account for 62.8% in the study area versus 38.7% in the Town. Also, the plurality (101 units, 31.3%) of rental units in the study area require monthly gross rents between \$750 and \$999, whereas the Town has more rental units (1,643 units, 41.0%) falling into the \$1,000-\$1,499 range than any other price points. At the same time, high-end rental units requiring gross rents above \$2,500 per month do not exist in the study area, while there are 21 such units (0.5%) in the Town (Table 4.A.9). This indicates that similar to the ownership housing market, the rental market in the study area is more naturally affordable than the Town.

TABLE: 4.A.9

Monthly Gross Rent of Renter-Occupied Units				
Northeast Community Study Area and Town of Wake Forest, NC				
	Study Area		Wake Forest	
	Count	Percent	Count	Percent
With Cash Rent	301	93.2%	3,876	96.7%
\$0-\$499	47	14.6%	177	4.4%
\$500-\$749	55	17.0%	375	9.4%
\$750-\$999	101	31.3%	999	24.9%
\$1,000-\$1,499	69	21.4%	1,643	41.0%
\$1,500-\$2,499	28	8.7%	661	16.5%
\$2,500 Or More	0	0.0%	21	0.5%
No Cash Rent	22	6.8%	132	3.3%
Total	323	100.0%	4,008	100.0%

Credit: RKG Associates, Inc., 2021

4.B ADDITIONAL REAL ESTATE MARKET ANALYSIS

This section consists of additional analysis of Real Estate Market Analysis that examines recent trends in the North Wake County real estate submarkets that are shaping the Town of Wake Forest and the Northeast Community. This section should be used specifically in conjunction with [section 1.E](#) under Existing Conditions.

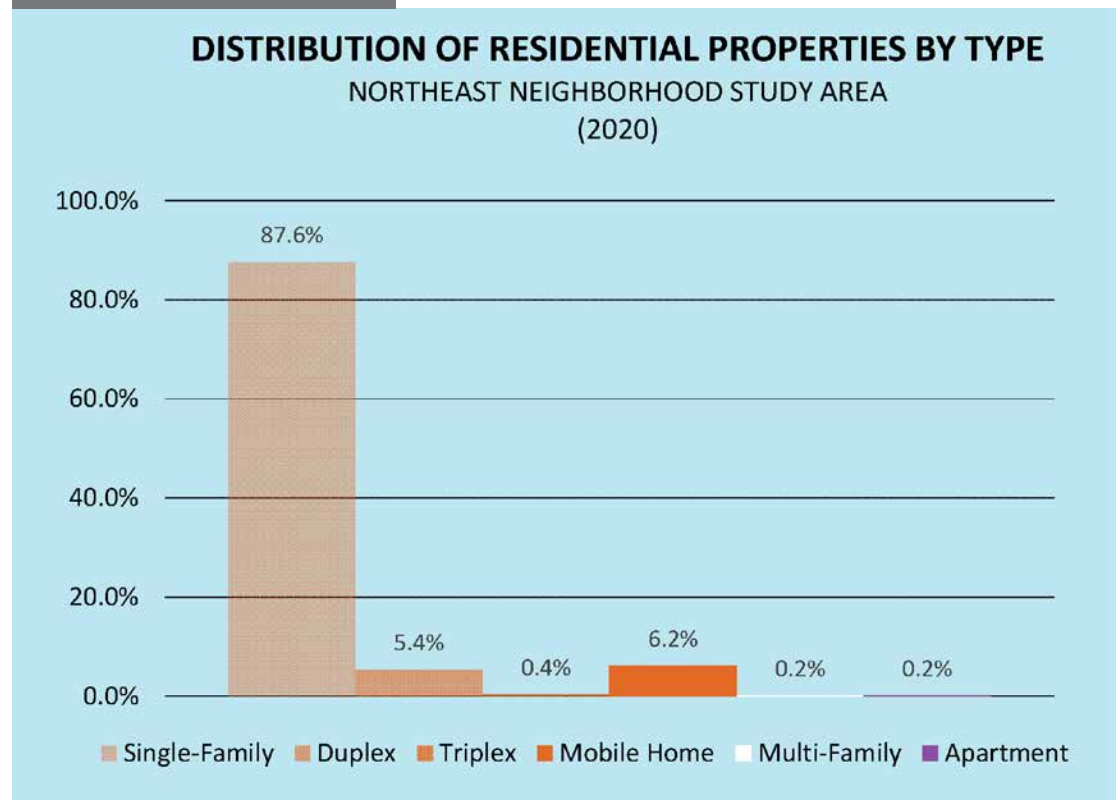
RESIDENTIAL DEVELOPMENT AND SALES TRENDS

New Housing Development

The Northeast Community study area comprises mostly residential properties, with very little commercial development. In total, RKG estimates that there are roughly 515

residential properties on 155 acres equaling \$75.5 million in real estate assessed value. Roughly 88% of all residential properties in the study area are single family homes, with only 6.2% mobile homes and 5.4% duplexes. Surprisingly, this is more diverse than the Town's residential base, which consists of nearly 98% single family homes.

FIGURE: 4.B.1

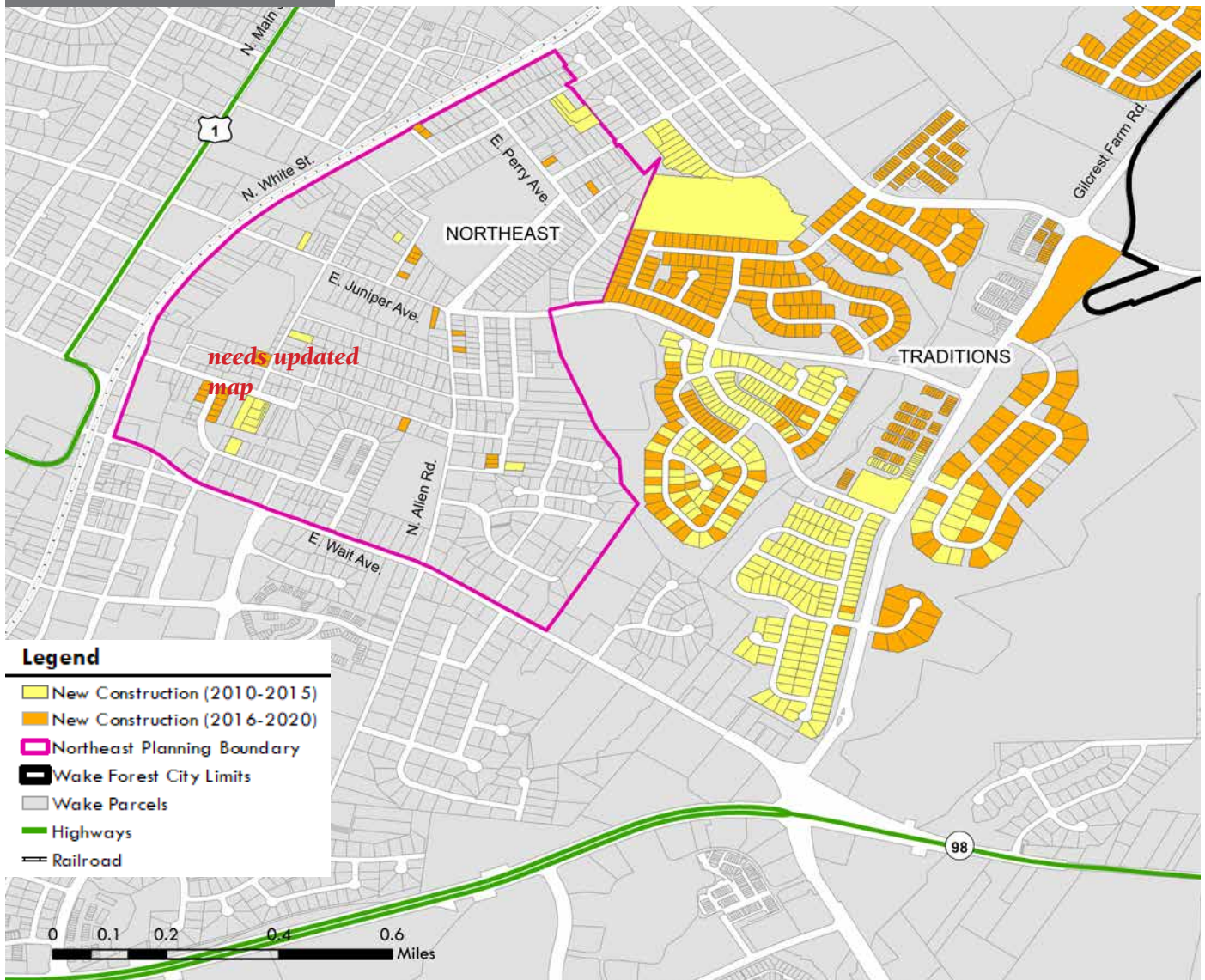


Credit: Wake Co. Dept.
of Tax Admin. and RKG
Associates, Inc., 2020

As presented in the demographic and housing analysis, more than 31% of the study area's housing is occupied by renter households. That indicates that many of the homes in the Northeast Community study area, which were originally constructed as ownership housing, are now being rented. While this is a common occurrence in similar neighborhood with older housing stock, it can have deleterious effects

on neighborhood stability and housing conditions, if rental homes are not properly maintained by their investor owners. However, the current split between owner and rental housing is not particularly out of balance in the study area and is in line with national tenure levels. Roughly 24% of the Town's housing stock is occupied by renter households.

FIGURE: 4.B.2



Credit: Wake County Dept. of Tax Admin. and RKG Associates, Inc., 2021

Since 2000, the study area has seen very little new housing development – only 15.7% (81 properties) of the residential properties have been developed over the past 20 years. By way of comparison, almost 73% of the Town's 13,320 residential properties have been developed since 2000, which is 4.6 times the rate of the study area. Most of this new development has consisted of primarily single-family homes.

The Traditions subdivision, which is located just east of the Northeast Community, has seen a tremendous amount of new development since 2010 (Figure 4.B.2). In fact, more than half of this residential community has been developed since 2016. Real estate values in this community are considerably higher and the homes and lots much larger on average. The single-family attached homes run just under \$300,000 with 2,200 SF. The smaller lot detached homes range from \$350,000 to \$460,000 with sizes between 2,100 SF to 3,200 SF floor plans. Finally, the large lot homes (1/4 acre) homes are 3,000 to 3,500 SF and some are priced in the low \$500,000s.

The study area has seen considerably less development, mostly scattered throughout the area. A small cluster of new homes, however, have been constructed on Caddel Street. These homes are currently valued by Zillow under \$210,000 and are roughly 1,000 to 1,200 SF in size. The home at 215 Caddel Street sold in February 2019 for \$145,000 and Zillow estimates that this home has appreciated to \$204,000 - an increase of a 40% (\$59,000) in two years.

Another small residential development that is currently under construction is located off E. Perry Street in the northern part of the study area. This is a small 14-lot subdivision on Trinity Park Drive. The model home is listed at \$325,000 for a 4-bedroom, 3-bath single family home with 2,019 SF. By way of comparison, of the 19 homes built in the study area since 2010, the average size has been 1,872 SF with an assessed value of \$214,803, a difference of \$110,197. Since 2000, the new single-family homes constructed in other parts of the Town were much larger, between 2,400 and 2,600 SF on average and are assessed at \$345,413 per home.

Residential Sales Trends

RKG Associates analyzed recent residential sales trends between 2016 and 2020 for the Northeast Community and the Town of Wake Forest. The data used for this analysis was obtained from Redfin, a national residential brokerage firm that reports Multiple Listing Service (MLS) sales data.

The data show that the study area has averaged roughly 25 home sales per year, which accounts for 5.5% of all single-family properties in the study area. In most healthy housing markets, between 4% and 6% of the total housing stock will go on the “for sale” market annually. While this is a positive indicator, the Northeast Community study area accounted for only 2.3% of the Town's total home sales during this 5-year period.

4



For Sale: \$325,000 4 bedrooms, 3 baths, 2,019 SF, 801 Trinity Park Dr., Wake Forest, NC 27587

Credit: Raleigh Realty, 2021

TABLE: 4.B.1

Annual Residential Sales (2016-2020)							
Northeast Neighborhood and Town of Wake Forest							
Year	2016	2017	2018	2019	2020	Avg./Total	% of Town
Average Home Sales Price							
Northeast Neighborhood	\$110,253	\$125,367	\$157,169	\$176,207	\$189,411	\$159,539	48.2%
Town of Wake Forest	\$296,602	\$313,576	\$328,443	\$339,390	\$361,612	\$331,326	100.0%
Annual Sales							
Northeast Neighborhood	13	15	21	22	28	99	2.3%
Town of Wake Forest	662	736	847	984	1,009	4,238	100.0%
Sales Value Per SF							
Northeast Neighborhood	\$97	\$113	\$118	\$135	\$144	\$126	96.6%
Town of Wake Forest	\$118	\$123	\$129	\$132	\$141	\$130	100.0%
Average Units Size (SF)							
Northeast Neighborhood	1,179	1,092	1,354	1,346	1,339	1,285	50.0%
Town of Wake Forest	2,490	2,561	2,568	2,607	2,607	2,573	100.0%

Credit: Redfin and RKG Associates, Inc. 2020

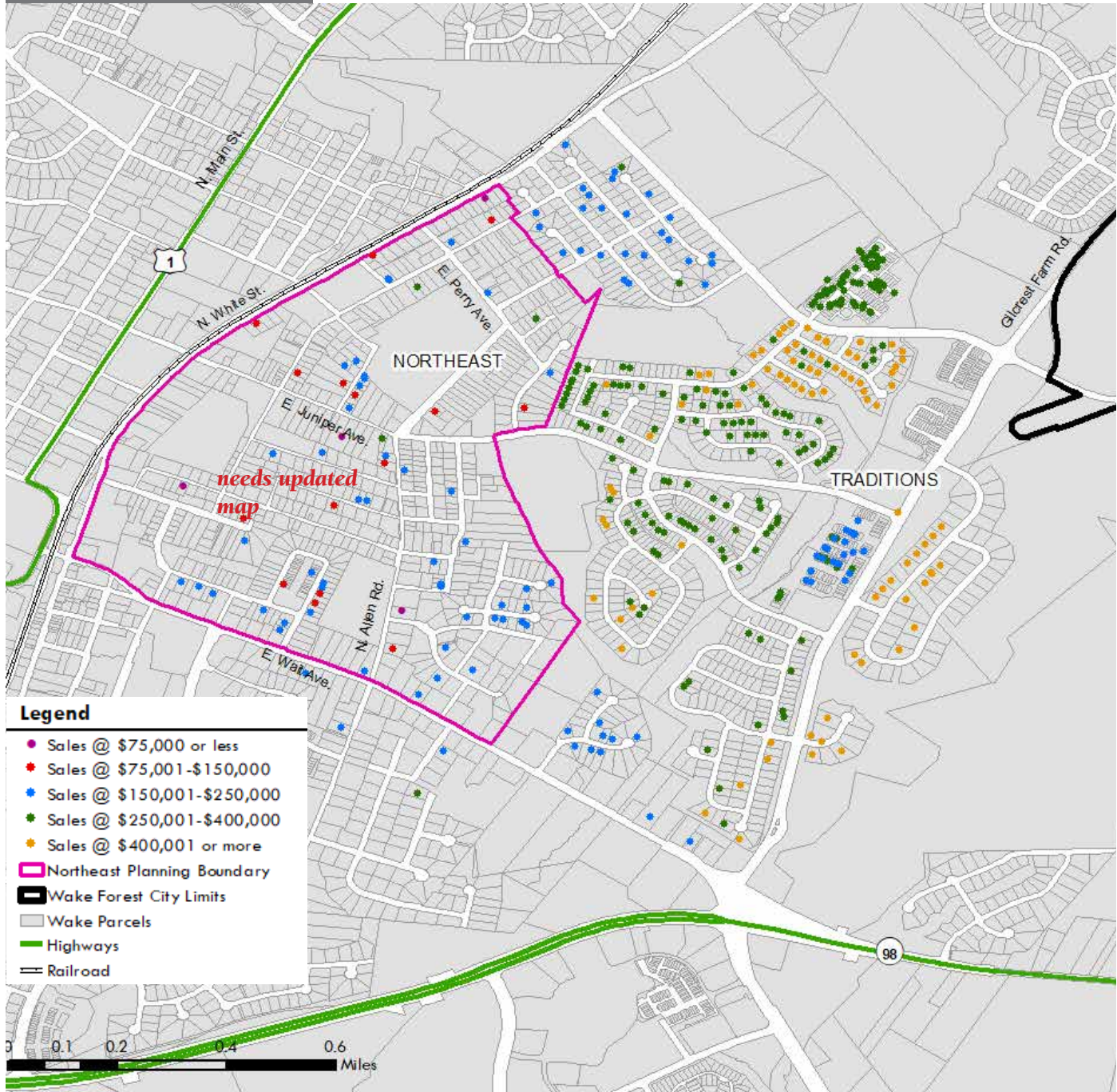
Those findings are consistent with the study area's limited new home construction activity presented in the previous section.

The homes selling in the Northeast Community study area have had an average sales price of \$159,539 over the past five years, which was only 48.2% of the Town average price of \$331,326 (Table 4.B.1). In that regard, homes are still selling at affordable levels and are accessible to moderate income households. However, the potential for Northeast homes to remain affordable in the future is being threatened by annual price changes, which have increased by 48% since 2016 on a per square foot basis. Based on average home sales prices, regardless of building size, average prices have increased from \$110,000 in 2016 to \$189,000 in 2020, an increase of 72% in five years, which far outpaces the Town's sales price increases of 19.5% and 21.9% respectively.

As shown in Figure 4.B.3, most of the Northeast home sales range from \$150,000 to \$250,000. Outside the boundaries, sales prices jump up above \$250,000 and there are clusters of homes in the Traditions development that have sold for more than \$400,000.

The Redfin data shows that the biggest reason for the price difference between Northeast Community home sales and those elsewhere in Town is age of the housing and their relative size, in terms of building square footage. Study area homes sell at prices per square foot that are very close to the Town average, but the homes are half the size (Table 4.B.1). Home size is one way to maintain housing affordability, but it restricts the diversity of housing choices to mostly entry level homes, which tend to be 3-bedroom homes or smaller.

FIGURE: 4.B.3



Credit: Redfin Sales Data and RKG Associates, Inc., 2021

Apartment Submarket Summary

REIS/Moody's Analytics data defines 12 distinct geographic submarkets for the Raleigh-Durham market. The study area is centrally located within the Northeast Raleigh submarket.

Inventory

The North Raleigh submarket has 54 buildings that contain 11,655 market rate units representing 8.2% of the metro.

Vacancy Rate

The average vacancy rate was 5.4%, an increase of 70 basis points (basis points). A spurt in activity will push this rate to 11.5% at the end of 2021, but average annually household formation of 1.6% in the metro will serve to lower this number to 10.1% at the end of 2022.

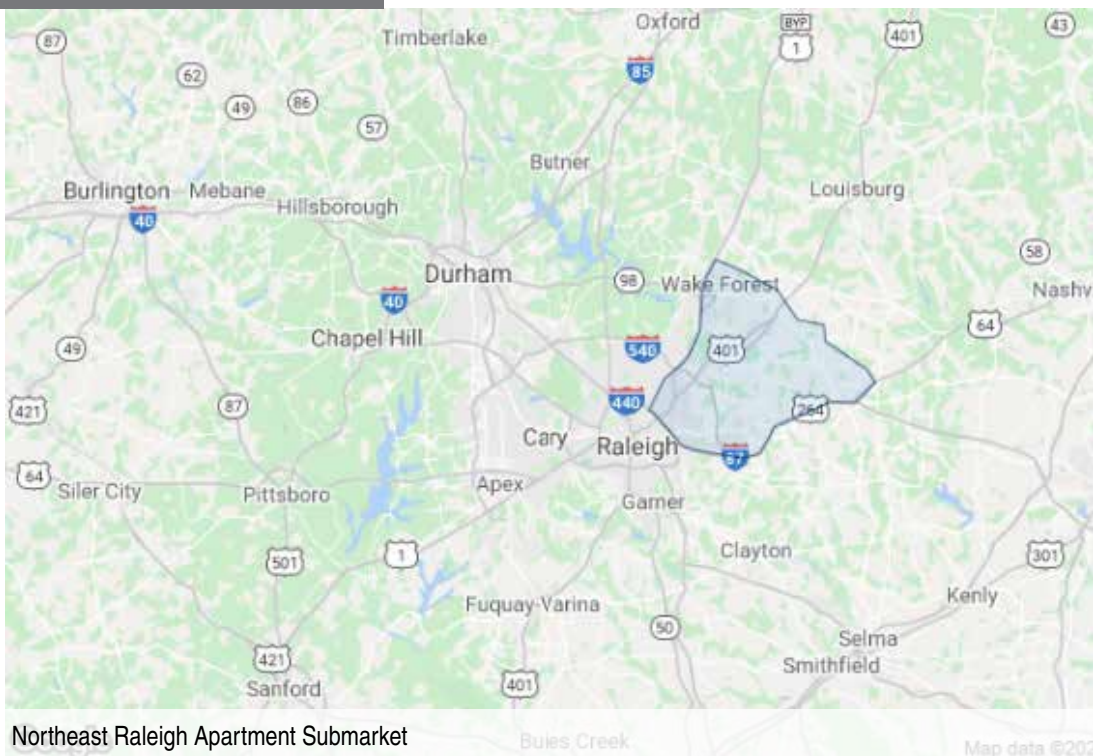
Annual Absorption

The absorption of 378 units in the submarket was 10.9% greater than the annual average of 341 units. The metro has seen 3,763 units as an annual average since Q3 2010. The submarket net absorption will be 304 units by the end of the year. The submarket is expected to absorb 450 units of a 900-unit surge during 2021 and 2022.

Asking Rents

The monthly asking rent is \$1,129.19 (up 11.5%) with an effective rent of \$1,070.39. The metro average is \$1,177. Market dynamics will push the asking rent down to \$1,083 at the end of 2020, with effective rents at \$1,010.

FIGURE: 4.B.4



Northeast Raleigh Apartment Submarket

Credit: REIS/Moody's Analytics and RKG Associates, Inc. 2020

Market Conclusions

REIS is tracking apartment construction activity that will deliver 378 units to the submarket by the end of the year, and net total absorption will be negative 304 units. Consequently, the vacancy rate will continue to drift upward to finish the year at 10.9%. During 2021 and 2022, developers are expected to deliver a total of 900 units of market rate rental apartments to the submarket amounting to 18.4% of the new construction introduced to the Raleigh-Durham region. Net new household formations at the Metro level during 2021 and 2022 are expected to average 1.6% annually, enough to facilitate an absorption rate averaging 2,673 units per year.

The Northeast Raleigh submarket will benefit disproportionately from this growth rate, posting absorption averaging 450 units per year, 16.8% of the projected metro total. The submarket vacancy rate will finish 2021 at 11.5% and will decline 1.4 percentage points to 10.1% by year end 2022. Between now and year-end 2020 asking rents are expected to fall -4.1% to a level of \$1,083, while effective rents will decline by -5.6% to \$1,010.” The REIS data confirms the socioeconomic findings that the Wake Forest area is a destination.

Northeast Raleigh Apartment Submarket Summary

- 11,655 market rate units in 54 buildings and is 8.2% of the Raleigh-Durham metro market.
- 3,095 units added since Q3 2010, an annualized rate of 3.1%, while the metro was 3.2%
- Rent: \$1,129.19 asking, \$1,070.39 effective, 11.5% change, 0.63 months free rent, expenses at 39.5%; the Metro average is \$1,177, concessions fell 0.3% in August (a five-month decline)
- Vacancy: 5.4%, 70 basis points
- Absorption: the Metro has had an annual absorption of 3,763 units since Q3 2010, the submarket was 378, or 10.9% greater than the average annual of 341 units.

Office Market Overview

REIS/Moody's Analytics report real estate market data for thousands of metropolitan submarkets through the U.S. in several different market segments. REIS/Moody's reports on twelve different office submarkets within the Raleigh-Durham area. The Northeast study area is centrally located within the US Route 1/Capitol Boulevard Corridor submarket. This submarket, which includes Downtown Wake Forest, contains approximately 4.3% of the metro area's total office inventory.

Inventory

The US Route 1/Capitol Boulevard Corridor office submarket contained approximately 1.9 million SF of office space in Q3 2020 which was spread out across 35 buildings. There have been no additions since Q3 2010. There are no new construction projects that are expected through the end of 2022.

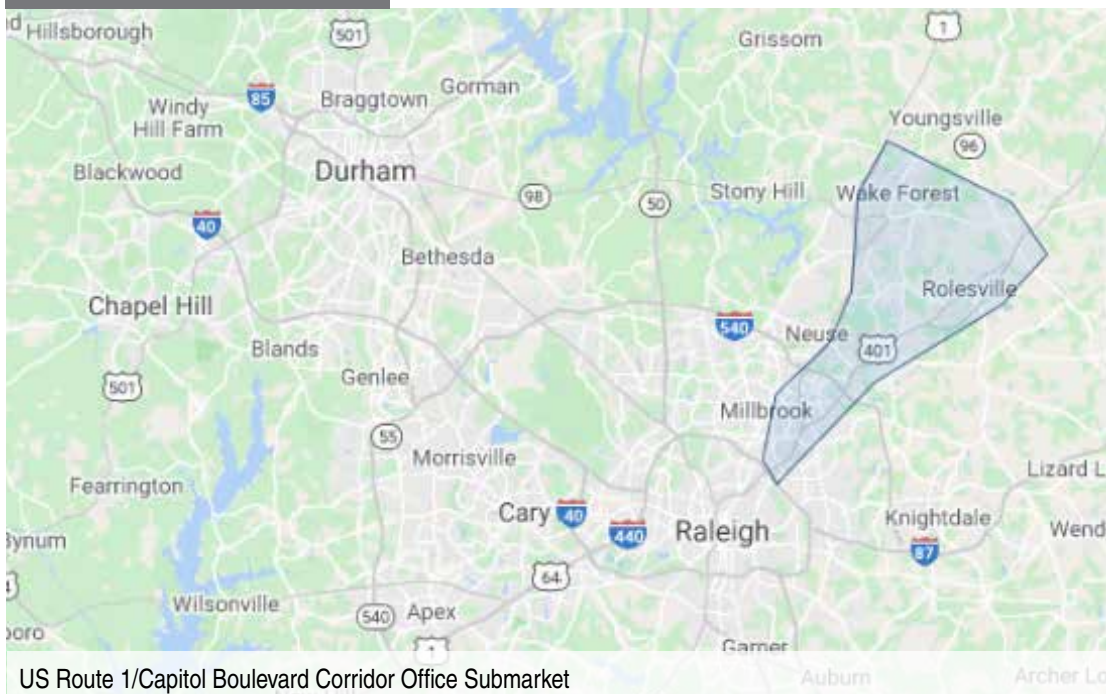
Vacancy Rate

The 17.6% vacancy rate is 2.7% higher than the Raleigh-Durham metro average. With 56,000 SF of negative absorption projected by the end of 2020, the vacancy rate is expected to increase 3.0% up to 20.6%. The US Route 1/Capitol Boulevard Corridor is projected to capture 75% of the metro's 3.2% office employment rate growth for the years of 2021 and 2022. Nevertheless, the vacancy rate is expected to be 22.0% at the end of 2021 and 23.8% at the end of 2022.

Annual Absorption

The market has absorbed only 2000 square feet (SF) of space over the last 12 months and 8,400 SF since Q3 2010. In contrast, the metro region has averaged 606,800 SF of absorption since Q3 2010.

FIGURE: 4.B.5



Credit: REIS/Moody's Analytics and RKG Associates, Inc. 2020

Asking Rents

The Q3 2020 rents in the submarket increased 0.1% since August 2020 to an asking rent of \$21.06 and an effective rent of \$16.00, while the metro asking rent was \$24.49. The 2020 rates are projected to settle down to an asking rent of \$20.28 with an effective rent of \$14.85.

Market Conclusions

There is not a current demand to build more office space in the US-1/Capitol Boulevard Corridor submarket.

US-1/Capitol Boulevard Corridor Submarket Summary

- 1.9M square feet in 35 buildings is 4.3% of the metro's inventory; no additions since Q3 2010
- Growth is flat while the metro grows at an annualized rate of 1.6%
- Rent: \$21.06 asking (up 0.1% since August), \$16 effective rent. The metro average office asking rent is \$24.49
- Vacancy Rate: 17.6%, change of -60bps; 3% lower than long-term average, and 2.7% higher than the metro
- Absorption: 2,000 sf in 12 months, 8,400 sf since Q3 2010; the metro averaged 606,800 since Q3 2010

Retail Market Overview

REIS/Moody's Analytics data defines five distinct geographic submarkets for the Raleigh-Durham market. The study area is located along the northern border of the North Raleigh submarket.

Inventory

The North Raleigh submarket has 10.1 million SF of neighborhood and community shopping center space. This represents 32.9% of the metro's inventory. There are 4.4 million SF of non-anchor properties spread across 84 buildings and 5.7 million SF of anchor properties across 73 buildings.

Vacancy Rate

The vacancy rate for both non-anchor and anchor properties was 7.9% as of Q3 2020, including a drop of -40 bps. It is expected that the vacancy rate will land at 11% by the end of 2022.

Annual Absorption

The non-anchor and anchor absorption over the 12 months since Q3 2019 for non-anchor properties was 50,000 SF, which was 62.8% lower than the average annual rate of 134,500 SF since Q3 2010. By contrast, the metro has averaged 314,000 SF over the same period. While 25,000 SF of space is expected to be delivered by the end of 2020, the net absorption for the submarket will be negative 152,000 SF.

FIGURE: 4.B.6



North Raleigh Retail Submarket

Credit: REIS/Moody's Analytics and RKG Associates, Inc. 2020

Asking Rents

The asking rent for non-anchor and anchor properties was \$23.07, with an effective rate of \$19.09. By contrast the metro rent was \$20.33. The Contract Rent Discount (CRD) has been -6.3% for non-anchor properties and -8.7% for anchor properties. Both types saw a -0.4% drop in rents. By the end of 2020 asking rents are expected to drop to \$21.13 with effective rents at \$16.77.

Market Conclusions

The broader area is being supplied with retail. Any considerations for the neighborhood should be targeted to specific needs and gaps in service. REIS is tracking retail construction activity that will deliver 25,000 square feet to the submarket by the end of the year, and net total absorption will be negative 152,000 square feet. As a result, the vacancy rate will drift upward by 1.8 percentage points to 9.8%. During 2021 and 2022, developers are expected to deliver a total of 33,000 square feet of neighborhood and community shopping center space to the submarket amounting to 14.1% of the new construction introduced to Raleigh-Durham. Total employment growth during 2021 and 2022 is expected to average 3.2% annually, while household formations are anticipated to average an increase of 1.6% per year. Over the same period the metro absorption rate is expected to average negative 58,000 square feet per year. The North Raleigh submarket will capture 81.0% of this absorption. The submarket vacancy rate will finish 2021 at 11.6% and will decline 0.6 percentage points to 11.0% by year end 2022. Between now and year-end 2020 asking rents are expected to decline -3.3% to a level of \$21.13, while effective rents will fall by -7.7% to \$16.77.

North Raleigh Submarket Summary

- 10.1M square feet is 32.9% of the metro's inventory of neighborhood and community shopping center space.
- The ten-year period since Q3 2010 saw 1.4M sf for an annualized inventory growth of 1.5%, versus 0.9% for the metro.
- Non-Anchor
 - Rent: \$23.07 asking, \$19.09 effective, -0.4% change, -6.3% Contract Rent Discount (CRD), 2.9 years term, 5.3 months free, \$2.77 expenses; the metro rate is \$20.33
 - Vacancy: 7.9%, -40 bps
 - Absorption: the metro had annual absorption of 314,000 sf since Q3 2010; 12-month absorption in was 50,000 sf, 62.8% lower than the average rate of 134,500 sf since Q3 2010
 - 4,402,000 sf
 - 84 buildings
- Anchor
 - Rent: \$23.07 asking, \$19.09 effective, -0.4% change, -8.7% CRD, 6.1 years term, 4.5 months free, \$3.09 expenses; the metro rate is \$20.33
 - Vacancy: 7.9%, -40 bps
 - Absorption: 5,660,000 sf
 - 73 buildings

Flex/R&D Market Overview

R REIS/Moody's Analytics data defines six distinct geographic submarkets for the Raleigh-Durham market. The study area is centrally located the North Wake submarket.

Inventory

The North Wake County submarket has 4.1 million SF of rental space which is spread across 32 buildings. This represents 24.7% of the metro's inventory, and it is the 2nd largest submarket behind the Research Triangle Park (RTP).

Vacancy Rate

The vacancy rate was 7.2% as of Q3 2020, compared with 8.5% for the metro. This amount is 4.3% lower than the long-term average.

Annual Absorption

The average annual absorption since Q3 2010 has been 28,800 SF for the submarket as opposed to 122,100 for the metro. With no projected construction for 2020 the absorption will be negative 95,000 SF for 2020. There is no forecasted absorption for 2021 or 2022, but 15,000 SF of product is projected to be delivered by the end of 2022. This will represent 20.3% of new construction in Raleigh-Durham.

FIGURE: 4.B.7



Credit: REIS/Moody's Analytics and RKG Associates, Inc. 2020

Asking Rent

The asking rent for August 2020 was \$1030, in contrast to \$11.40 for the metro. All told, there were three out of six submarkets with higher rents. The effective rent was \$9.39, a change of 1.9%, with a Contract Rent Discount of -9.4%. Market dynamics will result in declines in asking rents to \$9.74, with effective rents of \$8.68.

Market Conclusions

The Flex category in this submarket is a major player for the metro. However, it is currently built out. If a product is conceived that meets a specific target need, there is existing institutional knowledge in the submarket to effectively deliver the product. REIS' new construction analysts report that no more competitive Flex/R&D stock will be introduced to the submarket this year, and net total absorption will be negative 95,000 square feet. Consequently, the vacancy rate will drift upward by 2.4 percentage points to 9.6%. During 2021 and 2022, developers are expected to deliver a total of 15,000 square feet of Flex/R&D space to the submarket amounting to 20.3% of the new construction introduced to Raleigh-Durham. Industrial employment growth at the metro level during 2021 and 2022 is anticipated to average 1.9% annually, enough to facilitate an absorption rate averaging 20,000 square feet per year. The North Wake County submarket has no forecasted absorption for 2021 and 2022. The submarket vacancy rate will finish 2021 at 10.3% and will decline 0.4 percentage points to 9.9% by year end 2022. Between now and year-end 2020 asking rents are expected to decline -5.4% to a level of \$9.74, while effective rents will fall by -7.5% to \$8.68." – REIS/Moody's Analytics.

North Wake County Submarket Summary

- 4.1M square feet in 132 buildings and s 24.7% of the Raleigh-Durham metro area.
- Added 12,000 square feet since Q3 2010; the metro rate was 0.4%.
- Rent: \$10.30 asking in August, \$9.38 effective, 1.9% change, -9.4% CRD. 2-year lease term, 2.8 months free rent, \$1.85 expenses; the metro asking rent in August was \$11.40.
- Rents rose 1.2% from \$10.18 over the 12 months from Q3 2019/
- Vacancy: 7.2%, -220 bps; 4.3 percentage points lower than the long-term and 1.3 percentage points lower than the metro.
- Absorption: the metro annual rate has been 122,100 sf since Q3 2010; the submarket has seen 28,800 in the same period

TABLE: 4.B.2

Wake Forest Development Activity, Northeastern Section of Town (2020-2025 and Beyond)							
By Year and Land Use Type							
Land Use Type	Under Construction, Planned, or Proposed						
	2020	2021	2022	2023	2024	2025+	Total
Residential - Multi-Family	-	-	-	-	182	84	266
Residential - Single-Family and Condo	496	14	69	123	97	2,277	3,076
Hospitality (Hotel Rooms)	-	-	-	-	-	-	-
Office	-	-	33,903	-	-	-	33,903
Institutional	-	-	-	-	-	94,137	94,137
Retail	-	-	3,403	-	-	-	3,403
Total Building SF (Office, Institutional, Retail)	-	-	37,306	-	-	94,137	131,443

Credit: Town of Wake Forest and RKG Associates, Inc. 2021

DEVELOPMENT PIPELINE

The Town of Wake Forest is experiencing an active development market. The Town's growing population, higher incomes and active development environment are producing a pipeline of future development. By contrast, the Northeast study area has seen less development interest, but there is some new residential development taking place in the community

However, there has been a growing development momentum over the past decade that is projected to continue reshaping the northeastern section of Wake Forest – the area east of US Route 1 and north of the North Carolina Highway 98 Bypass. As this activity accelerates, it is expected that there could be increased development pressures that impact the Northeast Community study area. One of the most significant residential development near the Northeast Community is the multi-phased Traditions at Wake Forest subdivision (Traditions) which includes a diverse selection of higher value homes, an active senior community, and even a high-performing charter school. Traditions has already delivered hundreds of single-family detached and attached homes over the past decade. Further, Traditions and other development projects are set to deliver thousands of additional residential units over the next decade and beyond. As shown

in Table 4.B.2, the current development pipeline includes over 3,000 new single-family homes and 266 multi-family units. It should be noted that nearly 2,361 (71%) of these units are projected to be built after 2025, which is difficult to estimate, given changes in the real estate markets.

Aside from the proposed residential development, the development pipeline in this part of Town does not project much new commercial square footage, approximately 131,443 SF with much of it proposed after 2025

Among the proposed real estate development projects in the pipeline that could be delivered within the next decade and exert some market influence on the Northeast study area, there are several projects worth mentioning.

- Traditions Southwest (Phases I & II) – 275 residential units (recently completed)
- Averette Road Subdivision – Includes up to 965 units (677 single-family detached and 288 single-family attached) on 272 acres
- Kinsley Subdivision – 764 residential units on 203 acres
- Thales Academy – 94,137 square foot facility for elementary and high school education.

RETAIL MARKET ASSESSMENT

Retail Analysis Approach

Retail markets are often analyzed by examining consumer spending demand from several concentric distances (1-, 3- and 5-miles) from site location or roadway intersection. As the Northeast Community study area is somewhat isolated from a roadway connection standpoint, and not a natural commercial location for retail and service businesses, RKG Associates analyzed a 1-, 3- and 5-mile radius around the intersection of E. Roosevelt Avenue and S. White Street. This is generally recognized as the closest commercial intersection to the Northeast Community.

This road intersection is located near the downtown commercial district and has direct access to Highway 98, connecting to Route 1, which has good access and strong locational attributes. The intersection has several commercial properties, with some vacant and underutilized buildings that could be ripe for redevelopment in the future. As a rule, many commercial operations are dependent on vehicle or foot traffic and visibility to drive sales activity.

Typically, 15,000 average daily vehicle trips are the threshold needed to attract most smaller national chain stores or fast-food restaurants such as McDonald's, Starbucks, or similar establishments. According to North Carolina Department of Transportation (NCDOT), the primary intersection supports average annual average daily traffic counts (AADT) of 11,500. The lower traffic volumes may not be ideally suited for national retail operator but could support local businesses. These lower traffic volumes would appeal to more locally owned retailers, service businesses and restaurants.

RKG analyzed the retail supply/demand balance based on household spending in the 1-, 3-, and 5-mile zones from the intersection to understand the total retail spending potential from households in each of these geographic areas (Map 3-5). A retail supply/demand gap analysis compares household demand for various retail goods against the retail sales captured by local establishments within the same geographic area. Consumer demand is measured as the amount of spending that local households do in various retail merchandise categories.

When household demand or a given merchandise category is greater than the captured sales of local establishments, this indicates that nearby establishments are not meeting the demand of households. As such, people are forced to drive outside their primary market areas to purchase goods that they cannot obtain within those primary markets. For example, if the households in a given market area demand \$1 million in grocery store purchases, but there are only three convenience stores within the market capturing \$250,000 in grocery sales, this means that \$750,000 in household demand has leaked from the primary market as people drive to grocery stores in other locations outside their primary market. Retail market theory suggests that, if a grocery store were located closer to these households, residents would not have to drive outside their primary markets to satisfy their demand. In other instances, local establishments can capture retail sales that exceed the demand from local households. A common example is a regional shopping mall, which captures retail demand from a much larger regional market than just those houses located near the mall. In this case, sales are "imported" to the mall from a much larger area.

The 1-mile radius covers the Northeast Community study area, and the 3- and 5-mile radii areas extend beyond the Wake County boundary to the north. Usually, one mile is approximately 20-minute walking distance, three miles represent a five- to ten-minute drive time (depending on traffic), and five miles are thought to be beyond ten minutes drive time.

Retail Analysis Findings

The areas that are within the 1- and 3-miles of the Northeast Community both have retail surpluses when you look at total retail spending categories combined, indicating that there is an ample retail supply to satisfy retail demand from households in these geographies. However, in real life, people demand specific goods for their daily lives and if they are not available nearby, they must travel to obtain them. Such is the case in the Northeast Community. The sales surplus/leakage by retail category reveals that over 63% of all retail merchandise categories within the 1- and 3-mile distance have sales leakages, while most of the sales surpluses concentrate in several categories including:

- General merchandise store/department stores,
- Health and personal care stores and
- Restaurants/other eating places.

This corresponds with the fact that there are plenty of shopping centers within three miles from the intersection just outside of the study area. This also indicates that the retail supply in the 1-mile and 3-mile radii areas is under- represented across several retail categories, and thus there could be an opportunity to provide retail space to accommodate unmet retail demands and capture some of this spending.

The 5-mile market area has a significant retail leakage, which means there is not enough retail supply to meet the demand of households within that 5-mile ring. Over 90% of all retail categories show sales leakages within this area. This indicates a shortage of retail options in general and that residents in this area most likely must travel to the 1-mile and 3-mile radii areas for their shopping needs. This is not surprising given that the 5-mile radius includes much of the rural areas, where there are very few shopping options, and that most of the retail developments concentrate in the Town of Wake Forest within the 3-mile radius.

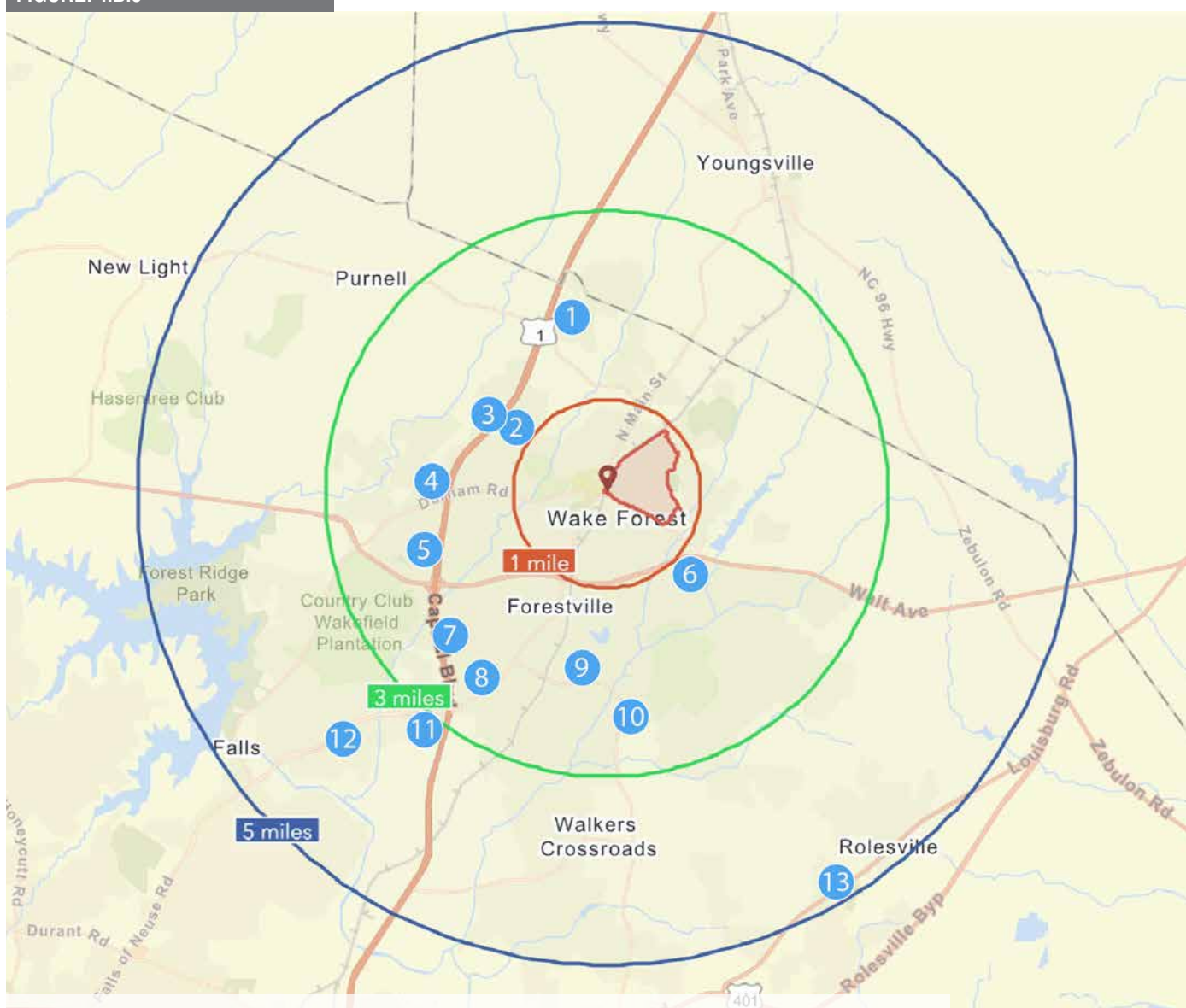
RKG also identified major shopping centers in the region to understand where households in the region go to shop. There is a cluster of major shopping centers and grocery stores/supermarkets along Route 1 in the Town of Wake Forest, less than three miles from the intersection outside of the study area, which is a 3- to 5-minute drive. In total, these major shopping centers, which are mostly anchored by grocery stores, account for a combined retail square

footage of 2.1 million (Figure 4.B.8/Table 4.B.3).

However, as discussed earlier, there are unmet shopping demands for many retail categories other than general merchandise store/department stores within all radii

areas, especially to the east of the study area and in the rural communities within the 5-mile radius. Therefore, the prospective development should differentiate its retail components and tenants from the nearby shopping centers and offer shopping in categories that currently see the most retail leakages.

FIGURE: 4.B.8



1-, 3-, and 5-Mile Radius around Study Area showing Shopping Centers

Credit: ESRI, Google and RKG Associates, Inc., 2021

TABLE: 4.B.3

Major Shopping Centers Within 5 Miles from the Intersection of E. Roosevelt Ave. and S. White St.									
Wake Forest, NC									
#	Shopping Center Name	Shopping Center Type	Anchor Stores	Distance from Intersection	Year Built	GLA in SF	Asking Rent/SF (Dec. 2020)	Effective Rent/SF (Dec. 2020)	Vacancy Rate (Dec. 2020)
1	Gateway Commons	Neighborhood Center	Lowe's Foods, Town & Country Hardware, Dollar Tree, Wake County ABC 4	1.12 Miles	2009	105,485	\$18.76	\$15.59	4.5%
2	Wake Forest Crossing	Community Center	Kohl's, Lowe's Foods, Ross Dress For Less, TJMaxx	1.38 Miles	2002	313,151	\$19.96	\$16.59	2.8%
2	Forestville Crossing	Neighborhood Center	Lowe's Foods, Planet Fitness , CVS, Dollar Tree, BB&T Bank	1.38 Miles	2007	150,000	\$20.11	\$16.72	8.5%
4	The Market at Wake Forest	Neighborhood Center	Food Lion, Pizza Hut, Subway	1.81 Miles	1989	116,341	\$16.18	\$13.45	4.6%
5	Capital Plaza	Community Center	Super Target, The Home Depot, PetSmart	1.82 Miles	2004	372,831	\$21.35	\$17.75	0.4%
6	Harris Crossing	Neighborhood Center	Harris Teeter, Suntrust Bank	1.89 Miles	2011	65,150	\$17.88	\$14.86	0.0%
7	The Shoppes at Heritage Village	Neighborhood Center	Publix, Mattress Warehouse	1.93 Miles	2016	71,500	\$12.45	\$10.35	0.0%
8	The Shoppes at Caveness Farms	Neighborhood Center	Sam's Club	2.3 Miles	2011	296,442	N/A	N/A	N/A
9	Heritage Station	Neighborhood Center	Harris Teeter, McDonald's, Ups Store, Wells Fargo Bank	2.34 Miles	2004	68,489	\$19.36	\$16.09	0.0%
10	Wake Pointe Plaza	Community Center	Walmart Supercenter	2.38 Miles	2004	243,550	\$17.10	\$14.21	0.4%
11	Wakefield Commons	Community Center	Kroger	3.09 Miles	2004	190,000	\$19.20	\$15.96	0.0%
12	Wakefield Crossings	Neighborhood Center	Food Lion	3.81 Miles	2001	75,927	\$11.87	\$9.87	1.8%
13	Redford Place Shopping Center	Neighborhood Center	Food Lion, Hardee's	4.93 Miles	1992	67,843	N/A	N/A	N/A

Credit: REIS, ESRI and RKG Associates, Inc. 2021

Retail Sales Capture

Demand for retail space at the E. Roosevelt Avenue and S. White Street intersection site is likely to stem from three main sources:

- Recapture of retail spending leakage from households within the 1-mile radius of the intersection site
- Recapture of retail spending leakage from households within the 3-mile radius of the intersection site
- Recapture of retail spending leakage from households within the 5-mile radius of the intersection site

RKG calculated the amount of retail spending that could be recaptured from households living within the 1-, 3- and 5-mile radii of the intersection site by estimating the share of retail spending leakage by category that could reasonably be recaptured. This analysis assessed that approximately \$18.7 million in retail spending annually can be recaptured, which translates into approximately 58,500 square feet of retail space near the neighborhood (Table 4.B.4).

Of these 58,500 SF, the majority come from furniture stores (8,821 SF) and home furnishing stores (3,340 SF). Drinking place or bars is the largest category at 9,420 SF, which is consistent with a revitalizing downtown center. Other miscellaneous merchandise stores (8,543 SF), other miscellaneous store retailers (8,643 SF) clothing stores (7,103 SF), books &

periodical & music stores (3,465 SF) are some of the other store types. Most of these retail types are local serving in nature, such as drinking places, and benefit from the proximity to consumers. However, other categories such as furniture stores, clothing stores and electronics and appliance stores usually serve a broader region and can accommodate demands from households within all three radii areas. It is also important to note that not all capturable building space is adequate to attract a new business but may create opportunities for existing establishments to expand their product lines.

The prospects for a full-service grocery store are currently not strong in the Northeast Community given the surrounding competition within 5-miles of the N. White St./E. Roosevelt St. location. RKG's analysis indicates that will people within 1-mile of downtown are slightly underserved, at 3- and 5-miles there is a \$20 to \$40 million surplus in grocery sales. While the intersection is an established commercial location, it doesn't offer the site visibility and traffic volumes that a full-service grocery anchor would need to be successful. However, as part of a comprehensive redevelopment project, with higher density residential, there is the potential to attract a small to mid-size grocery store like an Aldi's or Lidl Supermarket to serve the greater downtown neighborhoods. Unfortunately, both chains are located within a few miles of the downtown on South Main Street.

TABLE: 4.B.4

Recaptured Retail Sales Leakage		
Northeast Community (2021)		
Recaptured Retail Sales Leakage	Supportable Bldg. SF	Sales Recapture
Auto Parts, Accessories & Tire Stores	582	(\$187,518)
Furniture Stores	8,821	(\$2,669,827)
Home Furnishings Stores	3,340	(\$752,727)
Electronics & Appliance Stores	3,631	(\$1,436,004)
Bldg Material & Supplies Dealers	1,028	(\$436,859)
Lawn & Garden Equip & Supply Stores	749	(\$170,693)
Grocery Stores	229	(\$110,977)
Specialty Food Stores	551	(\$336,820)
Beer, Wine & Liquor Stores	1,533	(\$1,974,547)
Gasoline Stations	0	\$0
Clothing Stores	7,103	(\$1,943,179)
Shoe Stores	1,893	(\$409,898)
Jewelry, Luggage & Leather Goods Stores	1,176	(\$562,768)
Book, Periodical & Music Stores	3,465	(\$916,199)
Florists	205	(\$44,373)
Office Supplies, Stationery & Gift Stores	2,949	(\$887,404)
Used Merchandise Stores	1,512	(\$486,705)
Other Miscellaneous Store Retailers	8,543	(\$2,475,699)
Special Food Services	347	(\$134,110)
Drinking Places - Alcoholic Beverages	9,420	(\$2,825,964)
Total Supportable Building SF	57,074	(\$18,762,270)

Credit: ESRI and RKG Associates, Inc. 2021

4.C DUBOIS CAMPUS CONCEPT

The DuBois Campus concept was developed as a result of the multitude of comments received to during the community feedback process of this plan. Those comments requested to initiate conversation on the Campus' redevelopment potential based on its legacy as an asset and current condition as an opportunity. Since the parcel is privately-owned, any redevelopment initiatives should be led by the property owner and/or their representatives.

Existing Site Conditions

- **Area:** 17.65 Acres
- **Land Use:** Institutional
- **Zoning:** Urban Residential - Allows single-family housing, duplex, small apartment buildings, townhomes, civic uses



Existing Site Conditions

The DuBois Campus housed the W. E. B. DuBois School, which is a historic Rosenwald School. During the early 20th century Julius Rosenwald and Booker T. Washington partnered to create the Rosenwald School project, which built more than 5,000 schools, shops, and teacher homes throughout the south and border states, primarily for the education of African-American children. The DuBois campus has evolved over time. The elementary school was built in 1926 while the High School Building was built in 1939 with funds provided by the Public Works Administration. The following maps/images show the evolution of the campus; the historic building footprints are shown in the orange dashed line.

1937



1993



2002



Recent Timeline

1997

Wake County Public School System completed an Engineering Study of the School

1998

Wake County School Board sold the campus to the National DuBois High School Alumni Association for \$325,000 which included the campus and eight buildings.

The gymnasium (reportedly an old airplane hangar) was rehabilitated first and used as a recreation facility

2000

A condition assessment of eight buildings on the campus was conducted by Hager Smith Architects

2003

Project Proposal and Conceptual Master Plan was submitted to apply for Community Development Grant Funds to stabilize the McElrath Center Building

The building, however, was not stabilized and was demolished in 2016/17

DUBOIS CAMPUS CONCEPT

Potential Redevelopment Scenarios

Scenario A: Rental Housing Development with Nonprofit Developer

- The development assumes that a nonprofit developer partners with the DuBois Alumni Association on a 57-unit residential development under a 99-year ground lease.
- The ownership of the land is retained by the Alumni Association
- A payment is made to the Alumni association for each parcel when developed or could be paid over a 5-year period.
- Proceeds from the land payment would go to Alumni Association to renovate or maintain building space on the DuBois Campus or leverage as matching funds for grant opportunities.
- Nominal ground lease payments made by tenants to nonprofit developer to fund housing maintenance reserve.

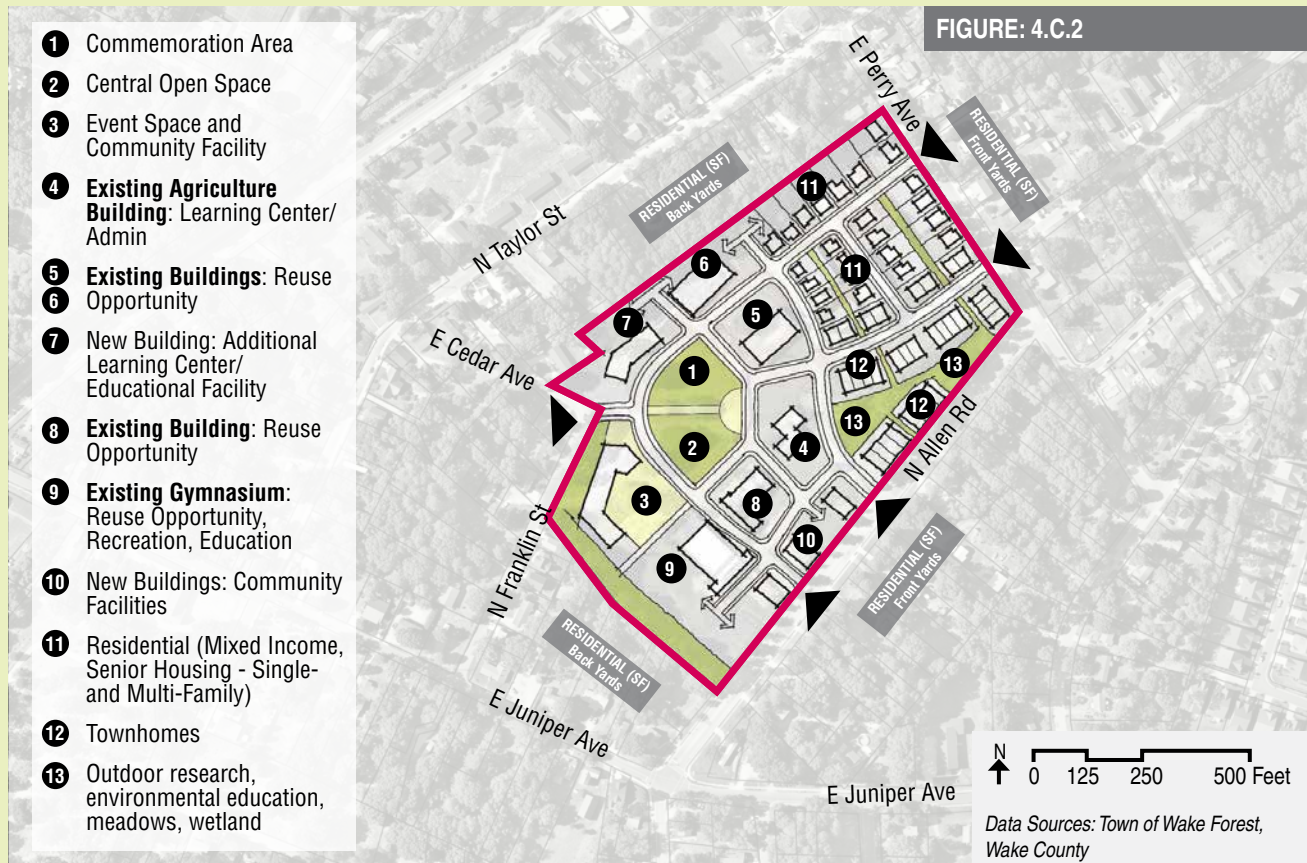
Scenario B: For Sale Housing Development Under a Ground Lease with a Community Land Trust

- The development assumes that a community land trust partners with the DuBois Alumni Association on a 57-unit residential development under a 99-year ground lease, similar to Scenario A.
- The ownership of the land is retained by the Alumni Association.
- A payment is made to the Alumni Association for each parcel.
- Proceeds from the land payment would go to Alumni Association to renovate or maintain building space on the DuBois Campus or leverage as matching funds for grant opportunities.
- Nominal ground lease payments made by tenants to nonprofit developer to fund housing maintenance reserve
- Housing tenants buy just the home at predetermined sales price based on 65% and 80% AMI limits. Outside subsidies brought in to fill the funding gap and make forgivable down payment for homeowners.

Scenario C: Sale of Land for Development of a Multi-family Rental Project

- The development assumes that the DuBois Alumni Association sells 8 acres of land for an affordable housing development on the northern portion of the DuBois property.
- 122 apartment units are constructed with 100% affordable units for households making 50% and 60% of Area Median Income
- Assumes that Wake County provides land acquisition subsidy to pay the Alumni Association for the fair market value of their 8 acres of land, estimated at \$2.9 million.
- Assumes that a nonprofit developer partners with Wake County, Wake Forest and the DuBois Alumni Association.

Concept Plan



Please note that the concept plan illustrates potential ideas for redevelopment of the campus.

Key Ideas

- Celebrate the history of the site and neighborhood
- Create a commemoration area on the former school site
- Create a “campus” like environment with open spaces and walkable streets as organizing elements
- Preserve existing buildings and build new buildings, as needed
- Dedicate part of the site to educational opportunities
- Provide community amenities (central open space, public gathering - both outdoor and indoor, recreation, job training, etc.)
- Provide residential opportunities (townhomes, detached and attached single family)

Precedent Images Showing Potential Building and Public Space Character

Please note that these images highlight the potential ideas and are not meant for implementation/construction purposes

Central Open Space and Commemorative Areas



Educational and Community Facilities



Residential



Proposed Draft Northeast Community Plan Revisions

COMMENT NUMBER	PAGE NUMBER	COMMENT	NOTES	ENTRY DATE
1	6	Insert "Baptist" after Olive Branch and before Church		11.09.21
2	18	Change "Walt" to "Wait" Avenue Condos	3rd bullet under "Development Activity"	11.09.21
3	18	Strike "to be" between developments are and encouraged	Blue italic section	11.09.21
4	19	Correct spelling of Caddell Street	Map and throughout document	11.09.21
5	20	Insert hyphen in "multi-use paths"	third bullet	11.09.21
6	20	Insert "the" before "Northeast"	Blue italic section	11.09.21
7	21	Please turn the street name labels so that north/south street names face east and east/west names are right-side-up.	All Maps	11.09.21
8	22	Insert "the" before preservation	Blue italic section	11.09.21
9	24	Change white to lowercase	third bullet	11.09.21
10	28	Under "More Diverse Population" strike "and"	text under graphic	11.09.21
11	34	Change DuBois Center to DuBois Campus	Market Factors Bullet	11.09.21
12	35	Change DuBois Center to DuBois Campus	Green Box "Implications of Findings"	11.09.21

13	41	Change "do not bear this out" to "do not support this"	Sixth bullet under Issues Community Character	11.09.21
14	50	Strike one apostrophe	Fourth bullet under "Keep"	11.09.21
15	52	Add an "s" to outdoor for outdoors	2nd column, 2nd paragraph	11.09.21
16	52	Change to A follow-up open house was conducted by Town staff and Town Hall on September 28, 2021 to gather additional feedback on the future land use map.	2nd column, 4th paragraph	11.09.21
17	53	Delete extra space in front of the period	2nd bullet under "Affordability"	11.09.21
18	53	Change to "Preserve green space."	2nd bullet under "Connectivity and Green Space"	11.09.21
19	59	Please turn the street name labels so that north/south street names face east and east/west names are right-side-up.	Map here and maps throughout document	11.16.21
20	59	The Wake Forest African American Cemetery should be shown as an amenity next to the Alston Massenburg Center.	Map	11.16.21

21	61	Delete "establishing" and insert "recommending" design guidelines	1st column 1st paragraph	11.16.21
22	61	Strike "if feasible"	1st column 1st paragraph	11.16.21
24	63	Please turn the street name labels so that north/south street names face east and east/west names are right- side-up.	Map here and maps throughout document	11.16.21
25	65	Change DuBois Center to DuBois Campus	5 places on page and check the rest of the document	11.16.21
26	66	Change DuBois Center to DuBois Campus	1st paragraph	11.16.21
27	67	Change "greens" to "greenspaces"	Item 5 header.	11.16.21
28	68	Change #3 to Improve roadways based on the recommendations outlined in the Comprehensive Transportation Plan	Item 3 Header - included change in presentation to Planning Board	11.16.21
29	72	Strike "Center" and capitalize "campus"	Item 5, paragraph 2	11.16.21
30	76	Remove extra space between period and "Ideally"	Item 2, paragraph 2, last sentence	11.16.21
31	76	Strike "Center" after "DuBois"	Item 2, paragraph 2, last sentence	11.16.21

32	79	Correct spelling is Caddell St please change on this map and all other references in document	FLUM	11.16.21
33	79	Please turn the street name labels so that north/south street names face east and east/west names are right-side-up.	FLUM	11.16.21
34	8	Delete "along N. White Street" and insert "the" before Northeast and "Community after.	The Wake Forest Cemetery and Wake Forest African American Cemetery since they aren't both on N. White	11.16.21
35	11	Change Cemeteries and Ailey Young House and the lots in front of the AYH on White Street to Green	Land Use Map Figure 1.C.1b	11.16.21
36	105	Update map to show Ailey Young Park in the NE Boundary	Figure 4.B.2	11.17.21
37	106	Correct the spelling of Caddell Street, it is spelled with two ll's.	Column 2, paragraph 1, line 4.	11.17.21
38	108	Update map to show Ailey Young Park in the NE Boundary	Figure 4.B.3	11.17.21
39	120	Update map to show Ailey Young Park in the NE Boundary	Figure 4.B.3	11.17.21

40	124	Strike "to"	DuBois Campus concept first sentence	11.17.21
41	15	Change the both cemeteries and the Ailey Young House to OS and green on the zoning map if incorrectly depicted.	1.C.1c	11.17.21
42	15	Correct the spelling of Caddell Street, it is spelled with two ll's.	1.C.1c	11.17.21
43	17	Correct the spelling of Caddell Street, it is spelled with two ll's.	1.C1d	11.17.21
44	17	Please turn the street name labels so that north/south street names face east and east/west names are right- side-up.	1.C.1d	11.17.21
45	19	Correct the spelling of Caddell Street, it is spelled with two ll's.	1.C.1e	11.17.21
46	21	Correct the spelling of Caddell Street, it is spelled with two ll's.	1C.2	11.17.21
47	23	Correct the spelling of Caddell Street, it is spelled with two ll's.	1..C.3	11.17.21

48	27	Please turn the street name labels so that north/south street names face east and east/west names are right-side-up.	1.D.1	11.17.21
49	27	Correct the inset study area boundary - park is excluded.	1.D.1	11.17.21
50	69	Correct the spelling of Caddell Street, it is spelled with two ll's.	2.A.3	11.17.21
51	69	Please turn the street name labels so that north/south street names face east and east/west names are right-side-up.	2.A. 3	11.17.21
52	75	Correct the spelling of Caddell Street, it is spelled with two ll's.	2.A.4	11.17.21
53	75	Please turn the street name labels so that north/south street names face east and east/west names are right-side-up.	2A.4	11.17.21
54	7	Modify the street key to ensure the label appears when the document is printed.	1.B.1	11.29.21

55	27	Ensure inset map boarder is not missing along the top of the inset.	1.D.1	11.17.21
56	105	Change City to Town	4.B.2	11.29.21
57	105	Change the quality of the map image to match the rest of maps in the document.	4.B.2	11.29.21
58	105	Match the railroad key and body of map.	4.B.2	11.29.21
59	105	Change Northeast Planning Boundary to Study Area to match terminology use throughout the Plan.	4.B.2	11.29.21
60	105	Change green highway on map and key to standard white roadway color.	4.B.2	11.29.21
61	105	Change Wake Parcels to Parcels in the key.	4.B.2	11.29.21
62	108	Change the quality of the map image to match the rest of maps in the document.	4.B.3	11.29.21
63	108	Change Northeast Planning Boundary to Study Area to match terminology use throughout the Plan.	4.B.3	11.29.21

64	108	Change green highway on map and key to standard white roadway color.	4.B.3	11.29.21
65	108	Change Wake Parcels to Parcels in the key.	4.B.3	11.29.21
66	108	Change City to Town	4.B.3	11.29.21
67	120	Correct the study area boundary - park is excluded.	4.B.8	11.29.21
68	5	Revise Town Website link	Only "site" in Website is linked	11.30.21
69	10	Add "." after "N" in N White for document formatting consistency	Bottom right photograph	11.30.21
70	12	Revise spelling of Caddel to Caddell	Bottom right photograph	11.30.21
71	14	Capitalize first letters in Planning Department	Blue paragraph under last bullet point	11.30.21
72	19 & 63	Revise Oak Hills to Bluffs at Joyner Park	Left corner of Figure 1.C.1e	11.30.21
73	26	Revise "In another word" to "In other words"	First paragraph, in right column	11.30.21
74	30	Add space between (2.85 persons) and "and"	First sentence under Household Trends	11.30.21
75	36	Revise Wake Forest Community Master Plan to Wake Forest Community Plan	#2 Under Existing Plans	11.30.21

76	38	Revise Wake Forest Community Master Plan to Wake Forest Community Plan		11.30.21
77	75	Revise spelling of Renaissance Center to Renaissance Centre	In Collaboration Partners bubble	11.30.21
78	76	Revise spelling of Renaissance Center to Renaissance Centre		11.30.21
79	76	Revise Floodplain (500-Year) to Floodplain (0.2%)		11.30.21
80	90	Delete extra space in action 21 between Town's and Capital		11.30.21

ORDINANCE 2021-61

AN ORDINANCE FOR ADOPTING THE 2021 NORTHEAST COMMUNITY PLAN

WHEREAS, the Town of Wake Forest has grown significantly since the adoption of the 2007 Northeast Neighborhood Plan; and

WHEREAS, the Northeast Community has experienced many changes since 2007, presenting many challenges and opportunities for its residents; and

WHEREAS, adoption of the Northeast Community Plan will offer guidance on how to better navigate these challenges and capitalize on potential opportunities; and

WHEREAS, the Town has conducted a year and a half planning process that has engaged hundreds of citizens, including many residents of the Northeast Community; and

WHEREAS, the planning process led to the development of policy recommendations and an implementation items matrix found within the Northeast Community Plan; and

WHEREAS, a print ad was published in a paper of general circulation for both the public comment session and the public hearing pursuant with G.S. § 160D-602 and the Unified Development Ordinance; and

WHEREAS, the Planning Board held a public comment session on November 9th, 2021 on the proposed Northeast Community Plan; and

WHEREAS, at the November 9th, 2021 Planning Board meeting, by a unanimous vote, the Board forwarded a recommendation of adoption on the aforementioned Northeast Community Plan; and

WHEREAS, the Board of Commissioners held a public hearing on December 7th, 2021 on the proposed Northeast Community Plan; NOW, THEREFORE,

BE IT ORDAINED BY THE BOARD OF COMMISSIONERS OF THE TOWN OF WAKE FOREST

Section 1: Adopts the 2021 Northeast Community Plan.

Section 2: Repeals the 2007 Northeast Neighborhood Plan.

Section 3: Deems the 2021 Northeast Community Plan effective immediately upon adoption.

Motion by Commissioner _____

Seconded by Commissioner _____

This the ____ day of _____ 2021.

TOWN OF WAKE FOREST

Mayor

ATTEST:

Town Clerk

APPROVED AS TO FORM:

Town Attorney



Board of Commissioners Work Session Agenda Item Report

Agenda Item No.: 2021-377-

Submitted by: Allison Snyder

Submitting Department: Administration

Meeting Date: December 7, 2021

SUBJECT

Consideration of updates to the Town of Wake Forest Record Retention Policy.

Recommendation:

Staff recommends approval of updated 2021 Municipal Retention and Disposition Schedule.

Item Summary:

ATTACHMENTS

- [Summary_Consideration of updates to the Town of Wake Forest Record Retention Policy.docx](#)
- [Attachment 1 2021 Records Retention Schedule.pdf](#)
- [Attachment 2 Digital Records Procedure](#)
- [Attachment 3 Resolution adopting the 2021 Municipal Retention and Disposition Schedule](#)

Consideration of updates to the Town of Wake Forest Records Retention Policy

Wake Forest is subject to the requirements of the North Carolina Public Records Act. The Local Government Records Section was created to assist local government agencies in managing public records. On October 1, 2021, an updated Retention Schedule was issued by the State. These schedules are an agreement between the local government agency and the Department of Natural and Cultural Resources serving as the inventory and schedule. Following local approval, procedures and policies will be filed with the State.

The Town of Wake Forest last adopted a municipal retention schedule on August 18, 2009. The 2019 and 2021 updates allow municipalities to 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. As such, both the municipal retention schedule and a Town Manager approved digital records policy are attached.

Attachment 1: Rules of Procedure 2021 Update

Attachment 2: Digital Records Policy

Attachment 3: Resolution adopting the 2021 municipal retention and disposition schedule

RECORDS RETENTION AND DISPOSITION SCHEDULE

GENERAL RECORDS SCHEDULE: LOCAL GOVERNMENT AGENCIES



Issued By:



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

October 1, 2021

CONTENTS

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

2021 General Records Schedule: Local Government Agencies

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

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

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

Destructions

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

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

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

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

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

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

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

Audits and Litigation Actions

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

Electronic Records

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

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

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

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

Reference Copies

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

Record Copy

A record copy is defined as “The single copy of a document, often the original, that is designated as the official copy for reference and preservation.”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

¹Society 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>30</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 5years after superseded or obsolete. Agency Policy: Destroy in office after <u>6</u>	Authority: 10A NCAC 48B
1.03	ADMINISTRATIVE DIRECTIVES, REGULATIONS, AND RULES @ Records documenting requirements or directives promulgated by the agency for the conduct of a business or activity on agency premises or under agency authority.	Destroy in office when superseded or obsolete.	

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

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

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

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

* 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. Agency Policy: Destroy in office after <u>6</u>	
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>4</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 _____	

* 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.* Agency Policy: Destroy in office one year after State recommendation.	Authority: 42 USC 12132
1.15	CONSTITUENT SURVEYS Surveys and related records addressing agency services, policies, and other concerns.	Destroy in office when reference value ends.± Agency Policy: Destroy in office after _____	

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± 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> Agency Policy: Destroy in office one year after State recommendation.	
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. d) Agency Policy: Destroy in office one year after State recommendation.	

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

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ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.23	GRANT PROPOSALS Proposals submitted for grants, including applications, correspondence (including e-mail), and other related records.	a) Transfer records concerning approved grants to Grants (below). b) Destroy in office rejected or withdrawn grant proposals when reference value ends.± Agency Policy: Destroy in office one year after State recommendation.	
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

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ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.25	HISTORICAL DESIGNATIONS RECORDS Records concerning the awarding of historical markers by the agency. Includes applications, review materials, and list of markers.	a) Retain in office permanently the list of historical markers along with the accepted applications. b) Destroy in office after 1 year rejected applications. c) Destroy in office remaining materials after 3 years.	
1.26	HISTORY RECORDS (AGENCY AND EMPLOYEES) Records concerning the history of the agency and its employees. Includes published and unpublished histories, biographical data, photographs, newspaper clippings, and other related records.	a) Retain in office records with historical value permanently. b) Destroy in office remaining records when reference value ends.± Agency Policy: Destroy in office one year after State recommendation..	
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.* Agency Policy: Destroy in office one year after State recommendation.	
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 one year after State recommendation.	

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ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.30	INVENTORIES @ Inventories describing the type of property (including equipment and facilities other and fixed assets), its location, and related information. Also includes inventory control and usage records, such as requisitions/draw tickets, mileage logs, request forms, and other related records.	a) Destroy in office lists of properties, facilities, fixed assets, supplies, and surplus property when superseded or obsolete. b) Destroy in office inventory control and usage records after 3 years.	
1.31	LEGISLATION AND REGULATORY RECORDS Notices and copies of proposed or adopted state or federal legislation or regulations affecting the agency.	Destroy in office when reference value ends.± Agency Policy: Destroy in office one year after State recommendation.	
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 one year after State recommendation.	Confidentiality: G.S. 132-1.12 G.S. 132-1.13

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

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ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.38	ORDINANCES Includes code of ordinances. See the SECURITY PRESERVATION COPIES OF RECORDS section on page A-15 for instructions on imaging.	a) Retain in office official copy permanently. b) Destroy in office ordinance development records when ordinance is no longer in effect. c) Destroy in office additional copies (including tabled or failed ordinances) when reference value ends.± Agency Policy: Destroy in office one year after State recommendation.	
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. Agency Policy: Destroy in office one year after State recommendation.	

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

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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 one year after State recommendation.	
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>2 YEARS. STORE DIGITALLY 30 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 <u>one year after expiration of term.</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 one year after State recommendation.	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 one year after State recommendation.	
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 one year after State recommendation.	

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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 one year after State recommendation. <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 one year after State recommendation.	
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 one year after State recommendation.	

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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 one year after State recommendation.	

* 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
1.67	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 arbitration 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 one year after State recommendation.	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 one year after State recommendation.	

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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.± c) Agency Policy: Destroy in office one year after State recommendation. d) Destroy in office all remaining records after 3 years.*	Authority: G.S. 159-30

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

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

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ITEM #	STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
2.34 	PAYROLL DEDUCTION RECORDS Records used to start, modify, or stop all voluntary or required deductions from payroll. Includes tax withholding (NC-4, W-4), retirement and deferred compensation, savings plans, insurance, association dues, orders of garnishment, etc. Used as proof the employee approved of the deduction(s). SEE ALSO: Payroll and Earnings Records (above), Retirement Records (STANDARD 4: HUMAN RESOURCES RECORDS).	a) Destroy in office tax withholding forms 4 years after termination of deduction.* b) Destroy in office authorizations for deductions for retirement contributions, bank payments, savings plans, insurance, and dues 2 years after termination of deduction. c) Destroy in office remaining records 3 years after termination of deduction.*	Confidentiality: G.S. 115C Art. 21A G.S. 122C-158 G.S. 130A-45.9 G.S. 153A-98 G.S. 160A-168 G.S. 161E-257.2 G.S. 162A-6.1 Retention: IRS Publication 15 29 CFR 516.6(c)(1)
2.35	POWELL BILL RECORDS Records include certified statements, expenditures reports, information sheets, financial statements submitted to the North Carolina Department of Transportation, and all other related records.	Destroy in office after 3 years.	
2.36	PURCHASE ORDERS Records, forms, packing slips, and attached documents concerning purchased supplies, equipment, and services. SEE ALSO: Grants: Financial (above).	Destroy in office after 3 years.* <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>10 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 NOneMap 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 NOneMap 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 NOneMap 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 NOneMap 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 NOneMap 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 NOneMap 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 NOneMap 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 NOneMap 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>10 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

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

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

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ITEM #	STANDARD 4: HUMAN RESOURCES RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.10	DISABILITY SALARY CONTINUATION CLAIMS Forms used by disabled employees to apply for salary continuation benefits. Also include short-term disability claims forms and other related records.	a) Transfer original forms to Local Government Employees' Retirement System (LERS) 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

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

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

4: HR

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

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

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

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

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

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

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

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 (LGERS) forms to Department of State Treasurer. d) Transfer applicable records to Personnel Records (Official Copy) (above).	Retention: 29 CFR 1627.3(b)(2)
4.37	 SEASONAL AND CONTRACT WORKER RECORDS Records concerning seasonal or contractual employees who are not provided with or eligible for benefits. SEE ALSO: Personnel Records (Official Copy) (above).	Destroy in office 5 years after date of separation.	Confidentiality: G.S. 115C Art. 21A G.S. 122C-158 G.S. 130A-45.9 G.S. 153A-98 G.S. 160A-168 G.S. 161E-257.2 G.S. 162A-6.1
4.38	SECONDARY EMPLOYMENT Records concerning employees' requests and authorizations to accept employment with a private entity. SEE ALSO: Dual Employment (above.)	a) Destroy in office approved requests and related records 1 year after employee terminates outside employment. b) Destroy in office denied requests and related records after 6 months.	

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

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

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ITEM #	STANDARD 4: HUMAN RESOURCES RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.47	WORK SCHEDULES AND ASSIGNMENTS Records concerning work, duty, shift, crew, or case schedules, rosters, or assignments.	Destroy in office after 1 year.	
4.48	WORKERS' COMPENSATION PROGRAM ADMINISTRATION Includes program policies, guidelines, and related administrative documentation.	a) Retain in office records with historical value permanently. b) Destroy in office remaining records when superseded or obsolete.	
4.49	 WORKERS' COMPENSATION PROGRAM CLAIMS Records concerning workers' compensation claims filed by employees' supervisors concerning accidental injuries or illnesses suffered on the job. Includes Employer's Report of Injury to Employee (Form 19), accident investigation reports, medical reports, claim cost reports, reference copies of medical invoices, and other related records. <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)

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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>10 years</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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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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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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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.	

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

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

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

ITEM #	STANDARD 6: LEGAL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.14	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 <u>6 years</u>	
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>5 years</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>5 years</u>	

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

7: PR

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

ITEM #	STANDARD 7: PUBLIC RELATIONS RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
7.07	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>5 years</u>	
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 10 years. Digitally retain permanently.	

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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.	

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

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ITEM #	STANDARD 8: RISK MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
8.11	HAZARDOUS MATERIALS MANAGEMENT Records documenting agency efforts to prevent and mitigate exposure to hazardous materials. Includes risk assessments, management plans, and abatement/removal records. SEE ALSO: Safety Data Sheets (below). <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)

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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 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.	

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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)

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STANDARD 9: WORKFORCE DEVELOPMENT RECORDS

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

ITEM #	STANDARD 9: WORKFORCE DEVELOPMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
9.01	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

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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 I listed on this schedule?

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

Q. What is “reference value”?

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

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

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

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

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

Q. What are public records?

- A.** The *General Statutes of North Carolina*, Chapter 132, provides this definition of public records:
- “Public record” or “public records” shall mean all documents, papers, letters, maps, books, photographs, films, sound recordings, magnetic or other tapes, electronic data-processing records, artifacts, or other documentary material, regardless of physical form or characteristics, made or received pursuant to law or ordinance in connection with the

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

Q. Is any person allowed to see my records?

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

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

Q. What about my confidential records?

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

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

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

Q. What do I do with permanent records?

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

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

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

Examples of records with these characteristics:

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

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

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

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

Q. What is historical value?

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

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

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

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

Q. What if I do not have any records?

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

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

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

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

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

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

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

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

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

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

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

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

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

Q. Whom can I call with questions?

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

AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION

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

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

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

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

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

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

TRANSITORY RECORDS

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

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

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

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

- A.** Routing slips and transmittal sheets adding no information to that contained in the transmitted material have minimal value after the material has been successfully transmitted. These records may be destroyed or otherwise disposed of after receipt of the material has been confirmed. Similarly, “while you were out” slips, memory aids, and other records requesting follow-up actions (including voicemails) have minimal value once the official action these records are supporting has been completed and documented. Unless they are listed on the *General Records Schedule: Local Government Agencies* or your office’s Program Records Retention and Disposition Schedule, these records may be destroyed or otherwise disposed of once the action has been resolved.

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

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

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

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

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

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

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

DESTRUCTION OF PUBLIC RECORDS

Q. When can I destroy records?

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

Q. How do I destroy records?

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

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

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

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

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

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

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

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

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

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



Destructions Log

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

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

DIVISION OF ARCHIVES AND RECORDS — GOVERNMENT RECORDS SECTION

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

<http://archives.ncdcr.gov>
Telephone (919) 814-6900
Facsimile (919) 715-3627
State Courier 51-81-20

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

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
State Archives of North Carolina

Date



File Plan

County/Municipality					
Division		Section		Branch	

[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
	School Health Provider Contracts	Local Health Departments Schedule
	Petroleum Leases Register	Register of Deeds Schedule
Disaster and Emergency Management Plans	Public Health Emergency Preparedness and Response Records	Local Health Departments Schedule
Equipment and Vehicle Maintenance, Repair, and Inspection Records	Equipment and Instrument Maintenance and Repair File	Local Health Departments Schedule
	Autopsy and Surgical Pathology: Instrument Maintenance Records Clinical Laboratory Records: Instrument Maintenance Records Cytology Records: Instrument Maintenance Records File Instrument Maintenance File	Public Hospitals Schedule

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

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

(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

1

1099 FORMS. *SEE* TAX FORMS

A

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

B

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

INDEX

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

C

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

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

D

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

E

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

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

F

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

G

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

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

H

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

I

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

L

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

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

M

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

N

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

O

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

P

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

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

Q

QUALIFIED PRODUCTS LISTS, 32

R

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

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

S

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

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

T

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

U

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

V

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

VOLUNTEER RECORDS, 59
VOUCHERS. *SEE* ACCOUNTS RECEIVABLE

W

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

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

Digital Records Procedures

Wake Forest, North Carolina

 TOWN of WAKE FOREST	Policy Subject Records Management and Image Scanning Policy	Revision 1
	Department Administration _____ Kip Padgett, Town Manager	Effective Date December 1, 2021

**SIGNATURE PAGE**

The North Carolina Department of Natural and Cultural Resources (NDNCR) requires that any agency that images its records as part of its records retention practices as well as maintains electronic records which have retention periods of ten or more years to adopt electronic records and image policies. The policy incorporates NCDNCR's Sample Electronic Records Imaging Policy for Use by Local, and State Agencies. Complying with this policy will increase the reliability and accuracy of records stored in information technology systems and will ensure that they remain accessible over time.

This policy also serves to protect those records digitized by the Town's imaging system, which reduces required storage space for original documents.

Subject: Wake Forest Records
Effective date: December 2021

County/Municipality/Agency: Municipality
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Table of Contents

Table of Contents	2
1. Definitions	3
2. Overview	4
3. Municipal Records Retention and Disposal	5
4. Responsible Parties	5
5. Availability of System and Records for Outside Inspection	7
6. Maintenance of Trustworthy Electronic Records	7
7. Training & Audits	10
8. Documentation of Information Technology System	11
9. Compliance and Electronic Records Self-Warranty	13
10. Appendix A- Electronic and Digital Imaging Procedures Manual	14
11. Appendix B- Department Records Managers	17
12. Appendix C- Electronic and Digital Imaging Sign-Off Page	18
13. Appendix D- Disposal of Original Records Duplicated by Electronic Means	18



1. Definitions

- A. Administrative Records: Institutional data that is meant for a limited distribution; available only to employees of the Town that need the data to support their work. This data derives its value for the Town in part from not being publicly disclosed.
- B. Public Record: Under State law public records are documents, maps, photographs, recordings, and other items in various media that are made or received in connection with the transaction of public business.
- C. Essential Record- Records needed for emergency management and to continue operational responsibilities
- D. ECM- Enterprise Content Management System. In this case, Laserfiche.
- E. Imaging- a process by which a document (primarily on paper, although any medium can be used) is converted from a human-readable format to a computer-readable digital image file (archives.gov)
- F. Instruction Manual- Department specific rules and procedures as to how and where files will be saved and stored.
- G. Laserfiche: Refers to the application and server software package purchased by the Town for the purpose of digital record archiving and is the only approved method to meet the records retention procedures for the Town.
- H. New World Systems- Refers to the Town's operations management application, which encompasses most Town departmental operations. This system provides access to archived documents directly through the document's associated record(s).
- I. Metadata: All imaged records must be indexed in order to facilitate retrieval. This index should capture the content, structure, and context of the imaged records. This index will be development by IT.
- J. NCDNCR- North Carolina Department of Natural and Cultural Resources
- K. Non-Record: Does not meet the definition of a record such as a blank form, form letters or items not circulated for approval
- L. Public Records: Institutional data that is meant for all employees and in some cases wide and open distribution to the public at large. This institutional data does not contain confidential information.
- M. Retention Period- The life cycle that identifies the duration of time a record will be kept. Retention periods for the Town of Wake Forest are approved by the BOC and filed with NCDNCR.
- N. Records Appraisal- Distinguish records of continuing value from those of no further value.
- O. Regulated or Confidential Records: Data that is governed by privacy or information protection mandates required by law, regulation, contract, binding agreement, or industry requirements.



2. Overview

A. Overview

The records covered by this policy are in the custody of the Town of Wake Forest for delivering services and documenting Town operations. This electronic records policy reflects guidelines established in the North Carolina Department of Natural and Cultural Resources (NCDNCR) publication [*Guidelines for Managing Trustworthy Digital Public Records*](#). Records may be stored by electronic or non-electronic means. All public records as defined by [North Carolina G.S. § 132-1](#) are covered by this policy. As described further in this policy, per NCDNCR, the Town will follow proper disposal of public records at the end of their retention periods using approved disposal methods ([NCAC 04M.0510](#)). In general, the Town keeps records one year longer than the official disposal and retention schedule.

The Town has implemented a full-featured electronic content management system (ECM). This system enables the Town to scan or image original paper documents in-house without having to pay an outside provider to perform such work, reduces required storage space for original documents and provides instant access to documents as needed. The Town's ECM is operated by IT and Laserfiche. The Town's operations management system New World (NWS), policy management system (PowerDMS), and server management (Sharepoint) also support the archiving and attaching of specific imaged records and can be used in conjunction or as an alternative to the ECM.

This policy also provides guidance in meeting document retention guidelines for the destruction of original documents and retention of digital documents.

B. Goals of the Policy & Procedures

The intent of this policy is to create an effective records management program. Goals include to preserve the integrity of and accessibility to public records, reduce paper copies where feasible, save money, time, and space by preventing the creation of unnecessary records, removing inactive records from crowded office spaces and servers, and ensuring that records are well organized and easily accessible. Most importantly, this policy organizes how permanent records are filed, named, maintained, and disposed.

C. Scope

The scope of this policy includes all personnel who are responsible for managing departmental and Town records. All departments are eligible to use the Town's ECM but must adhere to this policy. The policy and procedures serve as basic documentation of the procedures followed by the Town in imaging, indexing, backing up, and purging electronic records in accordance with the disposition schedule, and in managing the original paper record, if applicable.

D. Reevaluation of Record Management and Imaging Procedures

This policy will supersede any electronic records system policy previously adopted. This policy will be reevaluated at a minimum of every three years, or upon the implementation of a new information technology system and will be updated as required. A copy of this policy will remain on file at the Department of Natural and Cultural Resources.



3. Municipal Records Retention and Disposal

These procedures help us maintain useful records and to dispose of them after their purpose has been served. It is important to note that only a small percentage of records, generally ten percent or less, possess lasting value. Most records should be kept on the Town servers (Sharepoint) and can be disposed of at will. Permanent records should be kept in the ECM.

A. Defining what Records are included.

These procedures apply to all public records as defined by [North Carolina. G.S.132.1](#) in addition to other statutes and regulations, regardless of format, that are in the custody of the Town of Wake Forest and are maintained for the benefit of the Town. This includes permanent, and non-permanent records, and confidential and non-confidential records. These classifications may warrant different treatment when processing the records. Each Department is responsible for developing department specific instruction manuals to further define how particular records will be managed and saved.

B. NCDNCR Involvement

The Town has entered into an agreement with NCDNCR for both a Municipal Records Retention and Disposition Schedule affecting all records created within the Town. The schedule sets the minimum retention periods for which all records must be maintained. A copy of the schedule is kept in the Town Clerk's Office.

C. Original Document Retention

The Town has adopted the NCDNCR retention and disposal schedule. In general, documents are kept one year longer than listed in the schedule.

D. Original Document Disposal

There are two types of documents for official documents. Original digital copies and original paper documents.

1. Original digital files will be retained until its retention period has lapsed. Departments using ECM, that have created a digital copy in addition to an original paper file, and wish to destroy the original copies prior to meeting the document retention guidelines as listed by NCDNR will be required to complete the duplication disposal form as shown in Appendix D.
2. Original paper documents that have been approved for duplication can be destroyed immediately. The date of destruction will be considered the same date that the original (paper) document is destroyed. Until original records are destroyed, records are still public records and must be produced in response to a records request. Original paper documents designated as permanent will not be destroyed. A digital duplicate may be kept for ease of access and reference. Any department with questions on managing permanent records should be sent to the Town Clerk's office.

E. Damaged Original Documents

4. Responsible Parties

The following section describes the responsibilities of Department Directors, Records Managers, Record Creators, Town Clerk and the IT Department. Each department that chooses to store records only by electronic means must submit the process that will be used for creation to the Town Clerk's Office for final approval. The process must include information on how the records will be indexed, which system



or systems will be used (Sharepoint, New World, IDT, Laserfiche, etc.), to ensure simple and timely retrieval for business and public records request needs. In addition, the process must describe the security measures to protect sensitive data.

Department Directors

Responsibilities include:

1. Assigning Sharepoint Access
2. Reviewing ECM Access with the IT Department
3. Understanding and implementing this policy
4. Reviewing Department Instruction Manuals
5. Checking in with assigned Records Managers on Instruction Manual updates and audits

Records Managers

Responsibilities include:

- Conducting a records inventory- The records inventory will provide most of the information necessary to appraise the records to establish if and when the records retention and disposition schedule should be unique to the Town of Wake Forest and differ from the state. The appraisal should involve determining the function and purpose, the informational content, the use, and the uniqueness of the record.
- Writing and implementing a department instruction manual
- Reviewing quality of records for legibility, accuracy, and completeness.
- Ensuring records are produced or reproduced as part of a regularly conducted activity.
- Ensuring records conform to NCDNCR guidance regarding file formats, file naming, and if applicable, digital preservation guidance produced by NCDNCR.
- Detailed, documented procedures are in place and followed when the records are created, copied, modified, or duplicated.
- Details of the training received are adequately documented through written policies and procedures.

Records Creators

Responsibilities include:

1. Attending and signing off on training conducted by IT staff.
2. Creating passwords for computers that are long, complex, and frequently changed.
3. Creating and managing electronic records in their purview in accordance with the policies and other guidance issued by the NCDNCR and complying with all IT security policies.
 - In the Town, all policies are signed in PowerDMS
4. Reviewing system records annually and purging records in accordance with the retention schedule
 - Each Department should provide which month of the year they will annually review and dispose of items through the Clerk's Office
5. Guaranteeing that records, regardless of format, be retained for the period of time required by local records retention schedules.



6. For Record Creators using the ECM carrying out day-to-day processes associated with the agency's imaging program, including:
 - Designating records to be entered into the imaging system.
 - Noting confidential information or otherwise protected records and fields
 - Removing transitory records from the scanning queue
 - Completing indexing guide form for each record being scanned
 - Reviewing images and indexing for quality assurance
 - Naming and storing the scanned images in designated folders.
 - Once approved, destroying or otherwise disposing of original records in accordance with guidance issued by the NCDNCR

IT Department

Responsibilities include:

1. Installing and maintaining equipment and software
2. Configuring the system according to agency needs, including creating and testing applications and indexes.
3. Controlling permission rights
4. Maintaining documentation of system hardware and software
5. Establishing audit trails that document actions taken on records stored by the information technology system.
6. Providing backups for system records and recovering deleted imaged records when necessary
7. Completing a disaster recovery backup at least once every two years
8. Establishing and providing training on equipment and software, documenting such training, and providing remedial training as needed.
9. Creating and updating detailed procedural manuals describing the imaging process and equipment
10. Conducting any necessary batch conversions or batch renaming of imaged records

5. Availability of System and Records for Outside Inspection

Security to the Town's ECM, PowerDMS, and NWS for document viewing is controlled by access rights. These rights are managed by the IT Department and are dictated by department heads or Town Clerk's office. IT and the department head review the permissions for each person. In the event a person leaves, IT and the department head verify the permissions on file so that all accounts are secured. When a new team member is onboarding into the vacated position, both IT and department head should know which programs to activate for the new person. The rights management prevents unauthorized viewing of imaged documents.

Departments should always consult with the Town Clerk and Town Attorney when receiving a request for electronic records. Confidential data should be redacted through the method of printing a record and striking through sensitive information, or by using redaction tools that work in the native file format for the electronic record that has been retrieved.

6. Maintenance of Trustworthy Electronic Records

The following section should provide context on how to continually manage and organize files. This section defines active versus inactive records, how to name files, filing systems, and contains a series of questions to ask on a weekly basis to ensure adherence to this policy.



- Active records
 - Active records are those that are referred to at least once per month per file drawer or file folder. Correspondence generally comprises the majority of active records in an office. Effective management of active files and an efficient filing system will reduce the amount of space required for the maintenance of these records.
 - Create letters and memoranda when needed to convey information or to create a tangible record.
 - When written record is not needed, rely on face-to-face conversation or the telephone.
 - Produce only as many copies as needed to ensure quick and accurate paper filing.
- Inactive records
 - Inactive records referred to less than once per month per file drawer or file folder and may not need to be maintained in the office of origin.
 - Review records with Clerks Office or Records Manager to identify archival records.
 - Transfer any record of an historical nature that should be retained forever to the Records Manager for permanent storage in the associated ECM.
 - Inactive records that need to be retained may be scanned.
 - Each department is responsible for storing these files and providing an inventory to the Clerks Office listing the type of records, storage locations and retention schedules.
- Filing Systems
 - The purpose of a filing system is to make it easier to retrieve information, and to easily dispose of it when it is no longer needed.
 - The filing system in each department should be known by all employees who normally access files.
 - The filing system should relate closely to the Town's retentions schedule so that records can be easily transferred from active to inactive storage if necessary.
- Verification of Digital Records
 - Certification of records usually occurs if documents are used in a court proceeding. The filed records retention schedule with NCDNCR will note if the official record is the paper or digital version.
- **File Naming**
 - All platforms used by the agency to create and manage electronic records, including e-mail clients, social media platforms, and cloud computing platforms, conform with all North Carolina Department of Natural and Cultural Resources policies and all applicable IT security policies. Electronic files are named in accordance with the [Best Practices for File Naming](#) published by the Department of Natural and Cultural Resources. A file naming convention can help the user determine which files are relevant to their search. A good file naming convention can help a user know the content of a document without opening it. A uniform process will ensure consistent understanding. A file naming convention applies to all file types but does not apply to folders containing files.
 - Rule 1: Include at minimum and in order, the date, subject, status of the file.
 - Rule 2: Avoid using special characters such as (\ : * ? " < > | } {



- Rule 3: Use underscores instead of periods or spaces
- Rule 4: Err on the side of brevity.

Electronic files are saved in formats that comply with NCDNCR's [*File Format Guidelines for Management and Long-Term Retention of Electronic Records*](#). File formats used by the agency are identified as standard by DNCR and are well-supported, backwards compatible, and have robust metadata support.

- [Questions to Ask Daily](#)
 - Are all official documents documented, fully and completely, and done so in a manner that reflects professionalism for the government and for yourself?
 - Have you saved all records/files/information in accordance with a formal, approved file plan, developed in a manner that is fully customized to the needs of your department?
 - Have you followed the file naming structure?
 - Have you followed the records retention schedule?
 - Have you assigned metadata if appropriate?
 - Have you discarded duplicates, drafts/working papers daily, as soon as they are no longer useful?
 - Deleted email of transitory value?
 - Saved email of routine or long-term business value to managed repositories in which their retention requirements can be satisfied?
 - Filed any emails related to legal cases?
 - Scanned paper documents that should be filed in the ECM?
 - Saved/stored all vital, mission-critical records solely to repositories that are fully backed up, secure and protected against the risk of loss or inadvertent disposal from disaster or other causes?

Files to be Maintained in a Secure Environment

Security of the system and the records it holds is maintained in the following ways:

- Access rights are managed by the IT department and are assigned by a supervising authority to prevent unauthorized viewing of documents.
- Data creators must organize and name file systems in such a way to identify confidentiality of the documents.
- Folders with confidential information are restricted, and access rights to confidential data are carefully managed. Confidential material is redacted by the appropriate Department Director before it is shared or otherwise made available.
- Physical access to computers, disks, and external hard drives is restricted.
- All system passwords and operating procedure manuals are kept in secure off-site storage.



Associated and Linked with Appropriate Metadata

Metadata is maintained alongside the record. At a minimum, metadata retained includes file creator, date created, title (stored as the file name), and when appropriate, cell formulae and e-mail header information. Employees are not instructed to create metadata other than metadata that is essential for a file's current use and/or retention.

Stored on Media that are Regularly Assessed and Refreshed

Data is converted to new usable file types as old ones become obsolete. The following steps are taken to ensure the continued accessibility of records kept in electronic formats:

- Data is audited and assessed annually. If there is evidence of file corruption, data should be migrated to new media.
- Records are periodically verified through hash algorithms. This is required before and after transfer to new media to ensure the records were not altered.
- Media is refreshed every three to five years. The agency documents when and how records are transferred from one storage medium to another. Once the new media has been sampled to assure the quality of the transfer, the original media may be destroyed according to the guidelines of 07 NCAC 04M .0510.
- Records are periodically migrated to new file types, particularly when a new information technology system requires that they be brought forward in order to render the file properly.
- Metadata is maintained during transfers and migrations.
- Storage media are maintained in a manner and in an environment that promotes bit-level preservation. Humidity does not exceed 50% and should not fall below 30%. Room temperature is set between 65° F to 75° F. The agency adheres to the media manufacturer's recommendations for specific environmental conditions in which the media should be stored.
- Whatever media is used to store data is clearly labeled with enough information that its contents can be determined (e.g., optical media should have a physical label; data stored on a server should be indexed).
 - At a minimum, it should display the name of the department responsible for the data, the file title, the disposition date or permanent status of the record. We may need to add the classification: public or confidential.

7. Training & Audits

Training Programs

The Clerk's Office will conduct training for system use and electronic records management, using material published by the NCDNCR when appropriate. All employees will be made aware of system procedures and policies and trained on them; employees will acknowledge by initialization or signature that they are aware of the policies and have received training on them. When appropriate, employees will also attend trainings offered by the NCDNCR on the maintenance of electronic records.

Documentation will be maintained for the distribution of written procedures, attendance of individuals at training sessions and refresher training programs, and other relevant information.



Audit Trails

At a minimum, the IT department will maintain documentation on who has read and/or write permission to files maintained by the agency. Ideally, a log of activities on the system is maintained, which shows who accessed the system, how and by whom records were created and modified, and whether standard procedures were followed.

Audits

Audits are designed to evaluate the process or system's accuracy, timeliness, adequacy of procedures, training provided, and the existence of audit trails. Internal audits are conducted regularly by agency IT staff, every time this policy is updated (at a minimum of every three years).

8. Documentation of Information Technology System

This section describes how the overall IT System works and how it is utilized to integrated with records retention.

System Design

The Town maintains documentation that describes system procedures, practices, and workflows. This documentation also identifies system software and hardware and captures the system environment in terms of the organizational structure, functions and responsibilities, and system processes. It explains how the system operates from a functional user and data processing point of view. Documentation is reviewed and updated by IT staff every time this policy is updated or upon implementation of a new information technology system.

Retention of System Documentation

One set of all system documentation will be maintained during the period for which the records produced by the process or system could likely be subject to court review and until all data created by every system instance has been destroyed or transferred to a new operating environment. All such documentation is listed in the Towns records retention schedule.

Training

Only designated staff that have been formally trained by IT staff and have signed off on training documentation on the use of the imaging software and equipment will be allowed to scan records. Components of the training will include basic techniques for image capture, indexing, quality control, security configuration, auditing, use of equipment, and general system maintenance. Permissions to image and index records will not be assigned until the user has been trained. If a user improperly indexes or scans a document, an auditor will address this occurrence with the user, and remedial training will be required.

Retention of Original and Duplicate Records

To obtain permission to destroy original records following imaging, this agency will complete [Appendix D](#). For each records series identified for scanning, the NCDNCR must approve the destruction of the original records. Permanent records may be imaged for ease of access, but the original documents may not be destroyed unless an analog copy exists prior to the records' destruction.



Destruction of original records is allowed only after quality assurance has been conducted on the imaged records, necessary corrections have been made, the electronic records system is audited for accuracy, and the destruction of records has been approved.

If digital images replace the original records and assume all legal authorities, these scanned records will be considered the record copy and must be maintained for the specified retention period defined in the appropriate records retention and disposition schedule. The retention period is considered to have begun when the original document was created, not when the electronic version was produced. Any hard copy generated from the imaged records will be considered the agency's duplicate "working" record or reference copy.

Security and Disaster Backup and Restoration

The agency has a disaster recovery plan for its electronic data in place, which includes contact information for data recovery vendors and information about backups of all data. Security backups to protect against data loss are generated for all but the most transitory of files. Routine backups are conducted **monthly** are stored in secure off-site storage on Town servers. Imaged documents will be synchronized to a secured offsite location upon document changes or upon document scanning.

Vendor-Provided Services/Hosted Solutions

As the Town utilizes Contractors services to establish and maintain the ECM, the terms of the service level agreement with the ECM detail:

- File formats
- Plan for converting files to a new format.
- File naming practices
- Access rights/security mechanisms
- Backups (specify frequency and location)
- Mechanism for destructions
- Audits (data should be audited at least annually to test accessibility and assess need for refresh or migration)
- Frequency of refreshing of media (should be at least every 3-5 years)
- Frequency of checksum validation (should be at least at every migration)
- Environmental conditions where media is stored (humidity 30-50%, temperature 65-75°F)
- Training program
- Disaster recovery procedures
- System documentation/procedural manual – a copy should be provided to the agency that specifies what hardware and software are provided by the vendor.
- System for indexing records
- Quality control procedures
- Mechanism for document production due to litigation, audit, or public records request
- Mechanism for avoiding spoliation of evidence.
- Costs for:
 - Uploading records
 - Downloading records



- Migrating records
 - Service termination
 - Proprietary software necessary to access records (if applicable)
- Performance/availability (e.g., planned and unplanned downtime)
- Ownership of data
- Procedure for exporting records (including images as well as metadata) at end of contract period and/or when vendor ceases operation.
 - Contracts should be reviewed for arbitration clause

9. Compliance and Electronic Records Self-Warranty

The completion of this form by all signing employees signals that all employees will adhere to the rules set forth in this policy. Furthermore, this section is to be used as a self-evaluation tool to ensure that electronic records produced by the agency are created, reproduced, and otherwise managed in accordance with guidelines for electronic public records published by the North Carolina Department of Natural and Cultural Resources.

Each signatory should initial each element for certification, print his/her name on the Approved by line, fill in the job title, and sign and date the form.



10. Appendix A- Electronic and Digital Imaging Procedures Manual

The Town should maintain a copy of a detailed service level agreement with the ECM and ensure it is maintained.

Shared Drive Management

Employees use shared storage for collaboration and access. Procedures for the use of this shared storage comply with NCDNCR's guidance document [Global Shared Storage Guidelines](#).

ECM Management

The Records Manager for each Department and the Information Technology (IT) Department are responsible for preparing and updating detailed procedures that describe the process to create and manage imaged electronic records. This documentation will include a description of the system hardware and software utilized in the Town for imaged electronic records.

The initial 2021 rollout of the digital imaging system will be managed by IT through a Contractor at an offsite location. IT will meet with each Department and then separately with each Records Manager. Prior to delivering paper documents to IT, Records Managers should divide documents into two groups. The first, should be any document needing to be kept over five years and that will need to be saved into the ECM. The second, should be any document that will be stored on the Town's server.

Following the initial digitization, scanning workstations will be set up throughout Town facilities. Each scanning station will have, at a minimum, the following hardware and software, otherwise directed by IT.

- Document/image scanners authorized by IT.
- Access to ECM Software which includes:
 - PowerDMS
 - Laserfiche
 - IDT
 - New World (NWS)
- Access to Town's Servers

To ensure documents are handled consistently, each Department is required to have an instruction manual. All instruction manuals will be maintained by each Records Manager, describing in detail the steps required in the scanning process. The manual will also define:

- Where and how documents are saved.
- The resolution of scanned images, as well as any compression standard used.
- The file formats of scanned images
- The file naming conventions used for scanned images.
- Whether batch conversion or batch file re-naming will be necessary, and what tool is used for such conversions.



- Whether any image enhancement techniques should be conducted after imaging

Training

Only designated staff (Department Records Managers) that have been formally trained by IT staff and have signed off on training documentation on the use of the image software and equipment will be allowed to scan records. Components of the training will include basic techniques for image capture, indexing, quality control, security configuration, use of equipment and whether to save the document on the Town server or in the designated ECM. Permissions to image and index records will not be assigned until the user has been trained.

Indexing and Metadata

All imaged records must be indexed in order to facilitate efficient retrieval, ease of use, and up-to-date information. This index should capture the content, structure, and context of the imaged records and will be developed by IT staff prior to implementation of any imaging system, or changes connected to existing systems. At minimum, metadata retained includes file creator, date created, title (stored as the file name), and when appropriate, e-mail header information. Employees are not instructed to create metadata other than metadata that is essential for a file's current use and/or retention.

Auditing and Audit Trails

Records managers will conduct a quality control audit following the imaging of a record to ensure that the following features of the imaged record are legible:

- Individual letters, numbers and symbols
- Combinations of letters, sentences, and signatures or other graphics
- Confirm colors, shapes and texture are clear and clearly legible.
- Confirm quality control results with Town Clerks Office

If audit results in issues, the records manager should work with the Clerk's Office and IT to determine best course of achieving accuracy.

Audit trails are built into the ECM Laserfiche that will document who creates, duplicates, modifies or otherwise accesses records and what procedures were taken. Audit trails include the success of failure, date, time and user of the following events:

- Add/Edit Document
- Copy Document
- Copy pages.
- Create document/folder.
- Delete Entry
- Delete Pages
- Edit image.
- Export Document



- Log in/out.
- Move document.
- Print document.

Access to documents and imaging system will be managed by Records Managers in coordination with IT. If Departments determine audit trails are needed in other ECMs, the process should be detailed in the Department Instruction Manual.

File naming

A file naming convention can help the user determine which files are relevant to their search. A good file naming convention can help a user know the content of a document without opening it. A uniform process will ensure consistent understanding. A file naming convention applies to all file types but does not apply to folders containing files.

- Rule 1: Include at minimum and in order, the date YYYYMM, subject, status of the file.
- Rule 2: Avoid using special characters such as (\/: *?"<>|}{
- Rule 3: Use underscores instead of periods or spaces
- Rule 4: Err on the side of brevity.

File Formats

When developing Department Instruction Manuals and discussing auditing procedures, it is important to think about the subject matter of the document as it is referenced in the Retention Schedule and type of document itself. The chart below references popular types of documents and the recommendations from the State on retention. For example, if there are construction documents that are needed to be kept in perpetuity that obtained as a .dwg file, it is recommended prior to saving in the ECM to convert to a .dxf file.

Type of Record	Recommended for long-term retention	Acceptable for long-term retention	Not recommended for long-term retention
Word Processing Documents	PDF/A-1, OpenDocument Text (.odt)	Word Document (.doc) XML Document (.docx) Rich Text Format (.rtf)	Word Perfect
Plain text Documents	Comma-Separated file (.csv) Tab-delimited file (.txt)	Other delimited text files where the delimiting character is not present in the data	
Spreadsheets	Comma-separated file (.csv) Tab-delimited file PDF/A-1	Excel Spreadsheet (.xls) Excel XML Spreadsheet (.xlsx) Other delimited text files where the	



		delimiting character is not present in the data	
Audio	Broadcast WAVE (.wav)	AIFF MIDI WMA MPEG3 MP4	Audio CD DVD
Digital Video	AVI, full frame	MPEG WMV MPEG4,2	Blu-Ray VHS VDV DVcam
Raster Images	TIFF JPG	JPEG PNG PDF/A GIF	Adobe CD DVD
Vector Images	Vector Graphics AutoCad dxf PDF	AutoCad dwg	Adobe
Databases	Specific Databases	Microsoft Access	
Presentation	PDF/A		Microsoft Powerpoint

11. Appendix B- Department Records Managers

Records Managers by Department		
Department	Records Manager	Backup
Administration	Deputy Town Clerk	Executive Assistant
Communications	Communications Director	Outreach Coordinator
Downtown Development	Downtown Development Manager	Downtown Development Specialist
Economic Development	Economic Development Director	TBD
Engineering	Stormwater Engineer	Environmental Engineer
Financial Services	Office Assistant	Chief Financial Officer
Fire	Fire Chief	Captain
Human Resources	Senior Human Resources Consultant	Human Resources Consultant
Inspections/Public Facilities	Inspections & Facilities Director	Facilities Manager
IT	CIO	CTO
PRCR	Office Assistant	PRCR Director
Planning	Assistant Director	Office Assistant
Police	Office Assistant	Office Assistant
Power	Power Administrative Specialist	Electric Manager
Public Works	Public Works Administrative Specialist	Public Works Director
Renaissance Center	Renaissance Center Manager	Renaissance Center Specialist



12. Appendix C- Electronic and Digital Imaging Sign-Off Page

Note: The official Records Manager who creates, copies, modifies, or duplicates records receives formal training on detailed system procedures prior to records preparation and retention schedules. Training will be provided on the use of the imaging station, software, how and where to save files, metadata and other details. Employees will sign this manual in Power DMS after receiving training. After receiving records training, individuals promise to:

- keep track of records created or duplicated by electronic means in their respective departments and to ensure that they are prepared in accordance with this policy.
- Review records for legibility, accuracy and completeness.
- To only use scanners and systems approved by IT.
- Records and associated retentions schedules conform to NCDNCR guidance regarding file formats and file naming (see Appendix A)
- Prior to destruction of original documents, individuals will fill out a request for disposal of original records duplicated by electronic means and send to the Clerks Office for NCDNCR approval. Once approval has been received, the original records can be destroyed (see Appendix D).

Clarification of Paper vs Electronic Original Documents

NCDNCR recommends redundancy for official records. As a reminder, only a small percentage of the Town's work product needs to be kept in perpetuity.

- Digital images of scanned records are maintained for the specified retention periods according to the records retention and disposition schedule. The retention period is considered to have begun when the original document was created, not when the document was made or transitioned to digital.
- Any permanent records maintained in electronic form also must exist as a paper or microfilm preservation duplicate copy to meet NCDNCR standards.

13. Appendix D- Disposal of Original Records Duplicated by Electronic Means

This form is used to request approval from the NCDNCR to dispose of **non-permanent** paper records that have been scanned, entered, 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.



Request for Disposal of Original Records Duplicated by Electronic Means

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

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

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

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

Requested by:

Signature	Title	Date
-----------	-------	------

Approved by:

Signature	Requestor's Supervisor	Date
-----------	------------------------	------

Concurred by:

Signature	Assistant Records Administrator State Archives of North Carolina	Date
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DIVISION OF ARCHIVES AND RECORDS — GOVERNMENT RECORDS SECTION

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

<http://archives.ncdcr.gov>
Telephone (919) 814-6900
Facsimile (919) 715-3627
State Courier 51-81-20

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

A RESOLUTION ADOPTING THE 2021 MUNICIPAL RETENTION AND DISPOSITION SCHEDULE (2021-XXX)

WHEREAS, North Carolina General Statute § 132-1 defines public records as documents, maps, photographs, recordings, and other items in various media that are made or received in connection with the transaction of public business; and

WHEREAS, North Carolina General Statute § 121-5 prohibits disposal of any public record without the consent of the North Carolina Department of Natural and Cultural Resources; and

WHEREAS, the Department of Natural and Cultural Resources' Municipal Records Retention and Disposition Schedule identifies how long certain records must be retained in accordance with state and federal laws, rules, and regulations; and

WHEREAS, municipalities that adopt the Municipal Records Retention and Disposition Schedule, may lawfully dispose of certain records at the end of those records' retention periods, so long as those records are not needed for audit or legal purposes or in support of Town business; and

WHEREAS, the Town of Wake Forest currently manages records under a version of the Schedule adopted by Town Board of Commissioners on August 18th, 2009 and

WHEREAS, the Department of Natural and Cultural Resources has issued an updated Schedule which updates the following listed records: Administration and Management, Budget, Fiscal, and Payroll, Geographic Information Systems, Human Resources, Information Technology, Legal, Public Relations, Risk Management, and Workforce Development Records. The updated schedule also states that "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."

WHEREAS, administrative values have been determined by Wake Forest staff and inserted into the Municipal Records Retention and Disposition Schedule, as amended, where applicable. In general, the Town adopts the States Schedule plus one additional year.

NOW, THEREFORE, BE IT RESOLVED by the Council of the Town of Wake Forest that the Council adopts the 2021 Municipal Records Retention and Disposition Schedule, including the added locally-defined administrative values of records as presented in the December 7th meeting materials, and that this Schedule supersedes the Schedule adopted by the Town Board in 2009.

Approved this 21st day of DECEMBER, 2021.

Moved by: _____

Seconded: _____

Mayor: _____

ATTEST:

Town Clerk

SEAL



Board of Commissioners Work Session Agenda Item Report

Agenda Item No.: 2021-370-
Submitted by: Allison Snyder
Submitting Department: Administration
Meeting Date: December 7, 2021

SUBJECT

Consideration of action regarding updates to the Town of Wake Forest Board of Commissioners Rules of Procedure.

Recommendation:

Recommend approval of updates to the Town of Wake Forest Board of Commissioners Rules of Procedure.

Item Summary:

ATTACHMENTS

- [Summary - Resolution to update Rules of Procedure 2021.docx](#)
- [Attachment 1 Rules of Procedure 2021 Update.pdf](#)

Resolution to Approve updates to the Town of Wake Forest Board of Commissioners Rules of Procedure

Recent changes to North Carolina General Statute 160D and modifying the start time of our regular board meetings from 7:00 p.m. to 6:00 p.m. necessitated updates to our Rules of Procedure. Last updates were adopted in 2017.

Attachment 1: Rules of Procedure 2021 Update

RESOLUTION 2021-370

APPROVAL OF REVISED RULES OF PROCEDURE

WHEREAS, The Board of Commissioners operate under adopted rules of procedure; and

WHEREAS, the rules were revised October 17, 2017, due to changes in state law and to conform to current practices.

WHEREAS, these rules have been revised again in December 2021 due to changes in state law and to conform to current practices and were presented to the Board of Commissioners on December 7th, 2021.

WHEREAS, in case of conflict, the following documents supersede each other in accordance with the following respective hierarchy: State Legislation, Wake Forest Code of Ordinances, Robert's Rules of Order Newly Revised, and then any subsequent handbooks or internal procedures.

NOW, THEREFORE, BE IT RESOLVED by the Board of Commissioners of the Town of Wake Forest that the attached revised rules of procedure are hereby adopted.

Adopted this 21st day of December 2021.

Moved by: _____

Seconded by: _____

Mayor. _____

ATTEST:

Town Clerk

**THIS IS AN ANNOTATED VERSION OF THE TOWN OF WAKE FOREST MEETING
PROCEDURES. ANNOTATIONS ARE TO TREY ALLEN'S SUGGESTED RULES OF
PROCEDURE FOR A CITY COUNCIL. FOURTH EDITION. UNC SCHOOL OF
GOVERNMENT ("Suggested Rules")**

Table of Contents

1.	<u>Regular Meetings</u>	1
2.	<u>Special, Emergency, and Adjourned Meetings</u>	1
3.	<u>Organizational Meeting</u>	3
4.	<u>Agenda</u>	4
5.	<u>Public Address to the Board</u>	5
6.	<u>Order of Business</u>	5
7.	<u>Presiding Officer</u>	6
8.	<u>Action by the Board</u>	6
9.	<u>Second Required</u>	7
10.	<u>One Motion at a Time</u>	7
11.	<u>Substantive Motions</u>	7
12.	<u>Adoption by Majority Vote</u>	7
13.	<u>Voting by Written Ballot</u>	8
14.	<u>Debate</u>	8
15.	<u>Ratification of Actions</u>	8
16.	<u>Procedural Motions</u>	8
17.	<u>Propriety of Motion</u>	11
18.	<u>Renewal of Motion</u>	12
19.	<u>Withdrawal of Motion</u>	12
20.	<u>Duty to Vote</u>	12
21.	<u>Closed Sessions</u>	13
22.	<u>Quorum</u>	13
23.	<u>Quorum at Public Hearings</u>	14
24.	<u>Minutes for Closed Sessions</u>	14
25.	<u>Reference to Robert's Rules of Order Newly Revised</u>	14

Reference to Robert's Rules of Order Newly Revised ("RONR")

Appendix: Table of Permitted Procedural Motions in Order of Precedence

Preamble

The Town of Wake Forest Meeting Procedures set forth the rules for calling, conducting and memorializing meetings of the Town of Wake Forest Board of Commissioners (the "Board") as well as the procedures for actions during such meetings. These procedures are designed to promote transparency and efficiency throughout Board Meetings. They contain explanatory annotations with references to the North Carolina General Statutes, the Town's Charter, and secondary resources which inform the policy behind these procedures. Where possible, the annotations indicate where these procedures deviate from the Suggested Rules.

1. Regular Meetings

(a) *Regular Meeting Schedule.* Unless otherwise determined by the Board, the Board shall hold a regular meeting on the third Tuesday of each month, except that if a regular meeting day is a legal holiday, the meeting shall be held on the next business day. The meeting shall be held at the Town Hall and shall begin at ~~7:00 PM~~ 6:00 PM. A copy of the Board's current meeting schedule shall be filed with the town clerk.

(b) *Change to Meeting Schedule.* Notwithstanding paragraph (a) of this rule, the Board may amend its regular meeting schedule to add or delete meetings or to change the date, time, or location of one or more meetings on the schedule. The amended schedule shall be filed with the town clerk at least seven (7) calendar days before the day of the first meeting held pursuant to the revised schedule.

N.C.G.S. §160A-71 allows the Board to fix a time and place for regular meeting; Charter, Art. III, Sec. 3.5, requires the Board to meet once per month. N.C.G.S. §143-318.12(a) requires the Board's schedule of regular meetings to be kept on file with the town clerk.

ANNOTATION: This tracks the language recommended by Suggested Rules p. 6 (Rule 9, with a few exceptions. For example, this Rule includes the opening proviso: "Unless otherwise determined by the Board, " which is ambiguous as it is unclear whether it (1) merely allows the Board to determine a different date for the regular monthly meeting or (2) allows the Board to determine not to hold a meeting. The second interpretation would be problematic because the Charter requires the Board to hold a regular meeting each month. The Suggested Rules also require listing the calendar of regular meetings on the Town's website if such website is managed by at least one Town employee.

2. Special, Emergency, and Adjourned Meetings

(a) *Special Meetings.* The mayor, the mayor pro tempore, or any two members of the Board may at any time call a special Board meeting by signing a written notice stating the time and place of the meeting and the subjects to be considered. At least 48 hours before a special meeting called in this manner, written notice of the meeting stating its time and place and the subjects to be considered shall be (a) delivered to the mayor and each Board member either in

person or via e-mail (to his or her Town e-mail address) or left at his or her usual dwelling place; (b) posted on the Board's principal bulletin board, or if none, at the door of the Board's usual meeting room; and (c) mailed, e-mailed, or delivered to each newspaper, wire service, radio station, television station, and person who has filed a written request for notice with the town clerk. Only those items of business specified in the notice may be transacted at a special meeting called in this manner, unless all members are present or have signed a written waiver of notice.

A special meeting may also be called or scheduled by vote of the Board in open session during another duly called meeting. The motion or resolution calling or scheduling the special meeting shall specify its time, place, and purpose. At least 48 hours before a special meeting called in this manner, notice of the time, place, and purpose of the meeting shall be (a) posted on the Board's principal bulletin board, or if none, at the door of the Board's usual meeting room; and (b) mailed, e-mailed, or delivered to each newspaper, wire service, radio station, television station, and person who has filed a written request for notice with the town clerk. Such notice shall also be mailed, e-mailed, or delivered at least 48 hours before the meeting to each Board member not present at the meeting at which the special meeting was called or scheduled, and to the mayor if he or she was not present at that meeting.

Any notice required to be posted on the Board's principal bulletin board or at the door of the Board's usual meeting room shall be posted on the door of the building or on the building in an area accessible to the public if the building containing the principal bulletin board or usual meeting room is closed to the public continuously for 48 hours before the time of the meeting. The town shall post notice of any meeting held in accordance with this Rule 2(a) prior to the scheduled time of that meeting.

(b) *Emergency Meetings.* The mayor, the mayor pro tempore, or any two members of the Board may at any time call an emergency Board meeting by signing a written notice stating the time and place of the meeting and the subjects to be considered. The notice shall be delivered to the mayor and each Board member or left at his or her usual dwelling place at least six hours before the meeting. Notice of the meeting shall be given to each local newspaper, local wire service, local radio station, and local television station that has filed a written emergency meeting notice request, which includes the newspaper's, wire service's, or station's telephone number, with the town clerk. This notice shall be given either by e-mail, by telephone or by the same method used to notify the mayor and the Board members, and shall be given at the expense of the party notified.

Emergency meetings may only be called because of generally unexpected circumstances that require immediate consideration by the town Board. Only business connected with the emergency may be considered at an emergency meeting.

(c) *Adjourned Meetings.* A properly called regular, special, or emergency meeting may be adjourned by a procedural motion made and adopted as provided in Rule 16 Procedural Motions in open session during the regular, special, or emergency meeting. No further notice need be given of an adjourned session of a properly called regular, special, or emergency meeting, if the time and place at which the meeting is to be continued is announced in open session.

**N.C.G.S. §160A-71 and 143-318.12(b); Charter Art. III, Sec. 3.5.;
Ordinances, Chap. 2, Art. II, Division 2.**

ANNOTATION: Subpart (a) addressing Special Meetings generally tracks the language of Suggested Rules pp. 6-7 (Rule 10) with some exceptions. For example, this Rule tracks the statutory language of N.C.G.S. § 160A-71 as to who may call a special meeting. The first paragraph of this Rule includes a limitation on what may be discussed at a special meeting, which is included as a separate paragraph in Suggested Rules p. 7 (Rule 10(d)). This Rule omits a provision included in Suggested Rules p. 7 requiring a good faith basis for immediate action on any business not covered by special meeting notice, which such omission allows for greater flexibility for the Board to conduct business.

Subpart (b) addressing Emergency Meetings generally tracks Suggested Rules pp. 7-8 (Rule 11). This subpart, however, contains more specific notice provisions than included in Suggested Rules (i.e. requiring notice to the media via telephone) in order to promote transparency around calling of Emergency Meetings.

Subpart (c) addresses adjourned meetings. This subpart differs from Suggested Rules pp. 8-9 by allowing such a motion even if the motion does not include a time and place to reconvene. The rule seems to contemplate in such an event, proper notice would still have to be given. Suggested Rules pp. 8-9 provides such a motion shall include a time and place to reconvene. This Rule also does not contemplate a separate "recess" procedure (see Suggested Rules pp. 8-9 (Rule 12)).

The Suggested Rules for special and emergency meetings also recommends posting notice of such meetings on the Town's website if such website is maintained by at least one Town employee.

3. Organizational Meeting

On the date and at the time of the first regular meeting following a general election in which Board members are elected, or at an earlier date, if any, set by the incumbent Board, the newly elected members shall take and subscribe the oath of office. Unless postponed to a time certain, the Board shall at the same meeting, elect a mayor pro tempore. This organizational meeting shall not be held before the municipal election results are officially determined, certified, and published in accordance with Subchapter IX of Chapter 163 of the North Carolina General Statutes.

N.C.G.S. §160A-68; Charter Art. m, Sec. 3.4.

ANNOTATION: This Rule differs somewhat from Rule 8 in the Suggested Rules pp 5-6. This Rule requires the Organizational Meeting not be held until the election results are determined, certified, and published which is consistent with the statutory language. The Suggested Rules also ,reference a specific requirements for the oath of office to be taken as well as the nomination and voting procedure to elect chairpersons, which our Rules do not include. See Suggested Rules pp 5-6).

4. Agenda

The Board shall develop a preliminary agenda for the next regular business meeting at the Board's work session held on the first Tuesday of each month. The town clerk shall prepare and distribute the agenda for each regular business meeting. Except for emergency and other time-sensitive matters, a request to have an item of business placed on the agenda must be received by the town clerk before the commencement of the work session. A Board member may have an item placed on the proposed agenda at or following the work session if at least two other Board members agree. The Town Manager may place an emergency or time-sensitive item on the proposed agenda at or following the work session, in his or her discretion, no later than twenty-four (24) hours prior to the next regular business meeting. A copy of all proposed ordinances shall be attached to the final agenda. An agenda package shall be prepared that includes, for each item of business placed on the proposed agenda, as much background information on the subject as is available and feasible to reproduce. Each Board member shall receive a copy of the proposed agenda and the agenda package, and it shall be available for public inspection and distribution or copying when it is distributed to the Board members.

N.C.G.S. §160A-71(c).

As its first order of business at each meeting, the Board shall adopt the agenda prepared and finalized in advance of that regular business meeting. Additional items shall not be added to the agenda unless such item is an emergency or is particularly time- or deadline-sensitive. Such items will only be added at the discretion of the Town Manager or by the majority vote of the Board. Additionally, the Board may not add items to the proposed agenda stated in the notice of a special meeting called by the mayor, mayor pro tempore, or two Board members, unless all members are present, or those who are absent sign a written waiver of notice, and only business connected with the emergency may be considered at an emergency meeting.

N.C.G.S. §160A-71; NOTE: This procedure was specifically adopted by the Board and is not addressed in the ordinances.

The Board shall not deliberate, vote, or otherwise take action on any matter by reference to a letter, number or other designation, or other secret device or method, with the intention of making it impossible for persons attending a meeting of the Board to understand what is being deliberated, voted, or acted on. The Board may, however, deliberate, vote, or otherwise take action by reference to an agenda, if copies of the agenda, sufficiently worded to enable the public to understand what is being deliberated, voted, or acted on, are available for public inspection at the meeting. For example, the town clerk or the town manager may propose a consent agenda. A consent agenda shall contain a group of items to be passed on a single motion and vote. These

matters are generally of a routine nature. No debate is allowed on any item included on the consent agenda. If a Board member or any other person requests a separate consideration of an item on the consent agenda, that item shall be removed from the consent agenda and considered as a regular business item. A copy of the consent agenda will be available for inspection at the meeting.

N.C.G.S. §143-318.13(c).

ANNOTATION: The Suggested Rule 13 governing the Agenda is found at Suggested Rules pp. 9-11. The existing Rule differs from the Suggested Rule 13 as the Town has set forth its own specific procedure for approval of the Agenda during an earlier Work Session meeting. The final paragraph of the Rule incorporates Open Meeting Requirements.

5. **Public Address to the Board**

The Board shall provide at least one period for public comment per month at the Board's regular meeting. **[NOTE: The Board may adopt reasonable rules governing the conduct of the public comment period, including, but not limited to, rules (i) fixing the maximum time allotted to each speaker, (ii) providing for the designation of spokesmen for groups of persons supporting or opposing the same positions, (iii) providing for the selection of delegates from groups of persons supporting or opposing the same positions when the number of persons wishing to attend the hearing exceeds the capacity of the hall, and (iv) providing for the maintenance of order and decorum in the conduct of the hearing.]**

The Board suggests that any individual or group who wishes to address the Board should request in writing that the town clerk include the requested item on the agenda. The Board shall determine when it adopts its agenda for the meeting whether the requested item will be included on the agenda. Regardless of whether a requested item was included as a separate agenda item, any individual or group may speak during the public comment period in accordance with this Rule 5.

N.C.G.S § 160A-81.1.

ANNOTATION: This Rule deviates from Suggested Rules pp. 22-23 to reflect that the Town Charter requires at least monthly meetings of the Board. The Suggested Rules p. 23 (Rule 37(c)) include a prohibition on content-based restrictions so long as the comments pertain to the subjects within the Board's real or apparent jurisdiction. School of Government commentary interprets statutory guidelines and relevant caselaw on public addresses in a way that would allow the Board and its presiding officer to limit public address to matters that are germane to the work of the Board but with the caveat that such addresses should not otherwise be prohibited or limited based on content or the viewpoint of the speaker.

6. Order of Business

Items shall be placed on the agenda according to the Order of Business. The Order of Business for each regular meeting shall be as follows:

Adoption of agenda,
Approval of minutes,
Presentations/public comment,
Public hearings,
Consent agenda,
Legislative items,
Departmental items,
Other business,
Closed session,
Adjournment - *Note, however, that adjournment is not an action authorized by statute to be taken during a closed session.*

By general consent of the Board, items may be considered out of order.

Ordinances, Chap. 2, Art. II, Sec. 2-58.

ANNOTATION: *This Rule generally tracks Suggested Rules p. 11 (Rule 16), with provisions made for items specific to the Town's Board of Commissioners' Meetings as contained in Ordinance Section 2-58.*

7. Presiding Officer

The mayor shall preside at meetings of the Board unless he or she becomes actively engaged in debate on a particular proposal, in which case he or she shall designate another Board member to preside over the debate. The mayor shall resume presiding as soon as action on the matter is concluded.

ANNOTATION: *This Rule provides a simplified version of Suggested Rule 17-20, Suggested Rules pp. 11-13. Suggested Rules 17-20 provide more description of the role of the chair (mayor)/vice-chair in parliamentary procedure as well as instances of unavailability.*

8. Action by the Board

The Board shall proceed by motion. Any member may make a motion.

Ordinances, Chap. 2, Art. II, Sec. 2-58.

ANNOTATION: *See Suggested Rules p. 13. This Rule generally tracks the Suggested Rule.*

9. Second Required

A motion shall require a second.

Ordinances, Chap. 2, Art. II, Sec. 2-58.

**** ANNOTATION: This may be a point of emphasis for the Board. Suggested Rule 22, Suggested Rules p. 13 states a Motion does not require a second. The existing Town Ordinance Section 2-58 however does require a second. Thus any revision to this Rule will require amendment of the Town's Ordinance. ****

10. One Motion at a Time

A member may make only one motion at a time.

ANNOTATION: Suggested Rule 23, Suggested Rules p 13.

11. Substantive Motions

A substantive motion is out of order while another substantive motion is pending.

Ordinances, Chap. 2, Art. II, Sec. 2-61.

ANNOTATION: Suggested Rule 30, Suggested Rules p 13.

12. Adoption by Majority Vote

Generally, all matters to be voted on shall be decided by a majority of those present and voting, a quorum being present, unless otherwise required by these rules or the laws of North Carolina. The affirmative vote of a majority of members elected to the Board not excused from voting on the question at issue shall be required to adopt any ordinance or any resolution or motion having the effect of any ordinance. Except for the approval of minutes, all action by the Board taken pursuant to Rules 8 and 9 and adopted pursuant to this Rule 12 shall be evidenced by resolution of the Board or by ordinance.

Charter, Art. III, Sec. 3.6(b).

ANNOTATION: This Rule is generally consistent with Suggested Rule 26, Suggested Rules p. 14. This Rule, however, gives more definition to what constitutes a majority consistent the requirements of the Town Charter.

The issue of what constitutes a quorum also warrants emphasizing as it relates to the application of this Rule. See Rule 22 and annotations below.

NCGS 160A-75 contemplates two (2) circumstances when a Board member is "excused from voting": first, when a member has been excused by a majority of the remaining

Board present at said meeting from a meeting at which he or she is present, and, second, if the Board is voting "upon matters involving the consideration of the member's own financial interest or official conduct or on matters on which the member is prohibited from voting under G.S. 14-234, 160D-1-9

13. Voting by Written Ballot

The Board may choose by majority vote to use written ballots in voting on a motion. Such ballots shall be signed, and the minutes of the Board shall show the vote of each member voting. The ballots shall be available for public inspection in the office of the town clerk immediately following the meeting at which the vote took place and until the minutes of that meeting are approved, at which time the ballots may be destroyed.

N.C.G.S. §143-318.13(b).

ANNOTATION: Suggested Rule 29, Suggested Rules PP. 15-16.

14. Debate

The mayor or presiding officer shall state the motion, then open the floor to debate and shall direct the debate according to the following general principles:

- (a) The introducer (the member who makes the motion) is entitled to speak first;
- (b) A member who has not spoken on the issue shall be recognized before someone who has already spoken;
- (c) To the extent possible, the debate shall alternate between opponents and proponents of the measure.

ANNOTATION: Suggested Rule 25, Suggested Rules p 14.

15. Ratification of Actions

To the extent permitted by law, the Board may ratify actions taken on its behalf but without its prior approval. A motion to ratify is a substantive motion.

ANNOTATION: Ratification process (except in specific context of ratification of contracts, see Suggested Rules p. 21 (Rule 35)) is not addressed in the Suggested Rules.

16. Procedural Motions

In addition to substantive proposals, the following procedural motions, and no others, shall be in order. Unless otherwise noted, each motion is debatable, may be amended, and requires a majority of the votes cast, a quorum being present, for adoption.

ANNOTATION: See Suggested Rule 31, Suggested Rules pp. 16-19. Note: Suggested Rules provides a more formal and comprehensive approach to Procedural Motions practice including permitting additional Procedural Motions not included herein.

See RONR

In order of priority (if applicable), the procedural motions are:

(a) *To Adjourn.* A motion to adjourn is always in order and will be decided without debate. A motion to adjourn to a time and place certain shall also comply with the requirements of Rule 2(c).

Ordinances, Chap. 2, Art. II, Sec. 2-62.

ANNOTATION: See Suggested Rules p 17. Note the current rule differs from the Suggested Rules in that under the current rule a Motion to Adjourn is always in order unlike under the Suggested Rules.

(b) *To Take a Brief Recess.*

ANNOTATION: See Suggested Rules p 17.

(c) *Call to Follow the Agenda.*

The motion must be made at the first reasonable opportunity, or the right to make it is waived for the out-of-order item in question.

ANNOTATION: See Suggested Rules p 17.

(d) *Call of the Previous Question.* The motion is not in order until there have been at least 20 minutes of debate, and every member has had an opportunity to speak once.

Ordinances, Chap. 2, Art. II, Sec. 2-60.

ANNOTATION: See Suggested Rules p 17 (Motion 9). Note under the current rules, this Motion is higher in priority than under the Suggested Rules.

(e) *To Suspend the Rules.* The motion requires for adoption a vote equal to two-thirds of the actual membership of the Board, excluding the mayor and vacant seats. The Board may not suspend provisions of the rules that state requirements imposed by law on the Board.

ANNOTATION: See Suggested Rules p 17.

(t) *To Defer Consideration (To Lay on the Table).* A substantive motion the consideration of which has been deferred expires 100 days thereafter unless a motion to revive consideration is adopted.

ANNOTATION: See Suggested Rules p 17. Note Suggested Rules includes additional language making clear a new substantive motion with the same effect may not be considered and makes clear action must be taken to revive the substantive motion.

(g) *To Postpone to a Certain Time or Day.*

Ordinances, Chap. 2, Art. II, Sec. 2-61.

ANNOTATION: See Suggested Rules p 18.

(h) *To Postpone Indefinitely.*

Ordinances, Chap. 2, Art. II, Sec. 2-61.

ANNOTATION: This motion is not contained in Suggested Rules.

(i) *To Refer to a Committee.* Sixty days or more after a motion has been referred to a committee, the introducer may compel consideration of the measure by the entire Board, whether or not the committee has reported the matter to the Board.

Ordinances, Chap. 2, Art. II, Sec. 2-61.

ANNOTATION: See Suggested Rules p 18.

(j) *To Amend.* An amendment to a motion must be pertinent to the subject matter of the motion. An amendment is improper if adoption of the amended motion has the same effect as rejection of the original motion.

A motion may be amended, and that amendment may be amended, but no further amendments may be made.

Any amendment to a proposed ordinance shall be reduced to writing before the vote on the amendment.

Ordinances, Chap. 2, Art. II, Sec. 2-61.

ANNOTATION: See Suggested Rules p 17.

(k) *To Strike Out or Insert.*

Ordinances, Chap. 2, Art. II, Sec. 2-61.

ANNOTATION: This motion is not contained in Suggested Rules. It is unclear how this Motion differs from a Motion to Amend; however, this Motion is currently specifically referenced in the Town Ordinance.

(l) *To Divide a Complex Motion and Consider it by Paragraph.*

Ordinances, Chap. 2, Art. II, Sec. 2-61.

ANNOTATION: See Suggested Rules p 17. Note this Motion is lower in priority than in Suggested Rules. The Suggested Rules also require the member making the motion must specify how the complex motion is to be divided.

(m) *To Revive Consideration.* The motion is in order any time within 100 days after the day of a vote to defer consideration pursuant to a motion properly taken under Rule 16(f). A substantive motion on which consideration has been deferred expires 100 days after the deferral unless a motion to revive consideration is adopted.

ANNOTATION: See Suggested Rules p 18.

(n) *To Reconsider.* The motion must be made by a member who voted with the prevailing side, and only at the meeting during which the original vote was taken, including any continuation of that meeting through adjournment to a time and place certain. The motion cannot interrupt deliberation on a pending matter, but is in order at any time before final adjournment of the meeting.

ANNOTATION: See Suggested Rules p 18.

(o) *To Rescind or Repeal.* The motion is not in order if rescission or repeal of an action is forbidden by law.

ANNOTATION: See Suggested Rules p 19.

(p) *To Prevent Reconsideration for Six Months.* The motion shall be in order immediately following the defeat of a substantive motion and at no other time. The motion requires for adoption a vote equal to two-thirds of the actual membership of the Board excluding the mayor and vacant seats. If adopted, the restriction imposed by the motion remains in effect for six months or until the next organizational meeting of the Board, whichever occurs first.

ANNOTATION: See Suggested Rules p 19.

17. Propriety of Motion

When a question is under consideration by the Board, no motion (other than a motion to adjourn, which always is in order) shall be entertained except to:

- (a) Defer consideration (Lay on the table);
- (b) Postpone to a time certain;
- (c) Postpone indefinitely;
- (d) Refer to a committee;
- (e) Amend;
- (f) Strike out or insert;
- (g) Divide.

Motions for any of the purposes listed in subsections (a) through (g) above have precedence in the order named.

Ordinances, Chap. 2, Art. II, Sec. 2-61 and Sec. 2-62.

ANNOTATION: This Rule tracks the requirements of the Town Ordinance directly on point. This rule does not appear separately in Suggested Rules, but is encompassed in the discussion of each procedural motion, see Suggested Rules pp. 16-19.

18. Renewal of Motion

A motion that is defeated may be renewed at any later meeting unless a motion to prevent reconsideration has been adopted.

*ANNOTATION: This motion is not contained in Suggested Rules. See **RONR 38**. This Motion is the procedural mechanism by which any motion that has been defeated, postponed, tabled or left for reconsideration until the next scheduled session of the Board is brought back to the consideration of the Board.*

19. Withdrawal of Motion

A motion may be withdrawn by the introducer at any time before a vote.

ANNOTATION: See Suggested Rules p 13 (Rule 24). Under the Suggested Rules amendment of the motion also forecloses its withdrawal.

20. Duty to Vote

Every member must vote unless excused by the remaining members according to law. A member who wishes to be excused from voting shall so inform the mayor, who shall take a vote of the remaining members. No member shall be excused from voting except upon matters involving the consideration of his or her own financial interest or official conduct. Additionally, when the Board is acting in a quasi-judicial capacity, no Board member shall participate in a manner that would violate an affected person's constitutional rights to an impartial decision maker. Impermissible conflicts that could jeopardize an affected person's constitutional rights include, but are not limited to, a member having a fixed opinion prior to hearing the matter, which opinion is not susceptible to change; undisclosed ex parte communications; a close familial, business, or other associational relationship with an affected person; or a financial interest in the outcome of the matter. If an objection is raised to a member's participation and that member does not recuse himself or herself, the remaining members shall by majority vote rule on the objection. In all cases other than those set forth in this Rule 20, a failure to vote by a member who is physically present in the Board chamber, or who has withdrawn without being excused by a majority vote of the remaining members present, shall be recorded as an affirmative vote. A member's unexcused failure to vote shall not be recorded as an affirmative vote if the

motion concerns a proposal to amend, supplement, or repeal a zoning ordinance. Instead, the member's unexcused failure to vote shall be recorded as an abstention.

N.C.G.S. §160A-75 and 160D-1-9 Charter, Art. III, Sec. 3.6(b).

ANNOTATION: See Suggested Rules pp 14-15 (Rule 19). This rule provides greater guidance than the Suggested Rules as to what may constitute grounds for recusal under North Carolina law incorporating principles from the statutory language. The final sentence has been added to track modifications to N.C.G.S. §160A-75, specifically to reflect a policy decision by the North Carolina General Assembly to allow abstentions when voting to amend or repeal zoning ordinances.

21. **Closed Sessions**

The Board may hold closed sessions as provided by law. The Board shall only commence a closed session after a motion to go into closed session has been made and adopted during an open meeting. The motion shall state the purpose of the closed session. If the motion is based on G.S. 143-318.1 l(a)(1) (closed session to prevent the disclosure of privileged or confidential information or information that is not considered a public record), it must also state the name or citation of the law that renders the information to be discussed privileged or confidential. If the motion is based on G.S. 143-318.1 l(a)(3) (consultation with attorney; handling or settlement of claims, judicial actions, or administrative procedures), it must identify the parties in any existing lawsuits concerning which the public body expects to receive advice during the closed session. The motion to go into closed session must be approved by the vote of a majority of those present and voting. The Board shall terminate the closed session by a majority vote.

Only those actions authorized by statute may be taken in closed session. A motion to adjourn or recess shall not be in order during a closed session.

N.C.G.S. §143-318.11.

ANNOTATION: See Suggested Rules p 2-3.

22. **Quorum**

A majority of the actual membership of the Board, excluding vacant seats, shall constitute a quorum. A member who has withdrawn from a meeting without being excused by majority vote of the remaining members present shall be counted as present for purposes of determining whether or not a quorum is present.

N.C.G.S. §160A-74; Charter Art. III, Sec. 3.6(a); Ordinances, Chap. 2, Art. II, Sec. 2-59.

ANNOTATION: See Suggested Rules p 1.

*****NOTE: The Town Charter defines Quorum as: "A majority of the members elected to the Board of Commissioners shall constitute a quorum/or the conduct of business, but a less number may adjourn from time to time and compel attendance of the absent members in such manner as may be prescribed by ordinance. " Charter Art. IIL Sec. 3.6.*

Town Ordinance defines Quorum as: "A majority of the total members of the Board of Commissioners shall constitute a quorum." Ordinance Sec 2-59.

North Carolina statute defines Quorum as: "A majority of the actual membership of the council plus the mayor, excluding vacant seats, shall constitute a quorum." G.S. 160A-74

*Notwithstanding the apparent conflict between the Town Charter definition of "Quorum" and the General Assembly's definition of "Quorum", the Town Charter was enacted by the General Assembly and, therefore, controls in this circumstance. *****

23. Quorum at Public Hearings.

A quorum of the Board shall be required at all public hearings required by state law. If a quorum is not present at such a hearing, the hearing shall be continued until the next regular Board meeting without further advertisement.

N.C.G.S. §160A-81; Ordinances, Chap. 2, Art. II, Sec. 2-59.

ANNOTATION: This rule does not appear in Suggested Rules.

24. Minutes for Closed Sessions

When the Board meets in closed session, it shall keep a general account of the closed session so that a person not in attendance would have a reasonable understanding of what transpired. Such accounts may be a written narrative, or video or audio recordings. Minutes and accounts of closed sessions may be sealed by action of the Board. Such sealed minutes or accounts may be withheld from public inspection so long as public inspection would frustrate the purpose of the closed session. The minutes or accounts will remain sealed until further action of the Board.

N.C.G.S. §160A-72 and 143-318.to(e).

ANNOTATION: See Suggested Rules p. 4 (Rule 6).

25. Reference to Robert's Rules of Order Newly Revised

To the extent not provided for in these rules, and to the extent it does not conflict with North Carolina law or with the spirit of these rules, the Board shall refer to Robert's Rules of Order Newly Revised, to answer unresolved procedural questions.

ANNOTATION: See Suggested Rules p 25 (Rule 41).

APPENDIX

Permitted Procedural Motions in Order of Precedence¹

<u>Motion</u>	<u>Vote Required²</u>	<u>Special Requirements</u>
(a) To Adjourn	Majority	Motion to adjourn is always in order (except that it is out of order in closed session) and will be decided without debate. Motion to adjourn to a time and place certain must also comply with Rule 2(c). <u>ANNOTATION: See Suggested Rules p17.</u>
(b) To Take a Brief Recess	Majority	None. <u>ANNOTATION: See Suggested Rules p 17.</u>
(c) Call to Follow the Agenda	Majority	Must be made at first reasonable opportunity, or the right to make it is waived for the out-of-order item in question. <u>ANNOTATION: See Suggested Rules p 17.</u>
(d) Call of the Previous Question	Majority	Not in order until there have been at least 20 minutes of debate, and every member has had an opportunity to speak once. <u>ANNOTATION: See Suggested Rules p 17.</u>
(e) To Suspend the Rules	Two-Thirds	The Board may not suspend provisions of the rules that state requirements imposed by law on the Board. <u>ANNOTATION: See Suggested Rules p 17.</u>

¹ Under these rules all procedural motions are debatable (other than a motion to adjourn) and all require a second. All may be amended, subject to the stated limitations on motions to amend (Motion (j)). Except where indicated otherwise, procedural motions may interrupt deliberations on a pending substantive matter.

² The required vote for adoption of a procedural motion is generally a majority of the votes cast, a quorum being present. In a few cases, the required vote is a vote equal to two-thirds of the actual membership of the Board, excluding the mayor and vacant seats.

Motion	Vote Required	Special Requirements
(f) To Defer Consideration {To Lay on the Table}	Majority	A substantive motion the consideration of which has been deferred expires 100 days thereafter unless a motion to revive consideration (Motion (m)) is adopted. <i>ANNOTATION: See <u>Suggested Rules p 17</u>.</i> CAUTION: Do not confuse with Motion (g).
(g) To Postpone to a Certain Time or Day	Majority	None. <i>ANNOTATION: See <u>Suggested Rules J!</u> 18.</i> CAUTION: Do not confuse with Motion (f).
(h) To Postpone Indefinitely	Majority	None. CAUTION: Do not confuse with Motion (f).
(i) To Refer to a Committee	Majority	Sixty days or more after a motion is referred to a committee, the introducer may compel consideration of the measure by the Board, regardless of whether the committee has reported the matter to the Board. <i>ANNOTATION: See <u>Suggested Rules p 18</u>.</i>
(j) To Amend	Majority	Amendments must be pertinent to the subject matter of the motion being amended. An amendment is improper if adoption of the amendment has the same effect as rejection of the original motion. A motion may be amended, and that amendment may be amended, but no further amendments may be made. An amendment to a proposed ordinance must be reduced to writing before the vote on the amendment. <i>ANNOTATION: See <u>Suggested Rules p 18</u>.</i>
(k) To Strike Out or Insert	Majority	None
(1) To Divide a Complex Motion and Consider it by Paragraph	Majority	None <i>ANNOTATION: See <u>Suggested Rules p 17</u>.</i>

<u>Motion</u>	<u>Vote Required</u>	<u>Special Requirements</u>
(m) To Revive Consideration	Majority	In order at any time within 100 days after the day of a vote to defer consideration (Motion (t)). Failure to adopt Motion (m) within the 100-day period results in expiration of the deferred substantive motion. <u>ANNOTATION: See Suggested Rules p 18.</u>
(n) To Reconsider	Majority	Must be made by a member who voted with the prevailing side. May only be made at the meeting at which the original vote was taken, including any continuation of that meeting through adjournment to a time and place certain. Cannot interrupt deliberation on a pending matter, but is in order at any before final adjournment of the meeting. <u>ANNOTATION: See Suggested Rules p 18.</u>
(o) To Rescind or Repeal	Majority	Not in order if rescission or repeal of an action is forbidden by law. <u>ANNOTATION: See Suggested Rules p 19.</u>
(p) To Prevent Reconsideration for Six Months	Two-Thirds	In order immediately following defeat of a substantive motion and at no other time. If adopted, the restriction imposed by the motion remains in effect for six months or until the next organizational meeting of the Board, whichever occurs first. <u>ANNOTATION: See Suggested Rules p 19.</u>

<u>Motion</u>	<u>Vote Required</u>	<u>Special Requirements</u>
(q) To Close a Meeting (To Enter into Closed Session)	Majority	The motion shall state the purpose of the closed session. If the motion is based on G.S. 143-318.11(a)(1) (closed session to prevent the disclosure of privileged or confidential information or information that is not considered a public record), it must also state the name or citation of the law that renders the information to be discussed privileged or confidential. If the motion is based on G.S. 143-318.1 l(a)(3) (consultation with attorney; handling or settlement of claims, judicial actions, or administrative procedures), it must identify the parties in any existing lawsuits concerning which the public body expects to receive advice during the closed session. The Board shall terminate the closed session by a majority vote. <u>ANNOTATION:</u> See <u>Suggested Rules p 17</u> <i>(NOTE: a motion to adjourn may be made to <u>enter into</u> a closed session.</i> <u>CAUTION:</u> A motion to adjourn is not in order during a closed session. The closed session should be terminated by a majority vote and a motion to adjourn made thereafter in open session.



Board of Commissioners Work Session Agenda Item Report

Agenda Item No.: 2021-369-

Submitted by: Allison Snyder

Submitting Department: Administration

Meeting Date: December 7, 2021

SUBJECT

Consideration of action regarding updates to the Code of Ethics for Members of the Advisory Boards, Committees, Commissions, and Board of Commissioners of the Town of Wake Forest.

Recommendation:

Staff recommends approval of Code of Ethics Policy updates. Recent changes to North Carolina General Statute 160D necessitated updates for all boards.

Item Summary:

ATTACHMENTS

- [Summary - Resolution to Approve and Adopt a Code of Ethics for Advisory Boards.docx](#)
- [Attachment 1 Code of Ethics for Advisory Board Members 2021 Update.pdf](#)

Resolution to Approve updates to the Code of Ethics for Members of the Advisory Boards, Committees, Commissions, and Board of Commissioners of the Town of Wake Forest

Section 160A-86 of the North Carolina General Statutes requires local governing boards to adopt a code of ethics and, pursuant to Section 160A-86. The most recent update to the policy occurred in 2019. Staff has amended the policy and requests approval of the updates. Recent changes to North Carolina General Statute 160D necessitated updates for all boards.

Attachment 1: Code of Ethics for Advisory Board Members 2021 Update



TOWN of WAKE FOREST

301 S. Brooks Street
Wake Forest, NC 27587
t 919.435.9400

www.wakeforestnc.gov

Code of Ethics for Members of Advisory Boards, Committees, & Commissions of the Town of Wake Forest, North Carolina

PREAMBLE Resolution 2021-369

WHEREAS, Section 160A-86 of the North Carolina General Statutes requires local governing boards to adopt a code of ethics and, pursuant to Section 160A-86, the Town of Wake Forest Board of Commissioners has previously adopted a Code of Ethics for the Mayor and Board of Commissioners, and

WHEREAS, it is appropriate that members of Town boards, committees, and commissions, as well as Mayoral and Board of Commissioners appointees to non-Town bodies (hereinafter "Advisory Board Members"), also adhere to a Code of Ethics.

WHEREAS the Code of Ethics for Advisory Board Members was adopted in January 2019, and recent changes to North Carolina General Statute §160D has necessitated updates for all advisory boards.

WHEREAS the sections describing the Planning Board, Historic Preservation Commission and Board of Adjustment listed in the January 2019 policy have been removed and included in Board Specific Handbooks.

WHEREAS, ethics addresses the fundamental premise of our duty as public stewards. The Code of Ethics defines a foundation of behavior for all Wake Forest advisory board members to uphold the trust of the residents of this Town.

NOW THEREFORE, in that proper operation of democratic government requires that public officials and employees be independent, impartial and responsible to the people; that governmental decisions and policy be made in proper channels of the governmental structure; that public office not be used for personal gain; and that the public have confidence in the integrity of its government, we the Board of Commissioners do hereby adopt the following General Principles and Code of Ethics to guide Advisory Boards members in their lawful decision-making.

NOW, THEREFORE, BE IT RESOLVED by the Board of Commissioners of the Town of Wake Forest that the attached Code of Ethics are hereby adopted.

Adopted this 21st day of December 2021.

Moved by:_____

Seconded by: _____

Mayor: _____

ATTEST:

Interim Town Clerk

General Principles Underlying the Code of Ethics

- A. North Carolina's local government ethics act, requires governing board members to receive a minimum of two clock-hours of ethics training within 12 months of each election or re-election to office (160A-87). Appointed and re-appointed advisory board members will be subject to ethics training at the request of their staff liaison. The Clerk will maintain a record verifying receipt.
- B. The stability and proper operation of democratic representative government depend upon public confidence in the integrity of the government and upon responsible exercise of the trust conferred by the Governing Body upon their appointed advisory board members.
- C. Governmental decisions and policy must be made and implemented through proper channels and processes of the governmental structure.
- D. Advisory board members must be able to act in a manner that maintains their integrity and independence yet are responsive to the interests and needs of those they represent.
- E. Advisory board members should conduct the affairs of the board in an open and public manner.
- F. Advisory board members must always remain aware that they may, at various times, play different roles:
 - a. As advisors, who balance the public interest and private rights in considering and recommending, among other things, ordinances, policies, and decisions, and
 - b. As decision-makers, who arrive at fair and impartial determinations.
- G. Advisory board members must know how to distinguish among these roles, to determine when each role is appropriate, and to act accordingly.
- H. Advisory board members must be aware of their obligation to conform their behavior to standards of ethical conduct that warrant the trust of the Mayor and Board Members and the citizens of the Town of Wake Forest. Each advisory board member must find within his or her own conscience the touchstone by which to determine what conduct is appropriate. The use of public office for private gain is prohibited.

Code of Ethics

The purpose of this Code of Ethics is to establish guidelines to help determine what conduct is appropriate. It should not be considered a substitute for the law or for a board member's best judgement.

Section 1: Definitions

I. *Definitions.* For the purpose of these guidelines, the following definitions should be used:

- 1) *“Financial Interest”* means any pecuniary benefit accruing to the advisory board member.

~~*“Close personal relations”* means a relationship involving an advisory board member’s spouse, parent, child (including stepchild) or sibling and includes the advisory board member’s in-laws.~~
- 2) *“Familial Relationship”* means a spouse, parent, child, brother, sister, grandparent, or grandchild. The term includes the step, half, and in-law relationships. (160D-109(f)).
- 3) *“Close business relations”* means a relationship involving some person or entity with which the advisory board member is associated for business purposes, and includes the advisory board member’s employer, partner, co-owner, and a client for whom the advisory board member is presently working or regularly does work.
- 4) *Financial interest in the matter.* That appointed advisory board members refrain from publicly advocating for or against, discussing, debating or voting on advisory decision that are or will be before their advisory board, when they have a direct and identifiable financial interest in the matter before the advisory board. ~~If the financial interest is very small and is shared by others in similar situations, or if the impact for the decision on the advisory board member is remote or speculative, then the advisory board member may disclose that interest and shall discuss, debate and vote after such public disclosure.~~
- 5) *Close personal or business relations with party.* That appointed advisory board members refrain from advocating for or against, discussing, debating and voting on advisory decisions, which are or will be before their advisory board, when they have close personal or business relations with any party in the matter.
- 6) *No appearance of impropriety.* That appointed advisory board members conduct themselves in a manner that does not raise a reasonable perception or belief that there is a conflict of interest or an abuse of their position (“appearance of impropriety”). Complying with this requirement may require that an advisory board member refrain from advocating, discussing, debating and voting even if they have no direct and identifiable financial interest or close personal or business relation in the matter. For instance, an advisory board member should not publicly lobby or advocate concerning a matter that will come before their advisory board nor should an advisory board member use, for their own financial interest, information obtained because of their position on the advisory board before such information is generally available to the public. Advisory board members should not do business with the Town other than the type of business that might be engaged in by a citizen of the Town, such as obtaining

permits and permissions. In some cases, the appearance of impropriety may be adequately dispelled with disclosure and explanation of the perceived impropriety.

~~J. Planning, Board of Adjustment and Historic Preservation Commission advisory board members must be able to act in a manner that maintains their integrity and independence yet is responsive to the interests and needs of those they represent. Planning and Board of Adjustment advisory board members shall not vote on recommendations regarding any zoning map or text amendment where the outcome of the matter being considered is reasonably likely to have a direct, substantial, and readily identifiable financial impact on the member.~~

~~K. Planning Board members must always remain aware that at various times they play different roles:~~

- ~~1) As advocative advisers who strive to make recommendations that advance the goals and policies of the Wake Forest Community Plan.~~
- ~~2) As advisors on legislative matters who balance the public interest and private rights in making recommendations to the Board of Commissioners.~~
- ~~3) As advisors on decisions who arrive at fair and impartial administrative recommendations and provide a preliminary forum for review of quasi-judicial decisions.~~

~~L. Planning Board members must know how to distinguish among these roles, to determine when each role is appropriate, and to act accordingly.~~

~~M. Planning and Board of Adjustment members with any financial interest, or who have any conflicting interest, shall be held to these guidelines:~~

- ~~1) The Board of Adjustment and Historic Preservation Commission exercise quasi-judicial functions. For “quasi-judicial” decisions, the law requires all the elements of a fair trial, including an impartial decision maker. Therefore, the conflict of interest standard for the Board of Adjustment and Historic Preservation Commission member when making quasi-judicial decisions is higher than that for other advisory boards and is established by state law. At a minimum:~~

- ~~i. A member of any advisory board exercising quasi-judicial functions shall not participate in or vote on any quasi-judicial matter in a manner that would violate affected persons’ constitutional rights to an impartial decision maker. Impermissible violations of due process include, but are not limited to, a member having a fixed opinion prior to hearing the matter that is not susceptible to change, undisclosed ex parte communications, a close familial, business, or other associational relationship with an affected person, or a~~

~~financial interest in the outcome of the matter. If an objection is raised to a member's participation and that member does not recuse himself or herself, the remaining members shall by majority vote rule on the objection.~~

Section 2: Advisory Board Etiquette

- A. During public meetings, advisory board members shall conduct themselves with professionalism and show courtesy to fellow advisory board members, other town representatives and the public.
- B. An advisory board member shall approach disagreements in a positive fashion, and refrain from personal criticisms of meeting participants and other town representatives.
- C. Once a majority of any advisory board reaches a decision, the minority shall respect and honor the decision.
- D. A public servant shall not solicit or accept a gift or loan of money, compensation, goods, services, or other things of value which would tend to influence the manner in which the officer performs his or her official duties,
- E. If an advisory board member believes that his or her actions, while legal and ethical, may be misunderstood, the member should seek the advice of the ~~Town Attorney~~ staff liaison and should consider publicly disclosing the facts of the situation and the steps taken to resolve it.
- F. Advisory board members should be willing to bear their fair share of the body's workload. To the extent appropriate, they should be willing to put the Town's interests ahead of their own.

Section 3: Enforcement and Administration

All advisory board members are subject to the Town ethics policy. The Planning Board, Board of Adjustment, Historic Preservation Commission, and the Board of Commissioners have supplementary governance policies related to ethics, enforcement, and administration of board duties. Sanctions and investigations will be administered by the Town Attorney staff liaison, or Board of Commissioners, as appropriate, depending on the type of board and alleged allegation.

Any individual who believes that a violation exists as prohibited by this policy shall submit a signed formal complaint to the Town Attorney. The Town Attorney shall investigate and report their findings to the Board of Commissioners and Town Manager, with a copy to the complainant. The Board of Commissioners may impose any one or more of the following sanctions on appointed members for violations of the ethical standards:

- A. Written warnings or reprimands;
- B. Termination of appointment;
- C. Adoption of a Resolution of Censure;
- D. Any other lawful sanction.

Section 4: Communications & Social Media Guidelines

Close working relationships between the Board of Commissioners and advisory board members are essential to fulfilling public responsibilities. For this and similar reasons, advisory board members shall also be mindful of the following:

- A. For all advisory boards, any contact with the media in an official capacity should be reported to the Town's Communications & Public Affairs Director and conducted in accordance with information set forth by Town policies and procedures.
- B. Advisory board members using social media should be especially mindful of their connection to town government and conduct themselves as a representative of the Town of Wake Forest. Therefore, advisory board members are urged to use discretion whenever posting or commenting. Once comments or posts are made, they can be seen by anyone and may not be able to be recanted.
- C. In addition, advisory board members should agree to the following before posting or commenting:
 - 1) As a Wake Forest advisory board member, take your role and responsibilities as an advisory board member very seriously. Take care to ensure that you are always representing the interests of the Town of Wake Forest in a professional and respectful manner.
 - 2) A Wake Forest advisory board member shall not represent his or her individual (personal) opinion as that of the Town of Wake Forest.
 - 3) Refrain from using social media accounts to communicate with Town employees about Town-related matters as this creates a public record on employees' personal accounts that must be retained per North Carolina Public Records law, NC Gen. Stat. Section 132-1 *et seq.*
- D. Do not speculate. Do not repeat rumors. If you do not know it to be true, do not say it.
- E. Set an appropriate example for addressing Town-related issues or concerns. If you are aware of an issue, problem or situation the Town should possibly address or improve, do not post it on social media. Instead, be an agent for positive change by informing your advisory board liaison and/or contacting the appropriate department. Also, direct other posters with Town-related issues and concerns to appropriate Town resources and/or staff.
- F. Do not try to be first to share with the public. If you know of something that should be used in a news release, or on the Town's other sites, contact the Communications & Public Affairs Director.
- G. Think About Consequences: You are sharing information publicly. Are you willing to back it up?

- H. Celebrate the Town's accomplishments by "liking" positive stories and posting encouraging comments. Also, share these posts with your "friends."

The Wake Forest Board of Commissioners acknowledges and appreciates the freedom of speech rights to which all advisory board members are entitled. The Board of Commissioners members acknowledge the importance of maintaining a relationship of mutual trust and respect for one another, particularly as such applies to the fulfillment of their use of social media.

ACKNOWLEDGEMENT OF RECEIPT OF Code of Ethics for Members of Advisory Boards, Committees, and Commissions of the Town of Wake Forest, North Carolina

On the date written below, I received the "Code of Ethics for Members of Advisory Boards, Committees, and Commissions of the Town of Wake Forest, North Carolina" I acknowledge this policy contains basic information related to serving as a volunteer on an advisory board or commission.

I understand that I am responsible for reviewing the contents of this policy and asking questions if I do not understand any part of it.

DATE: _____

PRINTED NAME: _____

IDENTIFY SPECIFIC ADVISORY BOARD OR COMMISSION:

SIGNATURE: _____

(A signed copy of this form will be maintained in the Town Clerk's Office with the application once appointed to serve.)



Board of Commissioners Work Session Agenda Item Report

Agenda Item No.: 2021-391-
Submitted by: Sherry Scoggins
Submitting Department: Finance
Meeting Date: December 7, 2021

SUBJECT

Discussion of Monthly Financial Report

Recommendation:

Item Summary:

ATTACHMENTS

- [October 31 2021 Financial Summaries.pdf](#)

Town of Wake Forest

October 31, 2021

GENERAL FUND HIGHLIGHTS:

- o Total year-to-date revenues are at 17.89% of annual budgeted amounts.
- o Ad valorem taxes represent over 57% of the general fund revenues – they are due September 1. Penalties and interest do not accrue until January 2022. Majority of this revenue source comes in towards the end of December and before January 6.
- o Unrestricted intergovernmental revenue (sales tax and utility franchise tax) represents over 20% of general fund revenues.
 - o The first distribution of sales tax was received in mid-October - **\$937,430 (18.3% increase over October 2020)**.
- o Other financing sources included installment purchase proceeds, interfund transfers and appropriated fund balance – reflective later in the fiscal year.
- o Total year-to-date expenditures are at 33.77% of appropriations (includes encumbrances)
 - o Departments that are above the 33% guideline results from blanket purchase orders that are issued in July and August for services that cover the fiscal year or invoices that are paid at the beginning of the year (i.e., property, liability, and worker's comp insurance premiums)
- o Net loss YTD (*decrease* in fund balance) is **\$5.5 million**.
 - o Typical for General Fund to operate at a deficit first few months of fiscal year due to timing of property tax collections and receipt of sales tax revenues.

DEBT SERVICE FUND HIGHLIGHTS:

- o \$194,752 in debt service payments made in October.
- o Net increase YTD (increase in fund balance) is **\$1,339,576**

WF BIP:

- o Other financing sources represents transfer from General Fund.
- o Other revenue reflects funds received from SEBTS and Electricities for support of the tech sector analysis.
- o Expenditures are at 11.91% which is below the guideline.

DMSD HIGHLIGHTS:

- o Majority of DMSD tax revenue will come in December and early January.
- o Transfers to be made later in the year for debt service and façade improvements.

Financial Summaries – page 2

October 31, 2021

WFRC HIGHLIGHTS:

- o Expenditures are at 25.01% which is below the guideline.
- o Revenues are up over previous fiscal year due to increased rentals of the facility and programs/events.
- o Other financing sources represents transfer from General Fund for personnel costs.

ELECTRIC FUND HIGHLIGHTS:

- o Total year-to-date revenues are at 36.40% of budgeted amounts.
- o Total expenses are at 34.81% (includes encumbrances)
 - o Purchase for resale – power for October **(\$914,268)** is paid in November and not reflected in the attached.
 - o Rate increase went into effect on September 1. Increase along with growth will provide cushion and support cost of service delivery over the remainder of the fiscal year.
- o Net gain YTD is **\$1,144,405**

GENERAL FUND
October 31, 2021

Monthly Target Percentage

33.00%

Department	Amended Budget	YTD Actual	Encumbrances	Remaining Budget (including encumbrances)	% Budget Used (includes encumbrances)	PY YTD Actuals
REVENUES						
Ad Valorem Taxes	\$ 34,329,580	\$ 6,789,379	-	\$ 27,540,201	19.78%	\$ 6,277,026
Other Taxes	51,000	14,080	-	36,920	27.61%	10,057
Unrestricted Intergovernmental	12,434,475	937,430	-	11,497,045	7.54%	792,413
Restricted Governmental	1,921,375	675,110	-	1,246,265	35.14%	511,058
Permits and Fees	2,315,000	1,429,631	-	885,369	61.76%	814,170
Other Revenue	1,273,355	195,179	-	1,078,176	15.33%	270,713
Sales and Services	4,269,000	834,373	-	3,434,627	19.54%	227,758
Investment Earnings	28,500	1,491	-	27,009	5.23%	7,845
Other Financing Sources	4,168,395	-	-	4,168,395	0.00%	331,045
General Fund Total	\$ 60,790,680	10,876,673	-	49,914,007	17.89%	\$ 9,242,083

Department	Amended Budget	YTD Actual	Encumbrances	Remaining Budget (including encumbrances)	% Budget Used (includes encumbrances)	PY YTD Actuals
EXPENDITURES						
410 Board of Commissioners	\$ 470,020	\$ 132,967	\$ -	\$ 337,053	28.29%	\$ 143,568
412 Legal Services	310,310	919	4,477	304,914	-	-
420 Administration	932,370	280,453	34,988	616,929	33.83%	141,119
425 Communications	994,560	298,354	145,059	551,147	44.58%	269,603
430 Human Resources	834,685	283,954	-	550,731	34.02%	202,767
435 Downtown Development	458,175	109,746	36,508	311,921	31.92%	82,093
440 Finance	1,369,625	315,864	1,906	1,051,855	23.20%	311,276
445 Information Technology	1,585,360	356,053	272,251	957,056	39.63%	301,070
480 Building Inspections	1,838,265	530,090	29,255	1,278,921	30.43%	479,355
490 Planning	3,065,135	670,375	325,263	2,069,497	32.48%	566,714
500 Public Facilities	2,983,470	833,749	426,697	1,723,023	42.25%	790,843
510 Police	14,239,867	4,277,903	916,149	9,045,815	36.48%	3,196,539
520 Fire	9,830,914	2,728,893	930,757	6,171,265	37.23%	2,601,004
530 Public Works Administration	291,575	88,104	-	203,471	30.22%	90,706
535 Urban Forestry	229,820	52,900	-	176,920	23.02%	87,152
540 Engineering	1,580,270	308,733	388,170	883,367	44.10%	319,042
550 Fleet Maintenance	601,525	153,252	-	448,273	25.48%	148,709
560 Streets	3,078,319	792,245	187,315	2,098,758	31.82%	725,506
580 Solid Waste	4,833,620	852,382	178,563	3,802,675	21.33%	961,087
620 Parks and Recreation	4,403,530	1,009,481	306,997	3,087,052	29.90%	1,022,263
999 Transfers	6,859,265	2,265,570	-	4,593,695	33.03%	2,019,870
General Fund Total	\$ 60,790,680	16,341,989	4,184,354	40,264,337	33.77%	\$ 14,460,286

General Fund - Net Gain (Loss) \$ - \$ **(5,465,315)** \$ **(5,218,202)**

Debt Service Fund
October 31, 2021

Monthly Target Percentage

33.00%

Department	Amended Budget	YTD Actual	Remaining Budget (including encumbrances)	% Budget Used (includes encumbrances)	PY YTD Actuals
REVENUES					
Restricted Governmental	\$ 925,600	537,643	387,957	58.09%	454,809
Permits and Fees	724,000	205,390	518,610	28.37%	207,221
Investment Earnings	1,000	41	959	4.10%	55
Other Financing Sources	5,427,150	1,787,383	3,639,767	32.93%	1,708,728
General Fund Total	\$ 7,077,750	2,530,457	4,547,293	35.75%	\$ 2,370,813

Department	Amended Budget	YTD Actual	Remaining Budget (including encumbrances)	% Budget Used (includes encumbrances)	PY YTD Actuals
EXPENDITURES					
440 Finance	\$ 4,400	\$ -	\$ 4,400	\$ -	-
445 Information Technology	412,785	203,759	209,026	49.36%	-
480 Building Inspections	106,410	49,924	56,486	46.92%	51,185
500 Public Facilities	844,775	298,793	545,982	35.37%	306,352
510 Police	380,365	92,105	288,260	24.21%	175,262
520 Fire	406,265	166,775	239,490	41.05%	76,362
535 Urban Forestry Division	8,550	4,273	4,277	49.98%	-
540 Engineering	17,645	-	17,645	0.00%	-
550 Fleet Maintenance	8,550	4,273	4,277	0.00%	-
560 Streets	1,885,680	134,574	1,751,106	7.14%	107,157
570 Powell Bill	887,980	-	887,980	0.00%	14,747
580 Solid Waste	115,705	26,360	89,345	22.78%	22,599
620 Parks and Recreation	1,998,640	210,044	1,788,596	10.51%	207,141
General Fund Total	\$ 7,077,750	1,190,881	5,886,869	16.83%	\$ 960,804

General Fund - Net Gain (Loss)

\$ 1,339,576

\$ 1,410,009

Wake Forest Business and Industry Partnership Fund (BIP)
October 31, 2021

Monthly Target Percentage

33.00%

Department	Amended Budget	YTD Actual	Encumbrances	Remaining Budget (including encumbrances)	% Budget Used (includes encumbrances)	PY YTD Actuals
REVENUES						
Sales and Services	\$ -	\$ -	\$ -	\$ -	0.00%	\$ -
Other Revenue	-	8,000	-	(8,000)	0.00%	-
Other Financing Sources	362,570	120,860	-	241,710	33.33%	73,313
WFRC Fund Total	\$ 362,570	128,860	-	233,710	35.54%	\$ 73,313

Department	Amended Budget	YTD Actual	Encumbrances	Remaining Budget (including encumbrances)	% Budget Used (includes encumbrances)	PY YTD Actuals
EXPENDITURES						
415 Economic Development	\$ 362,570	\$ 43,190	\$ -	\$ 319,380	11.91%	\$ 48,995
WFRC Fund Total	\$ 362,570	43,190	-	319,380	11.91%	\$ 48,995

WFRC Fund - Net Gain (Loss) **\$ 85,670** **\$ 24,317**

DMSD Special Revenue Fund
October 31, 2021

Monthly Target Percentage

33.00%

Department	Amended Budget	YTD Actual	Encumbrances	Remaining Budget (including encumbrances)	% Budget Used (includes encumbrances)	PY YTD Actuals
REVENUES						
Ad Valorem Taxes	\$ 132,050	\$ 20,377	-	\$ 111,673	15.43%	\$ 24,407
Investment Earnings	300	26	-	274	8.83%	57
Other Financing Sources	30,150	105	-	30,045	0.35%	304
DMSD Special Revenue Fund Total	\$ 162,500	20,509	-	141,991	12.62%	\$ 24,768

Department	Amended Budget	YTD Actual	Encumbrances	Remaining Budget (including encumbrances)	% Budget Used (includes encumbrances)	PY YTD Actuals
EXPENDITURES						
Transfers In (Out)	\$ 162,500	\$ -	\$ -	\$ 162,500	0.00%	\$ -
DMSD Special Revenue Fund Total	\$ 162,500	-	-	162,500	0.00%	\$ -

Downtown District - Net Gain (Loss)

20,509

24,768

Wake Forest Renaissance Centre
October 31, 2021

Monthly Target Percentage

33.00%

Department	Amended Budget	YTD Actual	Encumbrances	Remaining Budget (including encumbrances)	% Budget Used (includes encumbrances)	PY YTD Actuals
REVENUES						
Sales and Services	\$ 141,000	\$ 40,200	\$ -	\$ 100,800	28.51%	\$ 2,615
Other Revenue	116,340	6,685	-	109,655	5.75%	-
Other Financing Sources	421,710	119,715	-	301,995	28.39%	71,806
WFRC Fund Total	\$ 679,050	166,601	-	512,449	24.53%	\$ 74,421

Department	Amended Budget	YTD Actual	Encumbrances	Remaining Budget (including encumbrances)	% Budget Used (includes encumbrances)	PY YTD Actuals
EXPENDITURES						
626 Wake Forest Renaissance Centre	\$ 679,050	\$ 169,303	\$ 500	\$ 509,247	25.01%	\$ 129,540
WFRC Fund Total	\$ 679,050	169,303	500	509,247	25.01%	\$ 129,540

WFRC Fund - Net Gain (Loss) **\$ (2,703)** **\$ (55,119)**

ELECTRIC FUND
October 31, 2021

Monthly Target Percentage

33.00%

Department	Amended Budget	YTD Actual	Encumbrances	Remaining Budget (including encumbrances)	% Budget Used (includes encumbrances)	PY YTD Actuals
REVENUES						
Charges for Services	\$ 21,373,800	\$ 7,648,296	-	\$ 13,725,504	35.78%	\$ 7,316,499
Sales Tax - Utility	1,452,865	532,299	-	920,566	36.64%	507,913
Other Revenue	194,500	289,722	-	(95,222)	148.96%	47,252
Investment Earnings	2,000	239	-	1,761	11.96%	790
Other Financing Sources	250,000	-	-	250,000	0.00%	407,125
Electric Fund Total	\$ 23,273,165	8,470,556	-	14,802,609	36.40%	\$ 8,279,579

Department	Amended Budget	YTD Actual	Encumbrances	Remaining Budget (including encumbrances)	% Budget Used (includes encumbrances)	PY YTD Actuals
EXPENDITURES						
850 Electric - Operations	\$ 22,764,810	\$ 7,154,172	\$ 771,925	\$ 14,838,713	34.82%	\$ 6,845,607
860 Electric - Tree Trimming	508,355	171,979	4,216	332,160	34.66%	135,794
Electric Fund Total	\$ 23,273,165	7,326,151	776,142	15,170,873	34.81%	\$ 6,981,400

Electric Fund - Net Gain (Loss)

1,144,405

1,298,179



Board of Commissioners Work Session Agenda Item Report

Agenda Item No.: 2021-392-
Submitted by: Sherry Scoggins
Submitting Department: Administration
Meeting Date: December 7, 2021

SUBJECT

Review of Draft Agenda for Upcoming Regular Meeting

Recommendation:

Item Summary:

ATTACHMENTS

- [DRAFT2021Dec21Agenda-2021Nov30..docx](#)



Wake Forest Board of Commissioners

DRAFT Meeting Agenda

December 21, 2021, at 6:00 PM

All items listed are for discussion and possible action.

Call to Order

Pledge of Allegiance

1. Approval of Agenda

2. Approval of Minutes

2.A. Approval of Minutes:

-November 4, 2021, work session minutes

-November 16, 2021, regular meeting minutes

3. Presentations

3.A. Presentation of Proclamation Recognizing School Choice Week

3.B. Presentation of fiscal year ended June 30, 2021, Comprehensive Annual Finance Report

4. Public hearings / Public Comment

4.A. Public hearing on and consideration of a petition requesting contiguous annexation submitted by Hawthorne at Traditions Apartments, LLC for property located at 601 Gilcrest Farm Rd, being Wake County Tax PIN 1851-24-2248 and adjacent right-of-way totaling approximately 13.197.

5. Consent Agenda

(A Consent Agenda is a group of items passed with a single motion and vote. These matters are of a generally routine nature. No debate is allowable on any item included on the Consent Agenda. If a Commissioner or any citizen of Wake Forest or its ETJ wants separate consideration of any item, it may be removed from the Consent Agenda by request.)

5.A. Approval of Ordinance Update Amending Chapter 26, Solid Waste, of the Town of Wake Forest Code of Ordinances

- 5.B. Resolution Recognizing the Retirement of Christopher M. Bass
- 5.C. Updates to the Town of Wake Forest Record Retention Policy.
- 5.D. Updates to the Town of Wake Forest Board of Commissioners Rules of Procedure.
- E. Updates to the Code of Ethics
- 5.F. Approval of Appointments to Citizen Advisory Boards.

6. Legislative Items

7. Planning Items

8. Administration and Financial Items

- 8.A. Wireless Research Center Digital Hub Update

9. Public Services Items

10. Parks and Recreation Items

11. Public Safety Items

12. Other Business

- 12.A. Department Monthly Report
- 12.B. Resolutions of Appreciation to the Outgoing Commissioners
- 12.C. Oaths of Office for Candidates-Elect
- 12.D. Election of Mayor Pro Tem

13. Adjournment



Board of Commissioners Work Session Agenda Item Report

Agenda Item No.: 2021-266-
Submitted by: Dylan Bruchhaus
Submitting Department: Planning
Meeting Date: December 7, 2021

SUBJECT

Consideration of and Public Hearing on Comprehensive Transportation Plan Amendment (CPZ-21-01)

Recommendation:

Item Summary:

ATTACHMENTS

- [Summary Sheet](#)
- [Staff Report](#)
- [Attachment A- Application](#)
- [Attachment B- Proposed Changes](#)
- [Attachment C- Ordinance](#)
- [Exhibit 1- Proposed Maps](#)
- [Exhibit 2- Proposed Tables](#)
- [Exhibit 3- Proposed Cross-Sections](#)

Agenda Item: Public Hearing on and Consideration of Ordinance to Amend the Comprehensive Transportation Plan (CPZ-21-01)

Summary: The Comprehensive Transportation Plan (CTP) was originally adopted on October 15, 2019. Changes to Chapters 4-7 of the CTP are proposed.

Attachments: See Staff Report



Staff Report

CPZ-21-01: Comprehensive Transportation Plan Amendment

Meeting Date	December 7, 2021
Requested Actions	Consideration of Comprehensive Plan Amendment to Chapters 4, 5, 6, and 7 of the Comprehensive Transportation Plan.
Case Manager	Dylan Bruchhaus, Planner II
PRAC Advisory Board Recommendation	The Parks, Recreation, and Cultural Advisory Board voted unanimously to recommend the Chapter 4 Bicycle & Pedestrian proposed changes on October 25, 2021.
Planning Board Recommendation	The Planning Board voted unanimously to recommend the proposed Comprehensive Plan Amendment to the Board of Commissioners on November 9, 2021.

PUBLIC MEETINGS

Public Comment Session	Public Hearing
November 9, 2021	December 7, 2021

CASE INFORMATION

Applicant	Town of Wake Forest 301 S Brooks Street Wake Forest, NC 27587
<i>See Attachment A for copy of the Application.</i>	

CASE SUMMARY

The Comprehensive Transportation Plan was adopted on October 15, 2019 and has been amended since by Town Planning staff. The Plan outlines the future multi-modal transportation infrastructure by providing recommendations for the bicycle, pedestrian, transit, and roadway network used in the development review process and Town project prioritization

PROPOSED CHANGES

Chapter 4: Bicycle & Pedestrian	The proposed request changes Map 4-2 (Existing Multi-Use Path Network), Map 4-3 (Existing Greenway Network), Map 4-5 (Future Pedestrian Network), and Map 4-6 (Future Greenway Network).
Chapter 5: Transit	The proposed request changes Map 5-1 (Regional Existing & Future Transit Network) and Map 5-2 (Wake Forest Existing & Future Transit).
Chapter 6: Roadways	The proposed request changes the section Roadway Cross-Sections, Map 6-6 (Future Roadway Network), Table 6-1 (Roadway Recommendations), Map 6-7 (Recommended Grade Separations), and the section Grade Separations.
Chapter 7: Prioritization	The proposed request changes Table 7-2 (Greenway Prioritization) and Map 7-1 (Greenway Prioritization).
<i>See Attachment B for detailed Proposed Changes.</i>	

STAFF RECOMMENDATION

Staff recommends approval of the proposed Comprehensive Plan Amendment to the Comprehensive Transportation Plan.

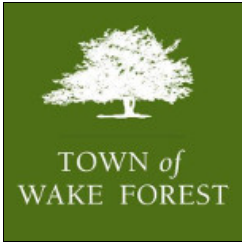
- The proposal provides clarity for staff, residents, and the development community on existing and upcoming pedestrian facilities and expands multi-modal connectivity throughout Town.
- The proposal aligns the Comprehensive Transportation Plan with the Renaissance Area Plan and the Draft Northeast Community Plan.
- The proposal aligns with staff's goal to update the plan annually to capture changes to the infrastructure network and Action Items in the Plan to capture any transportation recommendations from the CAMPO Northeast Area Study and the Wake Forest Northeast Community Plan.

ATTACHMENTS

Attachment A: Application
Attachment B: Proposed Changes
Attachment C: Ordinance

EXHIBITS

Exhibit 1: Proposed Maps
Exhibit 2: Proposed Tables
Exhibit 3: Proposed Cross-Sections



Comprehensive Plan Amendment

Comp Plan Amendment

Town of Wake Forest, NC

301 S. Brooks St.

Wake Forest, NC 27587-2932

TEL (919) 435-9510 | FAX (919) 435-9539

Project Overview

#649355

Project Title: Comprehensive Transportation Plan Amendment

Jurisdiction: Town of Wake Forest (Wake County)

Application Type: Comprehensive Plan Amendment

State: NC

Workflow: Comp Plan Amendment

County: Wake

Checklist - Comprehensive Plan & UDO Amendment

A submittal checklist is available to view additional documents which are required to submitted with this application. After answering the application questions, you will be asked to upload the required documents.

[VIEW COMPREHENSIVE PLAN & UDO AMENDMENT
SUBMITTAL CHECKLIST](#)

Missing items will result in the application being declined and returned to the applicant to resubmit. A revised and complete application including all missing items must be received or the application will be not be deemed complete and routed for review.

Please confirm you have reviewed the associated submitted checklist for this permit and confirm you will submit all documents required on the submittal checklist: Yes

Data - Basic Location

If your Comprehensive Plan Amendment is associated with specific property(s) please answer the following questions. If not, proceed to the next page.

Project/Development Name: Comprehensive Transportation
Plan Amendment

Project Contact - Applicant/Owner

Please enter all project contacts related to your application.

This is an important step to ensure all members of the applicant team receive email notifications associated with the project which may include comments, requested revisions, scheduled meetings or hearings, and final decisions. This also informs Town staff of the team members assigned role with the project.

Project Contact - Applicant

Courtney Tanner
Town of Wake Forest
401 Elm Avenue
Wake Forest, NC 27587
P:(919) 5546100
ctanner@wakeforestnc.gov

Amendment Type

Please answer the below questions to provide reviewers an overview of the application. Additional information may also be provided through uploading an attachment.

Plan Being Amended: Transportation Plan

Description of Request:

CTP Chapters 4-7

Type of Amendment: Text,Map

Justification of Amendments:

Implement draft Northeast Community Plan and Renaissance Plan

Attachment B: Proposed Changes

Chapter 4 Bicycle and Pedestrian

Map 4-2 | Existing Multi-Use Path Network (Page 44)

The proposed changes bring the existing multi-use path network in alignment with what has been constructed.

1. N White Street (Near Coast Grade Street)
 - Change from Proposed to Complete.
 - Constructed as part of the Goldston Subdivision.
2. Oak Grove Church Road (Near Tryon Palace Street)
 - Change from Proposed to Complete.
 - Constructed as part of the Tryon Subdivision.
3. Averette Road (Near Copper Beach Lane)
 - Change from Proposed to Complete.
 - Constructed as part of the Flynn Subdivision.
4. Ligon Mill Road (Hwy 98 to Caveness Farms Avenue)
 - Change from Proposed to Complete.
 - Constructed as part of the Grove 98/Wegmans development.
5. Durham Road (Hwy 98 to Kearney Road)
 - Change from Complete to Proposed.
 - Error in data from the 2019 Comprehensive Transportation Plan.
6. W Oak Avenue (Stadium Drive to near the Bluffs at Joyner Park Subdivision)
 - Change from Proposed to Complete.
 - Constructed as a Town project. Correcting error in data from 2019 CTP.
7. Durham Road (Near the Crenshaw Trace Apartments)
 - Change from Proposed to Under Construction.
 - Constructed as part of the Crenshaw Trace Apartments.

Map 4-3 | Existing Greenway Network (Page 45)

The proposed changes bring the existing greenway network in alignment with what has been constructed.

1. Tryon Greenway
 - Change from Proposed to Complete.
 - Constructed as part of the Tryon Subdivision.

Map 4-5 | Future Pedestrian Network (Page 47)

The proposed changes bring the multi-use path network in alignment with the built conditions and further clarifies projects under construction by creating a new category “Under Construction”. This new category sets expectations for the development community and residents of what pedestrian improvements are to be ready in the near term.

Multi-Use Path Under Construction

1. Heritage Lake Road (Friendship Chapel Road to Hwy 98)
 - Change from Proposed to Under Construction.
 - To be constructed as part of the Legacy Heritage Apartments.
2. Holding Village Multi-Use Paths (Holding Village Way, S Franklin Street, Abbyberry Drive, Artisan Park Drive)
 - Change from Proposed to Under Construction.
 - To be constructed as part of the Holding Village development.
3. Devon Square Boulevard
 - Change from Proposed to Under Construction.
 - To be constructed as part of the Devon Square development.

Remove Multi-Use Path and Replace with Greenway

4. Austin Creek Parkway
 - Remove from future network.
 - The alignment conflicts with the Austin Creek Master Plan & Austin Creek Phase 6 & 7 Construction Drawings. A proposed greenway on the plans provides similar access and connects the Austin Creek Greenway from Wake Forest to Rolesville.

Realign Multi-Use Path

5. Wake Union Church Road Extension (US 1 Service Road)
 - The proposed changes bring the multi-use paths associated with the service road alignment in the Comprehensive Transportation Plan to match the Northeast Area Study hotspot.

Map 4-6 | Future Greenway Network (Page 48)

The proposed changes bring the greenway network in alignment with the built conditions and further clarifies projects under construction by creating a new category “Under Construction”. This new category sets expectations for the development community and residents of what greenway improvements are to be ready in the near term.

Greenway Under Construction

1. Dunn Creek Greenway
 - Change from Proposed to Under Construction.
 - Greenway connection from the Dunn Creek Greenway to Legacy Heritage Apartments.

2. Holding Village Greenway
 - Change from Proposed to Under Construction.
 - Greenway extension under construction as part of the Holding Village development.
3. Joyner Park Greenway
 - Change from Proposed to Under Construction.
 - Greenway extension from Joyner Park to Devon Square under construction as part of the Devon Square development.
4. Austin Creek Greenway
 - Change from Proposed to Under Construction.
 - Greenway under construction by the Tryon Subdivision.
5. Dunn Creek Greenway
 - Change from Proposed to Under Construction.
 - Greenway under construction by the Willows at Traditions Subdivision.

New Greenway Connections

6. Austin Creek Greenway
 - Add as Proposed Greenway. This replaces the multi-use path along Austin Creek Parkway but is consistent with the Austin Creek Master Plan and Austin Creek Phase 6 & 7 Construction Drawings.
7. Austin Creek Greenway
 - Add as Proposed Greenway.
 - This greenway extension connects from the Austin Creek terminus is Tryon to Averette Road. This is consistent with the Rosedale Master Plan.
8. Smith Creek Greenway
 - Add as Proposed Greenway. This connects the greenway network to Capital Creek at Heritage Apartment community, residential subdivisions off Heritage Branch Road, and Heritage Middle School.
9. Aston Apartment Greenway
 - Add as Proposed Greenway.
 - This greenway extension connects from the greenway constructed by the Aston Apartment development to Royall Cotton Road. This connection provides a connection from the proposed Caveness Shoppes Road grade separation to the multi-use paths on Ligon Mill Road.

Greenway Realignment

10. Richland Creek Greenway
 - Realign to follow the western boundary of the stream.

Chapter 5 Transit

Map 5-1 | Regional Existing & Future Transit Network (Page 55)

Map 5-2 | Wake Forest Existing & Future Transit (Page 56)

The proposed changes align the commuter rail stations with redevelopment opportunities and locations for viable park and ride facilities.

Chapter 6 Roadways

Roadway Cross-Sections (Page 66)

The proposed language provides more clarity on the required right-of-way to be dedicated during development and provides staff additional flexibility to accommodate the intended improvements under existing built environment conditions and to accommodate infill development in areas like Downtown and the Northeast Community.

Existing Text:

The Town reserves the right to modify the right of way required based on existing conditions or to accommodate cross-section elements. The minimum right of way does not account for any required bike or pedestrian infrastructure beyond the standard sidewalk, or any alternate cross-section elements.

Proposed Text:

The proposed minimum right-of-way in the cross-sections in this document is the listed right-of-way if a roadway were to follow the standard dimensions for cross-section elements. The Town reserves the right to increase or decrease the minimum right-of-way required at the time of development from the listed right-of-way based on existing conditions or to accommodate alternate dimensions—the suggested right-of-way does not account for any required bike or pedestrian infrastructure beyond the standard sidewalk, or any alternate cross-section elements.

2A.1 – Modified Two Lane Undivided

The new cross-section provide clarity for infrastructure requirements for N White Street where the roadway abuts the rail right-of-way. The cross-section is intended for use between E Spring Street and Royal Mill Avenue.

Changes from 3A: The sidewalk along the railroad has been removed and the number of lanes reduced to two travel lanes. The listed right-of-way is now 52'. The multi-use path along the eastern side of the roadway will be required of any development.



Table 6-1 | Roadway Recommendations (Page 74-78)**1. Change to Roadway Classification**

The proposed changes better match the traffic volumes and land use of each roadway. The change promotes development closer to the street in Downtown and the Northeast Community by decreasing the width of the street yard buffer along the frontage of the site, as would be required with a minor thoroughfare classification. The proposed change is in line with the Renaissance Plan and the Draft Northeast Community Plan.

Name	Start	End	Existing Classification	Proposed Classification
S Franklin Street	Wait Avenue	Hwy 98	Minor Thoroughfare	Collector
Wait Avenue	E Roosevelt Avenue	S Allen Road	Minor Thoroughfare	Collector
Wait Avenue	S Allen Road	Traditions Grande Boulevard	Minor Thoroughfare	Collector
E Roosevelt Avenue	Front Street	Wait Avenue	Minor Thoroughfare	Collector
N White Street	E Roosevelt Avenue	Royal Mill Avenue	Minor Thoroughfare	Collector
W Oak Avenue	Harris Road	N Main Street	Minor Thoroughfare	Collector
E Juniper Avenue	N White Street	N Allen Road	Local	Collector

2. Change Roadway Cross-Section

The proposed changes provide additional parking options along two corridors that are experiencing development pressures. The change in the Comprehensive Transportation Plan allows on-street parking to be required at the time of development. The proposed change is in line with the Renaissance Plan and the Draft Northeast Community Plan.

With future development pressure along N White Street and recommendations from the Draft Northeast Community Plan, the cross-section for N White Street between E Spring Street and Royal Mill Avenue needed clarification on how to address the adjacent railroad when widening the roadway. The new cross-section maintains the same level of pedestrian access on the eastern side of the road and reduces the right-of-way to ensure the widening would not interfere with the rail corridor.

Name	Start	End	Existing Cross-Section	Proposed Cross-Section
N Allen Road	E Juniper Avenue	E Perry Avenue	2A	2C
N White Street	E Roosevelt Avenue	E Spring Street	3A	2C/3A
N White Street	E Spring Street	Royal Mill Avenue	3A	3B

Map 6-6 | Future Roadway Network (Page 73)

1. Youngsville By-Pass Realignment

The proposed change realigns the by-pass to match the Northeast Area Study and the 2050 MTP. The alignment better aligns to avoid existing and development under construction in Youngsville and connects directly into Hwy 96.

2. Ligon Mill Road

The proposed change addresses the construction of Ligon Mill Road to Hwy 98 as part of the Grove 98/Wegmans project.

3. Stadium Drive Intersection

The proposed change adds the additional roadways associated with the recommended Northeast Area Study (NEAS) hotspot project.

Map 6-7 | Recommended Grade Separations (Page 80)

1. Friendship Chapel Road

- Add as a Proposed Pedestrian Crossing.
- The proposed change expands pedestrian access across the railroad track and connects into the existing and future greenway network.

Add New Tables to the Document

The proposed change provides additional clarity of future grade separations by listing out the recommendations shown on Map 6-7 | Recommended Grade Separations.

Table 6-2: Roadway Grade Separations Along US 1

Name	Start	Status	Type
US 1	Harris Road Purnell Road	Proposed	Interchange
US 1	Stadium Drive Jenkins Road	Proposed	Interchange
US 1	Durham Road	Existing	Interchange
US 1	Hwy 98	Existing	Interchange
US 1	Caveness Shoppes Drive	Proposed	Grade Separation
US 1	S Main Street Falls of Neuse Road	Proposed	Interchange
US 1	Height Lane Montys Lane	Proposed	Grade Separation
US 1	Burlington Mill Road	Proposed	Interchange

Table 6-3: Railroad Grade Separations & Pedestrian Crossings

Roadway Name	Status	Type of Separation
Harris Road Extension / Royal Mill Avenue	Proposed	Roadway Grade Separation
E Roosevelt Avenue	Existing	Roadway Grade Separation
E Holding Avenue	Proposed	Roadway Grade Separation
Hwy 98	Existing	Roadway Grade Separation
Rogers Road	Proposed	Roadway Grade Separation
Ligon Mill Road	Proposed	Roadway Grade Separation
Height Lane	Proposed	Roadway Grade Separation
US 1	Existing	Roadway Grade Separation
E Cedar Avenue	Proposed	Pedestrian Crossing
E Juniper Avenue	Proposed	Pedestrian Crossing
Elm Avenue	Proposed	Pedestrian Crossing
Friendship Chapel Road	Proposed	Pedestrian Crossing

Map 6-8 | Conceptual US1 & Service Road Alignment (Page 84)

1. Wake Union Church Road Service Road Alignment

The proposed change matches the alignment of the service road network from the Northeast Area Study (NEAS) hotspot project.

Chapter 7 Prioritization

Map 7-1 | Greenway Prioritization

Table 7-2 | Greenway Prioritization

The proposed change identifies a prioritization level for each of the new greenways added in this amendment.

Medium Level Priority

1. Smith Creek Greenway
 - The greenway is identified as a medium priority to match other extension of the Smith/Dunn greenway spine network.

Constructed by Development

2. Austin Creek Greenway
3. Austin Creek Greenway
4. Aston Apartment Greenway

ORDINANCE 2021-62

ORDINANCE OF THE BOARD OF COMMISSIONERS
OF THE TOWN OF WAKE FOREST
TO AMEND THE COMPREHENSIVE TRANSPORTATION PLAN (CPZ-21-01)

WHEREAS, the application submitted by the Town of Wake Forest to amend the Comprehensive Transportation Plan was duly filed with the Planning Department; and

WHEREAS, the Parks, Recreation, and Cultural Resources Advisory Board held a public comment session on October 25, 2021, the Planning Board held a public comment session on November 9, 2021, and the Board of Commissioners held a public hearing on December 7, 2021; and

WHEREAS, a print ad was published in a paper of general circulation for the public hearing pursuant with G.S. § 160D-602 and the Unified Development Ordinance; and

WHEREAS, the Parks, Recreation, and Cultural Resources Advisory Board voted unanimously to recommend approval of said application to amend the Comprehensive Transportation Plan; and

WHEREAS, the Planning Board voted unanimously to recommend approval of said application to amend the Comprehensive Transportation Plan; NOW, THEREFORE,

BE IT ORDAINED BY THE BOARD OF COMMISSIONERS OF THE TOWN OF WAKE FOREST amends the Comprehensive Transportation plan by:

Section 1. Replacing the maps in the Comprehensive Transportation Plan with the maps as shown in Exhibit 1.

Section 2. Replacing Table 6-1 and 7-2 in the Comprehensive Transportation Plan and adding Table 6-2 and Table 6-3 to the Comprehensive Transportation Plan with the tables as shown in Exhibit 2.

Section 3. Adding the text addition and cross-section as shown by clouding in Exhibit 3.

Section 4. Replacing the existing and future transportation maps on the ArcGIS Online StoryMaps with the maps and data as shown in Exhibit 1 and Exhibit 2.

Section 5. Correcting any cross-references, page numbers, and/or headings resulting from text changes.

Section 6. Making effective immediately upon adoption.

Motion by Commissioner _____

Seconded by Commissioner _____

This the ____ day of _____ 2021.

TOWN OF WAKE FOREST

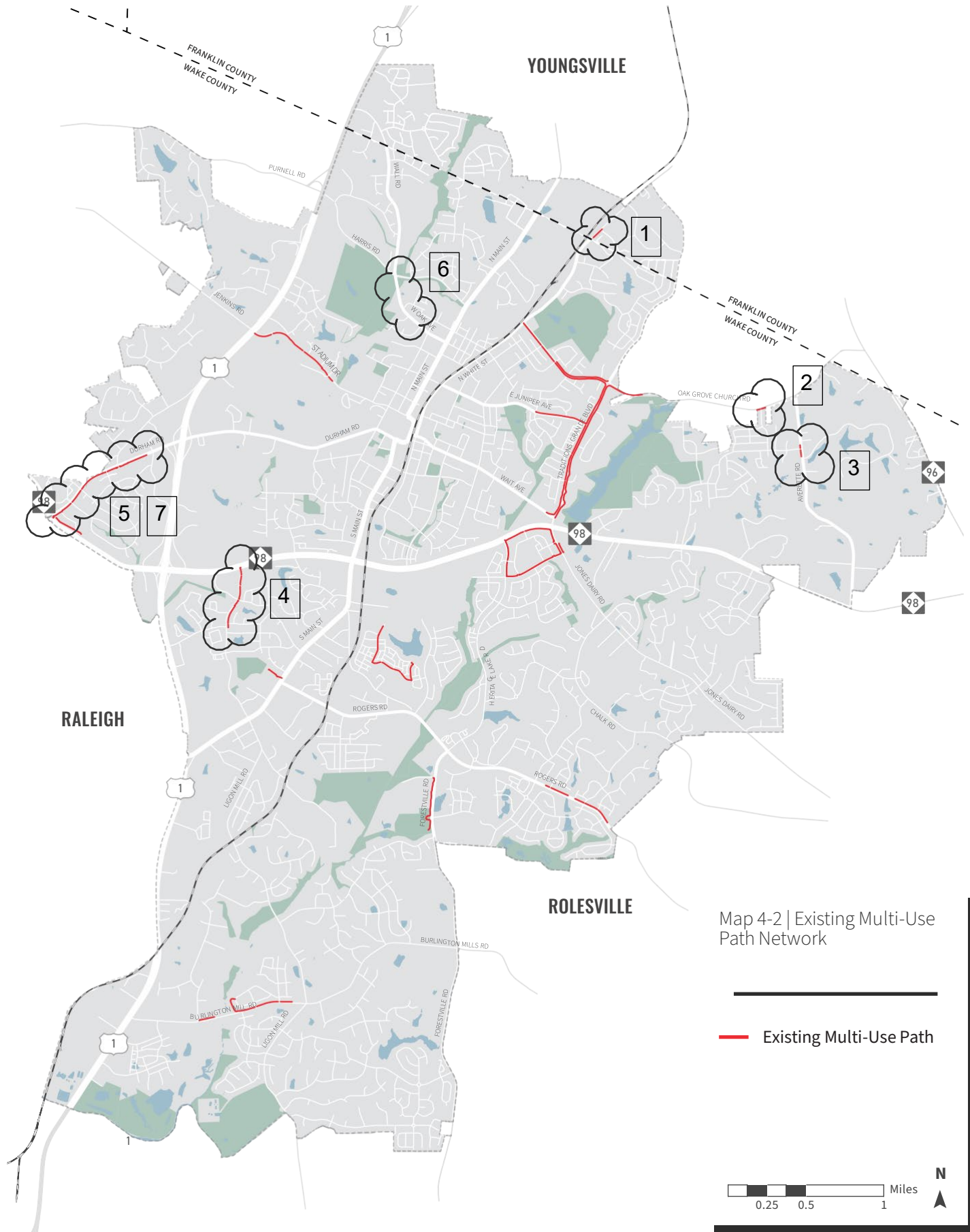
Mayor

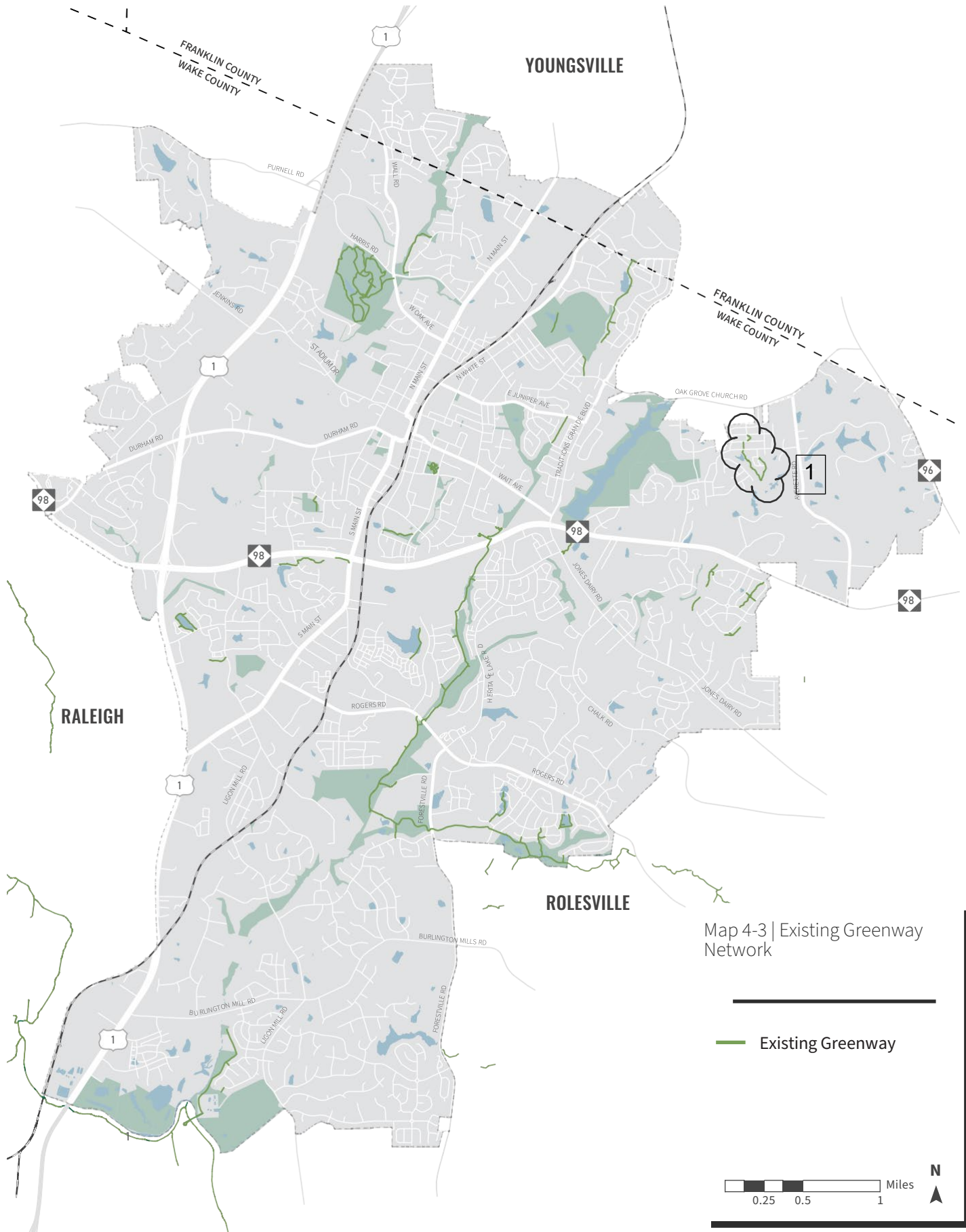
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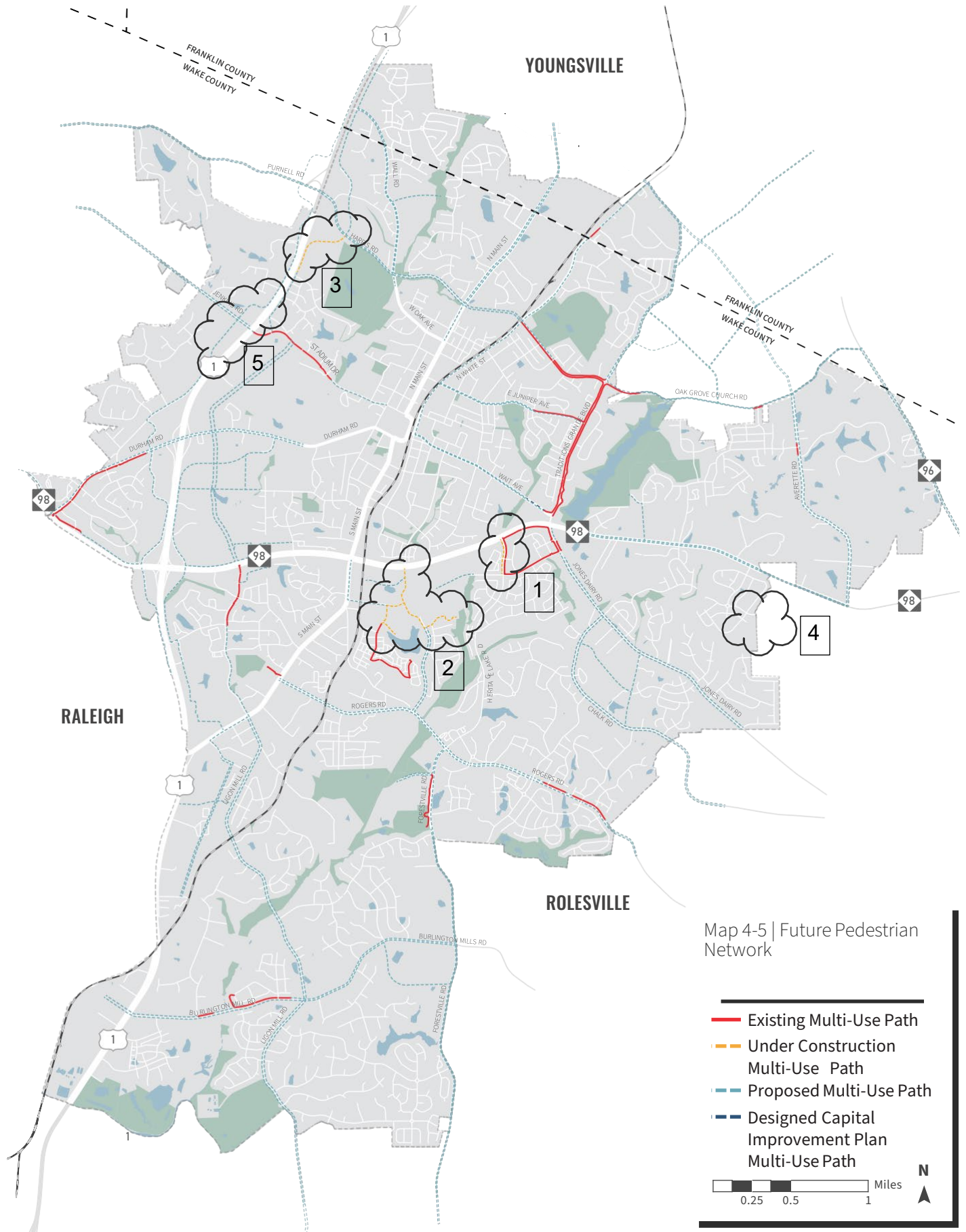
Town Clerk

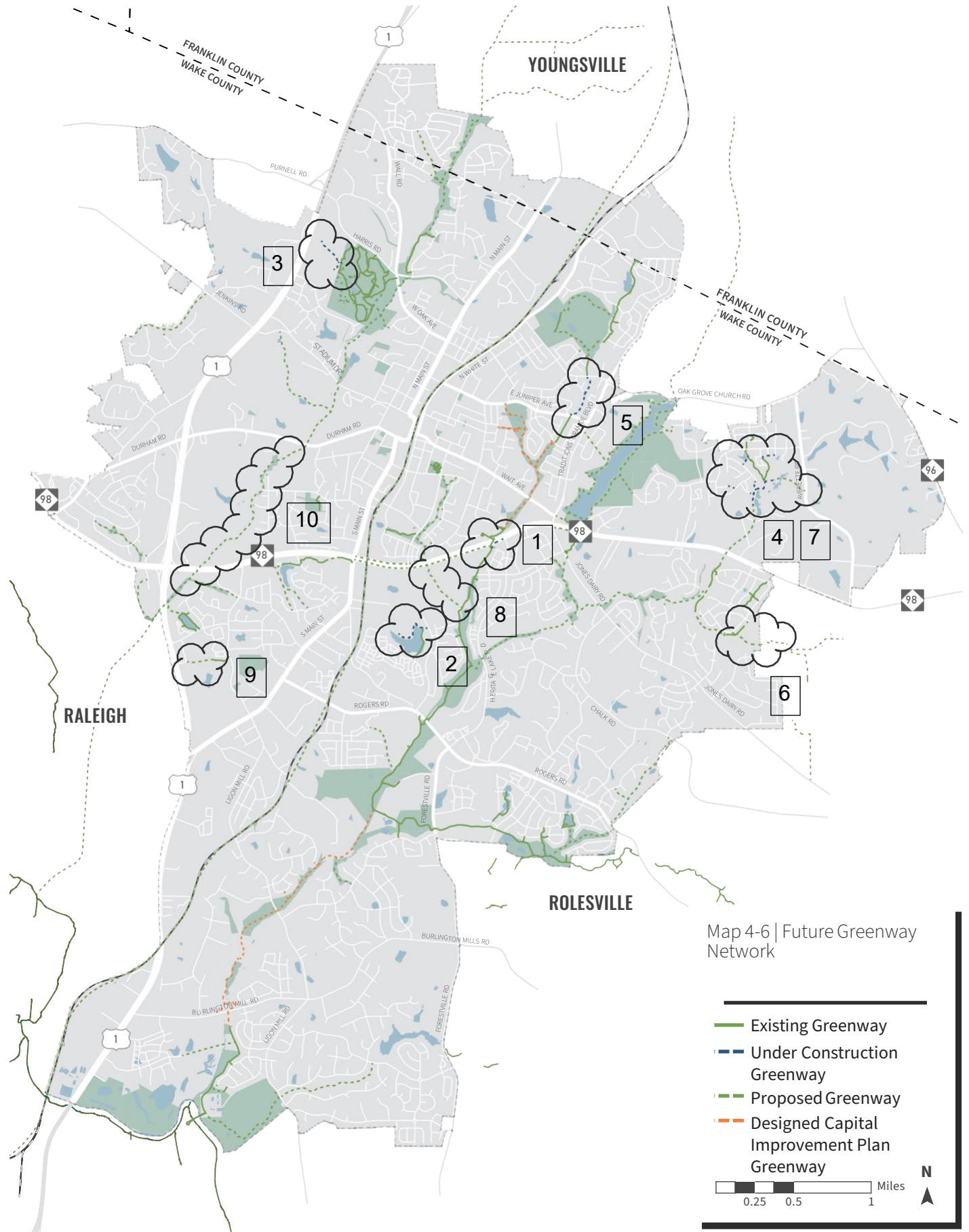
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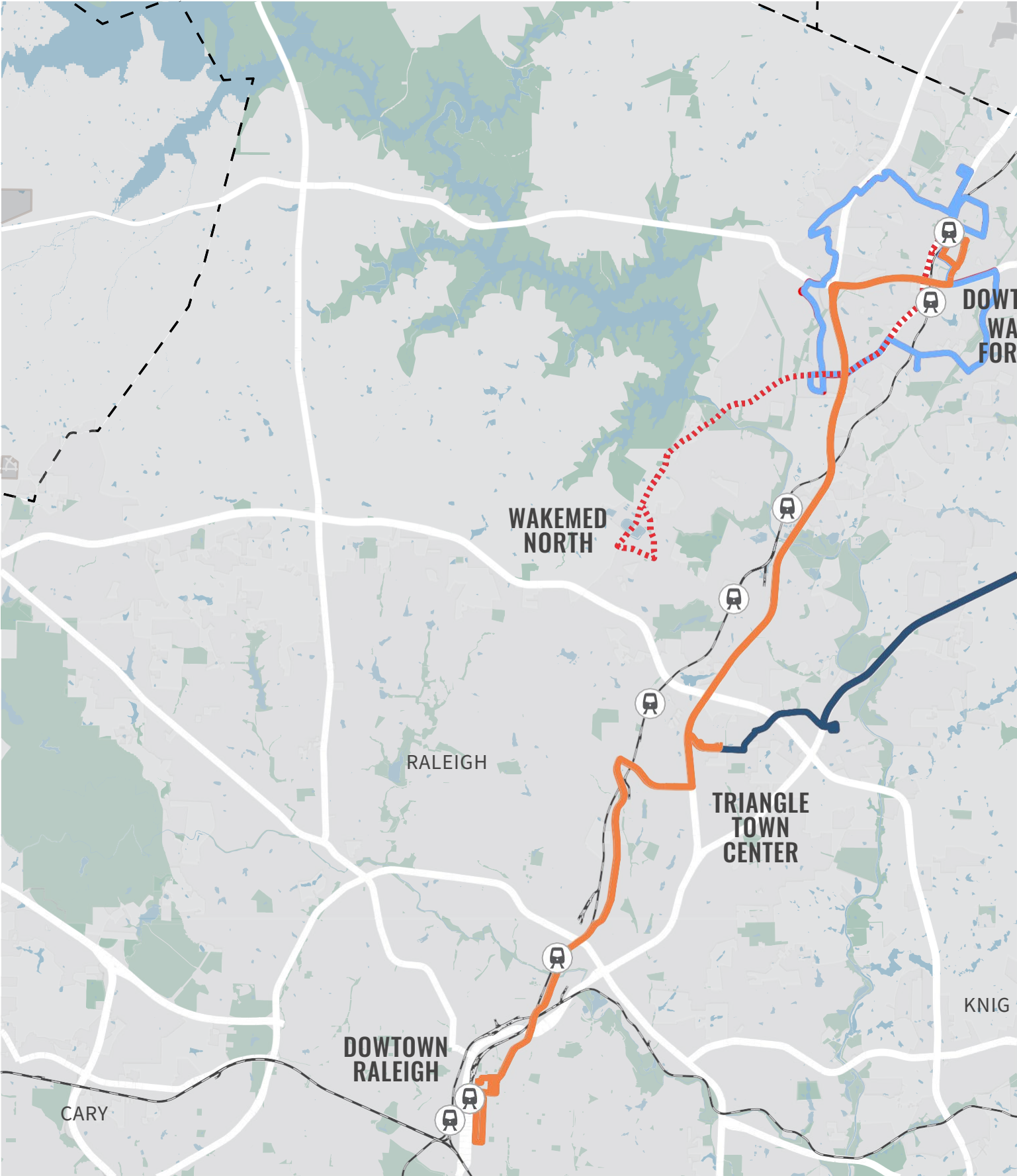
Town Attorney

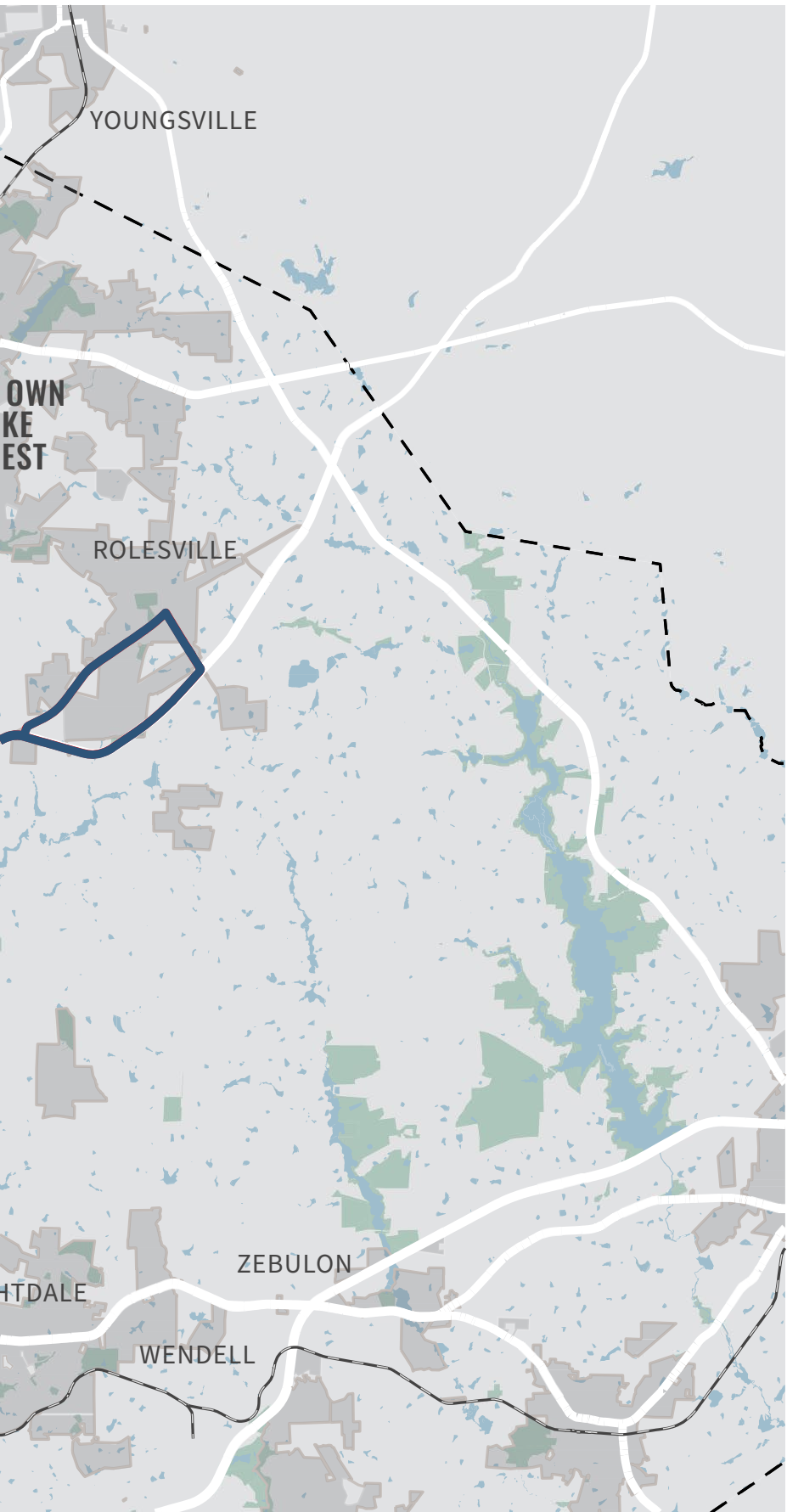










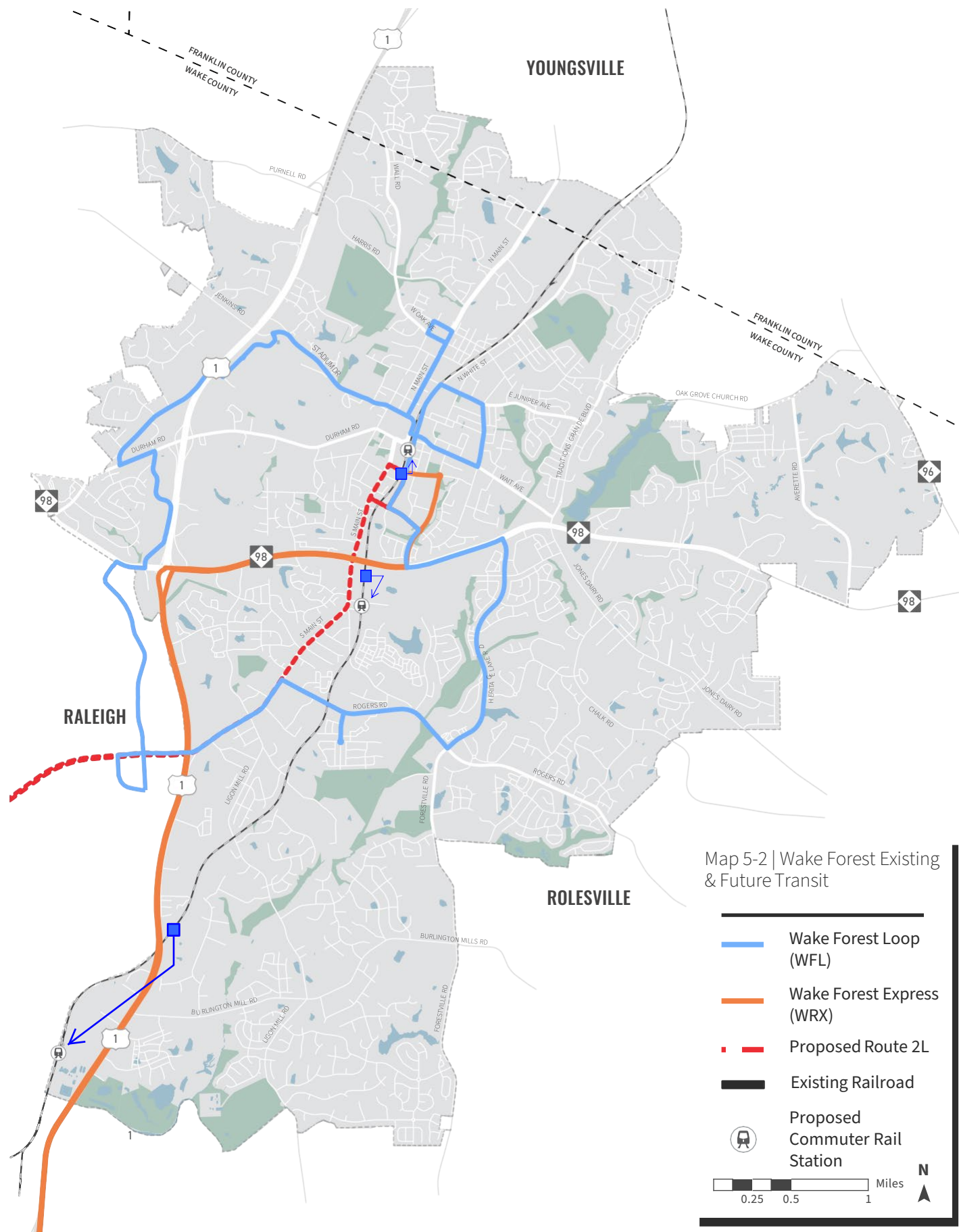


Map 5-1 | Regional Existing & Future Transit Network

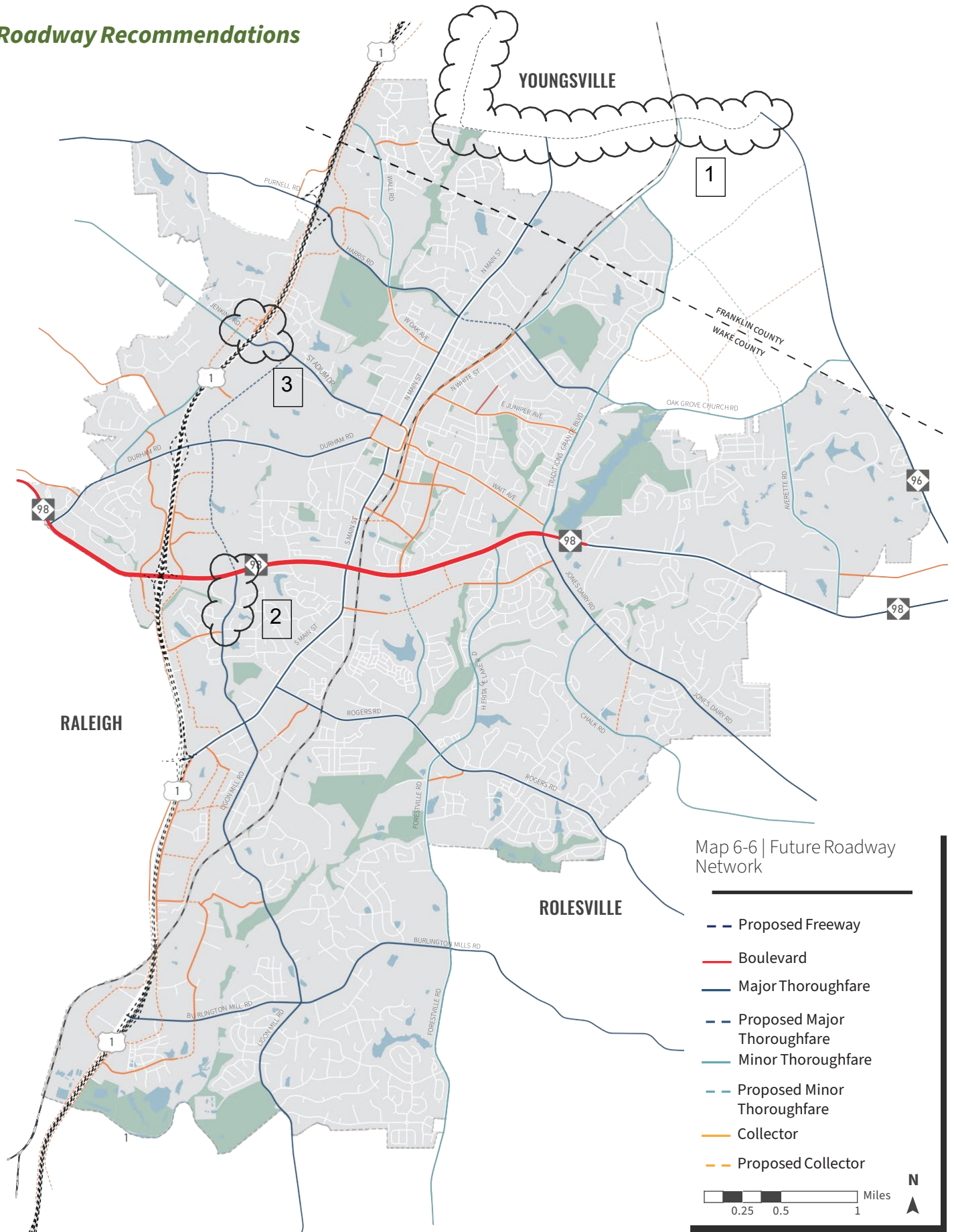
- Wake Forest Loop (WFL)
- Wake Forest Express (WRX)
- Route 401
- Proposed Route 2L
- Existing Railroad
- Proposed Commuter Rail Station

0 1.5 3 Miles

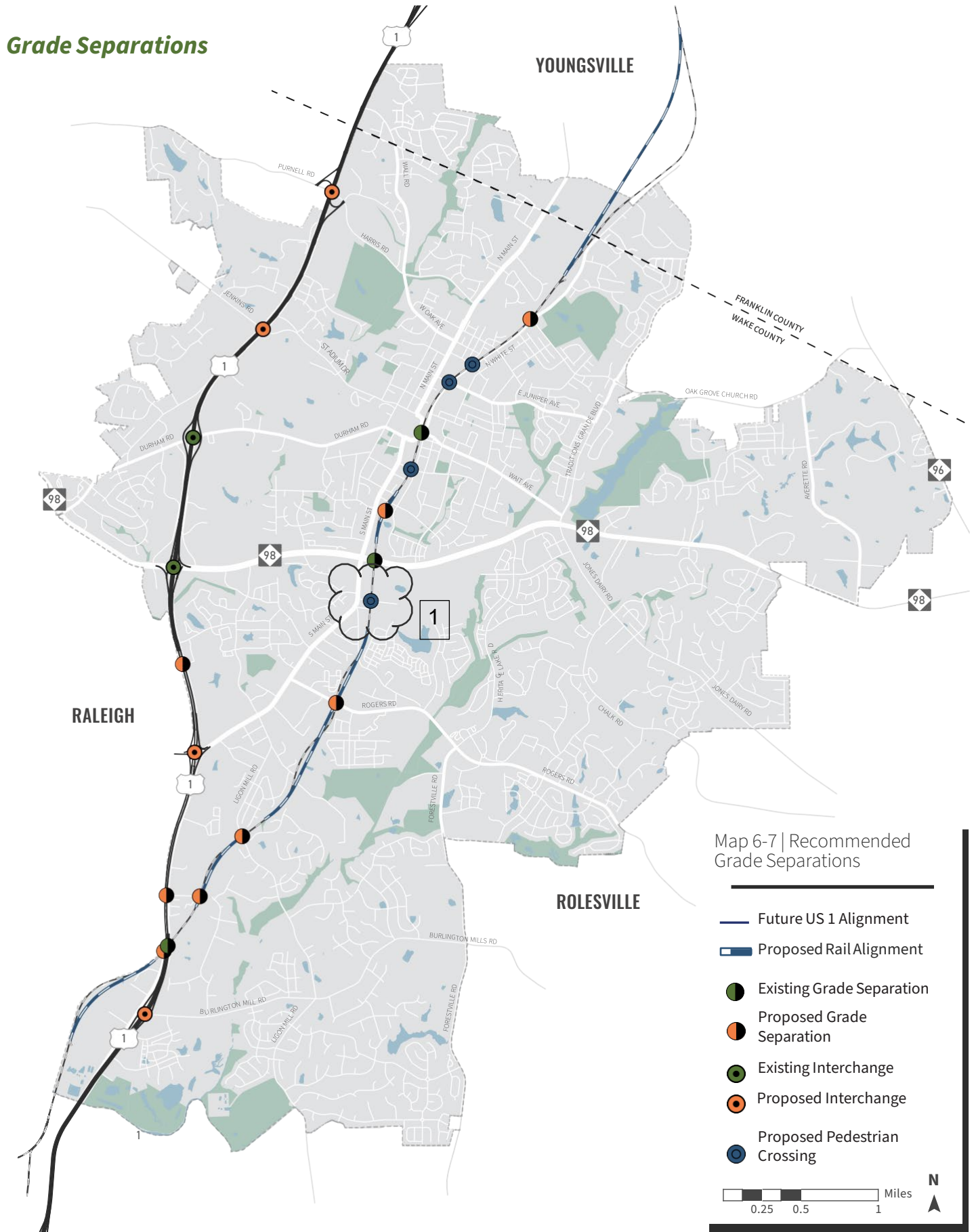


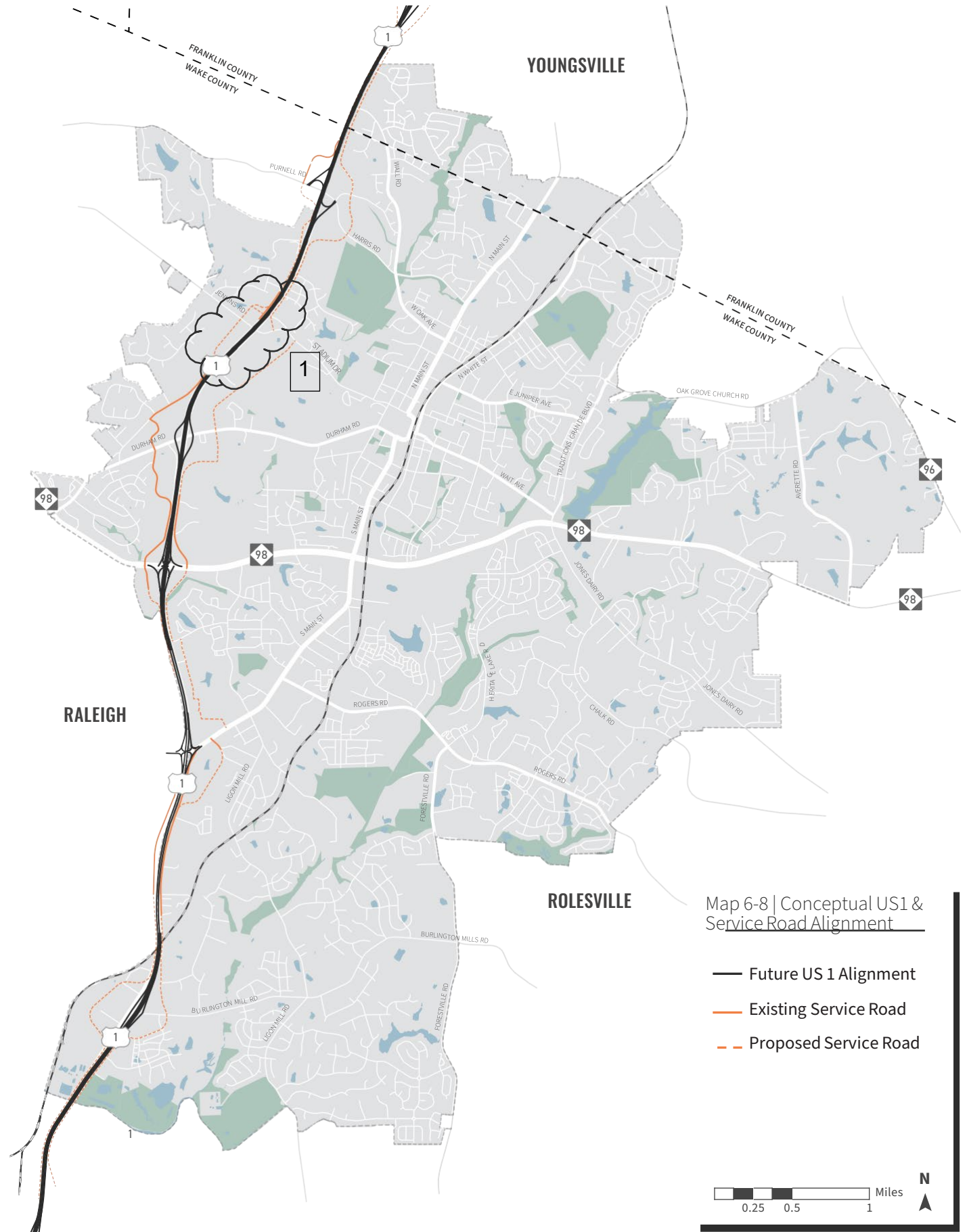


Roadway Recommendations



Grade Separations





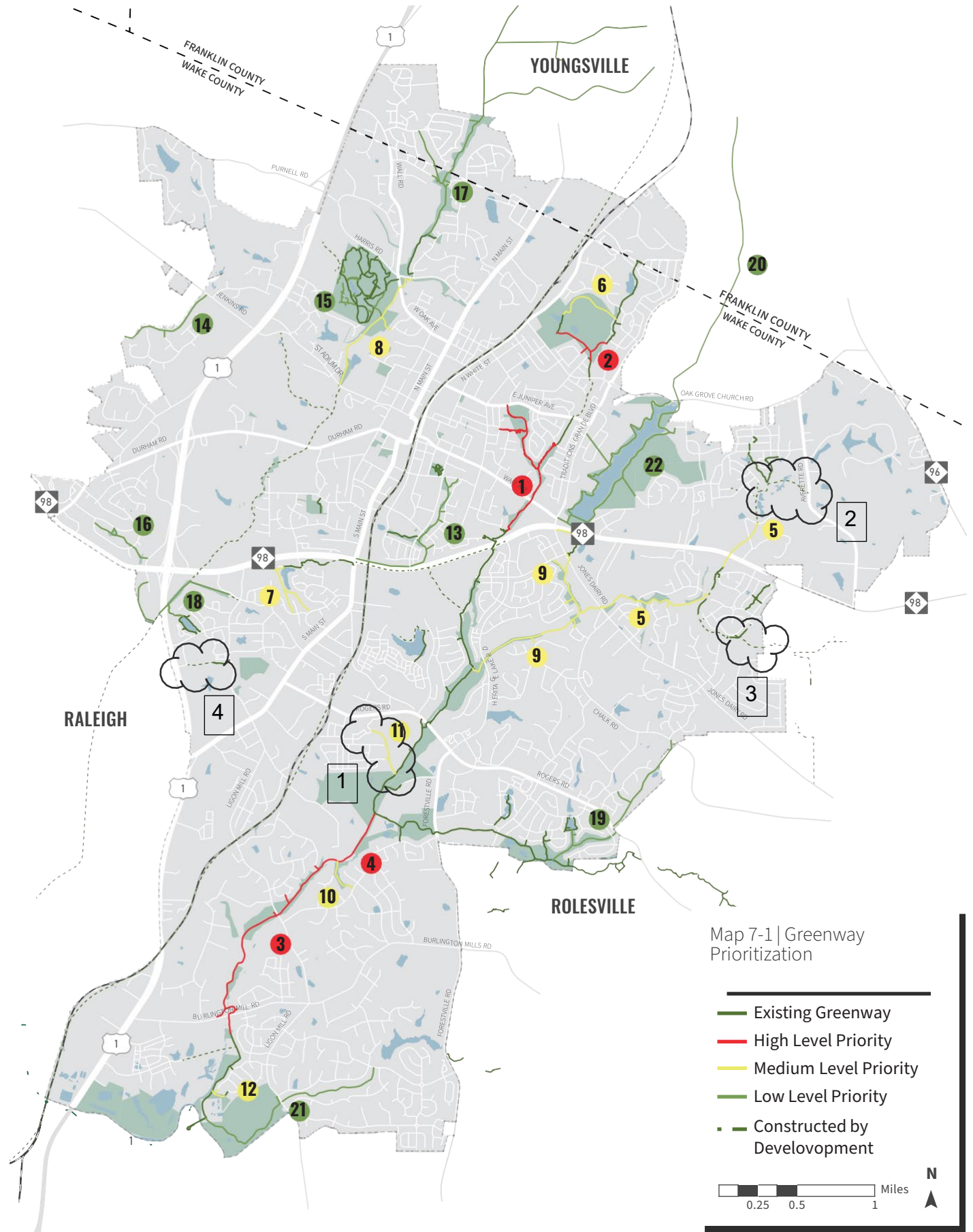


Table 6-1 | Roadway Recommendations

Name	Section	Classification	Start	End
Agora Drive	3A	Collector	US 1	Agora Drive Extension
Agora Drive Extension	3A	Collector - Proposed	Agora Drive	Ligon Mill Road Extension
Averette Road	3A	Minor Thoroughfare	Oak Grove Church Road	Hwy 98
Averette Road Extension	3A	Minor Thoroughfare - Proposed	N White Street	Oak Grove Church Road
Burlington Mills Road	4A	Major Thoroughfare	US 1	US 401
Caveness Farms Avenue	2A	Collector	US 1	Ligon Mill Road
Chalk Road	2A	Minor Thoroughfare	Rogers Road	Averette Road
Clear Springs Drive Extension	2A	Collector - Proposed	Chalk Road	Jones Dairy Road
Debarmore Street	2A	Collector	Thompson Mill Road	Durham Road
Deer Path	US 1 Service Road	Collector	Dolce Drive Extension	Purnell Road
Del Webb Manor Avenue Extension	2A	Collector - Proposed	Gilcrest Farm Road	Oak Church Road
Devon Square Boulevard	US 1 Service Road	Collector - Proposed	Stadium Drive	Holden Drive
Dolce Drive	US 1 Service Road	Collector	Sonata Street	Dolce Drive Extension
Dolce Drive Extension	US 1 Service Road	Collector - Proposed	Deer Path	Dolce Drive
Dolce Drive Extension	US 1 Service Road	Collector - Proposed	Dolce Drive	Holden Road
Durham Road	3A	Major Thoroughfare	US 1	N Wingate Street
Durham Road	4B	Boulevard	Thompson Mill Road	Durham Road
Durham Road	3A	Major Thoroughfare	Hwy 98	US 1
E Holding Avenue	2C	Collector	S White Street	S Franklin Street
E Holding Avenue	2A	Collector	S Main Street	S White Street
E Holding Avenue	2A	Collector - Proposed	W Holding Avenue	E Holding Avenue
E Juniper Avenue	2A	Collector	N White Street	N Allen Street
E Roosevelt Avenue	3A	Collector	Front Street	Wait Avenue
E South Avenue	2A	Collector	S Main Street	E Roosevelt Avenue

Name	Section	Classification	Start	End
Elm Avenue	2B	Collector	S White Street	S Franklin Street
Elm Avenue	2A	Collector	S Main Street	S White Street
Elm Avenue	2A	Collector	S Franklin Street	S Allen Street
Falcate Drive	2A	Collector	Galaxy Drive	Falcate Drive Extension
Falcate Drive Extension	2A	Collector - Proposed	Falcate Drive	Ligon Mill Road Extension
Forest Road	2A	Collector	Wake Drive	Future Road 05
Forestville Road	4A	Minor Thoroughfare	Rogers Road	US 401
Friendship Chapel Road	2A	Collector - Proposed	Friendship Chapel Road	Friendship Chapel Road
Friendship Chapel Road	3A	Collector	Jones Dairy Road	Friendship Chapel Road Extension
Friendship Chapel Road	2A	Collector	S Main Street	Friendship Chapel Extension
Front Street	2A	Collector	N Main Street	E Roosevelt Avenue
Future Road 03	2A	Collector - Proposed	Del Manor Avenue Extension	Hwy 96
Future Road 04	2A	Collector - Proposed	Height Lane	Forest Road
Future Road 05	2A	Collector - Proposed	Star Road	Future Road 05
Future Road 10	2A	Collector - Proposed	Hwy 98	Friendship Chapel Road
Galaxy Drive	US 1 Service Road	Collector	Hwy 98	Galaxy Drive Extension
Galaxy Drive Extension	US 1 Service Road	Collector - Proposed	Galaxy Drive	Ligon Mill Road Extension
Galaxy Drive Extension	US 1 Service Road	Collector - Proposed	Caveness Farm Road	Hwy 98
Gilcrest Farm Road	3A	Minor Thoroughfare	N White Street	Oak Grove Church Road
Gilcrest Farm Road Extension	2A	Minor Thoroughfare - Proposed	Gilcrest Farm Road	street terminus
Grandmark Street	2A	Collector	Rogers Road	Grandmark Street Extension
Grandmark Street Extension	2A	Collector - Proposed	Ligon Mill Road	Grandmark Street

Name	Section	Classification	Start	End
Hampton Way	US 1 Service Road	Collector	Wake Union Church Road	Durham Road
Harris Road	3A	Major Thoroughfare	US 1	N Main Street
Harris Road Extension	3A	Major Thoroughfare - Proposed	N Main Street	N White Street
Height Lane	2A	Collector	Star Road	Unicon Drive Extension
Heritage Lake Road	3A	Minor Thoroughfare	Hwy 98	Rogers Road
Heritage Lake Road	3A	Minor Thoroughfare	Hwy 98	Rogers Road
Hwy 96	4A	Major Thoroughfare	Oak Church Road	Hwy 98
Hwy 98	4A	Major Thoroughfare	Stone Park Drive	Hwy 96
Hwy 98	4B	Boulevard	Durham Road	Stone Park Drive
Hwy 98	4B	Boulevard	Durham Road	Stone Park Drive
Industry Oaks Lane	2A	Collector	Merritt Capital Drive	Unicon Drive
Jack Jones Road	2A	Collector	Averette Road	Hwy 96
Jenkins Road	2A	Minor Thoroughfare	Thompson Mill Road	US 1
Jones Dairy Road	4A	Major Thoroughfare	Hwy 98	Averette Road
Juniper Avenue	2A	Collector	N Allen Street	Traditions Grande Boulevard
Kearney Road	2A	Collector	Thompson Mill Road	Wake Union Church Road
Ligon Mill Road	3A	Major Thoroughfare	S Main Street	US 401
Ligon Mill Road	4A	Major Thoroughfare	S Main Street	Hwy 98
Ligon Mill Road Extension	4A	Major Thoroughfare - Proposed	Hwy 98	Stadium Drive
Lowes Avenue	3A	Collector	Galaxy Drive	Lowes Avenue Extension
Lowes Avenue Extension	3A	Collector - Proposed	Lowes Avenue	Ligon Mill Road Extension
Merritt Capital Drive	2A	Collector	Industry Oaks Lane	Ligon Mill Road
Monterey Bay Drive Extension	2A	Collector - Proposed	Gilcrest Farm Road	Del Manor Avenue Extension
N Allen Road	2C	Local	E Juniper Avenue	E Perry Avenue
N Main Street	4A	Major Thoroughfare	Harris Road	Younsgville Bypass
N Main Street	2D	Major Thoroughfare	North Avenue	W Oak Avenue
N Main Street	2A	Major Thoroughfare	W Oak Avenue	Harris Road

Name	Section	Classification	Start	End
N White Street	3A	Minor Thoroughfare	Royal Mill Avenue	Youngsville Bypass
N White Street	2C/3A	Collector	E Roosevelt Avenue	E Spring Street
N White Street	2A.1	Collector	E Spring Street	Royal Mill Avenue
N Wingate Street	2B	Collector	North Avenue	South Avenue
North Avenue	2C	Collector	N Wingate Street	N Main Street
North Park Drive Extension	US 1 Service Road	Collector - Proposed	North Park Drive	Common Oaks Drive
Northpark Drive	US 1 Service Road	Collector	Hwy 98	Northpark Drive Extension
Oak Grove Church Road	3A	Minor Thoroughfare	Gilcrest Farm Road	Hwy 96
One World Way	2A	Collector	Unicon Drive	Burlington Mills Road
Pompeii Place	2A	Collector - Proposed	Star Road Extension	Ligon Mill Road
Ponderosa Service Road	US 1 Service Road	Collector	Common Oaks Drive	Ponderosa Service Road Extension
Ponderosa Service Road Extension	US 1 Service Road	Collector - Proposed	Ponderosa Service Road	Durant Road
Purnell Road	2A	Major Thoroughfare	Thompson Mill Road	US 1
Retail Drive	3A	Collector	Durham Road	Hwy 98
Richland Hills Avenue	2A	Collector	Wall Road	Marbank Street
Rogers Branch Road	2A	Collector	Forestville Road	Rogers Road
Rogers Road	4A	Major Thoroughfare	Forestville Road	US 401
Rogers Road	5A	Major Thoroughfare	Heritage Branch Road	Forestville Road
Rogers Road	4A	Major Thoroughfare	Forestville Road	US 401
Rogers Road	5A	Major Thoroughfare	S Main Street	Heritage Branch Road
Royal Mill Avenue	3A	Major Thoroughfare	N White Street	Traditions Grande Boulevard
Royall Cotton Road	US 1 Service Road	Collector - Proposed	Caveness Farm Road	S Main Street
S Franklin Street	4A	Minor Thoroughfare	S Franklin Street Extension	Rogers Road
S Franklin Street	2D	Collector	Wait Avenue	Hwy 98
S Franklin Street Extension	4A	Minor Thoroughfare - Proposed	Hwy 98	Rogers Road
S Main Street	3A	Major Thoroughfare	Rogers Road	Hwy 98

Name	Section	Classification	Start	End
S Main Street	5A	Major Thoroughfare	US 1	Rogers Road
S Main Street	3A	Major Thoroughfare	Hwy 98	W Holding Avenue
S Main Street	2A	Major Thoroughfare	W Holding Avenue	South Avenue
S White Street	2B	Collector	E Jones Avenue	E Holding Avenue
S White Street	2C	Collector	Wait Avenue	E Jones Street
S White Street	2A	Collector	Wait Avenue	E Roosevelt Avenue
Shearon Farms Avenue	2A	Collector	Wadford Drive Extension	Shearon Farms Avenue Extension
Shearon Farms Avenue Extension	2A	Collector - Proposed	Shearon Farms Avenue	Burlington Mills Road
South Avenue	2B	Collector	S Wingate Street	S Main Street
Stadium Drive	3A	Major Thoroughfare	US 1	N Wingate Street
Star Road	US 1 Service Road	Collector	S Main Street	Star Road Extension
Star Road Extension	US 1 Service Road	Collector - Proposed	Star Road	Burlington Mills Road
Star Road Extension	US 1 Service Road	Collector - Proposed	Star Road	Wake Drive
Traditions Grande Boulevard	3A	Minor Thoroughfare	Hwy 98	Oak Grove Church Road
Unicon Drive	2A	Collector	Unicon Drive Extension	Industry Oaks Lane
Unicon Drive Extension	2A	Collector - Proposed	Heigh Lane	Unicon Drive
US 1	-	Freeway - Proposed	-	-
W Oak Avenue	2A	Collector	Harris Road	N Main Street
Wadford Drive Extension	US 1 Service Road	Collector - Proposed	Wadford Drive	Burlington Mills Road
Wait Avenue	3A	Collector	E Roosevelt Avenue	S Allen Road
Wait Avenue	3A	Collector	E Roosevelt Avenue	Traditions Grande Boulevard
Wait Avenue	3A	Collector	S Allen Road	Near Dunn Creek Greenway
Wake Drive	US 1 Service Road	Collector	S Main Street	Forest Road

Name	Section	Classification	Start	End
Wake Union Church Road	3A	Minor Thoroughfare	Durham Road	Wake Union Church Road Extension
Wake Union Church Road	US 1 Service Road	Collector	Wake Union Church Road Extension	Wake Union Church Road Extension
Wake Union Church Road Extension	US 1 Service Road	Collector - Proposed	Wake Union Chapel Road	Wake Union Chapel Road
Wake Union Road Extension	US 1 Service Road	Collector - Proposed	Wake Union Chapel Road	Purnell Road
Wall Road	2A	Minor Thoroughfare	Fish Stalling Service Road	Harris Road
Wallridge Drive	2A	Collector	Harris Road	Wall Road
Youngsville Bypass	3A	Major Thoroughfare - Proposed	Holden Road	Hwy 96

Table 6-2 | Roadway Grade Separations Along US 1

Intersection	Status	Type
Burlington Mills Road	Proposed	Interchange
Caveness Shoppes Drive	Proposed	Grade Separation
Durham Road	Existing	Interchange
Harris Road / Purnell Road	Proposed	Interchange
Height Lane / Montys Lane	Proposed	Grade Separation
Hwy 98	Existing	Interchange
S Main Street / Falls of Neuse Road	Proposed	Interchange
Stadium Drive / Jenkins Road	Proposed	Interchange

Table 6-3 | Railroad Grade Separations & Pedestrian Crossings

Intersection	Status	Type of Separation
E Cedar Avenue	Proposed	Pedestrian Crossing
E Holding Avenue	Proposed	Roadway Grade Separation
E Juniper Avenue	Proposed	Pedestrian Crossing
E Roosevelt Avenue	Existing	Roadway Grade Separation
Elm Avenue	Proposed	Pedestrian Crossing
Friendship Chapel Road	Proposed	Pedestrian Crossing
Harris Road Extension / Royal Mill Avenue	Proposed	Roadway Grade Separation
Height Lane	Proposed	Roadway Grade Separation
Hwy 98	Existing	Roadway Grade Separation
Ligon Mill Road	Proposed	Roadway Grade Separation
Rogers Road	Proposed	Roadway Grade Separation
US 1	Existing	Roadway Grade Separation

Table 7-2 | Greenway Prioritization

Prioritization Level - High	
1	Dunn Creek Phase 3
2	Dunn Creek Phase 4
3	Smith Creek Phase 2
4	Smith Creek Phase 3
Prioritization Level - Medium	
5	Austin Creek Greenway
6	Flaherty Park
7	Hwy 98 Greenway
8	Richland Creek Greenway <i>Stadium Drive to Harris Drive</i>
9	Smith Creek Greenway
10	Smith Creek Greenway Connector - Dansforth Subdivision
11	Smith Creek Greenway Connector - Heritage Middle School
12	Smith Creek Greenway Connector - Moss Creek Subdivision
Prioritization Level - Low	
13	Downtown Greenway
14	Horse Creek Greenway
15	Joyner Park
16	Plummer Park Greenway
17	Richland Creek Greenway <i>Olde Mill Stream to Greenway Terminus</i>
18	Richland Creek Greenway <i>South of Hwy 98 to Town Limits</i>
19	Sanford Creek Greenway
20	Smith Creek Greenway <i>North of Oak Grove Church Road to Greenway Terminus</i>
21	Tom's Creek Greenway
22	Wake Forest Reservoir

Roadway Cross-Sections

The following pages display the standardized roadway cross-sections that have been developed for the Wake Forest Comprehensive Transportation Plan. Dimensions provided with the cross-sections are based on element dimensions in the NCDOT Typical Cross Sections.

For guidance for determining roadway requirements, refer to the list of roadways by classifications.

Existing roadways not listed should at a minimum follow the 2A Two Undivided Cross-Section. New roadways not identified in the Future Roadway Network as part of the new development shall be determined by Town staff and the developer. The preferred details for each corridor should maximize the existing and proposed street network and bike and pedestrian networks.

Using the Cross-Sections

Each cross-section has standard and alternate dimensions. This allows Town staff the right to modify cross-sections as needed based on existing conditions or needs to the transportation network.

Right of Way

The proposed minimum right-of-way in the cross-sections in this document is the listed right-of-way if a roadway were to follow the standard dimensions for cross-section elements. The Town reserves the right to increase or decrease the minimum right-of-way required at the time of development from the listed right-of-way based on existing conditions or to accommodate alternate dimensions—the suggested right-of-way does not account for any required bike or pedestrian infrastructure beyond the standard sidewalk, or any alternate cross-section elements.

Travel Lanes

Standard dimensions for travel lanes are preferred by the Town. Narrower dimensions are only allowed if approved by Town staff. Existing wider lanes are allowed to remain.

Bike and Pedestrian Infrastructure

If Future Multi-Use Path Network Map or Future Bike Network Map indicate required improvements, roadways must use the alternate dimensions to meet the requirement. Town Staff reserves the right to require additional bike and pedestrian improvements on roadways not identified on the Future Multi-Use Path Network Map or Future Bicycle Network Map.

Sidewalks are standard for any new roadway and when improving existing roadways. Existing roadways in historically sensitive areas such as the Mill Village Overlay and Wake Forest Historic Districts areas may be evaluated at the time of development to determine if new sidewalks are appropriate.

Curb and Gutter

Curb and gutter is standard for any new roadway and when improving existing roadways. Existing roadways in historically sensitive areas such as the Mill Village and Wake Forest Historic Districts may be evaluated at the time of development to determine if curb and gutter is appropriate.

NCDOT Approval

Roads located along state-maintained roadways are subject to approval of NCDOT. NCDOT may require additional cross-section elements or right-of-way beyond the Town's minimum standards.

Alley
Minimum Easement: 22'



	Standard Dimensions	Alternate Dimensions
Travel Lane	20 feet	12-20 feet
Back of Pavement	1 foot	1 foot

1A - One Lane Undivided with One Sided Parking
Minimum R/W: 49'



	Standard Dimensions	Alternate Dimensions
Travel Lane	12 feet	10-14 feet
Bike Lane	N/A	5-6 feet
Parking	6 feet - parallel parking	16 feet - 45 degree parking
Curb and Gutter	2.5 feet	2.5 feet
Verge	6 feet	0-10 feet
Sidewalk	6 feet	0-10 feet
Back of Sidewalk	1 foot	1 foot

2A - Two Lane Undivided
Minimum R/W: 55'



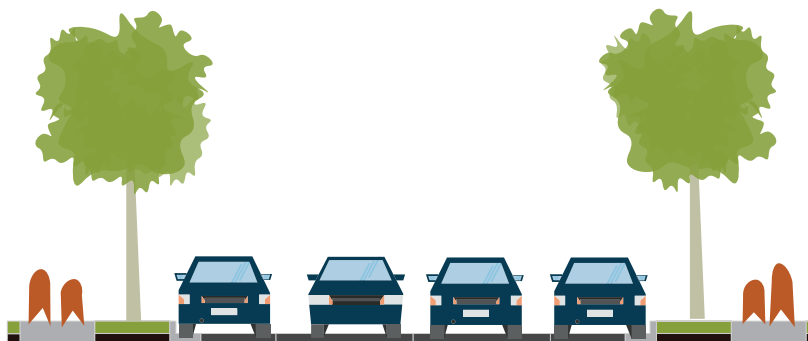
	Standard Dimensions	Alternate Dimensions
Travel Lane	12 feet	10-14 feet
Bike Lane	N/A	5-6 feet
Parking	N/A	N/A
Curb and Gutter	2.5 feet	N/A
Verge	6 feet	0-10 feet
Sidewalk	6 feet	0-10 feet
Back of Sidewalk	1 foot	1 foot

2A.1 - Modified Two Lane Undivided
Minimum R/W: 52'



	Standard Dimensions	Alternate Dimensions
Travel Lane	12 feet	10-14 feet
Bike Lane	N/A	5-6 feet
Parking	N/A	N/A
Curb and Gutter	2.5 feet	N/A
Verge	6 feet	0-10 feet
Sidewalk	10 feet	0-10 feet
Back of Sidewalk	1 foot	1 foot

2B - Two Lane Undivided with Two Sided Parking
Minimum R/W: 67'



	Standard Dimensions	Alternate Dimensions
Travel Lane	12 feet	10-14 feet
Bike Lane	N/A	5-6 feet
Parking	6 feet - parallel parking	16 feet - angled parking
Curb and Gutter	2.5 feet	2.5 feet
Verge	6 feet	0-10 feet
Sidewalk	6 feet	0-10 feet
Back of Sidewalk	1 foot	1 foot

2C - Two Lane Undivided with One Sided Parking
Minimum R/W: 61'



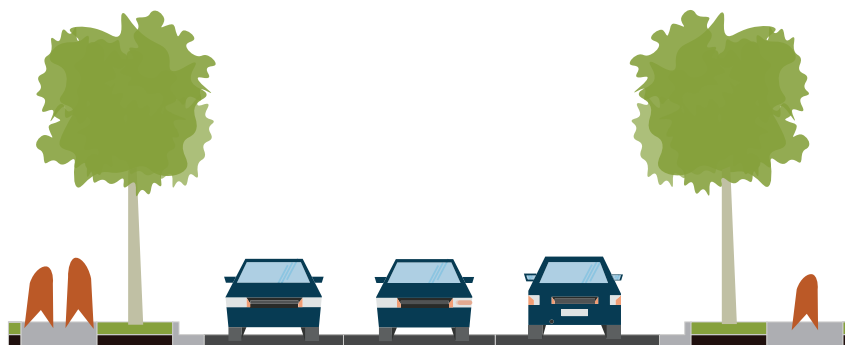
	Standard Dimensions	Alternate Dimensions
Travel Lane	12 feet	10-14 feet
Bike Lane	N/A	5-6 feet
Parking	6 feet - parallel parking	16 feet - angled parking
Curb and Gutter	2.5 feet	2.5 feet
Verge	6 feet	0-10 feet
Sidewalk	6 feet	0-10 feet
Back of Sidewalk	1 foot	1 foot

2D - Two Lane Divided
Minimum R/W: 92'



	Standard Dimensions	Alternate Dimensions
Travel Lane	20 feet	10-14 feet
Planted Median	18 feet + 3 feet median curbing	18-23 feet
Bike Lane	N/A	5-6 feet
Parking	N/A	6 feet - parallel parking
Curb and Gutter	2.5 feet	2.5 feet
Verge	6 feet	0-10 feet
Sidewalk	6 feet	0-10 feet
Back of Sidewalk	1 foot	1 foot

3A - Three Lane Undivided
Minimum R/W: 67'



	Standard Dimensions	Alternate Dimensions
Travel Lane	12 feet	10-14 feet
Center Turning Lane	12 feet	13-14 feet
Bike Lane	N/A	5-6 feet
Parking	N/A	N/A
Curb and Gutter	2.5 feet	2.5 feet
Verge	6 feet	0-10 feet
Sidewalk	6 feet	0-10 feet
Back of Sidewalk	1 foot	1 foot

4A - Four Lane Divided
Minimum R/W: 100'



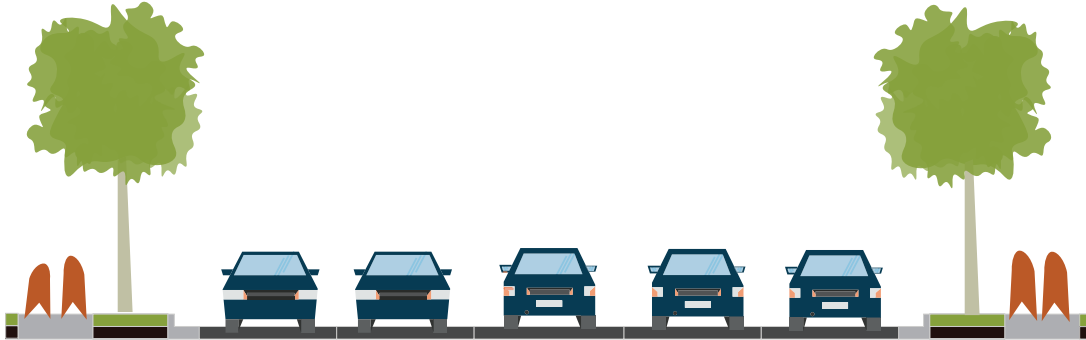
	Standard Dimensions	Alternate Dimensions
Travel Lane	12 feet	10-14 feet
Planted Median	18 feet + 3 feet median curbing	18-23 feet + 3 feet median curbing
Bike Lane	N/A	5-6 feet
Parking	N/A	N/A
Curb and Gutter	2.5 feet	2.5 feet
Verge	6 feet	0-10 feet
Sidewalk	6 feet	0-10 feet
Back of Sidewalk	1 foot	1 foot

4B - Four Lane Divided with Paved Shoulder
Minimum R/W: 77'



	Standard Dimensions	Alternate Dimensions
Travel Lane	12 feet	10-14 feet
Planted Median	18 feet + 3 feet median curbing	18-23 feet + 3 feet median curbing
Bike Lane	N/A	5-6 feet
Parking	N/A	N/A
Paved Shoulder	4 feet	4 feet

5A - Five Lane Undivided
Minimum R/W: 92'



	Standard Dimensions	Alternate Dimensions
Travel Lane	12 feet	10-14 feet
Center Turning Lane	12 feet	13-14 feet
Bike Lane	N/A	5-6 feet
Parking	N/A	N/A
Curb and Gutter	2.5 feet	2.5 feet
Verge	6 feet	0-10 feet
Sidewalk	6 feet	0-10 feet
Back of Sidewalk	1 foot	1 foot



Board of Commissioners Work Session Agenda Item Report

Agenda Item No.: 2021-373-

Submitted by: Jeanette Johnson

Submitting Department: Public Works

Meeting Date: December 7, 2021

SUBJECT

Consideration of Ordinance Update Amending Town of Wake Forest Code of Ordinances Chapter 26 - Solid Waste

Recommendation:

Item Summary:

ATTACHMENTS

- [Chapter 26_Ordinance Update_December 2021 \(003\).docx](#)
- [Chapter 26 Code-summary.docx](#)

ORDINANCE 2021 - 53

ORDINANCE UPDATE AMENDING TOWN OF WAKE FOREST CODE OF ORDINANCES
CHAPTER 26 - SOLID WASTE

WHEREAS, the Board of Commissioners adopted the Code of Ordinances Chapter 26 in 1985 and adopted updates in 2005 and in 2020;

WHEREAS, the current ordinance is outdated and has been updated to better align with current practices and better outline procedure and regulations regarding solid waste in addition to embracing a more sustainable collections program.

WHEREAS, the Board of Commissioners have reviewed the updated Chapter 26 of the Code of Ordinances; and

NOW THEREFORE, BE IT ORDAINED by the Wake Forest Board of Commissioners that the updates to Chapter 26 of the Code of Ordinances are approved and adopted and the changes will be effective March 11, 2022.

Duly adopted this 21st day of December 2021.

Vivian A. Jones

Mayor

ATTEST:

APPROVED AS TO FORM:

Sherry L. Scoggins, MMC

Interim Town Clerk

Town Attorney

Chapter 26 - SOLID WASTE^[1]

Table of Contents

ARTICLE I. – Residential Trash, Recycling and Yard Trimmings.....	2 5
Sec. 26-1. Declaration of Policy.....	2 5
Sec. 26-2. Definitions.....	3 5
Sec. 26-3. - Administration; Enforcement & Penalties.....	6 9
Sec. 26-4. Participation in the Town Residential Collection System.....	7 9
Sec. 26-5. - Service fees.....	8 11
Sec. 26-6. - Limitation of Service	8 11
Sec. 26-7. – Storage, Removal, and Maintenance.....	8 11
Sec. 26-8. – Special Collections.....	11 14
Sec. 26-9. – Recyclable Materials.....	12 15
Sec. 26-10 - Trash collection.....	12 15
Sec. 26-11. – Yard waste collection.....	12 15
ARTICLE II. – Litter and Condition of Private Property.....	13 16
Sec. 26-12. - Refuse container on public places.....	13 16
Sec. 26-13. – Littering.....	13 16
Sec. 26-14. - Dumping on private land.....	13 17
Sec. 26-15. - Unlawful Littering.....	13 17
Sec. 26-16. - Building Debris.....	13 17
Sec. 26-17. - Restricted collections.....	14 17
Sec. 26-18. - Unlawful disposal.....	14 18
Sec. 26-19. - Adequate containers.....	14 18
ARTICLE III. - COLLECTION AND DISPOSAL.....	15 18
Sec. 26-20. - Private collectors.....	16 18
Sec. 26-21. - Refuse & Recycling container condition.....	16 19
Article IV. - COMMERCIAL AND CERTAIN MULTIFAMILY RESIDENTIAL SERVICE.....	20 19

Sec. 26-22. – Availability.....	21 19
Sec. 26-23. Requirements for Trash and Recyclable Materials to be Collected.....	21 19
Sec. 26-24. - Container maintenance.....	22 20
Sec. 26-25. - Shared container.....	22 20
Sec. 26-26. – Restrictions.....	22 20
Sec. 26-27. – Recyclable Collection.....	22 21
Sec. 26-28. - Convenience centers.....	23 21
Sec. 26-29. - Commercial collection.....	23 21

Footnotes:

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Cross reference— Buildings and building regulations, ch. 8; littering in cemeteries, § 12-7; trash as a nuisance, § 14-33; human waste on streets, § 14-34; utilities, ch. 32.

State Law reference— Municipal authority to regulate disposal of garbage, G.S. 160A-192; authority to operate solid waste disposal system, G.S. 160A-311(6); municipal solid waste responsibilities, G.S. 130A-309.09A.

ARTICLE I. – Residential Trash, Recycling and Yard Trimmings

Sec. 26-1. Declaration of Policy

It is the policy of the Wake Forest Board of Commissioners to protect the health, safety, and welfare of the citizens and the environment by establishing minimum standards as codified in Articles I through VI of this Chapter for the storage, collection, transportation, processing, and disposal of Solid Waste and the recovery of Recyclable Materials and other resources from Solid Waste within Wake Forest. The Director of Public Works shall make, and may from time to time alter and amend, such regulations as are expressly required by rule, statute, intergovernmental mandate or the provisions of this chapter, and may make, and from time to time alter, amend or revoke such other regulations for the application, administration, interpretation and enforcement of this Chapter as are necessary or expedient to execute and make effective its provisions; provided, no such regulations shall be in conflict with the provisions of this Code or any other ordinance or statute. The Public Works Department is given authority to prevent items banned from landfills, as set forth in N.C. Gen. Stat 130A-309.10(f) from entering the waste stream through education, press release, public notice, and/or direct enforcement including the assessment of administrative fees and civil penalties.

Sec. 26-2.- Definitions.

The following words, terms and phrases, when used in this chapter, shall have the meanings ascribed to them in this section, except where the context clearly indicates a different meaning:

Ashes mean refuse resulting from the burning of wood, coal and other combustible material used for residential cooking and heating purposes.

Accumulation means the acquisition or gradual gather of solid waste, not confined in a container intended for disposal.

Biodegradable Paper Yard Waste Bag means a bag that is designated for the use of yard waste containment and is biodegradable so it can be composted with such yard waste materials of which it contains.

Brush means any woody waste, including tree branches, small tree stumps, and large shrubs, i.e., too large to fit in a 30-gallon paper yard waste bag, all with a branch or trunk diameter of six inches or less.

Brush Pile means an accumulation of cuttings or dead portions of trees, brush, or bushes placed in a pile or allowed to lie randomly on the ground, not exceeding the amount needed for kindling.

Building debris means refuse from the construction, demolition, remodeling and repair operations on houses, commercial buildings, and other structures, including, but not limited to, excavated earth, stones, brick, plaster, lumber, concrete, trees, shrubs and waste parts generated by installations and replacements.

Bulky waste means large items of solid waste such as household appliances, furniture, and other oversize wastes whose large size precludes or complicates their handling by normal solid waste collection, processing or disposal methods.

Commercial solid waste means solid wastes generated by stores, offices, restaurants, warehouses, and other nonmanufacturing activities, excluding residential and industrial waste.

Collection is the act of removing solid waste or designated recyclable materials and yard trimmings from the collection point to a central collection or storage point.

Collection Assistance Program (CAP) means collection of Trash Carts and Recycling Carts from a specified location not at the Collection Point. This service is for residents who are physically unable to transport their carts to the Collection Point and have no one residing in their household able to transport their carts to the Collection Point. The resident must renew CAP annually. Bulk collections are not eligible for CAP.

Collection Point means the town-designated location where service through the Residential Collection System is provided and means the unpaved area between the street pavement and front property line of each dwelling with fronts on the public street. If none exists, the location shall be as near the edge of pavement as possible so as not to obstruct or impede the travel of pedestrians or vehicles or parking of cars. In those cases where service is provided along alleys, the Collection Point shall be adjacent to the alley, outside of all private fences and place so as not to impede vehicular traffic.

Commercial Establishment means any nonresidential location not otherwise exempt under federal or state law, including, but not limited to: office buildings, shopping centers, places of worship, Nonprofit Organizations, hospitals, public or private schools or universities, government buildings or agencies, public authorities, or a Commercial Tenant of any of these properties. Commercial Establishment also means the nonresidential portion of mixed-use buildings — properties that serve as a Multi-Family Property and Commercial Establishment, such as ground floor retail with upper-story residential or office uses. Home-based businesses (home occupations) are excluded.

Construction and demolition waste means solid waste resulting solely from construction, remodeling, repair or demolition operations on buildings or other structures, but does not include inert debris, land clearing debris, yard debris, used asphalt, asphalt mixed with dirt, sand, gravel, rock, concrete, or similar nonhazardous material.

Contractor means an individual, corporation or partnership performing refuse collection and disposal under contract with the town.

Dead animal means an animal or portion thereof equal to or more than ten pounds in weight that has expired from any cause, except those animals slaughtered or killed for human consumption.

Disposal site means a refuse depository, including, but not limited to, a sanitary landfill, transfer station, waste collection center licensed, permitted or approved to receive refuse for processing or final disposal.

Dumpster means a large capacity container designated for pickup and dumping by front-loading packers.

Garbage means all putrescible solid waste, including animal offal and carcasses, and recognizable industrial byproducts, but excluding sewage and human wastes.

Front Building ~~Line~~ Line means a straight line running between the two (2) corners of a building side facing the street frontage or the two (2) extreme edges of the building profile visible from the street frontage and extending to the property line.

Hazardous Waste means any waste designated by the U.S. Environmental Protection Agency or appropriate state agency as "hazardous" as defined by federal and state laws.

Household Container means a metal or sturdy plastic container of substantial construction which is watertight, equipped with a tightly fitting lid and carrying handles enough for safe and convenient handling. *Town issued yard waste carts may fall under this title.* Such containers shall have a capacity of not less than twenty (20) gallons nor more than forty- eight (48) gallons and shall be properly labeled to identify the contents therein. *These containers should be reusable or capable of being used multiple times.*

Industrial Waste means waste from factories, processing plants and other manufacturing enterprises.

Institutional Solid Waste means solid wastes generated by educational, health care, correctional and other institutional facilities.

Leaf Collection Season means that period specifically designated and published by the Department of Public Works, for the collection of loose leaves.

Multi-Family Property means a building, or portion thereof, designed for occupancy by three (3) or more families living independently, or a townhouse/condominium association, cooperative, etc. (with the exception of any Multi-Family Property currently contracting with a private hauler).

Public Works Director means the director of public works of the town, or their agent or successor.

Recycling means the process by which solid waste or recovered materials are collected, separated or processed, and reused or returned to use in the form of raw materials or products.

Recyclable Material means materials that can be recovered from the waste stream and reprocessed to be reused as a material to make new products, such as cardboard, mixed paper, metal cans, aluminum, glass, plastic, and metal items, that are identified as Recyclable Materials pursuant to the list administered by the Department of Public Works and posted on the Town website. The Public Works Director or their designee will announce 90 days prior to the addition of new materials to the list. The Public Works Director or their designee will announce 90 days prior to the deletion of existing materials from the list.

Recycling Cart means a wheeled container with a watertight lid provided by the *County Town* specifically for the collection of Recyclables Materials at the Collection Point

Refuse means solid wastes, including garbage and ashes, collected from residences, commercial establishments and institutions.

Refuse container means a roll-out cart which is a wheeled solid waste receptacle with a normal capacity of approximately 90 gallons, but no more than 101 gallons. Roll-out carts shall be constructed of nonmetal material and designed to be emptied by hydraulic or actuator lift mechanisms.

Residential Collection System means the Solid Waste collection services provided by the Town or its contractor to the properties as set forth in Chapter 26.

Solid Waste means any hazardous or nonhazardous garbage, refuse, sludge from a waste treatment plant, water supply treatment plant, or air pollution control facility, domestic sewage and sludges generated by their treatment in sanitary sewage collection, treatment and disposal systems, and other material that is either discarded or is being accumulated, stored or treated prior to being discarded, or has served its original intended use and is generally discarded, including solid, liquid, semisolid or contained gaseous material resulting from industrial, institutional, commercial and agricultural operations, and from community activities.

Solid Waste Collector means any person who collects, transports or disposes of solid wastes for compensation, other than one who removes refuse or solid waste from his own premises.

Solid Waste Disposal site means a location at which solid wastes are disposed of by any approved method.

Source-Separate means the act of separating materials from the Waste Stream—such as Recyclables and Yard Trimmings—for reuse or Recycling instead of disposing the materials as Trash in a landfill.

Special Collection means any additional collection of various items including Unbundled Brush, Household Appliances or items too large to fit in the Town-provided cart as part of the Residential Collection System. Special Collections are requested by the property owner or tenant online or by calling the Department of Public Works.

Town issued yard waste cart is a small (48 gallon) collection cart that has been repurposed for the use of yard waste collection and is clearly marked with a 'YW' or 'Yard Waste'. It is exclusively utilized for the intention of yard waste collections. The circumstance of this cart being utilized can only occur when the residency has at least one 96-gallon blue lid recycling cart for the intended use of recycling.

Trash ("Garbage," "Refuse," "Rubbish") means the materials of the Waste Stream that are disposed of at a landfill instead of Source-Separated for reuse and Recycling, including bulky wastes. Construction and Demolition Debris, Household Hazardous Materials, industrial waste, wastewater sludge, infectious waste and other hazardous waste material are excluded.

Trash Cart means a wheeled container with a watertight lid provided by the Town for the collection of Trash at the Collection Point.

Unbundled Brush means trees, tree branches, shrubbery trimmings and similar plant material not exceeding six (6) feet in length and ten(10) inches in diameter.

Yard Trimmings means decomposable waste materials generated by general residential yard and lawn care and includes leaves, grass trimmings, brush, wood chips, and shrub and tree trimmings.

Yard Trimmings shall not include roots or stumps that exceed 12 inches in diameter nor do Yard Trimmings include any materials resulting from land clearing or development activities.

(Code 1985, § 10-1)

Cross reference— Definitions generally, § 1-2.

Sec. 26-3. - Administration; Enforcement & Penalties—

A. Administration.

(1) This chapter shall be administered by the Director of Public Works or their designee.

B. Enforcement.

(1) Criminal penalty. Any person violating this Ordinance shall be guilty of a misdemeanor punishable by a fine of not to exceed \$500.00 or imprisonment for not more than 30 days, or both. Each violation and each day's violation shall be treated as a separate offense.

(2) Civil penalty. Any person who is found in violation of this Ordinance shall be subject to a civil penalty of not to exceed \$500.00. After issuance of an initial warning, shall be subject to a civil penalty. Each violation and each day's violation shall be treated as a separate offense.

(3) Fees for removal of items that are improperly disposed of may be subject of a miscellaneous bill administered by the Town of Wake Forest.

(4) Any person who does not properly dispose of Solid Waste may be assessed the cost of such disposal.

(5) Other remedies. This Ordinance may be enforced by equitable remedies and any unlawful condition existing in violation of this Ordinance may be the subject of an injunction or order of abatement.

Sec. 26-4. Participation in the Town Residential Collection System

A. The owner or occupant of each single-family and duplex dwelling as defined in Chapter 17 of the Unified Development Ordinance is required to participate in the Town's Residential Collection System. The Town shall collect the Trash, Recyclable Materials, and Yard Trimmings from each dwelling participating in the Town Residential Collection System weekly. The owner or occupant of the dwelling shall pay the fees provided for in Sec 26-5 of this chapter. All participants in the Town Residential Collection System are eligible for one (1) Trash, one (1) Recycling, and one (1) Yard Waste Cart as part of the base Residential Collection System fee. Up to one (1) additional Trash Cart, and/or one (1) Recycling Cart, ~~or Yard Waste Carts~~ (for a total of two (2) may be requested at a charge as set forth in the chapter, for a maximum total of five (5) carts.

1. The Public Works Director or their designee is authorized to make exceptions based on safety or health considerations.

2. Home occupations as defined in Chapter 17 of the Wake Forest Unified Development Ordinance that generate the minimum amount of Solid Waste are eligible to receive Trash, Recycling and Yard Trimmings collection through the Residential Collection System. Home occupations are not eligible for special collections such as bulk and large limb collection.

B. If a Town collection truck enters a private street to collect Trash, Recyclable Materials, or Yard Trimming, the street must be constructed according to Town of Wake Forest Public Works Standards and Specifications and must be at least fourteen (14) feet wide excluding the space taken up by parked cars. Residents on private street that do not meet the Town standards shall bring their Trash, Recyclable Materials, and Yard Trimming to the nearest designated Collection Point accessible to Town collection trucks to be eligible to continue to participate in the Town Residential Collection System.

C. The owners or occupant of each townhome dwelling as defined in the Wake Forest Unified Development Ordinance Chapter 17 will be required to participate in the Residential Collection system, provided:

1. Each dwelling is individually metered for water;
2. There is adequate space so that the collection truck can turn around without backing onto or off of a street;
3. Parking is arranged so that Trash, Recyclable Materials, and Yard Trimmings need not be carried between parked cars;
4. If it is necessary for the collection truck to enter a private street, the street is constructed according to Town Standards and Specifications
5. The street is at least fourteen (14) feet wide excluding the space taken up by parked cars;
6. The Public Works Director or their designee is authorized to establish reasonable procedures that allow for exceptions based on safety or health considerations or a determination that the use of Trash and/or Recycling Carts are not feasible or useable or the townhouse of townhouse development.

D. Any townhome/condominium association, cooperative, etc. or other residential dwelling that is not required to participate in or is exempt from participating in the Wake Forest Residential Collection System shall be treated as Multi-Family property and is subject to Article IV of this Chapter.

Sec. 26-5. - Service fees

- A. The Town may charge fees for collection and disposal of refuse as set out in the list of fees and charges, as amended from time to time, by the Board of Commissioners.
- B. The Town finance director shall have responsibility for billing and collecting the fees due to the town under the provisions of this Chapter and shall have full authority to pursue all available civil remedies against those who fail to make payments required by this Chapter.
- C. Fees for services may be billed each month as a part of the regular utility billing process.
- D. Any property owner, ~~whom~~ who is assessed a fee, may file a notice of exception with the Tax administrator. The notice of exception should include documentation supporting the property owner's reason for the notice of exception.
- E. Residents requiring replacement of a Town-provided cart due to damage caused by the resident or their agent shall be charged a fee of sixty dollars (\$60.00) for the replacement cart.
- F. Effective July 1, 2021, there is a limit on bulk collections imposed at two collections each ~~fiscal~~ ~~calendar~~ year. Each additional request shall result in a fee of (\$50.00) for the disposal of each bulk collection.

(Code 1985, § 10-5)

Sec. 26-6. - Limitation of Service

All refuse not prepared and handled in accordance with the provisions of this chapter shall not be collected by the town or its agents.

(Code 1985, § 10-11)

Sec. 26-7. – Storage, Removal, and Maintenance

Every owner and occupant or other person in control of any building or land in the town, including vacant property, shall keep such building or land in a clean and orderly condition, and shall dispose of Refuse in accordance with the provisions of this chapter.

- A. Storage Generally. No owner, occupant, tenant or lessee of any property may deposit, store or permit to accumulate any Solid Wastes upon his property outside of the dwelling unit, that is not stored or disposed of in a manner that exemplifies good sanitation practices.
- B. Responsibilities of owners and occupants of dwellings required to participate in the Town Residential Collection System (Sec 26-4).
 - a. It shall be the responsibility of the owner, occupant, tenant or lessee of each dwelling required to participate in the Town Residential Collection System to adhere to the following practices:

- i. Remove all Solid Wastes from his property before harborage of such waste creates a health hazard. Store materials in a manner that will resist harborage to rodents and vermin and will not create a fire hazard. Regulated refuse under this subsection includes but is not limited to lumber, boxes, barrels, bottles, cans, tires, paper, cardboard, rags, old furniture and other bulky waste, and white goods.
- ii. Trash shall be placed at the Collection Point in Town-provided Trash Carts.
- iii. Oversized bulky Trash items that are too large to be bagged or placed in a cart such as furniture, mattresses, or box springs may be placed at the Collection Point as long as the item is scheduled for Collection in advance as set forth in Sec. 26.8.
- iv. Recyclable Materials shall be placed loose in Town-provided recycling carts, must be separated from Trash and Yard Trimmings and placed at the Collection Point.
- v. Large brush and bulky materials collection shall be placed at the Collection Point only when arrangements for collection have been made with the Department of Public Works.

b. The Collection Point must be placed at ground level, within two feet of the curbside and at least three feet away from each other obstacles such as mailboxes, telephone poles, automobiles, bulky waste, trees, etc., or in a location specified by Public Works.

i. Collection Assistance Program- Exemptions to curbside requirements

1. Upon completion of an application for Collection Assistance Program by a resident, including a Physician's Statement and address for the dwelling at which they reside, the following person shall receive assistance for pickup of garbage and recycling only:

- a. Residents who have a permanent disability and there is no able-bodied person residing with them who can move the containers to the curb; and
- b. Residents who have a temporary disability and there is no able-bodied person residing with them who can move the containers to the curb.

Both the trash and recyclable materials must be serviced from the house ~~in order~~ for the resident to qualify for Collection Assistance Program. Residents who do not have a completed application on file are not eligible. Preparation must be in accordance of this chapter. Collection will not occur on porches, behind fences or gates, in garages, up steps, on decks, or maneuver over terrain that creates topographical problems that make collection unsafe. Keep animals secure or in the dwelling on the day of scheduled collection when Collection Assistance

Program (non-curbside) is provided. The Public Works Director or their designee shall confirm the eligibility of residents requesting service prior to providing service. Residents may be subject to an audit ~~in order~~ to verify eligibility. Service may be revoked if it is determined by the Public Works Director that the resident no longer qualifies. Yard Waste Collection is not included in the program. Enrollment will renew annually pending a successful audit.

c. All Trash, Recyclable Materials, and Yard Trimmings shall be place at the Collection Point no sooner than 5:00 p.m. the day prior to, nor later than ~~6:00 a.m.~~ 7:00 a.m. of the day of scheduled collection. Any Trash, Recyclable Materials, or Yard Trimmings left uncollected due to late placement at the Collection Point, improper preparation or prohibited materials shall be removed from the Collection Point not later than twenty-four hours after the scheduled collection.

d. Town-provided carts are property of the Town. All carts and Household Containers shall be removed from the Collection Point and returned to their normal storage location within twenty-four (24) hours after the day of scheduled collection. Normal location shall mean a regular place of keeping not in front of the dwelling and/or behind the Front Building Line that faces any Town street, unless there is fencing or landscaping that screens or shields the containers from general view from the street.

e. Maintain carts and Household Containers in a serviceable and sanitary condition. If the Town determines a Household Container to be unserviceable (including, but not limited to, cracked, rusted, dented/damaged), the Town shall inform the owner or occupant by placing a notification tag on the Household Container. If the same Household Container is used in the future, it shall be collected for disposal with the regular Trash or Recyclable Materials. If a Town-provided cart is determined by the Town or owner or occupant to be unserviceable (included, but not limit to, not watertight, no lid, presence of a hole or crack in the body of lid larger than one (1) inch), the Town may repair or replace the cart.

f. Place loose leaves out for collection during the designated Leaf Collection Season in accordance with the Town's published vacuum collection schedule.

g. At occupant's expense, privately dispose of:

i. Building material such as brick, masonry block, rock, dirt, large quantities of drywall, or sand.

ii. Building materials not prepared in accordance with this Code and any building materials resulting from work performed by a person in the course of business

iii. Trees, tree branches, shrubbery or other plant material that exceed six (6) feet in length or ten (10) inches in diameter or that are the result of the clearing of multiple trees from a property

C. Failure to adhere to the storage, removal, and maintenance provisions:

a. The Town may, if the storage, removal and maintenance provisions of Sec. 26-7 are not adhered to, have such storage, removal, and maintenance provision violations corrected by the Town's agents or employees and the cost thereof shall be charged to and paid by the owner or occupant of such property in the same manner as the Solid Waste Fee charge is imposed.

b. In the event that Trash, Recyclable Materials, or Yard Trimmings placed at the Collection Point are not eligible for collection or are improperly prepared for collection and are not removed from the Collection Point in the manner and timeframe specified above, then the Town may cause such to be removed, and a removal fee of three hundred dollars (\$300.00) plus the cost of any applicable disposal charges shall be assessed and added to the next Solid Waste User Fee charge for the property. The Town will not undertake any such removal action until the Town had posted a notice of violation at the Collection Point or dwelling describing the violation(s) and corrective action(s) required, which shall include a period of forty-eight (48) hours to remedy the violation(s). The forty-eight (48) hour period may be waived by the Public Works Director or their designee for reasons of public health or safety or the environment.

D. (Code 1985, § 10-31; Ord. No. 2005-52, 10-18-2005)

Sec. 26-8. – Special Collections

~~E.~~ A. Bulk Collections

a. Collection service for Bulky Waste must be scheduled with the Town before collection can occur. Any person requesting collection service for Bulky Waste must obtain a date for collection from the Town.

b. Bulky Waste shall be placed at the curbside no earlier than the day before the collection day.

c. Bulky Waste must be placed at ground level, within six feet of the curbside and at least three feet away from each other or other obstacles such as mailboxes, telephone poles, automobiles, trees, etc., or in a location specified by the department head. A person should use reasonable care and caution when placing bulky waste and junk along the curbside and should avoid interfering with the access to or denying the use of a sidewalk by others.

d. No collection service for Bulky Waste will be provided for: Apartment complexes, businesses, or any other property that utilizes a dumpster, compactor or similar device for garbage collection purposes. In addition, it is not available for rocks, dirt, building materials, loose leaves, tree stumps, car parts, tires, chemicals or paints.

e. Fees for Service: Two free collections ~~each~~ per calendar year will occur for each account holder by address. Additional collections in a year will result in a \$50 charge.

f. Bulk waste collection does not apply for yard waste, move outs, or collections for evictions or large clean outs.

B. Large Brush Collection

a. Collection service for Large Brush must be scheduled with the Town before collection can occur. Any person requesting collection service for large brush must obtain a date for collection from the Town.

b. Brush shall be placed at the curbside no earlier than the day before the collection day.

c. Brush must be placed at ground level, within six feet of the curbside and at least three feet away from each other or other obstacles such as mailboxes, telephone poles, automobiles, trees, etc., or in a location specified by the department head. A person should use reasonable care and caution when placing brush along the curbside and should avoid interfering with the access to or denying the use of a sidewalk by others.

d. Tree limbs and brush too large for placement into plastic bags or containers shall not be more than ten (10) feet in length nor larger than six (6) inches in diameter. Tree limbs or tree trunks in excess of four inches in diameter shall be cut into sections not to exceed 75 pounds in weight.

Sec. 26-9. – Recyclable Materials

All Recyclable Material should be separated from other solid waste and made available for recycling. Recyclable Material should not be mixed with or disposed of with other solid waste. Recyclable Material should consist of items listed in Section 26.2 of this Chapter

Sec. 26-10 - Trash collection.

Preparation. Small items shall be bagged, bundled and placed in standard refuse containers.

(Code 1985, § 10-13)

Sec. 26-11. – Yard waste collection.

Back yard composting is considered a preferred means of waste reduction in the residential community. Residents are urged to separate compostable materials from their waste streams for composting.

A. *Quantity.* Subject to the availability of equipment and to the provisions of this section, the maximum quantity of yard waste which will be collected per week shall be a combination of biodegradable paper yard waste bags and no more than ten (10) household containers, not to exceed twenty thirty (20) (30) total. Brush items Items not contained in biodegradable paper

yard waste bags or household containers shall be scheduled in advance as outlined in Sec. 26-98.

B. Preparation.

(1) ~~Yard waste shall be placed in clear plastic bags~~ Yard waste shall be placed in biodegradable paper yard waste bags, town issued yard waste carts that are clearly marked with a 'YW' or 'Yard Waste', or reusable Household Containers.

(2) Leaf Collection will occur on a schedule set forth by the Public Works Director. Residents may place leaves, not ~~in containers contained~~, in piles at the back of the curb for collection. Leaves must be free of other yard waste, refuse and debris.

C. Special provisions.

(1) Yard waste shall be kept separate from and shall not be mixed with other refuse.

(2) No stumps or logs shall be collected or disposed of by the town.

(3) Burning of yard waste is regulated by Chapter 16 of this Code.

(Code 1985, § 10-14; Ord. No. 2005-52, 10-18-2005; Ord. No. 2015-34, 12-15-2015)

ARTICLE II. – Litter and Condition of Private Property

Sec. 26-12. - Refuse container on public places.

No refuse container shall be placed or left upon any sidewalk, street or public place in the Town by the owner, manager, agent or lessee of the property, except where specifically permitted by this Chapter.

(Code 1985, § 10-44)

Cross reference— Streets and sidewalks, ch. 28.

Sec. 26-13. - Littering.

It shall be unlawful for any person to throw, drop or deposit or cause to be thrown, dropped or deposited any waste on any street, public right-of-way, public place, catch basin, manhole or other public structure. This section also applies to depositing waste from a vehicle.

Sec. 26-14. - Dumping on private land.

It shall be unlawful for any person to throw, drop or deposit or cause to be thrown, dropped or deposited any waste on any vacant or occupied land in the town. This section does not apply to properly permitted landfills or permitted filling and grading operations.

Sec. 26-15. - Unlawful Littering.

(a) No vehicle shall be driven or moved on any street or road within the town's jurisdiction unless the vehicle is constructed and/or loaded to prevent any of its load from falling, blowing, dropping, sifting, leaking or otherwise escaping therefrom.

~~(e)~~ (b) Violation of this section shall be subject to punishment under Sec. 26-3 of this Code. The operator of any vehicle found to have an unsecured load pursuant to subsection (a), above, shall be presumed to have committed the offense.

(Ord. No. 2007-23, 4-17-2007)

(Code 1985, § 10-47)

Sec. 26-16. - Building Debris.

Building debris shall be collected, removed and disposed of by the builder or, in the event of failure by the builder to dispose of such building debris, the owner of the property shall dispose of such building debris in accordance with applicable provisions of this Code.

(Code 1985, § 10-48)

Cross reference— Buildings and building regulations, ch. 8.

Sec. 26-17. - Restricted collections.

In addition to any other provisions of this chapter restricting waste to be collected, transported or disposed of by the town, the town shall not collect, transport or dispose of the following:

- (1) Industrial wastes.
- (2) Hazardous wastes.
- (3) Vehicle tires.

(Code 1985, § 10-49)

Sec. 26-18. - Unlawful disposal.

It shall be unlawful for any person to deposit any and all refuse originating, transported or collected from locations outside of the corporate limits of the town in or near waste containers for the purpose of disposal, except when approved by the public works director.

(Code 1985, § 10-50)

(Code 1985, § 10-15; Ord. No. 2016-14, 7-19-2016)

Sec. 26-19. - Adequate containers.

Every person producing or having refuse shall provide and keep on the premises or property occupied or used by them sufficient refuse containers or dumpsters to handle all accumulation of refuse in the interval between collections on such premises or property.

(Code 1985, § 10-43)

(Code 1985, § 10-45)

(Code 1985, § 10-46)

(Code 1985, § 10-12; Ord. No. 2005-52, 10-18-2005)

(Code 1985, § 10-2)

Cross reference— Administration, ch. 2.

(Code 1985, § 10-3)

ARTICLE III. - COLLECTION AND DISPOSAL

(Code 1985, § 10-41)

Sec. 26-20. - Private collectors.

No individual, firm or organization shall engage in the business of collecting, transporting or disposing of any waste within the town limits without first obtaining a privilege license to do so from the town. Licenses may be granted if the Public Works Director finds that the applicant for the license has the adequate equipment, plans and resources to ensure the sanitary collection and disposal of the waste.

(Code 1985, § 10-4)

(Code 1985, § 10-6)

Secs. 26-7—26-35. - Reserved.

Sec. 26-21. - Refuse & Recycling container condition.

Any refuse container that does not conform to the provisions of this chapter, or that has ragged or sharp edges or any other defect liable to hamper or injure the person collecting the contents thereof, shall not be used for holding refuse intended for collection, but must be promptly replaced with a proper container.

(Code 1985, § 10-42)

Article IV. - COMMERCIAL AND CERTAIN MULTIFAMILY RESIDENTIAL SERVICE

Sec. 26-22. - Availability.

All multifamily residential (greater than four units total), office, institutional, educational, commercial and industrial uses shall have common collection facilities and collection must be contracted with a private hauler. The following are exceptions to this requirement:

a. Municipal Service Area

- i. Businesses in the Municipal Service Area may use Town-provided dumpsters for trash and recyclable materials in designated areas.
- ii. A sealed trash compactor may not be used to dispose of hazardous waste, fats, oils and grease from nonresidential establishments, bulk items, brush, lawn rakings, non-collectable items, or other refuse
- iii. Collection Schedule, frequency and locations will be determined by the Public Works Director in coordination with Downtown Development.
- iv. Items left outside of designated dumpsters will be subject to penalties as outlined in Sec. 26-4.
- v. Town-provided dumpsters located on private property will be subject to maintenance and service agreements.

(Code 1985, § 10-21)

Sec. 26-23. Requirements for Trash and Recyclable Materials to be Collected

A. All Commercial Establishments and Multi-Family Properties shall provide for the private collection, and disposal of all Trash and Recycling at least weekly, unless given written exemption by the Director of Public Works or their designee, and adhere to the following requirements:

- a. Provide enough Trash Containers for the storage of Trash. Trash Containers shall be appropriately sized and clearly distinguished from Recycling Containers used for Source-

Separated materials through the use of labels or other markings. Trash Containers located on the exterior of a property shall be covered or otherwise secured to prevent the contents from blowing, leaking, or spilling. All Trash Containers shall be emptied frequently enough to prevent their contents from overflowing.

b. Maintain all Trash Containers in a sanitary and serviceable condition, meaning containers must be leak proof and have properly functioning doors and lids.

c. Place exterior containers in enclosure as outlined in Chapter 8 of the Unified Development Ordinance.

Sec. 26-24. - Container maintenance.

Each user required to provide dumpsters shall:

- (1) Keep the dumpsters maintained in a good operating condition;
- (2) Keep the exterior of the dumpsters painted and free from rust and graffiti;
- (3) Ensure that the area around the dumpster is kept free from refuse and litter; and
- (4) Provide adequate access to the dumpster for collection equipment.

(Code 1985, § 10-22)

Sec. 26-25. - Shared container.

With the approval of the Public Works Director, dumpsters may be shared when users are in close proximity to each other, the volume of refuse generated allows sharing or availability of space for placement of a dumpster is restricted.

(Code 1985, § 10-23)

Sec. 26-26. - Restrictions.

No person shall engage in business as a solid waste collector except under a license issued by the county pursuant to this section.

Dumpsters shall be used only for the collection and disposal of refuse defined as Garbage or Trash. It shall be unlawful for anyone to place restricted materials in a dumpster. The following materials shall not be placed in a dumpster:

- (1) All refuse originating, transported or collected from locations outside of the corporate limits of the town.
- (2) Yard waste.
- (3) Dead animals.

(4) Bulky items.

(5) All waste not collected by the town, including, but not limited to, hazardous waste, industrial waste and building debris.

(Code 1985, § 10-24)

Secs. 26-95—26-125. - Reserved.

Sec. 26-27. – Recyclable Collection.

(a) *Frequency of service.* Subject to the limitations of this section as to the quantities of recyclable materials handled and the types of service, and subject to the availability of resources, recyclables material shall be collected weekly.

(b) *Preparation.* Recyclable materials shall be placed in a recyclable container free of food and liquid contamination. Nonrecyclable materials placed in the container shall not be collected.

Sec. 26-28. - Convenience centers.

The town may provide convenience centers for mass collection of recyclable materials. Types of materials collected shall be determined by the public works director based on market demand and statutory requirements. The Public Works Director shall determine location of centers. It will be unlawful to place contaminated or nonrecyclable materials into the containers. Materials should be free of food and liquid contamination prior to placement in the containers.

(Code 1985, § 10-32)

Sec. 26-29. - Commercial collection.

All office, institutional, educational, commercial and industrial uses shall have recyclable collection as mandated by state or local requirements. The town may provide such service when the Public Works Director determines that it is the most efficient and effective means for such collection, and shall determine the method of service.

(1) *Container.* Each user required to provide containers shall:

- a. Keep the container maintained in a good operating condition;
- b. Keep the exterior of the container painted and free from rust and graffiti;
- c. Ensure that the area around the container is kept free from refuse and litter; and
- d. Provide adequate access to the container for collection equipment.

(2) *Shared container.* With the approval of the Public Works Director, containers may be shared when users are in close proximity to each other, the volume of recyclables generated allows sharing or availability of space for placement of containers is restricted.

(3) *Restrictions.* Containers shall be designated for the collection and disposal of recyclable materials only. It shall be unlawful for anyone to place any other refuse or material in such containers.

(Code 1985, § 10-33)

Agenda Item: Consideration of Ordinance Update Amending Town of Wake Forest Code of Ordinances Chapter 26 - Solid Waste

Summary: Staff requests board approval of Solid Waste Code updates

Staff presents an overview of proposed solid waste code changes. Staff requests board approval of the changes as outlined in the Chapter 26 attachment. A summary of the changes includes grammatical corrections and modifying yard waste collection to occur only in paper bags.

Attachments: Chapter26_Ordinance Update_December2021