



**RESOLUTION TITLE: ADOPTION OF NC DEPARTMENT OF CULTURAL RESOURCES RECORDS RETENTION SCHEDULES**

WHEREAS, the NC Department of Cultural Resources, Division of Historical Resources Archives and Records requires official approval of the Records Retention and Disposition Schedule Amendments in order to maintain public records as required by law; and,

WHEREAS, the schedules require approval as outlined in G.S. 121-5(b) and submitted for approval by the NC Department of Cultural Resources, Division of Historical Resources Archives and Records; and,

WHEREAS, the Government Records Section of the State Archives of North Carolina has transitioned the process for updating local records retention schedules to a new model; and,

WHEREAS, since many of the records created on a daily basis are common to all government agencies, the new model will update all of these GENERAL records on an annual basis. The new General Records Schedule for Local Government Agencies was released on March 1, 2019 and will be updated each year thereafter in January; and,

WHEREAS, Program Record Retention Schedules (which includes those records unique to an agency's mission) will be updated on a rotated schedule. The BOC will adopt and sign these schedules as they are released. In 2019, Retention Schedules for Local Health Departments and Soil and Water Conservation Districts were updated; and,

WHEREAS, the Board of Commissioners will adopt the updated General Records Schedule and any updated Program Schedules on an annual basis each January. In 2019, each local government agency will be required to adopt and sign the **2019 General Records Schedule**. Soil and Water Conservation Districts and Local Health Departments will also be required to adopt and sign the 2019 updated Retention Schedules for their respective agency and submit to the Clerk to the Board.

NOW, THEREFORE, BE IT RESOLVED that the Gaston County Board of Commissioners hereby adopts the 2019 General Records Schedule for Local Government Agencies; 2019 Local Health Departments Records Retention and Disposition Schedule; 2019 Soil and Water Conservation District Records Retention and Disposition Schedule; County Management Standard 6 – Program Records: Emergency Services Records; County Sheriff's Office Retention Schedule; County Sheriff's Office - Standard 8 - Program Operational Records, authorizing the County Commission Chairman to execute said schedules (hereby incorporated by reference) and directs the Clerk to the Board to so notify the NC Department of Cultural Resources, Division of Historical Resources Archives and Records in Raleigh of this action.

DO NOT TYPE BELOW THIS LINE

I, Donna S. Buff, Clerk to the County Commission, do hereby certify that the above is a true and correct copy of action taken by the Board of Commissioners as follows:

NO.	DATE	M1	M2	CBrown	JBrown	AFraey	BHovis	TKelgher	TPhilbeck	RWorley	Vote
2019-063	03/26/2019	RW	TK	A	A	AB	A	A	A	A	U

**DISTRIBUTION:**

Laserfiche Users

## 2019 Local Government Agencies General Records Retention and Disposition Schedule

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

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

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

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

### APPROVAL RECOMMENDED

\_\_\_\_\_  
Municipal/County Clerk or Manager

Title: County Manager

Sarah E. Koonts

Sarah E. Koonts, Director  
Division of Archives and Records

### APPROVED

[Signature]  
Head of Governing Body

Title: Chairman, Bd. County Commissioners

Susi H. Hamilton

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

Municipality/County: Gaston

Attest:

[Signature]  
Clerk to the Board

## **Local Health Departments Records Retention and Disposition Schedule**

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

This local government agency 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."* The local government agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that the Department of 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."*

The local government agency 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. The agency agrees to comply with all policies, standards, and best practices published by the Department of Natural and Cultural Resources regarding the creation and management of electronic records.

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

**APPROVAL RECOMMENDED**

Beth Lovette  
Beth Lovette, Division Director (Acting)  
DHHS, Division of Public Health

Sarah E. Koonts  
Sarah E. Koonts, Director  
Division of Archives and Records

**APPROVED**

MKC  
Mandy K. Cohen, MD, MPH, Secretary  
Department of Health and Human Services

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

**ACKNOWLEDGED (AGREED TO COMPLY)**

\_\_\_\_\_  
Local Health Director

[Signature]  
Chair, Local Board of Health or Board of  
County Commissioners

Gaston  
County

March 1, 2019

Attest:

[Signature]  
Clerk to the Board

## **Soil and Water Conservation District Records Retention and Disposition Schedule**

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

This local government agency 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."* The local government agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that the Department of 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."*

The local government agency 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. The agency agrees to comply with all policies, standards, and best practices published by the Department of Natural and Cultural Resources regarding the creation and management of electronic records.

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

**APPROVAL RECOMMENDED**

\_\_\_\_\_  
Department Head  
Soil and Water Conservation District

Sarah E. Koonts  
Sarah E. Koonts, Director  
Division of Archives and Records

**APPROVED**

\_\_\_\_\_  
Chair of the Board  
Soil and Water Conservation District  
Board of Supervisors

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

\_\_\_\_\_  
District

March 1, 2019

[Signature]  
Chairman  
Board of County Commissioners

Attest: [Signature]  
Clerk to the Board

## County Management Records Retention Schedule Amendment

Amending the County Management Records Retention and Disposition Schedule published April 15, 2013.

### STANDARD 6. EMERGENCY SERVICES RECORDS

Amending Item 1, 911 Recordings as shown on substitute page 43 and Item 13, Emergency Notifications as shown on substitute pages 45 and 45a.

### APPROVAL RECOMMENDED

\_\_\_\_\_  
Chief Administrative Officer/  
County Manager

Sarah E. Koontz  
Sarah E. Koontz, Director  
Division of Archives and Records

### APPROVED

[Signature]  
Chairman  
Board of County Commissioners

Susan W. Kluttz  
Susan W. Kluttz, Secretary  
Department of Natural and Cultural  
Resources

County: Gaston

October 1, 2016

Attest:

[Signature]  
Clerk to the Board

**STANDARD-6. EMERGENCY SERVICES RECORDS**

Official records explaining the authority, operating philosophy, purposed methods, and primary functions of emergency services programs.

ITEM #	STANDARD-6: EMERGENCY SERVICES RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>911 RECORDINGS</b> Tapes, digital recordings, and text messages generated by 911 calls.	Destroy in office after 30 days, if not made part of a case file.*	G.S. §132-1.4(i)  Comply with applicable provisions of G.S. §132-1.5 regarding the confidentiality of automatic identification information contained in 911 database.
2.	<b>911 COMMUNICATION RECORDS</b> Transcripts of 911 calls received and computer-aided dispatch (CAD) reports. Reports may list time and date of call, contents of call, location of call, name of unit dispatched, and other related information.	Destroy in office after 3 years, if not made part of a case file.*	Comply with applicable provisions of G.S. §132-1.4(c)(4) regarding the confidentiality of the identity of complaining witnesses.
3.	<b>911 FILE</b> Information regarding the implementation, training, and operations of the 911 system.	Destroy in office after 5 years.	
4.	<b>ACTIVITY REPORTS</b> Reports on an individual, shift, project, and other basis submitted on a daily, weekly, or other basis.	Destroy in office after 3 years.	

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

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



ITEM #	STANDARD-6: EMERGENCY SERVICES RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
11.	<b>DISASTER AND EMERGENCY MANAGEMENT PLANS</b> Records concerning preparedness, evacuations, and operations in the event of a disaster (natural, accidental, or malicious). Includes, but is not limited to, official copy of comprehensive plan and all background surveys, studies, reports, and draft versions of plans.	Retain plans until superseded; destroy in office background surveys, studies, reports, and drafts 3 years after adoption of plan or when superseded or obsolete, whichever comes first.	Comply with applicable provisions of G.S. §132-1.7 regarding the confidentiality of security records.
12.	<b>DISPATCH RECORDINGS</b> Recordings made of activities during an emergency services dispatch.	Destroy in office after 30 days, if not made part of a case file.*	
13.	<b>EMERGENCY NOTIFICATIONS</b> Records of emergency notifications. Includes automatic identification information, such as the name, address, and telephone numbers of telephone subscribers, or the e-mail addresses of subscribers to an electronic emergency notification or reverse 911 system.	Destroy in office when superseded or obsolete.	Comply with applicable provisions of G.S. §132-1.5 regarding the confidentiality of automatic identification information contained in 911 database.
14.	<b>EVACUATION PLANS</b>	Destroy in office when superseded or obsolete.	
15.	<b>FIRE ALARM AND AUTOMATIC EXTINGUISHER FILE</b> Certificates, licenses, and insurance certificates of companies that perform installations of fire alarm and automatic extinguishing systems.	Destroy in office when superseded or obsolete.	
16.	<b>FIRE ALARM JOURNAL</b> Journal or other listing of alarms answered by the fire department.	Destroy in office after 3 years.	

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

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

ITEM #	STANDARD-6: EMERGENCY SERVICES RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
17.	<b>FIRE DISPATCH FILE</b> Records relating to fire dispatch zones. May include maps of fire dispatch zones, census tract information, annexation research, street closings, and other related material.	Destroy in office when superseded or obsolete.	

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

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

## County Sheriff's Office Records Retention and Disposition Schedule

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

This local government agency 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*." The local government 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*." 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*."

The local government agency 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. The agency agrees to comply with all policies, standards, and best practices published by the Department of Natural and Cultural Resources regarding the creation and management of electronic records.

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

### APPROVAL RECOMMENDED

\_\_\_\_\_  
County Sheriff

Sarah E. Koonts  
Sarah E. Koonts, Director  
Division of Archives and Records

### APPROVED

[Signature]  
Chairman, Bd. County Commissioners

Susan W. Kluttz  
Susan W. Kluttz, Secretary  
Department of Natural and Cultural Resources

Attest: [Signature]

Clerk to the Board

11/15/2015

County: Gaston

K. Herzinger

**County Sheriff's Office  
Records Retention Schedule Amendment**

Amending the County Sheriff's Office Records Retention and Disposition Schedule published November 15, 2015.

**STANDARD 8. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS**

Amending Item 10, Audio and Video Recordings, as shown on substitute page 57.

**APPROVAL RECOMMENDED**

\_\_\_\_\_  
County Sheriff

Sarah E. Koonts

Sarah E. Koonts, Director  
Division of Archives and Records

**APPROVED**

[Signature]  
Chairman, Bd. of County Commissioners



Susan W. Kluttz  
Susan W. Kluttz, Secretary  
Department of Natural and Cultural Resources

County: Gaston

October 1, 2016

Attest:

[Signature]  
Clerk to the Board

ITEM #	STANDARD-8. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
10. 	<b>AUDIO AND VIDEO RECORDINGS</b> Tapes and digital recordings generated by mobile and fixed audio and video recording devices.  Does not include <b>ELECTRONIC RECORDINGS OF INTERROGATIONS (JUVENILE OR HOMICIDE)</b> , page 65, item 35.	a) Destroy in office after 30 days if not made part of a case file.*  b) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b> , page 57, item 11; or <b>CASE HISTORY FILE: MISDEMEANORS</b> , page 58, item 12.	Confidentiality: G.S. § 132-1.4A
11. 	<b>CASE HISTORY FILE: FELONIES</b> Includes investigative reports, complaint reports, fingerprint cards, original arrest reports, copies of warrants, special expenditure reports; statements of seized and returned property, interview sheets; case status reports, photographs, court orders, correspondence; officer's notes, laboratory tests, court dispositions, audio or video recordings, and other related records.  See also <b>ELECTRONIC RECORDINGS OF INTERROGATIONS (JUVENILE OR HOMICIDE)</b> , page 65, item 35.	a) Destroy in office records concerning solved cases after 20 years.*  b) Retain in office records concerning unsolved cases until solved, and then follow disposition instructions in part (a).	Confidentiality: G.S. § 132-1.4

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

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



# Gaston County

Gaston County  
Board of Commissioners  
www.gastongov.com

## Board of Commissioners

### Board Action

File #: 19-104

Commissioner Philbeck - BOC - To Adopt the Revised NC Department of Cultural Resources Records Retention Schedules

#### STAFF CONTACT

Donna S. Buff - Clerk to the Board - 704-866-3196

#### BACKGROUND

The Government Records Section of the State Archives of North Carolina has transitioned the process for updating local records retention schedules to a new model.

1) **GENERAL RECORDS:** Since many of the records created on a daily basis are common to all government agencies, the new model will update all of these **GENERAL** records on an annual basis. The new **General Records Schedule for Local Government Agencies** was released on March 1, 2019 and will be updated each year thereafter in January. The records standards included in this schedule are:

- a. Administration and Management Records
- b. Budget, Fiscal, and Payroll Records
- c. Geographic Information System (GIS) Records
- d. Information Technology Records
- e. Legal Records
- f. Personnel Records
- g. Public Relations Records
- h. Risk Management Records

2) **PROGRAM RECORDS:** Program Record Retention Schedules (which includes those records unique to an agency's mission) will be updated on a rotated schedule. In 2019, Retention Schedules for Local Health Department and Soil and Water Conservation Districts were updated.

3) **ADOPTION:** The Board of Commissioners will adopt the updated General Records Schedule and any updated Program Schedules on an annual basis each January. In 2019, each local government agency will be required to adopt and sign the **2019 General Records Schedule**; Soil and Water Conservation Districts and Local Health Departments will also be required to adopt and sign the 2019 updated Retention Schedule for their respective agency and submit to the Clerk to the Board.

DO NOT TYPE BELOW THIS LINE

I, Donna S. Buff, Clerk to the County Commission, do hereby certify that the above is a true and correct copy of action taken by the Board of Commissioners as follows:

NO.	DATE	M1	M2	CBrown	JBrown	AFaley	BHovis	TKelgher	TPhilbeck	RWorley	Vote
2019-063	03/26/2019	RW	TK	A	A	AB	A	A	A	A	U

#### **DISTRIBUTION:**

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A=AYE, N=NAY, AB=ABSENT, ABS=ABSTAIN, U=UNANIMOUS

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**File #: 19-104**

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Commissioner Philbeck - BOC - To Adopt the Revised NC Department of Cultural Resources Records Retention Schedules

Page 2

Approval of this Board Action approves the following Schedules:

***2019 General Records Schedule for Local Government Agencies; 2019 Local Health Departments Retention Schedule; 2019 Soil and Water Conservations Retention Schedule; County Management Standard 6 - Program Records: Emergency Services Records; County Sheriff's Office Retention Schedule; County Sheriff's Office - Standard 8 - Program Operational Records***

### **ATTACHMENTS**

Resolution and Schedule Signature Pages