

Local ABC System
 Compensation and Benefits Survey
 Please Return on or before December 1, 2009
 To Laurie Lee, NC ABC Commission
 4307 Mail Service Center, Raleigh NC, 27699

Name of ABC System Vance County

ABC Employees

1. How many employees does your ABC system have? full-time 7 part-time 2
 other 0

2. What are the names, titles, total annual compensation (salaries plus bonuses), benefits (410(k), health, retirement, other) and hire date for the 5 most highly paid employees of your system for the following periods:

Fiscal Year 2009 (July 1, 2008 - June 30, 2009)

NAME DAVID W. PARHAM TITLE Administrator
 SALARY \$ 43,200.00 BONUS \$ 1,000.00 BENEFITS Yes No HIRE DATE MARCH -1991

NAME Shirley Duke TITLE OFFICE MANAGER
 SALARY \$ 32,240.00 BONUS \$ 300.00 BENEFITS Yes No HIRE DATE July -1988

NAME Ulice C. BARRONCHS TITLE Clerk
 SALARY \$ 25,792.00 BONUS \$ 300.00 BENEFITS Yes No HIRE DATE JAN. 1985

NAME C.A. Rooker TITLE CLERK
 SALARY \$ 21,216.00 BONUS \$ 150.00 BENEFITS Yes No HIRE DATE AUG. 1995

NAME PEGGY MAYO TITLE Clerk
 SALARY \$ 19,760.00 BONUS \$ 75.00 BENEFITS Yes No HIRE DATE JAN. 2006

Fiscal Year 2008 (July 1, 2007 - June 30, 2008)

NAME DAVID W. PARHAM TITLE Administrator
 SALARY \$ 41,400.00 BONUS \$ 1,000.00 BENEFITS Yes No HIRE DATE MARCH-1991

NAME Shirley Duke TITLE OFFICE MANAGER
 SALARY \$ 30,160.00 BONUS \$ 300.00 BENEFITS Yes No HIRE DATE July 1988

NAME Ulice C. BARRONCHS TITLE Clerk
 SALARY \$ 24,232.00 BONUS \$ 300.00 BENEFITS Yes No HIRE DATE JAN. 1985

NAME Gerald White TITLE Store MANAGER
 SALARY \$ 21,632.00 BONUS \$ 150.00 BENEFITS Yes No HIRE DATE June -2000

NAME C.A. Rooker TITLE Clerk
 SALARY \$ 19,968.00 BONUS \$ 150.00 BENEFITS Yes No HIRE DATE AUG. 1995

Fiscal Year 2007 (July 1, 2006 - June 30, 2007)

NAME DAVID W. PARHAM TITLE Administrator
 SALARY \$ 41,400.00 BONUS \$ 1,000.00 BENEFITS Yes No HIRE DATE MARCH -1991

NAME Shirley Duke TITLE OFFICE MANAGER
 SALARY \$ 29,120.00 BONUS \$ 300.00 BENEFITS Yes No HIRE DATE July -1988

NAME Edith Adcock TITLE Store MANAGER
SALARY \$ 25,480.00 BONUS \$ 150.00 BENEFITS Yes No HIRE DATE July - 1987

NAME Ulice BYRROUGHS TITLE Clerk
SALARY \$ 23,400.00 BONUS \$ 300.00 BENEFITS Yes No HIRE DATE JAN. 1985

NAME C.A. Rooker TITLE Clerk
SALARY \$ 19,240.00 BONUS \$ 150.00 BENEFITS Yes No HIRE DATE AUG. 1995

3. Please attach a list of the benefits you pay to your 5 highest paid employees.
4. List the names of your board members and their annual board compensation for Fiscal

Year 2009
Henrietta Clark - \$2,700.00, Nancy Wilson - 1,500.00
John Fogg - \$1,500.00, Tom Hannon - \$1,500.00, Jerry Strainback - \$1,500.00

Fiscal Year 2008
Henrietta Clark, \$2,700.00, Nancy Wilson - \$1,500.00, John Fogg \$1,500.00
Lucy Longmire - \$1,500.00, Tom Hannon \$1,500.00

Fiscal Year 2007

Same AS 2008

5. Do your board members receive insurance or retirement benefits? Yes No If yes, what are they? Health Insurance
6. Do your board members receive other compensation for their service Yes No If so, what? _____
7. Do you have a travel policy for board members/employees? Yes No If yes, when was it instituted? n/a Please attach a copy.
8. Do you have an ethics policy in place for board members/employees? Yes No If yes, when was it instituted? _____ Please attach a copy.
9. Does your ethics policy prohibit receipt of gifts, including for example, entertainment tickets, bottles of alcohol, goods or services? Yes No See Attachment
10. Does your ethics policy allow payment of meals or other travel expenses by industry members or private dollars? Yes No
11. Do you have a nepotism policy in place for board members/employees? Yes No If yes, when was it instituted? _____ Please attach a copy. See Attachment
12. Do you have a standard process for setting salary and compensation ranges for ABC employees? Yes No If yes, when was it instituted? 1980 Please attach a copy.
13. Do you pay a car allowance for board members/employees? Yes No If so, how much is it per year total and who receives it? _____
14. For your individual board members (and family members if applicable) what was the total travel expense paid or reimbursed from all sources, public and private for ABC-related functions in Fiscal Year 2009? \$ 2,392.00

Submitted by Name _____ Title: _____ Date: _____

Pai W. Parker - Administrator 11-20-09

VANCE COUNTY ALCOHOLIC BEVERAGE CONTROL BOARD

P.O. BOX 1417

HENDERSON, NC 27536

MRS. HENRIETTA C. CLARK
Chairman

DAVID W. PARHAM
Supervisor

MEMBERS

MRS. NANCY F. WILSON
PAUL J. STAINBACK
JOHN E. FOGG
DANIEL T. HANNON, III

③. Benefits paid to Employees.

David W. PARHAM - Paid Health Insurance (CIGNA) includes Dental + Vision, 1% of SALARY to 401K Paid by the Board. Paid Holidays (7 days per year). BOARD PAYS Family Health Insurance coverage for DAVID W. PARHAM AS PART of his total compensation.

All other full time employees have CIGNA Health Care, 1% of SALARY paid to 401K + (7) Holidays paid by the Board.

⑦. It is understood that All travel expenses must be Approved by the Board

⑨. All employees + Board-members understand that Any Gift of Any monetary value from Any industry representative is not allowed.

⑪. It is understood that no relative of Board-members OR existing employees may be employed by the Board.

⑫. See Attachment

SALARY

At the time you were hired, you were informed of your starting salary. Your salary is determined according to what other employees doing similar work are being paid. The comparisons of pay rates and other benefits are taken into consideration before salary ranges are established. Comparisons are made with other ABC Boards in North Carolina and the local labor market.

BOARD'S EVALUATION OF EMPLOYEE

Information, as checked in the spaces below, will assist the Board in its appraisal of the employee's work and advancing employee when promotions become available.

NAME

DEPARTMENT

For the work period ending _____
INSTRUCTIONS: The immediate supervisor will evaluate the employee objectively comparing him with other employees of comparable position, with other personnel assigned the same or similarly classified jobs, or with individual standards.

RELATIONS WITH OTHERS

- _____ Exceptionally well accepted
- _____ Works well with others
- _____ Gets along satisfactorily
- _____ Has some difficulty working with others
- _____ Works poorly with others

ATTITUDE - Application to Work

- _____ Outstanding in enthusiasm
- _____ Very interested and industrious
- _____ Average in diligence and interest
- _____ Somewhat indifferent
- _____ Definitely not interested

JUDGMENT

- _____ Exceptionally mature
- _____ Above average in making decisions
- _____ Usually makes the right decision
- _____ Often uses poor judgment
- _____ Consistently uses poor judgment

DEPENDABILITY

- _____ Completely dependable
- _____ Above average in dependability
- _____ Usually dependable
- _____ Sometimes neglectful
or careless
- _____ Unreliable

Local ABC System
 Compensation and Benefits Survey
 Please Return on or before December 1, 2009
 To Laurie Lee, NC ABC Commission
 4307 Mail Service Center, Raleigh NC, 27699

Name of ABC System Town of Wadesboro

ABC Employees

1. How many employees does your ABC system have? full-time 3 part-time 3
 other _____

2. What are the names, titles, total annual compensation (salaries plus bonuses), benefits (410(k), health, retirement, other) and hire date for the 5 most highly paid employees of your system for the following periods:

Fiscal Year 2009 (July 1, 2008 – June 30, 2009)

NAME John Gable Gathings TITLE Manager
 SALARY \$ 44,214 BONUS \$ 675 BENEFITS Yes No HIRE DATE 5-87

NAME Brenda Sue Hardison TITLE Office Manager
 SALARY \$ 31,651 BONUS \$ 475 BENEFITS Yes No HIRE DATE 5-05

NAME Lucille Liles TITLE Head Cashier
 SALARY \$ 15,640 BONUS \$ 175 BENEFITS Yes No HIRE DATE 10-08

NAME 3 various employees TITLE Part Time Clerk
 SALARY \$ 19,760 BONUS \$ 300 BENEFITS Yes No HIRE DATE _____

NAME _____ TITLE _____
 SALARY \$ _____ BONUS \$ _____ BENEFITS Yes No HIRE DATE _____

Fiscal Year 2008 (July 1, 2007 – June 30, 2008)

NAME John Gable Gathings TITLE Manager
 SALARY \$ 43,145 BONUS \$ 550 BENEFITS Yes No HIRE DATE 5-87

NAME Brenda Sue Hardison TITLE Office Manager
 SALARY \$ 28,905 BONUS \$ 350 BENEFITS Yes No HIRE DATE 5-05

NAME Quinzell Willoughby TITLE Assistant Manager
 SALARY \$ 19,357 BONUS \$ 450 BENEFITS Yes No HIRE DATE 8-88

NAME 3 various employees TITLE Part Time Clerk
 SALARY \$ 19,760 BONUS \$ 300 BENEFITS Yes No HIRE DATE _____

NAME _____ TITLE _____
 SALARY \$ _____ BONUS \$ _____ BENEFITS Yes No HIRE DATE _____

Fiscal Year 2007 (July 1, 2006 – June 30, 2007)

NAME John Gable Gathings TITLE Manager
 SALARY \$ 37,831 BONUS \$ 475 BENEFITS Yes No HIRE DATE 5-87

NAME Quinzell Willoughby TITLE Assistant Manager
 SALARY \$ 30,884 BONUS \$ 350 BENEFITS Yes No HIRE DATE 8-88

NAME Brenda Sue Hardison TITLE Office Manager
SALARY\$ 26,255 BONUS \$ 275 BENEFITS Yes No HIRE DATE 5-05

NAME 3 various employees TITLE Part Time Clerk
SALARY\$ 19,760 BONUS \$ 300 BENEFITS Yes No HIRE DATE _____

NAME _____ TITLE _____
SALARY\$ _____ BONUS \$ _____ BENEFITS Yes No HIRE DATE _____

3. Please attach a list of the benefits you pay to your 5 highest paid employees.
4. List the names of your board members and their annual board compensation for Fiscal Year 2009
John J. Dunlap \$1800.00, Donald R. Huffman \$900.00,
Frank W. Richardson \$900.00

Fiscal Year 2008
John J. Dunlap \$1800.00, Donald R. Huffman \$900.00,
Frank W. Richardson \$900.00

Fiscal Year 2007
John J. Dunlap \$1800.00, Donald R. Huffman \$900.00,
Frank W. Richardson \$900.00

5. Do your board members receive insurance or retirement benefits? Yes No If yes, what are they? Life Insurance
6. Do your board members receive other compensation for their service Yes No If so, what? _____
7. Do you have a travel policy for board members/employees? Yes No If yes, when was it instituted? 1981 Please attach a copy.
8. Do you have an ethics policy in place for board members/employees? Yes No If yes, when was it instituted? 1981 Please attach a copy.
9. Does your ethics policy prohibit receipt of gifts, including for example, entertainment tickets, bottles of alcohol, goods or services? Yes No
10. Does your ethics policy allow payment of meals or other travel expenses by industry members or private dollars? Yes No
11. Do you have a nepotism policy in place for board members/employees? Yes No If yes, when was it instituted? 1981 Please attach a copy.
12. Do you have a standard process for setting salary and compensation ranges for ABC employees? Yes No If yes, when was it instituted? _____ Please attach a copy.
13. Do you pay a car allowance for board members/employees? Yes No If so, how much is it per year total and who receives it? _____
14. For your individual board members (and family members if applicable) what was the total travel expense paid or reimbursed from all sources, public and private for ABC-related functions in Fiscal Year 2009? \$1,935

Submitted by Name John Gable Gathings Title: Manager Date: 11-30-09

Full Time Employee Benefits

State Retirement

Health Insurance

Life Insurance

Sick Leave

Paid Vacation

Paid Holidays

Paid Birthday

Christmas Bonus (part time included)

Travel Policy

Any employee who uses a personal vehicle on official ABC business will be reimbursed at the rate of \$.585 per mile. A travel log will be maintained and entries made showing the date, employee name, mileage and the reason for the trip. To avoid numerous entries of low mileage, it is stipulated that each trip to the bank will be recorded as one mile. Employees will be reimbursed every quarter.

Business Ethics and Conduct

The successful business operation and reputation of the ABC Board is built upon the principles of fair dealing and ethical conduct of our employees. Our reputation for integrity and excellence requires careful observance of the spirit and letter of all applicable laws and regulations, as well as a scrupulous regard for the highest standards of conduct and personal integrity.

The continued success of the ABC Board is dependent upon our customers' trust and we are dedicated to preserving that trust. Employees owe a duty to the ABC Board and its customers to act in a way that will merit the continued trust and confidence of the public.

The ABC Board will comply with all applicable laws and regulations and expects its board members and employees to conduct business in accordance with the letter, spirit and intent of all relevant laws and to refrain from any illegal, dishonest or unethical conduct.

In general, the use of good judgment, based on high ethical principles, will guide you with respect to lines of acceptable conduct. If a situation arises where it is difficult to determine the proper course of action, the matter should be discussed openly with the manager for advice and consultation.

Compliance with this policy of business ethics and conduct is the responsibility of every ABC Board employee. Disregarding or failing to comply with this standard of business ethics and conduct could lead to disciplinary action, up to and including possible termination of employment.

Gifts and Meals

It is the policy of the ABC Board that no employee may accept any gift or thing of value from the manufacturers of alcoholic beverages or the affiliates of such manufacturers.

Advertising novelties will not be considered a "thing of value". Unsolicited meals are deemed an acceptable business practice.

Employment of Relatives

To insure fair treatment and equal opportunity to all employees of the ABC Store, the ABC Board does not encourage hiring a member of the immediate family of a present employee. Immediate family is defined as the employee's spouse, parent, child, sibling; the employee's spouse's parent, child or sibling.

Local ABC System
 Compensation and Benefits Survey
 Please Return on or before December 1, 2009
 To Laurie Lee, NC ABC Commission
 4307 Mail Service Center, Raleigh NC, 27699

Name of ABC System Wake County Board of Alcoholic Control

ABC Employees

1. How many employees does your ABC system have? full-time 85 part-time 22
 other _____

2. What are the names, titles, total annual compensation (salaries plus bonuses), benefits (410(k), health, retirement, other) and hire date for the 5 most highly paid employees of your system for the following periods:

Fiscal Year 2009 (July 1, 2008 – June 30, 2009)

NAME Craig Pleasants TITLE General Manager
 SALARY \$ 125,712.00 BONUS \$ 10,350.00 BENEFITS Yes No HIRE DATE 3/29/82
 Longevity 5,657.00

NAME Lewis Nuckles TITLE Law Enforcement Chief
 SALARY \$ 91,176.00 BONUS \$ 350.00 BENEFITS Yes No HIRE DATE 9/21/93
 Longevity 2,051.00

NAME Myron Staton TITLE Finance Director
 SALARY \$ 82,608.00 BONUS \$ 350.00 BENEFITS Yes No HIRE DATE 4/15/96
 Longevity 1,239.00

NAME Isaac Wheeler TITLE Asst. General Manager
 SALARY \$ 78,624.00 BONUS \$ 350.00 BENEFITS Yes No HIRE DATE 2/17/78
 Longevity 3,538.00

NAME Michael Pearson TITLE Law Enforcement - Asst. Chief
 SALARY \$ 71,952.00 BONUS \$ 350.00 BENEFITS Yes No HIRE DATE 7/14/97

* Longevity pay was discontinued effective 6-30-96 for future hires, but was grandfathered for employees hired with the benefit.

Fiscal Year 2008 (July 1, 2007 – June 30, 2008)

NAME Craig Pleasants TITLE General Manager
 SALARY \$ 118,704.00 BONUS \$ 15,350.00 BENEFITS Yes No HIRE DATE 3/29/82
 Longevity 5,342.00

NAME Lewis Nuckles TITLE Law Enforcement Chief
 SALARY \$ 86,160.00 BONUS \$ 350.00 BENEFITS Yes No HIRE DATE 9/21/93
 Longevity 1,292.00

NAME Myron Staton TITLE Finance Director
 SALARY \$ 78,120.00 BONUS \$ 350.00 BENEFITS Yes No HIRE DATE 4/15/96
 Longevity 1,172.00

NAME Isaac Wheeler TITLE Management Trainee
 SALARY \$ 76,552.00 BONUS \$ 350.00 BENEFITS Yes No HIRE DATE 2/17/78
 Longevity 3,347.00

NAME Tony Dubois TITLE Management Trainee
 SALARY \$ 75,580.00 BONUS \$ 350.00 BENEFITS Yes No HIRE DATE 12/11/06

Fiscal Year 2007 (July 1, 2006 – June 30, 2007)

NAME Craig Pleasants TITLE General Manager
 SALARY \$ 109,680.00 BONUS \$ 15,000.00 BENEFITS Yes No HIRE DATE 3/29/82
 Longevity 4,936.00

NAME Lewis Nuckles TITLE Law Enforcement Chief
 SALARY \$ 86,160.00 BONUS \$ -- BENEFITS Yes No HIRE DATE 9/21/93
 Longevity 1,296.00

NAME Muron Staton TITLE Finance Director
SALARY \$ 75,840.00 BONUS \$ -0- BENEFITS Yes No HIRE DATE 4/15/96
Longevity 1,138.00

NAME Isaac Wheeler TITLE Management Trainee
SALARY \$ 53,784.00 BONUS \$ -0- BENEFITS Yes No HIRE DATE 2/17/78
Longevity 3,093.00

NAME Michael Pearson TITLE Law Enforcement Asst. Chief
SALARY \$ 64,713.04 BONUS \$ -0- BENEFITS Yes No HIRE DATE 7/14/97

3. Please attach a list of the benefits you pay to your 5 highest paid employees.
4. List the names of your board members and their annual board compensation for Fiscal Year 2009
John Converse - \$3,000.00, Paul White - \$2,400.00, Joel Keith - \$2,400.00
Ken Kirby, JR. - \$2,200.00, Cindy Sheldon - \$2,200.00, Mary Ball - \$200.00
Fiscal Year 2008
Gary Pendleton - \$2,750.00, John Converse - \$2,450.00, Paul White - \$2,400.00
Joel Keith - \$2,400.00, Henry Ball - \$1,800.00, Mary Ball - \$600.00
Fiscal Year 2007
Gary Pendleton - \$3,000.00, John Converse - \$2,400.00, Paul White - \$2,400.00
Joel Keith - \$2,400.00, Henry Ball - \$2,400.00
5. Do your board members receive insurance or retirement benefits? Yes No If yes, what are they? Medical and life insurance.
6. Do your board members receive other compensation for their service? Yes No If so, what? Only Chairman - \$250/month, members \$200/month
7. Do you have a travel policy for board members/employees? Yes No If yes, when was it instituted? 9/30/96 Please attach a copy.
8. Do you have an ethics policy in place for board members/employees? Yes No If yes, when was it instituted? 4/23/08 Please attach a copy. Reviewed by the appointing Authorities Attorney.
9. Does your ethics policy prohibit receipt of gifts, including for example, entertainment tickets, bottles of alcohol, goods or services? Yes No unless of incidental nature and of minor value.
10. Does your ethics policy allow payment of meals or other travel expenses by industry members or private dollars? Yes No Unsolicited business meals only.
11. Do you have a nepotism policy in place for board members/employees? Yes No The Board has a policy addressing the reporting relationship of employees.
12. Do you have a standard process for setting salary and compensation ranges for ABC employees? Yes No If yes, when was it instituted? over 30 years ago Please attach a copy. We have a standard process not a policy. The Board can approve a budget that contains a recommended COLA, or merit adjustment. Performance adjustments are step increases and COLAs are percentage increases.
13. Do you pay a car allowance for board members/employees? Yes No If so, how much is it per year total and who receives it? General Manager - \$4,200.00 Annually.
14. For your individual board members (and family members if applicable) what was the total travel expense paid or reimbursed from all sources, public and private for ABC-related functions in Fiscal Year 2009? \$6,896.39 - No com reimbursement for family members.

Submitted by Name E. Craig Pleasant Title: General Manager Date: 12-1-09
- No private sources reimburse or pay any travel expenses.
- This total includes all 5 Board Members.

November 30, 2009

3. The Board pays 401k at five percent of salary for full-time employees and the local government retirement system is paid 4.93 percent of salary for regular employees and 4.86 percent of salary for law enforcement employees. All full-time employees receive medical insurance, life insurance, dental insurance, disability insurance, vacation leave, sick leave, funeral leave, and holidays(8).

7.

TRAVEL POLICY
FOR
WAKE COUNTY BOARD OF ALCOHOLIC CONTROL

EFFECTIVE MAY 1, 2000

The policy of Wake County Board of Alcoholic Control is to reimburse employees and Board members traveling on authorized Board business for all reasonable expenses incurred as a result of travel.

LODGING:

Lodging expenses will be reimbursed at the actual cost of the room, provided that the employee or Board member will seek reasonably priced lodging. Employees or Board members sharing a room with a non-Board employee will be reimbursed at the single occupancy rate.

MEALS:

The Board will not reimburse the cost of meals for one-day travel unless the meal is part of the program or function being attended.

Reimbursement for meals (including gratuities) for trips requiring overnight travel is limited to the total actual expenses incurred.

Receipts for all meals are required for reimbursement with the following exception:

IRS substantiation requirements (no receipts required) will be satisfied if reimbursement does not exceed the following daily allowances:

Breakfast	\$ 6.00
Lunch	8.00
Dinner	16.00
	<u>\$30.00</u>

TRANSPORTATION:

Discount fares should be pursued when travel plans are definite and discount conditions exist such as a Saturday night stayover. Approval of Saturday night stayovers would require a net economic benefit to the Board (results in less dollars to the Board) due to the lower fare savings as compared to the normal applicable fare.

When travel is by personal vehicle, the prevailing IRS rate per mile is paid as full reimbursement for such transportation costs.

A rental vehicle may be used when it is determined that no other mode of transportation is as practical. A rental vehicle should be used for business purposes only. A minimal amount of personal use, such as driving to and from meals, will be permitted. When vehicle rental is authorized and necessary, the commercial rate is charged and paid for by the traveler. (Do not have this expense billed to the Board.) Vehicle rental expense incurred while on Board business is reimbursed upon completion of the trip. Rental receipts are required to be submitted with the travel expense report for reimbursement. In an emergency or unforeseen situation, the employee will be permitted to arrange for a rental vehicle and should attempt to qualify for the commercial rate if possible.

Actual expenses are reimbursed for public transportation in connection with out-of-town travel on Board business. The most reasonable and economical form of transportation available is expected to be used. Receipts will be obtained when possible for taxi, parking and limousine expenses and submitted with the travel expense report for reimbursement.

Air, rail, and bus transportation expenses are reimbursed at air coach, pullman rail, and all bus service rates.

TRAVEL ADVANCES:

Travel advances may be approved at the discretion of the General Manager. Travel advances in cash or check will be issued the last workday before the travel event is scheduled to occur and may not exceed the estimated travel cost. Each advance must be accounted for on the travel expense report.

MISCELLANEOUS:

Expenses incurred by the Board or employee, while hosting special conferences or meetings conducted expressly for transacting Board business incidental to the event for which travel was authorized, may be reimbursed and will be identified on the Travel Expense Report. Supporting documentation for such expenses must include validated receipts and must list the date and nature of the conference or meeting.

A personal "safe arrival" telephone call is authorized. An additional telephone call is permissible in the event of an itinerary change or after a three-day period of absence. The maximum allowable reimbursement is limited to \$5.00 per telephone call. Any phone charges other than as authorized must be fully detailed and business related. All long-distance calls are to be documented on the Travel Expense Report.

This travel policy covers expenses of Board members and employees only. Any expenses pertaining to a spouse or guest that may be included as a group event, such as convention or conference registration fees, shows, meals, etc., shall be paid by the appropriate Board member or employee when the group purchase of these items is made.

REPORTING PROCEDURES:

A requesting party submitting a falsified Travel Expense Report will be subject to disciplinary action and possible criminal prosecution. An authorizing party who approves a Travel Expense Report which they know to be false will be subject to disciplinary action or possible criminal prosecution.

The Travel Expense Report must be submitted to the General Manager for approval and then forwarded to the Accounting Department. The Accounting Department will determine that the reimbursement request has been properly approved, that it is mathematically correct, and that requested reimbursements agree to submitted receipts and are within the limits of this policy. If an error in the reimbursement request is found, the reimbursement request will be returned to the traveler for correction prior to processing and subsequent payment by the Accounting Department. Any correction that increases the monetary amounts requested, will need to be re-authorized per the above procedures.

ETHICS GUIDELINES FOR BOARD MEMBERS

By signing this form, I pledge to comply with the ethics guidelines established and adopted by the Wake County Board of Alcoholic Control.

I. Declaration of Policy

The 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.

In recognition of these goals, a Code of Ethics for Board Members is hereby adopted. The purpose of this policy is to establish guidelines for ethical standards of conduct for all such members by setting forth those acts or actions that are compatible with the best interests of the Board.

II. Applicability of Ethics Policy

The provisions of this policy shall apply to the appointed Board Members of the Wake County Board of Alcoholic Control.

III. Financial and Personal Disclosure

Any Board Member who must consider any public matter involving his financial or personal interests, or those of his immediate family, shall first publicly disclose the nature and extent of such interest and shall abstain from acting thereon unless provisions of state law require otherwise.

IV. Gifts and Favors

No Board Member shall knowingly accept any gift, whether in the form of money, thing, favor, loan or promise, when it could reasonably be inferred that the gift was intended to influence or reward an official action on his part. Gifts, meals, other favors of an incidental nature and of minor value shall not be included in this policy.

V. Employment, Grant, or Contract Award of Relatives or Business Partners

Board Members must disclose on the public record any person of their immediate family related by blood or marriage, or business interest who is being considered for employment, grant, or contract award by the Board.

Immediate family related by blood and marriage are to include: spouse, child, parents, brothers, sisters, grandparents, grandchildren, step-, and in-law relationships for preceding categories.

DISCLOSURE POLICY FOR ORGANIZATIONS AND COMPANIES

I. Declaration of Policy

The 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.

In recognition of these goals, the purpose of this policy is to require organizations or companies submitting a grant application or seeking to acquire a contract to disclose the nature and extent of any financial or business interests with any Board Member of the Wake County Board of Alcoholic Control or those of his immediate family.

II. Applicability of Ethics Policy

The provisions of this policy shall apply to organizations and companys submitting grant applications or seeking contracts with the Wake County Board of Alcoholic Control.

III. Financial or Personal Interest of Relatives or Business Partners

Organizations and companies must disclose on the public record any Board Member of the Wake County Board of Alcoholic Control or person of their immediate family related by blood or marriage, or business interest who has a financial or personal interest in their organization or company.

Immediate family related by blood and marriage are to include: spouse, child, parents, brothers, sisters, grandparents; grandchildren, step-, and in-law relationships for preceding categories.

WAKE COUNTY BOARD OF ALCOHOLIC CONTROL

1212 Wicker Dr., Raleigh, North Carolina, 27604

MARTHA R. McLAUGHLIN, Chairman
S. HENRY BALL, Vice-Chairman
RICKY WRIGHT, Member
RICHARD J. JENKS, Member
LARRY ZIEVERINK, SR., Member
ROBERT H. MASSEY, Gen. Manager

APPROVED

September 26, 1996

SEP 30 1996

N. C. ABC COMMISSION

BY *[Signature]*



Mr. Mike Herring, Administrator
N. C. State ABC Commission
P. O. Box 26687
Raleigh, N. C. 27611-6687

Dear Mr. Herring:

The Wake County Board of Alcoholic Control at its meeting on September 25, 1996, adopted the following policy for "UNSOLICITED MEALS AND GIFTS AND ADVERTISING NOVELTIES". This is for your review and approval as authorized under State ABC Commission Rules and Regulations, chapter 2R, rule 1102(a).

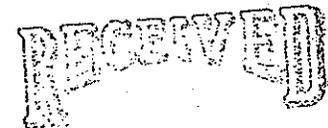
POLICY

- A. Meals -- Unsolicited business meals may be accepted by Board members, General Manager, and other employees upon approval of General Manager. Business meals may consist of breakfast, lunch, or dinner.
- B. Gifts -- Gifts may be accepted by Board members, General Manager, and administrative staff upon approval of General Manager. Any gift received must be reported to the Board at its next meeting following the receipt of a gift.
- C. Advertising Novelties -- Advertising novelties may be accepted by Board members and General Manager. Distribution of advertising novelties to other Board employees shall be at the discretion of the General Manager.

Sincerely,

[Signature: Robert H. Massey]

Robert H. Massey
General Manager



SEP 30 1996

ALCOHOLIC BEVERAGE CONTROL COMMISSION
RALEIGH, N.C.

Wake County Board of Alcoholic Control Employee Handbook

105 Personal Relationships in the Workplace

Effective Date: 06/01/2007

When relatives or persons involved in a dating relationship work in the same area of an organization, it may cause problems at work. In addition to claims of favoritism and morale issues, personal conflicts from outside can sometimes carry over to work.

For this policy, we define a relative (either by blood or marriage) as a brother, sister, husband, wife, son, daughter, father, mother or individual living under the same roof. We define a dating relationship as a relationship that might reasonably be expected to lead to a consensual "romantic" or sexual relationship.

Our policy is that an employee may not directly work for a relative or supervise a relative. We also do not allow a person in a dating relationship to work for the other person in that relationship or to supervise the other person. The Board also reserves the right to take quick action if an actual or potential conflict of interest arises involving relatives or persons involved in a dating relationship who are in positions at any level (higher or lower) in the same line of authority that may affect the review of employment decisions. Likewise, the Board reserves the right to modify a reporting relationship should it become necessary and in the best interest of the parties involved.

If two employees become relatives, or start a dating relationship and one of them supervises the other, the one who is the supervisor is required to tell management about the relationship. We will then ask the two employees to decide which one of them is to be transferred to another available position. If they do not make that decision within 14 calendar days, the Board will decide which one will be transferred or, if necessary, terminated from employment.

There may also be situations when there is a conflict or the potential for conflict because of the relationship between employees, even if there is no direct reporting relationship or authority involved. In that case, we may separate the employees by reassignment or termination of employment. If you are in a close personal relationship with another employee, we ask that you avoid displays of affection or excessive personal conversation at work.

**Local ABC System
 Compensation and Benefits Survey
 Please Return on or before December 1, 2009
 To Laurie Lee, NC ABC Commission
 4307 Mail Service Center, Raleigh NC, 27699**

Name of ABC System WALLACE

ABC Employees

1. How many employees does your ABC system have? full-time 2 part-time 6 other _____

2. What are the names, titles, total annual compensation (salaries plus bonuses), benefits (410(k), health, retirement, other) and hire date for the 5 most highly paid employees of your system for the following periods:

Fiscal Year 2009 (July 1, 2008 – June 30, 2009)

NAME Myrle Beringer TITLE Assistant Manager
 SALARY \$ 17,451.50 BONUS \$ 216.57 BENEFITS Yes No HIRE DATE _____

NAME Harry Page TITLE Clerk
 SALARY \$ 16,265.31 BONUS \$ 135.86 BENEFITS Yes No HIRE DATE _____

NAME William Ramsey TITLE Manager
 SALARY \$ 14,078.40 BONUS \$ 108.29 BENEFITS Yes No HIRE DATE _____

NAME Harry Walker, Sr. TITLE Clerk
 SALARY \$ 13,957.42 BONUS \$ 108.29 BENEFITS Yes No HIRE DATE _____

NAME Mark Bryan TITLE Clerk
 SALARY \$ 4569.98 BONUS \$ 54.15 BENEFITS Yes No HIRE DATE _____

Fiscal Year 2008 (July 1, 2007 – June 30, 2008)

NAME Myrle Beringer TITLE Manager
 SALARY \$ 27,490.60 BONUS \$ 189.50 BENEFITS Yes No HIRE DATE _____

NAME Harry Page TITLE Clerk
 SALARY \$ 14,798.18 BONUS \$ 108.29 BENEFITS Yes No HIRE DATE _____

NAME Harry Walker, Sr. TITLE Clerk
 SALARY \$ 10,647.71 BONUS \$ 81.22 BENEFITS Yes No HIRE DATE _____

NAME William Ramsey TITLE Clerk
 SALARY \$ 10,213.50 BONUS \$ 81.22 BENEFITS Yes No HIRE DATE _____

NAME John Houston, Jr. TITLE Clerk
 SALARY \$ 5165.32 BONUS \$ 81.22 BENEFITS Yes No HIRE DATE _____

Fiscal Year 2007 (July 1, 2006 – June 30, 2007)

NAME Myrle Beringer TITLE Manager
 SALARY \$ 24,801.80 BONUS \$ 162.43 BENEFITS Yes No HIRE DATE _____

NAME Harry Page TITLE Clerk
 SALARY \$ 14,948.11 BONUS \$ 108.29 BENEFITS Yes No HIRE DATE _____

NAME Walter Price TITLE Clerk
SALARY \$ 7352.73 BONUS \$ 108.29 BENEFITS Yes No HIRE DATE _____

NAME John Houston, Jr. TITLE Clerk
SALARY \$ 5354.51 BONUS \$ 81.22 BENEFITS Yes No HIRE DATE _____

NAME William Ramsey TITLE Clerk
SALARY \$ 5090.82 BONUS \$ 27.07 BENEFITS Yes No HIRE DATE _____

3. Please attach a list of the benefits you pay to your 5 highest paid employees.
HEALTH INS, RET, VAC, SICK, PD HOLIDAYS
4. List the names of your board members and their annual board compensation for Fiscal Year 2009

Francis Townsend 1800.00 N. H. Carter 1800.00
David Brooks 1800.00

Fiscal Year 2008

Francis Townsend 1800.00 N. H. Carter 1800.00
David Brooks 1800.00

Fiscal Year 2007

Francis Townsend 1200.00 N. H. Carter 1200.00
David Brooks 1200.00

5. Do your board members receive insurance or retirement benefits? Yes No If yes, what are they? _____
6. Do your board members receive other compensation for their service Yes No If so, what? _____
7. Do you have a travel policy for board members/employees? Yes No If yes, when was it instituted? _____ Please attach a copy.
8. Do you have an ethics policy in place for board members/employees? Yes No If yes, when was it instituted? _____ Please attach a copy.
9. Does your ethics policy prohibit receipt of gifts, including for example, entertainment tickets, bottles of alcohol, goods or services? Yes No
10. Does your ethics policy allow payment of meals or other travel expenses by industry members or private dollars? Yes No
11. Do you have a nepotism policy in place for board members/employees? Yes No If yes, when was it instituted? _____ Please attach a copy.
12. Do you have a standard process for setting salary and compensation ranges for ABC employees? Yes No If yes, when was it instituted? _____ Please attach a copy.
13. Do you pay a car allowance for board members/employees? Yes No If so, how much is it per year total and who receives it? _____
14. For your individual board members (and family members if applicable) what was the total travel expense paid or reimbursed from all sources, public and private for ABC-related functions in Fiscal Year 2009? _____

Submitted by Name _____ Title: _____ Date: _____

Date	Prepared By	Work Paper No.
	Reviewed By	

		1		2		3		4	
		July 1, 07	Dec. 31, 07	Jan 1, 08	June 30, 08	Bonus			
1	Peggy Howard	168738		129669		10829		309236	
2									
3									
4	② Harry Page	802792		677026		10829		1490647	
5									
6									
7	Walter Price	195856		189072		10829		395751	
8									
9									
10	① Myrie Beringer	1410820		1338240		18950		2768010	
11									
12									
13	③ Harry Walker, Sr	520092		544679		8122		1072893	
14									
15									
16	④ William Ramsey	514745		506605		8122		1029472	
17									
18									
19	Melissa Harris	98045		32634		5415		136094	
20									
21									
22	⑤ John Houston Jr.	294839		221693		8122		524654	
23									
24									
25	David Matthews	-0-							
26									
27									
28	Donna Wiggins	-0-							
29									
30	Mark Bryan	-0-		123633				123633	
31									
32									
33									
34									
35									
36									
37									
38									
39									
40									

Date	Prepared By	Work Paper No.
	Reviewed By	

		1	2	3	4
		July 1, 06 Dec. 31, 06	Jan. 1, 07 June 30, 07	Bonus	Total
1					
2					
3					
4	③ Peggy Howard	1613 16	1395 93	108 29	3117 38
5					
6					
7	④ Walter Price	4877 13	2775 60	108 29	7761 02
8					
9					
10	① 7 10 Myrtle Beringer	1256 180	1224 000	162 43	24964 23
11	1st ✓				
12					
13	② Harry Page	7432 46	7515 65	108 29	15056 40
14					
15					
16	7 17 Dewey Hancock	1533 39	- 0 -		1533 39
17	1st ✓				
18					
19	7 21 Clark Beringer	589 80	108 32	54 15	752 27
20	1st ✓				
21					
22	⑤ 12 11 William Ramsey	713 39	4377 43	27 07	5117 89
23	1st ✓				
24					
25					
26	11 20 Harry Walker Jr	1165 33	4093 67	37 90	5296 80
27	1st ✓				
28	11 6 Melissa Harris	399 66	720 87	54 15	1174 68
29	1st ✓				
30					
31					
32					
33					
34					
35					
36					
37					
38					
39					
40					

Date	Prepared By	Work Paper No.
	Reviewed By	

	1	2	3	4	
	July 1, 08 Dec. 31, 08	Jan. 1, 09 June 30, 09	Bonus		
1	Peggy Howard	1773.58	1604.78	135.36	3513.72
2					
3					
4	② Harry Page	7164.58	8364.87	135.86	16265.31
5					
6					
7	① Myrle Beringer	13541.89	3693.04	216.57	17451.50
8					
9					
10	④ Harry Walker, Sr.	6855.89	6993.24	108.29	13957.42
11					
12					
13	③ William Ramsey	6839.31	7930.80	108.29	14078.40
14					
15					
16	⑤ Mark Bryan	2114.81	2401.02	54.15	4569.98
17					
18					
19	Donna Wiggins	418.32	2457.64	—	2875.96
20					
21					
22	David T. Matthews	358.56	3802.27	—	4160.83
23					
24					
25	Brent Dean		38.86		38.86
26					
27					
28	John Houston Jr.	1158.34		54.15	1212.49
29					
30					
31	Melissa Harris	1311.14	-0-	37.90	169.04
32					
33					
34	Walter Price	328.80	-0-	—	328.80
35					
36					
37					
38					
39					
40					

**Local ABC System
 Compensation and Benefits Survey
 Please Return on or before December 1, 2009
 To Laurie Lee, NC ABC Commission
 4307 Mail Service Center, Raleigh NC, 27699**

Name of ABC System Walnut Cove ABC Board #106

ABC Employees

1. How many employees does your ABC system have? full-time 2 part-time 3 other 0

2. What are the names, titles, total annual compensation (salaries plus bonuses), benefits (410(k), health, retirement, other) and hire date for the 5 most highly paid employees of your system for the following periods:

Fiscal Year 2009 (July 1, 2008 – June 30, 2009)

NAME <u>Marian W. Tilley</u>	TITLE <u>Supervisor</u>
SALARY \$ <u>33,578.00</u> BONUS \$ <u>0</u>	BENEFITS Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> HIRE DATE <u>Feb 1999</u>
NAME <u>Ben P. Bailey</u>	TITLE <u>Full time clerk</u>
SALARY \$ <u>21,848.00</u> BONUS \$ <u>0</u>	BENEFITS Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> HIRE DATE <u>Dec 1998</u>
NAME <u>Billy G. Beatty</u>	TITLE <u>Part time clerk</u>
SALARY \$ <u>14,472.60</u> BONUS \$ <u>0</u>	BENEFITS Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> HIRE DATE <u>1970</u>
NAME <u>Richard Turbyfill</u>	TITLE <u>Part time clerk</u>
SALARY \$ <u>7329.40</u> BONUS \$ <u>0</u>	BENEFITS Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> HIRE DATE <u>March 2008</u>
NAME <u>Oather Golden</u>	TITLE <u>Part time clerk</u>
SALARY \$ <u>2672.91</u> BONUS \$ <u>0</u>	BENEFITS Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> HIRE DATE <u>2004</u>

Fiscal Year 2008 (July 1, 2007 – June 30, 2008)

NAME <u>Marian W. Tilley</u>	TITLE <u>Supervisor</u>
SALARY \$ <u>32,948.00</u> BONUS \$ <u>0</u>	BENEFITS Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> HIRE DATE <u>Feb 1999</u>
NAME <u>Ben P. Bailey</u>	TITLE <u>Full time clerk</u>
SALARY \$ <u>20,198.40</u> BONUS \$ <u>0</u>	BENEFITS Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> HIRE DATE <u>Dec 1998</u>
NAME <u>Billy G. Beatty</u>	TITLE <u>Part time clerk</u>
SALARY \$ <u>14,005.49</u> BONUS \$ <u>0</u>	BENEFITS Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> HIRE DATE <u>1970</u>
NAME <u>Henry L. Dodson</u>	TITLE <u>Part time clerk</u>
SALARY \$ <u>10,238.97</u> BONUS \$ <u>0</u>	BENEFITS Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> HIRE DATE <u>1970</u>
NAME <u>Oather Golden</u>	TITLE <u>Part time clerk</u>
SALARY \$ <u>2570.43</u> BONUS \$ <u>0</u>	BENEFITS Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> HIRE DATE <u>2004</u>

Fiscal Year 2007 (July 1, 2006 – June 30, 2007)

NAME <u>Marian W. Tilley</u>	TITLE <u>Supervisor</u>
SALARY \$ <u>32,499.54</u> BONUS \$ <u>0</u>	BENEFITS Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> HIRE DATE <u>Feb 1999</u>
NAME <u>Ben P. Bailey</u>	TITLE <u>Full time clerk</u>
SALARY \$ <u>19,363.82</u> BONUS \$ <u>0</u>	BENEFITS Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> HIRE DATE <u>Dec 1998</u>

NAME Billy G. Brattg TITLE Part time clerk
 SALARY \$ 13,859.24 BONUS \$ 0 BENEFITS Yes ___ No HIRE DATE 1970

NAME Henry L. Dodson TITLE Part time clerk
 SALARY \$ 10,625.46 BONUS \$ 0 BENEFITS Yes ___ No HIRE DATE 1970

NAME Oother Golden TITLE Part time clerk
 SALARY \$ 2,544.64 BONUS \$ 0 BENEFITS Yes ___ No HIRE DATE 2004

3. Please attach a list of the benefits you pay to your 5 highest paid employees.
We pay Medical & Dental & Retirement for our 2 Full time Employees

4. List the names of your board members and their annual board compensation for Fiscal Year 2009
Brian Booe Chairman 1000.00 yr.
James Dalton 200.00 yr., Keith Morgan 200.00 yr.

Fiscal Year 2008
Brian Booe Chairman 1000.00 yr.
Bonnie Parks 200.00 yr., Keith Morgan 200.00 yr.

Fiscal Year 2007
William F. Southern Chairman 1000.00 yr.
Brian Booe 200.00, Bonnie Parks 200.00 yr.

5. Do your board members receive insurance or retirement benefits? Yes ___ No If yes, what are they? _____

6. Do your board members receive other compensation for their service Yes ___ No If so, what? _____

7. Do you have a travel policy for board members/employees? Yes No ___ If yes, when was it instituted? 1999 Please attach a copy.

8. Do you have an ethics policy in place for board members/employees? Yes No ___ If yes, when was it instituted? Jan 2006 Please attach a copy.

9. Does your ethics policy prohibit receipt of gifts, including for example, entertainment tickets, bottles of alcohol, goods or services? Yes No ___

10. Does your ethics policy allow payment of meals or other travel expenses by industry members or private dollars? Yes ___ No

11. Do you have a nepotism policy in place for board members/employees? Yes No ___ If yes, when was it instituted? _____ Please attach a copy.

We have always followed General Statutes of N.C. 18B-201

12. Do you have a standard process for setting salary and compensation ranges for ABC employees? Yes No ___ If yes, when was it instituted? _____ Please attach a copy.

In Personnel Policy Attached.

13. Do you pay a car allowance for board members/employees? Yes ___ No If so, how much is it per year total and who receives it? _____

14. For your individual board members (and family members if applicable) what was the total travel expense paid or reimbursed from all sources, public and private for ABC-related functions in Fiscal Year 2009? 3,300.00

Submitted by Name Brian Booe Title: Chairman Date: 11/25/09

Personnel and Travel Policy

For

Town of Walnut Cove

Alcoholic Beverage Control Board

Walnut Cove, North Carolina

CONTENTS

PERSONNEL RESOLUTION.....	1
GENERAL PROVISIONS.. ..	1
MERIT PRINCIPLES AND EQUAL EMPLOYMENT OPPORTUNITY.....	2
STORE HOURS AND GENERAL REGULATIONS.....	2
AMENDMENT TO THE RESOLUTION	2
POLICY CHANGES	3
THE SALARY PLAN	5
RULES AND REGULATIONS FOR ALL EMPLOYEES.....	5
PERFORMANCE OF DUTIES.....	5
PERSONAL CONDUCT.....	6
DISCIPLINARY ACTION.....	6
COMPLAINT PROCEDURE.....	7
GUIDES TO EMPLOYEES.....	9
SICK LEAVE.....	9
JURY DUTY.....	9
FUNERAL LEAVE.....	10
MANDATORY RETIREMENT.....	10
VACATION POLICY.....	11
GROUP INSURANCE PLAN.....	11
UNEMPLOYMENT COMPENSATION.....	11
RETIREMENT PROGRAM.....	11
WORKER'S COMPENSATION.....	12
SOCIAL SECURITY.....	12
HOLIDAYS.....	12
REPORTING FOR WORK.....	12
SALE TO OR PURCHASE BY MINORS.....	12
SALE TO INTOXICATED PERSONS.....	13
EXCHANGE OF MERCHANDISE.....	13
OTHER GENERAL REGULATIONS.....	13
SECURITY.....	14
GUN REGULATION.....	14
TRAVEL POLICY.....	14
MISCELLANEOUS EXPENSE.....	15
DECLARATIONS, EFFECTIVE DATE.....	16

1

TOWN OF WALNUT COVE
BOARD OF ALCOHOIC CONTROL

PERSONNEL RESOLUTION

BE IT RESOLVED by the Town of Walnut Cove Board of Alcoholic Control that the following rules and regulations shall govern the hiring, dismissal, and conditions of employment of the employees of the Town of Walnut Cove Board of Alcoholic Control.

General Provisions

The Town of Walnut Cove Board of Alcoholic Control, consisting of a Chairman and two board members, was established to control the importation, sale, and distribution of alcoholic beverages in Walnut Cove and Stokes County. The Board has the functions, duties, and powers described in its enabling legislation and General Statutes. The Board had adopted regulations governing the operation of the ABC Store and the enforcement of alcoholic beverage laws subject to the approval of the Alcoholic Beverage Control Commission.

The Walnut Cove ABC Board is a government agency, Employees work for the Walnut Cove ABC Board, not the Town of Walnut Cove or the State of North Carolina. The ABC Board is governed by the State to the extent the Statute 18-B (the ABC laws) provides. Included in these laws is the provision that the local ABC Board has the power and authority to adopt rules and regulations governing the operation of the ABC Store in Walnut Cove?

Each employee and ABC Board member is performing a service for the ultimate benefit of the citizens of Walnut Cove and surrounding areas.

It is conceived that the purpose of the North Carolina Alcoholic Beverage Control System is to provide regulations necessary to control the appropriate distribution and sale of the commodity as will best serve the public interest.

Net profits from the sale of alcoholic beverages in this system are distributed on an annual basis.

MERIT PRINCIPLES AND EQUAL EMPLOYMENT OPPORTUNITY

Any hiring of employees shall be made solely on the basis of merit and fitness. Employment practices shall at all times adhere to the laws guaranteeing equal employment opportunities to all persons without regard to race, creed, color, sex, age or national origin.

STORE HOURS AND GENERAL REGULATIONS

Store hours are from 9:00 AM until 9:00 PM, Monday through Saturday, each week, except for scheduled holidays. Exceptions or changes may be made as deemed necessary by the ABC Board.

AMENDMENT TO THE RESOLUTION

The provisions of the Resolution may be amended by the Walnut Cove ABC Board as circumstances may require in order to comply with requirements of any law or to improve the quality of service provided to the public.

POLICY CHANGES

In any organization, changes in personnel policy are necessary from time to time. Whenever a policy is changed, it is done to provide a more secure organization. As changes are made to the policies outlined in this manual, you will be notified.

Should any provision in the manual be rendered invalid or illegal by any existing or future legislative, administrative, or court decrees, Federal or State, such provision shall be considered null and void,

THE SALARY PLAN

The salary of all employees of the Walnut Cove ABC Store will be determined by the Walnut Cove ABC Board. Based on experience and number of years with the ABC Store.

Each new employee will serve a probation period of three months. This period provides the employee the opportunity to adjust to the job and serves as a trial period during which the employee must prove his or her ability to perform the responsibilities of the position, to accept additional responsibility, and to develop a positive attitude toward co-workers and the public.

By the end of the probation period, a new employee must:

- (a) Be physically able to lift and move heavy objects in the performance of their duties.
- (b) Be willing and physically able to work in the ABC Store, and help unload cases of liquor from the trucks on delivery days.
- (c) Be able to deal with the public in a courteous, tactful, and effective manner.
- (d) Be proficient in the use of a cash register and calculator.
- (e) Be able to make accurate and rapid computations.
- (f) Have a thorough knowledge of the types and brand names of alcoholic beverages.
- (g) Have a thorough knowledge of store rules and regulations.

After this probationary period is over, if continued employment is considered not to be in the best interest of the ABC Board, an employee may be discontinued without adverse judgement against the worker.

Salaries will be reviewed by the ABC Board annually. Adjustments will be made based primarily on cost of living and/or recognition of superior or improved performance. Other factors to be considered would be a comparative study of other ABC Boards, governmental bodies, private industry, and the financial condition of the store.

Pay periods shall be as follows:

- (1) All employees shall be paid bi-weekly on Tuesday for service the previous two (2) weeks.
- (2) A pay period begins on Monday morning and runs through Saturday evening.
- (3) Work week: A work week is defined as forty (40) hours for full time employees. Part time employees will work less than forty (40) hours; their hours will be determined by the Manager and the ABC Board.
- (4) Employees will be asked to work overtime only in an emergency and other times of unusual need.
- (5) Time Sheets: In order to maintain necessary data and payroll information, the manager will maintain weekly time sheets. This record must be acknowledged as accurate by employees before a pay check is issued.
- (6) Bonuses: At the discretion of the ABC Board, employees may be given bonuses at or near the end of the calendar year.
- (7) Resignation; Notice Required: In order to resign in good standing, an employee should give at least two weeks notice of his or her intention to resign.

RULES AND REGULATIONS FOR ALL EMPLOYEES

The Walnut Cove ABC Board has a formal policy on disciplinary action and dismissal, which will be used when an employee's work or conduct makes it necessary.

Some of the causes for disciplinary action or dismissal are:

PERFORMANCE OF DUTIES

- (1) Physical or mental incapability.
- (2) Habitual improper use of sick leave.
- (3) Absence without approved leave.
- (4) Habitual failure to report for work at the assigned time.
- (5) Inefficiency, incompetence, or negligence.
- (6) Careless or improper use of ABC property.
- (7) Failure to work well with co-workers or the public.

PERSONAL CONDUCT

- (1) Misuse of ABC Funds.
- (2) Willful damage to lives or property.
- (3) Conviction of a felony.
- (4) Immoral conduct or a criminal act.
- (5) Gross misconduct unbecoming an ABC employee.
- (6) Falsified information to secure job.
- (7) Act to disrupt the normal operation of the ABC Board.
- (8) Refusal to accept a reasonable and proper assignment from an authorized supervisor (insubordination).
- (9) Reporting to work under the influence of alcohol or drugs.
- (10) Engaging in incompatible employment or serving in a conflict of interest.
- (11) Betrayal of confidential information from official records.
- (12) Violation of any law or regulation pertaining to intoxicating liquor.
- (13) Sexual harassment of any employee.

DISCIPLINARY ACTION

Disciplinary Action: Disciplinary action against an employee may be taken in the form of a suspension or dismissal. A dismissal (for disciplinary reason) shall always be preceded by a suspension of the employee in order to provide an appropriate amount of time for an investigation of the matter by the Board. Such disciplinary actions are defined and explained as:

1. Suspension.

a. Definition: Suspension is an action taken by the Manager whereby the employee's pay is discontinued while he or she is temporarily relieved of all duties and responsibilities.

b. Reinstatement of Employee. For disciplinary suspensions. Back pay shall not be recoverable, but where the suspension is terminated by full reinstatement of the employee, the employee shall again be entitled to all appropriate pay and benefits.

2. Dismissal.

a. Definition: Dismissal is disciplinary action taken by the ABC Board whereby the offending employee is relieved of all duties and responsibilities and discharged from the employment with the ABC system.

COMPLAINT PROCEDURE

Policy: It is the policy of the Board to provide a just procedure for the presentation, consideration, and disposition of employee complaints.

Complaint Defined: A complaint is a claim or grievance based on an event or condition which affects the circumstances under which an employee works, allegedly caused by misinterpretation, unfair application, or lack of established policy pertaining to employment conditions.

Procedure: The employee with a complaint should attempt to resolve the complaint with the Manager in an informal meeting, before going on to the ABC Board. If no resolution to the complaint has been reached informally within five (5) days of its occurrence the employee with a complaint shall present the complaint to the Manager in writing. The Manager shall respond to the complaint within five (5) complete working days after receipt. The Manager should, and is encouraged to, consult with any employee in order to reach a correct, impartial, fair, and equitable decision concerning the complaint.

The response shall be in writing and signed by the manager. In addition, the employee shall sign a copy to acknowledge receipt. The Manager shall send copies of the complaint and answer to the ABC Board.

If the complaint is not resolved to the satisfaction of the employee by the Manager, the employee may appeal in writing to the ABC Board within ten (10) days after receipt of the response. The ABC Board shall respond to the appeal, stating the decision within thirty (30) days after receipt of the appeal. The response shall be signed by a ABC Board member, and a copy of said response shall be signed by the employee to acknowledge receipt. The ABC Board's decision shall be the final decision.

GUIDES TO EMPLOYEES

Customer Approach: It is felt the following article is exceptionally good for the guidance and assistance of all employees. It sets the standards of behavior and procedures expected of all ABC employees.

Service to the Public: To deserve the goodwill of the public is of the utmost importance. It is best gained by giving cheerful, competent service in clean, attractive stores. Customers must be waited on promptly and pleasantly. When the sale is completed, say "Thank You." If engaged in other duties at the counter, stop such work when customer enters and be prepared to serve them. Clerks should give customers their undivided attention. Should a customer be difficult in their attitude, always remain courteous and patient.

If situations arise which you cannot handle, call the manager before such incidents get out of control.

Any employee needing to be out of work in case of an emergency, please Call Manager. Time off for an emergency can be sick time or vacation time.

When an employee needs to be out of work for any personal reason, he or she should work with another employee to change shifts or hours with them. This would eliminate any interference with the regular scheduled hours, and prevent someone else having to work more than his or her scheduled hours.

No Drinking on Premises Anytime: No signs of over-indulgence the night before. Anytime an employee purchases a bottle, he must purchase it from another employee and remove it from the store at once. No bottles belonging to anyone are allowed to be kept on the premises. The Manager finding an employee unable to perform his or her duties shall send the person home and take proper disciplinary action.

The Store Manager and Clerks will be held responsible for change funds that are entrusted to them. No borrowing from money bags. The bags will be checked from time to time. There should be 100.00 in cash drawer to start the day, and also 100.00 left in cash drawer at end of the day. Petty cash in vault will be 400.00.

No checking out or counting money is to be done at the front of the store. Do not start checking up until doors are locked at 9:00 PM. Clerks are to carry drawers to back of store to check out.

No one is to tell of anyone they have seen making purchases. This is a private matter to most individuals and we will respect our customer's privacy.

All store employee's are to be in proper dress at all times while on duty.

Telephones in ABC store are for business use only. Lengthy personal conversations will no be permitted.

No Foul Language or strong emotions are to be displayed to customers or fellow workers.

Loitering is not permitted inside or outside of the ABC store.

Employees and management are not to lend customers money.

SICK LEAVE

1. Sick leave is a privilege. Sick leave with pay is not a right, but a privilege granted by the ABC Board.
2. Sick leave earned. Each full-time employee shall earn sick leave at the rate of ten (10) working days per full calendar year.
3. Granting of sick leave. An employee may be granted sick leave from work with pay if his or her absence is due to sickness, bodily injury, quarantine, required physical or emergency dental work, or illness in the employee's family which requires the care of the employee.

JURY DUTY

An employee called for service on a jury may be granted leave for a period for which called. Jury duty is not considered sick leave.

FUNERAL LEAVE

Funeral leave shall be granted to an employee to attend the funeral of a member of the employee's immediate family. (Husband, Wife, Mother, Father, Child, or In-laws)

Length of funeral leave shall be two (2) days, if needed, for a death in the immediate family.

MANDATORY RETIREMENT

The Board realizes that age does not necessarily diminish an employee's value. For this reason, it has a fluctuating mandatory retirement age. An employee who reached the age of sixty-five (65) will be given the opportunity to continue work if he or she chooses. The ABC Board will decide, annually, whether or not to enforce mandatory retirement based on an evaluation of the employee's performance and capacity to perform his duties.

VACATION POLICY

1. Eligible Full time employees will receive vacation time after probationary period is over.
2. Employees shall be entitled to one (1) week paid vacation within the first year of service. Employees will be entitled to two (2) weeks paid vacation after 1 year of service.
3. It is mandatory that all vacation be taken each year. Employees should decide the dates they would like to take their vacation and notify the manager to post on the calendar. Vacation can be taken in 1-day increments if desired.
4. During scheduled vacations, all employees will be asked to work extra time to provide adequate coverage during the vacation period. When such coverage exceeds forty (40) hours per week, compensation will be made.
5. Should it become necessary to change a scheduled vacation, the employee is asked to notify the manager as soon as possible.

Remember, the definition of a year's employment is from the date of your employment.

GROUP INSURANCE PLAN

Coverage and Cost. Group Health, Dental and Prescription Benefits are provided for each full-time employee. The premiums on this insurance are paid by the Town of Walnut Cove ABC Board.

A new Full Time employee who is hired after February 1, 1999, will have group Health, Dental and Prescription benefits paid by the Walnut Cove ABC Board. If the employee prefers to have his or her dependents covered on the ABC policy, the premium has to be paid by the employee.

UNEMPLOYMENT COMPENSATION

Employees are covered by unemployment insurance. The local office of the Employment Security Commission will determine an employee's eligibility to receive these benefits if the problem should occur.

RETIREMENT PROGRAM

Full Time Employee

You and the ABC Board save for your retirement. You contribute 6% of your salary and the Board contributes to the cost of this benefit established by the North Carolina Legislature.

You contribute to the Retirement System until you retire. The Board also contributes as long as you are employed. The contributions are based on actuarial calculations so that your benefits can be provided on a sound basis.

WORKER'S COMPENSATION

Walnut Cove ABC employees are fully covered under the Workmen's Compensation Laws, which provide payment for lost time and medical attention if you have an accident while on the job.

SOCIAL SECURITY

All ABC employees contribute from each dollar to the Social Security program.

HOLIDAYS

New Year's Day
Easter Monday
July 4th
Labor Day

Thanksgiving Day
Christmas Day

REPORTING FOR WORK

Your Board and co-workers depend on you to do quality work and a certain volume of work. If you are late or absent, your co-workers have to do your work until a replacement can be found for you. If you see that you have to be out or late for work, please notify your manager as soon as possible.

SALE TO OR PURCHASE BY MINORS

As stated in the ABC Laws of North Carolina, it shall be unlawful for any person to sell Spirituous Liquor to anyone less than 21 years of age. A sale made in violation of the statues shall be presumed to have been made knowingly unless the seller shows that the purchaser produced a driver's license, a special identification card, a military identification card, or a passport showing the purchaser's age to be at least the required age for purchase and bearing a photograph of the person named on the card. As clearly stated in North Carolina Laws, any Store employee who sells to a person under 21 years of age shall be arrested by an ABC officer or any other law enforcement officer and must appear in court to defend himself at his own expense. If found guilty by the court, the employee will be terminated immediately.

SALE TO INTOXICATED PERSONS

It is unlawful for an ABC store employee to knowingly sell or give alcoholic beverages to any person who is intoxicated. Sales to anyone visibly intoxicated are prohibited. Use diplomacy and courtesy in declining to sell to a customer.

EXCHANGE OF MERCHANDISE

Once a customer has left the store with merchandise, it cannot be returned or exchanged. Requests for exchanges should be referred to the Manager. If there is a complaint against the merchandise, and after inspecting the merchandise, you feel it is undesirable; a replacement bottle can be given to the customer. The Manager will then write a damage report on the returned bottle. The damaged bottles are checked and destroyed by the distiller's representative.

OTHER GENERAL REGULATIONS

- (1) No seal on a bottle of spirituous liquor is to be broken on the premises of the ABC store.
- (2) Only cash sales, credit cards, or approved checks may be taken as payment.
- (3) No Two party checks will be accepted, check shall be written to ABC Store for amount of purchase only, unless approved by manager. Also checks need to have a phone number and Driver's lic. Number on them.
- (4) No bottle may be sold on credit.
- (5) At no time will an employee remove money from the cash register for his or her own use.

(7) ABC employment shall have precedence over all other occupational interest of employees.

(8) No employee shall engage in any political activity while on duty.

SECURITY

If deposits are made after closing at 9:00 PM, employee making the deposit will have a police escort. Upon leaving the ABC Store at 9:00 PM closing, check the outside premises. If you feel it is not safe to leave, call 911 and wait until the police arrive before leaving the building.

GUN REGULATION

No firearms, concealed or otherwise, are permitted in the ABC store at any time.

TRAVEL POLICY

- (1) The purpose of this policy is to establish procedures for authorization of travel by ABC employees and ABC board members for specific purposes of conducting ABC Business, and to establish procedures for reimbursement of the costs of authorized travel.
- (2) The Manager or any ABC Board member engaged in official travel shall be authorized to be reimbursed for expenses listed below.
 - A. Mileage at the rate of 50.5 cents a mile.
 - B. Lodging at the actual amount incurred
 - C. Meals as part of a convention or conference at the actual costs
- (3) Documentation of expenses incurred is required.

- (3) Documentation of expenses incurred is required.
- (4) Additional expense incurred due to spousal accompaniment is not reimbursable.

MISCELLANEOUS EXPENSE

All miscellaneous expense must be approved by the Walnut Cove ABC Board.

DECLARATIONS: EFFECTIVE DATE

The Town of Walnut Cove ABC Board hereby declares:

- (a) That should any section, paragraph, sentence or word of this resolution be declared for any reason invalid, it is the intent of the Town of Walnut Cove ABC Board that such body would have passed all other portions of this resolutions independent of elimination here from of any such portion as may be declared invalid.

- (b) That this resolution shall take effect and be in force from and after the date of its ratification.

Ratified this the 6th day of April, 1999.

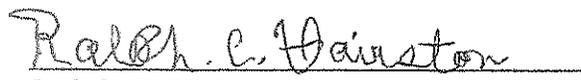


William F. Southern, Chairman
Walnut Cove ABC Board

Members:



Hugh E. Parks



Ralph C. Hairston

DECLARATIONS: EFFECTIVE DATE

The Town of Walnut Cove ABC Board hereby declares:

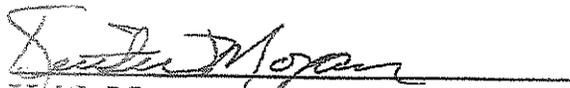
- (a) That should any section, paragraph, sentence or word of this resolution be declared for any reason invalid, it is the intent of the Town of Walnut Cove ABC Board that such body would have passed all other portions of this resolutions independent of elimination here from of any such portion as may be declared invalid.
- (b) That this resolution shall take effect and be in force from and after the date of its ratification.

Ratified this the 18 day of Aug, 2008.

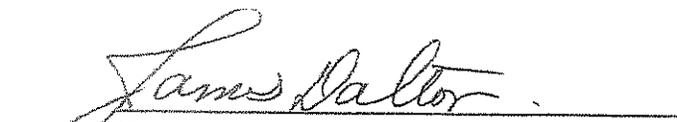


Brian Booe, Chairman
Walnut Cove ABC Board

Members:



Keith Morgan



James Dalton

Ethics and Conflict of Interest Policy
Town of Walnut Cove

I. Purpose

Service on the Town Board of Commissioners, on a board or committee appointed by the Town Board of Commissioners, or service as an employee of the Town of Walnut Cove is a matter of public trust. (Hereafter, the term “town official(s)” shall refer to anyone affiliated with the Town of Walnut Cove in an elected, appointed, or employment capacity.) Town officials have a duty to represent the public interest fairly and honestly. To protect the integrity of governmental decisions and to promote public confidence in the decisions, no Town official shall use his or her position for private gain. Further, Town officials shall refrain from actions that might reasonably call into question the impartiality and fairness of those decisions. To that end, this Ethics/Conflict of Interest Policy establishes minimum standards that Town officials shall follow to avoid conflicts of interest in governmental decision making. It is the intention of the Town Board of Commissioners that this policy be liberally construed so as to accomplish its purpose of protecting the public against governmental decisions affected by undue conflicts of interest.

II. Applicability

This policy shall apply to all elected members of the Town Board of Commissioners, including the Mayor: to all citizen members of all boards, committees, or commissions of the Town that are appointed by the Town Board of Commissioners: and to all employees of the Town. For clarification, boards, committees, or commissions includes the Planning Board and all other standing committees, permanent committees, boards, or commissions that are subsequently appointed by the Town Board of Commissioners in the future. The policy is applicable to temporary study groups or temporary task forces that may be established by the Town Board of Commissioners from time to time. Town Employees include all persons who are entered on the Town’s payroll, either full-time or part-time.

III. Conflicts of Interest

A. Use of Official Position: Town officials should conserve the resources of the Town. No Town official shall use his or her official position or the Town’s facilities or equipment for his or her private gain and shall employ town equipment, property, funds and personnel only in legally permissible pursuits and in a manner that exemplifies excellent stewardship. Town Officials shall not represent any private person, group, or interest before any department, agency, commission, committee, or board of the Town, except in matters of purely civic concern. The provisions of this paragraph are not

intended to prohibit roles and activities by a Town Official at Town events or events attended by the Town, such as acting as a host, an ambassador or representative of the Town, and are not intended to prohibit his or her speaking before neighborhood, civic, professional, or other nonprofit or political organizations.

B. Disclosure of Confidential Information: No Town official shall use or disclose confidential information for purposes of advancing any matter in which he or she has an interest, nor shall a Town official disclose for any purpose information gained at a Closed Session of the Town Board of Commissioners until such disclosure is authorized by law.

C. Special Treatment: No Town official shall grant any special treatment, consideration, or advantage to any citizen beyond that which is available to every other citizen.

D. Incompatible Employment: No Town official shall engage in or accept employment with, or render services for, any person, business entity, or nonprofit organization, when such employment or service is incompatible with the proper discharge of his or her official duties, or would tend to impair his or her independence, judgment, or action in the performance of his or her official duties, unless otherwise permitted by law and unless full disclosure is made, pursuant to this policy.

E. Gifts and Favors : No Town official shall directly or indirectly solicit or accept any gifts or favors, whether in the form of money, services, loans, travel, entertainment, hospitality, thing, promise, or any other form, in violation of N.C.G.S. Sec. 133-32 (Gifts and Favors to Public Officials), or under circumstances in which it could reasonably be inferred that the gift was intended to influence him or her, or could reasonably be expected to influence him or her in the performance of his/her official duties, or was intended as a reward for any official action on his/her part. Legitimate political contributions shall not be considered as gifts or favors under the provisions of this paragraph.

F. Interest in Official Act: Any Town official who has a personal private interest in any official Town act or action shall not participate at any time or in any manner in the discussion or consideration of such matter. The Town official shall also publicly disclose on the record, in open session of the Town Board of Commissioners or the respective board, committee, or commission, or in the case of Town employees, to the Town Manager, the nature and extent of such interest and shall request to be excused from voting, or withdraw from any decision making on the matter.

G. Lobbying: For one (1) year after leaving office, a Town official shall not, for compensation, represent or lobby on behalf of any person or business entity before the Town, including Town staff and consultants.

IV. Honor and Enforcement of Laws

All Town officials herein named shall honor and enforce fairly and equitably to all persons the Constitution and Laws of the United States of America and the Constitution and Laws of the State of North Carolina, not inconsistent therewith, and the laws, ordinances, codes, resolutions and official acts and actions of the Town of Walnut Cove, not inconsistent therewith. Town officials should respect and comply with the Law and should conduct themselves at all times in a manner that promotes public confidence in the integrity of the offices they hold and in Town government.

V. Diligent Performance of Duties

Town officials should, while performing the duties of their offices as prescribed by law, give precedence to these duties over other activities. In the performance of these duties, the following shall apply:

A. Legislative Responsibilities

1. Town officials who exercise legislative responsibilities should actively pursue policy goals they believe to be in the best interests of their constituents within the parameters of orderly decision making, adopted rules of procedure, and open government. All Town officials should respect the legitimacy of the goals and interests of other Town officials exercising legislative responsibilities and should respect the rights of others to pursue goals and policies different from their own.
2. Town officials should be aware of the letter and intent of the North Carolina Open Meetings Law, should conduct the affairs of the Town consistent with the letter and spirit of that law, and consistent with the need to inspire and maintain public confidence in the integrity and fairness of Town government.
3. Consistent with this goal of preserving public trust, Town officials should be aware of the need for discretion in deliberations when the lack of discretion would pose a threat to the resources of the Town, to the reputation of the Town, to orderly and responsible decision making, and to the integrity of other governmental processes or to other legitimate interests of the Town.

B. Adjudicative Responsibilities

1. Town officials who exercise adjudicative responsibilities should be faithful to the general and local laws pertaining to their offices and strive for professional competence in the laws. They should not be swayed by partisan interests, public clamor, or fear of criticism.
2. Town officials who exercise adjudicative responsibilities should demand and contribute to the maintenance of order and decorum in proceedings before them.
3. Town officials who exercise adjudicative responsibilities should be honest, patient, dignified, and courteous to those with whom they deal in their official capacities.
4. Town officials who exercise adjudicative responsibilities should afford to every person who is legally interested in a proceeding before them the full right to be heard according to the law.
5. Town officials who exercise adjudicative responsibilities should dispose promptly of the business of the Town for which they are responsible.

C. Quasi-Judicial Decisions and Responsibilities

1. Town officials who exercise quasi-judicial responsibilities and make quasi-judicial decisions shall disqualify themselves from any matter in which their impartiality might be reasonably questioned. These Town officials therefore shall refrain from all participation in any matter in which they have any financial interest (direct or indirect), a personal bias or prejudice, or a personal or financial relationship with any of the parties or the parties' representatives.
2. In order to ensure a fair and unbiased hearing on the record of all quasi-judicial matters, Town officials making quasi-judicial decisions shall refrain from discussion of such matters with the parties thereto or any other persons, excluding the appropriate Town staff members, other than through the formal hearing process.

D. Administrative Responsibilities

1. All elected and appointed Town officials should clearly distinguish legislative, adjudicative, quasi-judicial, and administrative responsibilities and should refrain from inappropriate interference in the impartial administration of Town affairs.
2. The Town per its Charter operates under the Council/Manager form of government: as such, Town Board members should convey their requests for service and information directly to the Town Manager, unless said request for

service or information is within the employee's normal scope of routine job responsibilities. All Town officials should diligently discharge those administrative responsibilities that are appropriate, should maintain professional competence in the administration of these duties, and should facilitate the diligent discharge of the administrative responsibilities of fellow Town officials.

VI. Advisory Opinions and Resolutions

1. When a Town official has a doubt as to the applicability of any provision of this policy to a particular situation or to the definition of terms used in this policy, he or she may apply to the Town Attorney for an advisory opinion, which shall be issued in writing and filed with the Town Clerk. The official shall have the opportunity to present his or her interpretation of the facts at issue and of the application of provisions of this policy before the Town Attorney makes such advisory opinion.
2. In no event will the Town Attorney's advisory opinion excuse a Town official from complying with the policy or other applicable law.
3. A complainant may file an ethics complaint against any Town official for an alleged violation of the policy. Any complaint filed under this policy shall be made in writing, and must be signed by the complainant.
4. If the Ethics Complaint is against an elected official, an appointed member of one of the Town's boards, committees, or commissions, or the Town Manager, the complaint shall be filed with the Town Attorney.
5. If the ethics complaint is against a full-time or part-time employee of the Town, the complaint shall be filed with the Town Manager, and the investigation of the complaint and resulting actions shall be taken by the Town Manager in accordance with the Town's Personnel Policy, consistent with North Carolina Public Employment Law.
6. When the complaint is against an elected official, the Town Manager, or an appointed member of a Town board, committee, or commission, the Town Attorney shall provide a copy of this policy to the Town official subject to such a complaint. Thereafter, the Town Attorney shall hold an informal meeting with the complainant to discuss the ethics complaint. The Town official subject to the ethics complaint may attend the informal meeting. Should the complainant decide not to pursue the complaint, the complainant shall withdraw the ethics complaint in writing.

Should the complainant decide to pursue the ethics complaint at the conclusion of the informal meeting, the Town Attorney shall immediately transmit copies of the ethics complaint to appropriate Town officials,

including all members of the Board of Commissioners, and to the complainant. The Town Attorney shall be authorized to retain an independent investigator to conduct an independent investigation into the complaint. The Town Attorney shall be responsible for coordination of all aspects of the investigation, and shall submit a thoroughly investigated and researched written opinion, including findings of fact and conclusions to the Town Board of Commissioners.

7. An independent investigator may be retained from another local government in North Carolina, from an institution of higher education in North Carolina, from a State Government Agency, or from another public source in North Carolina. The independent investigator should have the ability and credentials necessary to perform an independent, objective investigation of the complaint being lodged. Normally, the Town would secure services of an independent investigator under mutual assistance provisions as outlined above and would pay out-of-pocket expenses to the provider.

With the assistance of the independent investigator, the Town Board of Commissioners, after receipt of the independent investigator's written opinion shall take such actions as are required by law. The Town Board of Commissioners may take such additional actions as may be recommended or advised by the Independent Investigator and as necessary to protect the Town. As an additional measure, the Town Board of Commissioners may, by majority vote in open session of the Town Board of Commissioners, adopt a Resolution of Censorship.

VII. Whistleblowers

1. The Town confirms that no harassment, retaliation or any type of discrimination will be tolerated against an employee ("whistleblower") who:

A. makes a good faith complaint about suspected violations of law or violations of the Town's policies, including, without limitation, unethical activity, or breach of any law or Town ordinance that would subject an employee of the Town to disciplinary action under the personnel policy of the Town.

B. provides information or in any way assists in an investigation that results from a complaint filed against an employee or official of the Town.

2. Discharge, demotion, suspension or any other form of discipline against a whistleblower will not be tolerated.

3. Anyone filing a complaint under this policy must act in good faith and have an honest belief that the complaint is well-founded, including a

reasonable factual basis. A whistleblower is not expected to prove the truth in an allegation, but must demonstrate to the person contacted that sufficient grounds exist. Good faith is evident when the complaint is made without malice or consideration of personal benefit. Whistleblowers making complaints not in good faith may face disciplinary action consistent with the severity of the matter. Complaints not in good faith are considered to fall under that portion of the personnel policy allowing discipline for harassment and/or conduct unbecoming of a public officer/employee if said act by the whistleblower does not fall within the meaning of any other wrongful acts set forth in the personnel policy or any violation of a town ordinance or any laws of the State of North Carolina. Any complainant making allegations without basis, that cannot be substantiated, or that are proven to be intentionally misleading or malicious will be dealt with in accordance with the Town's personnel policies and North Carolina General Statutes, not inconsistent therewith.

VIII Discipline

Employees in violation of this policy will be disciplined consistent with the personnel policy of the Town. Town officials who are not considered employees are not subject to the remedies prescribed in the Town's Personnel Policy.

THIS ETHICS/CONFLICT OF INTEREST POLICY FOR THE TOWN OF WALNUT COVE WAS ADOPTED ON THE 6th DAY OF JANUARY, 2009, BY THE TOWN BOARD OF COMMISSIONERS OF THE TOWN OF WALNUT COVE, NORTH CAROLINA.

John D. Hodgkin, Mayor

ATTEST:

Leslie A. Falstreu, Town Clerk

Local ABC System
 Compensation and Benefits Survey
 Please Return on or before December 1, 2009
 To Laurie Lee, NC ABC Commission
 4307 Mail Service Center, Raleigh NC, 27699

Name of ABC System Warren County ABC Board

ABC Employees

1. How many employees does your ABC system have? full-time 3 part-time 13
 other _____

2. What are the names, titles, total annual compensation (salaries plus bonuses), benefits (410(k), health, retirement, other) and hire date for the 5 most highly paid employees of your system for the following periods:

Fiscal Year 2009 (July 1, 2008 - June 30, 2009)

NAME Larry C. Spruill TITLE Administrator
 SALARY \$ 36758.00 BONUS \$ _____ BENEFITS Yes No HIRE DATE July 1983

NAME Margaret J. Peltaway TITLE Store Manager
 SALARY \$ 25444.00 BONUS \$ _____ BENEFITS Yes No HIRE DATE July 1985

NAME Joyce A. Richardson TITLE Store Manager
 SALARY \$ 21063.00 BONUS \$ _____ BENEFITS Yes No HIRE DATE Jan. 2008

NAME Willie J. Alexander TITLE Part-time Store Manager
 SALARY \$ 16291.84 BONUS \$ _____ BENEFITS Yes No HIRE DATE 04-2007

NAME Michael A. McKee TITLE Part-time Clerk
 SALARY \$ 10051.00 BONUS \$ _____ BENEFITS Yes No HIRE DATE 09-2002

Fiscal Year 2008 (July 1, 2007 - June 30, 2008)

NAME Larry C. Spruill TITLE Administrator
 SALARY \$ 30569 BONUS \$ _____ BENEFITS Yes No HIRE DATE July 1983

NAME Margaret J. Peltaway TITLE Store Manager
 SALARY \$ 25444.00 BONUS \$ _____ BENEFITS Yes No HIRE DATE July 1985

NAME Willie Alexander TITLE Store Manager
 SALARY \$ 25444.00 BONUS \$ _____ BENEFITS Yes No HIRE DATE Nov. 1982

NAME Joyce A. Richardson TITLE Part-time Store Manager
 SALARY \$ 8946.00 BONUS \$ _____ BENEFITS Yes No HIRE DATE 05-2001

NAME James Roberts TITLE Part-time clerk
 SALARY \$ 7867.00 BONUS \$ _____ BENEFITS Yes No HIRE DATE 2-1984

Fiscal Year 2007 (July 1, 2006 - June 30, 2007)

NAME Larry C. Spruill TITLE Administrator
 SALARY \$ 30569.00 BONUS \$ _____ BENEFITS Yes No HIRE DATE 07-1983

NAME Margaret J. Peltaway TITLE Store Manager
 SALARY \$ 25444.00 BONUS \$ _____ BENEFITS Yes No HIRE DATE 07-1985

NAME Willie Alexander TITLE Store Manager
SALARY \$ 25444.00 BONUS \$ _____ BENEFITS Yes No HIRE DATE 11-8-2

NAME Joyce Richardson TITLE Part-time Store Manager
SALARY \$ 10559.00 BONUS \$ _____ BENEFITS Yes No HIRE DATE 05-2001

NAME James Roberts TITLE Part-time Clerk
SALARY \$ 7941.00 BONUS \$ _____ BENEFITS Yes No HIRE DATE 02-84

- 3. Please attach a list of the benefits you pay to your 5 highest paid employees.
- 4. List the names of your board members and their annual board compensation for Fiscal Year 2009

Karl Hehl Jr - 1500.00 W.E. Exum - 780.00
Clarence Jones - 780.00

Fiscal Year 2008
Karl Hehl Jr - 1500.00 W.E. Exum - 780.00
Howard Smith - 780.00

Fiscal Year 2007
Karl Hehl Jr - 1500.00 W.E. Exum - 780.00
Howard Smith - 780.00

- 5. Do your board members receive insurance or retirement benefits? Yes No If yes, what are they? _____
- 6. Do your board members receive other compensation for their service Yes No If so, what? _____
- 7. Do you have a travel policy for board members/employees? Yes No If yes, when was it instituted? 1999 Please attach a copy.
- 8. Do you have an ethics policy in place for board members/employees? Yes No If yes, when was it instituted? 1996 Please attach a copy.
- 9. Does your ethics policy prohibit receipt of gifts, including for example, entertainment tickets, bottles of alcohol, goods or services? Yes No
- 10. Does your ethics policy allow payment of meals or other travel expenses by industry members or private dollars? Yes No
- 11. Do you have a nepotism policy in place for board members/employees? Yes No If yes, when was it instituted? _____ Please attach a copy.
- 12. Do you have a standard process for setting salary and compensation ranges for ABC employees? Yes No If yes, when was it instituted? _____ Please attach a copy.
- 13. Do you pay a car allowance for board members/employees? Yes No If so, how much is it per year total and who receives it? _____

14. For your individual board members (and family members if applicable) what was the total travel expense paid or reimbursed from all sources, public and private for ABC-related functions in Fiscal Year 2009? Approximately 675.00

Submitted by Name [Signature] Title: Admin. Sec'y Date: 12-04-09

Section 14. Gifts.

ABC employees are prohibited from accepting gifts from alcohol industry representatives. The Supervisor may accept "advertising novelties" such as, but not limited to, disposable lighters, bottle or can openers, caps, hats, t-shirts, pens, umbrellas, key chains, shot glasses or other glassware, drink recipes, or other items which bear advertising matter. Alcohol industry representatives are not allowed to give advertising novelties directly to any ABC employee other than the supervisor. Such advertising novelties may be distributed by other ABC employees by the supervisor, so long as all ABC employees share the items over a period of time. The supervisor is allowed to accept an occasional meal when meeting with alcohol industry representatives. Otherwise nothing of value is to be given to any ABC employee or ABC board member.

SEXUAL HARASSMENT

For purposes of this section, sexual harassment means unwelcome and unsolicited sexual advances, or verbal or physical conduct of sexual nature. Including asking for sexual favors in return for favorable actions or help relating to employment of or to the conditions of employment with the Warren County ABC Board.

No individual shall engage in any sexual harassment of any person in connection with any employment. Such acts are unlawful whether the acts occur at the ABC work place or elsewhere. Such acts are prohibited whether such acts are by one person or more and whether condoned by the employer or not and whether or not the person doing the acts can in fact affect the employment or conditions of employment.

Any employee being sexually harassed, either physically or verbally, shall report the incident to either the Administrator or an ABC board member immediately so that a full investigation can be conducted, allegations verified and collaborated and appropriate disciplinary action taken.

**WARREN COUNTY
ABC BOARD
EXPENSE VOUCHER**

Date: _____

I hereby certify that I incurred the following expense while in an authorized travel status, or for the purpose noted below:

TRAVEL EXPENSE:

Purpose of Travel: _____

Period of Travel: _____

MISCELLANEOUS EXPENSE:

Meals: \$ _____

Lodging (Attach Receipts): _____

Other Expense (Attach Receipts): _____

Total: \$ _____

MILEAGE:

Date:	From	To	No of Miles
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

TOTAL MILES _____ @ _____ per mile \$ _____

TOTAL MISCELLANEOUS EXPENSES: \$ _____

TOTAL COST OF TRAVEL: \$ _____

ADVANCED RECEIVED: \$ _____

TOTAL AMOUNT DUE \$ _____

APPROVED FOR PAYMENT: _____

TRAVEL POLICY

Expenses to attend ABC conference, seminars or other official meetings and other travel on official business will be paid. Conference expenses for an accompanying spouse will not be paid. Additionally, when an employee is traveling with his/her spouse, the reimbursement rate for lodging should be limited to the lowest prevailing single room rate.

Reimbursable expenditures will include:

1. Hotel/motel accommodations
2. Airline travel, at economy class rate, for representative but not for spouses, and ground transportation from airport and hotel and back.
3. Meal costs and tips (not to exceed 15% of the bill)
4. Travel by private vehicle at a rate per mile as periodically approved by the Board.
5. Parking and toll fees
6. Conference registration fees
7. Baggage handling tips
8. Telephone calls relating to Board business
9. Miscellaneous costs pertinent to the meeting to be itemized

If a representative, by choice, stays at a hotel or motel other than the conference site, allowable room expenses shall not exceed the costs at the conference site.

Individuals are responsible for verification of all expenses in excess of \$15.00. An itemized expense report must be submitted no later than ten working days after completion of any travel. Expense reports must be approved by two signatures of Board members. No person shall approve his own expenses.

Non reimbursable expenditures will include:

1. Hotel room service unless due to illness
2. Entertainment, movies, newspapers, magazines
3. Snacks, refreshments, set-ups
4. Alcoholic beverages
5. Personal telephone calls
6. Barber, shoe shines
7. Health club, sporting activities
8. Purchase of personal items
9. Traffic fines

This Travel Policy is approved by the Warren County ABC Board on April 26, 1999.

**Local ABC System
 Compensation and Benefits Survey
 Please Return on or before December 1, 2009
 To Laurie Lee, NC ABC Commission
 4307 Mail Service Center, Raleigh NC, 27699**

Name of ABC System Warsaw ABC Board #108

ABC Employees

1. How many employees does your ABC system have? full-time 1 part-time 4
 other _____

2. What are the names, titles, total annual compensation (salaries plus bonuses), benefits (410(k), health, retirement, other) and hire date for the 5 most highly paid employees of your system for the following periods:

Fiscal Year 2009 (July 1, 2008 – June 30, 2009)

NAME Diane C. Blackburn TITLE Manager
 SALARY \$ 23,400.00 BONUS \$ 1,350.00 BENEFITS Yes No HIRE DATE 1-15-01

NAME James A. Smith TITLE clerk
 SALARY \$ 8.00 hr BONUS \$ 125.00 BENEFITS Yes No HIRE DATE 5-31-07

NAME John C. Pence TITLE clerk
 SALARY \$ 7.25 hr BONUS \$ 125.00 BENEFITS Yes No HIRE DATE 8-3-07

NAME Debbie B. Hall TITLE clerk
 SALARY \$ 9.00 hr BONUS \$ 175.00 BENEFITS Yes No HIRE DATE 4-21-08

NAME Mable R. Jones TITLE clerk
 SALARY \$ 8.00 hr BONUS \$ 50.00 BENEFITS Yes No HIRE DATE 6-10-09
 part time help work less than 999 per yr.

Fiscal Year 2008 (July 1, 2007 – June 30, 2008)

NAME Diane C. Blackburn TITLE Manager
 SALARY \$ 23,400.00 BONUS \$ 1,350.00 BENEFITS Yes No HIRE DATE 1-15-01

NAME James A. Smith TITLE clerk
 SALARY \$ 7.00 hr BONUS \$ 125.00 BENEFITS Yes No HIRE DATE 5-31-07

NAME John C. Pence TITLE clerk
 SALARY \$ 7.00 hr BONUS \$ 125.00 BENEFITS Yes No HIRE DATE 8-3-07

NAME Debbie B. Hall TITLE clerk
 SALARY \$ 8.00 hr BONUS \$ 125.00 BENEFITS Yes No HIRE DATE 4-21-08

NAME ~~_____~~ TITLE ~~clerk~~
 SALARY \$ ~~8.00 hr~~ BONUS \$ ~~50.00~~ BENEFITS Yes No HIRE DATE ~~6-10-~~

Fiscal Year 2007 (July 1, 2006 – June 30, 2007)

NAME Diane C. Blackburn TITLE clerk until May 2007 - manager
 SALARY \$ 21,690.00 BONUS \$ 125.00 BENEFITS Yes No HIRE DATE 1-15-01

NAME James A. Smith TITLE clerk
 SALARY \$ 7.00 BONUS \$ 50.00 BENEFITS Yes No HIRE DATE 5-31-07

NAME _____ TITLE _____
SALARY \$ _____ BONUS \$ _____ BENEFITS Yes ___ No ___ HIRE DATE _____

NAME _____ TITLE _____
SALARY \$ _____ BONUS \$ _____ BENEFITS Yes ___ No ___ HIRE DATE _____

NAME _____ TITLE _____
SALARY \$ _____ BONUS \$ _____ BENEFITS Yes ___ No ___ HIRE DATE _____

3. Please attach a list of the benefits you pay to your 5 highest paid employees.

4. List the names of your board members and their annual board compensation for Fiscal Year 2009

Sara Freeman 958.33 Joni Smith 958.33
Jim Jackson 958.33

Fiscal Year 2008

SAME

Fiscal Year 2007

SAME

5. Do your board members receive insurance or retirement benefits? Yes ___ No If yes, what are they? _____

6. Do your board members receive other compensation for their service Yes ___ No If so, what? _____

7. Do you have a travel policy for board members/employees? Yes ___ No If yes, when was it instituted? _____ Please attach a copy.

8. Do you have an ethics policy in place for board members/employees? Yes ___ No If yes, when was it instituted? _____ Please attach a copy.

9. Does your ethics policy prohibit receipt of gifts, including for example, entertainment tickets, bottles of alcohol, goods or services? Yes No ___

10. Does your ethics policy allow payment of meals or other travel expenses by industry members or private dollars? Yes ___ No

11. Do you have a nepotism policy in place for board members/employees? Yes ___ No If yes, when was it instituted? _____ Please attach a copy.

12. Do you have a standard process for setting salary and compensation ranges for ABC employees? Yes ___ No If yes, when was it instituted? _____ Please attach a copy.

13. Do you pay a car allowance for board members/employees? Yes ___ No If so, how much is it per year total and who receives it? _____

14. For your individual board members (and family members if applicable) what was the total travel expense paid or reimbursed from all sources, public and private for ABC-related functions in Fiscal Year 2009? _____

Submitted by Name Daniel Blacketer Title: manager Date: 11-23-09