

**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 Shelby ABC Board

ABC Employees

1. How many employees does your ABC system have? full-time 9 part-time 2
 other N/A

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) SEE ATTACHED LIST.
 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 _____

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

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

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

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 _____

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

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

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

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 _____

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. *SEE Attached List.*

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

See Attached Page #4

Fiscal Year 2008

Fiscal Year 2007

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

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? 2/2009 Please attach a copy. *Attached #7*

8. Do you have an ethics policy in place for board members/employees? Yes No ___ If yes, when was it instituted? 1999 Please attach a copy. *Attached #8*

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? 1985 Please attach a copy. *Attached #11*

12. Do you have a standard process for setting salary and compensation ranges for ABC employees? Yes No ___ If yes, when was it instituted? 2000 Please attach a copy. *Attached #12*

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? \$ 25,008.00

Submitted by Name Elizabeth W. Allen Title: Office Manager Date: 11-26-09

TOP FIVE PAID ABC EMPLOYEES

NAME	TITLE	SALARY	BONUS	BENEFITS	HIRE DATE
2009					
ROLAND WEBBER	MANAGER	\$ 72,755.28	0	YES	6/29/1984
ELIZABETH ALLEN	OFFICE MANAGER	\$ 46,085.44	0	YES	3/22/2000
STANLEY WEBBER	SALES CLERK	\$ 33,334.03	0	YES	5/7/1996
GREGORY HARTGROVE	SALES CLERK	\$ 28,251.39	0	YES	5/26/1996
HANNAH BROWN	SALES CLERK	\$ 27,843.40	0	YES	9/27/1997

2008					
ROLAND WEBBER	MANAGER	\$ 71,226.80	0	YES	6/29/1984
ELIZABETH ALLEN	OFFICE MANAGER	\$ 45,150.22	0	YES	3/22/2000
STANLEY WEBBER	SALES CLERK	\$ 31,399.73	0	YES	5/7/1996
GREGORY HARTGROVE	SALES CLERK	\$ 28,125.62	0	YES	5/26/1996
ROBERT MANNING	SALES CLERK	\$ 27,369.72	0	YES	6/7/1999

2007					
ROLAND WEBBER	MANAGER	\$ 65,938.22	0	YES	6/29/1984
ELIZABETH ALLEN	OFFICE MANAGER	\$ 41,762.87	0	YES	3/22/2000
STANLEY WEBBER	SALES CLERK	\$ 29,431.46	0	YES	5/7/1996
GREGORY HARTGROVE	SALES CLERK	\$ 25,496.29	0	YES	5/26/1996
ROERT MANNING	SALES CLERK	\$ 25,814.44	0	YES	6/7/1999

LIST OF BENEFITS

RETIREMENT	PAID VACATION
HEALTH INSURANCE	SICK DAYS EARNED
DENTAL INSURANCE	
LIFE INSURANCE	
PAID HOLIDAYS	

SHELBY ABC BOARD

LIST OF BOARD MEMBERS & THEIR ANNUAL COMPENSATION

#4

2009

PHIL HEGE	\$ 2,700.00
CARL DOCKERY	\$ 1,800.00
PAGE MORGAN	\$ 1,800.00
FREDDIE HARRILL	\$ 1,800.00
GERALD WEATHERS	\$ 1,800.00

2008

PHIL HEGE	\$ 2,700.00
CARL DOCKERY	\$ 1,800.00
PAGE MORGAN	\$ 1,800.00
FREDDIE HARRILL	\$ 1,800.00
GERALD WEATHERS	\$ 450.00
JERI HORN	\$ 1,350.00

2007

PHIL HEGE	\$ 2,700.00
CARL DOCKERY	\$ 1,800.00
PAGE MORGAN	\$ 1,650.00
FREDDIE HARRILL	\$ 1,650.00
JERI HORN	\$ 1,800.00

**Shelby Board of
Alcoholic Control**

Philip He
Chairman
Carl J. Dockery,
Jeri J. He

P.O. Box 1649 • Shelby, North Carolina 28151-1649 • (704) 482-7921 • Fax (704) 482-8915

P.O. Box 1649
Shelby, N.C. 28151-1649
March 31, 2000

#7
TRAVEL
Policy

Mr. Michael C. Herring, Administrator
N.C. Alcoholic Beverage Control Commission.
4307 Mail Service Center
Raleigh, N.C. 27699-4307

Dear Mr. Herring:

This is in reply to your letter of March 30, 2000 regarding our travel policy. Our previous travel policy followed that set by the City Council of Shelby for their officials. Now that does not comply with the guidelines set out in Memorandum No 2616. We invited the store C.P.A to meet with the Shelby ABC board at our regular meeting in February. This was necessary to determine areas where we needed to change our policy regarding expenditures for travel by employees or board members. A copy of the minutes of that meeting is attached. Our board voted to comply with the memorandum completely. We have canceled all credit cards except the one used by the store manager for necessary purchases. We changed the policy last year abolishing the purchase of a gift or memorial for anyone.

I hope that this answers your request for a statement of our revised policies. It is the intention of the Shelby ABC Board to comply with the requirements set forth in Memorandum 2616.

Yours truly,

Phil Hege
Chairman, Shelby ABC Board

**THE MINUTES
OF
A MEETING OF THE
SHELBY BOARD OF ALCOHOLIC CONTROL**

After notice duly given, the regular meeting of the Shelby Board of Alcoholic Control was held on Monday, February 28, 2000 at 1:00 p.m. in the Shelby Board of Alcoholic Control Office, Shelby, North Carolina. Present were Phil Hege, Chairman; Carl Dockery, Jr. and Jeri Horn, Board Members; Roland Webber, Supervisor; Teresa Porter, Office Manager; Bryon and Jay Gragg, Store CPA's and Detective Carl Duncan, Law Enforcement Officer.

The meeting of the Shelby Board of Alcoholic Control was called to order by Chairman Hege. The current agenda was call to order, minutes of the previous meeting, Law Enforcement Officer's report, Store Manager's report, Bryon Gragg, Store CPA, store credit cards and anyother business acceptable to the full Board.

On a motion made by Jeri Horn and seconded by Phil Hege the minutes held on January 24, 2000 were approved as printed. The motion carried unanimously after a short discussion.

Detective Duncan presented the law enforcement report for February 2000. Jeri Horn made a motion that the report be approved as printed and presented. Carl Dockery, Jr. seconded the motion. After a short discussion the motion carried unanimously.

Roland Webber presented the year to date report, monthly report and report stating the amount of profits and revenues paid to County, City, State and Governmental Agencies. Carl Dockery, Jr. made a motion that the report be approved as printed and presented and Jeri Horn seconded the motion. The motion carried unanimously after a short discussion.

Mr. Bryon and Jay Gragg was present at the meeting to discuss store policies pertaining to a memo issued by the State ABC Commission concerning the expenditure of board funds. According to the memo, store credit cards may not be used for personal items to be reimbursed by employee, along with payment of travel expenses for family members or friends to conventions with intent to reimburse later. Also the funding of parties for employees such as Christmas parties or annual dinner meetings with City Council along with non-member/employee travel are prohibited as well. Mr. Gragg suggested that instead of a Christmas party, the board might want to give a bonus to the employees. In addition, any extra costs that the board would incur to conventions such as registration fees and meal tickets for the spouse of the board member or supervisor will be paid for by them. Instead of having a per diem for trips, meals will be paid for by the employee and receipts will be turned in to office to be reimbursed after the trip. The next item of business was also discussed at this time concerning store credit cards. The board has been in the past charged service charges for each card, which in 1999 was approximately \$80.00. On a motion made by Jeri Horn and seconded by Carl Dockery, Jr. the above changes discussed by the board and CPA's

**THE MINUTES
OF
A MEETING OF THE
SHELBY BOARD OF ALCOHOLIC CONTROL**



was put into effect immediately, as well as canceling all store credit cards with the exception of one. The motion carried unanimously after a short discussion.

There being no further business, the meeting adjourned at 1:54p.m.

Sincerely,

A handwritten signature in cursive script that reads "Phil Hege".

Phil Hege, Chairman



Policy of the Shelby ABC System;
Adopted September 27, 1999

1. The system will take steps to review all credit card charges on a monthly basis. Review and approval shall be done by the store Supervisor and the board chairman or any member of the board and documented in writing. The statements should be approved by the store supervisor and board member by their initialing the statement prior to its payment.
2. The store credit cards shall not be used for personal purchases. If when traveling on store business, personal expenditures that are unavoidable (telephone charges, room service), should be properly documented and reimbursed to the organization. The credit cards should be kept in the ABC store office except when the employee or board member is traveling on official ABC store business. The only employee eligible to use the credit card on a daily basis shall be the Supervisor. *obsolete*
3. Invoices that contain charges to several accounts should include a detailed breakdown of coding of the expenses. For example an invoice that contained office supplies, fixed assets, and repair materials should have an account number and corresponding expense amount summarized and totaled on the invoice. The total should then equal the amount of the invoice. The store supervisor should initial all invoices at the time he co-signs the check for payment and these invoices should be reviewed periodically by the chairman or member of the board. Responsibility for making sure all expenditures of funds are for proper store expenses must rest with the store supervisor and board member who reviews the invoices. All expenditures of more than \$500.00 need board approval. with the exception of merchandise for resale and utilities bills. The store supervisor has sole responsibility for ordering store supplies, office supplies, and merchandise for retail sale. No purchase orders will be made by any other employee. If necessary the supervisor may designate another employee to carry on this function in his absence.
4. The Board adopts the policy of no gifts paid out of store funds for any Board member or any employee of the store. In the case of death of a Board member or an employee or a spouse the cost of an appropriate floral or memorial may be paid with store funds after the supervisor and any board member has discussed the matter. The Board may choose to award a gift in special circumstances and by unanimous agreement of the members of the Board. Proper documentation in the form of minutes or written approval of the Board should be attached to the invoice of such a purchase. Internal Revenue Service guidelines regarding employee gifts should be followed. A copy of the federal guidelines is attached.
5. Usage of the two ABC store vehicles should be restricted to store business only. Use of the vehicles for personal travel or errands is not allowed. Commuting from the store should not be done in a store owned vehicle. Each charge or invoice ticket for fuel, service, or repairs should indicate which vehicle is involved.

6.

Deleter

- 7 These policy statements by the Shelby ABC board are to codify procedures considered at the board meeting on September 27, 1999 and were recommend by CPAs Bryan and Jay Gragg.
- 8 The purpose of these policy statements is to maintain better fiscal control and to improve our management system. All the employees of the Shelby ABC store will be under the supervision and answer to our store supervisor who in turn will answer to the board.

Grant W. Goings,
City Manager
Box 207
Shelby, N.C. 28151-0207

Dear Mr. Goings:

I am late responding to your letter of April 6, 2001, but I was away and did not receive it until the 16th of April. I am glad to comply with your request for several items regarding the financial activities of the Shelby ABC store. It is the continuing policy of the management and board of the ABC store to make fiscal responsibility a main part of our endeavors. We are always working to make sure that no improper or unauthorized use of ABC funds takes place. Our financial affairs are reviewed by the CPA who prepares our financial reports for use by the ABC Commission in Raleigh as well as officials of the City of Shelby.

I am enclosing reports regarding board members expenses for the previous twelve months as well as supporting documents. Attendance to the two conventions for ABC boards held each year is at the discretion of each member, but all are encouraged to attend these affairs. These meetings are the main source of information about the spirits business, and training in how to operate.

I am enclosing a copy of the minutes of our meetings for the past twelve months, and will provide you with a copy each month in the future.

I am also enclosing a copy of the General Statutes pertaining to the appointment of board members and their duties. Our board operates as an local independent political subdivision of the State, since I have been on the board, we have tried to operate in a similar way to other city agencies. No major decisions have been made during that time without conferring with city officials. We have always operated within the bounds approved by the city, except where the General Statutes or the ABC Commission has different restrictions.

Enclosed is a memorandum dated February 16, 2000 from Michael Herring, administrator for the ABC commission with an attachment from their attorney, Ann Fulton regarding local boards use of ABC funds. The Shelby Board is in compliance with both reports. At the time we were still having funds spent for a Christmas party for employees and a dinner for the City Council. Now we operate under the same restraints as any State agency.

I am glad to comply with any request you may make. I am sure we have a sound financial operation, but any suggestions will be taken seriously. Our board was created in 1976 after the voters approved the sale of spirits in Shelby. The only way it can be done under N.C. laws is with an ABC board to oversee the operation. If there is anything further you need, please let me know.

Yours Truly,

Phil Hege, Chairman

Shelby ABC Board

Board responsibilities: To set the policy and adopt rules in conformity with ABC laws and the rules of the ABC Commission. To hire and fire personnel responsible for operating the two ABC stores in Shelby. The board is required to establish and maintain appropriate buildings for the retail area and for the storage of merchandise to be sold. Adequate facilities for board meetings must be provided. Office space is provided for the employees to use in performing their duties as recipients for sales proceeds. Adequate safety measures for the protection of merchandise and large amounts of cash held in the store during working days must be provided. Electronic equipment necessary for the operation has to be obtained by the board and maintenance provided.

The board members are appointed by the Shelby city council for terms of three years. The members are appointed on a rotating basis. Only one member is appointed each year. The chairman of the three person board is made by the city council.

Meetings of this board are scheduled for the fourth Monday of each Month at one P.M. In the event more than one board member will be unable to attend the next scheduled meeting, the date can be changed. The meetings are attended by the store supervisor and the office manager who functions as the board secretary. Others who attend include the ABC officer who is designated by the Shelby Police Department and a liaison from of the city council. The store CPA attends the month after each quarter to present a financial report of our last quarter. Meetings are open to the public and the press.

Meeting format is as follows:

1. a printed agenda is provided.
2. Minutes of the previous meeting are considered and approved
3. Report by the attending ABC officer is presented.
4. Sales report is presented by the supervisor for the previous month
5. Report by the CPA is presented when he attends.
6. A vote is taken on his report to distribute profits
7. New items are taken up,

The minutes are kept by the office manager and a recording is made of each meeting. Records of all minutes and records are kept in files at the store in accordance with requirements of the N.C. Dept. of Archives.

Meetings:

Regular meetings are at 1:00 P.M. on the 4th Monday of each month. Exceptions are made when the day falls on a holiday or if more than one member is unable to attend and notifies the board a month in advance. A board meeting is held each month since there is financial information to be review each month. The board meetings are held in the board room at 824 West Warren St. in Shelby.

Board members do not engage in dealing with vendors. The store supervisor is authorized to contact providers of goods or services needed, and present bids to the board except for fixed costs such as merchandise for resale, utilities and payroll. The manager is authorized to dispense up to \$500.00 for purchases in an emergency. All purchases above that amount must be approved by the board. This includes renewal of insurance policies, repairs or maintenance costs, and pay raises for the employees.

The meetings are conducted according to Roberts rules of orders and the order of business is listed on page one.

Board members do not deal with any vendor outside the board meeting, except to gather information. When repairs or additions to the buildings or equipment may be needed members are encouraged to gather information for presentation to the next board meeting.

No member has a financial interest in the matters before the board. Contracts for all goods and services are awarded on the basis of bids, we require three bids except in some cases that is not possible.

This board follows the city policy for attendance at board meetings.

Board member's duties:

1. to attend the meetings and participate in the discussion, deliberation, and development of recommendations. Each board member has experience in the business world in different jobs. The member is expected to provide the board with his expertise in the business endeavors, to benefit our operation..
2. The member must have a basic knowledge to read financial statements.
3. An understanding of the ABC laws on N. C. and how they are applied in our city.
4. Willing to spend time each month visiting the two retail locations and take an interest in the activities. This done on an individual basis to keep informed of events at the stores.
5. Contact on an informal basis with the supervisor, office mgr. and clerks. This keeps the formal board meetings more informed.
6. The chairman spends 6 to 10 hours a week visiting the two retail locations and conferring with the supervisor and office manager, as well as clerks.
7. The board member is expected to attend two conventions each year, when possible. One is a meeting of the officials of the 17 Control States. The other is a meeting of officials of the North Carolina Boards. These are meetings with seminars on the alcohol business and trade shows. Vendors of merchandise and equipment attend.
8. No conflict of interest is allowed.

#11

BOARD OF ALCOHOLIC CONTROL

Policies and Procedures

EMPLOYMENT OF RELATIVES

This policy applies to the consideration of employment of relatives of employees. It is not the board's intent to prohibit the employment of such relatives, but to limit such employment to minimize conflict situations and assure equal treatment of all.

It is the policy of the board that relatives of employees of the store be permitted to work for the store as outlined in the following:

No spouse may be employed by the store while the husband or wife is currently employed by the board. Close relatives such as spouse, children, father, mother, brother, or sister are not permitted to work for the same store manager.

No non-managerial or non-supervisory employee may be employed in a confidential position for board management and supervision who has a close relative in other operations areas.

Employees who marry while in the employment of the board may continue employment provided continued employment meets the other provisions of this policy and does not represent an addition to the force if such marriage necessitates transfer or reassignment.

This procedure applies to regular and regular part-time employees as defined in the Hiring and Employment procedure, but not to those defined as part time employees.

In cases where conflicts are encountered in the application of this policy and are not voluntarily resolved by the employee involved, that would involve transfer or termination of an employee, the following procedure shall apply:

The employee to be transferred or terminated would be the one in a position that represents the least skill and contribution. In cases where equal skills and contribution are involved, seniority shall be used and the least senior person will be transferred or terminated.

J.H.D. 7.29.85
[Signature]

Salary Schedule
Effective July 1, 2000

#12

Classification	Hire	6 Mo.	1 Yr.	Merit	Merit	Merit						
Cashier	\$17,459	\$ 18,331	\$ 19,248	\$ 20,210	\$ 21,221	\$ 22,282	\$ 23,396	\$ 24,566	\$ 25,794	\$ 27,084		
Assistant Store Manager	\$19,307	\$ 20,272	\$ 21,286	\$ 22,350	\$ 23,468	\$ 24,641	\$ 25,873	\$ 27,167	\$ 28,525	\$ 29,951		
Office Manager	\$23,458	\$ 24,631	\$ 25,863	\$ 27,156	\$ 28,514	\$ 29,939	\$ 31,436	\$ 33,008	\$ 34,659	\$ 36,391		
ABC Officer	\$23,458	\$ 24,631	\$ 25,863	\$ 27,156	\$ 28,514	\$ 29,939	\$ 31,436	\$ 33,008	\$ 34,659	\$ 36,391		
Store Supervisor	\$27,153	\$ 28,511	\$ 29,936	\$ 31,433	\$ 33,004	\$ 34,655	\$ 36,387	\$ 38,207	\$ 40,117	\$ 42,123		

Note: The supervisor has the authority at any time to give a merit raise inside the merit step when he feels the employee has excelled in performance.

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

Name of ABC System SILER CITY ABC BOARD

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 NANCY GOOCH TITLE GENERAL MANAGER / FINANCE OFFICER
 SALARY \$ 35700.00 BONUS \$ 1300.00 BENEFITS Yes No HIRE DATE 11-2-98

NAME BARBARA O. GAINES TITLE FULL TIME CLERK
 SALARY \$ 24206.00 BONUS \$ 1445.50 BENEFITS Yes No HIRE DATE 8-21-86

NAME SHARON HUFNAGLE TITLE FULL TIME CLERK
 SALARY \$ 21242.00 BONUS \$ 450.00 BENEFITS Yes No HIRE DATE 9-11-03

NAME SANDRA JORDAN TITLE PART TIME CLERK
 SALARY \$ 6435.00 BONUS \$ 150.00 BENEFITS Yes No HIRE DATE 6-10-04

NAME KATHY CORDREY TITLE PART TIME CLERK
 SALARY \$ 6240.00 BONUS \$ 25.00 BENEFITS Yes No HIRE DATE 5-27-08

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

NAME NANCY GOOCH TITLE GM / F/O
 SALARY \$ 34720.00 BONUS \$ 1000.00 BENEFITS Yes No HIRE DATE 11-2-98

NAME BARBARA GAINES TITLE FULL TIME CLERK
 SALARY \$ 24206.00 BONUS \$ 1435.50 BENEFITS Yes No HIRE DATE 8-21-86

NAME SHARON HUFNAGLE TITLE FULL TIME CLERK
 SALARY \$ 19760.00 BONUS \$ 400.00 BENEFITS Yes No HIRE DATE 9-11-03

NAME SANDRA JORDAN TITLE PART TIME CLERK
 SALARY \$ 6435.00 BONUS \$ 150.00 BENEFITS Yes No HIRE DATE 6-10-04

NAME PERLY CHEEK TITLE PART TIME CLERK
 SALARY \$ 1170.00 BONUS \$ 200.00 BENEFITS Yes No HIRE DATE 3-8-89

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

NAME NANCY GOOCH TITLE GM / FO
 SALARY \$ 33,000.00 BONUS \$ 900.00 BENEFITS Yes No HIRE DATE 11-2-98

NAME BARBARA GAINES TITLE FULL TIME CLERK
 SALARY \$ 24206.00 BONUS \$ 1435.50 BENEFITS Yes No HIRE DATE 8-21-86

NAME SHARON HUFFIAGLE TITLE FULLTIME CLERK
SALARY \$ 18000.00 BONUS \$ 230.00 BENEFITS Yes No HIRE DATE 9-11-03

NAME SALORA JORDAN TITLE PART TIME CLERK
SALARY \$ 6008.00 BONUS \$ 136.00 BENEFITS Yes No HIRE DATE 6-10-04

NAME PERRY CREEK TITLE PART TIME CLERK
SALARY \$ 1170.00 BONUS \$ 200.00 BENEFITS Yes No HIRE DATE 3-8-89

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

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

JIMMIE PUGH - 1080.00 JOE McEVoy - 720.00
MARGARET MARTIN 720.00

Fiscal Year 2008

SAME AS 2009

Fiscal Year 2007

SAME AS 2009

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? Nov 1983 Please attach a copy. STANDARDS OF CONDUCT

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

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? Nov 1983 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? 1050.00

Submitted by Name NANCY GOOCH Title: GENERAL MANAGER Date: 11-27-09

Town of Siler City
Alcoholic Beverage Control Board
Standards of Conduct

Infractions of Standards will result in immediate discharge.

Any employee who either overtly or covertly attempts to or steals, or uses Board funds in any unauthorized manner will be discharged immediately. This includes stealing money from the registers or change box, failure to pay for personal purchases, removing Board property from the premises, or any other dishonest act. The Board will prosecute the offending person to regain losses.

Conviction of any state ABC violation will result in immediate discharge. This includes consuming alcoholic beverages by any employee while on Board property, inside or outside of the store; selling alcoholic beverages to any person under legal age, or any other violation of ABC law.

Conviction of a felony or conviction of a misdemeanor involving moral turpitude is grounds for dismissal.

Any employee falsifying or misrepresenting official Board reports will be immediately discharged. This includes, but is not limited to, sales, register readings, audits, employee applications, time cards, etc.

Possessing, selling, consuming, or being under the influence of illegal drugs while on Board property will result in immediate dismissal.

Any employee detected "buying for cash" unauthorized merchandise and selling it in the store will be immediately discharged.

The misuse of Board property may result in dismissal.

Section 11. Work Schedules. All employees are expected to be prompt in reporting for duty. Employees should be cooperative at times when it is necessary to adjust duty hours due to unusual circumstances. In case of emergency, when an employee cannot report on time, the manager should be notified as soon as possible so adequate personnel coverage of the store can be arranged.

Section 12. Solicitations. Solicitations and sales other than normal ABC activities are prohibited on the premises of the ABC store.

Section 13. Employee Change Funds. A change fund of two hundred, fifty dollars (~~1250.00~~) will be provided for each clerk. It is the responsibility of each clerk to maintain the correct amount in the change fund at all times.

Section 14. Gifts. ABC employees are prohibited from accepting gifts from alcohol industry representatives.

Section 15. Telephone Calls. ABC telephones are for business use. Personal calls by employees should be held to a minimum and should not interfere with the work schedule. Long Distance calls are to be logged with the General Manager who will reconcile phone charges. Any calls unaccounted for shall be reported to the Board.

ARTICLE IX. CONFLICTING POLICIES REPEALED

Section 1. Policies Repealed. All policies or resolutions and parts thereof conflicting or inconsistent with the provisions of this Resolution are hereby repealed.

ARTICLE IV. APPOINTMENT, DISMISSAL AND DEMOTION

Section 1. Applicability of Article. The provisions of this article shall be applicable to all employees except those exempted.

Section 2. Employment Opportunities. The Board shall publicize opportunities for employment with the governmental unit including the salary ranges and employment qualifications for positions to be filled.

Section 3. Recruitment. The General Manager shall be responsible for assisting the Board in recruiting such employees as are authorized. A police and public records check on any prospective employee shall be made by the General Manager or any Board member. Before any commitment is made to any applicant, the General Manager shall forward the applicant's completed application form to the Board with a recommendation as to the position to be filled and the salary to be paid. After investigating the duties and responsibilities of the position and the qualifications and experience of the applicant, the Board shall determine the classification and the starting salary to be paid if the applicant is employed.

Section 4. Appointment. The Board shall appoint all employees except otherwise provided by law.

Section 5. Qualifications Standards. Employees shall meet the qualifications standards established by the N. C. ABC Commission, the position classification plan, and such other reasonable minimum standards as to character, attitude, ability to meet the public, and physical condition as may be established by the Board with the advice and recommendations of the General Manager. However, no employee shall be required to belong to a particular political party as a condition of employment.

Section 6. Limitation of Employment of Relatives. Two members of an immediate family shall not be employed at the same time. This policy applies to reinstatements as new appointments. This provisions of this Section shall not be retroactive, and no action is to be taken concerning those members of a family employed at the time of adoption of this Section. Immediate family is defined as wife, husband, mother, father, daughter, son, sister, brother, half-sister, half-brother, stepmother, stepfather, stepdaughter, stepson, stepsister, stepbrother, grandmother, grandfather, granddaughter, grandson, mother-in-law, father-in-law, daughter-in-law, son-in-law, sister-in-law, brother-in-law.

**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 Southport

ABC Employees

1. How many employees does your ABC system have? full-time 4 part-time 2
 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 Cynthia Frazier TITLE Mgr/Supervisor
 SALARY \$ 28,560.12 BONUS \$ 379.00 BENEFITS Yes No HIRE DATE 4/10/00

NAME Gary Burbank TITLE FT Clerk
 SALARY \$ 22,449.55 BONUS \$ 216.57 BENEFITS Yes No HIRE DATE 8/6/98

NAME Laura Egan TITLE PT Clerk
 SALARY \$ 18,269.63 BONUS \$ 216.57 BENEFITS Yes No HIRE DATE 1/3/07

NAME Cynthia Johnson TITLE FT Clerk
 SALARY \$ 15,225.91 BONUS \$ 216.57 BENEFITS Yes No HIRE DATE 5/4/05

NAME Wm. McKay TITLE PT Clerk
 SALARY \$ 5,274.66 BONUS \$ 108.28 BENEFITS Yes No HIRE DATE 6/7/00

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

NAME Cynthia Frazier TITLE Mgr/Supervisor
 SALARY \$ 26,250.00 BONUS \$ 379.00 BENEFITS Yes No HIRE DATE 4/10/00

NAME Gary Burbank TITLE FT Clerk
 SALARY \$ 21,891.16 BONUS \$ 297.78 BENEFITS Yes No HIRE DATE 8/6/98

NAME Laura Egan TITLE FT Clerk
 SALARY \$ 16,217.53 BONUS \$ 162.43 BENEFITS Yes No HIRE DATE 1/3/07

NAME Cynthia Johnson TITLE FT Clerk
 SALARY \$ 13,703.65 BONUS \$ 216.57 BENEFITS Yes No HIRE DATE 5/4/05

NAME Wm McKay TITLE PT Clerk
 SALARY \$ 6,582.36 BONUS \$ 108.28 BENEFITS Yes No HIRE DATE 6/7/00

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

NAME Cynthia Frazier TITLE Mgr/Supervisor-07 / FT Clerk 06
 SALARY \$ 22,769.96 BONUS \$ 297.78 BENEFITS Yes No HIRE DATE 4/10/00

NAME Gary Burbank TITLE FT Clerk
 SALARY \$ 21,523.28 BONUS \$ 297.78 BENEFITS Yes No HIRE DATE 8/6/98

NAME Carol Smith TITLE Mgr/Supervisor - 6mos. 06
SALARY \$ 15339.96 BONUS \$ 487.28 BENEFITS Yes No HIRE DATE _____

NAME Cynthia Johnson TITLE FT Clerk 07/PT Clerk 06
SALARY \$ 13356.65 BONUS \$ 108.28 BENEFITS Yes No HIRE DATE 5/4/05

NAME Wm McKay TITLE PT Clerk
SALARY \$ 10241.57 BONUS \$ 108.28 BENEFITS Yes No HIRE DATE 6/7/08

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
- | | |
|-----------------------------------|-----------------------------------|
| <u>Robert A. Jones \$900.00</u> | <u>Wm. A. Davis \$300.00 - 09</u> |
| <u>Harold T. Spencer \$600.00</u> | <u>Wm Hargrove \$200.00 - 08</u> |
- Fiscal Year 2008
- | | |
|----------------------------------|-----------------------------|
| <u>Robert A Jones \$900.00</u> | <u>Wm Hargrove \$600.00</u> |
| <u>Harold T Spencer \$600.00</u> | |
- Fiscal Year 2007
- | | |
|----------------------------------|-----------------------------|
| <u>Robert A. Jones \$900.00</u> | <u>Wm Hargrove \$550.00</u> |
| <u>Harold T Spencer \$600.00</u> | |
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? \$0.

Submitted by Name Cynthia Frazer Title: Mgr/Supervisor Date: 11-24-09

Laurie,

Our policy manual seems to be lacking a great deal.

When things occur the Board always consults the ABC Laws + Rules of NC.

Thanks.

Cynthia

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 Sparta ABC Store

ABC Employees

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

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 Barry Atwood TITLE Clerk
 SALARY \$ 26,980.00 BONUS \$ 1100.00 BENEFITS Yes No HIRE DATE 10/4/04

NAME Arnold Huber TITLE Clerk
 SALARY \$ 18,685.07 BONUS \$ 400.00 BENEFITS Yes No HIRE DATE 11/7/07

NAME Ira Hudson TITLE Part-time Clerk
 SALARY \$ 4,965.00 BONUS \$ 275.00 BENEFITS Yes No HIRE DATE _____

NAME Andrew Wagoner TITLE Board member
 SALARY \$ 2,400.00 BONUS \$ 0 BENEFITS Yes No HIRE DATE _____

NAME RG James TITLE Board member
 SALARY \$ 1,800.00 BONUS \$ 0 BENEFITS Yes No HIRE DATE _____

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

NAME Barry Atwood TITLE Clerk
 SALARY \$ 25,000.00 BONUS \$ 1,000.00 BENEFITS Yes No HIRE DATE _____

NAME Ira Hudson TITLE Part-time Clerk
 SALARY \$ 10,200.00 BONUS \$ 300.00 BENEFITS Yes No HIRE DATE _____

NAME Arnold Huber TITLE Part-time Clerk
 SALARY \$ 10,725.00 BONUS \$ 300.00 BENEFITS Yes No HIRE DATE _____

NAME Andrew Wagoner TITLE Board member
 SALARY \$ 2,400.00 BONUS \$ _____ BENEFITS Yes No HIRE DATE _____

NAME RG James TITLE Board member
 SALARY \$ 1,800.00 BONUS \$ _____ BENEFITS Yes No HIRE DATE _____

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

NAME Doug Williamson TITLE Clerk
 SALARY \$ 25,934.00 BONUS \$ 1,000.00 BENEFITS Yes No HIRE DATE _____

NAME Barry Atwood TITLE Part-time Clerk
 SALARY \$ 18,893.76 BONUS \$ 2,000.00 BENEFITS Yes No HIRE DATE _____

NAME Ira Hudson TITLE Part-time Clerk
 SALARY \$ 82,950.00 BONUS \$ 150.00 BENEFITS Yes ___ No HIRE DATE _____

NAME R.G. James TITLE Board member
 SALARY \$ 24000.00 BONUS \$ 0 BENEFITS Yes ___ No HIRE DATE _____

NAME Andrew Wagoner TITLE Board Member
 SALARY \$ 1800.00 BONUS \$ _____ BENEFITS Yes ___ No HIRE DATE _____

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

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

R.G. James - 1800.00 Teresa Woodel - 1800.00
Andrew Wagoner - 2400.00

Fiscal Year 2008

R.G. James 1800.00 Teresa Woodel - 1800.00
Andrew Wagoner - 2400.00

Fiscal Year 2007

R.G. James - 2400.00 Teresa Woodel - 1800.00
Andrew Wagoner - 1800.00

5. Do your board members receive insurance or retirement benefits? Yes No ___ If yes, what are they? They have insurance, amount taken out of checks.

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 N/A

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? None

Submitted by Name Stephanie Paker Title: Payroll Clerk Date: 11/23/09

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 Sparta ABC Store

ABC Employees

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

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 Barry Atwood TITLE General Manager
 SALARY \$ 26,980.00 BONUS \$ 1100.00 BENEFITS Yes No HIRE DATE 10/4/04

NAME Arnold Huber TITLE Clerk
 SALARY \$ 18,685.00 BONUS \$ 400.00 BENEFITS Yes No HIRE DATE 11/7/07

NAME Ira Hudson TITLE Part-Time Clerk
 SALARY \$ 4965.00 BONUS \$ 275.00 BENEFITS Yes No HIRE DATE _____

NAME Andrew Wagoner TITLE Board Chairman
 SALARY \$ 2400.00 BONUS \$ _____ BENEFITS Yes No HIRE DATE _____

NAME RG JAMES TITLE Board Member
 SALARY \$ 1800.00 BONUS \$ _____ BENEFITS Yes No HIRE DATE _____

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

NAME Barry Atwood TITLE General Manager
 SALARY \$ 25,000.00 BONUS \$ 1000.00 BENEFITS Yes No HIRE DATE 10/4/04

NAME Arnold Huber TITLE Clerk
 SALARY \$ 10,725.00 BONUS \$ 300.00 BENEFITS Yes No HIRE DATE 11/7/07

NAME Ira Hudson TITLE Part Time Clerk
 SALARY \$ 10,200.00 BONUS \$ 300.00 BENEFITS Yes No HIRE DATE _____

NAME Andrew Wagoner TITLE Board Chairman
 SALARY \$ 2400.00 BONUS \$ _____ BENEFITS Yes No HIRE DATE _____

NAME RG JAMES TITLE Board Member
 SALARY \$ 1800.00 BONUS \$ _____ BENEFITS Yes No HIRE DATE _____

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

NAME Doug Williamson TITLE General Manager
 SALARY \$ 25,934.00 BONUS \$ 1000.00 BENEFITS Yes No HIRE DATE 7/1/03

NAME Barry Atwood TITLE Clerk
 SALARY \$ 18,893.76 BONUS \$ 250.00 BENEFITS Yes No HIRE DATE 10/4/04

NAME Ira Hudson TITLE Part Time Clerk
SALARY \$ 8295.00 BONUS \$ 150.00 BENEFITS Yes No HIRE DATE _____

NAME R. G. JAMES TITLE Board Chairman
SALARY \$ 2400.00 BONUS \$ _____ BENEFITS Yes No HIRE DATE _____

NAME Andrew Wagoner TITLE Board Member
SALARY \$ 1800.00 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

Andrew Wagoner - \$2400.00 RG JAMES - \$1800.00
TERESA Woodrill \$1800.00

Fiscal Year 2008

Andrew Wagoner - \$2400.00 RG JAMES \$1800.00
TERESA Woodrill \$1800.00

Fiscal Year 2007

R. G. JAMES - \$2400.00 Andrew Wagoner - \$1800.00
TERESA Woodrill \$1800.00

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? -0-

Submitted by Name Barry Atwood Title: General Manager Date: 11/27/09

Travel Policy

The purpose of this policy is to establish guidelines for reimbursement of expenditures incurred during authorized travel on official business of the Town of Sparta ABC Board by board members and staff.

Expenses to attend ABC conferences, seminars, Or other special meeting will be paid.

Expenses will be paid according to Towne Rates.

Reimbursable expenditures include:

Hotel/Motel accommodations.

Personal use of vehicle reimbursable at the

Current rate allowed by the U.S. Govt.

Parking and toll fees.

Conference registration fees and related meal fees.

An itemized expense report must be submitted to the Board in a timely manner.

GIFT POLICY

The purpose of this policy is to establish procedures for receiving gifts by employees and appointed officials of the Sparta ABC Board.

No official or employee of the Sparta ABC Board shall accept any gift of value, whether in the form of service, loan, thing, or promise, from any person interested directly or indirectly in doing business with this board. Nor shall any official or employee:

1. Accept any gift, favor or thing of value that may tend to influence the employee in the discharge of duties or
2. Grant in the discharge of duties any improper favor, service, or thing of value.

For the purpose of defining N.C. General Statute 18b-116a, a "thing of value or gift" is any gratuity, favor, discount, entertainment, hospitality, loan, tickets, or other items having monetary value. It includes services as well as transportation, local travel, lodgings, entertainment fees and meals. Advertising novelties will not be construed to be a "thing of Value"

To clarify the boards position on acceptance of gifts the following rules apply,

1. Distiller representatives shall not give liquor, gifts of value, or advertising novelties to store personnel. A distillery or liquor representative is prohibited from entering an ABC store except for the purpose of calling on the "buyer" or general manager, making a purchase or construction of a point of sale display that has been pre-approved by the general manager.
2. Advertising novelties are defined but not limited to "disposable lighters, bottle or can openers, caps, hats, t-shirts, pens, umbrella, key chains, shot glasses, or other glassware, sunglasses or other items which bear advertising matter. An industry employee may not give advertising novelties to store employees. Items may be given to the general manager for disbursement to employees or customers.
3. The board will allow modest hospitality provided by an industry member to eligible employees or officials. An unsolicited meal is deemed an acceptable business practice. Also participation in social functions at ABC meetings or conferences which are sponsored by industry representatives, is also permitted.

ARTICLE II

Salary Plan

Section 1. Maintenance of the Salary Plan. The Board shall be responsible for the administration and maintenance of the salary plan. Each year the General Manager may be asked to secure information concerning the general level of salaries paid to the Sparta ABC Board employees and any change in cost of living in the area during the previous year. Based on it's studies and the general financial conditions, The Board shall make such increases, reductions, or amendments of the salary plan as it deems necessary to maintain the fairness and adequacy if the salary plan. The salary plan should be kept on file in the General Manager's office.

SECTION 2. Salary of part-time Employees. The pay plan established by this Resolution is for full time service. An employee may be appointed for less than full-time service but shall be paid at an hourly rate approved by the Board.

SECTION 3. Pay Period. All full time employees shall be paid bi-weekly with the work week beginning on Sunday and ending on Saturday. The payday shall be no later than the following

Tuesday. Part time employees are paid on a monthly basis at the end of each month.

SECTION 4. Salary Increases. Salary Increases shall be granted in recognition of superior or improved performance. Salary increases shall be effective upon recommendation of the General Manager or ABC Board, and with the approval of the board. Salary increases will be considered on an annual basis.

SECTION 5. Bonuses. An employee of the Town of Sparta ABC may receive an annual bonus is approved, shall be paid not later than the second week of December.

ARTICLE III

SECTION 1. Appointments. The General Manager shall be responsible for recruiting and/or employing such employees as authorized. After reviewing qualification and experiences of the applicant, the General Manager shall assign the position and salary to the new or promoted employee, subject to Board approval.

Section 2. Qualification Standards. Employees shall meet the employment standards established by the Board and/or such other reasonable minimum standards as may be established by the General Manager.

SECTION 3. Limitation on Employment of Relatives. Two members of an immediate family shall not be employed at the same time. Immediate Family shall be define as (husband, wife, father, mother, daughter, son, sister, brother, half – sister half – brother, stepfather, stepmother, stepdaughter, stepson, stepsister, stepbrother, grandmother, grandfather, grandson, granddaughter, mother-in-law, father-in-law, daughter-in-law, son-in-law, sister-in-law, and brother-in-law.

etc....., the customer should be informed that we would have to wait for the distiller's decision after analysis, before replacing it. Get their name, address, and telephone number.

SECTION 17. Conflict of Interest. No member of any local board or employee thereof shall have any direct or indirect interest, in any manner whatsoever, in any firm, corporation, company, or enterprise which manufactures, produces, buys, mixes, bottles, sells, stores or transports alcoholic beverages, and no member or employee shall be related by blood degree of first cousin or closer to any person interested or engaged in such business.

SECTION 18. Employment of Board Members. No member of a local board shall be employed in any capacity by the board, nor be paid or receive any compensation of any kind from the board, except for the compensation as a member thereof. No member of a composite board or other appointing authority shall be employed in any capacity by a local board.

SECTION 19. Employment of Relatives. No local board shall employ, in any capacity, any person related to a board member, composite board member (GS-18a-16) or member of any other authority which appoints members of the

local board to a degree of first cousin or closer, nor shall the spouse of any board member be employed by the board.

SECTION 20. Membership on Appointing Board. No member of any local board shall be a member of the composite board or other appointing authority which appoints the local board while serving as a member of that board.

SECTION 21. Confidentiality. Employees are expressively prohibited from giving confidential or other information, records, or printed material pertaining to the Sparta ABC Board operation, to anyone other than ABC Board members or authorized employees. Employees should also refrain from discussing identity of customers with anyone not employed by the Sparta ABC Board.

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 Spure Pine ABC Board 177

ABC Employees

1. How many employees does your ABC system have? full-time 3 part-time 5
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 Bob Robinson TITLE Manager
SALARY \$ 31,200 BONUS \$ 0 BENEFITS Yes No HIRE DATE 10-1-09

NAME Martha Biddie TITLE Clerk
SALARY \$ 20,800 BONUS \$ 0 BENEFITS Yes No HIRE DATE 10-15-09

NAME Keith Moyn TITLE Clerk
SALARY \$ 20,800 BONUS \$ 0 BENEFITS Yes No HIRE DATE 10-15-09

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

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

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

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 _____

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

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

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

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 _____

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

Danny Buresen, Chairman \$ 3,000 Matt Miller, \$ 2,400
Mac Robinson \$ 2,400

Fiscal Year 2008

Fiscal Year 2007

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. *In Process*

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

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. *Will have on Completion*

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 D. B. T. Title: Chairman Date: 12.1.09

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 Statesville ABC Board

ABC Employees

1. How many employees does your ABC system have? full-time 9 part-time 10
 other 3 (board members)

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:

Salaries are for calendar years

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

NAME TIP NICHOLSON TITLE General Manager
 SALARY\$ 68900 BONUS \$ _____ BENEFITS Yes No _____ HIRE DATE 1-1-09

NAME Gerald Peacock TITLE Assistant GM
 SALARY\$ 61824 BONUS \$ _____ BENEFITS Yes No _____ HIRE DATE _____

NAME Paulette Inscop TITLE Store Manager
 SALARY\$ 50986 BONUS \$ _____ BENEFITS Yes No _____ HIRE DATE _____

NAME Ron Tudbek TITLE Store Manager
 SALARY\$ 49369 BONUS \$ _____ BENEFITS Yes No _____ HIRE DATE _____

NAME Mike Privette TITLE Law Enforcement Officer
 SALARY\$ 41425 BONUS \$ _____ BENEFITS Yes No _____ HIRE DATE _____

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

NAME Bill Stamey TITLE General Manager
 SALARY\$ 66778 BONUS \$ _____ BENEFITS Yes No _____ HIRE DATE _____

NAME Gerald Peacock TITLE Assistant GM
 SALARY\$ 56395 BONUS \$ _____ BENEFITS Yes No _____ HIRE DATE _____

NAME Paulette Inscop TITLE Store Manager / Supervisor
 SALARY\$ 43453 BONUS \$ _____ BENEFITS Yes No _____ HIRE DATE _____

NAME Mike Privette TITLE Law Enforcement Officer
 SALARY\$ 39929 BONUS \$ _____ BENEFITS Yes No _____ HIRE DATE _____

NAME Buster Leatherwood TITLE Supervisor
 SALARY\$ 36028 BONUS \$ _____ BENEFITS Yes _____ No _____ HIRE DATE _____

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

NAME Bill Stamey TITLE General Manager
 SALARY\$ 54041 BONUS \$ _____ BENEFITS Yes No _____ HIRE DATE _____

NAME Gerald Peacock TITLE Assistant General Manager
 SALARY\$ 45508 BONUS \$ _____ BENEFITS Yes _____ No _____ HIRE DATE _____

2009

2008

2007

2007

NAME Mike Priette TITLE Law Enforcement Officer
 SALARY \$ 37,827 BONUS \$ _____ BENEFITS Yes No HIRE DATE _____

NAME Buster Leatherwood TITLE Supervisor
 SALARY \$ 32,545 BONUS \$ _____ BENEFITS Yes No HIRE DATE _____

NAME Paulette Inscor TITLE Supervisor
 SALARY \$ 32,533 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
David Pope \$1,800 Teddy Millsaps \$1,800 Tip Nicholson \$450
Michelle Rolkes \$1,350

Fiscal Year 2008
David Pope \$1,800 Teddy Millsaps \$1,800 Tip Nicholson \$1,800

Fiscal Year 2007
David Pope \$1,800 Teddy Millsaps \$1,800 Tip Nicholson \$1,800

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? 1990 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? \$5,368

Submitted by Name James I. Nutsch Title: General Manager Date: 11-24-09

The below policies are taken from our personnel policy:

FINANCIAL INTEREST PROHIBITED

State ABC Commission rules state that no local board member or employee shall have any direct or indirect interest in any manner whatsoever in any firm, corporation, company or enterprise that manufactures, produces, buys, mixes, bottles, sells, stores or transports spirituous liquors.

GIFTS AND FAVORS No official or employee shall accept or grant any gift, favor, or thing of value that may tend to influence that employee in the discharge of duties. Nor shall an official or employee grant in the discharge of duties any improper favor, service, or thing of value.

TRAVEL POLICY

The purpose of this policy is to establish procedure for authorization of travel by ABC employees, and appointed officials for the purpose of conducting ABC business, and to establish procedures for reimbursement of the cost of the authorized travel.

- All employees and officials of the ABC Board and store are subject to this policy.
- Definitions
 - Authorizing party: individual authorized by this policy to approve or disapprove travel request, cash advance requests, and travel reimbursement requests.
 - Requesting party: employee or official who will be reimbursed for travel costs incurred while conducting ABC business.
 - Travel: going to and from the normal job location to a site located more than 10 miles from the normal job location to conduct ABC business.
 - Transportation: cost incurred for travel by automobile, taxi, rental cars, bus, train or plane. It includes tolls, parking fees, and tips for the handling of baggage.
 - Subsistence: Cost incurred during travel for lodging and meals, including tips.
- Guidelines
 - Travel authorization for all in-state or out of state, other than travel by the Manager and Board, the Manager is responsible for determining that a sufficient unexpended appropriation remains in the store travel budget to reimburse all expected costs of travel.
 - Out-of-state travel requests by employees and Manager will be approved by the board. Arrangements, accommodations, travel advances, and travel allowances.
 - All arrangements for travel must be approved by the authorizing party. All travel costs will be paid directly by the requesting party. The requesting party is encouraged to use travel agents and reserve transportation and lodging in advance when possible.
- Travel Limitations
 - Reimbursement cost Transportation will be obtained at the most economical rate available. Reimbursements will be made for actual cost that are incurred and receipt supported. This includes the cost of taxi service and parking fees.
- Vehicles

- A requesting party may use his/her personal automobile for travel and be reimbursed at a rate of 31 cents per mile.
- A rental automobile will be used when it is determined that no other mode of transportation is as economical or practical. A rental automobile should be used for business, such as driving to and from dinner, will be permitted.
- Local Transportation Local transportation cost incurred while on out-of-town business will be reimbursed. The most economical and reasonable form of transportation will be used. Receipts will be obtained when possible, and submitted with travel reimbursement requests.
- Sustenance
 - Lodging costs will be reimbursed at the actual amount incurred. Receipts for lodging costs must be submitted. The lodging rate is limited to the lowest available room rate when an employee is traveling with his/her spouse and children.
 - Meals will be reimbursed at the actual cost and supported by receipts.
 - Meals served as part of a convention or conference will be either reimbursed at actual cost or paid as part of the Registration Fees. Documentation of actual cost must be attached when reimbursement is requested.
- Other Costs Long distance personal telephone calls are not reimbursable except in emergencies. Phone calls for official business are reimbursable expenses. One personal phone call will be allowed, not exceeding two dollars in cost, to give your room number at the facility and verify that you arrived safely.
- Reimbursement Procedures
 - A requesting party will attach receipts for expenses requiring them, and submit it to the Board. Advances will be deducted from reimbursable cost.
 - A requesting party submitting a falsified receipt will be subject to disciplinary action and/or criminal prosecution. An authorizing party who approved a receipt which they know to be false will be subject to disciplinary action and/or criminal prosecution.
 - If while on store related business/travel, personal charges become intermixed with store charges, the person making such charges shall reimburse the Board on or by the next board meeting.

Policy adopted -December 26, 1990. Revised May 1999, March 2002, January 2009.

Salary Plan for Statesville ABC Board

The Statesville ABC Board in fiscal year 2008-2009 implemented the salary administration plan that is used by the City of Statesville. All positions were placed on grade levels established by the City of Statesville for similar jobs and responsibilities. The Statesville ABC Board now follows the City of Statesville's plan in the granting of any salary increases. The current salaries and grades are listed below:

Grade	Title				Rates in Effect	Rate Adjustments
					1/1/2009	7/1/2009
6	Trainee	\$ 12.00				
8	Clerk (Temp)	\$ 12.00				
			1% per year=	\$ 0.12		
	Emp#1	\$ 12.00	base			
		\$ <u>0.12</u>	1%per year		1	
		\$ 12.12	per hr			
	Emp#2	\$ 12.00	base			
		\$ <u>0.24</u>	1%per year		2	
		\$ 12.24	per hr			
	Emp#3	\$ 12.00	base			
		\$ <u>1.32</u>	1%per year		11	
		\$ 13.32	per hr			
8	Clerk	max \$ 40,630.00	781.3461538	19.533654		
		min \$ <u>24,625.00</u>	473.5576923	11.838942		
			1% per year=	\$ 246.25		
	Emp#1	\$ 24,625.00	base			
		\$ 1,723.75	1%per year		7	
		\$ <u>1,231.25</u>	5% base increase			per Bill S.
	rev. pay	\$ 27,580.00	per hour=	\$ 13.26		
12	Clerk Supervisor	max \$ 49,386.00	949.7307692	23.743269		
		min \$ <u>29,930.00</u>	575.5769231	14.369423		
			1% per year=	\$ 299.30		
	Buster	Emp#1 \$ 29,930.00	base		18.13	19.48
	9/16/1988	\$ <u>5,986.00</u>	years		20	
	Total Rev.	\$ 35,916.00	per hour=	\$ 17.27		

	Aaron	Emp#2	\$ 29,930.00	base				
	10/4/1995		<u>\$ 3,890.90</u>	years	13			
		rev. pay	\$ 33,820.90	per hour=	\$ 16.26	17.07	18.35	
	Becky	Emp#3	\$ 29,930.00	base				
	9/1/2002		<u>\$ 1,795.80</u>	years	6			
		Total Rev.	\$ 31,725.80	per hour=	\$ 15.25	15.25	16.39	
	Monette	Emp#3	\$ 29,930.00	base				
	2/9/2009		<u>\$ -</u>	years	0			
		Total Rev.	\$ 29,930.00	per hour=	\$ 14.39	14.38	15.45	
13	Law Enforcement	max	\$ 51,855.00					EXEMPT
		min	<u>\$ 31,426.00</u>					
				1% per year=	\$ 314.26			
	Mike	Emp#1	\$ 31,426.00	base				
	7/1/1989		<u>\$ 5,970.94</u>	years	19			
		Total Rev.	\$ 37,396.94	1438.343846		1,457.72	1,567.04	
19	Asst. Manager	max	\$ 69,490.00					EXEMPT
	Store Manager	min	<u>\$ 42,116.00</u>					EXEMPT
				1% per year=	\$ 421.16			
	Gerald	Asst Mgr	\$ 42,116.00	base				
	2/8/1974		<u>\$ 14,319.44</u>	years	34			
		Total Rev.	\$ 56,435.44	2170.593846		2,170.62	2,333.41	
	Ron	Mgr Store 1	\$ 42,116.00	base				
	4/13/2001		<u>\$ 2,948.12</u>	years	7			
		Total Rev.	\$ 45,064.12	1733.235385		1,733.23	1,863.22	
	Paulette	Mgr Store 2	\$ 42,116.00	base				
	11/17/1997		<u>\$ 4,422.18</u>	years	10.5			
		Total Rev.	\$ 46,538.18	1789.93		1,789.96	1,924.20	
23	General Manager	max	\$ 88,689.95					EXEMPT
		min	<u>\$ 53,751.98</u>					
				1% per year=	\$ 537.52			
	Bill	Emp#1	\$ 53,751.98	base				
			<u>\$ 6,600.32</u>	years	16			
		Total Rev.	\$ 62,352.30					

23	General Manager	max	\$ 88,689.95		EXEMPT	
		min	<u>\$ 53,751.98</u>			
				1% per year=		\$ 537.52
Tip	Emp#1	\$ 53,751.98	base			
10/1/2001		\$ 3,762.64	years		7	
		\$ 2,687.60	5% Base for 4 yr degree			
		<u>\$ 2,687.60</u>	5% Base for Master's Degree			
	Total Rev.	\$ 62,889.82				
						2,418.83
						2,600.24

Benefits

The Statesville ABC Board pays the following benefits for all its full time employees:

NC State retirement; 401K; health & dental insurance; Christmas bonus (one week's pay – follows policy of City of Statesville)