

HAINES BOROUGH, ALASKA

PUBLIC RECORDS RETENTION POLICY & SCHEDULE



Revised by **Julie Cozzi**, Borough Clerk - May 2006

Adapted from Alaska Local Government General Records Retention Schedule - 2001

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INTRODUCTION AND ABBREVIATION KEY

INTRODUCTION

HAINES BOROUGH PUBLIC RECORDS

The Borough Clerk is the official Records Manager for the Haines Borough. Please refer all questions, issues, and public requests to the Clerk. (See

PUBLIC RECORDS MANAGEMENT AND PRESERVATION

AS 40.21 requires the orderly management of current local public records and preservation of non-current public records that have permanent historical value. Additionally, AS 29.20.380(4) says that municipal clerks shall, "manage municipal records and develop retention schedules and procedures for inventory, storage and destruction of records." This schedule is a tool for the borough clerk and other officials and employees to aid in the determination of records retention periods for items created or received by the Haines Borough.

PURPOSE AND GOAL OF A RECORD MANAGEMENT PROGRAM

The primary objective of records management is the efficient, effective, and economical management of information. The guiding principle of records management is to ensure that information is available when and where it is needed, in an organized and efficient manner. An effective program will ensure that Haines Borough staff has the recorded information necessary to perform its statutory and regulatory functions, avoid waste, and preserve the documentary heritage of the community. Additionally, with proper management, unneeded documents may be discarded and less-active records may be transferred to offsite storage.

THE DEFINITION OF A RECORD

In order to be considered a record, the document must meet two criteria. First, regardless of form, it must be created or received by an organization in connection with the transaction of official business. Second, the document must be preserved or be appropriate for preservation by an organization as evidence of the organization's function, policies, decisions, procedures, operations, or because of informational value.

INTRODUCTION ---continued---

RECORD FORMATS

Records may be a variety of formats including paper, microfilm, analog cassette/videotapes, maps, drawings, photographs, magnetic tapes/disks, and digital audio and video files and disks. In addition, information sets (e.g. email, datasets, metadata) stored in document management systems may have record status and require retention to meet administrative, legal, or financial needs. Regardless of the format utilized, the Record Copy must be maintained by the Haines Borough long enough to meet these needs.

THE MOST COMMON RECORD TYPES

- **Administrative/Operational:** Records needed for current operations of the Borough.
- **Financial:** Records that document fiscal transactions needed for tax and audit purposes.
- **Legal:** Records that document the rights of citizens or employees or pertain to contractual obligations.
- **Historical:** Records that document policies/procedures or historical activities.

ABBREVIATION KEY

P = Permanent retention (most permanent documents will be stored in the Public Safety Building Records Rooms and the Borough Clerk's Office.)

T = Defined where entered

Numerals = Retention period in years unless otherwise indicated

RECORDS RETENTION SCHEDULE - HAINES BOROUGH

ACCOUNTING AND FINANCE
SCHEDULE A - PAGE 1

ITEM	SERIES TITLE & DESCRIPTION	RETENTION PERIOD			REMARKS
		Office	Storage	Total	
A-1	Annual Final Operating & Capital Budget Official plan and policy for the expenditure of funds approved by the governing body.	2	P	P	
A-2	Budget Work papers Includes drafts, instructions, work- sheets, preliminary budgets and agency requests.	1	1	2	
A-3	Annual Estimates of Revenue General review of anticipated funds available used in budget preparation.	1	1	2	
A-4	Annual Financial Reports Report prepared by Chief Fiscal Officer summarizing financial condition, activity and balances.	2	P	P	
A-5	Audit Reports Reports prepared either by external or internal sources showing results and recommendations.	3	P	P	
A-6	Books of Original Entry General ledger/journal, revenue ledger/journal, expenditure ledger/journal	1	P	P	

RECORDS RETENTION SCHEDULE - HAINES BOROUGH

ACCOUNTING AND FINANCE
SCHEDULE A - PAGE 2

ITEM	SERIES TITLE & DESCRIPTION	RETENTION PERIOD			REMARKS
		Office	Storage	Total	
A-7	Subsidiary Ledgers and Journals Accounts receivable, accounts payable, daily cash receipts, cash disbursements.	1	6	7	
A-8	Receipts Official documentation of payment for goods or services, fines, fees and permits	2	5	7	
A-9	Banking Records Bank statements, cancelled checks, check stubs or copies, deposit slips, check registers and reconciliation worksheets.	1	6	7	
A-10	Bills of Sale Official documentation of transaction between government agency and buyers.	2	5	7	
A-11	Vouchers Official authorization to pay a claim or bill.	1	6	7	
A-12	Paid Bills and Invoices	2	5	7	
A-13	Travel Requests and Vouchers Official documentation of travel request, authorization and cost of reimbursement.	2	5	7	

RECORDS RETENTION SCHEDULE - HAINES BOROUGH

ACCOUNTING AND FINANCE
SCHEDULE A - PAGE 3

ITEM	SERIES TITLE & DESCRIPTION	RETENTION PERIOD			REMARKS
		Office	Storage	Total	
A-14	Savings Account Records Passbooks, statements and reconciliations.	2	5	7	
A-15	Monthly or Quarterly Financial Management Reports	1	6	7	
A-16	Contract Files Official documentation of selection of contractor and issuance of the contract. May include requests for proposals with affidavits of publication, evaluation of responses, notice of award, contract negotiations, original signed contracts, correspondence and payment records.	T+1	6	T+7	T = expiration of contract and final pmt.
A-17	Responses to RFPs (not selected)	1 or A		1 or A	A = Audit
A-18	Grant Files Official documentation for receipt of grant funds from either State or Federal agencies. Should include grant applications, budgets, project narrative, plans of work, progress reports, records of matching or in-kind contributions and correspondence. Individual contents will depend on regulations of source agency.	T	3	T+3	Total retention time may depend on regulations of source agency.

RECORDS RETENTION SCHEDULE - HAINES BOROUGH

ACCOUNTING AND FINANCE
SCHEDULE A - PAGE 4

ITEM	SERIES TITLE & DESCRIPTION	RETENTION PERIOD			REMARKS
		Office	Storage	Total	
A-19	Grant Application (not successful)	1		1	
A-20	Financial Support Records for Contracts and Grants: May include work papers, spreadsheets, summaries and other data reflecting the expenditure of contract or grant funds.	T	A+3	A	A = completion of source agency audit
A-21	Employee Withholding Exemptions (W-4)	1	3	4	
A-22	Employer Copy of W-2 (Federal Withholding tax Statement)	1	3	4	
A-23	Payroll Policies and Procedures	P		P	
A-24	Records of Attachments, Garnishments, or Levies against salaries or wages.	T	P	P	T=satisfaction or termination of employment
A-25	Timesheets or Timecards Daily, weekly or monthly record of time, including overtime.	T	P	P	
A-26	Employee Earnings Record	T	P	P	
A-27	Payroll Deduction Authorization and Lists	T	P	P	
A-28	FICA and Unemployment Insurance Reports	2	5	7	

RECORDS RETENTION SCHEDULE - HAINES BOROUGH

ACCOUNTING AND FINANCE
SCHEDULE A - PAGE 5

ITEM	SERIES TITLE & DESCRIPTION	RETENTION PERIOD			REMARKS
		Office	Storage	Total	
A-29	Savings Bond Accounting Records	2	P	P	
A-30	Payroll Warrant Register Shows check number, employee name, net amount and cost center coding.	2	P	P	
A-31	Individual Payroll Case Files Documents related to the employee's salary -- may include payroll action forms, PERS enrollment and trans- action forms, etc.	T	P	P	T=termination of employment
A-32	Billing Statements Statements for services or taxes due.	1	6	7	
A-33	Fund Investment Records Includes buy/sell orders, confirma- tions, safekeeping advices and ledgers.	1	6	7	

RECORDS RETENTION SCHEDULE - HAINES BOROUGH

**RISK MANAGEMENT
SCHEDULE B**

ITEM	SERIES TITLE & DESCRIPTION	RETENTION PERIOD			REMARKS
		Office	Storage	Total	
B-1	Insurance Policies Liability, vehicle, fire, theft, health and life, worker's compensation.	T+1	9	T+10	T=expiration of policy.
B-2	Fidelity and Surety Bonds Coverage against claims made against the local government.	T+1	6	T+7	T=expiration of bond.
B-3	Accident Reports (property damage)	1	6	7	Retain longer if claims unsettled.
B-4	Accident Reports (personal injury)	1	9	10	Retain longer if claims unsettled.
B-5	Worker's Compensation Claims	1	9	10	Retain longer if claims unsettled.
B-6	Other Insurance Claims	1	9	10	Retain longer if claims unsettled.

RECORDS RETENTION SCHEDULE - HAINES BOROUGH

PURCHASING AND PROPERTY MANAGEMENT
SCHEDULE C - PAGE 1

ITEM	SERIES TITLE & DESCRIPTION	RETENTION PERIOD			REMARKS
		Office	Storage	Total	
C-1	Bid Files Should include specifications, invitation to bid or request for quotation, responses, bid abstract.	1	6	7	
C-2	Purchase Requisitions Requests by operating departments for goods or services.	1	6	7	
C-3	Purchase Orders Official documentation of purchase transactions for goods or services not on contract.	1	6	7	
C-4	Purchase Contracts Official documentation regarding the purchase of goods and services resulting from a formal bid.	1	6	7	
C-5	Leases (municipality is Lessee) Should include specifications, invitation to bid or requests for proposals, responses, evaluations, lease agreements, payment records, and correspondence.	T+1	6	T+7	T=expiration of lease.
C-6	Leases (municipality is Lessor) Should include lease agreements, payment records and correspondence.	T+1	6	T+7	T=expiration of lease.
C-7	Property Inventories	T		T	Retain current listings only.

RECORDS RETENTION SCHEDULE - HAINES BOROUGH

PURCHASING AND PROPERTY MANAGEMENT
SCHEDULE C - PAGE 2

ITEM	SERIES TITLE & DESCRIPTION	RETENTION PERIOD			REMARKS
		Office	Storage	Total	
C-8	Warranties and Guarantees on Equipment	T		T	T=after equipment dropped from inventory
C-9	Deeds to Municipal Real Property	T	P	P	T=after property is sold or transferred
C-10	Titles to Municipal Vehicles and Equipment	T		T	T=after vehicle is sold
C-11	Equipment Maintenance Records Documents repair and maintenance of office equipment (see also Public Works Section for vehicles)	T		T	T=after equipment dropped from inventory
C-12	Surplus Property Sale Records Documents the disposal of property declared to be excess or surplus	1	6	7	

RECORDS RETENTION SCHEDULE - HAINES BOROUGH

PERSONNEL MANAGEMENT
SCHEDULE D - PAGE 1

ITEM	SERIES TITLE & DESCRIPTION	RETENTION PERIOD			REMARKS
		Office	Storage	Total	
D-1	Individual Personnel files Official emp history inc. apps; resume; personnel actions re. hire, term., and promotion; perf evals; emp test results; ins & benefits backup; fam & med leave act docs; letters of commendation/reprimand; training certificates/history; driving records; drug/alcohol tests; med records, I-9 forms...	T+1	P	P	T=termination of employment This info is confidential
D-2	Applications for Employment (not hired)	1		1	Certain info is confidential
D-3	Salary Schedules	1	P	P	
D-4	Recruitment Bulletins and Affidavits of publication	1	2	3	
D-5	Job Descriptions Description of specific duties, minimum qualifications and examples of duties.	P		P	
D-6	Organization Charts	P		P	
D-7	EEO and Affirmative Action Records	1	4	5	Potential archival value
D-8	Inservice and Employee Training Records Significant training should be documented in the individual personnel file.	T	1	T+1	T=Employment termination

RECORDS RETENTION SCHEDULE - HAINES BOROUGH

PERSONNEL MANAGEMENT
SCHEDULE D - PAGE 2

ITEM	SERIES TITLE & DESCRIPTION	RETENTION PERIOD			REMARKS
		Office	Storage	Total	
D-9	Personnel Rules, Policies and Procedures	P		P	
D-10	Master Examination File Samples of test or exam used in selection/rating process for prospective employees.	P		P	
D-11	Eligible Lists Lists of qualified candidates for position	1		1	
D-12	Grievance Case Files	T	5	T+5	T = final settlement of case
D-13	Unfair Labor Practice Complaints	T	5	T+5	T = final settlement
D-14	Leave Records	1	2	3 or A	A = leave audit
D-15	Collective Bargaining Negotiation Files	P		P	
D-16	Contract Interpretation & Arbitration Decisions	P		P	

RECORDS RETENTION SCHEDULE - HAINES BOROUGH

LEGAL
SCHEDULE E

ITEM	SERIES TITLE & DESCRIPTION	RETENTION PERIOD			REMARKS
		Office	Storage	Total	
E-1	Litigation Case Files (Civil) Documents civil actions by the local government or against the local government. Work papers, copies of court documents, correspondence	T	10	T+10	T = final settlement. May have archival value.
E-2	Borough Attorney Opinions Official interpretations regarding questions of legal rights or liabilities affecting operating departments.	1	P	P	
E-3	Legal Administration Files Correspondence and reports related to the legal review of borough functions such as insurance, ordinances, contracts, grants, damage claims, etc.	1	4	5	
E-4	Franchises Official authorization granted to a private entity to provide public utilities or services within the jurisdiction of the local government.	T	7	T+7	T = termination of franchise agreement.
E-5	Easement (Granted or Received)	P		P	
E-6	Investigative Files Includes requests for investigation Work papers and final reports	T	10	T+10	T = completion and resolution of issue. May have archival value.
E-7	Notice to Comply and/or Violation Reports	1	2	3	

RECORDS RETENTION SCHEDULE - HAINES BOROUGH

MAYOR AND/OR MANAGER
SCHEDULE F

ITEM	SERIES TITLE & DESCRIPTION	RETENTION PERIOD			REMARKS
		Office	Storage	Total	
F-1	General Correspondence Letters, memoranda and miscellaneous information sent.	3 mo.	3	3.25	
F-2	Transitory Correspondence Files pertaining to purely routine functions such as inter-office memos, transmittal letters, appointments and schedules	3 mo.	9 mo.	1	
F-3	Subject Files (Functional) Correspondence, reports and information related to the functional departments of the municipality and which document events, projects, activities and issues.	1	9	10	
F-4	Public Relations Records Speeches, Press Releases, Clippings, Photographs	1	P	P	
F-5	Delegations of Authority or Appointment to Office.	1	P	P	
F-6	Executive's Annual Report to Governing Body	1	P	P	
F-7	Reading Files, Mayor Copies of outgoing letters and memoranda arranged by date.	3 mo.	3	3.25	Potential Archival value

RECORDS RETENTION SCHEDULE - HAINES BOROUGH

**BOROUGH CLERK AND GOVERNING BODIES
SCHEDULE G - PAGE 1**

ITEM	SERIES TITLE & DESCRIPTION	RETENTION PERIOD			REMARKS
		Office	Storage	Total	
G-1	Minutes Official account of proceedings of governing body, boards, commissions or committees.		P	P	Keep a reference copy in office.
G-2	Audio Recordings of Meetings Includes governing body, boards, commissions and committees.	1	4	5	Due to fragile nature of elec media, these should not serve as permanent record.
G-3	Notice of Meeting and Affidavit of Publication	1	1	2	
G-4	Ordinances and Resolutions (signed originals) Text of laws and regulations passed by the governing body.		P	P	Keep a reference copy in office.
G-5	Petitions Filed by individuals or groups to request governing body action.	1	4	5	
G-6	Proclamations	1	P	P	
G-7	Public Hearing Records A description of the subject, public comment, turnout, and results of the hearing.	T	2	T+2	T=recording in minutes. Keep permanently if not in minutes

RECORDS RETENTION SCHEDULE - HAINES BOROUGH

BOROUGH CLERK AND GOVERNING BODIES
SCHEDULE G - PAGE 2

ITEM	SERIES TITLE & DESCRIPTION	RETENTION PERIOD			REMARKS
		Office	Storage	Total	
G-8	Audio or Video Recordings of Public Hearings	1	4	5	Due to fragile nature of elec. media, these should not serve as permanent record.
G-9	Oaths of Office (Elected and Appointed)	1	P	P	
G-10	Special Committee or Commission Reports	T	5	T+5	T=recording in minutes. Keep permanently if not in minutes
G-11	Notice of Proposed Ordinances/ Resolutions and Affidavits of Publication	1	P	P	
G-12	Census Reports	1	P	P	
G-13	Official Seal	P		P	
G-14	Annexation Records Petitions, correspondence, affidavits of publication for notices, copy of ordinances and related public hearing records.	T	5	T+5	T=recording in minutes. Keep permanently if not in minutes
G-15	Incorporation Records Under AS 29.05	P		P	

RECORDS RETENTION SCHEDULE - HAINES BOROUGH

**BOROUGH CLERK AND GOVERNING BODIES
SCHEDULE G - PAGE 3**

ITEM	SERIES TITLE & DESCRIPTION	RETENTION PERIOD			REMARKS
		Office	Storage	Total	
G-16	Certification of Election Returns	T	4	T+4	T= after recording in minutes (AS 15.15.470)
G-17	Certificate of Returns of Canvass Board	1	P	P	
G-18	Completed Voting Ballots		6 mo.	6 mo.	Retain six months after election is certified.
G-19	Declarations of Candidacy and Nominating Petitions	1	P	P	
G-20	Election Boundary (Precincts) Descriptions	P		P	
G-21	Conflict of Interest Statements	1	P	P	
G-22	Challenged and Rejected Ballots		6 mo.	6 mo.	Retain six months after election is certified.
G-23	Election Registers and Tally Books	1	3	4	
G-24	Absentee Ballot Requests	1	3	4	Retain longer if election contested.
G-25	Mailroom Records	1		1	
G-26	Stockroom Inventories/Requisitions	1	2	3	

RECORDS RETENTION SCHEDULE - HAINES BOROUGH

PLANNING AND ZONING
SCHEDULE H

ITEM	SERIES TITLE & DESCRIPTION	RETENTION PERIOD			REMARKS
		Office	Storage	Total	
H-1	Comprehensive Plan and Amendments Statement of overall development and zoning plans.	P		P	
H-2	Comprehensive Plan Work papers May include surveys, studies and reports	1	4	5	
H-3	Coastal Zone Management Plans and Amendments	P		P	
H-4	Enforcement Case Files Documents, complaints and action taken to enforce planning and zoning regulations.	1	1	2	
H-5	Platting Case Files (Subdivisions) Documents evaluation, environmental impacts, permits issued and complaints on development subdivisions.	T	10	T+10	T = completion of development
H-6	Variances, Waivers, Exceptions	1	P	P	
H-7	Conditional Use Permits	T	7	T+7	T=discontinu- ance of use.
H-8	Temporary Use Permits	T	7	T+7	

RECORDS RETENTION SCHEDULE - HAINES BOROUGH

PERMITTING AND LICENSING
SCHEDULE I

ITEM	SERIES TITLE & DESCRIPTION	RETENTION PERIOD			REMARKS
		Office	Storage	Total	
I-1	Itinerant Merchants/Solicitors Permits	T	10	T+10	T = expiration of permit
I-2	Applications for Permit Denied	1	2	3	
I-3	Non-Business Licenses and Permits Animal, games of skill/chance ABC Board	T	2	T+2	T = expiration of license or permit
I-4	Construction/Building Permits	1	P	P	
I-5	Register of Permits Issued	P		P	

RECORDS RETENTION SCHEDULE - HAINES BOROUGH

BUILDINGS AND PUBLIC WORKS
SCHEDULE J - PAGE 1

ITEM	SERIES TITLE & DESCRIPTION	RETENTION PERIOD			REMARKS
		Office	Storage	Total	
J-1	Public Works Policies and Procedures	P		P	
J-2	Inspection Reports Building, Electrical, Plumbing, Fire, etc.	1	P	P	
J-3	Engineering Drawings, Maps, Plats Block and street maps, architectural drawings of tunnels and underground vaults, maps showing subsurface structure of streets, blueprints and as-built drawings of government structures, original street profiles showing grades, original street opening maps, approved borough maps and lot plans.		P	P	
J-4	Geologic Data Records Reports related to slides, avalanches, borings and drainage, and other sub- surface conditions including piling records.		P	P	
J-5	Service Requests and Work Orders Request for connection or dis- connection or repair of water or sewer systems.	1	2	3	

RECORDS RETENTION SCHEDULE - HAINES BOROUGH

BUILDINGS AND PUBLIC WORKS
SCHEDULE J - PAGE 2

ITEM	SERIES TITLE & DESCRIPTION	RETENTION PERIOD			REMARKS
		Office	Storage	Total	
J-6	Street Improvement Files Recommendations, petitions, action taken, repairs, complaints, etc.	1	P	P	
J-7	Construction Project Files Includes specifications, contract selection/negotiation, plans, bids, evaluations, performance bonds and correspondence.	T	7	T+7	T = completion and final payment. Selected files may have archival value
J-8	Equipment Maintenance Records	1	T	T	T = until equipment is removed from inventory
J-9	Vehicle Usage Reports	1	2	3	

RECORDS RETENTION SCHEDULE - HAINES BOROUGH

POLICE
SCHEDULE K

ITEM	SERIES TITLE & DESCRIPTION	RETENTION PERIOD			REMARKS
		Office	Storage	Total	
K-1	Police Reports (Minor) Reports on such types of activities as abandoned vehicles or structures, bicycle theft, misdemeanor arrests, breathalyzer use, daily field activity, injuries, community liaison.	2		2	
K-2	Police Reports (Major) Reports on such types of activities as felony arrests, firearm purchases, escapes, substance abuse, traffic accidents with injuries, child or sexual abuse, etc.	5	5	10	
K-3	Booking Records	5	P	P	
K-4	Photograph and Fingerprint Files	5	P	P	
K-5	Officer Training Files	T	10	T+10	T = termina- tion of
K-6	Disciplinary Action Files	T	5	T+5	employee
K-7	Citations (Parking and Traffic)	1		1	T = settlement
K-8	Dispatcher Logs	1	4	5	of cause for action
K-9	Crime Statistics	5	P	P	

RECORDS RETENTION SCHEDULE - HAINES BOROUGH

FIRE AND EMERGENCY PROTECTION
SCHEDULE L

ITEM	SERIES TITLE & DESCRIPTION	RETENTION PERIOD			REMARKS
		Office	Storage	Total	
L-1	Fire Incident Reports	10		10	
L-2	Fire Training files	T	10	T+10	T=termination of employment or volunteer status.
L-3	Equipment Inspection Reports Hose tests, hydrant tests, etc.	5		5	
L-4	Fire Inspection Reports	10		10	
L-5	Fire Investigation Reports	P		P	
L-6	Emergency Services Plans	P		P	
L-7	Burning Permits	2		2	
L-8	Vehicle Service Records	T		T	T = final disposition of equipment
L-9	Alarm Test and Maintenance Records	5		5	