

**CITY OF GUSTAVUS, ALASKA
RESOLUTION CY23-06**

A RESOLUTION BY THE CITY OF GUSTAVUS UPDATING THE POLICY AND PROCEDURES FOR PUBLIC RECORDS MAINTENANCE – Appendix 1 RECORDS RETENTION SCHEDULE

WHEREAS, the Gustavus City Council recognizes that a records information management and retention policy is essential to the proper maintenance, storage and destruction of all records used, created received, maintained or held by the Municipality; and,

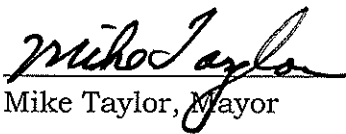
WHEREAS, the City of Gustavus last updated its Public Records Maintenance Policy and Procedure – Appendix 1 Records Retention Schedule effective May 9th, 2022; and,

WHEREAS, this policy will reduce requirements for storage space, ensure consistency in disposition and handling, and reduce chances for reckless disposal.

WHEREAS, Gustavus Municipal Code 2.70.030 requires the Mayor to approve a records retention schedule that details the types of records that will be retained and the period of time for which they will be retained.

NOW THEREFORE BE IT RESOLVED, that the Gustavus City Council updates this Policy and Procedure for Public Records Maintenance - Appendix 1 Records Retention Schedule attached to include the Disposal and Recycling Center as Record Series D and made a part of this resolution.

PASSED and **APPROVED** by the Gustavus City Council this 10th day of April 2023, and effective upon adoption.



Mike Taylor, Mayor



Attest: Karen Platt CMC, City Clerk

**City of Gustavus
Records Retention Schedule**

The purpose of the Gustavus Records Retention Schedule is to provide a timeframe for retention of City records; to assign responsibility and ownership of records; and to provide absolute guidance in the long-term maintenance and safekeeping of important City records. Research has been completed for each record series and the pertinent regulation or industry standard has been applied to establish retention.

Unless otherwise noted, all records in this schedule apply to all media types.

Definitions for Abbreviations:

Act	Active	Open, current or operational; under contract; term of office
AN	Administrative Need	Department Head may determine when the record has met its usefulness; minimum of 30 days
C	Current Year	Current calendar year (for retention purposes, fiscal year records are held through the end of that calendar year), or current calendar year including until superseded, expired or inactive
CFY	Current Fiscal Year	
E	Electronic Retention	
Ind	Indefinite	Retention cannot be determined in advance; to be reviewed at a later time.
L	Life	Life of Equipment or asset
NA	Not applicable	
P	Permanent	Retain Forever
T	Termination	Until termination of employee or volunteer; no longer active

Record Series	Subjects	Description	Data Owner	Retention		Location of File	Comments or Notes
A-1	Accounting-Permanent Records	Final approved budget, annual financial reports, audit reports, General ledger/journal, payroll policies & procedures, liens.	Treasurer	P		Offsite for Permanent Storage	Offsite for Permanent Storage
A-2	Accounting - Budget Work Papers	Includes drafts, instructions, committee and staff worksheets, preliminary budgets, agency requests,	Treasurer	CFY+2 (3)		City Hall	
A-3	Accounting - Financial & Accounting Reports	Includes annual report prepared by clerk/treasurer	Treasurer	CFY+3 (4)		City Hall	
A-4	Accounting - Accounts Receivable/Payable	Purchase orders, invoices, check copies, deposit slips, wire transfers, transmittal of receipts, debt service payments, accounts receivable, daily cash receipts, paid bills and invoices	Treasurer	CFY+3 (4)		City Hall	Electronic register to be archived and kept off-site each year.
A-5	Accounting - Banking Records	Original Bank Statements and cancelled checks,	Treasurer	CFY+7 (8)		City Hall	
A-6	Travel	Travel advances, per diem, transportation fees for employees or council on official business	Treasurer	CFY+1 (2)		City Hall	
A-7	Accounting - Endowment Fund		Treasurer	P		Offsite for Permanent Storage	Prospectuses, shareholder reports and investment plans are not financial records.
A-8	Accounting - Bills of Sales	Official documentation of sales transactions between government agency and buyer	Treasurer	CFY+5 (6yr)		City Hall	
A-9	Reserved						
A-10	Accounting - Fixed Assets	Records related to Fixed Asset inventory, vehicle titles and registrations	Treasurer	L+1		City Hall	L-life of asset, or until State authorizes disposal of grant funded assets

Record Series	Subjects	Description	Data Owner	Retention	Location of File	Comments or Notes
A-11	Accounting - Payroll Register	Lists check numbers, employee name, net amount and financial coding, documents employee salary including payroll action forms (PAF) and IRS dates	Treasurer	T+10	City Hall	T=Termination of employee
A-12	Accounting - Payroll	Payroll journal, payroll deduction authorizations (reports and lists,) Employer W-2 Copy (Federal withholding tax statement), Payroll reports (FICA, Unemployment insurance, summary and detailed queries, stopped/reissued warrants, overtime and retirement reports, Electronic Federal Tax Payment Documentation, Internal Revenue Service Reports (1099R, 0425)	Treasurer	CY+4 (5)	City Hall	
A-13	Accounting - Payroll	Employee Withholding Exemptions (W-4), Garnishment and Payroll Deduction - Court Orders and Notification of Pay Step Increases	Treasurer	CYF+14 (15)	City Hall	*Filed in Individual Personnel File HR-2
A-14	Reserved					
A-15	Accounting - Sales Tax	Payments for sales and fish box tax. Current and Closed sales tax accounts.	Treasurer	CFY+3 (4)	City Hall	
A-16	Accounting - Sales Tax Appeals	This includes both formal & informal	Clerk	P	City Hall	
A-17	Accounting - Grants	Grand administration files - State Grant Administration files, Federal (applications, copy of notification of grant award, agreement, special conditions, fiscal reports, closeout documents, audit reports and correspondence), Capital Improvement Projects	Treasurer	State: 6 years Federal: 3 years after completed audit CIP: 20 years after project closes	City Hall	State per AS 09-10-053 Grant requires retention of CIP files for 20 years after the project closes
A-18	Accounting - Grants	Grant Applications (not awarded)	Treasurer	CY+ (1)	City Hall	

Record Series	Subjects	Description	Data Owner	Retention	Location of File	Comments or Notes
A-19	Surplus Property	Documents disposal of property declared to be excess or surplus	Treasurer	C+3	City Hall	C=Current
A-20	Insurance Policies & Endorsements	Insurance proposals, policies and endorsements, bonds, riders, financial coding, and billing information	Treasurer	C+50	City Hall	C=Current
A-21	Accounting – Medical	Worker's Compensation, On-the-job injury, lost time	Treasurer	C+40	City Hall	C=until case is inactive
A-22	Accounting – Accident Reports (personal)	Incident/accident reports, medical evaluations, time loss documentation	Treasurer	C+6 (7)	City Hall	
A-23	Accounting – Accident Reports (vehicle)	Vehicle accident reports, certification of insurance, inspection reports, maintenance reports, liability accident notices	Treasurer	L+3	City Hall	
A-24	CIP Request File	All documents relating to each fiscal year's requests. See A-17	Treasurer	CFY+9 (10)	City Hall	
A-25	Permits, Registrations	Copy or paper record of any application documentation	Treasurer/Clerk	C+3 (4)	City Hall	Clerk=Civil Works, Vessel, Marine Facility Commercial Use Agreement, Salmon River Park, Liquor License Treasurer=Re-Sellers Cert, Business Permit, Long Term Storage
A-26	Sales Tax Appeals; Small Claims	Records related to the monitoring, collecting, and writing off of bad debts. Includes authorizations, supporting details of	Treasurer	C+6	City Hall	C=until case is inactive
A-27	Accounting – General	Accounting records not previously covered	Treasurer	5	City Hall	
AD-1	General Administration	Includes general correspondence, reading files, reports, studies, plans and copies of documents used for administrative purposes	Department Heads	AN	City Hall	Until met / review for retention value prior to destruction
AD-2	Non record	Items that do not reflect the position or business of the City of Gustavus; may include unsolicited received messages (spam), periodicals, superseded templates, duplicates of records retained elsewhere	Department Heads	NA	City Hall	May destroy immediately
AD-3	Transitory Information	Non-administrative records of temporary usefulness which are not covered by any other records series; may include routine communications, preliminary drafts, outgoing messages, routing slips	Department Heads	AN	City Hall	

Record Series	Subjects	Description	Data Owner	Retention	Location of File	Comments or Notes
AD-4	Policies and Procedures	City and Committee Routine policies and procedures	Clerk	C+3	City Hall	C=until superseded or obsolete
AD-5	Asset Management	Maintenance Records, manuals, warrants	Clerk	AN	City Hall	
AD-6	Administrative IT	Records relating to computer system, including program/system documentation, wiring, software licenses, disaster recovery, inventory, web page data	Clerk	AN	City Hall	
AD-7	Reference Files	Reference materials used for administrative purposes	Department Heads	AN	City Hall	
AD-8	Historical Files	Departmental written histories, newspaper articles, photographs, speeds, maps	Clerk	P	City Hall	
AD-9	Strategic Plan	Documents relating to formation of Strategic Plan and amendments to original	Clerk	P	City Hall	When replaced, old versions are retained as historical records.
AD-10	Record Retention Schedule	This Schedule	Clerk	P	City Hall	P=if revised, new schedule replaces old and old is retained for 7 yrs.
AD-11	Certificates of Record Destruction		Clerk	P	City Hall	
AD-12	Cooperative Agreements with State or NPS	All agreements between City and State, NPS or Federal Government	Clerk	P	City Hall	
AD-13	Engineering Drawings, street maps, city-owned architectural drawings, blueprints, as-built drawings	Includes 2012 maps created by Alaska DCCED for City of Gustavus	Clerk	P	City Hall	
AD-14	Consultant Reports	Architect, engineer, surveying reports	Clerk	P	City Hall	*Retain in-office if project is on-going and until project is concluded.
AD-15	Water Quality Reports	Reports conducted by outside entity	Clerk	P	City Hall	

Record Series	Subjects	Description	Data Owner	Retention	Location of File	Comments or Notes
C-1	Annexation Records	Annexation Files – Passed Annexation Files – Failed	Clerk	P 5	City Hall	
C-2	Incorporation Records	Incorporation Records, Borough Formation Records	Clerk	P	City Hall	
C-3	Council Non-Permanent Records	General correspondence regarding Mayor and Council business and dealings with public and legislative bodies; Meeting packet items, ABC Board Files (ABC Applications), Applications for Game of Skill and Chance, Clerk read files, General Correspondence Files. Original incoming and outgoing letters and memoranda related to the general admin and operation of the city. Consists of departmental, legislative, professional association, and public	Clerk	3	City Hall	
C-4	Council Permanent Records	Minutes of Council, Adopted Resolutions; Adopted Ordinances, including original paper code book and Affidavits of Publication of Ordinances; Oaths of Office for elected and appointed officials; Resignations; Official Municipal Seal	Clerk	P	City Hall	Scan and retain in hard drive off-site or Cloud
C-5	Election – Permanent	Certification Election Results and Canvass Board Returns (retained in the Official Minutes Book), DOJ Preclearance records, Voting district descriptions, maps & street books	Clerk	P	City Hall	
C-6	Elections – General	Initiative, Referendum, and Recall files, Declarations of Candidacy, Election registers & tally books, Recount of petitions, Declarations for Candidacy, Candidate withdrawals, Election officials' records	Clerk	6	City Hall	
C-7	Elections* – Ballots	Voted Ballots (Completed, Challenged, Rejected, Absentee, Faxed & Special Needs). Ballot stubs, absentee and question envelopes, absentee official records. Election contest/runoff information.	Clerk	1	City Hall	*Includes Special Elections
C-8A	Legal Petitions	Legal Petitions filed by groups or individuals to request governing body action.	Clerk	8	City Hall	Clerk must certify that petition was legally filed.
C-8B	Informal Petitions	Informal lists of signatures submitted to the clerk to request assembly action.	Clerk	3	City Hall	

Record Series	Subjects	Description	Data Owner	Retention	Location of File	Comments or Notes
C-10	Resolution/Ordinance Backup	All Back-up leading to the adoption of Ordinances and/or Resolutions	Clerk	Ind	City Hall	
C-11	Reserved					
C-12	Council Meeting Documentation	Agendas*, Action Agendas*, Audio and video recordings, Council Packet	Clerk	7	City Hall	
C-13	Conflict of Interest	Conflict of Interest Statements	Clerk	4	City Hall	
C-14	Failed Resolutions, Policies, Referendums and Ordinances		Clerk	10	City Hall	
C-15	Required Public Notices	Council Meeting Notices*, elected and appointed official vacancies, regular and special elections	Clerk	7	City Hall	
C-16	Census Records	Series of documents population estimates including resident data	Clerk	10	City Hall	
C-17	Public Records Request	Includes written request for public records, log includes date of request, name of requester and other related information	Clerk	2	City Hall	
C-18	Contract Administration, Contracts, Construction Project Files	Notification of award, original contract, and amendments or renewals, special conditions, fiscal reports, payment logs, progress reports and correspondence. Contracts for leased space. Records related to obligations under contracts, leases and other agreements between the City and outside parties	Treasurer	L+6	City Hall	L=Life of Contract
C-19	Liquor License Endorsement or Protest	Record of yearly liquor license renewal. Record of council protest to renewal or application	Clerk	6	City Hall	
C-20	Committee Files	Organizational Charts, Committee Applications for Seats, Committee Files*	Clerk	5	City Hall	Retain longer if involved in litigation
C-21	Clerk-General	Clerk records not previously covered	Clerk	6	City Hall	

Record Series	Subjects	Description	Data Owner	Retention	Location of File	Comments or Notes
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D-1	Alaska Department of Environmental Conservation (ADEC) Solid Waste Permit	Current and former solid waste permits, permit application & permit renewal documents, Monthly Visual Monitoring Logs, ADEC Inspection reports, Ground Water Monitoring Reports. Also includes lab analysis reports of compost samples	DRC Department Head	P	DRC	Guidance from State of Alaska Local Government Model General Administrative Records Retention Schedule 13.19 Landfill Records
D-2	Accounts Payable related to the DRC's Point-of-Sale Billing system	Monthly or quarterly billing statements, paper or electronic	DRC Department Head	CFY+4	DRC	Data related to statements in Point-of-Sale system is permanent
D-3	DRC Daily Log forms	Filled out for each day there is an operator present at the facility. Contains hours, environmental information and operational data for the day	DRC Department Head	CFY+3	DRC	Information collected off of paper log forms and entered electronically becomes permanent
D-4	Point-of-Sale data, Facility operation statistical data	Electronic data and backup data created by the Point-of-Sale system and the facility statistics database at the DRC	DRC Department Head	P	DRC	Electronic
D-5	Community Chest	Daily sales log form, write down sheet of volunteer hours	DRC Department Head	CFY+3	DRC	Information collected off of paper log forms and entered electronically becomes permanent
D-6	Recycling data	Settlement receipt forms from vendors the DRC ships recyclables to	DRC Department Head	P	DRC	When made electronic, paper receipts may be disposed of

Record Series	Subjects	Description	Data Owner	Retention	Location of File	Comments or Notes
E-1	Data Processing & Electronic Data Processing Media	Office copies of magnetic cards/tapes/diskettes, CE's or other media used for communicating with data processing equipment or as preliminary input, temporary storage, output control, which serves as an intermediate means for the production of printouts, or online data	Clerk	8	City Hall	
E-2	Transitory & Miscellaneous Administrative Information	Messages which do not set policy, establish guidelines or procedures, certify a transaction, or become a receipt. May include unsolicited received messages (spam), periodicals, superseded templates, appointments, calendars, schedules duplicates of records retained elsewhere	Clerk	AN	City Hall	Until Administrative need is met
E-3	Subject Files	Correspondence, reports, and information related to the functional department of the municipality and which document events, projects, activities, and issues.	Clerk	7	City Hall	At 7 years these should be reviewed for archival value.
E-4	Reading Files	Copies of incoming and outgoing letters and memoranda.	Clerk	3	City Hall	
E-5	Reserved					
E-7	Clerk Email Messages	If subject to multiple records retention requirements, it must be archived for the longest applicable period.	Clerk	5	City Hall	At 7 years these should be reviewed for archival value.
E-8	Mayoral and City Council Email Messages	Messages sent or received by Mayor and/or City Council using city-issued computers	Clerk	5	City Hall	

Record Series	Subjects	Description	Data Owner	Retention	Location of File	Comments or Notes
F-2	EMS Incident Reports	Reports of any incident that involved Emergency Medical Services	Fire Chief	10	Fire Hall	
F-3	Fire Inspection/Compliance Reserved	Series that documents fire safety inspection	Fire Chief	3	Fire Hall	
F-4	Violation/Complaint Files	Record of violations and complaints relating to Fire Safety Code	Fire Chief	C+3	Fire Hall	C=until resolution of complaint
F-5	Fire & Rescue Response Dispatch	SD card recording of incoming calls and outgoing dispatch	Fire Chief	30 days	Fire Hall	
F-6	Fire & Rescue Response Dispatch Logs	Record of incoming calls received by the Department.	Fire Chief	3	Fire Hall	
F-7	Fire & EMS Training Files	Consists of correspondence, course descriptions, training dates & exam results	Fire Chief	T+6	Fire Hall	T=until termination of employee or volunteer no longer active
F-8	Fire Prevention Education Programs	Multimedia materials used in fire prevention education	Fire Chief	C	Fire Hall	C=until superseded/ obsolete or administrative need is met
F-9	Fires & Rescue Response Records	Fire and Rescue Logs	Fire Chief	1	Fire Hall	
F-10	Alarms Records	Alarms Records: of alarm response tests conducted on all circuit and location alarm boxes	Fire Chief	L	Fire Hall	L=life of system
F-11	Equipment Inspection Records	Records of inspections for vehicles, mechanical systems, pump test logs hoses, ladders (ground and aerial), mask service information (model, serial number, purchase date, type, cubic feet of tank and service record)	Fire Chief	3	Fire Hall	
F-12	Reserved					
F-13	Apparatus Accident Files	Department record of accidents involving municipal fire/rescue vehicles. May include Trooper reports	Fire Chief	3	Fire Hall	*Retain longer if involved in litigation
F-14	Reserved					
F-15	Fire & EMS General	Fire & EMS records not previously covered	Fire Chief	6	Fire Hall	

Record Series	Subjects	Description	Data Owner	Retention	Location of File	Comments or Notes
HR-1	Human Resources - Organization Charts/Salary Schedule	Organization Charts, Salary Schedules	Treasurer	C	City Hall	C=until superseded/ obsolete or admin. need is met.
HR-2	Human Resources - Employee Training	Timesheets; Official Employment History (applications; resume; personnel actions regarding hire; termination and promotion; performance appraisals; employee testing; training certificates; driving history). Employee withholding exemptions (W-4), Employee gross earnings; deductions and net pay, Garnish & Payroll deduction court orders; Notification of pay step increases; Retirement Participation, Health...	Treasurer	CYF+14 (15)	City Hall	Timesheets may be destroyed after 3 years if associated data is recorded elsewhere.
HR-3	Human Resources - Job Descriptions/Class Specifications	Description of specific duties for each position, job qualifications & skills	Treasurer	C or T	City Hall	C=until superseded / T = Termination
HR-4	Human Resources- Grievance Case Files	Grievances filed by employees against departments, grievance forms, investigative notes, reports, correspondence, and related backup	Treasurer	6	City Hall	Until resolved
HR-5	Human Resources -- General	Human Resources records not previously covered	Treasurer	6	City Hall	
HR-6	Human Resources - Recruitment, Applications for Employment (not Hired)	Applications for Employment (not hired)	Treasurer	CY+1 (2)	City Hall	

Record Series	Subjects	Description	Data Owner	Retention	Location of File	Comments or Notes
L-1	Circulation Records	Items borrowed	Librarian	Active + 3	Library	Until superseded/ Obsolete or admin. Need is met.
L-2	Circulation Statistical Reports	Statistics of circulation	Librarian	P	Library	
L-3	Accession Records	Items added to the collection	Librarian	Active	Library	Until obsolete
L-4	Discard Statistics	Items withdrawn from the collection	Librarian	Active	Library	Until obsolete
L-5	Policies and Procedures	Implemented general policies	Librarian	P	Library	Updated periodically
L-6	Grant Files	Proposals and reports	Librarian	P	Library	
L-7	Vertical Files	Reference files on local history	Librarian	P	Library	Local History
L-8	Automated System	Backup on local system	Librarian	P	Library	ResourceMate database
L-9	Patron Registration Records	Application for borrowing privileges	Librarian	Active	Library	Until obsolete
L-10	Interlibrary Loan Records	Requests for items from other libraries	Librarian	I	Library	
L-11	Overdue notices & fines	Notice to patrons concerning overdues	Librarian	Active	Library	Until obsolete
L-12	Incident Reports	Incidents/accidents reported to staff	Librarian	5	Library	Unless litigated
L-13	Endowment Records	Donation/contribution bequests	Librarian	P	Library	
L-14	Library Equipment Records	Guarantees, warranties Includes correspondence related to failed or non-functioning equipment	Librarian	Active	Library	*or until equipment is replaced

Record Series	Subjects	Description	Data Owner	Retention	Location of File	Comments or Notes
LAW-1	Municipal Attorney Opinions	Official interpretations regarding questions of legal rights or liabilities affecting operating departments	Clerk	P	City Hall	
LAW-2	Litigation	Records related to action in civil and criminal cases and investigations, including briefs, pleadings, evidence, reports, court proceedings, correspondence. Final Claims or Litigation Documents	Clerk	C+6	City Hall	C-until case is closed
LAW-3	Law-General	Correspondence and reports related to the legal review of city functions	Clerk	6	City Hall	

Record Series	Subjects	Description	Data Owner	Retention	Location of File	Comments or Notes
MF-1	Marine Facilities Files	Documents relating to Marine Facilities, warnings, citations etc.	MFC	3	City Hall	
MF-2	MF Maintenance Logs	Records are maintained by the MFC and contain information regarding building and repairs of Marine Facilities	MFC	3	City Hall	
MF-3	MF Correspondence	Correspondence and reports related to the legal review of city functions	MFC	1	City Hall	

Record Series	Subjects	Description	Data Owner	Retention	Location of File	Comments or Notes
PL-1	Land Management – General	Land Classification Case/Management; files relation to acquisitions, sales, leases, management agreements, letters of entry, timber sales, resource sales	Clerk	10	Treasurer	
PL-2	Conditional Variance, Temporary Use Permits, ROW vacations, or other activities requiring public hearing	Land Use Permits that require a hearing and approval by the Council	Clerk	P	Treasurer	
PL-5	Deeds & Leases to Municipality Real Property	Deeds to city real property, Deeds, Patents, Quitclaims, Easements, Right-of-Way, and Leases to City property	Finance or Clerk	P	Treasurer	

Record Series	Subjects	Description	Data Owner	Retention	Location of File	Comments or Notes
PW-1	Procurement Files	Purchase of goods and services which may include bid specifications, requests for proposal, price quotations, bid abstracts, purchase orders/requisitions, correspondence.	Treasurer	FY+3	Treasurer	FY=Year of Purchase. Refer to PW-4 if formal contract is required.
PW-2	Engineer's Drawings	Maps, plats, block, and street maps	Clerk	P	Treasurer	See AD-13
PW-3	Projects-General	Project files not previously covered	City Administrator	6	Treasurer	
PW-4	Contracts	Notifications of award, contract negotiations, original signed contracts, and amendments, change orders or renewals, special conditions, fiscal reports, payment logs, progress reports, correspondence, and financial support records including work papers, spreadsheets, summaries, and other data reflecting the expenditure of grant funds, contract insurance and bonds.	Treasurer	L+6	Treasurer	L=Life of Contract

Record Series	Subjects	Description	Data Owner	Retention	Location of File	Comments or Notes
R-1	Road Names		Clerk	P	Clerk	
R-2	Snow Removal Road Maintenance	Records relating to snowplow routes and activity and road maintenance. May include logs, correspondence and other documents related to snow removal	Clerk	C	Treasurer	C = Until superseded/obsolete or administrative need is met.
R-3	Road / Bridge inspections		Clerk	6	Clerk	
R-4	Civil Works Permit		Clerk	4	Clerk	

