

Presented by: The Manager
Introduced: 10/20/2015
Drafted by: A. G. Mead

RESOLUTION OF THE CITY AND BOROUGH OF JUNEAU, ALASKA

Serial No. 2731

A Resolution Amending the Retention Schedule for Certain City and Borough of Juneau Records of the Community Development Department, and Repealing Resolution 2356.

WHEREAS, the orderly administration of public records is essential to the efficiency and accountability of government; and

WHEREAS, the State of Alaska requires, by AS 40.21.070, that the City and Borough promote the principles of efficient records management for its records kept in accordance with state law, and follow, as far as practical, the program established by the State for the management of state records; and

WHEREAS, AS 40.21.080 authorizes the municipal official having legal custody of public records to submit to the Assembly a list of documents considered by the official to be without legal or administrative value or historical interest, and where the Assembly may authorize the disposal of the listed records. The Assembly may also, upon request of the legal custodian of the records, give advance authorization for the periodic disposal of routine records that the governing body considers to have no legal, administrative, or historical value; and

WHEREAS, the City and Borough Clerk, being the officer charged under Charter Section 15.7 with the certification of City and Borough records, has, with the guidance of the Office of the Archivist of the State of Alaska and after consultation with the Manager, the Municipal Attorney, and the directors of the City and Borough departments, prepared amendments to the schedule for the retention of municipal records; and

WHEREAS, such amended schedule promotes the principles of efficient records management, and follows, as far as practical, the program established for the management of state records; and

WHEREAS, the Municipal Clerk has been working with staff on a comprehensive update to the CBJ Records Retention schedule, updated by Resolution 2356; and

WHEREAS, due to seasonal workload cycles and staffing schedules in the Community Development Department (CDD), it would be in the City and Borough's best interest to enact the amendments to CDD's records retention schedule in advance of the comprehensive records retention schedule update; and

WHEREAS, Resolution No. 2731 would amend CDD's record retention schedule, as shown on the attached Exhibit A, to allow for the separation of residential building files and commercial building files; and

WHEREAS, Resolution No. 2731 would further distinguish between files of significant and insignificant importance so that unnecessary and obsolete paperwork would no longer be required to follow the requirements of the permanent retention schedule, but would instead follow the "until superseded plus six years" retention schedule; and

WHEREAS, except for the amendments to CDD's retention schedule shown on the attached Exhibit A, the remainder of the CBJ Retention Schedule is being readopted, unchanged, until the comprehensive update to the CBJ Retention Schedule is complete; and

WHEREAS, Resolution No. 2356, adopted on May 15, 2006, which established the current CBJ Retention Schedule, is hereby repealed.


NOW, THEREFORE, BE IT RESOLVED BY THE ASSEMBLY OF THE CITY AND BOROUGH OF JUNEAU, ALASKA:

Section 1. The "Retention Schedule for the City and Borough of Juneau Records," attached as Exhibit A, is adopted, and Resolution No. 2356 is repealed.

Section 2. That the Assembly notes the retention period specified for each of the document types listed in the Retention Schedule for City and Borough of Juneau Records, and finds that upon expiration of such retention period, the document so listed shall be without legal or administrative value or historical interest, and the Clerk or other officer having custody of such record shall thereupon be authorized to destroy the same by any effective and economical method.

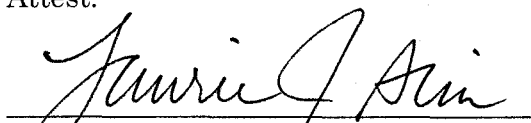
Section 3. Effective Date. This resolution shall be effective immediately after its adoption.

Adopted this 20th day of October, 2015.



Greg Fisk, Mayor

Attest:



Laurie J. Sica, Municipal Clerk



CBJ Retention Schedule

Resolution 2731

Adapted from Resolution 2356, adopted May 15, 2006.

Series, Title & Description	Retention Period (years)	Remarks
<p>General: All city departments will use this general retention schedule for correspondence unless the department has adopted a particular retention schedule for correspondence as outlined in the following pages.</p>		
<p>Transitory Correspondence: Those records that are created primarily for the informal communication of information, as opposed to communications designed for the perpetuation or formalization of knowledge. Transitory messages do not set policy, establish guidelines or procedures, certify a transaction, or become a receipt. The informal nature of transitory messages might be compared to the communication that might take place during a telephone conversation or verbal communications in an office hallway.</p>	90 days	
<p>Subject Files (Functional): Correspondence, reports, and information related to the functional departments of the municipality and which document events, projects, activities and issues.</p>	7	Review for administrative or archival value.
<p>Reading Files: Copies of outgoing letters and memoranda arranged by date.</p>	7	
<p>Calendar Information: Appointments, Calendars, Schedules</p>	1	
<p>Purchase Orders (department copies): research documentation attached</p>	1 +	+ = Official records kept by purchasing division, department copies are kept for administrative use only.
<p>Revenue Transmittals (department copies)</p>	2	Treasury keeps transmittals for audit purposes for two years, departments' copies are for administrative purposes and retention is determined by departments.

Series, Title & Description	Retention Period (years)	Remarks
Administration - Clerks Office and Governing Body		
Minutes: Official Account of proceedings of governing body, boards, commissions or committees.	Permanent	
Audio Recordings of Meetings: Includes governing body, boards, commissions and committees	3	
Petitions: Filed by individuals or groups to request governing body action	5	
Special Committee / Commission Reports	Permanent	
Certificates of Election Returns	Permanent	
Voted Ballots, Affidavit Envelopes, and Other Election Materials	90 days from certification of election or 90 days from the determination of the contest of an election	
Declarations of Candidacy & Nominating Petitions	7	
Voter Pamphlets	Permanent	
Conflict of Interest Statements	7	
Assembly Packets	5	
Appeal Files (includes briefs, correspondence, evidence, etc.)	6 years after written decision is filed with clerk.	Review for archival/administrative value.
Appeal Files - written decision only	Permanent	
Board/Commission Files	5	
Board/Commission Applications	1	
ADA Files	5	
Business Licenses: Liquor Licenses and State Gaming Permit Applications and Files.	3	
Board of Equalization Packets	Permanent	
Public Record Requests	1	
Notice of Public Hearing	1	
Notice of Adoption - Legislation	1	
Affidavits of Publication	1	
Record Retention Schedule	Permanent	
Certificates of Record Destruction	Permanent	
Proclamations	Permanent	
Incorporation Files	Permanent	
Reapportionment / Redistricting Information	Until superceded	
Census / Population Information	Until superceded	
Department of Justice Preclearance Reviews	Permanent	

Series, Title & Description	Retention Period (years)	Remarks
Administration - Lands and Resources		
General Correspondence: Letters, memoranda, miscellaneous information sent or received.	3	
CBJ Property Files: Deeds and Patents of lands acquired by CBJ	Permanent	
CBJ Property Files: Other information pertinent to specific CBJ owned parcels.	10	
Leases: relating to CBJ lands and rehabilitation loans	T+5	T=after expiration of lease
Municipal Land Selections	10	
General Lands Files: Gravel Pit, Beach Access Projects, Mining, Land Classifications, Sales & Trades	10	
Contracts	T+7	T=after termination of
Administration - Risk Management		
Insurance Policies & Related Materials: Liability, vehicle, fire, theft, health & life, workers compensation	T+10	T=expiration of policy
Fidelity and Surety Bonds: Coverage for claims filed against CBJ	T+07	T=expiration of bonds
OSHA Reports	10	
Accident Reports	10	Retain longer if claimes are unsettled.
Airport		
Airport Master Plan	C	C = until replaced
Airport Security Plan	C	C = until replaced
Correspondence Files: Airfield Maintenance & Operation, FAA, Terminal Operations, Administration.	5	
Contracts and Grants	T + 7	T = after audit
Tie Down Agreements	T + 3	T = after expiration

Series, Title & Description	Retention Period (years)	Remarks
Community Development		
Comprehensive Plan & Amendments: Statement of overall development and zoning plans.	Permanent	
Comprehensive Plan Work Papers: May include surveys, studies and reports	<u>5 or until next update</u>	
Coastal Zone Management Plan and Amendments	Permanent	
Enforcement Case Files: Documents complaints and action taken to enforce planning and /zoning regulations <u>and building code regulations.</u>	2	
Platting Case Files: Preliminary, Short <u>ROW Vacations</u> , and Final Plat files	Permanent	<u>CDD files of this nature are the official files as the platting authority.</u>
Variances, Waivers, Exceptions	Permanent	
<u>Temporary Use Permits, Allowable Use Permits, Conditional Use Permits, Mining Permit Files, Zone Change Files, Street Vacation Files, Waiver Files, Non-Conforming Use Files</u>	Permanent	<i>(Editors note: This change consolidates permit types and lists all as permanent)</i>
Temporary Use Permits	Permanent	
Land Classification Case Files: Actions to classify lands within the jurisdiction of local government	Permanent	
Temporary Use Files: Allowable Use files, Use Permits, Mining Permit Files, Zone Change Files, Street Vacation Files, Waiver Files	T + 10	T = discontinuance of use.
Historic District Files	Permanent	
Design Review Board Files & Materials	Permanent	<u>Historic</u>
General Correspondence: Community Development Department	3-7	
Litter Violation Files	T + 3	T = case is closed.
Street and Sidewalk Vendor Files	3	
Building Code Violations	Permanent	
Non-Conforming Use Files	Permanent	
Commercial and Residential Building Permit Files	Permanent	
Residential Building Permit Files	C + 6	C = Permit "Finaled."
<u>Commercial and Governmental Building Permit Files - Substantial</u>	<u>Permanent</u>	<u>Substantial = New Construction, Change of Use, Additions and/or Renovations exceeding 25% of total floor area.</u>
<u>Commercial Building Permit Files - Non Substantial</u>	<u>C + 6</u>	<u>Anything not meeting the standards of substantial. C = Permit "Finaled."</u>
Annexation Files	Permanent	
Eaglecrest		
Lifts and Mechanical Manuals	T	T = life of equipment
Ski Patrol Accidents and Avalanches	Permanent	
Environmental Compliance	Permanent	
Payroll and Personnel	Permanent	

Series, Title & Description	Retention Period (years)	Remarks
Contracts	T + 7	T = after termination of contract

Series, Title & Description	Retention Period (years)	Remarks
Engineering		
CIP Project Files	Greater of T or 10	T = oldest grant + 3 years
Contract and Grant Files	Greater of T or 10	T = oldest grant + 3 years
Correspondence Files	3	
Engineering Drawings, Maps & Plats, Block and Street maps, architectural drawings, maps showing structures of streets, blueprints, and as-built drawings	Permanent	
CBJ Facilities Drawings	C	C = until superseded
Operations and Maintenance for CBJ Buildings	C	C = until superseded
Street Improvement Files: Recommendations, petitions, action taken, repairs and complaints	Permanent	
Vendor Files for Capital Transit	C	C = until superseded
Contract Documents and Blueprints	T + 7	T = after termination of contract
Engineering Detailed Payroll Timesheets	Greater of T or 10	T = oldest grant + 3 years
Reader Files	7 years	
Plans and Specs Billing Receipts	3	
Plans and Specs Billing Transmittals	2	Treasury keeps transmittals for audit purposes for two years, departments copies are for administrative purposes and retention is determined by departments.
Employee Personnel Files	Permanent	
Consultant Reports	Permanent	
Gravel Pit Tickets	2	Keep until account is resolved - if account is in collections.

Series, Title & Description	Retention Period (years)	Remarks
Finance Administration		
<i>Note: "oldest grant will be determined annually by controller's office" means whatever the oldest grant that is auditable by outside government agencies, when closed, is still subject to audit after three years.</i>		
General Correspondence: Policies, procedures, budget information	5	
Budget Worksheets, packet information, staffing schedules	5	
ADEC Audits	Permanent	
Contracts	T + 7	T = after termination of contract
Finance Assessors		
Real Property Field Cards	Permanent	
Personal/Business Property Files	5	
Tax Roll Books	Permanent	
Senior Citizen Files	5	
Finance Controllers - Accounts Payable		
Payables: invoices, Check Copies and Backups	Greater of T or 10	T = oldest grant + 3 years
Check registers	Greater of T or 10	T = oldest grant + 3 years
Approval Registers and Edits	T + 6 months or through current fiscal year audit	T = fiscal year end
Finance - Controllers - General Accounting		
Appropriating Ordinances	Permanent	
Fixed Asset Records	Permanent	
Inventory Records	Greater of T or 10	T = oldest Grant + 3 years
Annual Budget Work Papers	5	
CIP All Fund Reports	Greater of T or 10	T = oldest Grant + 3 years
Grant Files: Awards, Single Audit Reports	Greater of T or 10	T = oldest Grant + 3 years
System Archival Records (optical disk)	Permanent	
Microfiche	Permanent	
Audit Work Papers	Greater of T or 10	T = oldest Grant + 3 years
Journal Entries	Greater of T or 10	T = oldest Grant + 3 years
Line Item Adjustments	Greater of T or 10	T = oldest Grant + 3 years
Transfers	Permanent	
Approval Registers and Edits	T + 6 months or through current fiscal year audit	T = fiscal year end

Series, Title & Description	Retention Period (years)	Remarks
Finance - Controllers - Payroll		
Employee Files: Timesheets, PA's, W-2's	Permanent	
Quarterly Reports: IRS, State and Alaska, Social Security	Permanent	
Monthly Payroll Reports: Current Period Combined, Generic Deduction, Leave Accrual, PA/GL, Audit Report, Benefit Allocation, A/P/Payroll, Period Exception and PERS Contribution	3	
Check Registers	Greater of T or 10	T = oldest grant + 3 years
Approval Registers and Edits	T + 6 months or through	T = fiscal year end
Finance - Purchasing		
Purchasing Policies and Procedures	C	C = until superseded
Travel Reports & PO Backup	Greater of T or 10	T = oldest grant + 3 years
Purchase Requests / Solicitations / Logs and Backup	Greater of T or 10	T = oldest grant + 3 years
Purchase Orders / Contracts	Greater of T or 10	T = oldest grant + 3 years
NISSI Purchasing Subsystem: Design and Test Information	C	C = until superseded
Approval Registers and Edits	T + 6 month or through current fiscal year audit	T = fiscal year end
Finance - Sales Tax		
Current Sales Tax Account Files	C+3	C= Current year
Closed Sales Tax Account Files	C+3	C= Current year
Sales Tax Appeals - Informal/Formal	Permanent	
Sales Tax Audit Files	C+3	C= Until Final Resolution and merchant closes account
Nonresident Sales Tax Applications	C+3	
Policies/Procedures	C Until Superseded	
General Administrative, Correspondence, reports publications,	3	

Series, Title & Description	Retention Period (years)	Remarks
Finance - Treasury		
Bank Statements and Cancelled checks	Greater of T or 10	T = oldest grant + 3 years
Investment Files	7	
Bond Sale Records	Permanent	
Small Claims	10	
General Accounts Receivable Invoices and Approvals	5	
General Accounts Receivable Reports	7	
Liens	Permanent	
Property Tax Foreclosures	Permanent	
Property Tax Adjustments and Reports	7	
Property Tax Bills	1	
Property Tax Payments	3	
Sales Tax Payments	3	
Deferred Water System Hook-up: LID Documents	Permanent	
Utility Billing Adjustments	3	
Utility Payments	3	
Utility Current Balance Reports	A + 1	A = Current Year Audit
Utility Summary Report	5	
Ambulance Patient Files & Charge Slips	10	
Ambulance Reports	7	
CONS	7	
Cash Payment Receipts (office copies)	7	
Revenue Transmittals from other departments	2	
Harbors M/E Journal Entries	A + 1	A = Current Year Audit

Series, Title & Description	Retention Period (years)	Remarks
Fire		
Fire Incident Reports	Permanent	
Fire Training Files	T + 10	T = after employee leaves
Equipment Inspection Reports, Hose Tests, Hydrant Tests	5	
Fire Inspection Reports and Investigation Reports	Permanent	
EMS Incident Reports	Permanent	
Fire and EMS training Records	C	C = after employee leaves
Vehicle Service Records	T	T = final disposition of equipment
Contracts	T + 7	T = after termination of contract
Health and Social Services - archival records only		
Client Files - Adult: Assessments, diagnostics, JASAP Referrals and Correspondence	7	
Client Files - Juvenile Mental Health	Greater of 7 years or client age of 21	
Client Related Census: Correspondence & Sign-out books	2	
Project/Program Files: Administrative Policies and Correspondence	5	
Administrative Records, Billing Records, Staff Projects and Activity Records	5	
Grant/Contract Files	T + 7	T = expiration of grant or contract
Law		
CBJ Code Ordinances including Resolutions	Permanent	
CBJ Ordinance and Resolution Indexes	Permanent	
Non-Code, Emergency Ordinances	Permanent	
Failed Ordinances and Resolutions	Permanent	
Department Correspondence and Reading Files	10	
Litigation Case Files (Civil): Documents civil actions by the local government or against the local government. Includes work papers, copies of court documents and correspondence	T + 10	T = final settlement. Selected file may have archival value
City Attorney Opinions: Official interpretations regarding questions of legal rights or liabilities affecting operating departments.	Permanent	
Legal Administration Files: Correspondence and reports related to the legal review of city functions such as bond issues, insurance, ordinances, contracts, grants, claims for damages, etc.	5	
Contracts	T + 7	T = after termination of contract.

Series, Title & Description	Retention Period (years)	Remarks
Library		
Collection Development and Material	Until superseded	
Equipment Records	Until superseded	
Purchasing Records	3	
Contracts	T + 7	T = after termination of contract
Parks and Recreation - Administration		
Evergreen Cemetary Files	Permanent	
Program Files: Youth and Adult, Youth Scholarships	3	
Horticultural Activity/Project: Records of landscaping work, tree work, etc.	3	
Activity Records: Schedules, team rosters, and tournament records	3	
Injury and Accident Reports	7	
Facilities Rental Forms	T = 1	T = expiration of contract
Contracts	T + 7	T = expiration of contract
Equipment logs/reports	10	
Park Files	10	
Parks and Recreation - Centennial Hall		
General Correspondence: Letter, memoranda and miscellaneous information sent or received	3	
Building Files	10	
Client Files: Customer contracts, payment record correspondence, room set information, Caterer's Insurance and licenses	T + 3	T = Termination of contract
Purchase Orders (copies): Research documentation attached	1 +	+ = Original records kept by purchasing department, department copies are kept for administrative use only.
Receipts (copies)	3	
Reading files	7	
Reservation Book	20	Potential archival value
Leases - JCVB and AK Marine Hwy	T + 7	T = Termination of Contract
Parks and Recreation - Facilities Maintenance		
Individual Building Files	T	T = as long as city owns building
Inspection Reports and Warrantees	T	T = as long as city owns building
Key Cards	T + 2	T = as long as employee has keys
Contracts	T + 7	T = after termination of contract

Series, Title & Description	Retention Period (years)	Remarks
Parks and Recreation - Museum		
Collection Documentation Files	Permanent	
Exhibit Resources and Records	5	
Visitor Reports (statistics)	Permanent	
Volunteer Records	5	
Marketing Records	5	
Incoming/Outgoing Loan forms	Permanent	
Donor Files	Permanent	
Accession Files	Permanent	
Contracts (including Memoranda of Understanding for presentors/instructors and solo art exhibitors)	T + 7	T = after termination of contract
Parks and Recreation - Swimming Pool		
Lesson Registration	3	
Facility Equipment	T + 5	T = as long as have equipment
Administrative: Life Guard Files	3	
Injury and Accident Reports	7	
Facility Rental Forms	T + 1	T = Termination of contract
Contracts	T + 7	T = after termination of contract
Parks and Recreation - Treadwell Ice Arena		
Program Files (learn to skate, clinics, seminars)	3	
Advertising Contracts	T + 3	T = Termination of contract
Facility Rental Agreement Forms	T + 1	T = Termination of contract
Facility Reports (staff, administrative)	10	
User Group Requests	3	
Annual Ice Schedule	10	
Injury and Accident Reports	7	
Equipment Logs and Reports	10	
Purchase Orders (copies): research documentation attached	1 +	+ = Original records kept by purchasing department, department copies are kept for administrative use only

Series, Title & Description	Retention Period (years)	Remarks
Parks and Recreation - Zach Gordon Youth Center		
Rental Forms	T + 1	T = completion of term
Registration Forms	3	
Incident and Accident Forms	7	
Activity Records	5 3	
Contracts, <i>Grants</i>	T + 07	
Volunteer Applications	5	

Series, Title & Description	Retention Period (years)	Remarks
Personnel		
Organization Charts	Permanent	
Job Specifications: Established minimum qualifications for each	Permanent	
EEO & Affirmative Action Reports: Compliance Reports, action	Permanent	Potential archival value
Personnel Rules, Policies and Procedures	Permanent	
Staffing Schedules	10	
Labor Contract Administration Records: Documents negotiations	Permanent	
Grievance Case Files	Permanent	
Arbitration Decisions	Permanent	
EEO & Affirmation Action Records	2	
Methods and materials files	Permanent	

Series, Title & Description	Retention Period (years)	Remarks
Disciplinary and EEO investigations and complaints	Permanent	
Police		
Police Reports (Minor): Reports of activities, such as abandoned vehicles, bicycle theft, misdemeanor arrests, breathalyzer use,	2	All files are retained in computer. After 2 years, hard
Police Reports (Major): Reports involving classified felony	5	All files are retained in
Police Reports (Major): Reports involving unclassified felony	Permanent	All hard copy files are retained
Internal Investigations - Sustained	10	
Internal Investigations - all other than sustained	5	
Applicant Background Investigations: Applicants employed	T + 10	T = until employee terminates
Applicant Background Investigations: Applicants not employed	5	
Police Personnel Files	T + 10	T = until employee terminates
Employee Confidential Medical Files	T + 10	T = until employee terminates
Sworn Staff Training Files	T + 10	T = until employee terminates
Civilian Staff Training Files	T + 10	T = until employee terminates
Citations (Traffic & Parking)	2	
Investigative Research	3	
Photograph and Fingerprint	Permanent	Fingerprint cards sent in to
Crime Statistics	Permanent	All retained in the computer >
911 Call Logs	2	
Chauffeur Permits	2	
Contracts, Grants	T + 7	T = after termination of

Series, Title & Description	Retention Period (years)	Remarks
Request for MNI checks (in Records)	2	
Public Works		
Maintenance Records: Service Requests and Work Orders	10	
Discharge Monitoring Reports	Permanent	
Permits (NPDES, Discharge, Sludge Disposal, Solid Waste, Air	Permanent	
Safety Inspections, Safety Records	7	
Employee Training,	T + 7	T = Separation from CBJ
Situation Reports	10	
Water System Station, Water Studies, and Water summary Reports	10	
Equipment Operations Manuals, maintenance Manuals and service records	T	T = until superseded
Engineering Drawings, Blue Prints showing street structures, Areawide water and wastewater systems drawings and specs.	Permanent	
Plant Operations Logs, Operation logs, lab reports and flow	Permanent	
Vehicle Registrations and Titles	T	T = final disposition of equipment
Service Valve Locations	Permanent	
Contracts	T + 7	T = after termination of
Correspondence Files	3	
Timekeeping Records	Permanent	