

City of Gustavus

Policy and Procedure for Public Records Management

Overview:

The City of Gustavus, during the course of conducting its everyday business, generates numerous documents, files, correspondences, e-mails, memorialization and the like. Some of these materials constitute an important public and historical record and should be retained, while others are of a more transitory nature and are of value only until they have served their immediate purpose. As a body, they represent a record of the activities of the City and provide a fundamental method for the public to understand, appreciate, challenge or otherwise interact with the process of governance.

It is the purpose of this Policy and Procedure to establish definitions of various categories of public records as they relate to the City of Gustavus, recommend methods for how they are created and stored, establish a set of rules on how the public can access them, and set forth a schedule and process whereby those records are retained and/or disposed of.

Definitions and General Rules:

What is the definition of 'public records'? State law answers the question 'what is a record?' for all municipal governments in Alaska in AS 40.25.100-.220. AS 40.25.220(3) defines them as "books, papers, files, accounts, writings, including drafts and memorialization of conversations, and other items, regardless of format or physical characteristics, that are developed or received by a public agency, or by a private contractor for a public agency, and that are preserved for their informational value or as evidence of the organization or operation of the public agency."

What would be considered a non-record? Documents or materials that do not set policy, establish guidelines or procedures, certify a transaction, become a receipt, or indicate the business process of the City. A non-record tends to be informational by nature, short-lived, with no historical significance, does not show evidence of the organization or operation, and does not need to be retained after it has served its purpose. Examples include:

- Routing requests for information or publication, which require no administrative action, policy, decision or special compilation or research, and copies of replies.
- Letters of transmittal that do not add any information to that contained in the transmitted material.
- Quasi-official notices including memoranda and other records that do not serve as the basis of official actions (i.e., holiday notices, meeting information, etc.)

Who has access to public records? As a general rule, "Unless specifically provided otherwise, the public records of all public agencies are open to inspection by the public under reasonable rules during regular office hours" See AS 40.25.110(a). This statute assumes that virtually all records are public and subject to inspection, with certain limited exceptions. And as the clause implies, it is up to the City of Gustavus to establish 'reasonable rules' for the public access to those records.

What is a records retention schedule? As any citizen might suppose, retaining the entire "storm of paper" that emanates from City Hall is an impossible task. It is incumbent upon the City of Gustavus to develop a records plan and retention

schedule to manage this situation.

When can a public record be withheld? A record may be withheld from public disclosure only if a legal exception that authorizes withholding access can be identified. Exceptions are set out in State statute or established through court decisions and generally pertain to issues of confidentiality. The burden of proof for withholding public access rests with the municipality.

What records are NOT subject to public inspection? Certain kinds of records are not subject to public inspection under AS 40.25.12.120(a) and decisions of the Alaska Supreme Court. The exceptions are:

- Confidential attorney-client records
- Records that come within the Alaska constitutional right to privacy
- Most personnel records
- Most records concerning conflict of interest and ethics investigations
- Records required to be kept confidential under City of Gustavus code. See 2.30.060(b)(2), 2.60.030, 4.14.070(g), and 6.01.050(a).
- Records required to be kept confidential by Federal or State law
- Records compiled for law enforcement purposed, under certain circumstances
- Retirement records
- Records that come within ‘deliberative process privilege’ (see below)

How is confidentiality protected? Except upon court order, confidential information shall be made available only to officials and employees of the City whose job responsibilities require such information. Confidential information shall be protected from disclosure by adequate physical, electronic, and procedural controls.

Does labeling a document “draft” make a difference? No. Draft documents are public records, as are final documents. See AS 40.25.220(3).

Does labeling a document “confidential” make a difference? Labeling a document “confidential” may make a difference because it clearly shows the intent of the author that the record should be kept confidential. However, a label alone does not make a record privileged.

What about e-mail? E-mail and other electronic documents and records are subject to the same rules of records management and public disclosure as traditional hard-copy files. It is important to recognize that public records apply to personal electronics such as phones and computers, as well as hard copies on personal notebooks.

What is the “deliberative process privilege”? The deliberative process privilege is a judicially recognized exception to disclosure. The Alaska Supreme Court (*Gwich’in v. State* [2000]; *Capital Info Group v. State* [1996]) ruled that “Public officials may assert [the deliberative process] privilege and withhold documents when public disclosure would deter the open exchange of opinions and recommendations between government officials. The privilege is intended to protect the executive’s decision-making process, its consultative functions, and the quality of its decisions.” The public’s right to know

and the government's interest in confidentiality require a "balancing test" between the interests, and, from a policy standpoint, the City of Gustavus communications that are exempt from public disclosure are only those listed in State statute or are matters taken by the City Council while in Executive Session.

Can a person involved in litigation against the City of Gustavus make a request for public records if the request pertains to the case? No. That person must instead use the rules of procedure applicable in a court or administrative proceeding.

I am a member of a committee, or the Council and I get an information packet at the start of each meeting. Do I need to retain all the items in that packet as a record? No. If a document is obviously a copy of a master document, or is stamped 'copy', there is no need to retain it. The City Clerk, or Committee Chair will retain master copies of such documents as records. However, if during the meeting you take notes on that document, the document then becomes influential in the decision-making process of the Council or Committee, and you should retain those notes and submit them as a record.

What does historical record mean? Many of these public records constitute historical documents that reflect important developments and trends in the public life of Gustavus, and as such should be retained for future reference. Any record listed for permanent retention on the schedule is considered an historical record. In addition, there are items generated throughout the course of events of City life that warrant retention as historical records, such as photographs, awards, or other mementos.

Hard-copy Documents

As a rule, the generation and management of hard-copy documents is detailed in the records retention schedule. Transitory documents – records that are created primarily for the informal communication of information – have the shortest retention life, whereas documents that reflect communications designed for the perpetuation or formalization of knowledge merit longer retention. Documents that lie at the foundation of City function and operation merit permanent retention. See the Records Retention Schedule for details (Appendix 1).

E-mail

Many e-mails are messages that contain pertinent information influencing the decision-making process or are the outcome of that decision making process and therefore constitute a public record and must be retained. City Council members, Committee members and City employees are responsible for retaining all e-mails generated in the conduct of City business through electronic mailbox folders corresponding to the Records Retention Schedule and shall file records into those folders. E-mails of a general informational nature that are sent to multiple addresses, that deal with simple matters such as setting up meeting dates or teleconferences, or are general public announcements, do not constitute records and can be discarded. General rules to follow for retaining e-mail messages include:

E-mails that constitute records are filed in their appropriate email folders.

If the e-mail deals with specific issues that might influence the character of an employee of the City of Gustavus or another committee member, OR, if the e-mail deals with impending legal action, sensitive financial information pertaining to the City of Gustavus, or sales or bed tax information pertaining to a business, it must be filed in a secure folder.

All files not deemed of a sensitive nature as described in the above paragraph are a public record and are available for public review via a link on the City of Gustavus website.

Procedures to follow for a public records request:

All requests for public records should be made to the City Clerk using the Request for Public Records Form (Appendix 3). If the request is made by e-mail, an electronic version of the form should be made available to the requesting party.

The response should be prompt but should not impact the normal work schedule of the City Clerk. If the response will require more than ten (10) business days, the City Clerk shall advise the requestor in writing of the need for additional time, and specify one or more of the following reasons: voluminous amount of records requested; need to search for and collect records from other offices; need to consult with someone else who is not present; request came at a time of peak workload; need to consult with City attorney.

The City Clerk, in the process of fulfilling a public records request, is not required to create any document that does not already exist.

The City Clerk is not required to organize public records in response to the request. The City Clerk is not required to manage or manipulate data, nor create new records, such as spreadsheets, in response to the request. The City Clerk may supply the requested records in either their original form (i.e., electronic or paper) or in a form specified by the requestor, at the City Clerk's discretion.

The requestor must describe the desired records in sufficient detail to enable the City Clerk to locate the records.

The City Clerk should ask for clarification or additional information if there is confusion or if the request is unclear. The City Clerk should make every reasonable effort to comply with the request but is not bound to spend more than one (1) hour total time searching for records.

All records requests pertaining to committees shall be administered by the City Clerk to assure compliance with policy. If committee members convey records to requesting parties without consulting with the City Clerk, this does not constitute a public records request.

The requesting party is responsible for covering the cost of duplication, as established in City of Gustavus resolution. If the City Clerk estimates an excess of one (1) hours' time to complete the records request, the Clerk shall advise the requestor, in writing of the estimated cost of request prior to initiating the work and inquire as to whether the requestor wants to narrow the request or proceed. The person's response should be in writing. E-mail is an acceptable use of correspondence.

If the production of records sought by a requestor in a calendar month exceeds one (1) person-hour, the city must require the requestor to pay the personnel costs prior to completion of the search and copy of the records.

If a record contains both disclosed (or non-sensitive) and non-disclosed (or sensitive) information, the non-disclosed information should be segregated and withheld by such means as redacting or blackening out the non-disclosed information, and the disclosed information provided.

If the request is denied in whole or in part, the City Clerk must explain in writing what

is not being provided and the legal basis for nondisclosure.

A denial, in whole or in part, may be appealed to the Alaska Superior Court.

Historical Records and Materials

Only some of the records that meet the criterion described above qualify as historical records, and not all materials that revolve around City activities constitute records, but there may be materials that are worthy of permanent retention.

Any item listed as 'permanent' on the Retention Schedule is considered a historical record and must be retained in perpetuity in the City's filing system.

Other historical materials worthy of being retained might include such items as photographs of City events, Council members or community members, memorabilia generated during community activities, old records left over from the activities of the Gustavus Community Association, or any such items that pertain to the history and development of the community of Gustavus. Judgment should err on the side of retention if there is any question.

Record Retention Schedule and Storage

Per municipal code 2.70.030, the Mayor shall approve a record retention schedule that details the types of records that will be retained and the period of time for which they will be retained, whether the period be days, years or permanently. When records are slated to be destroyed in accordance with the schedule, they will be catalogued on the Certificate of Record Destruction (Appendix 4). This form will be retained permanently and will serve as a voucher of all records destroyed according to the retention schedule.

Due to the limited storage available at the City Hall, records may be kept at another location to be determined by the Mayor and/or City Council. Permanent and records retained within the Records Retention Schedule shall be stored in a secured location off site.

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, 945)	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 (<i>not awarded</i>)	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, 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 uncollectible accounts	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, warranties	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	
C-9	Reserved					
C-10	Resolution/Ordinance Backup	All Back-up leading to the adoption of Ordinances and/or Resolutions	Clerk	Ind	City Hall	

Record Series	Subjects	Description	Data Owner	Retention	Location of File	Comments or Notes
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
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	Series that documents fire safety inspection	Fire Chief	3	Fire Hall	
F-4	Reserved					
F-5	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-6	Fire & Rescue Response Dispatch	SD card recording of incoming calls and outgoing dispatch	Fire Chief	30 days	Fire Hall	
F-7	Fire & Rescue Response Dispatch Logs	Record of incoming calls received by the Department.	Fire Chief	3	Fire Hall	
F-8	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-9	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-10	Fires & Rescue Response Records	Fire and Rescue Logs	Fire Chief	1	Fire Hall	
F-11	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-12	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-13	Reserved					
F-14	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-15	Reserved					
F-16	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
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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 earning; 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 (<i>not hired</i>)	Treasurer	CY+1 (2)	City Hall	

Record Series	Subjects	Description	Data Owner	Retention	Location of File	Comments or Notes
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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	1	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
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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
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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	

CONVERSATION RECORD

Date	Time	Visit	Meeting	Telephone #	Location of Meeting
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Name of Person(s) contacted or in contact with you	Organization

SUBJECT:

[illegible]

RECORDS RETENTION SCHEDULE

Appendix 1

ACTION REQUIRED:

NAME OF PERSON DOCUMENTING CONVERSATION			SIGNATURE		DATE
ACTION TAKEN:					
SIGNATURE			SIGNATURE		DATE
ROUTING:	MAYOR	COMMITTEE CHAIR	COUNCIL MEMBER	COUNCIL	COMMITTEE

**CITY OF GUSTAVUS
REQUEST FOR PUBLIC RECORDS**

It is the policy of the City to provide access to public records and information so that the right of the people to remain informed is protected. Public records are open for inspection during regular business hours.

All requests for City records shall be made in writing to the Office of the City Clerk/Treasurer. Use the City of Gustavus Public Records Request form when making a request for public record. The requester is required to sign the certification of Non-litigation Affiliation before the request will be processed.

The City of Gustavus will respond to a public records request in a prompt manner consistent with both legal restrictions and the City's obligation to the public. It is the intent that a public record request will be filled within 10-business days, or as soon as possible given the current workload.

Some records of the City are exempt from public disclosure because they are declared privileged or confidential.

If the production of records for one requestor in a calendar month exceeds five staff hours, the requester shall pay the personnel costs required during the month to complete the search and duplication of the record requested.

There will be a copy charge for items requested in the amount of .25/page. A double/sided copy is charged as two copies. If pages and/or documents are combined within a document such as a PDF, the charge will be based on the number of pages within the document.

Requestor

City Clerk

Date

Date

PUBLIC RECORDS REQUEST

Name of Requestor: _____ Date of Request: _____

Organization or Company: _____

Mailing Address _____

Telephone Number: _____

Cell Number: _____

E-mail: _____

Fax: _____

Please describe below, in detail, the information or documents you are requesting. Please be as specific as possible. I request to inspect or receive copies of the following documents or files:

☐ Hold for Pick-up ☐ Mail ☐ Fax ☐ E-mail

ACKNOWLEDGEMENT OF PAYMENT

I understand I will be charged a fee for each page that I am requesting to be copied, faxed, emailed, or mailed and that if the production of records sought by a requestor in a calendar month exceeds one (1) person-hour, the City must require the requestor to pay the personnel costs above that one (1) person-hour prior to completion of the search and copy of the records.

I further understand that the City will attempt to respond to the request within 10-business days after receiving my request, or longer if workload precludes a response within 10 days. I further understand that this request is available for public review and will be kept on file in accordance with City records policy.

CERTIFICATE OF NON-LITIGATION AFFILIATION

I hereby certify that: I am not involved in litigation with the City of Gustavus or another public agency to which the requested record is relevant, and I am not acting on behalf of or otherwise representing any person who is involved in litigation with the City of Gustavus or another public agency to which the

Printed Name_____
Signature_____
Date**City Use Only**

City Staff Use: Date Due: _____ Extension: No Yes Due: _____ Date Filled: _____

Research hours: _____ By: Pick-Up Mail Fax E-mail Initial _____

CERTIFICATE OF RECORDS DESTRUCTION

This form documents the destruction of public records in accordance with Alaska Statute 40.25,
Gustavus Municipal Code 2.70.030 and City of Gustavus Policy and Procedure for Public Records Management

1. Agency/Locality City of Gustavus	2. Division/Department Desk of the Deputy City Clerk	3. Person Completing Form Karen Platt Deputy City Clerk
4. Address, City, State & Zip P.O. Box 1, Gustavus, Alaska 99826	5a. Telephone Number & Extension (907)697-2451	5b. E-mail Address clerk@gustavus-ak.gov

6. Records to Be Destroyed

a) Schedule and Records Series Number	b) Records Series Title	c) Date Range (mo/yr)	d) Location	e) Volume	f) Destruction Method

DESTRUCTION APPROVALS

Note: Public records may not be destroyed without receiving prior authorization from the Mayor and/or City Council.

We certify that the records listed above have been retained for the scheduled retention period, as per the City of Gustavus Records Retention Schedule, required audits have been completed, and no pending or ongoing litigation or investigation involving these records is known to exist.

7. **MAYOR** _____ **DATE** _____

8. **CITY CLERK/TREASURER** _____ **DATE** _____

9. **RECORDS DESTRUCTION**
AFFIRMED BY: _____ **DATE** _____