



City of Homer

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MEMORANDUM 22-089

TO: MAYOR CASTNER AND HOMER CITY COUNCIL

THRU: ROB DUMOUCHEL, CITY MANAGER

FROM: RENEE KRAUSE, MMC, DEPUTY CITY CLERK II

DATE: MAY 13, 2022

SUBJECT: RECORDS MANAGEMENT MANUAL AND RETENTION SCHEDULE UPDATE

Background

The current City of Homer Classification and Procedure Manual and Records Retention Schedule was last revised and adopted by City Council in December 2013 via Resolution 13-117.

Reason for update

1. There have been several changes in retention requirements by other State and Federal agencies necessitating that the City retain records for longer periods.
2. City Council requests for project related information (Special Assessment Districts, etc.) make it desirable to retain information for longer periods. Finance has requested permanent retention.
3. Several Classifications that are not used or relevant to City departments recommended for removal.
4. How, where and who retained and archived the department records. Increased use of electronic means of retaining records and the department personnel in charge or archiving those records.
5. Addition of new record classifications.

Process

In January and February I met with department records liaisons to discuss the existing records manual and retention schedule. I provided guidance and recommendations in response to many questions that new records liaisons had on how to best manage their department records.

Department liaisons submitted their amendments and updates in March.

No updates or changes were received from Public Works, Port & Harbor, or Human Resources. So those related sections may require updating at a later date.

I carefully reviewed the retention policies recommended by the State of Alaska for municipalities and compared similar departments within the state government. I additionally reviewed how other similarly sized cities in Alaska and other organizations in the United States have established their records retention manuals and incorporated what I learned in recent training opportunities on best records management practices.

Following is a synopsis of the changes that were submitted and incorporated into the updated Records Management and Retention Manual:

Section 3

Deleted the following Sections as they are incorporated within other record series:

- 3.1 General Accounting Records
- 3.2 Travel Accounting
- 3.4 Financial & Accounting Reports
- 3.8 Cancelled Checks & Check Registers
- 3.9 Cash Books & Cash Journals
- 3.10 Revenue Sharing/Safe Communities Files
- 3.13. Bills of Sale

Amended the following Sections as follows:

- 3.5.1 General Revenue & Expenditure include books of original entry Amend to CFY + 3 yrs
- 3.11 Bond Records - Amend to Retain Permanently or C + 20 years (Preference for Permanent Retention)
- 3.12 Bond Registers delete include in 3.11 at same retention period Permanent or C + 20 yrs

Section 4. Payroll

Deleted the following sections and include record series descriptions in Section 4.3 Employee Payroll Files
Amended Retention to T + 50 years

- 4.2 Payroll Journal
- 4.4 Payroll Deduction Authorizations
- 4.5 Leave Accounting
- 4.8 Employee Withholding Exemptions (W-4)
- 4.9 Garnishment & Payroll Deduction Court Orders
- 4.10 Notification of Pay Step Increases
- 4.11 Payroll Reports

The following Sections amended as follows:

- 4.1 Payroll Warrant Register - Amended retention to 3yrs provided Audit completed
- 4.6 Employer W-2 Copy - Amended retention to 7 years then destroy
- 4.12 EFTPS Documentation - Added description, 941 & ESC Reports and amended retention to 7 years then destroy

Deleted the following sections as they are not a record series that is maintained or incorporated into another appropriate record series.

- 4.13 Internal Revenue Service Reports & Reconciliations
- 4.14 Savings Bond & 401K Accounting Records

Section 5 Procurement, Contracts & Grants

- 5.2 Contract Administration - Amended retention period to permanent due to historical value.
- 5.3 Grant Administration Files – Amended retention period to permanent due to historical value.
- 5.4 Grant Application Not Awarded - Recommend deleting from Finance section as they do not address these documents suggested moving to general administrative.

Section 13 – Engineering, Buildings & Public Works

13.1 Construction Project Files – Finance recommends amending retention to Permanent for historical value.

Section 15. Assessments

15.1 Annual Tax Assessment Rolls - Amend Retention to Term + 10 years as this is maintained by the Borough

15.2 Notices of Assessment – Delete this section is included in the customer files

15.3 Certification Files – Delete this information is maintained in other sections or customer files

Section 9. Library and Information Technology

Added Section 9.2 Record series addresses Email Archive with Retention 1 year from date of email

Added Section 9.2.1 Record series addresses Journal of centralized email messages requires legal advice on retention

9.3 Service Requests - Amended retention period to C = until administrative need has been met.

Section 10.8 Legal

Add Section 10.8 Legal Billings with a Retention period C = Until Case Closed + 6 years

Section 11. Public Safety

11.1 Amend as follows: Merges 11.1, 11.3, 11.6, 11.7, 11.8, 11.9, 11.10, 11.11 to 11.1 in 2020 HPD migrated to digital retention of case files and are migrating to completely digital. These reports will be retained permanently in the software as well as a complete PDF created when the case file is closed. A new records series descriptor is shown in update.

11.2 Changed title to: Radio Logs/ Notebooks, Field Interview Cards have not been in use for over 10 years, if not longer.

11.4 Changed title to Inmate Records - Police arrest records are included in Police report (see 11.1), Inmate Records are completely separate and pertain to subjects time housed at Homer Jail.

11.8 Criminal Background Checks - Changed name to: III Log, Police department retains a log of all III (national criminal history) for audit purposes. Federal requirement is to retain log until the next audit cycle, usually 2+ years.

11.14 changed title to: State/Federal Crime Reporting UCR/APSIN/NCIC – More accurate title

Deleted the following record series:

11.16 Accreditation Files - Homer PD is not accredited and does not keep files like this.

11.22 Amended title to read Burn Permits

11.25 Fire & Rescue Response Dispatch Tapes - Dispatch no longer uses tapes for recording. All is saved digitally on server, with permanent retention

11.26 Added record series for Volunteer Training retention period T + 5 years

11.28 Fire & Rescue Response Circuit Radio Box Records moved to Section 13.11 Engineering, Buildings & Public Works – Public Works maintains record series

Section 12 Planning Zoning & Community Development

12.3 Property Inventories – Amended remarks to notate that record series is updated as required and added record series description.

12.4 Zoning Permits & Plans Amended to add subsections addressing topic

Added record series Applications Denied Incomplete or Withdrawn with a retention period of 2 years then destroy

12.5 Land Management Case Files – deleted this record series as it is not relevant may be placed under Section 3

Section 18. Libraries & Museums

18.1 Amend title to read Catalog Records with retention period C until superseded or obsolete or administrative need is met.

18.6 Conservation Reports delete this record series as it is not applicable

18.8 Patron Application Cards amend retention to C then destroy

Recommendation

Adopt the revised updated City of Homer Records Management and Retention Manual