

STATE OF ALASKA

RECORDS RETENTION SCHEDULE FOR SOIL AND WATER CONSERVATION DISTRICTS

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INTRODUCTION

AS 40.2: Management and Preservation of Public Records

AS 40.21 requires the orderly management of local current public records and preservation of noncurrent public records that have permanent historical value. AS 40.21.060 says “the governing body of each political subdivision of the state shall promote the principles of efficient records management for local public records kept in accordance with state law. The governing body shall, as far as practical, follow the program established for the management of state records.”

Purpose of the General Retention Schedule

The purpose of the *General Records Retention Schedule* is to list and describe common filesets that local Soil and Water Conservation Districts administer and to recommend minimum retention periods. The *General Schedule* is meant as a guide. Each district should inventory its records and develop its own records program that addresses its unique requirements. As a result of such a program, unneeded documents may be discarded and less active records may be transferred to cheaper offsite storage, freeing up prime office space.

The General Schedule & Electronic Records

The *Soil and Water Conservation Districts Records Retention Schedule* applies to records regardless of their physical format. Therefore, records created or maintained as the “Record Copy” in electronic format must be retained in accordance with the minimum retention requirements presented on this schedule.

What Is a Record?

A record is any media that captures, preserves or disseminates information; or, documents that are created or received during the course of a district’s official business and preserved or appropriate for preservation by the district as evidence of the organization, function, policies, decisions, procedures, operations, or other activities of the state or political subdivision or because of the informational value in them. [refer to AS 40.21.150(5) and (6)]

AS 40.21.150 (4) defines “electronic record” to mean “any information that is recorded in machine readable form.”

E- mail is created or received on an electronic mail system. E- mail that constitutes a “record” as defined in AS 40.21.150(6), including attachments that are transmitted with the e-mail, are subject to individual agency records retention schedules and must be retained for the same period of time as the records series that most closely matches the subject matter contained within the e-mail. If there is no entry that resembles or matches the subject matter of the e-mail, the “record” should be added to the appropriate program retention schedule as a separate series of records. Record e-mail with a retention of longer than one year should be printed out and placed in the appropriate hard copy file, unless the agency contacts the state archives for further guidance.

E- mail and e- mail attachments that are not a “record” as defined in AS 40.21.150(6) may be destroyed immediately. “Non-record” e-mail includes transitory e-mail which is primarily generated for informal communication of information that does not perpetuate or formalize knowledge.

What are the Four Values of Records that Impact Retention?

Administrative/Operational. These records are needed for current operations of the district.

Financial. Financial records document fiscal transactions needed for audit purposes.

Legal. Records with legal value document the rights of citizens or employees or pertain to contractual obligations.

Historical. Records have historical value if they document policies, procedures, or historical activities.

Other Relevant Statutory References

AS 40.25.110. Provides in part that 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.

AS 40.25.120. Every person has a right to inspect a public record in the state, including public records in recorders’ offices... [Exceptions are provided in law.]

AS 40.25.122. A public record that is subject to disclosure and copying under AS 40.25.110 - 40.25.120 remains a public record subject to disclosure and copying even if the record is used for, included in, or relevant to litigation, including law enforcement proceedings, involving a public agency, except that with respect to a person involved in litigation, the records sought shall be disclosed in accordance with the rules of procedure applicable in a court or an administrative adjudication.

AS 40.25.220 (3) "public records" means books, papers, files, accounts, writings, including drafts and memorializations 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; "public records" does not include proprietary software programs.

AS 09.80.195. Uniform Electronic Transactions Act—Use of electronic records and electronic signatures; retention of electronic records.

GENERAL OFFICE RECORDS

GO-1	<p>General Correspondence Routine Nature</p> <p>Special Correspondence</p> <p>General & Special Correspondence authored by staff</p>	<p>Retain Routine Correspondence 3 years Retain Special Correspondence 5 years.</p> <p>*Special Correspondence of the Board may have archival value.</p>
GO-2	<p>Policies & Procedures (Major & Minor)</p> <p>Major & Minor Policies & Procedures consist of the Record copy formalized by the Board</p>	Permanent
GO-3	<p>Reports [Annual, Audit, Management & Operation]</p> <p>Reports [All Other]</p> <p>All other includes monthly, statistical, performance, damage & vandalism, safety, monitoring, etc.</p>	<p>Retain annual, audit, management & operation reports permanently</p> <p>Retain all other reports until obsolete, superseded or administration/management need is met</p>
GO-4	<p>Administrative Studies/Special Projects</p> <p>Includes final reports and backup data regarding major administrative studies and special management projects</p>	<p>Retain final reports permanently.</p> <p>Review backup data for archival value.</p>
GO-5	<p>Historical Files</p> <p>This fileset documents the functions and activities of the District. Consists of promotional media including press releases, news clippings, photographs (prints & negatives), videos, audios, cd's, dvd's and other electronic, magnetic or micromedia. Also includes brochures, pamphlets, etc.</p>	Permanent or for the life of the media
GO-6	<p>Equipment Records (orders, correspondence, usage reports, general maintenance & inventories)</p> <p>Equipment Records (Warranty Information, Instruction/Operating Manuals, Repair/Maintenance History, etc)</p>	<p>Retain for 3 years.</p> <p>Retain for the life of the equipment.</p>
GO-7	<p>Property Control Files</p> <p>Copies of controlled property management reports, excess property reports, property transfer documents, and related correspondence</p>	Retain 3 years
GO-8	<p>Vehicle Files</p> <p>Fileset documents each vehicle owned and serviced by the district. May include title, registration, work orders, correspondence, damage/accident reports, checklists, photographs, and inspection, service, maintenance and report documents</p>	<p>Retain until vehicle is disposed</p> <p>*If vehicle is involved in fatal accident or litigation, keep file 25 years or until legal counsel recommends disposition.</p>
GO-9	<p>Injury & Accident Records</p> <p>Includes incident/accident reports, medical evaluations, public safety officer reports, time loss documentation and other data relating to on the job injuries and accidents</p>	Retain 6 years after resolution of incident
GO-10	<p>Miscellaneous Administrative Information</p> <p>Includes telephone logs, correspondence tracking logs, file plans, purchasing logs, property inventories, message books, appointment books/calendars, bulletins,</p>	<p>Retain 1 year</p> <p>Transitory materials may be reviewed/disposed after 30-60 days</p>

	mailroom logs/registers (e.g. certified or registered, postage meter), word processing drafts, day sheets, assignments, forms files, and other indices.	
GO-11	Technical Reference Files Technical studies, newsletters and publications used in the administration of district business	Until obsolete, superceded or administrative/management need is met
GO-12	Public Records Log and Requests for Information Includes written request for public records received. Log includes date of request, name of requester, and other related information.	Retain 1 year
GO-13	Public Information & Media Includes record copies of news/press releases, publications, videotapes, clippings files, speeches, monographs, and pamphlets related to district functions. May include electronic records not duplicated elsewhere.	Permanent or for the life of the media Refer also to GO-5
GO-14	Public Information & Internet Site Consists of web page data, program/system documentation with backup, statistics and other development materials used in the creation/maintenance of the district's internet worldwide web site	Retain until obsolete, superceded or administrative/management need is met, then review for permanent retention. * Backup tapes are stored offsite for security. Tapes are rotated according to established backup procedures.
GO-15	Computer System Includes application software licenses/agreements, data systems and file specifications, security information (access, passwords), user guides, backup procedures, and worldwide web page data.	Backup tapes or CDs are stored offsite for security. Retain documentation file until obsolete, superceded or administrative need is met. System related data should be retained until the system is obsolete or replaced.
GO-16	Building & Land Inventory Records Documents new building construction and razing/renovation of older buildings; tracks land transactions	Construction/renovation: Retain 6 years Ownership records: Retain permanently

DISTRICT BOARD OF SUPERVISOR FILES

BOS-1	<p>Meeting Files (official minutes)</p> <p>Meeting Files (all other backup)</p> <p>The official minutes constitute the official accounts of the proceedings and actions of the district board.</p> <p>Other backup may include notices of meeting, agenda, packets, meeting dockets, roll call, correspondence, complaints, reports, transcripts, legal opinions, financial studies, resolutions, background papers and audio/visual products.</p>	<p>Permanent</p> <p>Retain all other backup data for 5 years</p>
BOS-2	<p>Public Hearing Files</p> <p>Includes documents related to public hearings: notices of meeting, workpapers, signup sheets, written testimony, exhibits and audio/visual materials.</p>	<p>Retain 10 years. Record Copy of proceedings retain in minutes.</p> <p>* If audio tape recordings or notebooks are transcribed, they may be disposed 5 years after approval of minutes or proceedings, or maintained longer if needed for administrative purposes</p>
BOS-3	Resolutions: Adopted	Permanent
BOS-4	Resolutions: Not adopted	<p>Review every 10 years for administrative purposes, then dispose.</p> <p>Certain files that have historical value should be retained permanently.</p>
BOS-5	Oaths of Office	Permanent
BOS-6	<p>Conflict of Interest Statements</p> <p>Statements for elected/appointed supervisors and employees</p>	Retain 6 years
BOS-7	Creation of District files	Permanent
BOS-8	<p>Modification of District Boundary files</p> <p>Includes correspondence, maps, copies of related public hearing backup records.</p>	Permanent
BOS-9	<p>Asset Inventories (Fixed)</p> <p>Asset Inventories (Non-Fixed)</p> <p>Inventories of owned assets indicating value, location, purchasing information, etc.</p>	<p>Retain fixed assets for the life of the asset, or until state authorizes disposal of grant-funded assets.</p> <p>Retain non-fixed assets 3 years</p> <p>Backuprecords dealing with an asset may be disposed per policy according to type (purchase order, grant, correspondence, etc.)</p>

FINANCIAL RECORDS

F-1	<p>General Accounting Records</p> <p>May include workpapers, spreadsheets, summaries, receipts and other data documenting accounting practices. Includes financial data regarding accounts payable/receivable, grant/contract administration, payments of fees, etc.</p>	Retain 3 years provided an audit or other annual financial statement has been certified
F-2	<p>Travel Accounting</p> <p>Documents travel advances, per diem and transportation fees for supervisors and employees on official district business</p>	Retain 3 years
F-3	<p>Budget Workpapers</p> <p>Documents development of district operating and capital budgets prior to presentation to authorizing entity. Includes budget instructions, submissions, backup documentation, cost allocation, and amendments.</p> <p>Final Approved Budget</p>	<p>Retain Budget Workpapers 3 years</p> <p>Retain Final Budget Permanently</p>
F-4	<p>Financial Reports: Annual</p> <p>Other Accounting & Financial Management Reports</p> <p>Includes Annual Report summarizing financial condition, activity and balances; and routine balancing/status reports output on a regular or ad hoc basis documenting district expenditures and financial activity</p>	<p>Retain Annual Financial Reports permanently</p> <p>Retain all other Accounting & Financial Management Reports until obsolete, superseded or administrative/management need is met.</p> <p>Refer to GO-3 for Audit Reports</p>
F-5	<p>Ledgers & Journals: General & Expenditure</p> <p>Includes Quickbook entries, books of original entry.</p>	Retain permanently
F-6	<p>Vendor Files</p> <p>Documents relating to payment for commodities or services, fees, permits, etc. Consists of financial transaction registers, vouchers, customer orders, logs, invoices, postage meter receipts, etc.</p>	Retain 3 years
F-7	<p>Banking Records</p> <p>Records of bank transactions for revenue and payments including bank statements, deposit slips, wire transfer, agent fees, transmittal of receipts, savings account data, debt service payments, and collected monies.</p>	Retain 3 years provided an audit or other annual financial statement has been certified
F-8	<p>Cancelled checks & check registers</p>	<p>Retain 3 years provided an audit or other annual financial statement has been certified.</p> <p>Recommend that cancelled checks be retained with grant files</p>
F-9	<p>Cash books and Cash journals</p>	Retain 3 years provided an audit or other annual financial statement has been certified
F-10	<p>Bills of Sale</p>	Retain 7 years

HUMAN RESOURCE RECORDS

HR-1	<p>Volunteer Medical Records</p> <p>Consists of on-the-job accident or illness/medical reports, lost time documentation, records used to monitor exposure, correspondence, etc. Includes volunteers exposed to blood-borne pathogens, formaldehyde, asbestos, mercury, or other hazardous substances.</p>	<p>Retain Record Copy for 30 years. Retain other copies 1 year after volunteer terminates.</p> <p>Confidential per AS 40.25.120</p>
HR-2	<p>Hazard Communication & Material Safety Data Sheets</p> <p>Lists of hazardous chemicals present in the workplace and copies of material safety data sheets received with incoming shipments of chemicals and posted in the workplace.</p>	<p>Retain 30 years.</p>
HR-3	<p>Volunteer Forms</p>	<p>Retain 10 years</p>
HR-4	<p>Risk Management Claim Files</p> <p>May include correspondence to/from claims adjusters, attorneys, accident reports (property damage and personal injury), summary reports, payment orders/verification, pleadings/depositions and individual claim records.</p>	<p>Retain 7 years after claim is settled and all legal aspects are resolved</p>

PROCUREMENT RECORDS

PCG-1	<p>Procurement Records</p> <p>Includes documents related to purchases of goods and services and may include bid specifications, requests for proposal, vendor solicitations, price quotations, bid abstracts, contracts/leases, orders, correspondence and tracking logs.</p>	Retain 3 years
PCG-3	<p>Contract Administration</p> <p>Consists of notification of award, original contract, and amendments or renewals, special conditions, fiscal reports, payment logs, progress reports and correspondence. Includes contracts for leased space, contract insurance and bonds.</p>	Retain 3 years.
PCG-3	<p>Grant Administration Files (State)</p> <p>Grant Administration Files (Federal)</p> <p>Documents receipt of state or federal monies and consists of applications, copy of notification of grant award, agreement, special conditions, fiscal reports, closeout documents, reports (audit, status, progress and compliance) and correspondence.</p>	<p>Retain 3 years</p> <p>Retain until federal audit is completed or 3 years after grant closeout, whichever is later.</p>
PCG-4	<p>Grant Applications (Not awarded)</p> <p>Applications that were not approved or funded</p>	Retain until obsolete, superceded or administrative/management need is met