ORDINANCE 702

AN ORDINANCE TO ACCEPT AND IMPLEMENT A RECORDS RETENTION AND DESTRUCTION POLICY AND SCHEDULE OF CITY RECORDS.

NOW THEREFORE, BE IT ORDAINED BY THE CITY COUNCIL OF THE CITY OF UDALL, KANSAS,

Article 8. Records Retention Policy and Schedule

1-801. Records retention established.

There is hereby established a records retention policy and schedule for the City of Udall, Kansas. The records retention policy dictates the city's handling of all records regardless of medium.

(Ord.702; Code 2025)

1-802. Same; practice and procedure.

The procedure for records retention, as set forth in the Records Retention Policy and Schedule adopted by Ordinance No. 702 by the governing body and all acts amendatory or supplemental thereto shall govern the practice and procedure in handling all records, unless otherwise set forth herein.

(Ord. 702; Code 2025)

1-803. Purpose.

The purpose of the records retention policy is to ensure that the City of Udall retains its official records in accordance with the requirements of all applicable laws and to ensure that official records no longer needed by the City are discarded at the proper time and in the proper method.

(Ord. 702; Code 2025)

1-804. Guidelines.

The records retention policy provides guidelines concerning the length of time official records should be retained under ordinary business circumstances as well as the steps the city should take in the event of any pending or imminent investigation, audit or proceeding or any civil or criminal lawsuit involving the city.

(Ord. 702; Code 2025)

1-805. Covered records.

The records retention policy applies to all official records generated during the City's operation, including but not limited to:

- (a) Typed or printed hardcopy (i.e., paper) documents
- (b) Electronic records and documents (i.e., email, Web files, text files, PDF files)

- (c) Video or digital files
- (d) Graphic representations
- (e) Electronically stored information contained on network servers and/or document management systems, and
 - (f) Recorded audio material (i.e., voice mail)

(Ord. 702; Code 2025)

1-806. Administration.

- (a) Records Retention Schedule. A record retention schedule is approved for the maintenance, retention, and disposal schedule of the city's official records. The City's Information Officer administers the policy and implements reasonable processes and procedures concerning the record retention schedule.
 - (b) Records Administrator. The Records Administrator is authorized to:
 - (1) Make modifications to the Records Retention Schedule from time to time to ensure that this policy complies with state, local and federal laws and includes the appropriate document and record categories for the city;
 - (2) Monitors local, state, and federal laws affecting record retention;
 - (3) Monitors the compliance of the city's officers and employees with the policy; and
 - (4) Takes such other action as may be authorized by the City Council.
- (c) Distribution of Policy. The Records Administrator will arrange for every officer and employee or independent contractor who may have control over or responsibility for the City's documents to receive a copy of this policy and each department head and/or employee shall sign a statement that affirms that they received a copy of this policy, read and understood it, and agreed to comply with it.

(Ord. 702; Code 2025)

1-807. Storage procedures.

- (a) Organization of Records. To facilitate administration of the records retention policy, where practicable, the city's official records should be organized and stored according to categories in a manner that best facilitates the efficient administration of the city's operations. Records within each category should be organized and stored in chronological order or by time period (i.e., by month or year).
- (b) Dating of Records. Categories of records not required to be retained on a permanent basis (according to the Record Retention Schedule) should be maintained by date or conspicuously dated to enable such records to be easily identified for destruction at the end of the record retention period as specified in the Record Retention Schedule.

- (c) Confidentiality of Records. Records should be labeled and/or stored in a manner to limit access. Any of the city's emails, regardless of the nature of the content, may be subject to disclosure in the course of a government investigation or litigation involving the city. The city provides its employees with email as a tool for performing its employees' work functions. While the city understands that employees may use their email to conduct personal business on a limited basis, employees should be aware that they have no expectation of privacy for any information or communications contained in work-related email accounts. The city reserves the right to review any of the employee's email at any time.
- (d) Electronic Storage System. The Records Administrator is authorized to develop and implement a system for maintaining the city's records via an electronic storage system that either images hardcopy records or transfers computerized records to electronic storage media (e.g., hard drives, storage area networks, or optical media, such as CDs and DVDs).

(Ord. 702; Code 2025)

1-808. Document destruction procedures.

Once records have been retained for the applicable period set forth in the record retention schedule, they should be prepared for destruction in the manner prescribed by the records administrator, unless the records administrator has suspended the destruction of any records. The records administrator shall develop procedures for destroying categories of records that are not listed in the record retention schedule at times and in an effective manner that best facilitates the efficient administration of the city's operations. All paper documents are destroyed by mechanical shredders. Electronic data contained on servers and hard drives shall be deleted and overwritten. Electronic data on all other media shall be destroyed by its physical destruction.

(Ord. 702; Code 2025)

1-809. Suspension of record disposal in the event of litigation or claim.

In the event any employee of the city reasonably anticipates or becomes aware of a governmental investigation or audit concerning the city or the commencement of any litigation against or concerning the city, such employee shall inform the Records Administrator and any further disposal of documents shall be suspended until such time as the Records Administrator, with the advice of the Mayor and the city's legal counsel, determines otherwise. The Records Administrator shall take such steps as are necessary to promptly inform affected staff of any suspension in the disposal or destruction of documents.

(Ord. 702; Code 2025)

1-810. Confidentiality and ownership.

All records are the property of the city, and employees are expected to hold all business records in confidence and to treat them as the city's assets. Records must be safeguarded and may be disclosed to parties outside of the city only upon proper authorization. Any subpoena, court order or other request for documents received by employees, or questions regarding the release of the city's records, must be directed to the Records Administrator prior to the release of such records. Any records of the city in possession of an employee must be returned to the employee's supervisor or the Records Administrator upon termination of employment.

(Ord. 702; Code 2025)

Record Retention

The City of Udall, Kansas maintains the appropriate documentation as required by state and federal regulations. Record Retention Schedules provide a guideline for when to destroy records no longer required.

Record Retention Schedules have been developed for the following departments and divisions of the City of Udall. The City of Udall recognizes that additional Schedules may be needed in the future.

- · Cash Management
- Central Accounting
- City Clerk
- · Human Resources
- · Municipal Court

Record Retention Schedule - Cash Management

BANKING RECORDS

Includes bank statements, bank reconciliation, deposit books and slips, and cancelled checks in any format

Active: 5 years Disposition: destroy

CERTIFICATES OF DEPOSIT

Active: until maturity
Disposition: return to bank

DAILY FEES ACCOUNTING REPORT

Contains payee name, permit number and type (if applicable), amount paid, and copies of deposit receipts

Active: 5 years Disposition: destroy

INVESTMENT RECORDS - DAILY

Daily accounting of transactions

Active: 5 years Disposition: destroy

INVESTMENT RECORDS - GENERAL

Includes weekly reports generated by City Treasurer, transaction confirmations, monthly reports generated by brokers, and maturity confirmations

Active: 5 years Disposition: destroy

LETTERS OF UNDERSTANDING

Written acknowledgements of broker responsibilities and promises

Active: 5 years Disposition: destroy

PAYROLL DOCUMENTS

Includes timecards/sheets, leave requests, time away from work requests, payroll adjustment records, and payroll warrants registers. See also Central Accounting

Active: 5 years Disposition: destroy

PERSONAL USE OF CITY WIRELESS EQUIPMENT

Includes wireless phone bills
Active: 5 years
Disposition: destroy

PROFESSIONAL ORGANIZATION FILES

Active: 5 years Disposition: destroy

PROOF OF PUBLICATION

Active: 5 years Disposition: destroy

RECEIPTS

Includes daily reconciliation report as well as deposit records from all departments

Active: 5 years Disposition: destroy

YEAR-END CLOSEOUT REPORT

Original sent to Controller

Active: retain copy until close of City audit

Inactive: 5 years Disposition: destroy

Record Retention Schedule - Central Accounting

ACCOUNTS PAY ABLE CHECK REGISTERS

Active: 5 years Disposition: destroy

ACCOUNTS PAYABLE SUPPORTING JOURNALS

Includes Revenue Receipt Journal and Appropriations-Expenditure Journals

Active: retain while useful

Disposition: destroy

ACCOUNTS RECEIVABLE

Includes amounts owed to the city for services provided such as parking, speeding tickets or Code Compliance violations.

Active: 1 year after paid in full

Disposition: destroy

ANNUAL BUDGET

Active: 10 years; merge to one central file

Disposition: 1 copy permanently

ANNUAL REPORTS

Activity of division throughout year

Disposition: permanent

AUDIT REPORTS

Results of audits conducted by local, state, federal and/or non-governmental auditing agencies

Active: 3 years Disposition: permanent

BOND DOCUMENTS

Includes annual financial reports, capital projects, debt service fund reports, bond transcript, and all supporting documents

Active: 1 year after sale of bonds; merge to one central file until repayment complete

Disposition: destroy

COMPREHENSIVE ANNUAL FINANCIAL REPORTS

Active: 10 years

Disposition: permanently - 1 copy

CHECKS AND WARRANTS; UNCLAIMED

Unclaimed checks and warrants, including payroll, vendor, and other checks/warrants

Active: 2 years from date of issuance

Disposition: destroy

COURT-ORDERED PAYMENTS

Includes child support, garnishments, and bankruptcy orders, answers, and receipts

Active: 5 years after release of wages

Disposition: destroy

DIRECT DEPOSIT AUTHORIZATION RECORDS

Active: until superseded or no longer in effect

Inactive: 2 years Disposition: destroy

KPERS ANNUAL REPORT

Details employee name, social security number, and annual contribution amounts

Disposition: permanent

PAYROLL DEDUCTION AUTHORIZATION FORMS

Includes health and benefit enrollments and other voluntary deductions; does not include Direct Deposit Authorizations; held in Human Resources Department

Active: retain until entered computer
Disposition: send to Human Resources

PAYROLL DOCUMENTS

Includes year to date cumulative register, distribution register, warrant register, payroll certification form, hours-to-gross register, and accrual register; does NOT include year-end year to date cumulative register

Active: 5 fiscal years Disposition: destroy

PAYROLL STATUS CARD (voluntary changes)

Active: 2 years Disposition: destroy

PAYROLL STATUS CARD {with change of status}

Held for reference convenience only

Active: until superseded or employee terminates employment

Disposition: destroy

PROFESSIONAL ORGANIZATION FILES

Active: 3 years Disposition: destroy

PROOF OF PUBLICATION

Active: 5 years Disposition: destroy

PURCHASING DOCUMENTS

Includes limited purchase orders, purchase orders, direct payment requests, inter-fund transfers, and other related documents from all internal and external sources.

Active: 1 year Disposition: destroy

TAX REPORTS

Includes but is not limited to, 1099 Forms, W-2 Forms, 941 Forms, K-3 Forms, undelivered W-2 Forms and Unemployment Insurance Quarterly Reports

Active: 5 years Disposition: destroy

TRAVEL DOCUMENTS

Active: 1 year Disposition: destroy

UNEMPLOYMENT INSURANCE MONTHLY REPORTS

Active: until two quarterly reports have been filed

Disposition: destroy

YEAR-END YEAR-TO-DATE CUMULATIVE PAYROLL REGISTER

Disposition: permanent

Record Retention Schedule - City Clerk

ABSTRACTS

Disposition: permanent

ADMINISTRATIVE ACTION FORMS

Details action taken by administration of City

Disposition: permanent

ANNEXATION CASE FILES

Includes consents, petitions, and other related documents

Disposition: permanent

ANNUAL BUDGET

Includes operating and annual budgets for City

Disposition: permanent

ANNUAL REPORTS - CITY AGENCIES

Disposition: permanent

ANNUAL REPORTS - OTHER AGENCIES

Inactive: while useful, but not to exceed 5 years

Disposition: destroy

ASSESSMENTS

Includes public improvement, code enforcement, and other assessments

Active: until all accounts paid or written off

Inactive: 3 years Disposition: destroy

BOND DOCUMENTS

Includes coupons and other related documents. See also Bond Transcripts

Active: until all obligations are paid

Inactive: 5 years

Disposition: destroy; retain I bond of each series permanently

BOND TRANSCRIPTS OF PROCEEDINGS

Includes industrial revenue bonds, no-fund warrants, and general obligation bonds

Disposition: permanent

BUDGET PREPARATION FILE

Active: close of subsequent budget process

Disposition: destroy

CANDIDATE FILING DOCUMENTS

Active: until close of subsequent election process

Disposition: destroy

CAPITAL IMPROVEMENT PLAN

Plan of City for 5-year term
Disposition: permanent

CEMETERY DEEDS AND DOCUMENTATION

Active: Permanent Disposition: Permanent

CERTIFIED MAIL RECEIPTS

Active: 1 year Disposition: destroy

CHARTER ORDINANCES

Disposition: permanent

CITY CODE BOOK

Includes supplements

Disposition: permanent - 1 copy

CITY COUNCIL COMMITTEE ITEMS

Ordinances, resolutions, and other documents that were referred to committee and removed from further consideration pursuant to applicable Topeka Governing Body Rules and Regulations

Active: 1 year after removal from further consideration

Disposition: destroy

CLAIMS

Claims filed against the city

Active: 10 years Disposition: destroy

CLASSIFICATION SPECIFICATIONS

See also Human Resources schedule

Active:

retain while current

Disposition:

destroy

COMMUNITY DEVELOPMENT PROPOSALS

Disposition: permanent

COMPLAINT FILES

Correspondence and documentation of action taken, if any. Retain complaints that are related to policy change permanently. Retain others as follows:

Active: retain while useful; but not more than 5 years

Disposition: destroy

COMPREHENSIVE ANNUAL FINANCIAL REPORTS

Disposition: permanent - 1 copy

CONDEMNATIONS

Disposition: permanent

CONTRACTORS' LIABILITY INSURANCE/ BOND RECORDS:

Active: 5 years after expiration

Disposition: destroy

CONTRACTS

All contracts including labor contracts signed by City including change orders and addendums

Disposition: permanent

CORRECTIONS FILE

Corrections to documents that had been previously microfilmed

Disposition: permanent

CORRESPONDENCE (Routine)

Includes mail, letters, memos, copies, telephone messages etc.

retain while useful; but not more than 5 years

Disposition: destroy

DAILY FEES ACCOUNTING REPORT

Contains payee name, license number and type (if applicable), amount paid, and copies of deposit receipts

Active:

3 years

Disposition: destroy

DEEDS

Original deeds for all property owned by City

Disposition: permanent

DIVISION POLICIES

Division policies as well as incoming and outgoing letters and memoranda that state or form the basis for policy, set precedent, or record important events in the operational and organization history of the department

Disposition: permanent

EASEMENTS

Original easement agreements

Disposition: permanent

ELECTRONIC RECORDS

Includes microfilmed or imaged documents. Use the retention schedule of the record series listed herein. The hard copy of a document can be destroyed after a document has been microfilmed or scanned, provided the image has been verified for accuracy. Any exception to this rule will be listed with that record series.

FINAL PLATS

Disposition: permanent

FIREFIGHTER'S RELIEF ASSOCIATION REPORTS

Disposition: permanent

FORMS (Blank)

Active:

until superseded or obsolete

Disposition: destroy

FRANCHISE FILE

Includes ambulance, cable TV, telephone, gas, and electricity

Disposition: permanent

GOVERNING AGENCY REGULATIONS

Includes City, State, and Federal governing agencies' manuals and requirements

until superseded or obsolete

Disposition: destroy

GOVERNING BODY ITEMS THAT WERE WITHDRAWN OR NOT ADOPTED

Active:

5 years

Disposition: destroy

GOVERNING BODY MINUTES

Record of all governing body actions

Disposition: permanent

GOVERNING BODY PACKETS

Record of all governing body actions including agendas, handouts, zoning cases, project budgets, and other related documents

Disposition: permanent

GOVERNING BODY RECORDINGS

Includes DVDs of governing body meetings

Active:

7 years

Disposition: destroy

GRIEVANCE FILES

Includes transcripts, exhibits, and other related documents

Active:

62 years

Disposition: destroy

INDEXES

Retain as long as records to which they refer.

INSURANCE POLICIES

Active:

5 years

Inactive:

until cancellation or expiration

Disposition: destroy

INVENTORIES

Includes trees, equipment, uniforms, records, vehicles, and other inventories

Active: until superseded or obsolete

Disposition: destroy

JOB DESCRIPTIONS {Reference copy}

Active: until superseded or obsolete

Disposition: destroy

LEGAL NOTICES (Proof of Publications)

Active: 5 years Disposition: destroy

LICENSE AND PERMIT SURETY BONDS OR INSURANCE DOCUMENTS

Active: until expired or cancelled

Inactive: 5 years Disposition: destroy

LICENSING FILES

Includes application and other related documents

Active:

until license is expired or obsolete

Inactive: 5 years Disposition: destroy

OPEN MEETING NOTICES

Recorded dates and times for all committees, boards, and governing body

Active: 2 years Disposition: destroy

OPEN RECORD REQUESTS

Active: 3 years Disposition: destroy

ORDINANCE COVER SHEETS

Active: 3 years Disposition: destroy

ORDINANCES

Disposition: permanent

PAYROLL DOCUMENTS

Includes timecards/sheets, leave requests, time away from work requests, payroll adjustment records, and payroll warrants registers. See also Central Accounting

Active:

5 years

Disposition: destroy

PENSION INFORMATION

Annual report sent to Insurance Commissioner. Includes firemen's relief, police pension, and other employee pension reports

Disposition: permanent

PETITIONS - MISCELLANEOUS

Active:

5 years; seek archival approval before destroying

Disposition: destroy

PETITIONS TO PUT ISSUE ON BALLOT

Disposition: permanent

POPULATION DAT A (Obsolete Data)

Disposition: permanent

PROFESSIONAL ORGANIZATION FILES

Active:

3 years

Disposition: destroy

PROJECT BUDGETS

Disposition: permanent

PROJECT FILES - MAJOR STRUCTURES

Comprehensive records and plans of all major structure projects. Includes buildings, bridges, parks, treatment plants and other major structures

Active:

while structure exists

Inactive:

5 years

Disposition: destroy

PROJECT FILES - MISCELLANEOUS

Comprehensive records, including plans, of projects not listed above. See also related documents in this schedule as well as Engineering schedule

Active:

until accepted for maintenance

Inactive:

5 years

Disposition: destroy

PUBLIC IMPROVEMENT PROJECT PETITIONS

Active: until accepted for maintenance

Inactive: 5 years Disposition: destroy

PUBLIC OFFICIAL BONDS

Signed by the governing body, etc.

Active: while in office Inactive: 10 years
Disposition: destroy

PURCHASING DOCUMENTS

Includes purchase orders, direct payment requests, interfund transfers and other related documents from all internal and external sources. See also Central Accounting schedule

Active: 1 year Disposition: destroy

RECEIPTS/DEPOSIT SLIPS

Daily listing of monies received, and accounts credited. See also Cash Management schedule

Active: 3 years Disposition: destroy

RECORDS MANAGEMENT

Includes completed survey forms, inventories, destruction lists, transfer records, and other related documents

Disposition: permanent

REFERENCE BOOKS/JOURNALS

Also includes newsletters and seminar notebooks

Active: until superseded or obsolete

Disposition: destroy

REPORTS - MISCELLANEOUS

Includes City committees, councils, boards, panels, and advisory bodies

Disposition: permanent

RESOLUTION COVER SHEETS

Active: 3 years Disposition: destroy

RESOLUTIONS

Disposition: permanent

SCRAPBOOKS AND ALBUMS OF HISTORICAL INFO

Collection of miscellaneous documents, newspaper clippings and pictures regarding department history

Disposition: permanent

SPECIAL EVENT PERMITS

Applications and Certificates of Insurance (where applicable) for community parades, block parties, etc.

Active: 5 years Disposition: destroy

SPECIFICATIONS

For City projects and purchases

Active: until contract signed

Inactive: 5 years Disposition: destroy

STATEMENT OF SUBSTANTIAL INTEREST FORMS

For Governing Body members

Active: retained until 5 years after leaving office

Disposition: destroy

SUMMONS INDEX LOG

Presented to City Clerk on behalf of City department

Active: until case is closed

Inactive: 5 years Disposition: destroy

SUPERVISOR'S FILES

Limited to required documents for current oversight of employee: A) work schedule; B) leave information; C) attendance record; D) overtime hours distribution; E) current payroll status report; F) current active disciplinary track items (1 year after resolution or per contract); G) last performance evaluation; H) performance observations since the last evaluation (positive and negative); I) requests for safety equipment and uniforms; and J) worker's compensation information. Purge after every evaluation. See also Human Resources schedule

Active: while employee is under direct supervision

Inactive: 1 year Disposition: destroy

SURVEYS AND STUDIES - FINAL REPORT

Includes surveys and studies done by city agencies or paid for by city agencies

Disposition: permanent - 1 copy

SURVEYS AND STUDIES - RELATED DOCUMENTS

Includes surveys and studies done by city agencies or paid for by city agencies

Active: 5 years

Disposition: destroy

TEMPORARY NOTES REGISTERS

Disposition: permanent

TITLE CERTIFICATES

Includes titles for all City-owned vehicles

while vehicle is owned Active: Disposition: transfer to new owner

TRADE LICENSE CODE BOOKS

Includes mechanical, plumbing, fire, traffic, electrical, housing, and other codes

Disposition: permanent - 1 copy

TRAINING RECORDS - INDIVIDUAL

Record of continuing education course completed, date, and any certificates

Active:

while individual is employed

Inactive:

5 years

Disposition: destroy

TRAINING RECORDS - OFFICIAL

Training manuals, course outlines, and listing of all courses offered with dates

Disposition: permanent - 1 copy

TRAVEL DOCUMENTS

See also Central Accounting schedule

Active:

1 year

Disposition: destroy

URBAN RENEWAL FILES

Disposition: permanent

VITAL STATISTICS

Includes birth, death, marriage, and infectious disease registers

Disposition: permanent

WARRANTY FILES

Includes warranties, promises, and other related documents

Active:

5 years or life of warranty, whichever is longer

Disposition: destroy

COMPLAINT FILES

Active:

5 years

Disposition: shred hard copy, permanent electronic files

CONFIDENTIAL FILES

Includes: physician records of examination, diagnostic records, laboratory test records, drug screening records, health plan application forms, KPERS, FMLA, accident reports, workers' compensation reports, detailed background checks, etc.

Active:

tenure plus 2 years

Disposition: shred hard copy, permanent electronic files kept for 65 years

GREIVANCE FILES

Active:

5 years

Disposition: shred hard copy, permanent electronic files

KEY FILES

Includes applications, background checks (not hired), interview questions and employment testing (excludes medical testing (not hired)).

Active:

5 years

Disposition: destroy

PERSONNEL FILES

Includes: employment application, background check, policy signatures, tax forms, payroll actions, discipline actions, awards, training, performance appraisals, exit interview form, tuition reimbursement, position description, etc.

Active:

tenure plus 2 years

Disposition: shred hard copy, permanent electronic files kept for 65 years

STATE AND LOCAL GOVERNMENT INFORMATION REPORT EEO-4

Active:

3 years

Disposition: destroy

Record Retention Schedule - Municipal Court

BANKRUPTCY COURT FILES

Documentation of debtors' claims for purposes of issuing warrants

Active:

until case is closed or dismissed

Disposition: destroy

BOND DOCUMENTS

Retain Cash Bond List permanently. Retain all others as follows:

Active:

until expired or paid

Inactive:

5 years

Disposition: destroy

COMMUNITY SERVICE RECORDS

Retain a summary of community service performed by an individual permanently. Retain all supporting documents as follows:

Active:

until service is completed, and case is closed

Inactive: 5 years
Disposition: destroy

DOCKETS

Retain any dockets that could be used to establish criminal history on all offenses equivalent to an A or B misdemeanor for 50 years. Retain all others as follows:

Active: 5 years Disposition: destroy

PROBATION RECORDS

Includes client files, intoxication reports, shoplifting reports, house arrest reports and other related documents. Retain Waivers of Right to Counsel for 50 years. Retain all others as follows:

Active:

until individual has completed program

Inactive:

5 years

Disposition: destroy

TICKETS -- DISMISSED OR VOID

Retained to show identity of individual who dismissed or voided the ticket

Active:

2 years

Disposition:

destroy

TICKETS - OFFENSE EQUIVALENT TO AN ORB MISDEMEANOR

Active:

50 years

Disposition:

destroy

TICKETS -- TRAFFIC OR PARKING

Active:

3 years

Disposition:

destroy

WARRANT RECORDS

Active:

until served or expired

Inactive:

5 years

Disposition:

destroy

ADOPTED AND PASSED by the governing body of the City on March 12th, 2025, and **APPROVED AND SIGNED** by the Mayor.

MATT MCALLISTER, Mayor

JENNIFER L. MAYS, City Clerk

(SEAL)