

# KENAI PENINSULA BOROUGH

## Office of the Borough Clerk

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Johni Blankenship, MMC  
Borough Clerk

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### MEMORANDUM

**TO:** Blaine Gilman, Assembly President  
Kenai Peninsula Borough Assembly Members

**THRU:** Brenda Ahlberg, Grants Administrator *BA*  
Craig Chapman, Finance Director *CC*  
Scott Walden, OEM Director *SW*  
Pat Malone, Roads Director *PM*  
Kevin Lyon, Capital Projects Director *KL*  
Valentina Sustaita, Acting Purchasing Director *VS*  
Colette Thompson, Borough Attorney *CT*

**FROM:** Michele Turner, Deputy Borough Clerk / Records Manager *(MT)*

**DATE:** February 11, 2016

**RE:** Retention Schedule Revisions to Clarify Retention of Grant Administration Files

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In an effort to unify the retention of multiple department's grant files, we are recommending the following amendments:

#### FINANCE – ACCOUNTS PAYABLE

<b>ACC-06</b>	<b>GRANT MANAGEMENT FILES</b> Copies of grant agreements, borough requests for reimbursement and related correspondence. <i>See also MAY-07.</i>  <i>[Note: Grant retention may vary and must be managed by the requirements set forth from the granting agency. <u>Grants Administrator approves final destruction report for grant files.</u>]</i>	
<b>06.1</b>	<b><u>STATE GRANTING AGENCIES</u></b>  <u>C = Life of grant agreement.</u>	[1 YEAR] C/Office [2] <u>6 years /Record Cntr. AS 37.05.315</u>
<b>06.2</b>	<b><u>FEDERAL GRANTING AGENCIES</u></b>  <u>C = Until Federal audit is complete or until grant conditions are met.</u>	C/Office <u>3 years/Record Cntr.</u> <u>2 CFR 200</u>

**FINANCE – ADMINISTRATION**

<p><b>FIN-13</b></p>	<p><b>ASSET INVENTORIES</b>          Fixed. Non-Fixed.          Inventories of owned assets indicating value, location, purchasing information. The Government Accounting Standards Board (GASB) requires municipalities to record infrastructure as part of their fixed assets.   <i>C = Life of asset or until State authorizes disposal of grant funded assets.</i>   <u>Note: Assets valued over \$5,000 that are federally funded must be retained until formal disposition approval has been issued to transfer, sell or donate.</u></p>	<p>C+1 year/Office           3 years/          Records Cntr.</p>
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**MAYOR’S OFFICE**

<p><b>MAY-07</b></p>	<p><b>GRANT ADMINISTRATION FILES</b>          Federal, state and local grants received. Applications, notification of award, receipt of monies, agreements, fiscal reports, closeout documents. <u>All grant actions from application to close-out must be reviewed by the Grants Administrator.</u>   <u>[Note: Audit file is retained with Finance. See ACC-06.]</u></p>	<p>[TO BE MANAGED BY THE          KPB GRANT          ADMINISTRATOR AS          GRANTING AGENCY          STIPULATES]</p>
<p><b>7.01</b></p>	<p><b><u>STATE GRANTING AGENCIES</u></b>   <u>C = Life of grant agreement.</u></p>	<p>C/Office  <u>6 years /Record Cntr.</u>  <u>AS 37.05.315</u></p>
<p><b>7.02</b></p>	<p><b><u>FEDERAL GRANTING AGENCIES</u></b>   <u>C = Until Federal audit is complete or until grant conditions are met.</u></p>	<p>C/Office  <u>3 years/Record Cntr.</u>  <u>2 CFR 200</u></p>

**OFFICE OF EMERGENCY MANAGEMENT**

<p><b>EMR-03</b></p>	<p><b>EMERGENCY/DISASTER EQUIPMENT ADMINISTRATION</b>          List, inventories, agreements on equipment for shelter and ongoing responses. Purchase and upgrade of radios, generators, pagers, repeaters. Licenses and permits, renewals, radio frequency list.   <u>[Note: If equipment is purchased with grant funds, retention is established by the granting agency. See ACC-06 and MAY-07.]</u>   <u>C = Life of equipment.</u></p>	<p>C/Office           4 years/          Records Cntr.</p>
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**ROAD IMPROVEMENTS**

<p><b>RDI-01</b></p>	<p><b>ROAD IMPROVEMENT PROJECT FILES</b>          Contracts, payment records, grant funding within specific projects, correspondence and reports relating to completion of road improvement projects.</p> <p><i>[Note: Retention for projects completed with grant funding is set by the Granting Agency. See ACC-06 and MAY-07.]</i></p> <p>C = Until project is complete.</p>	<p>C+1 year/Office           6 years/          Records Cntr.</p>
<p><b>[RDI-02</b></p>	<p><b>GRANT FUND ADMINISTRATION</b>          REPORTS RELATED TO PROCESS OF OBTAINING STATE AND FEDERAL GRANT FUNDS FOR ROAD IMPROVEMENT PROJECTS.</p>	<p>3 YEARS/OFFICE]</p>

**ROAD MAINTENANCE**

<p><b>RDM-02</b></p>	<p><b>ROAD MAINTENANCE REPORTS</b>          Reports related to road maintenance revenues, maintenance expenditures and status of projects.</p> <p><i>[Note: Retention for projects completed with grant funding is set by the Granting Agency. See ACC-06 and MAY-07.]</i></p> <p>C = After project is complete.</p>	<p>C+1 year/Office           6 years/          Records Cntr.</p>
<p><b>RDM-04</b></p>	<p><b>STATE AND FEDERAL GRANT – STIP/CIP LIST</b>          Work Papers, correspondence, copy of grant awards provided for road maintenance or improvements, i.e. STIP; ISTEAs.</p> <p><i>[Note: Retention for projects completed with grant funding is set by the Granting Agency. See ACC-06 and MAY-07.]</i></p> <p>C = [after]Until project is complete [OR PER GRANT REQUIREMENTS].</p>	<p>C/Office           6 years/          Records Cntr.           [AS 28.35.100]</p>

**CAPITAL PROJECTS**

<p><b>PWK-02</b></p>	<p><b>MAJOR CONSTRUCTION (PRE-CONSTRUCTION)</b>                  Pre-proposal conference, bidding information, invitation to bid, request for proposal and funding issues. Reports and recommendations from project advisory board and school administration. Contracts with architects and engineers for preparation of project plans, specs, cost estimates. Project planning and design development. Insurance certificates, DCVRs, submittals, Title 36 and permits.</p> <p>C = Until Project is complete.</p> <p><i>[Note: Retention for projects completed with grant funding is set by the Granting Agency. See ACC-06 and MAY-07.]</i></p>	<p>C/Office</p> <p>6 years/ Record Cntr.</p>
<p><b>PWK-03</b></p>	<p><b>MAJOR CONSTRUCTION (CLOSE OUT)</b>                  Agendas, minutes, reports. Close-out documentation. Duplicate originals of contract and subcontract documents, change orders and requests for final payment.</p> <p><i>[Note: Retention for projects completed with grant funding is set by the Granting Agency. See ACC-06 and MAY-07.]</i></p>	<p>2 years/Office</p> <p>50 years/ Record Cntr. or life of the facility.</p>
<p><b>PWK-06</b></p>	<p><b>MINOR PROJECTS</b>                  Contracts and change orders for maintenance, renovation, replacement or upgrades to public facilities.</p> <p><i>[Note: Retention for projects completed with grant funding is set by the Granting Agency. See ACC-06 and MAY-07.]</i></p>	<p>1 year/Office</p> <p>9 years/ Records Cntr.</p>
<p><b>PWK-08</b></p>	<p><b>PLANS, MAPS AND DRAWINGS</b>                  Plans, drawings, maps and as-built(s) including, but not limited to municipal buildings, streets, surveys/plat, lot plans, tax assessment, layout/grade, sanitary sewers, zoning, easements, landfills, subdivisions, traffic control, water and fire lanes.</p> <p><i>[Note: Retention for projects completed with grant funding is set by the Granting Agency. See ACC-06 and MAY-07.]</i></p>	<p>Permanent</p>
<p><b>PWK-09</b></p>	<p><b>EQUIPMENT RECORDS</b>                  Operations and maintenance manuals for materials and equipment.</p> <p><u>C = Life of Equipment.</u></p> <p><i>[Note: Retention for projects completed with grant funding is set by the Granting Agency. See ACC-06 and MAY-07.]</i></p>	<p>C/Office</p> <p><u>1 year/Records Cntr.</u></p>

**PURCHASING**

<b>PUR-02</b>	<b>FORMAL BIDS – WINNING BIDS</b> Requests for proposals/invitation to bid, solicitation documents, including: all received proposals/bids, intent to award, notice of award, general/special conditions, award authorization, bid tabulations and addenda.  <i>[Note: Retention for projects completed with grant funding is set by the Granting Agency. See ACC-06 and MAY-07.]</i>	2 years/Office  2 years/ Records Cntr.  AS 09.10.053
<b>PUR-03</b>	<b>OTHER PURCHASING RECORDS</b> Licensing of borough-owned vehicles, Annual Auction; disposal of fixed assets.  C = Until disposal of asset.  <i>[Note: Retention for projects completed with grant funding is set by the Granting Agency. See ACC-06 and MAY-07.]</i>	C+3 years/Office