

**ACCESS SERVICES  
RECORDS RETENTION  
POLICY AND SCHEDULE**

Approved by action of the Board of Directors  
\_\_\_\_\_, 2018

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# I. General Information

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## **INTRODUCTION**

### **POLICY**

Access Services ("Agency") seeks to maintain a system that provides the public with appropriate access to its documents, and as such, continues to implement and update its policies to ensure public access and transparency. The Agency has adopted this Records Retention Policy and Schedule to ensure that documents are maintained and accessible, at a minimum, for the period required by law. Notwithstanding this Records Retention Policy and Schedule, it is the policy of the Agency to allow departments to maintain documents for longer than legally required whenever a department deems necessary, and it will always be the intent of the Agency to maintain documents when their retention period is uncertain.

### **STATEWIDE RETENTION SCHEDULES**

In 1999, the Legislature added section 12236 to the Government Code. Section 12236(a) states:

The Secretary of State shall establish the Local Government Records Program to be administered by the State Archives to establish guidelines for local government retention and to provide archival support to local agencies in this state. The Secretary of State shall establish, publish, update, and maintain on a permanent basis, guidelines for local government records retention.

In response, the Secretary of State's Office and City Clerks Association of California developed the Local Government Records Retention Guidelines. The guidelines provide minimum requirements for the retention of records and do not reflect the administrative, operational, financial or historical needs of the Agency. The recommendation from the Secretary of State's Office and City Clerks Association was to adapt the guidelines into the local agency's own jurisdictional language for clarity and use. The recommendation is well-founded, as the guidelines are difficult to maneuver through and the minimum retention periods are often too short to satisfy the Agency's need for administrative, operational, financial, or historical information.

### **OVERVIEW OF RECORDS MANAGEMENT**

One purpose for records management is to ensure information is available when needed. To do this efficiently and effectively, records must be identified, organized, maintained for the requisite number of years, and documented when destroyed. Records management encompasses all the record-keeping requirements that allow an organization to establish and maintain control over information flow and administrative operations, seeking to control and manage records through the entirety of their life

cycle, from creation to final disposition.

In a litigious society, records management is more important than ever. In court, an attorney can attack the way the agency handles its records. The fact records may refute or support a particular position is obscured by the attack on how the agency accounts for and handles those records. In addition, an agency's failure to maintain records for the requisite statutory or regulatory period can subject the agency to evidentiary sanctions at trial. The agency's legal position in litigation may be influenced by how well or how poorly they comply with accepted records management practices.

While a sound records management program doesn't cost, it pays. It pays by improving customer service, increasing staff efficiency, allocating scarce resources, and providing a legal foundation for how an agency conducts its daily mission. It helps identify and justify opportunities for new technology. Other benefits include:

- Providing public access to and protecting the public's rights to inspect public records
- Space saving
- Reduced expenditures for new filing equipment
- Increased efficiency in information retrieval
- Compliance with legal, administrative, and fiscal retention requirements
- Identification and protection of vital records
- Control over creation of new records
- Identification of records with research and/or historical value
- Orderly retirement and destruction of records no longer required by statute to be retained
- Providing protection in litigation, audits, and other disputes

Understanding the importance of a good records management program, the purpose of this Records Retention Policy and Schedule is to establish policies and procedures for the efficient and economical management of the creation, utilization, maintenance, retention, preservation, and disposal of agency records, based on federal and state statutes governing public records. And, further, to ensure that a responsible program of records management is practiced within the Agency, serving the best interest of the Agency and its citizens.

### **DISCLAIMER**

This Records Retention Policy and Schedule was developed with as much forethought as possible to include every Agency record and document. A thorough review of this document was completed, however, as with any document of this complexity, it is anticipated that there may be errors and omissions within its covers. It is presumed that this document will need review and/or revision from time to time to include additional records and/or to keep current with changes in the laws governing retention periods

and local policy changes.

This document is intended only to assist the Agency in managing its records in a manner consistent with law. Neither this document, nor the record descriptions, nor the retention periods provided herein shall constitute acknowledgment of the existence or non-existence of any record. Neither this document, nor the record descriptions, nor the retention periods provided herein shall constitute the public's right to view, inspect, copy, or otherwise access the records listed herein.

The Agency makes no warranty of any kind regarding material and information identified in this document. The Agency shall not be responsible or liable for any inaccurate information, changes in document categorization or naming, or any errors or omissions which may arise from use of this document. The Agency shall not be liable for any actions taken or omissions made from reliance on any information contained herein from whatever source nor shall the Agency be liable for any other consequences from any such reliance. While every effort is made to keep such information accurate and up-to-date, the Agency does not certify the authenticity of information that originates from third parties.

## **GUIDELINES FOR USING THIS RECORDS RETENTION POLICY AND SCHEDULE**

Understanding the following principles and guidelines will enable the reader to handle documents and record keeping procedures as the Records Retention Policy and Schedule was intended, and in doing so will ensure compliance with applicable laws and Agency policies.

### **WHAT IS A RECORD**

Records are discussed and defined in this section of the Agency's Records Retention Policy and Schedule. Additional definitions can be found in the references section at the end of this document.

"Records" include, but are not limited to, letters, papers, maps, exhibits, magnetic tapes, compact-disks, microfilm, photographic film and prints, audio and video recordings, and any other information, regardless of its physical form or characteristics, that is received, created or used by a department or official in the normal course of business.

"Original records" include: (1) original hardcopies, and (2) electronic reproductions that are fully legible in a medium that is a trusted system and that does not permit modifications to the original hardcopy (preferably retained as a PDF/A for archiving purposes).

"Copies of original records" that are maintained by departments *other* than the Primary Record Keeping Department should be kept no longer than the retention period required by the retention schedule found for the original document listed under the

Primary Record Keeping Department, but may be destroyed prior to the end of the retention period because the Primary Record Keeping Department is responsible for the original.

"Non-records" are materials that are not retained in the normal course of business, such as: records that contain no information of significant or lasting value such as transmittal letters, acknowledgments, and drafts, rough notes or calculations created and used in the preparation or analysis of other documents. As non-records are not retained in the normal course of business, they may be disposed of at any time. However, if a non-record is retained as an integral part of a file or in conjunction with original records, it shall be retained in accordance with the appropriate retention schedule.

### **OWNERSHIP OF RECORDS**

All records are the property of the Agency and shall be delivered by outgoing officials and employees to their successors. Records are to be maintained in active file areas or in a designated records center.

### **PRIMARY RECORD KEEPING DEPARTMENTS**

Each Primary Record Keeping Department encompasses several functions:

- 1) Maintaining original documents pertinent to the functions of the department.
- 2) Designating a Primary Record Keeper, a specific person responsible for ensuring the department complies with this document.
- 3) Responding to subpoenas and Public Record Act requests relative to the functions/documents/programs that fall within the responsibilities of that department.
- 4) Ensuring all Agency documents and records are listed in the Records Retention Policy and Schedule and accessible by the appropriate staff.

### **COMMON MATERIALS/DOCUMENTS MAINTAINED BY ALL DEPARTMENTS**

There are a number of documents that all/most departments create, utilize, and maintain throughout the normal course of business. Rather than listing these items and their retention periods under each department, they have been grouped together and can be found in one section entitled "Common Documents." Where applicable, the Common Documents list also indicates which department is the Primary Record Keeping Department.

### **HANDLING DOCUMENTS FROM INCEPTION TO DESTRUCTION**

Department personnel are advised to begin new files with an eye to the future disposition of the file being created. Planning ahead avoids separating files later when it comes time for storage and/or destruction. Also, reviewing the department's

retention schedule beforehand can avoid the necessity and time-consuming activity of separating permanent information/documents from short-term materials prior to time of destruction. One other suggestion is to ensure some level of consistency in labeling and identifying department files, particularly at the time of creation.

### **CONVERTING HARD COPY TO ELECTRONIC FORMATS**

Government Code Section 34090.5 authorizes the conversion of hard copy materials and records onto other electronic mediums as long as the following conditions are met:

- 1) The record, paper, or document is photographed, microphotographed, reproduced by electronically recorded video images, recorded in electronic data processing system, recorded on optical disk, or any other medium that is a trusted system and that does not permit additions, deletions, or changes to the original document;
- 2) The device or method used to reproduce the record, paper, or document reproduces the original in all details and does not permit additions, deletions, or changes to the original document images;
- 3) The reproductions are made accessible for public reference as the original records were; and
- 4) A true copy of archival quality shall be kept in a safe and separate place for security purposes.

If the above conditions are met, the public official having custody of the records may convert the hard copy to a permissible electronic format and destroy the hard copy without the approval of the Agency's Board of Directors or General Counsel.

#### ***Practical Application with Current Technology***

Whenever a hard copy document is stored in an electronic format two versions of the electronic document should be created. The two versions of the electronic document should be maintained in separate places for security purposes. At least one version of the electronic document must be a true copy of the original hard copy document in a format that reproduces the original document in all details and does not permit additions, deletions, or changes to the original document. After the electronic copies have been made, the hard copy document may be destroyed without any additional approvals.

### **ELECTRONIC MAIL (E-MAIL)**

The Agency and its employees are required to retain all e-mail that is a record. Any e-mail and any attachment that (1) relates or pertains to the formation or implementation of official public business, policies, and decisions; or (2) initiates, authorizes, or completes a transaction of official public business constitute a record.



It is the policy of the Agency to maintain all e-mail and any attachments for a minimum of two years. When an employee leaves the Agency their e-mail and any attachments are saved onto an electronic medium (e.g., CDs or network drive) and maintained for a minimum of two years.

In the alternative, an employee is authorized to print out or save an electronic copy of e-mail and any attachments. The printed hard copy or electronic copy shall be maintained in the appropriate file for a minimum of two years. The original e-mail may thereafter be deleted.

### **DUPLICATE RECORDS**

The Board of Directors, by adopting this Records Retention Policy and Schedule, authorizes Departments to destroy duplicate records less than two years old if the records are no longer required in accordance with adopted retention schedules.

### **RECORDS PERTAINING TO LITIGATION**

Agency documents which qualify as records, but which pertain to pending, ongoing, or recently-concluded litigation, are exempt from the retention periods provided in this Records Retention Policy and Schedule. All such records are maintained by the General Counsel or his/her designee, or by the legal counsel retained by the Agency for such litigation. Upon conclusion of the litigation, and following General Counsel's direction, such records may be returned to the Agency's designated Primary Record Keeping Department, at which time they shall be retained for such period as may be directed by General Counsel. However, in no event shall such records be retained for a period less than that required in this document's retention schedules; or if the records are not identified in any retention schedule, they shall be maintained by General Counsel or his/her designee for no less than two (2) years following the litigation's conclusion.

In addition, should General Counsel determine that it is legally necessary or prudent for records pertaining to concluded litigation to be maintained separately from other Agency records, General Counsel may, at his/her discretion, authorize the following: (1) that such records be retained for a period longer than otherwise required; (2) that such records be retained by a person or department other than the designated Primary Record Keeping Department; or (3) that such records be maintained confidential or subject to protective measures.

### **FINAL DISPOSITION**

Disposition is the final phase in the information life cycle and normally involves two possibilities: destruction or transfer to a records facility for permanent preservation. No Agency documents shall be destroyed without the approval of the Board of Directors. By resolution, the Board of Directors has authorized the destruction of documents in accordance with this Records Retention Policy and Schedule and no additional Board of Directors authorization is required prior to the destruction of documents.

Disposition of records should occur routinely in accordance with the provisions of this Records Retention Policy and Schedule. Records that have reached the end of their retention period are to be destroyed pursuant to this section. Electronic versions of those records should also be deleted at the same time.

Prior to destruction of records identified as eligible for destruction, a Request for Destruction of Records (Form 1) and a list of eligible records must be submitted and approved by the responsible Department Head, Executive Director and General Counsel. Once authority has been received to destroy the records, all forms of that record should be destroyed (or deleted): paper, microfilm/fiche, electronic format. After the records approved for destruction have been destroyed, a Certificate of Destruction (Form 2) must be prepared. The Request for Destruction of Records and Certificate of Destruction shall be filed in the Office of Administration.

Notwithstanding the foregoing, at their discretion, employees may retain documents longer than required by law or this Records Retention Policy and Schedule. When an employee determines that a document retained for an extended period of time should be destroyed, the employee must destroy the document pursuant to this section.

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## II. Retention Schedules

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## **INTRODUCTION TO RETENTION SCHEDULES**

### **LEGEND AND CITATION**

Immediately following this section is a legend of the abbreviations used throughout the retention schedules, as well as a listing of the various state and federal codes addressing records retention.

### **COMMON DOCUMENTS**

The Common Documents list contains items found in almost every department.

### **RETENTION SCHEDULES**

The following retention schedules are presented departmentally, in alphabetical order, in charts with four (4) columns: Subject/Item, Retention Period, Citation or Policy, and Description/Notes.

#### **Subject/Item**

This column provides a brief description of each document or subject of documents retained by the department.

#### **Retention Period**

This column states the retention period for each document. The retention period applies to a record regardless of the medium in which it is maintained. Some records listed in the retention schedules are maintained electronically. To ensure access to these records in the future, data used to create the records should be retained for the records full retention period. The only exception to this rule is where copies of the data are retained in paper or on microfilm and designated as the record copy for retention purposes. The electronic version then becomes a copy and may be disposed of when no longer needed.

Based on department policy, the listed retention period may exceed the minimum legal retention period. Where a department policy extends a retention period, such policy shall control and all employees shall maintain responsive records accordingly. Where there is no department policy extending a retention period, the legal retention shall control. Departments have discretion to change department policies regarding extended retention, but records cannot be retained less than the legal retention period.

#### **Citation or Policy**

This column provides the legal basis for the retention period and indicates whether the retention period has been extended based on department policy.

### Description/Notes

This column provides any descriptions/notes on the document or subject of documents.

### RECORDS CAN BE ADDED TO THE SCHEDULES

From time to time, departments may create or find records in their departments that are not listed on the following pages. These can be added to the schedules as this is not a permanent document, but flexible in nature to accommodate legal, administrative, or fiscal policy changes. Board of Directors approval is not required for the additional and modification of items on the schedules as long as the change does not reduce the legal retention period.

### LEGEND

Active (AC)	=	Period of time a record has yet to fulfill its administrative, fiscal, and/or legal function/purpose.
Adoption (AD)	=	Point in time which a record is approved and given operative effect.
Affordability Period (AP)	=	Period of time during which assisted property is encumbered by rent and occupancy restrictions/covenants.
Audit (AU)	=	Effective date of the annual audit, generally used in connection with financial documents.
Closed/Completed (CL)	=	Point in time which there is no further work to be done in connection with the task, project, or subject matter of the record.
Current (CU)	=	Record current throughout the calendar year in which it was created.
Date Created (DC)	=	Date record was created.
Department Policy (DP)	=	Department policy.
Election (E)	=	The election for which the record was created.
Life (L)	=	Period of time during which a record has administrative, fiscal and/or legal significance or effect.
Permanent (P)	=	Records required to be kept in perpetuity, usually by statute or other written guidance.
Repayment (R)	=	Full repayment of funds previously borrowed or owed to the Agency.
Supersede (S)	=	Point in time in which a record is replaced or made obsolete, useless in favor of a new record.

Termination (T)	=	Point in time constituting the end, conclusion, resolution, or decision not to continue a policy, condition or relationship.
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**CITATIONS**

B&P	=	California Business & Professional Code
CAC	=	California Administrative Code
CBC	=	California Building Code
CCP	=	Code of Civil Procedure
CCR	=	Code of California Regulations
CFR	=	Code of Federal Regulations
EC	=	California Elections Code
GC	=	California Government Code
H&S	=	California Health & Safety Code
OSHA	=	Occupational Safety & Health Agency
PC	=	California Penal Code
CFC	=	California Fire Code
USC	=	United States Code
WIC	=	Welfare & Institutions Code

**COMMON DOCUMENTS**

<b>Subject/Item</b>	<b>Retention Period</b>	<b>Primary Record Keeping Dept.</b>
Accounts Payable <i>copies</i>	AU + 2	Finance
Admin. Policies, <i>copies</i>	S + 2	Executive Director
Agendas, Board of Directors <i>copies</i>	CU + 2	Clerk
Agendas, Commissions <i>original</i>	CU + 4	
Agreements/Contracts (excludes CIP)	T + 10	

Awards/Certificates (departmental)	CU + 2	
Bids, RFPs, RFQs - successful <i>copies</i>	CL + 2	Finance/Purchasing/ Clerk
Bids, RFPs, RFQs - Unsuccessful <i>copies</i>	CU + 2	Finance/Purchasing/ Clerk
Brochures, publications, newsletters	S + 2	
Closed Session confidential memos	AC + 2	Executive Director
Departmental personnel files of employees transferred to another dept. <i>copies</i>	Transfer date + 2	Human Resources
Departmental personnel files of terminated employees <i>copies</i>	Terminated Date + 4	Human Resources
General/Miscellaneous Correspondence	CU + 2	
Material Requisition Forms <i>copies</i>	AU + 2	Finance
Minutes, Board of Directors <i>copies</i>	CU + 2	Clerk
Miscellaneous Cash Receipts	AU + 2	Finance
Municipal Code book	S + 2	Clerk
Operating Budget document	S + 2	Finance
Operating Budget working files	AC + 2	
Payroll Printouts <i>copies</i>	AU + 3	Finance
Payroll Timesheets <i>copies</i>	AU + 3	Finance
Payroll Adjustment Forms <i>copies</i>	AU + 3	Finance
Policies & procedures (departmental)	S + 2	
Purchase Orders <i>copies</i>	AU + 2	Finance
Reimbursement Forms & Receipts <i>copies</i>	AU + 2	Finance
Resolution <i>copies</i>	CU + 2	Clerk
Rider Data (Active)	DC + 7	
Rider Data (Inactive)	L + 3	
Staff Reports	CU + 2	Clerk
Telephone message pads/logs	CU + 2	
Travel reimbursement <i>copies</i>	AU + 2	Finance

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<i>Subject/Item</i>	<b>Retention Period</b>	<b>Citation or Policy</b>	Description/Notes
<b><i>Appeals, Civil</i></b>	CU + 3	CCP 583.320(a)(3); GC 34090	
<b><i>Attorney Case Index</i></b>	L	GC 6254	Including notations on activities related to case
<b><i>Attorney Opinions/Memoranda</i></b>	S + 2	GC 34090 & 6254	Confidential
<b><i>Case Log</i></b>	CL + 4	CCP 337.2; CCP 343	
<b><i>Civil Litigation, case files</i></b>	CL + 10	GC 911.2, 945.6, 34090 & 34090.6; PC 832.5; DP	Includes logs, complaints, police reports, court orders, motions, notes, briefs, and litigated investigation files
<b><i>Claims</i></b>	CL + 5	CCP 337; GC 911.2, 945.6, 34090 & 34090.6; PC 832.5; DP	Potential claim files, civil claims files not resulting in litigation, any other investigation records not resulting in litigation, surveillance records.
<b><i>Confidential Incident Reports</i></b>	CL + 2	GC 34090	Except for reports related to minors
<b><i>Criminal Code Violations</i></b>	CL + 10	GC 34090; DP	
<b><i>Fair Campaign Political Practices Commission</i></b>	CL + 4	GC 34090; DP	
<b><i>General Research Files</i></b>	CU		Research library updated/purged as needed
<b><i>Public Records Requests for Information</i></b>	CL + 2	GC 34090	

<i>Subject/Item</i>	<b>Retention Period</b>	<b>Citation or Policy</b>	Description/Notes
<b>Settlement Agreements</b>	CL + 10	GC 911.2, 945.6, 34090 & 34090.6; PC 832.5; DP	

**ADMINISTRATION OFFICE**

<i>Subject/Item</i>	<b>Retention Period</b>	<b>Citation or Policy</b>	Description/Notes
<i>ADMINISTRATIVE</i>			
Applications for commissions, committees	CU + 2	GC 34090	Candidates not selected
Applications for commissions, committees	T + 5	GC 34090, 40801	Candidates selected
Articles of Incorporation	P	GC 34090; CCP 337.2	ACCESS' birth certificate
Assessment Districts	P	GC 34090	Includes Engineer's Report, staff report, roll, etc.
Certifications/Declarations	CU + 2	GC 34090(d)	Copies used as samples. Originals presented or mailed
Budget binder	CU + 2	GC 34090	Copies of invoices, requisitions - by various accounts
Claims Against Access	CL + 5	GC 34090, 25105.5	Paid/denied
Litigated cases	P	GC 34090(b)	Court documents/agreement re: final actions/settlements

<i>Subject/Item</i>	<b>Retention Period</b>	<b>Citation or Policy</b>	Description/Notes
Life Certificates <i>copies</i>	CL + 2	GC 34090(d)	Originals prepared & given to pensioners
Maintenance Districts	P	GC 34090	Original documentation
Municipal and County Codes	P	GC 34090(e)	Supplements included
Program Work Files	CU + 2	GC 34090(d)	
Proclamations <i>copies</i>	CU + 2	GC 34090	Originals are presented in person or mailed
Professional Services Agreements	CL + 7	GC 34090; DP	Original agreements, purchase orders, proof of insurance, etc.
Proofs of Publication	CU + 4	CCP 343, 349 et seq.; CG 911.2, 34090	Includes public notices, legal publications
Public Records Act requests	CL + 2	GC 34090	
Records Destruction Documentation	P	GC 34090; DP	Includes Requests for Destruction of Records, Certification of Destruction, Department Records Lists
Subject files	CU + 2	GC 34090	May have slight research value
Subpoenas <i>copies</i>	CU + 2	GC 34090(c)	Originals forwarded to General Counsel and copies to affected depts.
Summons <i>copies</i>	CU + 2	GC 34909(c)	Originals forwarded & maintained by effected depts.
<b>BOARD OF DIRECTORS</b>			
Agendas	CU + 2	GC 34090(d)	Board of Directors, Oversight Board, Board of Directors Committees

<i>Subject/Item</i>	<b>Retention Period</b>	<b>Citation or Policy</b>	Description/Notes
Board of Directors Staff Reports	CU + 2	GC 34090(d)	Documentation received, created and/or submitted to Board of Directors
Minute Orders	P	GC 34090(e)	1979 - present
Notices for meetings	CU + 2	GC 34090.7	
Ordinances	P	GC 34090(e), 40806	
Original Minutes	P	GC 34090(e), 36814 & 40801	Official minutes and hearing proceedings of Board of Directors, and committee originals
Resolutions	P	GC 34090(e)	
Studies and Reports (adopted)	S + 2	GC 34090	
Tapes - audio/video	3 mo	GC 34090.7	Tapes, discs, or media recordings of meetings, when minutes exist
<b>ELECTIONS</b>			
Ballots - Prop 218 (Assessment Districts)	P	CA Con Article XIII	Property related fees through ballot process.
Code of Fair Campaign Practices	30 day	EC 20442	Kept with officeholder's campaign files
Election Work Files			Except papers with historical value: remove and retain
History	P	GC 34090	Historical value: reso's, canvass, sample ballot, precinct map, staff reports, memo
Initiative, Referendum, Recall - Petitions	8 mo	EC 17200, 17400	After certification of election or if no election is held 8 months after

<i>Subject/Item</i>	<b>Retention Period</b>	<b>Citation or Policy</b>	Description/Notes
			the clerk's final examination of the petition
Nomination papers	T + 4	EC 17100	
Notices & Publications	E + 2	GC 34090	Proofs of publication & posting, notices, etc.
Oaths of Office	T + 6	29 USC 1113	For elected officials
<i>FPPC FILINGS</i>			
Campaign reports for all other officials	CU + 7	GC 81009(c)	Board of Directors filing as candidates for higher office
Board of Directors campaign reports, Elected Officials	P	GC 81009(b)	Including committees supporting the officeholder or candidate
Board of Directors campaign reports, Not Elected	CU + 5	GC 81009(b)	Including committees supporting the officeholder or candidate
FPPC Forms 801 & 802	CU + 7	GC 81009 (e)	Forms published online to remain on ACCESS website for 4 years
Misc. filings received by ACCESS Clerk	CU + 4	GC 81009(f)	
Statements of Economic Interest	CU + 7	GC 81009(e)	Form 700 (and outdated 721)
<i>MISCELLANEOUS</i>			
Board of Directors Member Biographies/Photographs	AC + 2	GC 34090	Board of Directors, present and past; Photos of past Board of Directors members -historical value
Proclamations <i>copies</i>	CU + 2	GC 34090	Includes original request. Final proclamations are presented in person or mailed.

**EXECUTIVE DIRECTOR'S OFFICE**

<i>Subject/Item</i>	<b>Retention Period</b>	<b>Citation or Policy</b>	Description/Notes
<i>ADMINISTRATIVE</i>			
Complaints - Cable	CL + 2	GC 34090(d)	Residents' complaints to the Executive Director's Office against cable
Complaints - Agency	CL + 2	GC 34090(d)	Residents' complaints to the Executive Director's Office re Agency issues
Conference/Travel arrangements copies	CU + 2	GC 34090	Hotel, conferences, travel arrangements, reimbursement travel reports, etc.
Photos	CU + 2	GC 34090	Historical value: events, ceremonies, staff, etc.
Project Files	CL + 2	GC 34090	Current projects, i.e., Non-Profit Foundations, etc.
Reports - departmental	CU + 2	GC 34090	Special, routine, or status reports created within the Office, including supporting docs
Subject Files -general and miscellaneous	CL + 2	GC 34090(d)	Regular files/project files on going for future references, including correspondence.
Transmittal for materials for Destruction & Storage Copies	CU + 2	GC 34090	
<i>BOARD OF DIRECTORS</i>			
Closed Session reports	CU + 2	GC 34090(d)	Confidential reports prepared by various depts. for Board of Directors closed session meetings.

<i>Subject/Item</i>	<b>Retention Period</b>	<b>Citation or Policy</b>	Description/Notes
Community Meetings, Event Documents	CU + 2	GC 34090	
Petty Cash Receipt Book and Demands <i>copies</i>	AU + 2	GC 34090	
Resolutions of Commendation <i>copies</i>	CU + 2	GC 34090	Originals presented and submitted at Board of Directors meetings, events, picked up, or mailed.
Reports to Board of Directors	CU + 2	GC 34090	Executive Director's reports to Board of Directors on projects, updates, etc.
<i>DEPARTMENTAL</i>			
Employee Negotiations <i>copies</i>	S + 2	GC 34090	Working files
<i>GENERAL</i>			
Agency Properties	P	GC 34090(a)	Official documents related to Agency property such as deeds, resolutions, or agreements
Private Property	P	GC 34090; DP	Recorded Historic Preservation Agreements
<i>LEGAL/LEGISLATIVE</i>			
Agreements	T + 10*	CCP 337.2, 343; B&P 7042.5; PU 7685; GC 53066, 34090(a); DP	*If capital improvements keep

<i>Subject/Item</i>	<b>Retention Period</b>	<b>Citation or Policy</b>	Description/Notes
General	S + 10	GC 34090; DP	Development and adoption of fee schedules
Legal Opinions	CL + 2	GC 34090, 6254	Confidential correspondence from attorneys
Legislation	CU + 2	GC 34090	Bills passed affecting the Agency
Ordinances and Resolutions	CU + 5	GC 34090; DP	Analysis and development materials related to adopted ordinances and resolutions
<b>MISCELLANEOUS</b>			
Community Organization Funding Program	Per funding agreement	GC 34090; DP	Applications, reports, and other documents
Donations, Legacies or Bequests	CL + 10	GC 34090; DP	Donations, legacies, or bequests which have a value of up to \$20,000
History File	CU + 2	GC 34090	Historical value: Books, booklets, photos, etc.
Other Miscellaneous	CU + 2	GC 34090	Includes cable, newspaper, radio message boards, presentations, communications, etc.
<b>PROJECT AND STUDY FILES</b>			
Initial files for a developing current project	CL + 2	GC 34090	Files for a study or general topic that has a body of analysis work or policy development to be retained or future action or historic reference, i.e., development of a marketing strategy or proposed ballot measure

**FINANCE**



<i>Subject/Item</i>	<b>Retention Period</b>	<b>Citation or Policy</b>	Description/Notes
<i>ACCOUNTS PAYABLE</i>			
1099s	AU + 4	GC 34090	1099 tax form
A/P Backup	AU + 4	GC 34090; DP	Invoice and check copy
A/P Cancelled Checks	AU + 5	GC 34090; CCP 337; DP	Cancelled and voided checks
A/P ( Warrants) Registers	AU + 4	GC 34090.7; DP	Register of Warrants/Demands
<i>ACCOUNTING</i>			
Acct Documentation/ Journal Entries/ Posting Reports	AU + 4	GC 34090; DP	
Audits Information (internal & external reports)	P	GC 34090; OMB A-128; DP	Internal/External reports
Audit Proposals	P	GC 34090; DP	
Audit Workpapers	P	GC 34090; DP	
Contracts	P	GC 34090; CCP 337; DP	
Deferred Compensation Statements	Defer to HR	DP	Records of employee contributions and ACCESS payments
Expense Reports	AU + 4	GC 34090; DP	

<i>Subject/Item</i>	<b>Retention Period</b>	<b>Citation or Policy</b>	Description/Notes
Finance initiated resolutions & agenda items copies	P	GC 34090; DP	
Finance Office Correction Requests	AU + 4	GC 34090; DP	
Fixed Asset Records	P	GC 34090; DP	
Grant Files	Based on grant	GC 34090; DP	
State and Federal Grant Materials	Based on grant	GC 34090; DP	
<i>AGENCY &amp; DEBT SERVICE</i>			
Assessment Delinquency Files	CU + 4	GC 34090	
Assessment Payoffs	CU + 2	GC 34090	
Bond Authorizations & related Public Hearing Records	P	GC 34090; DP	
Bond Indentures/Official Statements	P	GC 34090; CCP 337.5; DP	
County Paid/Unpaid Reports	CU + 6	GC 34090; DP	
Fiscal Agent Reports	CU + 6	GC 34090	
Lease/Purchase Agreements	CL + 2	GC 34090	
Pass Through Agreements/Related Records	P	GC 34090; DP	

<i>Subject/Item</i>	<b>Retention Period</b>	<b>Citation or Policy</b>	Description/Notes
Sales Tax Agreements/ Related Records	P	GC 34090; DP	
<b>BANKING AND INVESTMENTS</b>			
Armored Transport Receipts	AU + 4	GC 34090	
Bank Statements/Reconciliations	AU + 4	GC 34090; 26 CFR 16001-1	Statements, summaries for receipts, disbursements & reconciliations
Banking Agreements	P	GC 34090; DP	
Deposit slips/Receipts/Correction Notices	P	GC 34090; DP	
Facsimile Signature/Signature Cards	P	GC 34090; DP	
Returned Checks	AU + 5	GC 34090; DP	
Stop Payment Notices	AU + 4	GC 34090; DP	
Wire Transfer Documentation	AU + 4	GC 34090; DP	
<b>BUDGET</b>			
Adopted Budget (ACCESS, RDA, PFA, CIP)	P	DP	
Budget Work Files	P	GC 34090; DP	

<i>Subject/Item</i>	<b>Retention Period</b>	<b>Citation or Policy</b>	Description/Notes
GANN Limit Calculations and Resolutions	P	GC 34090; DP	
Proposed Budget	P	GC 34090; DP	
Records of Appropriation Increases/Decreases	P	GC 34090; DP	
<b>FINANCIAL REPORTS</b>			
Annual Street Report	P	GC 34090; DP	
Comprehensive Annual Financial Report - all agencies	P	GC 34090.7; DP	
State Controller	P	GC 34090	
<b>PAYROLL</b>			
Accrued Leave Reports, Payroll Records	P	GC 34090; DP	
Cancelled Payroll Checks	AU + 5	29 CFR 516.5; DP	Cancelled and voided checks
Deductions/Authorizations	See descriptio n		In employee payroll files
Employee Payroll Records	P	29 CFR 516.5; DP	

<i>Subject/Item</i>	<b>Retention Period</b>	<b>Citation or Policy</b>	Description/Notes
Employee Payroll Adjustment Forms	P	GC 34090; DP	
Federal & State Employment Tax Records	AU + 5	GC 34090; 29 USC 436	
Insurance Reports	CU + 6	GC 34090; DP	
Labor Distribution	P	GC 34090; DP	
Payroll Check & Direct Deposit Registers	P	29 CFR 516.5; DP	
Payroll Registers	P	GC 34090; DP	
PERS Employee Deduction Reports	P	GC 34090; CAC 22- 1085-2; DP	
PERS Retirement Reports	P	GC 34090	
Retirement Plan Agreements, Amendments	Defer to HR files		
Time Transaction Reports-Payroll Copy	AU + 4	GC 34090; DP	Timecards
Timesheets-Department's Copy	CU + 4	GC 34090; DP	
Voluntary Deduction Reports	P	GC 34090; DP	
W-2s	P	GC 34090; 29 CFR 6001.1(e)(1); DP	

<i>Subject/Item</i>	<b>Retention Period</b>	<b>Citation or Policy</b>	Description/Notes
<b>PRINTING</b>			
Printing Computer Print Charges	AU + 2	GC 34090	
Printing Mail Charges & Records	AU + 2	GC 34090	
Printing Requests	CU + 2	GC 34090	
Printing Charges	AU + 2	GC 34090	
<b>PURCHASING</b>			
Central Stores Inventory Records	CU + 2	GC 34090	
Central Stores Inventory Transactions	CU + 2	GC 34090	
Fueling	AU + 2	GC 34090; 14 CFR 139.321, 139.321	Records pertaining to refueling operations
Purchase Orders	AU + 4	GC 34090; DP	Filed with AP backup
Quotations	AU + 4	GC 34090; DP	Filed with AP backup
Requests for Proposals/Bids/Notices	AU + 4	GC 34090; DP	After life of asset or end of service contract
Requisitions	CU + 2		
<b>RECORDS</b>			
Revenue Receipts	AU + 4	GC 34090; DP	
Sales and Use Tax Remittance Advices	AU + 4	GC 34090; DP	

<i>Subject/Item</i>	<b>Retention Period</b>	<b>Citation or Policy</b>	Description/Notes
State Subventions Remittance Advices	AU + 4	GC 34090; DP	
<b>REVENUE</b>			
Accounts Receivable Billing and Backup	AU + 2	GC 34090	
Alarm Permits	P	GC 34090; DP	
Business License Application/License/Renewals	P	GC 34090	
Fee Schedules	P	GC 34090; DP	
Fee Studies	P	GC 34090; DP	
Registration: dog licenses	CU + 2	GC 34090	

### **HUMAN RESOURCES**

<i>Subject/Item</i>	<b>Retention Period</b>	<b>Citation or Policy</b>	Description/Notes
<i>ADMINISTRATION</i>			
<b>General Subject</b>			
Agreements	CL + 7*	GC 34090; DP	Contracts; *MOU and PERS contracts P

<i>Subject/Item</i>	<b>Retention Period</b>	<b>Citation or Policy</b>	Description/Notes
Bid List Contacts & Misc. Inf. Brochures	CU + 7	GC 34090; DP	
Budget preparation	CU + 7	GC 34090; DP	
General resolutions	CU + 7	GC 34090; DP	Includes: purge resolutions
Inventory	CU + 7	GC 34090; DP	
Keys, locks & CMC Parking Permits	CU + 7	GC 34090; DP	
Project Files	CU + 7	GC 34090; DP	May include reclassification studies, salary surveys
Professional organizations	CU + 7	GC 34090; DP	APTA, CTA
Public Records Act requests	CL + 2	GC 34090; DP	
Reports	CU + 7	GC 34090; DP	Hourly employee hours, recruitment, employees on leave or light duty (W/C), position vacancy analysis, employee vehicle accidents, occupational employment report
Signing authority delegation	CL + 7	GC 34090; DP	
Travel Records	AC + 2	GC 34090	
<b>Legal / Legislative</b>			



<i>Subject/Item</i>	<b>Retention Period</b>	<b>Citation or Policy</b>	Description/Notes
Americans with Disabilities Act (ADA)	CL + 7	29 CFR 1602.31; GC 34090; DP	General/Correspondence (Includes: Info Packets & Section 504 Info), ADA Transition 2009
Case Records, including grievances	CL + 10	GC 6254; 42 USC 1983	Closed + 10 and after termination of both parties. Includes hearing transcripts; Final Determinations
Conflict of interest reporting (form 700)	CL + 7	GC 81009(e) & (g); DP	
Criminal offender record information (CORI) system (LiveScan)	CL + 7	GC 34090; DP	General/correspondence
DOT drug and alcohol testing	CL + 7	49 CFR 653.31; DP	
Driver license reporting	CL + 7	GC 34090; DP	
Employee Registry - Employment Development Department	CL + 7	GC 34090; DP	
Equal employment opportunity	CL + 7	29 CFR 1602.32	Discrimination complaint*, EEO annual reports, EEO report of employees
Fair Labor Standards Act (FLSA)	CL + 7	GC 34090; DP	General/correspondence, 2011 review and recommendation* CU + 10
Labor law posters	S + 7	GC 34090; DP	
Opinions	S + 2	GC 34090; GC 6254	Confidential

<i>Subject/Item</i>	<b>Retention Period</b>	<b>Citation or Policy</b>	Description/Notes
OSHA	CL + 7	8 CCR 14300.33(a); 29 CFR 1904.33 & 1904.44; LC 6429c; DP	
Policies and procedures	P	GC 34090; DP	AP&P revisions/updates, PERR amendments, employee performance report revision/update
Polygraph/background services	CL + 7	GC 34090; DP	
Subpoena Duces Tecum - Copies	CU + 2	GC 34090	General Counsel maintains original
Tapes (audio) Commission Meetings	CU + 3 mo	GC 34090.7	When used for minute preparation
Tapes (audio) Meet and Confer	CU + 3 mo	GC 34090.7	*Destroy after MOUs are executed
<b>BENEFITS</b>			
Deferred compensation, general/correspondence	CL + 10	GC 34090; DP	
Deferred compensation, hardship withdrawal applications	T + 7	GC 34090; DP	
General Benefits	CU + 7	GC 6250 et seq.; 29 USC 1027; 29 CFR 1627.3(b)(2); DP	Military Leave Rights, Board of Directors Benefits, COBRA Continuation Coverage/Retiree Coverage, Unemployment Insurance, EDD "Statement of Reimbursable Charges, Hourly Employee Benefits, Health Club Memberships, Employee Benefits

<i>Subject/Item</i>	<b>Retention Period</b>	<b>Citation or Policy</b>	Description/Notes
			Fair, Flexible Scheduling, Voluntary Time Off, Volunteer Fire Fighters' Length of Service Awards, Insurance Committee/Open Enrollment, Early Retirement Reinsurance
General Benefits, Medicare tax coverage	P	GC 6250 et seq; 29 USC 1027; 29 CFR 1627.3(b)(2); DP	Employees hired before 04-01-86
Insurance	CL + 10	CCP 337.2; GC 34090; DP	
Retirement (PERS)	CL + 10	GC 34090, 12946; 29 CFR 1627.3(b)(2); 29 USC 1027; DP	General/Correspondence. Includes: Circular Letters, Rate Setting and Actuarial Valuation Requests, Computer Runs and Member Statements, Employer Pickup of Member Contribution (EPMC), PERS Service Credit, Early Retirement Incentive Program, Hourly & Annuitant CalPERS Service
Section 125 plan	CL + 10	GC 34090; DP	
<b>CLASSIFICATION PLAN</b>			
Classification review/modification	CU + 30	GC 34090; DP	Consultant Reviews, Job Description Development/Creation, Amendments & Revision Memos

<i>Subject/Item</i>	<b>Retention Period</b>	<b>Citation or Policy</b>	Description/Notes
Salary survey information	CU + 7	GC 34090; DP	
Salary surveys completed for outside agencies	CU + 7	GC 34090; DP	
<b>EMPLOYEE RECORDS</b>			
Background Files - Applicants Not Hired	AC + 2	GC 34090	Background information
Background Files - Terminated Employees	7	GC 34090; DP	Background investigation
<i>Disciplinary matters re: sworn employees</i>	T + 2	PC 832.5(b); GC 3300, 12946; 29 CFR 1602.31	Kept separate from regular personnel files. If discipline is upheld, then placed in personnel file.
Disciplinary matters re: non-sworn employees	T + 2	PC 832.5(b); GC 3300, 12946; 29 CFR 1602.31	If discipline upheld all records are placed in personnel file, If discipline is not upheld then it is not placed in personnel file.
DMV printouts	CL + 7	GC 34090; DP	Includes: notices w/ "active" items are placed in Personnel File, annual notices retained in separate binder
Exit Questionnaires	S + 7	GC 34090; DP	
FMLA Records	AC + 3	FMLA 1993; US OSHA; 29 CFR*	family leave, certifications, tests; *1910.20; 29 CFR 1602.30.32; 49 CFR 193-9

<i>Subject/Item</i>	<b>Retention Period</b>	<b>Citation or Policy</b>	Description/Notes
I-9 Forms - Employment Verification forms	T + 3	8 CFR 274a.2(b)(2) (i)	INS Regulations
Investigation files	T + 7	29 CFR 1602.31, 1627.3(b)(ii) ; GC 12946, 60201; 29 USC 1113; DP	
Layoff Information	T + 7	GC 34090; DP	
Medical file	T + 7	GC 34090; DP	
Personnel file	T + 7	GC 34090, 12946;  29 CFR 516.6(2), 1602.4; DP	Includes: transaction and service records, evaluations, actions, benefits, DMV, training, pre-employment/promotion, misc. documents
<b>EMPLOYEE RELATIONS</b>			
Arbitration & Mediation	CL + 10	GC 34090; DP	
Public Employment Relations Board (PERB)	CL + 10	GC 34090; DP	
<b>Employee Groups</b>			
Labor Union	CL + 10	GC 34090; 29 USC 211(c), 203(m), 207(g); DP	Including: General/Correspondence, Negotiations, Grievance/Appeals Actions, Recognition, Union Time

<i>Subject/Item</i>	<b>Retention Period</b>	<b>Citation or Policy</b>	Description/Notes
			Bank, Release of Addresses to Union
Labor Union	CL + 10	GC 34090; 29 USC 211(c), 203(m), 207(g); DP	Including: General/Correspondence, Negotiations, Grievance/Appeals Actions, Recognition, Union Time Bank, Retiree Medical Trust & Trust Tax Information
Labor Union	CL + 10	GC 34090; 29 USC 211(c), 203(m), 207(g); DP	Including: General/Correspondence, Negotiations, Grievance/Appeals Actions, Recognition, Union Time Bank
Confidential Employees	CL + 10	GC 34090; 29 USC 211(c), 203(m), 207(g); DP	Including: General/Correspondence, Negotiations, Grievance/Appeal Actions, Recognition
Department Heads	CL + 10	GC 34090; DP	Including: General/Correspondence
International Association of Fire Fighters	CL + 10	GC 34090; 29 USC 211(c), 203(m), 207(g); DP	Including: General/Correspondence, Negotiations, Grievance/Appeal Actions, Recognition, Union Time Bank, Sick Leave Conversion Program, Retiree Medical Trust, Sick Leave Benefit Transfer Program
Management/Board of Directors Appointed Employees	CL + 10	GC 34090; 29 USC 211(c), 203(m), 207(g); DP	Including: General/Correspondence, Negotiations, Grievance/Appeals Actions, Recognition, Merit Increases

<i>Subject/Item</i>	<b>Retention Period</b>	<b>Citation or Policy</b>	Description/Notes
Labor Union	CL + 10	GC 34090; 29 USC 211(c), 203(m), 207(g); DP	General/Correspondence, Negotiations, Grievance/Appeals Actions, Recognition, Merit Increases
Labor Union	CL + 10	GC 34090; 29 USC 211(c), 203(m), 207(g); DP	Including: General/Correspondence, Negotiations, Grievance/Appeals Actions, Recognition, Union Time Bank, Release of Addresses to Union
Labor Union	CL + 10	GC 34090; 29 USC 211(c), 203(m), 207(g); DP	Including: General, Negotiations, Grievance/Appeals Actions, Recognition, Union Time Bank, Release of Addresses
<b>SAFETY</b>			
Safety committee	CU + 7	GC 34090; DP	Meeting Minutes & General/ Correspondence, Members & Alternates List
Department safety activities	CU + 7	GC 34090; DP	Municipal Building, FD, General Services Department, Police Department
Material safety data sheets (MSDS)	CU + 7	GC 34090; DP	
Projects and objectives	CU + 7	GC 34090; DP	Hazard Reports and Correspondence, Automated External Defibrillators, Safety Newsletter/ACCESS-Wide Safety

<i>Subject/Item</i>	<b>Retention Period</b>	<b>Citation or Policy</b>	Description/Notes
			Messages, HEAL Campaign, Ergonomic
Safety and wellness programs	CU + 7	GC 34090; DP	Health & Fitness Area, Notice Inviting Bids, Events
<b>TESTING/RECRUITMENT</b>			
Intern/Volunteer applications, hired	T + 7	GC 34090; DP	
Intern/Volunteer applications, not-hired	CL + 2	GC 34090; DP	
Recruitment	CU + 7	GC 12946, 6250 et seq; 29 CFR 1602  et seq, 1607, 49*; DP	*USC 2000(e)-8; 2000c-12
Testing, General Services	CL + 7	GC 34090; DP	Practical testing, written exams
<b>TRAINING</b>			
Training Activities	CL + 7*	GC 34090; DP	
<b>WORKERS COMPENSATION</b>			
Claims administration, claims filed	CL + 10*	CCR 3204(d)(1) et seq., 8 CCR 10102,	10 years after full settlement and release. *30 years after term for exposure to toxic substances or blood borne pathogens



<i>Subject/Item</i>	<b>Retention Period</b>	<b>Citation or Policy</b>	Description/Notes
		15400.2; GC 12946, 34090; DP	
Claims administration, reports & graphs	CL + 7	CCR 3204(d)(1) et seq., 8 CCR 10102, 15400.2; GC 12946, 34090; DP	
Claims administration, savvy health solutions	CL + 7	CCR 3204(d)(1) et seq., 8 CCR 10102, 15400.2; GC 12946, 34090; DP	
General/Correspondence	CL + 7	CCR 3204(d)(1) et seq., 8 CCR 10102, 15400.2; GC 12946, 34090; DP	Notices to employees, defense attorney information
OSHA Reports	CL + 7	8 CCR 14300.33(a); 29 CFR 1904.33, 29 CFR 1904; DP	Log of occupational injuries and illnesses, 300 report

**INFORMATION SYSTEMS**

<i>Subject/Item</i>	<b>Retention Period</b>	<b>Citation or Policy</b>	Description/Notes
Data Tapes backups	See Desc.	GC 34090.7	Tapes of daily backups. Daily/Weekly/Monthly/Quarterly/Annual retention schedule
Emails and Attached Documentation	T + 2	GC 34090	Upon employee separation, emails and attachments retained as of termination date
Fiscal year archives of cellular records	Defer to Finance	GC 34090	Monthly supporting documentation in ACCESS Database, archived at end of each fiscal year

**PURCHASING**

<i>Subject/Item</i>	<b>Retention Period</b>	<b>Citation or Policy</b>	Description/Notes
<b>ADMINISTRATIVE</b>			
Agreement	CL + 10	CCP 337; GC 34090	
CIP Projects List	CL + 2	GC 34090	Approved CIP projects for each fiscal year
CIP Projects Status	CL + 2	GC 34090	Monthly status report of Capital Improvement Program
CIP Project Files, State & Federal Funds	CL + 10	CCP 337; CG 34090; DP	Includes: original contract, specs, bid documents; correspondence between contractor and the Agency, change orders, progress payments, performance bonds,

<i>Subject/Item</i>	<b>Retention Period</b>	<b>Citation or Policy</b>	Description/Notes
			staff reports, notice of completion, proof of publication
CIP Project Files, No State & Federal Funds	CL + 5	CCP 337; GC 34090; DP	Includes: original contract, specs, bid documents; correspondence between contractor and the Agency, change orders, progress payments, performance bonds, staff reports, notice of completion, proof of publication
Complaints / Service Requests	CL + 2	GC 34090(d)	Logged in Service Request System
General Subjects	CL + 2	GC 34090	Internal working files
Grants - Federal/State <ul style="list-style-type: none"> <li>• Approved</li> <li>• Denied</li> </ul>	CL + 3 CL + 3	OMB Circular A-110	Supporting documents - applications, reports, contracts <b>Federal:</b> FEMA, DOT, TEA 21, CDBG, FAU; <b>State:</b> Prop A, Prop C, Gas Tax
Ordinances <i>copies</i>	CU + 2	GC 34090	Originals w/Administration Office - PWD executed copies for reference
Public Records Act Request <i>copies</i>	CU + 2	GC 34090	
<b>ENGINEERING</b>			
<b>Agreements/Contracts</b> <ol style="list-style-type: none"> <li>1. Executed</li> <li>2. Unsuccessful bidders</li> </ol>	T + 5 CU + 2	GC 34090; DP	
<b>OPERATIONS AND MAINTENANCE DIVISION</b>			

<i>Subject/Item</i>	<b>Retention Period</b>	<b>Citation or Policy</b>	Description/Notes
Agreements/Contracts, executed	T + 5	CCP 337.2343	
<b><i>Agreements/Contracts, unsuccessful bidder</i></b>	CU + 2	GC 34090; CB 53066	
Diesel Emissions Annual Testing	CU + 3	GC 34090; CARB; DP	
Diesel Vehicles Sold Out of State	CU + 3	GC 34090; CARB; DP	
Equipment Specifications	CU + 2	GC 34090	Specifications for bidding on equipment & vehicles
<i>Liability Claims</i> copies	CU + 2	GC 34090	Original retained by Risk Management
MOU - Relevant to Operations and Maintenance	S + 2	GC 34090	
Project Cost Sheets <i>Copies</i>	CU + 2	GC 34090	Cost of repairs for damaged Agency property. Original retained by Risk Management
Safety Training	CU + 7	GC 6250	Employee safety training materials, sign in sheets, etc.
Vehicle Smog Check	CU + 3	H&S 44019	
Work Management Requests	CU + 2	GC 34090	Service requests from Agency employees
Work Orders	CU + 2	GC 34090	Daily Maintenance work orders - details complete work day for each employee

**RISK MANAGEMENT**

<i>Subject/Item</i>	<b>Retention Period</b>	<b>Citation or Policy</b>	Description/Notes
<b>ADMINISTRATION</b>			
Airport Risk Control Survey	CU + 7	GC 34090; DP	
Department Reports	CU + 2	GC 34090	Non-Agenda related, includes supporting documentation
General Subject Files	CU + 2	GC 34090(d)	
General/Airport Liability Insurance	CU + 7	GC 34090; DP	
General Liability Claims	CL + 5	GC 25105.5	Personal injury, property damage, paid and denied.
General Liability Lawsuits	CL + 5	GC 34090, 25105.5	Personal injury, property damage
General Liability Lawsuits - Small Claims	CL + 7	GC 34090; DP	Small Claims general
Loss Runs	CU + 2	GC 34090	General Liability and Workers' Compensation loss history. Monthly reports.
Self-Insurance annual reports	CU + 7	GC 34090; DP	State mandated annual reports relating to workers' compensation claims and experience.
Waivers	CU + 7	GC 34090; DP	

<i>Subject/Item</i>	<b>Retention Period</b>	<b>Citation or Policy</b>	Description/Notes
Workers' Compensation Audit Reports	CL + 7	8 CCR 15400.2; DP	Audit Reports
Workers' Compensation Claim files	CL + 7*	8 CCR 15400.2; DP	Work-related injuries. Claim file including medical reports, payments and WCAB Awards. *30 years if exposed to toxic substance or blood borne pathogen.
Workers' Compensation Claim Log	CL + 5	8 CCR 15400.2	Injury claim log including employee name, date of injury, etc.
Workers' Compensation Employee Calendars	CL + 5	8 CCR 15400.2	Individual employee calendars for tracking time off work and modified duty assignments due to a work-related injury.
Workers' Compensation accident appeals	CL + 5	29 CFR 1904.2, 1904.6	Injury investigations to determine preventability.
<b>INSURANCE</b>			
Bonds, Fidelity	P	GC 34090; DP	Employee Bonds - Treasurer, Key Employee, & Full-time Employees
Bonds, Insurance	P	CCP 337.2, 343; DP	Bond and insurance policies insuring property and other assets
California Joint Powers Risk Management Authority Documents	CL + 7	CG 34090; DP	Includes General Liability Insurance, SUI reports, CJPRMA financial audit

<i>Subject/Item</i>	<b>Retention Period</b>	<b>Citation or Policy</b>	Description/Notes
Contracts	AC + 2	GC 34090	Life, LTD, Liability, Excess Workers' Compensation, Property, Data Processing
General Liability and Workers Compensation program actuarial	AC + 7	GC 34090; DP	
Joint Powers Agreements	AC+ 7	GC 34090; DP	JPA Agreements
Liability Insurance	AC + 2	GC 34090	Includes polices, applications, etc.
Medicare Set-Aside Report	AC + 7	GC 34090; DP	
Property Insurance	AC + 2	GC 34090	Includes polices, applications, property schedules, etc.
Restitution requests and information	AC + 7	GC 34090; DP	
Special Events Insurance	AC + 7	GC 34090; DP	Special events
Volunteers Insurance	AC + 7	GC 34090; DP	
<b>SAFETY AND LOSS PREVENTION</b>			
Accident Reports	CL + 7	29 CFR 1904.2, 1904.6	Accident reports.
Departmental Reports	CL + 5	OMB 1220-0029; 29 CFR 1904.4; GC 340900	Federal OSHA, CAL OSHA, Loss Analysis Reports, Safety reports, Actuarial reports

<i>Subject/Item</i>	<b>Retention Period</b>	<b>Citation or Policy</b>	Description/Notes
Incident Reports	AC + 7	GC 34090, 25105.5; DP	Crime reports, incident reports and related records relating to potential claims/lawsuits (copies only-originals with originating departments)
Material Safety & Data Sheets	AC + 2	GC 34090	2 years after sheets MSDS sheets are updated or 2 years after materials are no longer stored
Safety Training Records	CU + 2	GC 6250 et seq.	Class training materials, sign-in sheets, handouts, etc.
Uninsured Loss claim files	CL + 7	GC 34090; DP	Agency property damage and recovery
Vehicle Accident Review	CL + 5	PC 832.5	Investigation of employee-involved vehicle accidents and actions



### III. References

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**FORMS**

**FORM 1 - REQUEST FOR DESTRUCTION OF RECORDS**

Date: XX/XX/XX

To: Department Head  
Executive Director  
General Counsel

From: \_\_\_\_\_

Subject: Request for Destruction of Records

Pursuant to California Government Code Section 34090, Access Board of Directors Resolution \_\_\_\_\_, and Access Records Retention Policy and Schedule, certain records have been identified as eligible for destruction. A listing of those records is attached.

Provide General information about the request: *(Example: 10 boxes of records exceeding the retention requirements and, as such, are being prepared for destruction. The method of destruction will be via shredding and recycling.)*

Please sign below indicating your approval for the destruction of the attached listing of records:

\_\_\_\_\_  
Department Head

\_\_\_\_\_  
Executive Director

\_\_\_\_\_  
General Counsel

**FORM 2 - CERTIFICATE OF DESTRUCTION**

The Department of \_\_\_\_\_ has complied with all the requirements of the Records Retention Policy and Schedule for destroying obsolete information. The attached list of records was destroyed on \_\_\_\_\_ in accordance with all laws, rules and regulations.

I certify that these records, properly approved by the Department Head, Executive Director and General Counsel, have been destroyed.

Signed: \_\_\_\_\_

Department Designee: \_\_\_\_\_

Date: \_\_\_\_\_

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## GOVERNMENT CODE EXCERPTS

### **§ 34090. Destruction of Agency records; excepted records; construction**

Unless otherwise provided by law, with the approval of the legislative body by resolution and the written consent of General Counsel, the head of a department may destroy any Agency record, document, instrument, book, or paper, under his/her charge, without making a copy thereof, after the same is no longer required.

This section does not authorize the destruction of:

- (a) Records affecting the title to real property or liens thereon.
- (b) Court records.
- (c) Records required to be kept by statute.
- (d) Records less than two years old.
- (e) The minutes, ordinances, or resolutions of the legislative body or of an agency board or commission.

This section shall not be construed as limiting or qualifying in any manner the authority provided in Section 34090.5 for the destruction of records, documents, instruments, books and papers in accordance with the procedure therein prescribed.

### **§ 34090.5. Destruction of Agency records; conditions**

Notwithstanding the provisions of Section 34090, an officer having custody of public records, documents, instruments, books, and papers, may, without the approval of the legislative body or the written consent of General Counsel, cause to be destroyed any or all of the records, documents, instruments, books, and papers, if all of the following conditions are complied with:

- (a) The record, paper, or document is photographed, microphotographed, reproduced by electronically recorded video images on magnetic surfaces, recorded in the electronic data processing system, recorded on optical disk, reproduced on film or any other medium that is a trusted system and that does not permit additions, deletions, or changes to the original document, or reproduced on film, optical disk, or any other medium in compliance with Section 12168.7 for recording of permanent records or nonpermanent records.
- (b) The device used to reproduce the record, paper, or document on film, optical disk, or any other medium is one which reproduces the original thereof in all details and that does not permit additions, deletions, or changes to the original document images.
- (c) The photographs, microphotographs, or other reproductions on film, optical disk, or any other medium are made as accessible for public reference as the original records were.
- (d) A true copy of archival quality of the film, optical disk, or any other medium

reproductions shall be kept in a safe and separate place for security purposes.

however, no page of any record, paper, or document shall be destroyed if any page cannot be reproduced on film with full legibility. Every page not reproducible shall be permanently preserved in a manner that will afford easy reference.

For purposes of this section, every reproduction shall be deemed to be an original record and a transcript, exemplification, or certified copy of any reproduction shall be deemed to be a transcript, exemplification, or certified copy, as the case may be, of the original.

#### **§ 34090.6. Destruction of recorded routine video monitoring, telephone, and radio communications**

(a) Notwithstanding the provisions of Section 34090, the head of a department of the Agency, after one year, may destroy recordings of routine video monitoring, and after 100 days may destroy recordings of telephone and radio communications maintained by the department. This destruction shall be approved by the legislative body and the written consent of the agency attorney shall be obtained. In the event that the recordings are evidence in any claim filed or any pending litigation, they shall be preserved until pending litigation is resolved.

(b) For purposes of this section, "recordings of telephone and radio communications" means the routine daily taping and recording of telephone communications to and from the Agency, or department, and all radio communications relating to the operations of the departments.

(c) For purposes of this section, "routine video monitoring" means videotaping by a video or electronic imaging system designed to record the regular and ongoing operations of the departments described in subdivision (a), including mobile in-car video systems, jail observation and monitoring systems, and building security taping systems.

(d) For purposes of this section, "department" includes a public safety communications center operated by the Agency.

#### **§ 34090.7. Duplicate records less than two years old; destruction; video recording media**

Notwithstanding the provisions of Section 34090, the legislative body of the Agency may prescribe a procedure whereby duplicates of Agency records less than two years old may be destroyed if they are no longer required.

For purposes of this section, video recording media, such as videotapes and films, and including recordings of "routine video monitoring" pursuant to Section 34090.6, shall be considered duplicate records if the Agency keeps another record, such as written minutes or an audiotape recording of the event that is recorded in the video medium. However, a video recording medium shall not be destroyed or erased pursuant to this section for a period of at least 90 days after occurrence of the event recorded thereon.

## **§ 6252. Definitions**

(a) "Public records" includes any writing containing information relating to the conduct of the public's business prepared, owned, used, or retained by any state or local agency regardless of physical form or characteristics.

(b) "Writing" means any handwriting, typewriting, printing, photostating, photographing, photocopying, transmitting by electronic mail or facsimile, and every other means of recording upon any tangible thing any form of communication or representation, including letters, words, pictures, sounds, or symbols, or combinations thereof, and any record thereby created, regardless of the manner in which the record has been stored.

## **§ 12168.7. Standards for recording permanent and nonpermanent documents in electronic media; trusted system**

(a) The California Legislature hereby recognizes the need to adopt uniform statewide standards for the purpose of storing and recording permanent and nonpermanent documents in electronic media.

(b) In order to ensure that uniform statewide standards remain current and relevant, the Secretary of State, in consultation with the Department of General Services, shall approve and adopt appropriate standards established by the American National Standards Institute or the Association for Information and Image Management.

(c) The standards specified in subdivision (b) shall include a requirement that a trusted system be utilized. For this purpose and for purposes of Sections 25105, 26205, 26205.1, 26205.5, 27322.2, 34090.5, and 60203, Section 10235 of the Health and Safety Code, and Section 10851 of the Welfare and Institutions Code, "trusted system" means a combination of techniques, policies, and procedures for which there is no plausible scenario in which a document retrieved from or reproduced by the system could differ substantially from the document that is originally stored.

(d) In order to develop statewide standards as expeditiously as possible, and until the time that statewide standards are adopted pursuant to subdivision (b), state officials shall ensure that microfilming, electronic data imaging, and photographic reproduction are done in compliance with the minimum standards or guidelines, or both, as recommended by the American National Standards Institute or the Association for Information and Image Management for recording of permanent records or nonpermanent records. (Amended by Stats.2000, c. 569 (S.B.2067), § 1.)

### **CALIFORNIA ATTORNEY GENERAL**

The Attorney General's definition of a record is "[a]ny writing or recording of an event or information which was made or retained for the purpose of preserving its information content for future reference." (64 Cal.Ops.Atty.Gen. 317, 326 (1981)).

## GLOSSARY OF TERMS

To more accurately calculate retention periods for the documents listed in this Records Retention Policy and Schedule, the following definitions were utilized.

### **Active Records**

Current records needed to carry out a department's day-to-day business; records subject to frequent use.

### **Administrative Records**

Records created to help accomplish the functions for which the agency is responsible and have administrative value only as long as they assist the agency in performing current or future work.

### **Audit**

The annual auditing process conducted by the Agency's auditors following the close of the fiscal year, usually arranged through the Finance Department.

### **Discovery**

The pretrial disclosure of pertinent facts or documents by one or both parties to a civil action or proceeding. Anything requested during discovery must be disclosed if it exists—even non-records and records that should have been destroyed earlier. Discovery effectively freezes selected holdings until released by opposing attorney or the court.

### **Electronic Record**

A record created, generated, sent, communicated, received, or stored by electronic means.

### **Fiscal Records**

Fiscal records pertain to the financial transactions of the agency, such as the budget document, ledgers, allotments, payrolls and vouchers. After some records have served a basic administrative function, they may still have sufficient fiscal value to justify additional retention to protect the agency against court action and/or audits.

### **Historical Records**

Records with enduring value because they reflect significant historical events, document the history and development of an agency, or contain accumulated data that can be useful for research purposes.

### **Inactive Record**

Records used less than once a month yet which must still be retained to meet legal, fiscal, or historical requirements. These records may be transferred from the office

work area to off-site storage until disposal is appropriate.

### **Legal Value**

Records with legal value contain evidence of legally enforceable rights or obligations of the agency. Examples are records that provide the basis for action.

### **Non-Record**

Materials not usually included within the definition of records, such as unofficial copies of documents kept only for convenience, working papers, appointment logs, stocks of publications and processed documents, transmittal letters, and acknowledgements. Also, documents such as rough notes, calculations or drafts assembled or created and used in the preparation or analysis of other documents.

### **Original Records**

The original or originally signed record. The original record may be a copy that acts as the original for the Agency if there is no other original on file.

### **Permanent Records**

Records required in perpetuity, usually identified by statute (such as Gov. Code §34090) or other written guidance.

### **Perpetual Records**

Records retained for an indefinite period of time and then stored or destroyed after some event takes place.

### **Records Retention Schedule**

A list of all records produced or maintained by an agency and the actions taken with regards to those records. A retention schedule is an agency's legal authority to receive, create, retain, and dispose of official public records.

### **Retention Period**

The length of time a record must be retained to fulfill its administrative, fiscal and/or legal function. The period of time usually begins at the close of a file or project, or from the date of the last entry in the file. There are other files that are created on a calendar or fiscal year basis, and in those cases the retention period begins at the end of that particular calendar or fiscal year. After the holding time (retention period) specified in the retention schedule has passed, the record should then be disposed of as soon as practicable, following the proper destruction procedures.



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