# **RANCHO MURIETA COMMUNITY SERVICES DISTRICT**

Category:	Financial	Policy # 2011-11
Title:	Document Retention Policy	

#### PURPOSE

The purpose of this Document Retention Policy ("policy") is to provide guidelines to staff regarding the retention or destruction of records of the Rancho Murieta Community Services District ("District"); provide for the identification, maintenance, safeguarding and destruction of records in the normal course of business; ensure prompt and accurate retrieval of records; and ensure compliance with legal and regulatory requirements.

#### BASIC POLICY AND GUIDELINES

Pursuant to the provisions of California Government Code sections 60200 through 60203 and California Water Code section 21403, the following qualifications will govern the retention and disposal of records of the District.

1. Definitions

As used in this policy, shall mean:

- a. <u>Active Records</u>: As a measure of activity for records that are referred to at least once a month. Also, as a retention period for a Perpetual Record that remains "active" until some event occurs to change its status, at which time it has fulfilled the Perpetual Record.
- b. <u>Administrative Records</u>: Records commonly found in all offices and typically retained only for short time periods less than five (5) years. Examples include subject, chronological, budget, and policy files.
- c. <u>Archival Records</u>: Records with enduring value because they reflect significant historical events, document the history and development of the District or provide valuable research data.
- d. <u>Discovery</u>: 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 release by opposing attorney or the court.
- e. <u>Non-Records</u>: Material not usually included within the definition of records such as unofficial copies of documents kept only for convenience or

reference, working papers, appointment logs, stacks of publications and processed documents, and library or museum material intended solely for reference or exhibition. Also, documents such as rough notes, calculations or drafts assembled or created and used in the preparation or analysis of other documents. (See also Discovery.)

- f. <u>Permanent Records</u>: Records that are required in perpetuity, usually identified by statue or other written guidance. Examples include: original certificates, formation documents, grants, etc. (See also Discovery.)
- g. <u>Perpetual Records</u>: Records retained for an indefinite period of time and then stored or destroyed after some event take place. Examples include office personnel files, which are kept until a person leaves the office policy files kept until the policy is changed, contract files kept until the contract terminates.
- h. <u>Public Records</u>: Any writing related to the conduct of the public's business, which was prepared, owned, used, or retained by the District regardless of physical form or characteristics.
- i. <u>Retention Records</u>: The length of time a record must be retained to fulfill its administrative, fiscal and/or legal function. Then a record should be disposed of as soon as possible in accordance with this records retention schedule.
- j. <u>Writing</u>: Any handwriting, typewriting, printing Photostatting, photocopying and every other means of records upon any form of communication or representation, including letters, words, pictures, sounds or symbols, or combinations thereof, and all papers, maps, magnetic or punched cards, discs, drums or other documents.
- 2. Policy
  - a. <u>Request for Document Destruction</u>. The Department Manager completes and signs a Request for Destruction of Obsolete Records form ("form") listing the date and description of each document to be destroyed. A sample form is in <u>Appendix A</u> of this chapter. The Department Manager submits the form to the District Secretary.
  - b. <u>Document Check</u>. The District Secretary checks the documents listed on the submitted form to confirm that each document is: (1) not required to be permanently retained; or (2) has been retained for the legally required period of time. The District Secretary also confirms that any applicable reproduction requirements are complete (i.e., microfilming, etc.) for each document.
  - c. <u>Form Submission</u>. The District Secretary submits the form to the General Manager who reviews and signs the form, and then returns the signed form to the District Secretary.

- d. <u>Supervision of Document Destruction</u>. After receiving the signed form from the General Manager, the District Secretary oversees the destruction of the documents; indicates the method of destruction on the form; signs the form; and returns the original signed form to the General Manager.
- e. <u>Retention of Requests</u>. The General Manager will retain all original signed forms requesting destruction of records for a minimum period of two (2) years.
- 3. <u>Retention</u>

9.

- a. <u>Criteria.</u> This section provides criteria and procedure for the retention or destruction of records in accordance with the California Public Records Act (Government Code §§ 6250 et seq), and the destruction of records for special districts as provided for in Government Code sections 60200-60204.
- b. <u>Original Records Retained.</u> The following original records shall be maintained permanently in the District's files:
  - 1. Records that relate to formation, change of organization or reorganization of the District.
  - 2. Records of all action taken by the Board of Directors, including any resolutions or ordinances and including any financial transactions.
  - 3. Documents received from the Tax Assessor detailing District taxes collected.
  - 4. Ballot arguments pro or contra on bond issues.
  - 5. Results of bond propositions received from the canvassing bodies.
  - 6. Results of elections for the office of member of the Board of Directors received from the canvassing body.
  - 7. Records of securities from banks.
  - 8. Receipts for securities from banks.

Records relating to the title in real property in which the District has an interest, including deeds, easements, dedications, encroachment permits, right-of-ways.

- 10. PERS, Social Security, and SSI records.
- 11. Maps, surveys and materials showing District boundaries or parcels in District.
- 12. Proposition 218 materials related to property related fees or

assessments.

- 13. Bond and insurance policies insuring District property and other assets.
- 14 Any document that has not fulfilled its administrative, fiscal or legal purpose for which it was created or received.
- c. <u>Document Image Storage.</u> The following original records or a copy of such original records as defined by California Government Code section 60203 shall be maintained permanently in the District's files:
  - 1. Agendas and Minutes of meetings of the Board of Directors and Committees.
  - 2. Financial records summarizing the financial status of the District other than reports prepared pursuant to Article 9 (commencing with Section 53891) of Part 1 of Division 2 of the California Government Code.
  - 3. Oaths of office and related materials depicting the authenticity of the appointment of any director or officer of the District.
  - 4. Records that are determined by the Board of Directors to be of significant and lasting historical, administrative, legal, fiscal or research value.
  - 5. Annual operating budgets approved by the Board of Directors.
  - 6. Benefit Plan Claims, including dental, disability, education, health, life and vision including dependent care and Employee Assistance.
- d. <u>Destruction Allowed after Passage of Time</u>. The following records maybe destroyed after the passage of time, without a copy thereof, pursuant to the procedure established in Section 2 of this policy and pursuant to the timing requirements contained in **Appendix B**.
- e. <u>Destruction Allowed at Any Time</u>: The following records may be destroyed without a copy thereof being maintained. The following records, papers or documents that are not expressly required by law to be filed and preserved may be destroyed at any time:
  - 1. All duplicates when the original or, if permitted, a permanent photostastic record of which is on file.
  - 2. Rough drafts, notes and working papers accumulated in the

preparation of a communication, study or other document, unless of a formal nature contributing significantly to the preparation of the document representing the work of any department of the District, including, but not limited to, meter books after the contents thereof have been transferred to other records.

- 3. Cards, listings, non-permanent indices and other papers used for controlling work and transitory files, including, letters of transmittal.
- 4. Canceled coupon sheets from registered bonds.
- 5. Shorthand notebooks, telephone messages, and interdepartmental notes.
- f. <u>Compliance with Statute.</u> The provisions of this section are intended to implement the provisions of Chapter 7 (commencing with Section 60200) of Division 1, Title 6 of the California Government Code. Nothing herein contained shall be deemed to abridge or amend said provisions, and, in the event of any conflict, said provisions of the California Government Code shall govern.

Approved by Rancho Murieta Community Services District's	
Board of Directors	October 19, 2011
Board of Directors	October 19, 2011
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### Appendix A

### (Sample Form)

#### RANCHO MURIETA COMMUNITY SERVICES DISTRICT

To: General Manager

From: Department Manager

Subject: Request for Destruction of Obsolete Records

I am requesting approval to destroy the obsolete records listed below

DATE OF RECORD	DESCRIPTION OF RECORD
	ST.
APPROVED:	<u></u>
District Secre	tary Date
General Mana	ager Date

The obsolete records described above were destroyed under my supervision using the following method: (specify method)

15-08

I certify that such destruction meets the requirements of the Records Retention and Destruction Policy of Rancho Murieta Community Services District and all applicable requirements of State and federal law.

	60
District Secretary	Date of Records Destruction
	1 RJO
	BY
CEDE	
SUPER	

## Appendix B

		LEGEND	
		Records Retention	
AC= Active $AU= Audit$ $CU= Current Year$ $E= Election$ $P= Permanent$ $T= Termination$		AD = A $CL = C$ $DOB = D$ $L = Li$	losed/Completion ate of Birth
ADMINISTRATION			20:
Records Series	Retention	Desc	cription
AUDIT:			$\checkmark$
Annual Financial Report	CL + 2	Independent auditor analys	sis
Bonds	CL + 10	Final bond documentation	
Budget Operating (copies)	S	Departmental Reference	
Hearing or Review	AU + 2	Documentation created and with an audit hearing or rev	
Reports AU + 4		Internal and/or external	
Reviews, Internal / External Periodic	CU	Daily, weekly, monthly, qua review, evaluation, log, list,	arterly or other summary, , statistics, exception a report
Fair Political Practices	<		
Statement of Economic Interest- Elected Officials	T+7	FPPC Filings	
Statement of Economic Interest- Not Elected	E + 5	FPPC Filings	
Petitions	E+ 5	From date of filing or election recall	on; Initiative, referendum,
GENERAL SUBJECT:			
Biographies	CU + 2		
Correspondence / Originating Department	CU + 2	If not attached to agreemer	nt or project file
Goals & Objective	CU + 2	Departmental goals & obje	ctives
Policies & Procedures, Departmental	S + 5	Retain while current	

Records Series	Retention	Description
GENERAL SUBJECT	(con't.):	
Reports -		
Departmental	CU + 2	Special/or final summary, review or evaluation
OSHA	CU + 5	OSHA Log 200, supplementary record, annual summary (federal and state – California – OSHA)
OSHA (Accident/Illness Reports)	Duration of employ	Personnel – employee exposure records and employee medical records
Staff	+ 30 CU + 2	Not a public record Non-agenda related, includes supporting documentation
Special Projects		Non-agenda related, includes supporting uccumentation
Support Services	CU + 5 CU + 2	Reproduction; printing; postal/mailing services, other
Support Services	60 + 2	internal resources
Travel Records	CU + 2	
GRANTS:		
Community Development Block Grant and Urban Development	T + 4	Applications, reports, contracts, supporting documents
Federal and State	CL + 5	Refer to grant application close-out procedure
Financial Records	CL + 5	Refer to grant application close-out procedure
Unsuccessful	CL + 2	Applications not entitled
HUMAN RESOURCES	<b>S</b> :	2
Documents specifying	CL + 7	
amounts paid to employees, officers and independent contractors, including reimbursements.		
Benefit Plan Enrollment, Denied	CL + 4	
Benefit Claims	Р	
Bond, Personnel Fidelity	T + 2	Employee Fidelity Bonds
Employee Handbook	S+ 2	General employee information including benefit plans
Employee Programs	CL + 2	Includes EAP and Recognition
Employee Rights		May include Arbitration, grievances, union requests,
Gen Employees	T + 2	sexual harassment and Civil Rights, complaints,
Safety	T + 5	disciplinary actions
Hourly Employees	T + 6	
Immigration	T + 7	I-9's
Medical Leave	CL + 3	May include Family leave; certifications; tests; W-4's;

Records Series	Retention	Description
HUMAN RESOURCES	6 (con't.):	
Motor Vehicle Pulls (DMV)	CL + 7	
Non-Safety Employees	T + 3	Non-safety employees may include: Release Authorizations; Certifications; Reassignments; outside employment; commendations, disciplinary actions; terminations; Oaths of Office; evaluations, pre- employee medicals; fingerprints; identification cards (IDs)
Personnel Records (copies)	CU + 2	Attendance; evaluations; drafts; worksheets; postings
Recruitment	CL + 3	Applications, resumes, alternate lists/logs, indices; ethnicity disclosures; examination materials; examination answer sheets, job bulletins; eligibility; electronic database
Reports	CU + 2	Employee statistics, benefit activity; liability loss
Safety Employees	T + 5	Police, fire emergency employees may include: Release Authorization; Certifications Reassignments; outside employment; commendations, disciplinary actions; terminations; Oaths of Office; evaluations, pre employee medicals
Surveys & Studies	CU + 2	Includes classifications, wage rates
Training Records Non-Safety	CU + 7	Employee applications, volunteer program training, class training materials, internship;
Personnel (by name)	T + 7	Paperwork documenting officers internal and external training
Safety	CU + 2	Certifications/designations
Vehicle Mileage Reimbursement Rates	S + 2	Annual mileage reimbursement rates
Internet, World Wide Web	S+2	Management/Policies and supporting documentation
Inventory, Information Systems	S + 2	Hardware/Software Inventory logs; systems manuals
Network Information Systems (LAN/WAN)	CU + 4	Configuration maps and plans
Program Files and	CU + 2	Annual back up
Directories	CU + 2	Daily back up
	mos	Monthly back up
$\sim$	CU + 1 CU + 5	Weekly back up
Tapes Information Systems	CU + 2	System Generation

Records Series Retention Description			
	Records Series	Retention	Description

LEGAL/LEGISLATIVE		
Agenda Reports	 L	Documentation received, created and/or submitted to
(Master, Subject Files)		Board
Appeals, Civil	CU + 3	Documentation received, created and/or submitted to
		Board
Applications, Boards,	CL + 2	
Commissions,		0-
Committees		$\sim 0$
Case Log	CL + 7	From Close of cases listed; Chronological listing of cases
Case or Litigation	Р	Includes logs, complaints, police reports, court orders,
Records		motions, notes, briefs, closing statement (unless minor
		– 3 years after attaining 18)
Contracts and	T + 5	Includes leases, equipment, services or supplies
Agreements		
Exc. Capital		
Improvement		la studen autor d'anna tradications
Legal Advertising	CU + 4	Includes public notices, legal publications
Opinions	Р	Confidential
Petitions	CU + 1	Submitted to legislative bodies
Tapes, Audio/Video	10 yrs	When used for minute preparation and may have historical value
PUBLIC INFORMATIC	DN:	
Brochures,	S + 2	
publications,		
newsletter, bulletins		
Calendar, District	CU + 2	
Media Relations	CU + 2	Includes cable, newspaper, radio message boards,
		presentations
RISK MANAGEMENT		
Accident Reports –	CL + 7	Reports and related records
District Assets		
Claims, Damage	CL + 5	Paid/Denied
Incident Reports	CL + 7	Theft, arson, vandalism, property damage or similar
		occurrence (excluding fire/law enforcement)
Photographs, Negatives, Film	CL +2	
Risk Management	CL + 5	Federal OSHA Forms; Loss Analysis Report; Safety
Reports		Reports; Actuarial Studies
5		

# SECRETARY TO THE BOARD (District Secretary):

Inventory, Records	CU + 2	Inventory of non-current or inactive records holdings
inventory, records	C0 + 2	and location, indices. Tapes may be recycled.
Public Records	CL + 2	
Request		
Records Management	CL + 2	Document includes retrieval, transfers – inactive
Records Retention	S + 4	
Schedules	••••	
General Administrative	S + 2	All District policies and procedures
Policy, Council /	S + 2	Policies, directives rendered by Board not assigned a
Proclamations		resolution or ordinance number
		DEVELOPMENT
DISTRICT FACILITIES	<b>S</b> :	
Facility Rentals/Use	CU + 2	Permits, contracts, diagrams, schedules, insurance
		binders
Maintenance and	CU + 2	Service requests, invoices, supporting documentation;
Operations		buildings, equipment, field engineering, public facilities
		including work order san graffiti removal
ENVIRONMENTAL Q		
Environmental Review	CL + 2	Correspondence, consultants, issues, conservation
Pest Control	CU + 2	Pesticide applications, inspections and sampling
0.1		documents
Soil	CL + 2	Analysis, construction recommendations
PROPERTY:		
Acquisition /	CL + 10	Supporting documents re: sale, purchase, exchange,
Disposition		lease or rental of property by District
Appraisals	CL + 2	Exempt until final acquisition or contract agreement
Pending Construction	CL	Documents that relate to construction that has not been
Line accente di bidi ar		accepted.
Unaccepted bid or proposal	CU + 2	
proposal		FINANCE
C	$\checkmark$	FINANCE
	)	
Accounts Payable	AU + 7	Invoices, check copies, supporting documents
Accounts Receivable	AU + 7	
Applications	CL + 2	Utility connections, disconnects, registers, service
Bank Reconciliation	AU + 7	Statements, summaries for receipts, disbursements and
		reconciliation
Billing Records	AU + 2	Customer name, service address, meter reading,
5	L –	usage, payments, applications/cancellations
Dudaat	electronic	
Budget	Life	
Escrow Files	AU +2 L- Electronic	
	L- Electronic	

Records Series	Retention	Description	
ACCOUNTING (conti	nued):		
Budget Adjustments	AU + 7	Account transfers	
Journal Entries			
Checks	AU + 7	Includes payroll, canceled & voided checks	
Deposits, Receipts	AU + 7	Checks, coins, currency	
Invoices	AU + 7	Copies sent for fees owed, billing, related documents.	
Other documents	CL		
relating to non-			
discharged debt or contract.			
Journals -			
Utility Billing	CU + 2	Billing including monthly activity	
Stinty Dimig		Dining including monthly activity	
	electronic		
Voucher	AU + 7	Account postings with supporting documents	
Taxes, Receivable	AU + 7		
Warrant Register	AU + 7		
ADMINISTRATIVE SE			
Budget Operating	L	Departmental Reference	
(copies)	_		
Budget, Proposed	L	Presented to Council	
FIXED ASSETS:			
Inventory	L	Reflects purchase date, cost, account number	
Business	T+4	Paid & reports	
		1	
PAYROLL:			
Adjustments	AU + 7	Audit purposes	
Employee Time Sheets	AU + 7	Signed by employee for audit & FEMA Reports	
Salary Records	T + 3	Deduction authorization, beneficiary designations,	
		unemployment claims, garnishments	
PURCHASING:	-		
Bids, RFQ's, RFP's	AU + 7	Request for Qualifications; Request for Proposals	
Successful	AU + 7	regarding goods and services	
Unsuccessful	CU +2		
REPORTS:	REPORTS:		
Deferred	T + 5	Records of employee contributions and city payments	
Compensation			
Federal & State Tax	AU + 7	Forms 1096, 1099, W-4's and W-2's	
Financial, Annual	AU + 7		
Records Series	Retention	Description	

REPORTS (continued	):	
Meter Reading	CU + 7	
Utility Rebates	CU + 2	
<b>y</b>	0012	
REQUISITIONS:		
Purchase Orders	AU + 7	Original documents
SURPLUS PROPERTY		~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~
Auction	AU + 7	Listing of property
Disposal	AU + 7	Sealed bid sales of equipment
Vehicle Ownership & Title	L	Title transfer when vehicle sold
TREASURER:		
Bank Statements	AU + 7	Financing authority
Bonds		
Account Statements	CL + 10	Monthly statement of transactions
Administration	CL + 10	Supporting documents
Bonds & Coupons	CL + 2	Paid/canceled
EMERGENCY MANAG	SEMENT:	PUBLIC SAFETY
Mutual Aid, Strategic Plans	S + 2	
Hazardous Waste Disposal	CU + 10	Documentation re handling and disposal of hazardous waster
Permits, Hazardous Material Storage	CU + 2	Departments consistently recommend permanent retention of environmentally sensitive materials
Programs, Household Hazardous Waste	S + 2	
Training Materials	<b>S</b> +2	Standards and Administration
Underground Storage Tank Compliance Maintenance and Operation	CU + 2	Location, installation, removal, remediation
INVESTIGATIONS:		
Administrative/Internal	CL + 5	Initiated by citizens complaints or internally initiated;
		includes complaint, reports, findings
Notifications	CU + 2	To legal property owner prior to case filing that property is subject to asset forfeiture proceedings. If case is
		filed, notification becomes part of forfeiture case file
Evidence, Disposition Forms		Attach to duplicate Property Report, file w/DR in Records Division
Records Series	Retention	Description

INVESTIGATIONS (co	ntinued):		
Fingerprint	T + 2	Paperwork authorizing fingerprinting and background	
Applicants Files		checks for city employment applicants and business	
		license applicants	
Informant Files	T + 10	Legal notifications, identification information, payment	
		information, activities information	
Subpoenas (Duplicate)	CU + 2		
Tapes/Audio,	CU + 13	Exception: Recordings used as evidence in a criminal	
Telephone and Radio	months	prosecution or claim filed or litigation or potential claims	
Communications		and litigation shall be preserved for 100 days after	
		conclusion of the court action	
Surveillance/ Security	CU + 13	N-J	
Video	mos.		
Use of Force	CU + 2	Includes review forms, arrest report copies, logs	
Supervisory Review			
Files			
SECURITY ADMINISTRATION:			
Accounting/Cash	CU + 2		
Reconciliation			
Alarm Records	CU + 2		
Department Manual	S	Changes to manual are recorded in the General Orders	
		(permanent)	
Equipment	T + 2	Retained until termination of equipment use; Manuals,	
Communication		instructions, procedures	
Inventory	S + 2	Listing of equipment assigned to division, to whom it is	
		assigned	
PERSONNEL:			
Collective Bargaining	CU + 3		
Agreements	00+3		
Training	T+2	Certifications/designations	
Unemployment	CU + 4		
Insurance Records	0011		
REPORTS:	)		
Cards	CU + 2	Dispatch cards and follow up slips	
Dispatch			
Cite and Release	CL + 2		
Field Interview	CL + 2		
Incident	CL + 5	Incident Reports	
Barcode Forms	CU + 5		
S			
Permanent Guest	CU + 5		
Registration Forms			
Reports	CU + 2	Weekly/monthly/quarterly/annual activity/statistical	
Activity		reports by division. Retain only one form for retention	
-		period, daily shift reports, officer's daily log	
PUBLIC WORKS			
Records Series	Retention	Description	

PUBLIC UTILITIES:		
Backflow Test Reports	CU + 3	Reports of testing and maintenance – water supply
Utility Services –	CL + 2	Applications for utility connections, disconnects,
Applications		registers, service
Utility Services – Billing	AU + 2	Customer name, service address, meter reading,
Records		usage, payments, applications/cancellations
Utility Services –	AU + 2	Billing including monthly activity
Journals, Utility Billing	L –electronic	077
Utility Services – Meter	L	
Reading; Reports		
Utility Services – Utility	CU + 2	K'J
Rebates, Reports		
SANITATION/SOLID WASTE/WASTEWATER:		
Collections	CU + 2	Daily records, usage
Facilities	CU + 2	Correspondence, maps, patron list
History, Sanitation	Р	Where City-owned
Biosolids Disposal	CU + 10	Sludge volume, sampling characterization/disposal site,
Maintenance and	CU + 2	Includes work orders, inspection, repairs, cleaning,
Operations		reports, complaints
Rates	CU + 2	
Recycling Programs	S + 2	
Regulations	S + 2	Includes legislation
Reports		
Studies	CL + 2	
Water Quality	CU + 5	
Complaints		· · · · · · · · · · · · · · · · · · ·
Sanitary Survey	CU + 10	
CDPH		*
Correspondence	CU + 3	
Public Notifications	CU + 3	
Bacterial Analysis	CU + 5	
Public Notifications Bacterial Analysis		