

TRUCKEE TAHOE AIRPORT DISTRICT POLICY INSTRUCTION

PI NUMBER 116

Formerly 122.3

Effective: March 26, 2007

Approved: August 25, 2011

SUBJECT: RECORDS RETENTION

PURPOSE: To comply with state record retention laws (Gov. Code § 34090 et seq. and § 60200 et seq.) and the Public Records Act (Gov. Code § 6250 et seq.) and AB 474

Commented [1]: This bill made changes to the Public Records Act, so is already covered by the reference to the PRA

POLICY:

1. The purpose of this policy is to provide guidelines to staff regarding the retention or disposal of Truckee Tahoe Airport District records; provide for the identification, maintenance, safeguarding and disposal of records in the normal course of business; ensure prompt and accurate retrieval of records; and ensure compliance with legal and regulatory requirements.
2. Vital and important records, regardless of recording media, are those having legal, financial, operational, or historical value to the District. They are further defined in section 11 of Appendix A.
3. The General Manager or their designee is authorized by the Board of Directors to interpret and implement this policy, and to cause to be destroyed any or all such records, papers, and documents that meet the qualifications governing the retention and disposal of records, specified below.
4. Pursuant to the provisions of state and federal law, and the guidelines prepared by the State Controller's office and the Controller's Advisory Committee of Special Districts, the following qualifications will govern the retention and disposal of records of the Truckee Tahoe Airport District:
 - a) Duplicate records, papers and documents may be destroyed at any time upon a majority vote of the Board of Directors, without first being copied without the necessity of Board authorization or copying to photographic or electronic media.
 - b) In no instances are records, papers or documents to be destroyed where there is a continuing need for such records for such matters as pending litigation, special projects, etc.
 - c) Records, papers or documents which are not expressly required by law to be filed and preserved may be destroyed if all of the following conditions are met:
 - i. 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

Commented [2]: Gov. Code § 60200 specifies that "the legislative body" of a district may authorize destruction of duplicate records.

changes to the original document in compliance with Government Code Section 12168.7 for recording of permanent records or nonpermanent records; and

- ii. The device used to reproduce the record, paper or document on film, optical disk, or any other medium is one which accurately reproduces the original thereof in all details, and that does not permit additions, deletions, or changes to the original document images; and
 - iii. The photographs, microphotographs, or other reproductions on film optical disk, or any other medium are placed in conveniently accessible files and provision is made for preserving, examining, and using the same, together with documents stored via electronic media.
- d) Any accounting record, except the journals and ledgers (which are not allowed to be destroyed), which are more than seven years old and which were prepared or received in any manner other than pursuant to State statute may be authorized for destruction, provided that:
- i. There is no continuing need for said record (i.e., long-term transactions, special projects, pending litigations, etc.), and;
 - ii. There exists in a permanent file, an audit report or reports covering the inclusive period of said record, and that;
 - iii. Said audit report or reports were prepared pursuant to procedures outlined in Government Code Section 26909 and other State or Federal audit requirements, and that;
 - iv. Said audit or audits contain the expression of an unqualified opinion.
- e) Any accounting record created for a specific event or action may be destroyed upon authorization seven years after said event has in all respects terminated. Any source document detailed in a register, journal, ledger or statement may be authorized for destruction five years from the end of the fiscal period to which it applies. The following may be destroyed at any time:
- i. Duplicates (original subject to aforementioned requirements).
 - ii. Rough drafts, notes or working papers (except audit).
 - iii. Cards, listings, nonpermanent indices, other papers used for controlling work or transitory files.
- f) The following payroll and personnel records shall be retained indefinitely (Originals may upon authorization be destroyed after seven years retention, provided said records have been microfilmed and qualify for destruction ~~in-pursuant to~~ section 4, above):
- i. Accident reports, injury claims and settlements

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- ii. Injury frequency charts
- iii. Applications, changes and terminations of employees
- iv. Insurance records of employees
- v. Time cards
- vi. Classification specifications (job descriptions)
- vii. Performance evaluation forms
- viii. Earning records and summaries
- ix. Retirements

g) Medical records (except accident reports, injury claims and settlements as noted above) for each employee shall be preserved and maintained for at least the duration of employment plus thirty (30) years, except that the following types of records need not be retained for any specific period:

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- i. Health insurance claims records maintained separately from the employer's medical program and its records;
- ii. First aid records (not including medical histories) of one-time treatment and subsequent observation of minor scratches, cuts, burns, splinters, and the like which do not involve medical treatment, lost of consciousness, restriction of work or motion, or transfer to another job, if made on-site by a non-physician and if maintained separately from the employer's medical program and its records; and
- iii. The medical records of employees who have worked for less than one (1) year for TTAD need not be retained beyond the term of employment if they are provided to the employee upon the termination of employment.

h) Employee exposure records shall be preserved and maintained for at least thirty (30) years, except that:

- i. Background data to environmental (workplace) monitoring or measuring, such as laboratory reports and worksheets, need only be retained for one (1) year so long as the sampling reports, the collection methodology (sampling plan), a description of the analytical and mathematical methods used, and a summary of other background data relevant to interpretation of the results are retained for at least thirty (30) years;
- ii. Material data safety sheets shall be retained as necessary to comply with the provisions of California Code of Regulations section 5194. Where material safety data sheets are destroyed, a record of the identity (chemical name of known) of the substance or agent, where it was used, and when it was used shall be retained for at least thirty (30) years; and

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- iii. Records concerning the identity of a substance or agent need not be retained for any specified period as long as some record of the identity (chemical name if known) of the substance or agent, where it was used, and when it was used it retained for at least thirty (30) years.
 - iv. Biological monitoring resulted designated as exposure records by specific occupational safety and health regulations shall be preserved and maintained as required by the specific regulation.
 - v. Each analysis using exposure or medical records shall be preserved and maintained for at least thirty (30) years.
- i) All assessing records may upon authorization be destroyed after seven years retention from lien date; however, their records may be destroyed three years after the lien date when said records are microfilmed as provided for in section 4 above.
- i. Records of proceedings for the authorization of long-term debt, bonds, warrants, loans, etc., after issuance or execution may be destroyed if microfilmed as provided for in section 4 (d), above. Terms and conditions of bonds, warrants and other long-term agreements should be retained until final payment, and thereafter may be destroyed in less than ten years if microfilmed as provided for in section 4, above. Paid bonds, warrant certificates, and interest coupons may be destroyed after six months if detailed payment records are kept for ten years.

~~5-i)~~ Minutes of the meetings of the Board of Directors are retained indefinitely in their original form. The District's recordings of Board meetings may be erased or destroyed, once the minutes are approved by the Board, but in no event prior to the expiration of three hundred sixty five (365) days after the recording. In the event that a copy of a recording is provided to anyone as a public record, the District shall retain the original of the recording so provided, as well as each original from the meeting from which the copy was made, for as long as the District deems necessary.

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~~a)k)~~ Construction records, such as bids, correspondence, change orders, etc., shall not be kept in excess of seven years unless they pertain to a project which includes a guarantee or grant and, in that event, they shall be kept for the life of the guarantee plus seven years. As-built plans for any public facility or works shall be retained as long as said facility is in existence plus twenty five (25) years.

~~b)l)~~ Contracts should be retained for its life plus seven years. Any unaccepted bid or proposal for the construction or installation of any building, structure or other public work which is more than two years old may be destroyed.

~~e)m)~~ Property records, such as documents of title, shall be kept until the property is transferred or otherwise no longer owned by the District.

~~6-n)~~ The following types of emails must be retained in accordance with the district's retention policy:

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- i. E-mail created or received in connection with official public business
- ii. E-mail that documents the formulation and implementation of policies and decisions
- iii. Messages that initiate, authorize or complete a transaction of official public business

7-9) In addition, the following can never be thrown away:

- i. Records relating to formation, change of organization, or reorganization of the District.
- ii. Resolutions adopted by the District, except that a resolution that has been repealed or is otherwise invalid or unenforceable may be destroyed or disposed of five years after it was repealed or became invalid or unenforceable.
- iii. Records relating to any pending claim or litigation or any settlement or other disposition of litigation within the past two years.
- iv. Records that are the subject of any pending request made pursuant to the California Public Records Act, whether or not the District maintains that the record is exempt from disclosure, until either the request has been granted, or two years have elapsed since the district provided written notice to the requester that the request has been denied.
- v. Records relating to any pending construction that the district has not accepted or as to which a stop claim notice claim legally may be presented.
- vi. Records relating to any of the District's non-discharged debt.
- vii. Records relating to any non-discharged contract to which the District is a party.
- viii. Records that have not fulfilled the administrative, fiscal, or legal purpose for which they were created or received.
- ix. Records less than seven years old that specify the amount of compensation paid to District employees or officers or to independent contractors providing personal or professional services to the District, or that relate to expense reimbursement to District officers or employees or to the use of District paid credit cards or any travel compensation mechanism.

8-5. If this retention policy does not clearly state the retention period for a certain document, the District should consider the statute of limitations for possible legal actions related to the document and retain records in accordance with those statute of limitations, plus 4 years.

9-6. Appendix A (Definitions for Records Retention and Disposal Policy) and Appendix B (File Retention Schedule) are hereby incorporated into this Policy Instruction.

Kathleen Egan Kathryn Rohlf, Board President

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Appendix A
Definitions for Records Retention and Disposal Policy

1. AUTHORIZATION. Approval from the General Manager, as authorized by the District's Board of Directors.
2. ACCOUNTING RECORDS. Include but are not limited to the following:
 - a) SOURCE DOCUMENTS
 - 1) Invoices
 - 2) Warrants
 - 3) Requisitions/Purchase Orders (attached to invoices)
 - 4) Cash receipts
 - 5) Claims (attached to warrants in place of invoices)
 - 6) Bank statements
 - 7) Bank deposits
 - 8) Checks
 - 9) Bills
 - 10) Various accounting authorizations taken from Board minutes, resolutions or contracts
 - b) JOURNALS
 - 1) Cash receipts
 - 2) Accounts receivable or payable register
 - 3) Check or warrant (payables)
 - 4) General journal
 - 5) Payroll journal
 - c) LEDGERS
 - 1) Expenditure
 - 2) Revenue
 - 3) Accounts payable or receivable ledger
 - d) TRIAL BALANCE
 - e) STATEMENTS (Interim or Certified – Individual or All Fund)
 - 1) Balance sheet
 - 2) Analysis of changes in available fund balance
 - 3) Cash receipts and disbursements
 - 4) Inventory of fixed assets (Purchasing)
 - f) JOURNAL ENTRIES
 - g) PAYROLL AND PERSONNEL RECORDS include but are not limited to the following:
 - 1) Accident reports, injury claims and settlements
 - 2) Applications, changes or terminations of employees
 - 3) Earnings records and summaries
 - 4) Fidelity bonds
 - 5) Garnishments

- 6) Insurance records of employees
- 7) Job descriptions
- 8) Medical histories
- 9) Retirements
- 10) Time cards

h) OTHER

- 1) Inventory records (Purchasing)
- 2) Capital asset records (Purchasing)
- 3) Depreciation schedule
- 4) Cost accounting records

3. LIFE. The inclusive or operational or valid dates of a document.
4. RECORD. Any paper, bound book or booklet, card, photograph, drawing, chart, blueprint, map, tape, microfilm, or other document, issued by or received in a department, and maintained and used as information in the conduct of its operations.
5. RECORD COPY. The official District copy of a document or file.
6. RECORD SERIES. A group of records, generally filed together, and having the same reference and retention value.
7. RECORDS CENTER. The site selected for storage of inactive records.
8. RECORDS DISPOSAL. The planning for and/or the physical operation involved in the transfer of records to the Records Center, or the authorized destruction of records pursuant to the approved Records and Retention Schedule.
9. RECORDS RETENTION SCHEDULE. The consolidated, approved schedule list of all District records which timetables the life and disposal of all records.
10. RETENTION CODE. Abbreviation of retention action which appears in the retention schedule.
11. VITAL RECORDS. Records which, because of the information they contain, are essential to one or all of the following:
 - a) The resumption and/or continuation of operations;
 - b) The recreation of legal and financial status of the District, in case of a disaster;
 - c) The fulfillment of obligations to bondholders, customers, and employees.

Vital records include but are not limited to the following:

- 1) Agendas of Board meetings
- 2) Agreements
- 3) Airport certification – FAA required manuals
- 4) Airport Operational (Regulatory) reports - annual and special reports to federal and state regulatory agencies
- 5) Annexations and detachments

- 6) As-built drawings
- 7) Audits
- 8) Contract drawings
- 9) Customer statements
- 10) Deeds
- 11) Depreciation schedule
- 12) Disposal of surplus and excess property
- 13) Disposal of scrap materials
- 14) District insurance records
- 15) District water rights
- 16) Employee accident reports, injury claims and settlements
- 17) Employee earnings records
- 18) Employee fidelity bonds
- 19) Employee insurance records
- 20) Encroachment permits (by others)
- 21) Encroachment permits (by TTAD)
- 22) FAA forms, including FAA-198, -418, -6030-1, -6790-4
- 23) Facility improvement plans
- 24) Improvement districts
- 25) Individual claims/settlements
- 26) Inventory
- 27) Journal vouchers
- 28) Ledgers
- 29) Licenses and permits (to operate)
- 30) Loans and grants
- 31) Maps
- 32) Minutes of Board meetings
- 33) Payroll register
- 34) Policies, rules and regulations
- 35) Purchase orders and requisitions
- 36) Restricted materials permits
- 37) Rights of way and easements
- 38) Runway inspections
- 39) Spray permits
- 40) Statements of Economic Interest
- 41) State surplus acquisitions
- 42) Warehouse requisitions

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Appendix B
File Retention Schedule

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FINANCIAL RECORDS		
<u>DOCUMENT TITLE</u>	<u>LEGAL REQUIREMENTS</u>	<u>RETENTION PERIOD</u>
<u>GENERAL JOURNALS</u>	<u>GC 34090</u>	<u>P</u>
<u>GENERAL LEDGERS</u>	<u>GC 34090</u>	<u>P</u>
<u>INVOICES – ACCOUNTS RECEIVABLES AND ACCOUNTS PAYABLES</u>	<u>GC 34090(c); CCP 337</u>	<u>AU + 7 years or completion of audit or appeal, whichever is later</u>
<u>CASH RECEIPTS</u>	<u>GC 34090(c); CCP 337</u>	<u>AU + 7 years</u>
<u>CANCELED/VOIDED CHECKS</u>	<u>GC 34090(c)</u>	<u>AU + 7 years</u>
<u>CUSTOMER BILLING RECORDS</u>	<u>GC 34090</u>	<u>AU + 2 years</u>
<u>BUDGETS, APPROVED</u>	<u>GC 34090; GC 40802</u>	<u>P</u>
<u>BUDGET ADJUSTMENTS</u>	<u>GC 34090</u>	<u>AU + 5 years</u>
<u>PURCHASE ORDERS</u>	<u>GC 34090</u>	<u>Life of item + 7 years</u>
<u>BANK DEPOSITS & RECEIPTS</u>	<u>GC 34090</u>	<u>7 years</u>
<u>BANK RECONCILIATIONS & BANK STATEMENTS</u>	<u>GC 34090; GC 12946; FC 30210; 26 CFR 1.6001</u>	<u>AU + 7 years</u>
<u>CHECK REGISTERS</u>	<u>GC 34090</u>	<u>P</u>
<u>WITHHOLDING ALLOWANCE CERTIFICATES (W-4 FORMS)</u>	<u>26 CFR 31.6001-1</u>	<u>AU + 7 years after due date of tax return period</u>
<u>WAGE & TAX STATEMENTS (W-2 FORMS)</u>	<u>GC 34090; 29 USC 436; 26 CFR 31.6001-1</u>	<u>AU + 7 years after due date of tax return period</u>
<u>W-9's; 1099's</u>	<u>GC 34090; 26 CFR 31.6001</u>	<u>AU + 7 years</u>
<u>COLLECTIONS</u>	<u>GC 34090; CCP 337</u>	<u>AU + 7 years</u>
<u>CLAIMS, BILLINGS & CHARGES TO PATIENT, FISCAL INTERMEDIARIES, THIRD PARTY PAYERS</u>	<u>22 CCR 51502.1(f)(2) and 51476</u>	<u>AU + 10 years</u>
<u>PATIENT ACCOUNTING FILES</u>	<u>31 USC 3731(b); 42 CFR 405.1885(b)</u>	<u>AU + 10 years</u>
<u>MEDICARE BILLINGS (and supporting documentation)</u>	<u>HIPAA</u>	<u>AC + 10 years</u>
<u>SURPLUS PROPERTY INVENTORY</u>	<u>GC 34090(c)</u>	<u>7 years</u>
<u>PROPERTY TAX PAYMENT RECORDS</u>	<u>Unspecified</u>	<u>P</u>
<u>TAX RECORDS, FEDERAL AND STATE</u>	<u>GC 34090; IRS REG 31.6001-1; R&T 19530</u>	<u>P</u>
<u>UNEMPLOYMENT TAX RECORDS</u>	<u>22 CCR 1085-2(c); 26 CFR 31.6001-1</u>	<u>7 years</u>
<u>STATE CONTROLLER'S REPORTS</u>	<u>GC 34090</u>	<u>P</u>

<u>AUDIT REPORTS</u> (Local, State, Federal, Outside Agencies)	<u>GC 34090</u>	<u>P</u>
<u>EXEMPT ORGANIZATION ANNUAL INFORMATION RETURNS</u>	<u>Unspecified</u>	<u>P</u>
<u>PROFIT & LOSS STATEMENTS</u>	<u>Unspecified</u>	<u>P</u>
<u>FINANCIAL STATEMENTS</u>	<u>GC 34090(c)</u>	<u>P</u>
<u>IRS RULINGS (See Audit Reports)</u>	<u>GC 34090</u>	<u>P</u>
<u>INVESTMENT TRANSACTIONS</u>	<u>GC 34090; CCP 337; GC 53607</u>	<u>P</u>
<u>WIRE TRANSFERS</u>	<u>GC 34090; GC 26202</u>	<u>AU + 2 years</u>
<u>BONDS – REVENUE, GENERAL OBLIGATION (correspondence, work papers, bond activity or financing, bond disclosure, sale of, issues, etc.)</u>	<u>GC 34090; GC 34900-43903; FC 30210</u>	<u>P</u>
<u>ADMINISTRATIVE RECORDS</u>		
<u>DOCUMENT TITLE</u>	<u>LEGAL REQUIREMENTS</u>	<u>RETENTION PERIOD</u>
<u>BLANK FORMS</u>	<u>Unspecified</u>	<u>S</u>
<u>AGENDA PACKETS</u>	<u>GC 34090</u>	<u>P</u>
<u>MINUTES</u> (Official minutes and hearing proceedings of governing body or board, commission or committee)	<u>GC 34090(e)</u>	<u>P</u>
<u>RECORDING/AUDIO TAPES</u>	<u>GC 34090.7; GC 54953.5</u>	<u>CY + 4 years</u> <u>If a recording is evidence in any claim filed or any pending litigation, it shall be preserved until the claim or pending litigation is resolved.</u>
<u>RESOLUTIONS</u>	<u>GC 34090</u>	<u>P</u>
<u>ARTICLES OF INCORPORATION, BYLAWS, RULES & REGULATIONS OF THE GOVERNING BODY</u>	<u>GC 34090; GC 34460</u>	<u>P</u>
<u>DISTRICT POLICIES & PROCEDURES MANUALS</u>	<u>Policies and procedures required by HIPAA</u> <u>privacy must be kept for 6 years</u>	<u>Life of policy or procedure + 6 years</u>
<u>BOARD ATTENDANCE RECORDS</u>	<u>GC 34090</u>	<u>CY + 10 years</u>
<u>PUBLIC RECORDS REQUESTS</u>	<u>GC 34090</u>	<u>CY + 2 years</u>
<u>INTERNAL GENERAL CORRESPONDENCE & MEMOS (not otherwise specified)</u>	<u>GC 34090</u>	<u>CY + 2 years</u>
<u>EXTERNAL GENERAL CORRESPONDENCE</u>	<u>GC 34090</u>	<u>CY + 2 years</u>

<u>FINANCIAL REPORTS (Monthly, quarterly, etc., for internal use or submission to other agencies)</u>	<u>GC 34090</u>	<u>CY + 2 years</u>
<u>CONTRACTS, LEASE & SUPPORTING DOCUMENTATION – MEDICARE & MEDI-CAL</u>	<p>Contracts for services between a Medicare institutional provider and a subcontractor must be kept for the life of the contract plus 4 years, if the value of the services is \$10,000 or more over a 12-month period. This includes contracts for both goods and services in which the service component is worth \$10,000 or more {42 C.F.R. Section 420.302 (b)} Contracts required by the HIPAA privacy rule must be kept for 6 years {45 C.F.R. Section 164.530(j)}.</p> <p>Regulations require GACHs, APHs, PHFs and CDRHs to keep contracts that are required by regulation, but no retention period is specified {22 C.C.R. Sections 70733, 71531, 77127, 79337}.</p> <p>Contracts that support claims for services rendered to Medicare or Medi-Cal patients must be kept for at least 10 years from date of service, end of Medi-Cal or Medicare Advantage or Medicare Part D contract period, or audit completion, whichever is later {42 C.F.R. Sections 422.504(i)(2) and 423.505(i)(2)}; Welfare and Institutions Code Section 14124.1; Title 22, CCR Section 51476.</p>	<u>Life of agreement/lease/equipment, plus 6 years; if the agreement supports Medicare or Medi-Cal claims, then life of agreement /lease/ equipment + 15 years.</u>
<u>CERTIFICATES OF LIABILITY INSURANCE (Contractors/Vendors)</u>	<u>GC 34090</u>	<u>CY + 2 years</u>
<u>DISTRICT INSURANCE POLICIES, CLAIMS AND CORRESPONDENCE</u>	<u>GC 34090</u>	<u>P</u>
<u>OSHPD REPORTS (Seismic)</u>	<u>GC 34090</u>	<u>P</u>
<u>OSHPD REPORTS (Financial, patient discharge data, quality)</u>	<u>GC 34090</u>	<u>CY + 20 years</u>
<u>EMERGENCY OPERATIONS PLAN</u>	<u>GC 34090</u>	<u>S + 2 years</u>

<u>LICENSING & PERMITTING – BOILERS AND CONVEYANCES</u> (applications and permits, plans and specifications, notices of violation/correction, equipment data, safety inspections, photographs, correspondence)	<u>LP2012-077; GC 34090</u>	<u>6 years after boiler or conveyance is no longer in service</u>
<u>LICENSES OR CERTIFICATIONS</u>	<u>GC 34090</u>	<u>Life of license or certificate + 6 years</u>
<u>RECORDS RETENTION SCHEDULE</u>	<u>CCP 343</u>	<u>S + 5 years</u>
<u>MISSION STATEMENTS</u>	<u>Unspecified</u>	<u>S</u>
<u>CERTIFICATES OF RECORDS DESTRUCTION</u>	<u>GC 34090</u> <u>Legal record of final disposition</u>	<u>P</u>
<u>ACCREDITATION/LICENSING</u>	<u>Unspecified</u>	<u>10 years (longer if continued interest)</u>
<u>EMAIL CORRESPONDENCE</u>	<u>GC 34090; GC 6250-6276.48</u>	<u>1 year</u>
<u>INSTANT MESSAGES</u>	<u>GC 34090</u>	<u>1 year</u>
<u>PROFESSIONAL ASSOCIATIONS OR FOUNDATIONS</u>	<u>GC 34090</u>	<u>CY + 2 years</u>
<u>TREATMENT AUTHORIZATION REQUESTS (TARs)</u>	<u>W&IC 14124.1; CCR 51476</u>	<u>10 years</u>
<u>HUMAN RESOURCES & PAYROLL</u>		
<u>DOCUMENT TITLE</u>	<u>LEGAL REQUIREMENTS</u>	<u>RETENTION PERIOD</u>
<u>EMPLOYEE PERSONNEL RECORDS</u> (Disciplinary notices, promotions/demotions, evaluations, discharge, layoff, transfer, training files, physical files, job classifications, terms/conditions of employment)	<u>GC 34090(c)</u> <u>3 years after termination of employment CA Labor Code Section 11.98.5, CA Fair Pay Act, Title VII, ADA, ADEA</u>	<u>T + 7 years</u>
<u>EMPLOYEE HEALTH RECORDS</u> First aid records for job injuries causing loss of work and drug and alcohol test records	<u>5 years (chemical safety and toxic exposure records must be kept for duration of employment, plus 30 years)</u> <u>~ OSHA, Cal-OSHA</u>	<u>7 years</u>
<u>PAYROLL RECORDS</u> (Deduction authorization, beneficiary designations, unemployment claims, garnishments)	<u>29 CFR 1627.3-4; 29 CFR 162.30; 29 CFR 1650.202; 29 CFR 51.5-6</u>	<u>T + 10 years</u>
<u>EMPLOYEE BENEFIT PLANS</u> (Pension and Retirement)	<u>GC 62250 et seq; 29 USC 1027; 29 CFR 1627.3(b)(2)</u>	<u>P</u>
<u>PAYROLL TIMESHEETS</u>	<u>GC 34090(c); R&T 19530</u>	<u>AU + 7</u>
<u>PAYROLL REGISTERS</u>	<u>22 CCR 1085-2(c)</u>	<u>P</u>
<u>PAYROLL – FEDERAL, STATE REPORTS (RECORDS OF DEDUCTION)</u>	<u>GC 34090(c)</u>	<u>AU + 10 years</u>

<u>EMPLOYMENT ELIGIBILITY VERIFICATION (I-9 FORMS)</u>	<u>GC 34090(c)</u>	<u>T + 3 years</u>
<u>RECRUITMENT, HIRING & JOB PLACEMENT</u>	<u>3 years or the duration of any claim or litigation involving hiring practices (Title VII, CA Fair Pay Act, ADA, ADEA)</u>	<u>7 years or the duration of any claim or litigation involving hiring practices</u>
<u>PROPERTY CLAIMS/DAMAGES</u>	<u>GC 34090</u>	<u>CL + 7</u>
<u>INCIDENT/ACCIDENT REPORTS</u>	<u>GC 34090; GCV 25105.5</u>	<u>AC + 7 years</u>
<u>EMPLOYEE BACKGROUND CHECKS</u>	<u>GC 34090</u>	<u>T + 3 year</u>
<u>EMPLOYEE HANDBOOK</u>	<u>GC 34090</u>	<u>S + 2 years</u>
<u>FMLA RECORDS</u>	<u>GC 12946; 29 CFR 825.500; 8 CCR 15400; LC 6410; 29 CFR 1627.3(b)(i); FMLA</u>	<u>T + 30 years</u>
<u>HEALTH PLAN CLAIMS</u>	<u>Unspecified</u>	<u>11 years from closing</u>
<u>HEALTH PLAN PROVIDER CONTRACTS</u>	<u>Unspecified</u>	<u>Current life + 6 years</u>
<u>HEALTH PLAN DENIAL LETTERS</u>	<u>Unspecified</u>	<u>CY + 5 years</u>
<u>HEALTH PLAN FORMS & MISC.</u>	<u>Unspecified</u>	<u>CY + 2 years</u>
<u>HEALTH PLAN REPORTS</u>	<u>Unspecified</u>	<u>CY + 2 years</u>

<u>HEALTH SCREEN/MEDICAL HISTORY STATEMENTS</u>	<u>Must be kept at least 5 years</u>	<u>CY + 7 years</u>
<u>OSHA RECORDS</u>	<u>Must be kept at least 5 years following end of calendar year that record covers</u>	<u>6 years</u>
<u>WORKERS COMPENSATION CLAIMS</u>	<u>29 CFR 1910.20</u>	<u>T + 30 years</u>
<u>WORKERS COMPENSATION REPORTS</u>	<u>8 CCR 15400; 8 CCR 10102 & 10103.2; LC 129(a)</u>	<u>AU + 7 years</u>

PROPERTY CONTRACTS & AGREEMENTS

<u>DOCUMENT TITLE</u>	<u>LEGAL REQUIREMENTS</u>	<u>RETENTION PERIOD</u>
<u>LEASE AGREEMENTS (Properties leased from District and leased to District)</u>	<u>CCP 337.2; CCP 343; 48 CFR.4</u>	<u>AT + 7 years</u>
<u>CONSTRUCTION PROJECT CONTRACTS & RELATED DOCUMENTS (Plans & specs, EIR and other supporting documents)</u>	<u>GC 34090(a)</u>	<u>P</u>
<u>DEEDS AND EASEMENTS, TITLES TO PROPERTY</u>	<u>GC 34090(a); 24 CFR 1710</u>	<u>P</u>
<u>CAPITAL IMPROVEMENTS (Agreements, Contracts)</u>	<u>CCP 337</u>	<u>P</u>

<u>APPRAISAL REPORTS (Property, Buildings, Equipment, etc.)</u>	<u>GC 34090</u>	<u>P</u>
<u>BUILDING BLUEPRINTS, PLANS, SPECIFICATIONS, INSPECTIONS</u> (including supporting documents)	<u>GC 34090</u>	<u>P</u> (or until property is sold)
<u>REQUESTS FOR PROPOSALS, REQUESTS FOR QUALIFICATIONS (bid quotes and other related documents)</u>	<u>GC 34090, CCP 337</u>	<u>AC + 7 years</u>
<u>ELECTIONS</u>		
<u>DOCUMENT TITLE</u>	<u>LEGAL REQUIREMENTS</u>	<u>RETENTION PERIOD</u>
<u>DISTRICT ELECTIONS (ballot materials, certification of votes, correspondence, etc.)</u>	<u>EC 17000-1; EC 17300; EC 17302-6; GC 81009; GC 34090.7</u>	<u>AC + 5 years</u>
<u>STATEMENT OF ECONOMIC INTEREST (FORM 700 ~ Elected officials)</u>	<u>GC 81009(e) Originals = 7 years</u> <u>GC 81009(f) Copies = 4 years</u> <u>FPPC Guidelines</u>	<u>T + 7 years (originals)</u> <u>T + 4 years (copies)</u>
<u>STATEMENT OF ECONOMIC INTEREST (FORM 700 ~ Mandatory Filers)</u>	<u>GC 81009(e) Originals = 7 years</u> <u>GC 81009(f) Copies = 4 years</u>	<u>T + 7 years (originals)</u> <u>T + 4 years (copies)</u>
<u>CONFLICT OF INTEREST STATEMENTS</u>	<u>GC 87300, et. seq.</u> <u>Required under Political Reform Act;</u> <u>reviewed every 2 years</u>	<u>P</u>
<u>ETHICS TRAINING RECORDS (AB1234)</u>	<u>GC 34090</u>	<u>AC + 5 years</u>
<u>ELECTION HISTORY</u>	<u>GC 34090</u>	<u>P</u>
<u>OATHS OF OFFICE</u>	<u>GC 1363; PRC 5555</u>	<u>T + 7 years</u>
<u>LEGAL RECORDS</u>		
<u>DOCUMENT TITLE</u>	<u>LEGAL REQUIREMENTS</u>	<u>RETENTION PERIOD</u>
<u>LEGAL COUNSEL</u>	<u>GC 34090 (CA guideline requires 7 years after closure for case records; maintain high profile cases permanently)</u>	<u>AC + 7 years</u> (permanent retention for high profile cases)
<u>COURT ORDERS</u>	<u>GC 34090</u>	<u>P</u>
<u>LEGAL OPINIONS</u>	<u>GC 34090; GC 6254</u>	<u>P</u>

GRANTS

<u>DOCUMENT TITLE</u>	<u>LEGAL REQUIREMENTS</u>	<u>RETENTION PERIOD</u>
<u>COMMUNITY GRANTS, APPROVED</u> (Applications, reports, contracts, supporting documents)	21 CFR 1403.36(j); 21 CFR 1403.42; 24 CFR 570.502(b)(3); 24 CFR 85.42; 29 CFR 97.42	CL + 5 years

<u>COMMUNITY GRANTS, DENIED</u>	GC 34090	CL + 2 years
<u>HEALTH & HUMAN SERVICES GRANTS</u>	Keep financial, statistical and non-expendable property records, and any other records pertinent to grants, for 3 years from the date of submission of the final expenditure report, or until resolution of all litigation and federal audit findings. Records for real property and equipment acquired with Federal funds must be kept for at least 3 years after final disposition.	CL + 6 years

PUBLIC RELATIONS & MARKETING

<u>DOCUMENT TITLE</u>	<u>LEGAL REQUIREMENTS</u>	<u>RETENTION PERIOD</u>
<u>ADVERTISEMENTS</u> (Print, radio, television, etc.)	Unspecified	P
<u>CONSENT TO PHOTOGRAPH</u> (Photograph depicting patient)	45 CFR 164.530(j) HIPAA regulations require authorizations to be kept for at least 6 years	6 years after discontinuing use of photograph
<u>MARKETING MATERIALS</u>	GC 34090	6 years
<u>NEWSPAPER AND MAGAZINE CLIPPINGS</u> (Historical)	GC 34090	P
<u>PHOTOGRAPHS – INSTITUTIONAL</u>	GC 34090	CY + 2 years
<u>PRESS RELEASES</u>	GC 34090	6 years; may wish to retain those of historical interest permanently
<u>PUBLICATIONS</u>	GC 34090	6 years; may wish to retain those of historical interest permanently
<u>OTHER RESEARCH REPORTS</u>	GC 34090	6 years (longer if continuing interest)

[RETENTION CODES ARE ON THE FOLLOWING PAGE]

RETENTION CODES

AU = Audit **AC = After Completion**

CL = Closed **CY = Current Year**

P = Permanent **R&T = Revenue & Taxation Code**

S = Superseded **T = Termination**

ADA = Americans with Disabilities Act

**ADEA = Age Discrimination in
Employment Act**

CCP = Code of Civil Procedure

**CCR = California Code
of Regulations**

**CFR = Code of Federal
Regulations**

**ERISA = Employee Retirement
Income Security Act**

**FMLA = Family Medical Leave
Act**

**FPPC = Fair Political
Practices Commission**

GC = Government Code

**IRCA = Immigration Reform
and Control Act**

**R&T = Revenue & Taxation
Code**

W&IC = Welfare & Institutes Code

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MEMORANDUM

DATE

TO: General Manager and Legal Counsel

FROM: Records Coordinator

SUBJECT: REQUEST FOR RECORDS DESTRUCTION

On DATE , the Board of Directors adopted Resolution establishing a Records & Data Retention Policy and Schedule. In accordance with that policy and schedule, certain records have been identified as eligible for destruction. A listing of those records and relevant sections from the records retention schedule are attached.

[Provide general information about the request: (Example: 15 boxes of records exceeding the retention requirements and, as such, are being prepared for destruction.)]

The method of destruction will be via (recycling.) Please sign below indicating your approval for the destruction of the attached listing of records.

General Manager

Legal Counsel

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CERTIFICATE OF DESTRUCTION

I, (employee name), do hereby certify that the records listed on the attached were properly disposed of on DATE.

1. List of records to be destroyed

2. Relevant sections of the records retention schedule

42)

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