

RANCHO MURIETA COMMUNITY SERVICES DISTRICT

Category:	Financial	Policy # 2024
Title:	Records Retention, Disposal and Storage Policy	

PURPOSE

The purpose of this Document Retention Policy ("policy") is to provide guidelines to staff regarding the retention, disposal, and storage of records of the Rancho Murieta Community Services District ("District"); 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.

Retention and Disposition of Records:

- The General Manager is authorized by the Board of Directors to implement this policy, and to approve the disposition (recycling or shredding) of any or all records that meet the qualifications governing the retention and disposal of records as defined by the records retention schedule established below.
- All original records identified in the Records Retention Schedule shall be retained in the District offices for the number of years indicated in the retention column below.
- An inventory of disposed records shall be retained as a permanent record.
- No records, papers or documents shall be destroyed where there is a continuing need for such records for such matters as holds for pending litigation, special projects, audits.

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:

- The record, paper or document is photographed, micro-photographed, reproduced on film, or copied to an approved electronic media
- The photographs, micro-photographs, or other reproductions on film are maintained in conveniently accessible and searchable files

Record Format:

For records existing in paper form, retention periods apply to the original paper copy only unless a digitized version exists in a Trusted System.

Electronic records will be retained as if they were paper documents and are subject to the retention schedule. Therefore, any electronic files, including emails that fall into one of the document types in this Policy shall be maintained for the required amount of time.

RECORDS RETENTION

The District shall retain, store and dispose of its records in accordance with this policy, the provisions of Government Code sections 60200 through 60203, and local government records management guidelines prepared by the Secretary of State.

The following records shall be maintained permanently in their original form in the District's files:

- (1) Records that Relate to formation, change of organization, or reorganization of the District.
- (2) Ordinances adopted by the District. However, an ordinance that has been repealed or is otherwise invalid or unenforceable may be destroyed or disposed of pursuant to this section five years after it was repealed or became invalid or unenforceable.
- (3) Minutes of any meeting of the legislative body of the District.
- (4) Records that relate to any pending claim or litigation or any settlement or other disposition of litigation within the past two years.
- (5) Records that are the subject of any pending request made pursuant to the California Public Records Act (Division 10 (commencing with Section 7920.000) of Title 1), whether or not the District maintains that the record is exempt from disclosure, until 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.
- (6) Records that relate to any pending construction that the District has not accepted or as to which a stop notice claim legally may be presented.
- (7) Records that Relate to any nondischarged debt of the District.
- (8) Records that relate to the title to real property in which the District has an interest.
- (9) Records that relate to any nondischarged contract to which the District is a party.
- (10) Records that have not fulfilled the administrative, fiscal, or legal purpose for which it was created or received.
- (11) Unaccepted bid or proposal which is less than two years old for the construction or installation of any building, structure, or other public work.
- (12) Records that specifies the amount of compensation paid to District employees or officers or to independent contractors providing personal or professional services to the District or relates to expense reimbursement to District officers or employees or to the use of District-paid credit cards or any travel compensation mechanism. However, a record described in this paragraph may be destroyed or disposed of pursuant to this section seven years after the date of payment.

Except for the categories of records identified above, original documents may be converted to digital or photographic media and the originals destroyed. To the extent permitted by law, the District shall use technology solutions to minimize the creation of paper files and records and to minimize the future workload in digitizing paper files for archive purposes.

The District must retain the following records, regardless of any different Records Retention Schedule as to any identified record or records specified below:

1. Any District record that is the subject of a pending request made under the Public Records Act (Government Code §§ 7920.000-7930.170) until the District has either (a) complied with the request, or (b) waited at least two years after the record was withheld and written notice denying the request was provided to the requestor;

2. Documents related to pending public works not accepted by the District or to which a stop notice claim may be legally presented;
3. Documents related to any non-discharged District debt; and
4. Any document that has not yet fulfilled the administrative, fiscal, or legal purpose for which it was created or received by the District.

RECORDS STORAGE

All of the records referenced in this policy shall be maintained at the District's administrative offices located at 15160 Jackson Road, Rancho Murieta, California 95683 or at such other repository that the District may designate from time to time.

RECORDS DISPOSAL

The District may dispose of the following records at any time, without maintenance of a copy:

1. Duplicates, the original or a permanent photographic record of which is on file;
2. Rough drafts, notes and working papers prepared or kept by any employee or accumulated in the preparation of a communication, study or other document, unless of a formal nature contributing significantly to the preparation of the document, 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 transitional files including letters of transmittal and similar records;
4. Canceled coupon sheets from registered bonds; and
5. Shorthand notebooks, telephone messages and inter-departmental notes.

The General Manager, or his/her designee, may destroy and discard, by any permanent method that protects the confidentiality of any privileged or confidential information contained therein, any District record after the expiration of the applicable retention period described in the Records Retention Schedule below.

Confidentiality:

The District is committed to ensuring the security and confidentiality of those records within its custody or control that contain personal, private, or proprietary information the District is required by applicable law to protect as confidential. When such records are due to be destroyed under this Policy, they will be shredded, erased, or otherwise modified or destroyed to make them unreadable or indecipherable through any means. All disposed records must be logged onto the District's inventory of disposed records and kept permanently.

Legal and Contractual Requirements:

To the extent that any applicable laws or regulations exceed the retention periods in the schedule below, the applicable laws will control. Further, to the extent that contractual records retention requirements exceed the retention periods in the retention schedule, the contractual requirements will control. No originals of records related to open or recently closed contracts and subject to contractual retention requirements may be destroyed without the approval of the General Manager.

RECORDS RETENTION SCHEDULE

Legend:

LR = legally required retention period

PERMANENT (0) = Permanently retained in original form

PERMANENT (C) = Permanently retained, may be converted into some other storage medium (for example, photographed, micro-photographed, reproduced on film, or copied to an approved electronic media)

TITLE	MINIMUM RETENTION PERIOD	NOTES/ COMMENTS
ADMINISTRATION		
Correspondence	3 years	
Policy and Procedures	5 years after cancellation	
Formation/accreditation	PERMANENT (0)	LR
Consumer Confidence Reports	10 years	LR
Oaths of office/ballots/other related documents	Term of Office + 7 years	LR
Filings with Secretary of State	PERMANENT (C)	LR
Work Orders/Timesheets	3 years	
Form 700 - Statement of Economic Interest	7 years after filing	LR
Form 470 - annual financial	7 years after filing	LR
BOARD OF DIRECTORS		
Agendas	3 years	
Staff Reports	3 years	
Board and Committee meeting minutes	PERMANENT (C)	LR
Ordinances	PERMANENT (0)	LR
Resolutions	PERMANENT (0)	LR
Policies and Procedures	Current + 3 years	LR
Ethics Code	Current + 3 years	LR
Proofs of Completion - Ethics Training	5 years	LR
CONTRACTS		
Agreements and Contracts	7 years following end of contract	LR
Request for Proposal	Contract term +5 years	
Request for Qualifications	Contract term + 5 years	
Response to Request for Proposal - accepted	Contract term + 5 years	LR
Response to Request for Proposal - unaccepted	2 years	
Response to Request for Qualifications - accepted	Contract term + 5 years	LR
Response to Request for Qualification- unaccepted	2 years	LR

CAPITAL IMPROVEMENTS		
Capital Improvement Contracts	Contract term + 7 years	LR
Accepted Bid Documents	5 years	
Unaccepted Construction Bids/Proposals	2 years	LR
ELECTION MATERIALS		
Ballot arguments (bond issues)	PERMANENT (0)	
Bond proposition results	PERMANENT (0)	
Proposition 218 materials	PERMANENT (0)	
Results, Board of Director office	PERMANENT (0)	
General election materials, other than above	3 years	
Special election materials, other than above	3 years	
FINANCIAL		
Accounts Payable:		
Correspondence	Audit + 2 years	
A/P Ledger/Distribution Journal	Audit + 3 years	
Cash Disbursements	Audit + 3 years	
Payroll/Stipend Payments	Audit + 3 years	
Petty Cash Report	Audit + 3 years	
Expense Report	Audit + 3 years	
Invoices	Audit + 3 years	
Purchase Orders	Audit + 3 years	
Warrants	Audit + 3 years	
Accounts Receivable		
A/R Register	Audit + 3 years	
Aged Trial Balance	Audit + 3 years	
Invoices	Audit + 3 years	
Audit Reports		
Correspondence	Audit + 3 years	
Reports	Audit + 3 years	
State Controller's Report	PERMANENT (C)	LR
Work Papers	Audit + 3 years	
Banking		
Correspondence	Audit + 3 years	
Bank Confirmations	Audit + 3 years	
Bank Reconciliations	Audit + 3 years	
Bank Statements	Audit + 3 years	
Bank Securities (records)	PERMANENT (C)	
Bank Receipts	PERMANENT (C)	
Cancelled and Voided Checks	Audit + 3 years	
Deposit Slips	Audit + 3 years	
Signature Authorization	Audit + 3 years	

Financial Reporting		
Correspondence	Audit +7 years	
Reports and Studies	Audit + 7 years	
Charts of Accounts	Audit + 7 years	
Treasurers Report	Audit + 7 years	
Accountant Reports	Audit + 7 years	
Ledgers		
Account Analysis	Audit + 2 years	
Balance Sheets	Audit + 2 years	
General Ledger	Audit + 2 years	
Journal Entries	Audit + 2 years	
Annual Budget	Audit + 2 years	
Issuance of Indebtedness	Audit + 4 years after repayment	LR
Bond Insurance		
Trust Indentures	4 years after repayment	LR
Funds Management Agreement	4 years after repayment	LR
Other Permanent Bond Records	4 years after repayment	LR
Cancelled checks for Bond interest payments/ redemption	10 years	
Securities		
Acquisition of Securities	3 years	
Broker/bank receipts	3 years	
Periodic statements	3 years	
Personal Property		
Inventory	4 years	
Maintenance and inspection logs	4 years	
Computer licenses and documentation	Until expiration	
INSURANCE		
Memoranda of coverage	Expiration + 5 years	
Insurance policies	Expiration + 5 years	
Endorsements	Expiration + 5 years	
Certificates of insurance	Expiration + 5 years	
Coverage opinions	Expiration + 5 years	
Surety/Fidelity Bonds	Expiration + 5 years	
LEGAL		
General Correspondence	3 years	
Attorney correspondence	3 years	
Claims and claims records	2 years after close of claim	LR
Minors claims	2 years from age 18	LR
Litigation	2 years after litigation concludes	LR

Opinions	7 years	LR
MEMBERSHIP		
Membership records	7 years	
Program participation agreements	10 years	
Appointment resolutions/letters	7 years	
PERSONNEL		
Personnel Files	4 years	LR
Amount of Compensation paid to Officers and Employees	7 years after date of payment	LR
Reimbursements, advances and credit card payment records for Officer and Employee travel and other District relate expenses	7 years after date of payment	LR
Job descriptions	Current + 2 years	LR
Timesheets	Current + 4 years	
Call reports and logs	Current + 4 years	
Employment Agreements	Expiration/termination + 4 years	
Job applications and resumes	1 year	
Position advertisement	1 year	
Employment test results	1 year	
OSHA logs and records	5 years	
Safety and training records	Employment + 4 years	
Drug & alcohol test records	5 years	
DE 34-New Employee Report	4 years	
19-employment eligibility	3 years after hire or 1 year after termination, whichever is later	
REAL PROPERTY		
Deeds and other documents related to real property interests	PERMANENT (0)	LR
Eminent domain	PERMANENT (0)	LR
Annexation and detachment	PERMANENT (0)	LR
TAX RELATED		
Auditor's assessed valuation certificates	5 years	LR
District tax collection information	PERMANENT (0)	LR
MISCELLANEOUS		
Board meeting tape recordings	1 year after approval of minutes	
Records to be of significant and lasting historical, administrative, financial, legal or research value	PERMANENT (C)	

Approved by Rancho Murieta Community Services District's
Board of Directors

Adopted
9/18/2024