



SACOG Board of Directors

August 13, 2008

Records Management Policy and Document Retention Schedule

Issue: Whether to approve the proposed Records Management Policy and Document Retention Schedule, and whether to delegate authority to the Executive Director to revise the Policy and Schedule as needed, with approval as to form by General Counsel.

Recommendation: The Government Relations & Public Affairs Committee recommends that the Board adopt the attached resolution (Attachment A) approving the proposed Records Management Policy and Document Retention Schedule, and delegating authority to the Executive Director to revise the adopted Policy and Schedule as needed, with the assistance of counsel.

Committee Action/Discussion: The proposed Records Management Policy and Document Retention Schedule (Attachment B) establishes the length of time that SACOG is required to maintain various records. These retention periods are based on requirements set forth in applicable law and recommended state guidelines. Under the proposed Policy and Schedule, those records that have historical significance or great administrative value are to be kept for a period longer than that which is otherwise required by applicable law.

As permitted by state law, the proposed Policy and Schedule also allow SACOG to maintain documents digitally to cope with space limitations. Once records have been retained for the requisite period of time, they may be destroyed.

By early next year, staff plans to augment the Document Retention Schedule and provide the Committee with recommended guidelines for records in other subject areas, including planning, GIS, and project specific files.

At least every two years, staff will review and revise the adopted Policy and Schedule as necessary. As provided in the Policy and related Resolution, any proposed changes would be approved by the Executive Director and subject to approval as to form by General Counsel. By delegating authority to the Executive Director to revise the Policy and Schedule, the Board will provide staff with the flexibility necessary to address changes required by the numerous provisions of state and federal law that determine the length of time particular records must be retained.

Approved by:

Mike McKeever
Executive Director

Attachments

Key staff: Karen Wilcox, Director of Finance, (916) 340-6210
Rochelle Tilton, Clerk to the Board, (916) 340-6208



SACRAMENTO AREA COUNCIL OF GOVERNMENTS

RESOLUTION NO. 58 – 2008

**ESTABLISHING A RECORDS MANAGEMENT POLICY
AND DOCUMENT RETENTION SCHEDULE FOR THE SACRAMENTO AREA
COUNCIL OF GOVERNMENTS**

WHEREAS, state law authorizes local agencies to establish policies governing the retention and destruction of documents; and

WHEREAS, the proposed Records Management Policy and Document Retention Schedule comply with applicable laws and guidelines regarding the retention of records; and

WHEREAS, by adopting the proposed Records Management Policy and Document Retention Schedule, the Board authorizes staff to destroy records once the required time for retention has been satisfied; and

NOW, THEREFORE, BE IT RESOLVED that the Sacramento Area Council of Governments Board of Directors hereby adopts the Records Management Policy and Document Retention Schedule attached as Attachment “B,” and delegates authority to the Executive Director to revise the Policy and Schedule as needed, with the assistance of General Counsel.

PASSED AND ADOPTED this 21st day of August 2008 by the following vote of the Board of Directors:

AYES:

NOES:

ABSTAIN:

ABSENT:

Tom Cosgrove
Chair

Mike McKeever
Executive Director

SACOG Document Retention Schedule

Attachment B

| OFR | Records Description | Retention Period | Comments |
|------------|--|---|---|
| SACOG-wide | Copies or duplicates of any record | Completion + 2 yrs | Staff must not keep any copy or duplicate once the original has been destroyed according to retention schedule. |
| SACOG-wide | Correspondence - routine (e.g. administrative, chronological, general files, e-mails, letters, memorandums, misc. reports, reading, working files, etc) | Current Year + 2 yrs | |
| SACOG-wide | Correspondence - transitory, not retained in the ordinary course of business (e.g. thank you's, telephone messages, calendars, e-mails, room meeting reservations, etc.) | No longer than 60 days | |
| SACOG-wide | Drafts, Notes, and Interagency or Intra-agency Memoranda: drafts that are revised | No longer than 60 days after project completion | |
| SACOG-wide | Reference Materials: Brochures, Manuals, Policies, Procedures & Reports: produced by SACOG | 5 years | |
| SACOG-wide | Reference Materials: Brochures, Manuals, Policies, Procedures & Reports: produced by outside agencies | Superseded + 2 years | |
| SACOG-wide | Surveys/Questionnaires conducted by SACOG (final summary) | 10 years | Retained for historical value |
| SACOG-wide | Surveys/Questionnaires conducted by SACOG (source documents used to produce a summary) | When final is adopted | Drafts not retained in the ordinary course of business; should be destroyed once final is adopted |
| SACOG-wide | Environmental Review Documents | Permanent | |

SACOG Document Retention Schedule

| OFR | Records Description | Retention Period | Comments |
|----------------|---|----------------------|---|
| Admin | Unsuccessful Proposals in response to RFPs/RFIs/RFQs | 2 yrs | |
| Admin | Successful Proposals in response to RFPs/RFIs/RFQs | Audit +5 yrs | |
| Admin | Agreements & Contracts - Under \$20K signed by Executive Director: Administrative, consultants, leases, professional services, transportation, etc. | Completion + 5 yrs | |
| Clerk of Board | Agendas | Permanent | |
| Clerk of Board | Agenda Packets - Board (includes agenda staff reports, agenda handouts, etc) | Permanent | |
| Clerk of Board | Agenda Packets - Committees (includes agenda staff reports, agenda handouts, etc) | Current Year + 2 yrs | Committees do not take action, but make recommendations to the full Board. |
| Clerk of Board | Agreements & Contracts approved by SACOG Bd: Administrative, consultants, leases, professional services, transportation, etc. | Completion + 5 years | |
| Clerk of Board | Agreements & Contracts approved by SACOG Bd: JPA's, MOUs w/other jurisdictions, | Completion + 5 yrs | |
| Clerk of Board | Retirement agreements | Permanent | |
| Clerk of Board | Board Members and Chair Correspondence | 10 yrs | E-mail correspondence transmitting documents shall be retained for the periods specified above for routine and transitory correspondence. |

SACOG Document Retention Schedule

| OFR | Records Description | Retention Period | Comments |
|----------------|--|---------------------|---|
| Clerk of Board | Bylaws/Joint Powers Agreements | Permanent | |
| Clerk of Board | Caltrans verification of compliance letters | 12 yrs | |
| Clerk of Board | Chronologic History of Board Members | Permanent | Historic and administrative value |
| Clerk of Board | Claims/Lawsuit/Litigation | Permanent | |
| Clerk of Board | Conflict of Interest Code | Permanent | |
| Clerk of Board | Correspondence - establishing policy (documents formation of policies or decision making process) | Completion + 5 yrs | |
| Clerk of Board | FPPC 700 series Forms: designated employees (specified in the Council's Conflict of Interest Code) | Termination + 7 yrs | SACOG maintains original statements |
| Clerk of Board | FPPC 700 series Forms: Board members and Executive Director | Termination + 4 yrs | Original statements are filed with FPPC. SACOG maintains copies only, which must be retained for 2 years. After 2 years, hard copies can be scanned and maintained digitally. |
| Clerk of Board | Historical records | Permanent | Clerk of Board and/or Executive Director determines historical significance |
| Clerk of Board | Minutes: Board of Directors | Permanent | |

SACOG Document Retention Schedule

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|----------------|--|--|----------------------------|--|
| Clerk of Board | Minutes: Committees | | Permanent | |
| OFR | Records Description | | Retention Period | Comments |
| Clerk of Board | Oaths of Office - SACOG Board Members & Officers | | 6 yrs after leaving office | |
| Clerk of Board | OWP adopted (original + final only) | | Permanent | |
| Clerk of Board | Records Management: Destruction Lists/Retention Schedule | | Superseded + 4 yrs | |
| Clerk of Board | Resolutions | | Permanent | |
| Clerk of Board | Rules & Procedures - Board | | Permanent | Historic and administrative value |
| Clerk of Board | Tapes/Recordings (Audio) SACOG Board meeting | | Current Year + 3 mos | |
| Finance | 1099's Issued | | 5 yrs | |
| Finance | Accounts Payable source records (all records and reports - includes requisitions, purchase orders, invoices, receivers, travel expense reimbursements, etc.) | | Audit + 5 yrs | |
| Financial | Affidavits of postings and publications | | Audit + 5 yrs | The affidavits of publication can be found with Accounts Payable documentation |

SACOG Document Retention Schedule

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|------------|---|--|-------------------------|--|
| Finance | Audits and audit management letters | | Permanent | Historic and administrative value |
| Finance | Budgets adopted, Budget amendments | | Permanent | For administrative value |
| OFR | Records Description | | Retention Period | Comments |
| Finance | Chart of Accounts | | Permanent | |
| Finance | Bank Reconciliation & Statements, Transaction Statements, Wire Transfers, Check Listing Audit Trailer, Deposits, Cancelled Checks | | Audit + 5 yrs* | * To the extent these documents relate to federally funded projects, they shall be retained throughout the course of the project, and for at least three years after the date of transmission of the final expenditure report. |
| Finance | DE-6 & 941 Forms - Quarterly Payroll Tax Returns | | Audit + 5 yrs | |
| Finance | Fixed Assets - inventory, etc. | | Audit + 5 yrs | |
| Finance | Fixed Assets - sold/auction/disposal/sales/surpluses | | Audit + 5 yrs | |
| Finance | Journal Entries | | Audit + 5 yrs* | * To the extent these documents relate to federally funded projects, they shall be retained throughout the course of the project, and for at least three years after the date of transmission of the final expenditure report. |
| Finance | Journals, Ledgers, Reconciliations, Registers, Reports Transaction histories, Balance Sheets, Budget Adjustments (monthly or periodic) does not include year-end General ledger | | Audit + 5 yrs* | * To the extent these documents relate to federally funded projects, they shall be retained throughout the course of the project, and for at least three years after the date of transmission of the final expenditure report. |

SACOG Document Retention Schedule

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|------------|--|--|------------------------------|--|
| Finance | Payroll Registers (all except year-ending) | | Audit + 5 yrs* | * To the extent these documents relate to federally funded projects, they shall be retained throughout the course of the project, and for at least three years after the date of transmission of the final expenditure report. |
| OFR | Records Description | | Retention Period | Comments |
| Finance | Payroll Registers (year-end) | | Permanent | |
| Finance | Time Sheets/Time Cards/Payroll Exception Reports with employee signatures | | Audit + 5 yrs* | * To the extent these documents relate to federally funded projects, they shall be retained throughout the course of the project, and for at least three years after the date of transmission of the final expenditure report. |
| Finance | W-2s | | 5 yrs | |
| Finance | General Ledger: final year-end | | Permanent | |
| Finance | Grant Agreements/Funding Contracts | | Project Termination + 5 yrs* | |
| HR | Accident/Incident/Injury Reports: employees/workers compensation (medical and non-medical) | | Closed + 7 yrs | |
| HR | Applications for Employment or Resumes (Unsolicited) - No comparable positions open | | 1 year | When no positions open, will be considered a preliminary document not materially impacting the conduct of the public's business and therefore not deemed part of recruitment practices |

SACOG Document Retention Schedule

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|------------|---|-----------------------------------|--|-----------------|
| HR | Applications for Employment or Resumes; Recruitment Files: Solicited: Brochure, advertisement, unsuccessful application, selection materials, etc. | Recruitment Deadline + 3 years | | |
| OFR | Records Description | Retention Period | | Comments |
| HR | Classification/Compensation/ Reorganization/Salary Studies (for employee classifications) | Current Year + 2 years | | |
| HR | Department of Fair Employment & Housing (DFEH or EEOC) Claims that are resolved administratively | Final Disposition + 7 years | | |
| HR | Employee Benefit Plans (health insurance, vision, dental, retirement, etc.) | Termination + 2 years | | |
| HR | Insurance Policies: Liability, Master Policies | Permanent | | |
| HR | MOUs w/SACOG Employee Association | Permanent | | |
| HR | Personnel Files, including W-4's | Term of Employment + 2 years | | |
| HR | Workers' Compensation Files | Permanent | | |