



Approved and Adopted  
September 19, 2017

**RECORDS MANAGEMENT  
POLICY MANUAL AND RETENTION  
SCHEDULE**

## Purpose & Scope

The purpose of this policy is to provide guidelines to staff regarding Arcata Fire Protection District (Arcata Fire District or AFD) records; provide for the identification, maintenance, safeguarding, the retention and disposal in the normal course of business; ensure prompt and accurate retrieval of records; and ensure compliance with legal and regulatory requirements.

In compliance with California Government Code Sections 61061(c), 60200 through 60203, and the Local Government Records Management Guidelines prepared by the Secretary of State, the following is intended to define an acceptable records retention and destruction policy for the Arcata Fire District. This policy will illustrate the District's authority in records management, delineate a records retention schedule, and discuss storage, archiving and destruction.

Definitions of records referred to in this document are found in **Appendix C**.

## Authorization

The Fire Chief 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 in this document.

The Fire Chief shall appoint the Business Manager as the Custodian of Records, who will oversee the records management program, including the Records Retention Schedule, found in **Appendix A**. The Custodian of Records will work closely with the Fire Chief and Chief Officers to promote the efficient and cost-effective conduct of District record keeping by reducing the number of records in active file areas, eliminating unnecessary retention of duplicate or obsolete documents and providing for timely transfer of inactive files in compliance with legal requirements.

## Records Retention Schedule

Establishment of a records retention policy and schedule allows the District to manage, maintain, retain, destroy or duplicate records in compliance with the applicable provisions of the California Government Code. The Records Retention Schedule for the Arcata Fire District is found in **Appendix A** of this document and defines Record Types, provides a description or examples of what meets the criteria for that record type and details the legal authority and minimum retention period prescribed by said legal authority. The schedule also includes the legal authority abbreviations utilized throughout the matrix.

## Storage

Permanent records should be kept in the original format, whenever feasibly possible. However, both storage limitations and the condition and age of original documents have impacts on the manner in which permanent records can be stored. In compliance with

the California Government Code, Arcata Fire District will retain all documents required to be kept as permanent, in storage at the Administrative Offices located in the McKinleyville Station Administrative Office at 2149 Central Avenue in McKinleyville, California.

Permanent records will also be archived as back-up in the manner prescribed in the following "Archive" section of this document. The archiving will not only allow for easier retrieval of records, but will also serve as an added safety measure for aging documents in the event they deteriorate with time.

Non-permanent records will be retained in compliance with the retention schedule for the minimum legal retention period and pursuant to the legal authority specified in Appendix A. These documents will also be maintained and stored at the McKinleyville Station Administrative Office in either hard copy or electronic format as determined by needed space. As with permanent records, non-permanent records may be archived for back up as prescribed. Further, these documents will be disposed of in compliance with the methods recommended in the destruction section of this document.

## Archiving

Certain documents require long term or permanent hard copy retention and others may be archived for purposes of storage and space saving. To ensure efficiency and economy in utilization of office space for active records, all files not updated or referenced on a regular basis can be transferred to storage.

Documents that are not required to be preserved as permanent or in its original format, may be duplicated and stored in an electronic format. The manner in which the Arcata Fire District will store and maintain its duplicated electronic documents, will be in the form of a Portable Document File (pdf) and stored on the Arcata Fire District Google Drive account which is maintained on the Google Cloud.

## Destruction

Once records have fulfilled their administrative, fiscal, or legal function, they should be disposed of as soon as possible in accordance with the Records Retention Schedule. This destruction should include originals, photocopies, and documents stored in any electronic format, unless the document is designated as a permanent record.

Records may be destroyed by shredding, recycling or via general disposal. Confidential records will be destroyed by shredding or other secure manner that preserves their confidentiality.

The Custodian of Records shall ensure destruction is coordinated and documented in accordance with this policy. Prior to permanent destruction, a list of records to be destroyed shall be presented to the Arcata Fire District Board of Directors for review. If there are no objections to the records due for destruction, the Board shall authorize the Fire Chief, in coordination with the Custodian of Records, via adoption of a Resolution, to proceed with destruction. **Appendix B** is a sample of an authorizing resolution.

## Appendix A

The following pages contain the Arcata Fire Protection District Records Retention Schedule. The matrix is broken down into columns that define or provide an example of a Type of Record, the Description or Example of the record, the Legal Authority by which the record should be retained or destroyed, and a Minimum Legal Retention Period.

Destruction of any record must be authorized by the legislative body (Gov. Code §§ 60200 – 60203). Approval by the Arcata Fire District Board of Directors shall be via a Resolution.

Legal Authority Abbreviations referenced in this appendix:

CCP	Code of Civil Procedure (California)
CCR	California Code of Regulations
CFR	Code of Federal Regulations
EC	Elections Code (California)
GC	Government Code (California)
IRC	Internal Revenue Code
IRS	Internal Revenue Service
LC	Labor Code (California)
PC	Penal Code (California)
R&TC	Revenue & Taxation Code (California)
USC	United States Code

Type of Record	Description or Example of Record	Legal Authority	Minimum Legal Retention Period
Accident/Illness Reports	Employee Medical Records & Employee Exposure Records (Not a public record) --includes Material Safety Data Sheets (MSDS)	8 CCR 14307 8 CCR 3204 GC 6254(c)	Length of employment + 30 yrs.
Accidents/Damage to District Property	Risk management administration	CCP 337.15	10 yrs.
Accounts Payable	Journals, statements, asset inventories, account postings with supporting documents, vouchers Invoices, checks, reports, investments, purchase orders	CCP 337 26 CFR 31.6001-1(e)(2)	Until audited + 5 yrs.
Accounts Receivable	Invoices, checks, reports, investments, receipt books	26 CFR 31.6001-1(e)(2)	5 yrs.
Affidavits of Publication / Posting	Legal notices for public hearings, publication of ordinances, etc.	None	5 yrs. for administrative purposes only
Agenda / Agenda Packets	Complete Agendas and packets should be imaged immediately. A paper copy will be maintained for one year only. The imaged or scanned (pdf) records may serve as the permanent record.	None	5 yrs. for administrative purposes only
Annexations / Reorganizations	Notices, Resolutions, Certificates of Completion	GC 60201	Permanent
Annual Financial Report/Audit Report	Independent auditor analysis Financial services; internal and/or external reports; independent auditor analysis	None	Permanently for administrative purposes

Type of Record	Description or Example of Record	Legal Authority	Minimum Legal Retention Period
Appraisals	For real property owned by District – Not a public record until real estate transaction is complete	None	Permanently for administrative purposes
Audit Hearing or Review	Documentation created and or received in connection with an audit hearing or review	None	Permanently for administrative purposes
Bank Account Reconciliations	Bank statements, canceled checks, certificates of deposit	26 CFR 31.6001-1(e)(2)	5 yrs.
Bids, Accepted	Includes plan and specifications; notices/affidavits.	60201; CCP 337, 337.1	5 yrs. after termination of contract or agreement
Bids, Unaccepted	Unaccepted bid packages only	GC 60201	5 yrs.
Bonds	Authorization/public hearing records/prospectus/proposals/certificates/notices (transcripts)/registers/statements.	GC 60201	Until Paid + 5 yrs.
Bonds – Paid/Cancelled	Paid or cancelled bonds; warrant certificates; interest coupons	GC 53921	5 yrs.
Bonds - Unsold	Unsold Bonds	GC 43900 et seq.	5 yrs.
Bonds - Final	Final bond documentation; monthly statement of transactions; supporting documents	GC 60201	Until Paid + 5 yrs.
Brochures/ Publications	Retain selected documents only for historic value.	None	5 yrs. for administrative purposes only
Budget, Annual	Adjustments, journal entries, account transfers	GC 60201	Until audited + 5 yrs.
Cal-OSHA	Personnel-Logs, Supplementary Record, Annual Summary (Federal & State-Cal OSHA)	LC 6410; 8 CCR 14307	5 yrs.
California State Tax Records	Forms filed annually; quarterly and year-end reports	R&TC 19530 R&TC 19704	6 yrs.
Checks	Includes payroll, canceled and voided checks	GC 60201 CCP 337	Until audited +5 yrs.

Type of Record	Description or Example of Record	Legal Authority	Minimum Legal Retention Period
Citizen Feedback	General correspondence.	None	5 yrs. for administrative purposes only
Claims Against the District	Paid/Denied	GC 60201 GC 25105.5	Until settled + 5 yrs.
Collective Bargaining Agreements	Contracts & Memorandum's of Understandings	29 CFR 516.5	Current + 5 yrs.
Complaints/Requests	Various files not related to specific lawsuits involving the District and not otherwise specifically covered by the retention schedule.	None	5 yrs. for administrative purposes only
Contracts	Original contracts, agreements, and back-up materials.	CCP 317, 318, 319, 337	5 yrs. after termination/completion; 5 yrs. after termination if real property related agreement
Correspondence	General correspondence, including letters and e-mail; Various files, not otherwise specifically covered by the retention schedule. Further guidance related to emails is found in the District's separate email retention policy.	None	5 yrs. for administrative purposes only
Deeds, Real Property	File with recorded documents; originals may not be destroyed.	GC 60201	Permanent
Deferred Compensation Reports	Finance - pension/retirement funds	29 CFR 516.5 29 CFR 1627.3	5 yrs.
Deposits, Receipts	Checks, coins, currency	GC 60201 CCP 337	Until audited + 5 yrs.
District Establishment Documents	Documents regarding the establishment/organizing of the Fire District: Certificate of Existence, LAFCO, Annexations	GC 60201	Permanent

Type of Record	Description or Example of Record	Legal Authority	Minimum Legal Retention Period
Easements, Real Property	File with recorded documents; originals may not be destroyed.	GC 60201	Permanent
Economic Interest Statements - Form 700 (copies)	Copies of statements forwarded to Fair Political Practices Commission.	GC 81009(f), (g)	5 yrs. (can image after 2 yrs.)
Economic Interest Statements - Form 700 (originals) - elected	Originals of statements of designated employees	GC 81009(e), (g)	7 yrs. (can image after 2 yrs.)
Economic Interest Statements - Not elected	FPPC filings	GC 81009(b)	5 yrs.
Election - Ballots - Prop. 218 (Assessment Districts)	Property related fees (Assessment Ballot proceeding)	California Constitution Art. XIII	Permanent
Election - Certificates of Election	Certificates of election; original reports and statements	GC 81009(a)(d)	Termination + 5 yrs.
Employee/Personnel Files	Personnel--Not a public record. Name, address, date of birth, occupation Rate of pay and weekly compensation earned Release authorizations; certifications; reassignments; outside employment; commendations; disciplinary actions; terminations; Oaths of Office; evaluations-pre-employee medicals. Volunteer program training - class training materials, internships. Paperwork documenting internal and external training. Certification/designations.	GC 12946 GC 6254(c) 29 CFR 1627.3 LC 1174 GC 60201 29 CFR 1627.3 29 CFR 1602.31 29 CFR 516.6 et. seq. 45 CFR 1068.6(a)	Length of employment + 7 yrs.
Employee/Personnel Medical Files	Part of Personnel file --not a public record. Includes medical records; exposure records, etc. (For employees of less than 1 year, no need to retain medical records if they are returned to employee upon termination)	29 CFR 1910.1020 8 CCR 3204 GC 6254(c)	Length of employment + 30 yrs.



Type of Record	Description or Example of Record	Legal Authority	Minimum Legal Retention Period
Employee & Volunteer Recruitment	Alternate lists/logs, ethnicity disclosures, examination materials, examination answer sheets, job bulletins	GC 12946 GC 60201 29 CFR 1602 et. seq. 29 CFR 1627.3	Current + 5 yrs.
Employee Rights - General	Firefighter Bill of Rights	GC 12946 29 CFR 1602.31	Length of employment + 7 yrs.
Employment Applications - Not Hired	Applications submitted for existing or anticipated job openings, including any records pertaining to failure or refusal to hire applicant	GC 12946 29 CFR 1627.3	5 yrs.
Employment Eligibility Verification (I-9 Forms)	Part of Personnel Files Federal Immigration and Nationality Act; Immigration Reform/Control Act 1986	8 USC 1324a (b)(3) Pub. Law 99-603	Length of employment + 7 yrs.
Employment - Surveys and Studies	Includes classification, wage rates	GC 12946 29 CFR 516.6	5 yrs.
Employment - Vehicle Mileage Reimbursement Rates	Annual mileage reimbursement rates	None	5 yrs.
Family and Medical Leave Act (Federal)	Records of leave taken, District policies relating to leave, notices, communications relating to taking leave	29 CFR 825.500 GC 12946	While employed + 5yrs.
Federal Tax Records	May include Forms 1096, 1099, W-4 and W-2	29 USC 436 26 CFR 31.6001.1-4 26 CFR 31.6001-1(e) 29 CFR 516.5-516.6	5 yrs. after file date

Type of Record	Description or Example of Record	Legal Authority	Minimum Legal Retention Period
Fixed Assets Inventory	Reflects purchase date, cost, account number	GC 60201	Until audited + 5 yrs.
Fixed Assets Surplus Property	Auction; disposal – Listing of property; sealed bid sales of equipment	GC 60201 CCP 337	Until audited + 5 yrs.
Fixed Assets Vehicle Ownership & Title	Title transfers when vehicle is sold.	VC 9900 et. seq.	Until sold + 5 yrs.
Gifts/Bequests	Receipts or other documentation	None	5 yrs. for administrative purposes only
Grants Community Development Block Grant (CDBG); Urban Development; other Federal and State grants	Grants documents and all supporting documents: applications, reports, contracts, project files, proposals, statements, sub-recipient dockets, environmental review, grant documents, inventory, consolidated plan, etc.	24 CFR 570.502 24 CFR 85.42	Until completed + 5 yrs.
Hazardous Materials - Hazardous Waste Disposal	Documents regarding handling and disposal of hazardous waste [Permanent retention of environmentally sensitive materials is recommended]	CAL OSHA;	Current + 10 yrs.
Hazardous Materials - Permits, Hazardous Materials Storage	[Permanent retention of environmentally sensitive materials is recommended]	GC 60201	Current + 5 yrs.
Hazardous Materials - Exposure Records, etc.	Employee exposure records; name/identity of chemical substance used; when & where chemical substance was used	8 CCR 3204(d) et. seq.	30 yrs.
Hazardous Materials - Underground Storage Tank	Compliance: Documents regarding: storage, location, installation, removal, remediation	GC 60201	Permanent
Insurance, Joint Powers Agreement	Accreditation, MOU, agreements and agendas	GC 60201	Current + 5 yrs.

Type of Record	Description or Example of Record	Legal Authority	Minimum Legal Retention Period
Insurance Certificates	Liability, performance bonds, employee bonds, property: Insurance certificates filed separately from contracts, includes insurance filed by licensees.	GC 60201	Current + 5 yrs.
Insurance, Liability/Property	May include liability, property, Certificates of Participation, deferred, use of facilities	GC 60201	Current + 5 yrs.
Insurance, Risk Management Reports	Federal OSHA Forms; Loss Analysis Report; Safety Reports; Actuarial Studies	29 CFR 1904.44 GC 60201	Current + 5 yrs. (Federal)
Invoices	Copies sent for fees owed, billing, related documents	GC 60201	Until audited + 5 yrs.
Legal Notices/Affidavits of Publication	Public Hearings publications, Ordinance publications etc.	GC 60201	5 yrs.
Litigation	Case files	GC 60201	Until settled or adjudicated + 5 yrs.
Maintenance Manuals	Equipment service/maintenance	GC 60201	Current + 5 yrs.
Maintenance/Repair Records	Equipment	GC 60201	Current + 5 yrs.
Minutes	Minutes of District Board meetings. Documents are to be imaged immediately. Paper records are to be maintained permanently by the Board.	GC 60201	Permanent
Oaths of Office	Elected and public officials – Board Members	GC 60201 29 USC 1113	Current + 6 yrs.
Ordinances	Vital records - originals may never be destroyed. Image immediately.	GC 60201	Permanent
OSHA	OSHA Log 200, Supplementary Record, Annual Summary (Federal & State-Cal-OSHA)	LC 6410; 8 CCR 14307 29 CFR 1904.2 - 1904.6	5 yrs.
OSHA (Accident/Illness Reports)	Personnel - Employee Exposure Records & Employee Medical Records Not a public record	LC 6410; 8 CCR 14307; 8 CCR. 3204; GC 6254(c)	Duration of employment plus 30 yrs.

Type of Record	Description or Example of Record	Legal Authority	Minimum Legal Retention Period
Payroll - Federal/State Reports	Annual W-2's, W-4's, Form 1099s, etc.; quarterly and year-end reports	GC 60201	7 yrs.
Payroll Deduction/ Authorizations	Finance documents	29 CFR 516.6(c) GC 60201	Current + 7 yrs.
Payroll, registers	Finance documents	29 CFR 516.5(a) LC 1174(d) GC 60201	Current + 7 yrs.
Payroll records, terminated employees	Finance files	29 CFR 516.5 GC 60201	Current + 7 yrs.
Payroll, time cards/sheets	Employee records	GC 60201	Current + 7 yrs.
Payroll - Wage Rates / Job Classifications	Employee records	GC 60201	Current + 7 yrs.
PERS - Employee Benefits	Retirement Plan	29 USC 1027	6 yrs.
Personnel Records	Other records (not payroll) containing name, address, date of birth, occupation, etc., including records relating to promotion, demotion, transfer, lay-off, termination	29 CFR 1627.3	5 yrs.
Personnel Rules and Regulations	Including employee handbook	GC 60201	Current + 5 yrs.
Petitions	Submitted to legislative bodies	GC 60201	Current + 5 yrs.
Policies, Administrative	All policies and procedures, directives rendered by the District not assigned a resolution number	GC 60201	Current + 5 yrs.
Policies, District Board	Original policies adopted by the District Board	GC 60201	Current + 5 yrs.
Press Releases	Related to District actions/activities.	None	5 yrs. for administrative purposes only
Procedure Manuals	Administrative.	GC 60201	Current + 5 yrs.
Property, Abandonment	Buildings, condemnation, demolition	GC 60201	Permanent
Property Acquisition/ Disposition/Surplus	District owned. Supporting documents regarding sale, purchase, exchange, lease or rental of property by District	CCP 337.15	10 yrs.

Type of Record	Description or Example of Record	Legal Authority	Minimum Legal Retention Period
Public Records Request	Requests from the public to inspect or copy public documents	GC 60201	5 yrs.
Purchasing RFQ's, RFP's	Requests for Qualifications; Requests for Proposals regarding goods and services and all supporting documentation and submissions	GC 60201	Current + 5 yrs.
Purchasing, Requisitions, Purchase Orders	Original Documents	GC 60201 CCP 337	Until audited + 5 yrs.
Recordings - audiotaped	Taped recordings of Board meetings - for preparation of Board meeting minutes	GC 54953.5	30 days
Recordings, videotaped – meetings of legislative bodies	Tapes of public meetings made by or at the direction of the District (e.g., Board meetings)	GC 54953.5	30 days
Records Management Disposition Certification	Documentation of final disposition of records	GC 60201	Permanent
Records Retention Schedules	Previously adopted schedules	GC 60201	Current + 5 yrs.
Recruitments and Selection	Records relating to hiring, promotion, selection for training	29 CFR 1627.3	5 yrs.
Resolutions	Vital records - originals may never be destroyed. Image immediately.	GC 60201	Permanent
State Tax Records	Filed annually; quarterly	Refer to Federal Tax Records	5 yrs. after file date
Taxes, Special	Special tax levied by a local agency on a per parcel basis	CCP 338(m)	Until audited + 5 yrs.
Unemployment Insurance Records	Unemployment Notices, Letters, Claims	IRC 3301-3311	5 yrs.
Workers Compensation Files	Work-injury claims (including denied claims); claim files, reports, etc.	8 CCR 10102 8 CCR 15400.2	Until settled + 5 yrs.

## Appendix B

### Resolution Number: XX-XXX

#### **A RESOLUTION OF THE ARCATA FIRE PROTECTION DISTRICT BOARD OF DIRECTORS AUTHORIZING THE DESTRUCTION OF CERTAIN FIRE DISTRICT RECORDS**

**WHEREAS**, in compliance with Resolution XX-XXX, the Board authorizes for the destruction of certain records pursuant to the records retention schedule; and

**WHEREAS**, the Chief of the Arcata Fire Protection District has requested permission to destroy certain records, the exact nature and extent of which are set forth in Exhibit A, and by this reference made a part hereof; and

**WHEREAS**, said request is in accordance with the procedures and requirements of Sections 60200 through 60203 of the California Government Code; and

**WHEREAS**, the requested list of records to be destroyed shown in Exhibit A has been reviewed and approved by District Counsel.

**NOW THEREFORE, BE IT RESOLVED THAT** by the Arcata Fire Protection District Board of Directors that the Fire Chief is hereby authorized and directed, in accordance with Section 60203 of the Government Code of the State of California, to destroy the records described on the document marked Exhibit A, attached hereto and made a part hereof.

**ADOPTED, SIGNED AND APPROVED** at a duly called meeting of the Board of Directors of the Arcata Fire Protection by the following polled vote:

Ayes:

Nays:

Abstain:

Absent:

**DATED:** (Insert Date)

Signed:

\_\_\_\_\_  
NAME, President

Attest:

\_\_\_\_\_  
NAME, Board Clerk/Secretary

## Appendix C

The California Secretary of State Local Government Records Management Guidelines define **Records** as all papers, maps, exhibits, magnetic or paper tapes, photographic films and prints, punched cards, and other documents produced, received, owned or used by an agency, regardless of physical form or characteristics. These “Records” may be broken down further and can have additional definitions that may include, but are not limited to the following:

### **Definitions:** *(in alphabetical order)*

**Active Records** – As a measure of activity for records that are referred to at least once a month per cubic foot of records. 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 its function. (See also Perpetual Record)

**Administrative Records** – Records commonly found in all offices and typically retained only for short time periods – less than five years. Examples include subject, chronological, budget, and policy files.

**Archival Records** - Records with enduring value because they reflect significant historical events, document the history and development of an agency, or provide valuable research data.

**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.

**Local Government** – Government Code, Section 6252 states: “Local Agency’ includes a county; city, whether general law or chartered; city and county; school district; municipal corporation; district; political subdivision; or any board, commission or agency thereof; other local public agency; or nonprofit entities that are legislative bodies of a local agency pursuant to subdivisions (c) and (d) of Government Code, Section 54952.”

**Non-Records** - 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, stocks 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**)

**Permanent Records** – Records that are required in perpetuity, usually identified by statute or other written guidance. Examples include original birth certificates, death certificates, Spanish land grants, etc.

**Perpetual Records** – Records retained for an indefinite period of time and then stored or destroyed after some event takes 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, etc.

**Program Records** - Records that relate to the primary function of the agency in response to its daily mission. Examples include lien files, recorders files, election files, probate records, medical records, etc.

**Public Records** - Any 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.

**Records** - All papers, maps, exhibits, magnetic or paper tapes, photographic films and prints, punched cards, and other documents produced, received, owned or used by an agency, regardless of physical form or characteristics.

**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. It assists the agency by documenting which records require office or temporary storage, which records have historic or research value, and which records should be destroyed because they no longer have any administrative, fiscal, or legal value. In the event of litigation, courts accept a retention schedule as establishing an agency's "normal course of doing business".

**Retention Period** – 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 an approved Records Retention Schedule.