

**RESOLUTION OF THE  
AIR POLLUTION CONTROL DISTRICT BOARD,  
COUNTY OF SANTA BARBARA, STATE OF CALIFORNIA**

**In the Matter of Adoption of:** ) Resolution No. 13-06  
 )  
 **Revisions to the** )  
 **District Records Retention Policy** )  
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**RECITALS**

- 1) Whereas, the District adopted a District Records Retention Policy in 1998 and it has been subsequently amended; and
- 2) Whereas, a triennial review of the Policy has been completed and minor amendments made; and
- 3) Whereas, Government Code section 60201 authorizes the destruction of district records where such destruction will not adversely affect any interest of the district or the public; and
- 4) Whereas, Government Code section 60201(b) authorizes the legislative body of a district to authorize the destruction of records pursuant to a record retention schedule; and
- 5) Whereas, this Board has reviewed the proposed amendments to the District Records Retention Policy and determined that good cause exists to adopt these amendments; and
- 6) Whereas, this Board has held a public hearing on this matter and considered any public comment that has been made.

**NOW, THEREFORE, IT IS HEREBY RESOLVED THAT:**

- 1) This Board finds that the District Records Retention Policy attached to this Resolution will provide for the destruction of the records on the schedule that will not adversely affect any interest of the District or of the public; and
- 2) The Board hereby adopts the District Records Retention Policy as set forth in the Attachment to this Resolution; and
- 3) The Board authorizes the Control Officer to do such acts as may be necessary and proper to implement this Policy consistent with applicable state and federal law.

**PASSED AND ADOPTED** by the Santa Barbara County Air Pollution Control District Board, County of Santa Barbara, State of California, this 20<sup>th</sup> day of June 2013, by the following vote:

AYES: Carbajal, Wolf, Farr, Adam, Lavagnino, Sierra, Clark, Aceves, Rubalcaba-Almaguer, Costa, Schneider, Patino, Richardson.

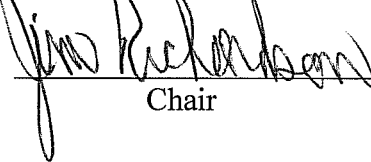
NOES: None.

ABSTAIN: None.

ABSENT: None.

SANTA BARBARA COUNTY  
AIR POLLUTION CONTROL DISTRICT


By

  
Chair

**ATTEST:**

LOUIS D. VAN MULLEM, JR.  
Clerk of the Board

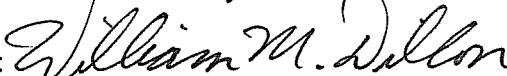
By

  
Deputy

**APPROVED AS TO FORM**

DENNIS A. MARSHALL  
Santa Barbara County Counsel

By:

  
Deputy

**DISTRICT RECORDS RETENTION POLICY**

August 20, 2009 June 20, 2013

ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	RETENTION POLICY	REMARKS
1	<b>-DISTRICT CHRON FILES</b> – General, routine correspondence issued by District Staff filed chronologically.	-Fiscal year plus 5 years after issuance.	-District
2	<b>LITIGATION FILES</b> - Case files containing pleadings and Counsel correspondence, memo's, etc. regarding litigation matters.	Fiscal year plus 5 years after case is closed.	Maintained by District Counsel
3	<b>CLAIM FILES</b> - Files pertaining to claims for tort, contract, etc., against the APCD; a. -Claims which do not develop into lawsuits. b. -Claims which do develop into lawsuits.	Fiscal year plus 3 years after receipt.	Clerk of the District Board
4	<b>CONTRACTS</b> - Land, buildings or improvements.	Fiscal year plus 3 years after claim is settled. Permanent.	Clerk of the District Board District
5	<b>COMPUTER NETWORK BACKUP TAPES</b>	Fiscal year plus 5 years	District
6	<b>EMAIL BACKUP TAPES</b>	6 months 42 calendar days.	District
7	<b>-GRANT AGREEMENTS</b>	Fiscal year plus 5 years after grant expires.	District
8	<b>DOCUMENTS WITHHELD FROM PUBLIC RECORDS ACT REQUEST</b>	Fiscal year plus 2 years after District denied the request.	Gov. Code §60201(d)(5)
9	<b>NOTES, OR INTERAGENCY OR INTRA-AGENCY MEMORANDA</b> - that are not retained by the District in the ordinary course of business, if the public interest in withholding these records clearly outweighs the public interest in disclosure. (This category applies to most email sent and received by the District.)	Zero retention required unless the public interest in withholding outweighs the public interest in disclosure.	District
10	<b>GENERAL REFERENCE FILES AND REFERENCE LIBRARY</b> - Documents and correspondence of interest to management. Includes materials such as reports, historical records, studies, statistical analyses, texts, etc.	Fiscal year plus 2 years after receipt.	District

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11	<b>PURCHASE ORDERS</b> - Purchase requisition forms and correspondence relating to acquisitions of supplies equipment, agreements, services, etc. with vendors.	Fiscal year plus 5 years.	District
12	<b>WORK REQUESTS</b>	Fiscal year plus 1 year.	District
13	<b>FIXED ASSET INVENTORY</b> - Inventory of all departmental fixed assets.	Fiscal year plus 5 years.	District
14	<b>REQUEST FOR WARRANTS</b>	Fiscal year plus 5 years or anytime after authorized reproduction.	Government Code §26907 Maintained by Auditor-Controller
15	<b>TRAVEL EXPENSE CLAIMS</b> - Includes mileage and expense claims.	Fiscal year plus 5 years.	District. Government Code §26907
16	<b>BI-WEEKLY TIMECARDS</b>	Fiscal year plus 5 years or after audit (2) years minimum.	District
17	<b>BI-WEEKLY PAYROLL REGISTERS</b> - Payroll information for all employees including benefit deductions.	Fiscal year plus 7 years or after audit. These records are retained on CD.	District
18	<b>FINAL BUDGET</b>	Permanent.	District
19	<b>PROPOSED BUDGET</b>	Fiscal year plus 5 years after issuance.	District
20	<b>CONTRACTS</b> - Routine maintenance, service, independent contractors	Fiscal year plus 5 years after contract expires.	District (Statute of limitations is 4 years. (CCP 337)
21	<b>AUDIT REPORTS</b> - Audits prepared by District or commissioned by Auditor-Controller	Fiscal year plus 10 years.	District
22	<b>PAYMENTS AND CLAIMS</b> - Payments, claims and invoices for materials and services. Includes transfers and other billings.	Fiscal year plus 5 years.	District
23	<b>FIXED ASSET RECORDS</b>	Fiscal year plus 5 years after asset is retired.	District
24	<b>JOURNAL ENTRY</b> - Used to enter postings to general ledger that are not automatically entered by the accounting system.	Fiscal year plus 3 years.	District

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25	<b>DEPOSIT RECORDS:</b> - Records documenting receipt and deposit of funds in Treasury.	Fiscal year plus 5 years after audit.	Treasurer/District
26	<b>LOANS - LONG TERM:</b> - Records of long term loans to District used for special projects and verify expenses. Includes accounting records.	Fiscal year plus 5 years.	District
27	<b>CAPITAL LEASES:</b> - Includes all information on all capital leases to keep track of payments on leases and for annual financial report. Includes copies of all leases on file and a capital lease schedule.	-Fiscal Year plus 5 years after final payment.	District
28	<b>ACCOUNTS RECEIVABLE:</b> - Includes invoices, attachments, backup copies and remittance advices. Filed by account and invoice number.	Fiscal year plus 5 years after final payment made.	District
29	<b>PAYROLL TAX RECORDS</b> - Basic employee data including name, address, and gender. Annual calendar year compensation records including: Amount of annual payment, straight time and overtime hours/pay, pension payments, fringe benefits paid, deductions, amounts of wages subject to withholding and actual taxes withheld.	Paper records: calendar year plus one, annual financial audit, whichever comes first. Payroll Processor compact disks: Fiscal year plus 7 years for salary information and 15 years for state and federal tax report records, and employee W-2 forms.	Federal Insurance Contribution Act, Federal Income Tax Withholding Act
30	<b>HEALTH AND WELFARE PLAN DOCUMENTS</b> - Summary plan descriptions (updates including changes and modifications) annual reports, notice of reportable events (plan amendments that may decrease benefits) and plan terminations.	Fiscal year plus 6-years from date of reportable events.	Employee Retirement Income Security Act
31	<b>INS FORM I-9</b>	One year after date of termination	Immigration Reform and Control Act
32	<b>INDUSTRIAL INJURY FILES</b> - Forms, employee correspondence and reports relating to employees' injuries and illness.	Fiscal year plus 5 years.	OSHA
33	<b>MERIT, PROBATION, ANNUAL REVIEW LISTS</b> - Indicates the date of employee reviews. (printouts-monthly).	Fiscal year plus 2 years.	District

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33	<p><b>EMPLOYEE PERSONNEL FOLDERS</b> - Personnel records relating to hires, rehires, tests used in employment, promotion, transfers, demotions, terminations or discharge.</p>	Fiscal year plus 5 years after employee leaves.	Age Discrimination in Employment Act
34	<p><b>EMPLOYEE BENEFITS FOLDER</b> - District benefit plan enrollment forms; all medical plan and related enrollments and change requests; beneficiary forms; life insurance; all health and welfare related documents; coverage declinations; all COBRA related notices and COBRA enrollment documents.</p>	Fiscal year plus 5 years after employee leaves.	District
35	<p><b>PERSONNEL REQUISITIONS</b> - Forms and correspondence regarding filling of departmental positions including inquiries, resumes and applications.</p>	Fiscal year plus 2 years.	District
36	<p><b>EMPLOYEE LEAVES OF ABSENCE</b> - Basic employee data including name, address, occupation, rate of pay, daily and weekly hours worked per pay period, additions to/deductions from wages and total compensation. Dates and hours of leave taken by eligible employees. Copies of employee notices and documents describing employee benefits or policies and practices regarding paid and unpaid leave. Records of premiums payments of employee benefits. Records of any disputes regarding the designation of leave.</p>	Fiscal year plus 7 years.	Family Medical Leave Act and California Family Rights Act
37	<p><b>OSHA Records</b></p>		Title 8 of California Code of Regulations
	<p>a. -Records of scheduled and periodic inspections required by §3203(a)(4) to identify unsafe conditions and work practices.</p>	Fiscal year plus 2 years.	District 8 CCR §-32-03
	<p>b. -Employee safety and health training records.</p>	Fiscal year plus 2 years.	District

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48-4	<b>ANNUAL EMISSION INVENTORY REPORTS</b>	Fiscal year plus 1 year after all source permits are cancelled or expired.	District
49-4	<b>LAND USE FILES</b>	Fiscal year plus 5 years after project is approved or denied.	District
50-4	<b>AIR QUALITY MONITORING FILES</b>	Fiscal year plus 5 years.	District
51-4	<b>RULES:</b> - District files related to adoption, amendment and repeal of District rules and regulations.	Permanent. If electronically reproduced, may be destroyed fiscal year plus 5 years.	Maintained by District Gov. Code §60201(d)(2)
52-5	<b>INNOVATIVE TECHNOLOGY GROUP AND CARL MOYER PROGRAM GRANT FILES.</b>	Fiscal year plus 7 years after grant is expired.	District. Carl Moyer 2008 Guidelines
53-5	<b>CLEAN AIR PLAN FILES</b>	Fiscal year plus 3 years after a plan is superseded, repealed or otherwise invalid or unenforceable.	District
54-5	<b>PUBLIC RECORDS ACT REQUESTS</b>	Fiscal year if granted, or fiscal year plus two years if request is denied.	District. Gov. Code §60201(d)(5)
55-5	<b>DUPLICATIVE FILES</b> - (as defined in Gov. Code §60200.)	May be destroyed at any time.	Gov. Code §60200
56-	<b>CREDIT CARD AUTHORIZATION FORMS</b> - Credit card authorization forms with receipt proof of processing.	Fiscal year plus 5 years after processing - must be shredded.	District

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