

***Stanislaus County Employees'  
Retirement Association***



**RECORDS RETENTION POLICY & SCHEDULE**

**Policy 1001**

November 19, 2019

## **Purpose**

To provide guidance to Stanislaus County Employees' Retirement Association (StanCERA) for efficient record management including the, retention and disposal of records in accordance with their administrative, legal, fiscal, and historic value.

## **Authority**

County Employees Retirement Law of 1937 ("CERL"): Government Code §31537,  
*"The board may establish efficient records management procedures, which may include, but not need to be limited to, maintenance and, when determined by the board to be necessary, disposal of records in its jurisdiction."*

Local Government Records Program, Government Code §12236, establishes guidelines for local government records retention.

Uniform Electronic Transaction Act, Civil Code §1633.1, provides requirements for an electronic record to be retained in lieu of the paper record. The law allows the electronic documents and electronic signatures to be enforceable in the same manner as paper documents.

## **Procedure**

- I. This policy applies to official records. "Official Records" are records that reflect the final-official position or activities of StanCERA related to the specific content of record. StanCERA is not required to retain unofficial records. Unofficial records consist of works in progress, preliminary drafts, and copies of notes and records that have either not been finalized or approved.
- II. The Executive Director or Designee shall assume the duties of Records Manager and shall maintain a Records Retention Schedule listing the specific time frames to regularly purge documents consistent with this Policy and the law.
- III. Records shall be retained for at least the minimum period indicated in the Records Retention Schedule. Unless otherwise noted, the retention period on the schedule applied to all documents.
- IV. Board action is not required for the destruction of documents in accordance with the Records Retention Schedule.
- V. Minimum retention period shall be consistent with applicable laws, orders, rules, and regulations. When no such mandate exists, a reasonable retention period shall be established based upon StanCERA's business needs and the usefulness of the information. Once records have reached the end of their retention period, they will be disposed of in accordance with the Records Retention Schedule.
- VI. Imaged files or other electronic reproduction of records shall be deemed an "original" record of the paper record and the paper records may be destroyed, upon determination by the Executive Director, or Designee under the following conditions:
  - a. Records that were electronically imaged or recorded on a medium that is a trusted system that does not permit additions, deletions, or changes to the

original document;

- b. Device used to reproduce the record, paper, or document on the medium is one which accurately and legibly reproduces the original thereof, in all details and that does not permit additions, deletions, or changes to the original document images;
- c. Imaged or reproduced records are used by StanCERA in the ordinary conduct of its business in lieu of the paper records and made as accessible for public reference as the paper records were;
- d. Original paper documents can be destroyed after 30 days after imaged and committed to electronic record management system;
- e. A true electronic copy or paper copy of archival quality shall be kept in a safe and separate location for security purposes; and
- f. No pages of any record shall be destroyed if any page cannot be reproduced with full legibility. Every unreproducible page shall be permanently preserved in a manner that will afford easy reference.

VII. Exceptions to the Records Retention Policy may be made by the appropriate Manager in consultation with the Executive Director.

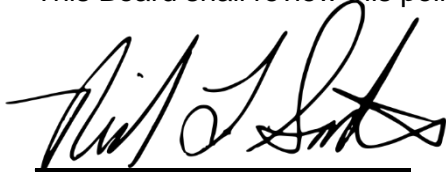
#### **Litigation Hold**

When StanCERA is involved in or anticipates that it may be involved in litigation, General Counsel will issue a litigation hold. This means all documents relating to the litigation matter must be kept in order to preserve any potential evidence. If StanCERA fails to do so, StanCERA can be sanctioned by the court for destroying evidence. A court has broad authority to impose these sanctions, which may include anything from unfavorable procedural rulings during trial to payment of monetary damages.

In the event StanCERA's General Counsel announces a litigation hold on any or all StanCERA records as a result of pending or anticipated litigation, all records covered by such litigation hold **MUST NOT** be discarded, deleted, or destroyed. Further, the IT department will suspend the automatic deletion of emails for all individuals covered by the litigation hold. Any questions regarding the litigation hold should be directed to General Counsel.

#### **Policy Review**

This Board shall review this policy at least every three years.



Rick Santos, Executive Director

POLICY APPROVAL DATE: November 19, 2019

## Records Retention Schedule

Government Code §25501.5, §26907, §31537

RECORD	RETENTION PERIOD	AUTHORITY/COMMENTS
<b>Administration/Governance</b>		
Board of Retirement Approved Policies	Permanent	Most recent electronic version is maintained or accessible by link on StanCERA Website. Previous versions are archived electronically.
Board of Retirement & Committee Agenda & Attachments/Minutes/Notices	Permanent	Agenda, minutes, and attachments are archived electronically.
Board of Retirement & Committee Meeting Audio/Video Recording	Permanent	File is formatted and sent to County I.T. Department and uploaded to County Media Server.
Board of Retirement Due Diligence Records	Permanent	
Board of Retirement Resolutions	Permanent	Most recent electronic version is maintained or accessible by link on StanCERA Website. Previous versions are archived electronically.
Trip Authorizations	FY + 5 Years	
Bylaws & Regulations	Permanent	Most recent electronic version is maintained or accessible by link on StanCERA Website. Previous versions are archived electronically.
Code of Fiduciary Conduct & Ethics	Permanent	Most recent electronic version is maintained or accessible by link on StanCERA Website. Previous versions are archived electronically.

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<b>RECORD</b>	<b>RETENTION PERIOD</b>	<b>AUTHORITY/COMMENTS</b>
Conflict of Interest Code	Permanent	Most recent electronic version is maintained or accessible by link on StanCERA Website. Previous versions are archived electronically.
County Employees Retirement Law of 1937 (CERL)	Permanent	Most recent electronic version is maintained or accessible by link on StanCERA Website. Previous versions are archived electronically.
Office Correspondence	Department Head or Designee Discretion	
<b>Fiscal Services</b>		
Accounts Payable expenditure vouchers & invoices	FY + 5 years	
Accounts Receivables ledgers and schedules	FY + 5 years	
Active Contribution Document	Permanent	
Contracts (investment managers, investment consultant, auditors, actuary, etc.)	Active + 5 years	
Contribution batch detail	Permanent	
Departmental Receipts	FY + 5 years	
Deposit Permits	FY + 7 years	
Financial Statements, Auditors Reports & Workpapers	Permanent	
Forms: 1099 MISC	FY + 4 years	
Forms: 1099R's	FY + 4 years	1099R Data is stored in member record files and document may be reproduced if necessary.

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<b>RECORD</b>	<b>RETENTION PERIOD</b>	<b>AUTHORITY/COMMENTS</b>
Garnishments	After final payment + 5 years	
General Ledger	Permanent	
Internal Audits	FY + 5 years	
Inventories of StanCERA Property	FY + 5 years	
Investment Asset Lists	Permanent	
Investment Reconciliations	FY + 5 years	
Journal Vouchers	FY + 5 years	
Oracle/QB's, Refund & Contribution Reconciliations	FY + 5 years	
Payroll Reports (Federal & State)	FY + 15 years	
Proposed Budgets, Final Budget	Permanent	
Purchasing Card Documentation	FY + 5 years	
Retiree Payroll (detail & checks/advices)	FY + 15 years	
Stale Dated Checks & Stop Payment Documents	FY + 5 years	
State Controller's Office & Census Bureau Reports	Permanent	
<b>Member Services/Benefits</b>		
Member Records	Life of member & beneficiary, plus 7 years	Members records are contained in Arriovs Imaging System. All documents received from or regarding member are scanned and verified to the member's

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RECORD	RETENTION PERIOD	AUTHORITY/COMMENTS
		record, including initial membership documents, application for retirement, etc.
<b>StanCERA Personnel</b>		
Stanislaus County is the employee of record for StanCERA		
Accident Reports, Injury Claims, Settlements	Duration of employment	Destroy upon termination, send official record to Stanislaus County Personnel
Applications, Changes, & Terminations	Duration of employment	Destroy upon termination, send official record to Stanislaus County Personnel
Attendance Records	Duration of employment	Destroy upon termination, send official record to Stanislaus County Personnel
Employee Contracts	Duration of employment	Destroy upon termination, send official record to Stanislaus County Personnel
Insurance Records, Employees	Duration of employment	Destroy upon termination, send official record to Stanislaus County Personnel
Evaluation Forms	Duration of employment	Destroy upon termination, send official record to Stanislaus County Personnel
Garnishments	Duration of employment	Destroy upon termination, send official record to Stanislaus County Personnel
Job Descriptions	Duration of employment	Destroy upon termination, send official record to Stanislaus County Personnel
Payroll Records	Duration of employment	Destroy upon termination, send official record to Stanislaus County Personnel

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<b>RECORD</b>	<b>RETENTION PERIOD</b>	<b>AUTHORITY/COMMENTS</b>
Workers Compensation	Duration of employment	Destroy upon termination, send official record to Stanislaus County Personnel