

FEATHER RIVER AIR QUALITY MANAGEMENT DISTRICT
MEMORANDUM
10/07/2024

TO: FRAQMD BOARD OF DIRECTORS
FROM: Christopher Brown AICP, APCO
SUBJECT: Approve Feather River Air Quality Management District Records
Retention Schedule

RECOMMENDATION:

Approve Feather River Air Quality Management District Records Retention Schedule.

BACKGROUND:

The Feather River Air Quality Management District Consultant Regional Government Services has drafted a Records Retention Schedule for the District.

The schedule has been reviewed by District Staff, the Air Pollution Control Officer and approved by District Legal Counsel.

FISCAL IMPACT:

None

LIST OF ATTACHMENTS:

Attachment 1: Retention Schedule

Feather River Air Quality Management District Records Retention Schedule

Version I

Date of Adoption October 7, 2024

This Records Retention Schedule identifies general record types most often used by the Feather River Air Quality Management District (FRAQMD) in its operations. In accordance with California Government Code Section 60201, this schedule and any updates must be approved by the District's Board of Directors. When a specific record does not fall into one of the general classifications or is present in multiple classifications, then District staff will determine the general record type to place it in for the purposes of retention.

The term "Record" refers to any "writing", as defined by Government Code section 7920.545, containing information relating to the conduct of the public's business prepared, owned, used, or retained by the District regardless of physical form or characteristics, as defined by the California Public Records Act.

The District's program aims to manage records effectively to support the District's public purposes, ensure easy retrieval, and comply with legal requirements. The schedule specifies retention periods for each record type, with records categorized by their retention duration. Some records are kept permanently due to their ongoing importance; others are retained for a defined period after their use.

Records with long-term use, such as blueprints, equipment manuals, contracts, and grants, include a note indicating the event that starts the retention period. The category of a record is based on its content rather than its format, meaning that paper, emails, and electronic data follow the same retention rules based on their content type. When a record is scanned and stored in a Trusted Environment, the original paper record can be destroyed.

Instructions for Use

1. **Classification:** Classify each record according to the type listed in the schedule.
2. **Retention Period:** Follow the retention period specified for each record type.
3. **Legal Citation:** Refer to the provided legal citations to ensure compliance with relevant laws and regulations.
4. **Final Disposition:** After the retention period has expired, proceed with the final disposition action, either archiving or destroying the records as indicated.
5. **Regular Review:** Regularly review and update the retention schedule to ensure compliance with current laws and operational needs.
6. **Compliance:** Ensure adherence to California state laws and regulations concerning records retention and disposal.

Final Disposition Categories

- **Permanent:** Records that must be kept indefinitely.
- **Archive:** Records that should be preserved but not necessarily kept in active use. If digitized, the original can be destroyed.
- **Destroy:** Records that should be securely disposed of after the retention period.

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1. Administrative Records

Record Type	Description	Retention Period	Notes	Final Disposition
1.1 Board Meeting Agendas, Minutes, Ordinances	Agendas and Minutes of FRAQMD board meetings (including advisory committees)	Permanent	GC §60201	Archive
1.2 Agency Formation	Relates to formation, change of organization, or reorganization of the district	Permanent	GC §60201	Archive
1.3 Requests from Public	Public Records Requests and responsive records	3 years	GC §60201	Destroy
1.4 IT and Computer Operations Records	Systems logs, configuration files, maintenance records, backup files, incident reports, annual reports	3 years	GC §12168.7	Destroy
1.5 General Correspondence	Routine administrative communications, interoffice memoranda, calendars, email, electronic communication	2 years		Destroy
1.5 General Correspondence	Routine administrative communications, interoffice memoranda, calendars, email, electronic communication	2 years		Destroy
1.6 Executive Files	Chronological correspondence files, conflict of interest forms, lobbyist employer/lobbyist registration	Termination +5 years		Destroy
1.7 Policies and Procedures	Documents outlining FRAQMD policies and procedures	Until Superseded + 2 years		Destroy
1.8 Hearing Board Files	All case related files	Final Compliance + 7 years		Destroy
1.9 Board Files	Oaths of office, expense reports for Advisory Council, Board Hearing Board, Board member correspondence, travel authorizations, and expense claims	End of Term + 7 years	GC §60201	Destroy
1.10 Contracts	Contract files and any related task orders or purchase orders,	Contract Final	CCP §337	Destroy

FRAQMD Records Retention Schedule

Record Type	Description	Retention Period	Notes	Final Disposition
	bids, RFPs, RFQs, contractor timesheets, logs	Expiration + 5 years		
1.11 Building Records	Original blueprints, equipment information, maintenance information, construction drawing and information	Life of Building	H&S §19850	Destroy
1.12 Software/Hardware Licenses and Agreements	Enterprise System Catalogue	Length + 4 years	CCP §337	Destroy
1.13 Fleet Vehicle Records	Vehicle maintenance expenses, mileage reports, registration fees	Vehicle + 2 years	13 CCR §1234(c)	Destroy
1.14 Permit Application Records	Authority to Construct documents, Permit to Operate documents, banking documents, registration documents, application forms, permit exemptions, burn permits, engine registrations, blasting permits, temporary permits	Life of Permit + 5 years		Destroy
1.15 Convenience Copies	Duplicative files or convenience copies	As Needed	GC §60200	Destroy

2. Financial Records

Record Type	Description	Retention Period	Notes	Final Disposition
2.1 Financial Statements	Annual financial reports, balance sheets, income statements	Permanent		Archive
2.2 Budget Records	Final budgets, budget adjustments, end-of-year statements and expenditure ledgers, and supporting documents	Permanent		Archive
2.3 Bonds, Insurance, Warrant Records	Bonds, property and liability insurance policies and documentation, warrants	Permanent	CCP §336 et. Seq.	Archive

FRAQMD Records Retention Schedule

Record Type	Description	Retention Period	Notes	Final Disposition
2.4 Audit Reports	External and internal audit reports, working papers	7 years		Destroy
2.5 Accounts Payable	General accounts payable invoices, general checks (cancelled or voided), Board of Directors travel and meeting expenses, credit card payments and records, travel expense reimbursement requests, fixed assets invoices	7 years	48 CFR §4.805 CCP §337 et. seq.	Destroy
2.6 Tax Records	457 deferred comp documents, income tax reports (1099), supporting documents, W2, W2 reports, transmittal of W2, use/sales tax returns and records, quarterly underground storage tank tax	7 years	R&T §19530	Destroy
2.7 Accounts Receivable	Bank check deposits, permit check deposits, supporting documents for check deposits, credit card reports and supporting documents	5 years	CCP §337 Auditing Standards	Destroy
2.8 Bank Statements	Monthly bank statements, reconciliation records	5 years	26 CFR §31.6001-1	Destroy
2.9 Investment Records	Statements, trade confirmations, investment policy documents	5 years	26 CFR §31.6001-1	Destroy
2.10 Payroll Records	Payroll registers, timecards, wage rate tables, direct deposit records	3 years	LC §1174(d)	Destroy
2.11 Billing Services	Correspondence, certified mail receipts/log, invoices, returned mail (fee invoices and validation)	3 years		Destroy
2.12 Grant Records	Expenditure reports, financial status reports	Final Report + 7 years	2 CFR §200.333	Destroy
2.13 Fixed Assets Records	Asset acquisition records, depreciation schedules, maintenance records	Disposal + 5 years	26 CFR §31.6001-1	Destroy

3. Human Resources Records

Record Type	Description	Retention Period	Notes	Final Disposition
3.1 Labor Relations	Labor MOUs and Salary Resolutions	Permanent	SOS	Destroy
3.2 Grievance and Compliant Records	Formal complaints, grievances and arbitrations, investigation records, negotiations, resolution documentation	Permanent		Archive
3.3 Toxic Exposure Files	Exposure records, incident and investigation reports, regulatory compliance records	Termination + 30 years	8 CCR §3204	Destroy
3.4 Cal OSHA Reports	Cal OSHA reports and citations	5 years	8 CCR §3203	Destroy
3.5 Safety Records	Training programs and records and internal safety inspections, accident files	5 years	8 CCR §3203	Destroy
3.6 Equal Employment Opportunity	EEO-4 reports, affirmative action report, workforce plan, related documentation	3 years	29 CFR §1602.14 (EEOC)	Destroy
3.7 Employee Personnel Files	Records related to employee hiring, performance, and termination	Termination + 3 years	29 CFR §1627.3	Destroy
3.8 Employee Medical Records	Medical examinations, medical leave documentations, workers' compensation records	Duration of Employment + 30 years	29 CFR §516.5	Destroy
3.9 Benefits Records	Health insurance records, pension plan documents, benefit enrollment forms, COBRA	Duration of Employment + 6 years	Employee Retirement Income Security Act (ERISA)	Destroy
3.10 Training Records	Training program materials, attendance records, certifications	Duration of Employment + 5 years	GC §12946 CCR §3203(b)	Destroy
3.11 Tort and Workers Compensation Claims	Tort claim liability files, works' compensation files	Closed + 7 years		Destroy

Record Type	Description	Retention Period	Notes	Final Disposition
3.12 Recruitment Records	Classification studies, class specifications, recruitment files, wage and salary data, acquisition records, detailed job descriptions, essential functions, qualifications	Superseded + 3 years		Destroy

4. Engineering, Planning, Compliance, and Enforcement Records

Record Type	Description	Retention Period	Notes	Final Disposition
4.1 Permits and Permit Applications	Authority to Construct and Permit to Operate, engineering evaluations, public notice and mailing lists, public comments received and District responses	Permanent	H&S §42401	Archive
4.2 Rules, Regulations, Plans	Rule development files, final versions of state and federal air quality plans, SIP annual contingency measure analysis report	Permanent		Archive
4.3 CEQA & NEPA Records	CEQA responsible agency documents for permit projects, lead agency documents for rule projects, intergovernmental review comments letters, board letters, testimony	Permanent		Archive
4.3.1 Lead Agency	Lead agency documents for rule projects, environmental review documents (IS, MND, EIRs), intergovernmental review comments letters received, board letters, testimony, decisions, MMR	Permanent		Archive
4.3.2 Responsible Agency	CEQA/NEPA responsible agency documents for permit projects, MMR, off-site mitigation reports and inspections	Permanent		Archive
4.3.3 Commenting Agency	Comment letters submitted on projects	Two years		Destroy

FRAQMD Records Retention Schedule

Record Type	Description	Retention Period	Notes	Final Disposition
4.4 Emission Inventory Records	Annual or periodic inventories of emissions from regulated sources	10 years	H&S §44344.6	Destroy
4.5 Compliance Records	District burn decisions, source test results, original notices to comply (NTC) and issued NTC submitted to FRAQMD noting correction action has been taken, training documentation, notifications, reports, analysis, other information submitted to demonstrate compliance	5 years		Destroy
4.6 Compliance Monitoring Data	Records of ongoing compliance monitoring, including air quality, emissions data, self-monitoring reports, audits, Title V and semi-annual certification reports and all source test reports	Until Completed + 12 years	CFR	Destroy
4.7 Enforcement Records	Enforcement cases, compliance agreements including fines, penalties, legal proceedings	Until closed + 7 years		Destroy
4.8 Complaint Records	Public complaints about air quality issues, including investigation reports and resolutions	Resolution + 5 years		Destroy
4.9 Stationary Source Program Reports to CARB/EPA/CAPCOA	EPA annual updates, Title V reports, ERC reports	Revised + 7 years		Destroy
4.10 Grants	Applications, policies and procedures, public notices, workshop presentations and attendance, inspection reports and photographs, contracts, vouchers, annual status reports, audits, compliance actions, reporting	In accordance with grant agreement		
4.9 Reports to CARB/EPA	Engineering and grant reports to CARB/EPA	Revised + 7 years		Destroy

5. Legal Records

Record Type	Description	Retention Period	Notes	Final Disposition
5.1 Legal Records	Litigation-pleadings and orders, court settlement agreements, opinions and advice files, rule interpretations/opinions, civil enforcement case records	Permanent	CCP §337	Archive
5.2 Contracts and Agreements	Legal agreements and contracts	7 years after expiration	CCP §337	Destroy
5.3 Regulatory Proceedings	Submissions, filings, etc.	Permanent		Archive
5.5 Legal Correspondence	Correspondence related to legal matters, including communications with regulatory agencies and legal counsel	7 years		Destroy

6. Public Relations Records

Record Type	Description	Retention Period	Notes	Final Disposition
6.1 Publications	Newsletters, reports, and other publications	5 years		Archive or Destroy
6.2 Public Outreach Campaigns	Records related to public outreach efforts, including planning documents, materials, and evaluations	5 years		Destroy
6.3 Legislative Related Records	Legislative comments, files, public hearings, policy briefs, legislative tracking reports	5 years		Destroy
6.4 Media Inquiries	inquiries from media outlets, including responses	3 years		Destroy
6.5 Event Records	Documentation related to public events, including planning and execution	3 years		Destroy
6.6 Press Releases	Official statements issued to the media	2 years		Destroy
6.7	Posts, comments, interactions on official social media accounts	Posting + 5 years		Archive or Destroy

Record Type	Description	Retention Period	Notes	Final Disposition
Social Media Records				

7. Technical Reports, Advisories, and Studies

Record Type	Description	Retention Period	Notes	Final Disposition
7.1 Air Quality Health Advisories	Final versions of advisories issued	Permanent		Archive
7.1 Meteorological Data	Meteorological data used in conjunction with air quality monitoring and modeling, forecasts, ground level data	Permanent	17 CCR §90800.8	Archive
7.2 Research Reports	Reports on environmental studies and research projects	10 years		Archive
7.4 Technical Data	Data collected for research and studies	5 years		Destroy

Legend for legal citations: §: Section	CCR: CA Code of Regulations
GC: CA Government Code	H&S: CA Health & Safety Code
CCP: CA Code of Civil Procedure	CFR: Code of Federal Regulations
R&T: CA Revenue and Taxation Code	SOS: Secretary of State Recommendation
LC: CA Labor Code	