To: Commissioners, First 5 Ventura County

From: Jennifer Johnson, Director of Finance & Administration (on behalf of the Administration/Finance Committee)

Date: January 16, 2025

Re: Recommendation to Update Records Retention and Destruction Policy

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Background

The Commission adopted a policy in September 2014 addressing the retention of document/records that are (1) necessary for operation of F5VC, (2) required to be retained by statute or government regulation, or (3) relevant to pending or foreseeable investigations or litigation. The policy includes a schedule of retention periods organized by record type, which is used for the destruction of non-permanent records.

The proposed modifications to the Records Retention Schedule include the following:

- Refine description for permanent Committee meeting records includes minutes and recommendations but not non-action materials/handouts, similar to Commission meeting records.
- Add a separate category for various participant/client records now that the Commission provides direct services and eliminate the reference to participant data under Reports/Compliance.
- Clarify the retention period for insurance policies, which are a permanent record, excludes employee health and life insurance policies.
- Increase retention periods for personnel records from three (3) years to four (4) years based on the passage of recent legislation.
- Add a category for workplace violence prevention records based on the passage of recent legislation.
- Include site evacuation and safety plans and grievance/investigation records under General records.

Recommendation

The recommendation is to update the Records Retention Schedule that is contained within the Document Retention and Destruction Policy, as attached.

Approved 09/18/2014
Proposed Revision 1/16/2025

Records Retention and Destruction Policy

It is the policy of First 5 Ventura County (F5VC) that its records be retained only so long as they are (1) necessary for operation of F5VC; (2) required to be retained by statute or government regulation; or (3) relevant to pending or foreseeable investigations or litigation. The cost of maintaining records is an expense which can grow unreasonably and a mass of records also makes it more difficult to find pertinent records.

In furtherance of this policy, F5VC has adopted the attached Records Retention Schedule and the following principles and procedures for its Records Management Program, which shall be strictly observed by F5VC, its Commission members, staff and committee members.

The retention period depends upon the subject matter as set forth on the Records Retention Schedule. The original or a true and accurate copy of the original should be maintained for the time period indicated. Unless special circumstances otherwise require, it is NOT useful to maintain draft documents or multiple copies of the same document.

1. The responsibility for administering F5VC's Records Management Program in accordance with this policy is designated to the Executive Director or his/her designee. Records will be reviewed annually to determine which documents/records to destroy.

2. Destruction of specific records shall be carried out only in accordance with the authority of the Executive Director.

3. All records, including those maintained on electronic data processing storage media, shall be covered by this policy.

4. All records shall be retained for at least the minimum period as stated in applicable state or federal laws or regulations, as reflected in the attached Records Retention Schedule. Any changes in minimum periods required for applicable state or federal law or regulations will supersede the attached Records Retention Schedule.

5. The destruction of records shall be suspended immediately upon receipt of legal process or other notice of pending or foreseeable investigations or litigation, whether government or private. In addition, upon such notice, all relevant F5VC's records shall be secured immediately in order to prevent deliberate destruction of documents. No such suspension of F5VC's Records Management Program shall be lifted except upon the written authorization of legal counsel.

RECORDS RETENTION SCHEDULE

~~Minimum Period for Certain Categories of Records:~~

Type of Record	Retention Period*
COMMISSION/COMMITTEE RECORDS	
Ordinance	Permanent
Bylaws	Permanent
Commission minutes and recommendations/resolutions	Permanent
Audio Recordings of Commission Meetings	Current + 1 year
Authorizations and appropriations for expenditures	Audited + 2 years
Policies, general	Current + 5 years
Policies, employment practices	Current + 2 years
Conflict of Interest Forms (Form 700)	Current + 5 years
Committee minutes and recommendations~~/materials/handouts~~	Permanent
Strategic Plans	Permanent
ACCOUNTING	
Audited Financial Statements/Reports and work papers	Permanent
Financial statements (interim/internal)	Current + 2 years
General ledger and chart of accounts	Permanent
Accounts payable: (invoices from vendors/contractors, advance payments w/expenditure report reconciliation, Employee/Commissioner expense claims, credit card statements with receipts, petty cash expense reports)	Audited + 5 years
Bank statements, reconciliations	Audited + 5 years
Bank deposit slips	Audited + 5 years
Canceled checks/images	Audited + 5 years
Check register	Audited + 5 years
Accounts receivable ledgers and schedules	Audited + 5 years
Depreciation schedules	Audited + 5 years
Journal Vouchers	Audited + 5 years
Payroll journal	Permanent
Employee time sheets	Audited + 5 years
Employee payroll records (annual earnings records, W-2, W-4, deduction authorizations, etc.) and 941 payroll tax returns	Audited + 5 years
1099s	Audited + 5 years
Claims/Invoices/Expenditure Reports to external funders	Audited + 5 years
Loan Receivable ledgers and schedules	Termination + 5 years
Internal audit reports of funded programs	Current + 5 years
Budgets	Audited + 5 years
PROCUREMENT	
Formal bids (RFA, RFQ, etc.) including publicity, bid format, review committee documentation	Audited + 5 years
Funded/awarded applications/proposals	Audited + 5 years
Not Funded/awarded applications/proposals	Audited + 2 years
Formal Quotes	Audited + 5 years
Purchase requisitions (maintained with accounts payable records)	Audited + 5 years

Type of Record	Retention Period*
PARTICIPANT/CLIENT RECORDS	
Family intake forms, consent forms, service records, participant/outcome surveys	Completed + 5 years
Screening documents and questionnaires	Completed + 5 years
Care coordination and referral notes	Completed+ 5 years
CONTRACTS/AGREEMENTS/LEASES	
Leases	Termination + 5 years
Agreements with external funders	Termination + 5 years
F5VC Contracts with Funded Programs and Consultants/Vendors (including compliance documentation, correspondence)	Termination + 5 years
REPORTS/COMPLIANCE	
Reports to external funders and other compliance documentation	Termination + 5 years
Annual Evaluation Report	Current + 5 years
Annual Report to First 5 California	Current + 5 years
~~Participant data (for internally administered programs)~~	~~Current + 5 years~~
Annual Certification of Compliance with Statute to First 5 California	Current + 5 years
INSURANCE	
Insurance policies ~~(expired)~~ excluding employee health & life insurance	Permanent
Insurance claims	Closed + 5 years
Insurance claims, Worker's Compensation	Permanent
Accident reports	Closed + 7 years
PERSONNEL/HUMAN RESOURCES	
Recruitment (job posting, resumes, interview records, etc.)	Completed + ~~3~~4 years
Personnel files (Employment letter, performance reviews, etc.)	Termination + ~~3~~4 years
Employment contracts	Termination + ~~3~~4 years
Family Medical Leave	Completed + ~~3~~4 years
Garnishments	Termination + ~~3~~4 years
WORKPLACE VIOLENCE PREVENTION*	
Hazard identification, evaluation, and correction	Current + 5 years
Training records to include: training dates, content or summary of training session(s), name(s) and qualification(s) of person(s) conducting the training, name(s) and job title(s) of all persons attending the training session(s)	Completed + 1 year
Log of violent incident(s)	Current + 5 years
Incident investigations (excluding medical information per subdivision (j) of section 56.05 of the Civil Code)	Completed + 5 years
** All records required by LC section 6401.9(f), shall be made available to Cal/OSHA upon request for examination and copying.*	
LEGAL	
Claims and litigation files where F5VC is a party	Closed + 5 years
Documents related to third-party subpoenas	Closed + 2 years
GENERAL	
Marketing and promotional materials, including brochures, Web site content	Current + 2 years
Public Records Requests	Completed + 2 years
Correspondence (routine) with members, customers, or vendors	Current + 5 years
Correspondence (legal and important matters)	Current + 5 years
Personal Property Inventory	Current + 5 years
Grievances/investigation notes	Completed + 4 years
Site evacuation/safety plans	Completed + 2 years