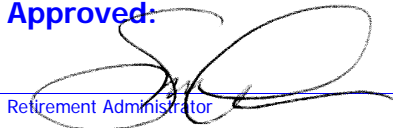




RETIREMENT BOARD POLICY AND REFERENCE MANUAL

SUBJECT: RECORDS MANAGEMENT POLICY	Section: 2-31 Date Adopted/Revised: 02/8/2012
SYSTEM(S): JOINT	Approved:  Retirement Administrator

PURPOSE

The purpose of the Records Management Policy is to establish guidelines for the handling of confidential documents used by the Retirement Board Members, Retirement Administrator and Retirement Office Staff.

POLICY

It is the policy of the Retirement Boards' that all records of the System shall be efficiently managed in accordance with this policy and schedule.

I. DUTIES AND RESPONSIBILITIES

A. RETIREMENT BOARD MEMBERS

1. Shall establish, promote, and support an active and continuing program for the efficient and economical management of all records of the System.
2. Shall, from time to time, review—and revise whenever appropriate—the Records Management Policy and/or the schedule.
3. Shall return to the Board's Secretary any and all agenda documents containing personal and/or confidential information, upon adjournment of noticed meeting.
4. Shall insure that Board packets containing confidential information are kept in a secure location at all times while in Board members possession.
5. Shall not copy, email, scan, or duplicate any confidential documents.

B. RETIREMENT ADMINISTRATOR

1. Until further action of the Retirement Board, the Retirement Administrator of the System is designated as the records management officer.
2. Shall develop procedures for implementing the policy and program hereby adopted and shall, from time to time, recommend appropriate revisions to this policy and the schedule attached hereto and incorporated herein by reference.
3. Shall administer the records management program and provide advice and assistance to those persons who create, maintain, or receive records of the System with regard to complying with the policy and schedule hereby adopted.
4. Shall prepare or direct the preparation of requests for authorization to destroy records not on an approved retention schedule, of requests to destroy the originals of permanent records that have been microfilmed or stored electronically in accordance with this policy and the retention schedule, and of electronic storage requests, and shall approve such requests provided that they are in accordance with this policy.
5. Shall disseminate to the Retirement Boards and to the System's administrative staff information concerning this policy and the schedule.
6. Shall establish procedures to ensure that the handling of records of the System is carried out with due regard for the confidentiality of information contained in those records to which access is restricted by law.

C. ADMINISTRATIVE STAFF

1. Shall cooperate with the Retirement Administrator in carrying out the policies and procedures adopted herein or hereunder.
2. Shall maintain the records and preserve, destroy, or otherwise dispose of such records only in accordance with the policies and procedures of this policy.
3. Shall insure that all documents containing confidential information are shredded in-house.
4. Shall insure that any consultant working with confidential documents understands the Board's policy for handling confidential documents and the Retirement Office Guidelines.

Failure to adhere to the guidelines set forth in this policy is just cause for discipline.

II. IMPLEMENTATION

A. DESIGNATION OF RECORDS

1. All documents, papers, letters, books, maps, photographs, sound or video recordings, microfilm, magnetic tape, electronic media, or other information, regardless of physical form or characteristic and regardless of whether public access to it is open or restricted under applicable law, created or received by the System's employees in the transaction of the System's business are hereby declared to be records of the System and shall be created, maintained, and disposed of in accordance with the provisions of this policy and the procedures adopted hereunder, and in no other manner.
 - (a) CFRS staff shall not have more than one (1) member folder opened on their desk at any time. Files removed from the file room for any reason shall have a place holder informing anyone looking for the file. Files in individual staff member's offices shall be stored in filing cabinets.
 - (b) All papers and documents shall be secured in the file and files returned to their original location.
 - (c) At the end of the business day, there shall be no files left on desks, chairs or floors.

(d) Retirement Office staff shall refrain from discussing any member's personal information with anyone outside the work environment.

2. The following shall not constitute records of the System:

(a) Extra identical copies of documents created only for convenience of reference or research.

(b) Notes, journals, diaries, or similar documents created for personal convenience.

(c) Blank forms.

(d) Stocks of publications.

(e) Materials acquired solely for the purpose of reference or display.

B. RECORDS DECLARED PROPERTY OF THE SYSTEM

All records defined under Section IIA of this policy are hereby declared the property of the Systems. No member of the Retirement Board and no employee of the System have, by virtue of his or her position, any personal or property right to such records even though he or she may have developed or compiled them. The unauthorized destruction, removal from files, or use of such records is prohibited.

C. EXPIRATION OF RETENTION PERIOD

A record whose retention period hereunder has expired shall be destroyed unless an open records request is pending on the record, such record is the subject of a pending lawsuit, or the Retirement Administrator has directed, in writing, that the record be retained for an additional period of time.

1. Adopted 08/09/2006
2. Annual Review, administrative changes, revised 8/12/2009
3. Amended, deleting Committee structure, revised 2/8/2012

CFRS RECORDS RETENTION SCHEDULE

	<i>CATEGORY</i>	<i>DESCRIPTION</i>	<i>RETENTION PERIOD</i>	<i>COMMENTS</i>
1	Accounting	Accounts Payable	Fiscal Year end + 6 years	
2	Accounting	Banking Records	Fiscal Year end + 6 years	
3	Accounting	Cash Deposits	Fiscal Year end + 6 years	
4	Accounting	Cash Receipts	Fiscal Year end + 6 years	
5	Accounting	Ledgers, Journals and Entry Documentation	Fiscal Year end + 6 years	
6	Boards	Agenda	Permanent	
7	Boards	Minutes	Permanent	
8	Boards	Meeting Notes	90 days after approval of written minutes	
9	Boards	Audio/CD, if applicable	6 months	
10	Boards	Election Ballot	60 days following election	
11	Boards	Closed Session Audio	6 months	
12	Boards	Election Notice	60 days following election	
13	Boards	Nomination Petition	60 days following election	
14	Boards	Agenda Packet	Permanent	
15	Boards	Annual Budget	Permanent	
16	Boards	Annual Report	Permanent	
17	Boards	Internal/External Audits	Permanent	
18	Boards	Special Financial/Budget Reports	Permanent	Travel, CFRS Corporation, Portfolio
19	Boards	Actuarial Reports and Studies	Permanent	
20	Boards	Contracts and Agreements	until replaced	
21	Boards	Resolutions	Permanent	
22	Boards	Ordinances	Permanent	
23	CFRS Corporation	Building and Property Appraisals for 2828 Fresno Street	until replaced	
24	CFRS Corporation	Construction, Inspection Records and Property Survey for 2828 Fresno Street	Permanent	
25	CFRS Corporation	Contracts and Leases for 2828 Fresno Street	until replaced	

1. Adopted, 08/09/2006
2. Annual Review, revisions to policy only, 8/12/2009
3. Amended deleting Committee structure, revised 2/8/2012

CFRS RECORDS RETENTION SCHEDULE

	<i>CATEGORY</i>	<i>DESCRIPTION</i>	<i>RETENTION PERIOD</i>	<i>COMMENTS</i>
26	CFRS Corporation	Equipment and Furniture Inventory for 2828 Fresno Street	Fiscal Year end + 3 years	
27	CFRS Corporation	Equipment Maintenance, Repair for 2828 Fresno Street	Life of Equipment	
28	CFRS Corporation	Equipment Manuals and Warranty for 2828 Fresno Street	Life of Equipment	
29	CFRS Corporation	Equipment Service Requests, Agreements, Maintenance Contracts for 2828 Fresno Street	Once complete + 2 years	
30	CFRS Corporation	Property Deed for 2828 Fresno Street	Permanent	
31	CFRS Corporation	Insurance Policies	5 years after policy expires	
32	General	Request for Proposals/Qualifications	3 years	
33	General	Disability	Permanent	
34	General	Member Files	Permanent	
35	General	Benefit Disbursement Reports	Permanent	
36	General	Newsletter	Permanent	
37	General	Publications Proofs	Fiscal Year end + 1 year	
38	General	Forms File	Current	
39	General	Records Log	Current	
40	General	Records Retention Schedule	Current	
41	General	Records Request	1 year after	
42	General	Legal Opinions	Permanent	
43	General	Litigation Records	Permanent	
44	General	Directory of Contacts	Current	
45	General	Organizational Chart	Current	
46	General	Policy, Procedures and Guidelines	Current and prior years	
47	General	System Documentation	Current	
48	General	System and File Software	Current	
49	General	Technical Documentation	Current	

1. Adopted, 08/09/2006
2. Annual Review, revisions to policy only, 8/12/2009
3. Amended deleting Committee structure, revised 2/8/2012

CFRS RECORDS RETENTION SCHEDULE

	<i>CATEGORY</i>	<i>DESCRIPTION</i>	<i>RETENTION PERIOD</i>	<i>COMMENTS</i>
50	Investment	Asset Allocation Report	Permanent	
51	Investment	Investment Policy	Permanent	
52	Investment	Quarterly Reports/Performance Review	Permanent	
53	Investment	Compliance Reports/ADV	End of Fiscal Year + 3 years	
54	Payroll	Retiree 1099 Forms - Original	5 years after issuance or 5 years after form amended	
55	Payroll	Retiree 1099 Forms - Returned	5 years after issuance or 5 years after form amended	
56	Payroll	Retiree 1099 Summary	5 years after issuance or 5 years after form amended	
57	Personnel	Employee Action Forms, Workers Comp Records	Permanent	
58	Personnel	Evaluations, Memos to File, Training Certification	Permanent	
59	Personnel	Employee Benefit Plans and MOU	Permanent	
60	Personnel	Employee Contact Information	Current	
61	Personnel	Employee Payroll Records	Current	
62	Personnel	Employee Job Descriptions	Current	
63	Personnel	Employee Verification of Citizenship if required	Current	
64	Personnel	Employee Leave Requests	Current Fiscal Year + 3 years	
65	Safety	Accident Reports	Permanent	
66	Safety	Fire Inspection	Permanent	
67	Safety	Evacuation Plans	Permanent	
68	Safety	Disaster Recovery Plan	Permanent	
69	Safety	Security Access Records	Current	
70	Safety	Backup Tape of Data and Programs	Current	

1. Adopted, 08/09/2006
2. Annual Review, revisions to policy only, 8/12/2009
3. Amended deleting Committee structure, revised 2/8/2012