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PACIFIC GAS AND ELECTRIC COMPANY
STANDARD PRACTICE

STANDARD PRACTICE NO. 210.4-3

EXECUTIVE OFFICE OR DIVISION GENERAL OFFICE

PAGE NO. 1 EFFECTIVE 8/1/77

ISSUING DEPARTMENT SECRETARY

REPLACING PAGE NO. 1 EFFECTIVE 11/1/76

SUBJECT:

RETENTION AND DESTRUCTION OF RECORDS - GENERAL OFFICE DEPARTMENTS

POLICY

1. To achieve maximum economy in the storage of inactive records and to destroy, when legally permissible, those records which are no longer needed.

PURPOSE

2. To provide a uniform guide for the least costly storage of records and a guide for the destruction of obsolete records.

REVISIONS

- *3. Standard Practice No. 210.4-3, effective 3/1/59 and revised 3/1/61 and 7/1/68.

RECORDS RETENTION

- *4. The Federal Power Commission's Regulations to Govern the Preservation of Records of Public Utilities and Licensees and Natural Gas Companies" (effective January 1, 1972) has been adopted as the Company's record retention schedule, with certain exceptions specified by California Public Utilities Commission Resolutions No. RA 570 dated August 3, 1976 and No. A4691 dated June 12, 1977. The exceptions to the F.P.C. Regulations are indicated in Appendix "A" to this standard practice. Records covered by Appendix "A" shall be retained for the periods indicated therein or the periods required by F.P.C. Regulations, whichever is the longer period. Additional retention periods may be necessary from an administrative and operating standpoint, but such additional time must be justified and should be kept to a minimum in order to reduce costs. Additional retention may also be necessary to comply with other lawful requirements not taken into consideration by the Federal Power Commission or the California Public Utilities Commission. All records sent to the Records Center for storage must have a retention period established in accordance with this paragraph.

DUPLICATE RECORDS AND RECORDS NOT LISTED

- *5. Duplicate copies of records and records not listed in F.P.C. regulations or the C.P.U.C. resolutions should be destroyed as soon as they have served their intended purpose.

TRANSFER OF RECORDS TO RECORDS CENTER

- *6. Records having long retention periods and which are referred to infrequently should be sent to the Records Center. Transfer instructions are contained in Appendix "B". Records with a one year

* Paragraph Revised

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SUBJECT:

RETENTION AND DESTRUCTION OF RECORDS - GENERAL OFFICE DEPARTMENTSTRANSFER OF RECORDS TO RECORDS CENTER (CONT.)

retention period, stationery items, extra copies of reports, records in which the total record series is not complete, or records not sent as described in Appendix "B" will not be accepted for storage at the Records Center.

RECORDS INVENTORY

- **7. Departments should maintain an accurate inventory of records in storage at the Records Center. Departmental inventories would be needed to reconstruct a master index if the Records Center's master index were destroyed. If you desire any assistance in the establishment of a departmental inventory of records in storage please contact the Supervisor of Records.

DEPARTMENT REPRESENTATIVE

- **8. Each department should delegate one person to act as a liaison between the department and the Records Center, and advise the Supervisor of Records of the name of this person. The representative should be responsible for transferring records to the Center, maintaining an inventory of record locations at the Center, and referral to records in storage for members of the Department.

REFERENCE TO RECORDS AT RECORDS CENTER

- **9. Records may be requested from the Records Center by telephone. Records not required immediately should be requested on Intra-Company memorandum forms 62-3304 or 62-7030. Written requests must state the name of the individual assuming responsibility for the records, the department, and the address to which the records are to be delivered. Documents requested should be listed in the filing sequence in which they were sent to the Records Center for storage. Records being returned to the Center must be in the same order as received. The Records Center will return records only to the department from which they were originally received.

DOCUMENT FILING AT THE RECORDS CENTER

- **10. It is the responsibility of the originating department to update records in storage at the Records Center.

DESTRUCTION OF RECORDS

- *11. When records have been retained at the Center for their required retention periods, the Department Head concerned will be notified

* Paragraph Revised
** Paragraph Added

PUBLIC UTILITIES COMMISSION
REGULATIONS TO GOVERN THE PRESERVATION OF RECORDS
OF WATER UTILITIES, CLASSES A, B & C

GENERAL INSTRUCTIONS

A. SCOPE OF THIS PART

1. The regulations in this part apply to all records prepared by or on behalf of water utilities, Classes A, B and C.
2. The regulations in this part shall not be construed as excusing compliance with any other lawful requirement for the preservation of records for periods longer than those prescribed herein.

B. DESIGNATION OF SUPERVISORY OFFICIAL

Each water utility subject to the regulations herein shall designate one or more persons and positions with official responsibility to supervise the utility's program for preservation and the authorized destruction of its records.

C. PROTECTION AND STORAGE OF RECORDS

The water utility shall provide reasonable protection for records subject to the regulations herein. Records shall be arranged in such a manner as to be easily identifiable and accessible to representatives of this Commission.

D. MICROFILM AND TAPE CERTIFICATION

All microfilm and tape records shall contain labels including the title, date prepared, name of official responsible for validating the data, date of completion, and certification that the records are true and accurate reproductions of the original records.

- E. All film stock shall be approved operationally-permanent record microcopying type, which meets the current specifications of the National Bureau of Standards.

REGULATIONS TO GOVERN THE PRESERVATION OF RECORDS
OF WATER UTILITIES CLASSES A, B & C

F. PREMATURE DESTRUCTION OR LOSS OF RECORDS

When records are destroyed or lost before the expiration of the prescribed period of retention, a certified statement listing the records destroyed and prescribing the circumstances of accidental or other premature destruction or loss shall be filed with the Commission within sixty (60) days from the date of discovery of such destruction.

G. RECORDS OF SERVICES PERFORMED BY ASSOCIATE

The water utilities to which the regulations herein apply shall assure the availability of records of services performed by associated and affiliated companies for the periods indicated herein, as are necessary, to support the cost of services rendered to it by an associated or affiliated company.

SCHEDULE OF RECORDS AND PERIODS OF RETENTION

Description	Retention Period
CORPORATE AND GENERAL	
1. Capital stock records:	6 years after cancellation or other closing of account.
2. Proxies and voting lists:	3 years.
3. Annual reports or formal communications or statements to stockholders:	Life of corporation.
4. Debt security records:	6 years after redemption, payment or cancellation.
5. Filings with and authorizations by the Commission:	25 years or until all securities covered are retired, whichever is shorter.
6. Corporate organizational documents:	Life of corporation, with the exception of permits, deeds and title documents which shall be retained for 6 years after termination or disposal of property.

REGULATIONS TO GOVERN THE PRESERVATION OF RECORDS
OF WATER UTILITIES, CLASSES A, B & C

SCHEDULE OF RECORDS AND PERIODS OF RETENTION

Description	Retention Period
CORPORATE AND GENERAL, Continued	
7. Contracts and agreements (except contracts provided for elsewhere):	6 years with the following exceptions:
(a) Contracts or agreements for the acquisition or disposal of investments (excluding temporary cash investments):	25 years after disposal.
(b) Memoranda essential to clarifying or explaining provisions of contracts listed above:	For the same periods as contracts to which they relate.
(c) Card or book records of contract, leases, and agreements made, showing dates of expirations and of renewals, memoranda of receipts and payments under such contracts, etc.	For the same periods as contracts to which they relate.
8. Accountants' and auditors' reports, internal and external:	7 years after date of report or Commission audit, whichever comes last.
9. Automatic data processing records:	Retain original source data for the periods prescribed elsewhere in the schedule; retain all other data as long as part of active program.
GENERAL ACCOUNTING RECORDS	
10. General and subsidiary ledgers and journals; journal vouchers, journal entries (including supporting detail), vouchers and voucher registers:	50 years.

REGULATIONS TO GOVERN THE PRESERVATION OF RECORDS
 OF WATER UTILITIES, CLASSES A, B & C

SCHEDULE OF RECORDS AND PERIODS OF RETENTION

Description	Retention Period
GENERAL ACCOUNTING RECORDS, Continued	
11. Trial balance sheets of general and subsidiary ledgers:	3 years.
12. Cash books, general and subsidiary or auxiliary books:	10 years after close of fiscal year.
13. Accounts receivable and supporting records:	3 years.
14. Records of securities owned, in treasury, or with custodians (excluding temporary investment of cash):	6 years after disposal of investment.
15. Payroll records and insurance records:	6 years, except where information transferred to other records, then destroy at option.
16. Assignments, attachments, and garnishments:	Destroy at option.
17. Records of injuries and damages:	2 years after settlement.
OPERATIONS AND MAINTENANCE	
18. Production records of sources of supply, pumping, transmission, and distribution:	15 years, except as follows:
(a) Water reports showing purchases and exchanges:	25 years.
(b) Water treatment records:	10 years.
(c) Daily dispatch logs:	1 year.
(d) Customer service records:	5 years.
(e) Maintenance work and job orders:	6 years.
(f) Equipment repair records	Life of equipment.
19. Personnel records including employees' benefit and pension records, and operating and procedural instructions issued by the company to employees.	3 years after termination of employment, plan or instructions.



REGULATIONS TO GOVERN THE PRESERVATION OF RECORDS
OF WATER UTILITIES, CLASSES A, B & C

SCHEDULE OF RECORDS AND PERIODS OF RETENTION

Description	Retention Period
OPERATIONS AND MAINTENANCE, Continued	
20. Plant and depreciation records, including plant inventory, drilling, appraisals, engineering records, construction records and contracts relating to above:	50 years.
MISCELLANEOUS	
21. All purchase and supply records:	6 years.
22. All revenue, accounting and collecting records:	10 years, except as follows:
(a) Where refunds required:	6 years after refund.
(b) Documents relating to donations and contributions:	50 years.
(c) Published rates and service schedules:	50 years.
23. Tax records:	7 years after settlement.
24. Treasury records (funds, deposits, receipts and disbursements):	Destroy at option after completion of annual audit by independent accountants.
25. All annual reports to the Commission and special reports relating to plant and utility property:	Life of corporation.
26. All other reports and documents:	Destroy at option after regulatory requirements fulfilled.
27. Life or mortality study data for depreciation purposes:	Life of corporation.