

# RECORDS RETENTION

CSP 4



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Replaces: SP 210.4-3, Retaining and Destroying Records (4/1/94)

Page 1 of 5

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**Objective:**

*To explain:*

- (1) the responsibility for retaining records;*
- (2) how to send and retrieve records from the Records Center;*  
*and*
- (3) how records are destroyed when they are no longer needed for legal or business purposes.*

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**Related Corporate Policy:**

Corporate Records, Corporate Policy Manual, section E3.4 (1) (b) (5/10/96)

**Originator:**

Corporate Secretary

**Business Risks Involved:**

Failure to keep records for periods required by law, regulation, or sound business practices can:

1. expose PG&E to fines and civil or criminal prosecution; and
2. prevent PG&E from defending itself or pursuing legal remedies to disputes.

Keeping records beyond periods required by law, regulation, or sound business practices can burden PG&E with unnecessary storage costs.

**Responsibility for Monitoring Compliance:**

Officers or their designees monitor compliance with this corporate standard practice. The Supervisor of Records administers the Record Retention Program and responds to questions and provides consultation when requested.

**Definitions:**

**Records** include all memoranda, documents, correspondence, and other materials, whether in written, microfilm, microfiche, video, audio, or computer media form.

**Major Steps:**

- a. *How are record retention periods determined?*

Officers or their designees must adhere to record retention periods set by relevant laws and regulations (*see Basic Guide to FERC Regulations and CPUC Resolutions Related to Records Retention*).



b. *Where are retention schedules kept?*

Officers or their designees may set longer retention periods than are legally required in order to meet administrative and operating needs. However, such additional requirements should be minimized to control storage costs.

Department retention schedules and a PG&E Guide to Record Retention are available from the Records Center and are on the Corporate Bulletin Board under Corporate Policy and Standards - Record Retention.

Officers or their designees may add additional records to the departmental schedules or the PG&E Guide to Record Retention by forwarding a list of additions to the Supervisor of Records. The list must specify the exact title of the record, the form or report number (if applicable), and all essential retention period information.

*Note:* Retention periods shown on individual retention schedules and the Guide to Record Retention only are valid as of the date issued. Additional retention may be necessary to comply with other legal requirements or regulation changes effective after the issuance of schedules or guides.

c. *Who retains records?*

Officers or their designees retain records under their care for the appropriate periods.

Only inactive records with long retention periods may be sent to the Records Center (see Exhibit A for specific guidelines).

d. *How do I send records to the Records Center?*

See the procedures in Exhibit A and instructions in Exhibits B and C.

e. *How do I retrieve records from the Records Center?*

Each department assists the Records Center staff in retrieving records at the Records Center.

All requests for documents must contain the exact title of the document, the Records Center box number, and the name, department, address, and telephone number of the person requesting the document.

Records may be obtained by:

1. Sending a written request to the Records Center, 2850 Bayshore Boulevard, Brisbane,
2. Sending an e-mail message to REQUEST@RECCTR@CORPSEC, or



3. Calling the Records Center, extension 8-579-2281.

The Records Center usually returns records only to the department from which they originated. Individuals requesting documents from another department must obtain authorization from the originating department prior to requesting documents from the Records Center.

f. What happens at the end of the retention period?

When records at the Records Center become eligible for destruction, the Supervisor of Records submits a list to each department head responsible for the records. The list reflects only the retention requirements specified by the department at the time it sent the records to storage.

If any records on the list should not be destroyed, the department must advise the Supervisor of Records within 30 days *of the date of the notice*. It also must specify the length of time and reason for any additional retention period.

g. How are records destroyed?

All **confidential** records and records related to an individual's right to privacy must be destroyed by shredding and witnessed by a representative of PG&E. These records include, but are not limited to, employment applications and resumes, personnel files, payroll information, records related to PG&E customers, stockholder records, and records related to confidential business matters between PG&E and other companies.

All **non-confidential** records should be recycled by a Company-approved waste paper recycling firm. Duplicate records (exact copies) should be destroyed as soon as they have served their intended purpose and proper retention of the original document has been verified (i.e., receipt of the Records Transmittal from the Records Center).

To destroy records located in the General Office complex, contact personnel at Materials Facility #64 (loading dock at 77 Beale Street). A destruction label (Form 62-1370) must be affixed to all storage cartons to be destroyed.

h. Are there special requirements for different types of records?

**Accounting records:** Officers or their designees shall share retention responsibility with the Controller. Keep accounting records relating to additions or retirements from Federal Licensed Projects and the establishment of related amortization reserves until the Controller authorizes disposal.



**Nuclear records:** Follow regulatory requirements and Nuclear Power Generation's Program Directives.

**Environmental records:** Document retention periods vary considerably. Most environmental documents must be stored for five years. However, before disposal, the document originator should determine whether all statutory and regulatory requirements for document retention have been satisfied. (When in doubt, consult with Environmental Services or the Law Department.)

**Subsidiary company records:** These records must be retained separately and apart from those of PG&E or other companies, and are to be given comparable treatment to that given to similar files and records of PG&E.

**Vital records:** Vital records are defined as records essential to the continuation or re-establishment of Company operations if threatened or interrupted by a natural or man-made disaster. They must be protected at all times. Vital records are limited to those records that are necessary to:

1. Repair or reconstruct that part of the Company's system that has been damaged or destroyed;
2. Re-establish the legal and financial status of the Company and the Company's ownership of property and rights; or
3. Fulfill obligations to stockholders, employees, and the public; and determine the obligation of others to the Company.

**Exhibits:**

Exhibit A: Procedures for Sending Records to the Records Center  
Exhibit B: Numbering Records Storage Cartons  
Exhibit C: Records Transmittal (sample)

**See Also:**

1. Basic Guide to FERC Regulations and CPUC Resolutions Related to Records Retention
2. PG&E Guide to Retention of Company Documents
3. Departmental index (by record title)
4. Departmental index (by storage location)
5. Record retention schedule (by department)

These documents are available through the Records Center.

**Contact Person:**

██████████ - Supervisor of Records  
Corporate Secretary's Office  
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**Issued By:**

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