

# *Sunnyslope County Water District*

## **RECORD MANAGEMENT and RETENTION POLICY**

### ***1. Introduction***

The purpose of this Management Policy Statement is to establish policy with respect to the maintenance, use, and retention of appropriate District documents and records, and to assign responsibilities for administering this function.

An objective of the Sunnyslope County Water District is to have an efficient and economical Record Management and Retention Policy in order to assure the retention and the protection of the District's useful and vital records and the prompt destruction of records which are no longer needed.

The retention and protection of useful and vital records will:

- ◆ Assure the availability of information required in the management of District's activities
- ◆ Protect legal rights
- ◆ Assure compliance with statutory requirements
- ◆ Support tax reports and provide documents for audit requirements
- ◆ Insure the availability of essential information for the resumption of operations following a major catastrophe

In the course of their regular operations, all District departments periodically find it necessary to refer to various records and documents, which recorded past actions and decisions. Such documents and records of District operations often must be retained to fulfill legal or government requirements.

### ***2. Basic Policy***

It is the policy of Sunnyslope County Water District to provide a District-wide Records Management and Retention Program to maintain, protect, and retain or dispose of District records in accordance with government regulations, legal requirements, and District historical and reference needs. The scope of such a program includes the creation of District documents and records, housing of active records, preparation and issuance of approved records retention schedule, establishment and operation of centralized records storage facility, maintenance of forms and records, and the establishment of appropriate procedures and practices in the District to carry out these functions.

Where available, imaging technology and electronic or optic data storage should be used as part of the normal course of business for records management purposes. Accurate images or data reproductions may be prepared as replacements for and/or in lieu of hard copy, and retained in accordance with District's approved records retention schedules. The imaging processes used

to produce and store such images are to be accomplished to ensure meeting specified retention requirements.

### ***3. Responsibility***

The General Manager and/or designee are responsible for ensuring that the records retention program in the manner stated in the Record Management and Retention Policy. This Record Manager shall administer, coordinate, and monitor the following program:

1. Inventory department records
2. Review District Records Retention schedules for completeness, accuracy, and general compliance with regulatory requirements and update as deemed necessary.
3. Review District Record Retention schedules to determine what records are eligible for destruction and retention.
4. Prepare Record Destruction Form #1-24-02 District Record Destruction Notice.
5. Review and approve District Record Destruction Notice identifying any records with special destruction requirements, confidential or sensitive records.

### ***4. Destruction Procedures***

*Destruction Procedures* – Prior to destruction of records, a Destruction Authorization Form shall be distributed for appropriate review and approval. This form contains a listing of those records eligible for destruction.

*Record Verification* – Before destruction, each record shall be examined to be certain that the records correspond with the list of record authorized for destruction.

*Destruction Time* – Disposal of records in an orderly manner in the normal course of business after the retention period has expired or during the first week of January.

*Destruction Method* – Records should be destroyed in a controlled and supervised environment. Record destruction can use the least expensive method of destruction: hauling to a disposal site, shredding, pulping, or other recycling methods. When appropriate, record can be sold for a profit.

### ***5. Definition***

*Fiscal Value* – Records with fiscal value are those which relate to the financial transactions, audit or tax purposes, including ledgers, budgets, invoices cancelled check, payroll records and vouchers.

*Historical Value* – Historical value of records is long-term records that document past events. These records are useful as a basis for management decisions regarding future projections or as a record of the organization origins and activities.

*Legal Value* – Legal value are those required to be kept by law or those which may be needed in case of litigation or government investigation. Legal value is normally determined by four factors:

- I. Statutes or regulations requiring records to be kept for specific periods.
- II. Statutes or regulations requiring records to be kept, but not specific retention period is stated.
- III. Limitations of actions stating the period during which legal actions can be started.
- IV. Pending or imminent litigation or government investigation which affects records.

Operational Value – Records with operational value are those needed to carry on the daily business of the District. Some of these records have a relatively short-term value, such as: statistical or internal reports. Some records such as annual reports, incorporation documentation, and contracts may also have legal, fiscal or historical value.

## 6. Glossary

Archives – The location for preserving records with historical value.

Active Record - A record that is regularly referenced or required for current use.

Appraisal – The process of determining the value of records based upon operational, legal, fiscal/tax, or historical value.

Fiscal / Tax Value - The importance or usefulness of records in case of financial or tax audit.

Historical Value - The importance or usefulness of records to document past events of the organization.

Inactive Record - A record that does not have to be readily available but which still must be retained.

Legal Value - the importance or usefulness of records to comply with legal requirements for maintaining information or to provide protection for the organization in case of litigation or government investigation.

Media - The materials on which information may be recorded. The media may include paper, microfilm, magnetic disk, tape, or optical disks.

Operational Value - The importance or usefulness of records to assist the organization in performing its primary function.

Record - Any information on any media, either an original or copy, made or received by an organization that is useful in the operation of the organization. (Library materials, publications, blank forms, and paper supplies are not considered records.)

Records Manager - The individual within an organization who is assigned the responsibility for managing and operating the records management program.

Records Retention Manual - A collection of current procedures related to the operation of the records retention program.

Records Retention Schedule - A comprehensive list of records series maintained by an organization indicating the timetable during which they are maintained in primary office space or transferred to inactive records centers. Records can be destroyed after the termination of the retention period.

<b><i>Legend</i></b>
<u>ACT</u> - active (e.g., ACT + 3Y); an indefinite period of time during which the matter is still in progress (e.g., the period during which the contract or project is in effect). When this designation is used, the records must be carefully monitored to determine when they are no longer active. Some organizations will establish a fixed period of time for record retention instead of using ACT to eliminate the difficult task of monitoring the records.
<u>AD</u> – Adoption
<u>AU</u> – Audit (e.g., AU); an indefinite period of time during which a government agency may be audited or during which an organization may be audited for reasons other than tax (e.g., performance of contracts).
<u>CU</u> - current year (e.g., CU + 3Y) means records may be destroyed 3 years after December 31 of the current year.
<u>E</u> - Election
<u>IND</u> - indefinite (e.g., IND); period during which records may not be destroyed but during which the retention period may be reviewed and modified. This designation should generally be limited to historical or research records; most other records should be assigned a specific retention period.
<u>L</u> - Life
<u>M</u> - month (e.g., 3M); years will be assumed unless otherwise indicated.
<u>SUP</u> - superseded (e.g., SUP); period after which information has been replaced and no longer active
T - Termination



## Records Retention Policy

### *Administration*

Record Series Title	Retention	Descriptor
Agendas & Reports	Indefinite	Original Agendas and special meeting notices, certificates of posting.
	CU + 5	Original summaries, original communications and action agendas. Documentation received, created and/or submitted to Board. Non-agenda related, include supporting documentation.
Applications for Boards, Commissions & Committees	E + 5	Selected
	2	Not Selected
Articles of Incorporation	Indefinite	
Attorney	Indefinite	Notations on activities related to case, correspondence and opinions. Confidential and Non-Confidential.
Capital Improvement	Indefinite	Construction, files, equipment.
Contracts & Agreements	T + 10	Includes leases, equipment, services or supplies.
Employee Files & Records	Indefinite	<p>Release Authorizations; Certifications; Reassignments; outside employment; commendations disciplinary actions; terminations; Oaths of Office; evaluations-pre-employee medicals; fingerprints; identification cards (ID's).</p> <p><b>Employee Handbook:</b> General employee information policy and procedures. Court Options and Rulings.</p> <p><b>Employee Programs:</b> Including EAP and Recognition's</p> <p><b>Employee Rights:</b> May include arbitration, grievances, union requests, sexual harassment and Civil Rights, complaints, disciplinary actions.</p> <p><b>Hourly Employees:</b> Personnel files.</p> <p><b>Medical:</b> May include family/sick leave; certification; tests.</p> <p><b>Personnel Records (copies):</b> Attendance; evaluations; payroll; worksheets; postings, W-4's.</p> <p><b>Training Records:</b> Employee applications, volunteer program training, class training materials and internships Operator Certification and continuing education.</p> <p><b>Classification and Appointments:</b> Includes supplemental Personnel records. Wage rate tables.</p>
Federal & State	Indefinite	
General Administrative	SUP + 4	All district policies and procedures, correspondence if not attached to agreement or project files.
Goals & Objectives	CU + 4	Departmental goals and objectives.

## Records Retention Policy

### *Administration*

Record Series Title	Retention	Descriptor
Insurance	Indefinite	<p><b>Certificates:</b> Insurance certificates filed separately from contracts, includes insurance filed by licensees.</p> <p><b>Claims:</b> Paid/Denied - Accident reports and related records. Incident Reports: Theft, arson, vandalism, property damage or similar occurrence.</p> <p><b>Liability/Property:</b> May include liability, property, Certificates of Participation, deferred, use of facilities.</p> <p><b>Workers Compensation:</b> Indemnity; Claim Files, Reports, Incidents (Working files) originals filed with Administrator.</p>
Minutes	Indefinite	Official minutes and hearing proceeding of governing board.
Negotiation	Indefinite	Correspondence, contracts, and Memorandums of Agreements.
	L – 4	Equipment
Notifications & Publications	Indefinite	Proof of publication or posting, certification and listing of notice of posting; copy of newspaper notice and certification of offices to be voted for at forthcoming election.
Ordinances	Indefinite	Legislative Actions.
PERS, Social Security, SSI	Indefinite	Employee retirement, State and Federal benefits.
Personnel Fidelity Bond	T + 5	Employee fidelity bonds.
Policy & Proclamations	Indefinite	<p>Policies and procedures, directives rendered by District Board not assigned a resolution or ordinance number.</p> <p><b>Reviews: Internal/External Periodic:</b> Daily, weekly, monthly, quarterly, or other summary, review, evaluation, log, list statistics, except a report.</p>
Program Files & Directories	CU + 1	Annual backup
	CU + 2 mos.	Monthly backup
	CU + 1D	Daily backup
	CU + .5D	Weekly backup
Recruitment	CU + 3	Applications, resumes, alternate lists/logs, indices; ethnicity disclosures; examination material; examination answers sheets, job bulletins; eligibility; electronic database, biographies.
Reports	CU + 2	Employee statistics, benefit activity; liability loss. Internal and/or external.
Resolutions	Indefinite	Legislative actions and Policies.
Risk Management Reports	CU + 5	Federal OSHA Forms; Loss Analysis Report; Safety Reports; Actuarial Studies.
Special Projects	CU + 5	

**Records Retention Policy**  
*Administration*

<b>Record Series Title</b>	<b>Retention</b>	<b>Descriptor</b>
Support Services	CU + 3	Reproduction; printing; postal/mailing services, other internal resources.
Surveys & Studies	CU + 2	Includes classification, wage rates and benefits.
Tape Information Systems	ACT + 2	System Generation.

## Records Retention Policy

### *Development*

Record Series Title	Retention	Description
Abandonment	Indefinite	Buildings, Water/Wastewater system. Condemnation, Demolition.
Acquisition / Disposition	AU + 5	Supporting documents re: sale, purchase, exchange, lease or rental of property by District.
Appraisals	Indefinite	Exempt until final acquisition or contract agreement obtained.
(CEQA) California Environmental Quality Act	Indefinite	Exemptions, Environmental Impact Report, Mitigation monitoring, negative declaration, notices of completion and determination, comments, statements of overriding considerations. Correspondence, consultants, issues, conservation.
Certificates	Indefinite	Compliance, elevation, occupancy which affect real property and application for permits.
Deeds & Promissory Notes	Indefinite	
Grants, Community/Urban Development	AU + 7	Project files, contracts, proposals, statements, reports, subrecipient dockets, Environmental review, grant documents, applications, inventory, consolidated plan etc.
Master Plan	Indefinite	<p>Special or long-range program plan for municipalities coordination of services; strategic planning.</p> <p><b>Capital Improvement Projects:</b> Supporting documents including bidders list, specifications, reports, plans, work orders, schedules, etc.</p> <p><b>Construction:</b> Contains records, planning, design, construction, conversion or modification of facilities, structures and systems.</p> <p><b>Annexation:</b> Reports, agreements, public notices.</p> <p><b>Sphere of Influence and Elements:</b> Includes sphere of influence, approved/denied.</p> <p><b>Special Districts Improvement:</b> Supporting documents re: improvement, lighting, underground utility; bonds, taxes and construction.</p> <p><b>Maps &amp; Plans:</b> Zoning, tentative subdivision, parcel, land use map, aerial photos, and specific plans.</p> <p>Engineering and field notes and profiles; cross-section of water and sewer systems right-of-way, annexations, tracts, block, storm drains, water easements, bench marks, trees, grading, landfill, fire hydrants, base maps etc.</p>

## Records Retention Policy

### *Development*

Record Series Title	Retention	Description
Master Plan	Indefinite	<p><b>Boundary:</b> Recorded maps, surveys, and monuments.</p> <p><b>General Plan and Elements:</b> Includes sphere of influence.</p> <p><b>Logs:</b> Logs, registers of similar records listing permits, certificates of occupancy issued; may include inspection, building activity, daily, plan check, utility.</p> <p><b>Lot Split:</b> Reports and Maps.</p> <p><b>Relocation of Facilities:</b> Water/Wastewater mains, lines and related appurtenances.</p> <p><b>Soil:</b> Analysis, construction recommendations, final reports.</p>
Permits	Indefinite	<p>Various local authorities. Plans, building, signs, grading, encroachment permits.</p> <p><b>Construction:</b> Plans, building signs, grading, encroachment, including blueprints and specifications.</p> <p><b>Other:</b> Alterations, encroachment, excavations, road, street, sidewalks and curb alterations, transportation, temporary uses etc.</p>
Street Names & House Numbers	Indefinite	Street dedications, closings, address assignment/changes.
Subdivision & Development Projects	Indefinite	<p>New commercial and residential construction, tenant improvements, room additions, remodels including security bonds. Water assessment reports.</p> <p><b>Inspection:</b> Correspondence, fees, appeal requests, reports, daily inspection logs.</p> <p><b>Service Agreements:</b> Infrastructure agreements, reports and contracts.</p>

## Records Retention Policy

### *Finance*

Record Series Title	Retention	Descriptor
Accounts Payable	AU + 5	Invoices, check copies, supporting documents.
Administration	CU + 10	Supporting documents.
Assessment Districts	Indefinite	Collection information; Original documentation files with county clerk.
Audit	Indefinite	Annual Financial Audits and Analysis <b>Inventory:</b> Reflects purchase date, cost account number and invoices. Equipment and parts. <b>State Controller:</b> Controller may destroy after 5 years.
Banking	AU + 7	Statements, summaries for receipts, disbursements and reconciliation's. Excel Reports - Interest and Investments. <b>Checks:</b> Includes payroll, canceled and voided checks. <b>Deposits/Receipts:</b> Checks, coins, currency. <b>Warrant Register:</b> Authorization of payment or receipt of money and disbursement list.
Benefit Plan	Indefinite	<b>Claims &amp; Enrollment:</b> May include dental, disability, education, health, life and vision including dependent care and Employee Assistance.
Bids & Quotes	4	Requests for Qualifications or Requests for Proposals regarding goods and services.
Successful:	7	
Unsuccessful:	CU + 2	
Bonds (COP & GO)	Indefinite	<b>Taxes:</b> Property tax, bond payment. <b>Insurance Bonds:</b> Bonds and insurance policies insuring district property and other assets. Coupons paid/cancelled, final bond documentation. <b>Financial Records:</b> Grant and loan application.
Budget	Indefinite	<b>Adjustments, Journal Entries:</b> Annual Budget, account transfers, capital improvement projects. <b>Annual Budget:</b> Annual operating budget approved by District Board. Excel Reports - xBudgemaster00.01.xls and 2Budgemaster00.01.xls. <b>Operating:</b> Departmental Reference. <b>Proposed/Adopted:</b> Presented to Board.
Disposal of Equipment	4	Sealed bid sales of equipment.
Employee Reports	Indefinite	<b>Employee Wages &amp; Benefits:</b> Excel Reports - Wage&BenefitCosts.xls - Personnel.1.xls StateComp.xls - Individuals - Sick and vacation Records Wages.

## Records Retention Policy

### *Finance*

Record Series Title	Retention	Descriptor
Employee Reports	Indefinite	<p><b>Time Sheets:</b> Signed by employee for audit and FEMA Reports.</p> <p><b>PERS Employee Reports:</b> Record of deductions (PERS: Public Employee Retirement System).</p> <p><b>Register:</b> Record of List: Labor costs by employee and program.</p> <p><b>Wage &amp; Benefit Records:</b> Deductions authorization, beneficiary designations, unemployment claims, and garnishments.</p> <p><b>Deferred Compensation:</b> Records of employee contributions and District payments.</p>
	T + 10	<b>Statement of Economic Interest:</b> FPPC Filings - Elected Officials
	CU + 5	FPPC Filings - Not Elected Officials
Federal & State Tax	Indefinite	Forms 1096, 1099, W4's and W-2's.
Investment Transactions	Indefinite	Summary of transactions, inventory and earnings report.
Labor Distribution	Indefinite	Costs by employee and program.
Policies & Procedures	Indefinite	Includes rules and regulations.
State Controller	Indefinite	Controller may destroy after 5 years.
Utility Billing	AUD - 5	<p>Billing including monthly activity. MVRS - Upload Audit Trail Report. MOM's - Late Notice Report, Billing Audit Trail, Month End MQ and CH Reports. Bush List and Shut Off List.</p> <p><b>Water &amp; Sewer:</b> Customer name, service address, meter reading, usage, payments, applications/cancellations, billings, special billings, customer correspondence, complaints, Starts and Stops.</p> <p><b>Adjustments:</b> Audit purposes.</p>
	AUD - 3	<b>Accounts Receivable:</b> MOM's - CH and ME Reports and Payment Stubs.
	ACT - 4	<p><b>Service Applications:</b> Utility connections, disconnects, registers, service, stops and starts.</p> <p><b>Rebates &amp; Refunds:</b> Customer rebates and refunds.</p>
Vehicle Mileage Reimbursement Rates	3	Annual mileage reimbursement rates and travel records.
Water/Sewer Rates	CU + 2	Water and Wastewater Rates and Connections.

## Records Retention Policy

### *Wastewater*

Record Series Title	Retention	Descriptor
Capital Improvements	Indefinite	<b>Construction:</b> Contains records re: planning, design, construction, conversion or modification of facilities, structures and systems.
CRWQCB - California Regional Water Quality Control Board	Indefinite	Wastewater discharge, monthly and annual reports. <b>Regulations:</b> Includes legislation, compliance documentation and Discharge permits. <b>Certification:</b> Operator certification and continuing education. <b>Wastewater Violations:</b> Retention applies to each violation.
Maintenance & Operations	Indefinite	Repairs, cleaning, reports, complaints, emergency call outs, locates and inspections. Service requests, invoices, supporting documentation, buildings, equipment and work orders. <b>Flow Meter Operations:</b> Reports, tests and maintenance reports. <b>Equipment Inventory:</b> Equipment and parts. <b>Monitoring Well Depth:</b> Groundwater levels. <b>Operation Reports:</b> Daily meter, pump, pH and D.O. readings. <b>Liftstation &amp; Ponds:</b> Project files, permits and maintenance records. <b>Relocation of Facilities:</b> Wastewater collection lines and related appurtenances. <b>Equipment Maintenance Files:</b> Repairs, parts and work orders.
MBUAPD	Indefinite	<b>Air Quality Monitoring:</b> Generator applications, permits and maintenance reports.
Policies and Procedures	Indefinite	<b>Wastewater Agreements:</b> Infrastructure contracts, franchises. Includes rules and regulations.
Recycling Programs	Indefinite	Wastewater reclamation program, files and correspondence.
Wastewater Collection System	Indefinite	Maps, sewer lines connections and construction notes. <b>Locations:</b> Mains, valves, pumps and inspections. <b>Sewer Pond Maps:</b> Location maps. <b>Liftstation:</b> Plans and notes.
	CU + 2	<b>Wastewater Collection System Standards:</b> Wastewater collection development standards.

## Records Retention Policy

### *Wastewater*

Record Series Title	Retention	Descriptor
Wastewater Quality Monitoring	Indefinite	Compliance documentation including sampling data, analysis, reports, surveys, documents, evaluation, schedules etc. <b>Sanitary Surveys:</b> statistics, reports and correspondence. <b>Chemical Analysis:</b> Compliance records include location, date, method used and results: corrections analysis of chemical content.

## Records Retention Policy

### Water

Record Series Title	Retention	Descriptor
Back Flow Program	CU + 5	Device Test Reports, customer name, address and correspondence. Back flow certificates.
Capital Improvements	Indefinite	<b>Construction:</b> Contains records re: Planning, design, construction, conversion or modification of facilities structures and systems.
DOHS - Department of Health Services	CU + 2	Water quality monitoring plan and regulations.
	Indefinite	Monthly reports, permits, compliance documents, complaints, operator certification and continuing education. <b>Violations:</b> Retention applies to each violation and corrections. <b>Water System Variances:</b> Regulations: includes legislation.
Fire Hydrants	Indefinite	Maintenance, pressure and flushing reports.
Inventory	ACT + 5	Equipment, parts and inventory list.
Maintenance & Operations	10	Repairs, cleaning, reports, complaints, emergency call outs, and locates. Supporting documentation, buildings, equipment and work orders.
	Indefinite	<b>Relocation of Facilities:</b> Water main lines and related appurtenances. <b>Equipment Maintenance Files:</b> Maintenance records, repairs and parts list.
MBUAPD	Indefinite	<b>Air Quality Monitoring:</b> Generator applications, permits and maintenance reports.
Operations Report	Indefinite	Daily readings, water usage and City Meter Report. <b>Well Depth:</b> Groundwater monthly measurement.
Policies & Procedures	Indefinite	Includes rules and regulations.
Public Education	12	Compliance documentation, conservation.
Water Valves & Mains	Indefinite	Maintenance records, replacements and relocates.
Water Meters	15	Reader reports, orders, tests, Maintenance Reports and MVRS Reports. Repair lists and meter replacements.
Water Quality & Parameters	Indefinite	Compliance documentation including sampling data, analysis, reports, surveys, documents and evaluation. <b>Bacteriological Analysis:</b> Compliance records include location, date, method and results; corrections, analysis of bacterial content. <b>Chemical Analysis:</b> Compliance records include location, date, method used and results; corrections, analysis of chemical content. <b>Water System Sanitary Survey:</b> Statistics, reports, correspondence. Notes preparatory to maps of water installations.

## Records Retention Policy

### *Water*

Record Series Title	Retention	Descriptor
Water Service Agreements	Indefinite	Infrastructure contracts, franchises and reimbursements.
Water Source	Indefinite	<b>Wells &amp; Pumping:</b> Project files, drilling records, permits and maintenance records. Compliance documentation.
Water System Map	Indefinite	Line location; easements, mains, valves, hydrants and wells.
Water System Standards	Indefinite	Water system development standards and construction notes.