SELMA-KINGSBURG-FOWLER COUNTY SANITATION DISTRICT

RECORDS MANAGEMENT AND RETENTION POLICY

Board Resolution No. 2026-24

DATE: 9-10-2026

1. PURPOSE POLICY STATEMENT

The purpose of this Records Management and Retention Policy ("Policy") is to establish a comprehensive and uniform policy for the cost effective and efficient management of the District's records. This includes the creation use, maintenance, security, retention, storage, preservation, and destruction in accordance with Government Code Sections 60200 and 60201. Proper management of District records ensures prompt and accurate retrieval of records and compliance with legal requirements as well as minimizing the use of District resources for storage of records that are no longer necessary.

2. GENERAL

A. Authority. The General Manager is authorized to interpret and implement this policy. The Administrative Services/Human Resources Manager is designated as the Records Manager who shall be responsible for:

- The administration of this policy;
- Monitoring compliance with District policies and procedures for records management;
- Conducting an annual review of the records database to determine which records are eligible for destruction;
- Preparing a list of administrative, executive and/or operational records eligible for destruction;
- Ensuring appropriate signatures are received prior to records destruction; and
- Ensuring that obsolete records are destroyed in a timely manner and obtaining the necessary forms certifying that the records have been destroyed.

The General Manager and Administrative Services/Human Resources Manager are authorized to do everything necessary to comply with the terms and intent of this Policy.

B. Public Records: Include any writing containing information relating to the conduct of the public's business prepared, owned, used or retained by the District regardless of physical form or characteristics.

C. Writing: Means any handwriting, typewriting, printing, photographing, photocopying, transmitting by electronic mail or facsimile, and every other means of recording upon any tangible thing any form of communication or representation, including letters, words, pictures, sounds, or symbols, or combinations thereof, and any record thereby created, regardless of the manner which the record has been stored.

3. GOALS OF RECORDS RETENTION SCHEDULE

Pursuant to Government Code section 60201, subdivision (b)(2), the goals of the District in creating this Policy are to:

- Optimize records volume
- Improve storage and retrieval systems
- Improve employee productivity
- Identify and protect vital records
- Continue to meet legal requirements
- Protect the organization, personnel, and the public

4. RETENTION AND DESTRUCTION OF DOCUMENTS

All records identified in the Records Retention Schedule shall be retained in original or scanned form in the District offices for the number of years indicated in the column designated "Retention Period (Years)."

Each document scheduled for destruction shall, prior to destruction, be reviewed by the General Manager or Authorized Designee and shall be retained if either determines that the document has continuing value or use by reason of litigation, relationship to a continuing project, or any other valid reason.

Upon determination of records eligible for destruction, a Records Disposition Form shall be completed by office staff and approved by the General Manager. This approval shall occur BEFORE the records are destroyed. Once approved, the records shall be properly destroyed, signed off and the completed form shall be returned to the Authorized Designee for permanent retention.

The Schedule has guidelines for the appropriate retention of numerous types of records. If, after consulting this policy and the schedules attached, there exists a question regarding the proper disposition or retention of a particular document or series of documents, it shall be the responsibility of the General Manager or other employee in possession of the document, to work in conjunction with the Administrative Services/Human Resources Manager to determine the proper disposition of the item(s). Since this policy is designed to facilitate the routine, orderly and timely archiving or disposition of documents by District staff, if it becomes apparent that this policy fails to address certain classes of documents, this should be brought to the immediate attention of the General Manager for appropriate action and correction.

A. Other Terms

As used in this policy, the following terms are defined as follows:

Active Record: a record referred to in the general conduct of current District business and is retained by the District.

Citation: the legal basis for a retention period.

Duplicate Record: a record that is a copy of an original record.

Historical Record: a record that is valuable to future researchers in that it documents accomplishments, changes, and growth of the District.

Inactive/Archived Record: a record that is no longer referred to in the general conduct of current District business but is still accessible.

Legal Hold: A notice or memorandum instructing affected District personnel to suspend destruction of records, including e-mail communications related to anticipated litigation, audits, or investigations.

Non-record: any writing which is not within the definition of "Record" (Drafts, working copies, information produced by other agencies, etc.).

Permanent Record: A record considered to be so valuable or unique that it should be permanently preserved.

Retention Period: the length of time that a particular record series shall be retained by the District before it is destroyed in accordance with the Retention Schedule.

Retention Schedule: the schedule of record series which are prepared, owned, used, or retained by the District, and which identifies a minimum retention period for each category of record. The Retention Schedule is subject to the approval of the Board of Trustees and may be amended from time to time by resolution.

RFP: Request for Proposal.

Transitory Writing: any writings that are preliminary drafts, notes, interagency or intra-agency memoranda that are not retained in the ordinary course of business. Generally, information contained on a transitory record has transitory value as the information is only used for a short period of time, or as reference material.

Vital Record: a record that is needed to continue or resume basic District operations in the event of a disaster. For example, an NPDES Permit, Brown Act meeting minutes, or Board resolutions.

B. <u>Retention Key</u>

As used in this Policy, the following terms are defined as follows:

AC- Active	P- Permanent	L- Life
AU- Audit	T- Termination	S- Supersede (d)*
CU- Current Year	AD- Adoption	
E- Election	CL- Closed/Completion	

***Supersede(d)** refers to a formal designation that one record replaces or is the most current version of another record to ensure that only the latest or most relevant record is retained for a given period.

C. <u>Citations Key</u>

As used in this policy, the following terms are defined as follows:

B&P- Business and Professions

CAC- California Administrative Code

CARB- California Air Resources Board

CCP- Code of Civil Procedure

CCR- Code of California Regulations

CEQA- California Environmental Quality Act

CFR- Code of Federal Regulations

EC- Elections Code

EPA- Environmental Protection Agency

FMLA- Family Medical Leave Act

GC- Government Code

H&S- Health and Safety

LAFCO- Local Agency Formation Commission

OSHA- Occupational Health and Safety

SWRCB- State Water Resources Control Board

D. Employee Duties and Responsibilities

All District employees are responsible for:

A. Keeping accurate and complete records of District business activities and complying with District policies and Procedures.
B. Ensuring appropriate safeguarding of confidential, historical, and vital records.
C. Ensuring economical and efficient maintenance of records.
D. Routinely practicing effective controls over the creation, maintenance, and use of District records in all media formats.
E. Segregating, transferring, or disposing of District records in accordance with policies and procedures and retention schedules.

The General Manager and Administrative Services/Human Resources Manager are responsible for:

A. All records within their administrative and executive work.
B. Maintaining an active program for the economical and efficient use of records.
C. Ensuring subordinate employee compliance with this Policy.
D. Reviewing annually and designating and approving destruction of District records that have reached the end of their retention period under their control per this Policy and retention schedules.

E. Records Retention General Guidelines

The following general provisions apply to all District records.

1. Pursuant to this Policy, except where a record is expressly required to be preserved according to state law, the District may destroy any original obsolete document without retaining a copy of the document if the retention and destruction of the document complies with the retention schedule as set forth in this Policy. (Government Code Section 60201).
2. Pursuant to this Policy, except where a record is expressly required to be preserved in its original format in accordance with state law, the District may retain electronic records without retaining the original hard copy document if the retention and destruction of the document complies with the retention schedule as set forth in this Policy.
3. In addition to retention periods required under this Policy, the District shall retain original administrative, legal, fiscal, and/or historical records with continued value (e.g., records for long-term transactions and/or special projects) until all matters pertaining to such records are completely resolved or the time for appeals has expired.

4. Records, including but not limited to organizational policies, legislative actions, programs, and plans, which are superseded following approval of new ones after revision, update, or replacement, should be marked SUPERSEDED and retained according to this Policy.
5. Pursuant to Government Code Section 60200 and by adoption of this Policy the Board of Directors has authorized the destruction or disposition of any duplicate record, paper, or document, the original or a permanent photographic record of which is in the files of any officer or department of the District.
6. Pursuant to Government Code Section 60201(d), the District shall not destroy any of the following records:

   1. Records relating to the formation, change of organization, or reorganization of the District.

   2. Ordinances and resolutions, unless they have been repealed or have become invalid or otherwise unenforceable for five (5) years

   3. Official Minutes of any meeting of the District.

   4. Records relating to any pending claim, litigation, any settlement or other disposition of litigation within the past two (2) years.

   5. Records that are the subject of any pending request for records under the California Public Records Act, whether the record is exempt from disclosure, until the request has been granted or two (2) years after the request has been denied by the District.

   6. Records relating to any pending construction that the District has not accepted or for which a stop notice claim may be legally presented.

   7. Records relating to any non-discharged debt of the District.

   8. Records relating to the title to real property in which the District has an interest.

   9. Records relating to any non-discharged contract to which the District is a party.

   10. Records that have not fulfilled the administrative, fiscal, or legal purpose for which they were created or received.

   11. Unaccepted bids or proposals, which are less than two (2) years old, for the construction or installation of any building, structure, or other public works.

   12. Records less than seven (7) years old, that specify the amount of compensation or expense reimbursement paid to District employees, officials, or independent contractors.

In addition, the following records are required to be retained in their original hard copy format for at least two (2) years before imaging or scanning them into electronic format. The electronic version becomes the "original," pursuant to state law. (Government Code Sections 60203[b] and 81009):

1. Statements of Economic Interest for Elected Officials (copies of FPPC Form 700). Total retention is four (4) years.

2. Statements of Economic Interest for Non-Elected Officials (originals of FPPC Form 700. Total retention is seven (7) years.

F. Records Destruction

Destruction of District records and final disposition is performed by the Administrative Services/Human Resources Manager and must occur on a routine basis and in a systematic manner, in the normal course of business activity and in accordance with the Records Retention Schedule. Final disposition of records is performed after the identified record has met or exceeded its retention period no matter what media is used to store the record (paper, electronic).

Prior to destruction of District records, staff shall use the records destruction certificate attached to this Policy as **EXHIBIT B** to identify and list the records to be destroyed. Signature approvals are required by the Administrative Services Manager, the General Manager, and General Counsel. The Administrative Services/Human Resources Manager will certify destruction and will be the final signature required on the form. The General Manager should provide an annual summary report of destroyed obsolete records to the Board of Directors.

G. Lost or Accidentally Destroyed Records

Employees are required to promptly report to their supervisor if a record is lost or accidentally destroyed, and provide a written report, signed and dated to the General Manager or their designee, including the following information:

1. Identify the records affected and their condition.

2. Describe the circumstances surrounding the loss or inadvertent destruction of records and how it was identified.

3. Describe the actions taken to recover, reconstruct, or remediate the records (if applicable). Document further the prevention strategies or safeguards implemented to prevent future loss or inadvertent destruction of records.

4. Responsible Employee for the Records.

H. Electronic Records Management/Network Drives

1. Policies and procedures for paper records also apply to electronic records.

2. District staff are required to delete drafts, copies, notes, and memoranda not retained in the ordinary course of District business on a regular basis from all computer and electronic media.

3. District staff are required to store all files on OneDrive or network drives, which are backed up regularly and are accessible to other employees during absences from the work environment.

I. <u>Management and Retention of Electronic Communications</u>

Electronic communications generate correspondence and other documentation, which are public records that may be subject to disclosure under the California Public Records Act (Government Code Section 7920.000, et seq.) and such records require protection and retention in accordance with the law.

1. The Districts electronic communication systems, including electronic mail (e-mail) social media sites, and other communication tools, are intended as mediums of communications only and are not intended or designed for the long-term storage or maintenance of records.

2. E-mail is a business tool which will be used in accordance with generally accepted business practices and current law to provide an efficient and effective means of communication. Only District-based e-mail should be used for District business.

3. Users are solely responsible for the management of their electronic mailboxes. For the e-mail system to function as designed, employees must regularly delete electronic data (e-mails and attachments) from the e-mail system.

4. The following types of e-mail messages (sent and received) and attachments are generally not considered records and shall not be retained in the ordinary course of business:

- Routine messages comparable to telephone communications.
- Scheduling related messages.
- General information (e.g., announcements, solicitations, professional list serve messages).
- Informal communication among staff and/or consultants.
- Informal notes and personal messages.
- Personal messages that are not work- or agency-related.

5. Employees shall regularly monitor their individual e-mail files, including Inbox, Sent, Deleted, and Archived folders, and routinely delete from the e-mail system the hereinabove described e-mail messages.

6. E-mail messages (sent and received) and attachments that contain information relating to the conduct of the Districts business and that are deemed to be a record shall be printed in hard copy and placed in the appropriate file or converted to the appropriate electronic format and properly retained in local file systems in accordance with this Policy and then deleted from the e-mail system.

7. The General Manager shall ensure that the Information Systems Analyst promptly eliminates access for employees that separate from the District so that they do not have access to District e-mail immediately following notification from the General Manager or their authorized designee. The separating employee's supervisor, or employee as designated by the General Manager, should have access to that e-mail account.

8. When an employee separates from the District, the records stored in the e-mail account of the employee shall be the responsibility of that employee's former supervisor. The supervisor shall review the e-mails of the former employee, ensure the content of their e-mail account are non-records and not retained in the ordinary course of business, and then authorize their deletion (after appropriate records are retained for their retention period, as appropriate).

J. Trustworthy Electronic Records/Document Imaging

A. Trustworthy Electronic Records are those electronic records that are intended to serve as the District's official records (rather than preliminary drafts or copies). For purposes of this Policy, "Official Record" is used interchangeably with "Trust-worthy Electronic Record." An electronically generated document (paper scanned to image file or electronic file), controlled by daily operational procedures, policies, and security, to ensure reasonable expectations of document integrity, free from physical or electronic additions, subtractions or other modifications that would change the content of the original document. A "Trusted Copy" means a record which is a copy of an originally created record if the copy is created on a "trusted system" in accordance with the requirements of Government Code section 60203. Once a "Trusted Copy" is created, it may replace the originally created record, and the "Trusted Copy" will be retained in accordance with this program and the Record Retention Schedule. While "trusted copies" are not spelled out in specific retention categories in the Record Retention Schedule, they are inherent and an important component to the District's strategy to migrate paper documents to the electronic document management solution.

B. The District will be in full compliance with all applicable laws to ensure the integrity of its official records and trustworthy electronic records. All images and indexes shall be stored on unalterable media, which shall be stored in a safe and separate location.

C. Whether scanning is accomplished "in-house" (by District employees) or "outsourced" (external services), any new records series to be imaged or which is intended to serve as the District's official record must be approved by the General Manager prior to commencement.

K. Policy Review

This Policy should be reviewed at least once every four (4) years, except as otherwise noted within this Policy, or as necessary when there are new legal requirements.

Accounting and Finance / Customer Services / Risk Management

Reference to retention periods, unless otherwise indicated, refers to the current year plus the years shown.

CATEGORY	RECORD TYPE	DESCRIPTION	RETENTION
Accounting	Accounting Reports, Statements	Monthly budget status, revenue, expense, balance sheet, quarterly reports	AU +5
Accounting	Annual Financial Report	Annual Comprehensive Financial Report	**Permanent**
Accounting	Audit Reports	Financial services, internal and external reports, independent auditor analysis, Management letters	AU + 5
Accounting	Accounting Journals, Registers, Ledgers	Journals: General, payroll Registers: Cash receipts, cash disbursements, accounts receivable, accounts payable, checks Ledgers: General, payroll	AU + 5
Accounting	Checks	Checks issued by the District, including expense reimbursement to employees and Board members, payments to independent contractors; includes check copies, canceled and voided checks, electronic versions of checks	AU + 7
Accounting	Credit Cards, District-Issued	Credit card bills/statements, and other records related to use of District-issued credit cards	AU + 5
Accounting	Purchasing Vendor Information	Vendor information, I-9s	AU + 5
Accounting	Purchasing Bids, RFPs, RFQs	Bids, RFPs and RFQs not related to capital projects	AU + 5
Accounting	Accounting Internal Controls and Procedures	Rules and regulations regarding internal work practices	S + 2
Banking / Investments	Banking, Certificates of Deposit	Statements, reconciliations, transactions, earnings reports	AU + 5

CATEGORY	RECORD TYPE	DESCRIPTION	RETENTION
Banking / Investments	Local Agency Investment Fund (LAIF), United States Treasuries, Other Investments	Statements, transactions, earnings reports	**Permanent**
Budget	Operating and Capital	Annual operating and capital budgets, and amendments	**Permanent**
Debt	Bonds, Certificates of Participation, Refunding, Loans – State, Federal, or Bank	Authorizations, public hearing records, prospectus, certificates, notices, transcripts, official statements	CL + 10
Fixed Assets	Inventory	Purchase date, costs, depreciation	AU + 5
Fixed Assets	Surplus Property	Auction, listing, sale, disposition of property	AU + 4
Fixed Assets	Vehicles and Equipment	Purchase documentation, DMV registration and title; Title transfers when vehicle sold	Until sold + 2
Payroll	CalPERS Employee Deduction Reports	Records of CalPERS deductions	Separation + 4
Payroll	Registers	Labor costs and employee programs	**Permanent**
Payroll	Reports District Level	W-2, Federal 941, CA DE6, CA DE7	AU + 5
Payroll	Reports Employee Level	Dates and hours worked, gross pay, net pay, and all related taxes, deductions, benefits, adjustments, etc.	AU + 5
Payroll	Salary Records	Deduction authorizations, paid time off, beneficiaries, garnishments, unemployment claims	Separated + 5
Payroll	Timecard Data, LOAs, PAFs	Record of employee attendance	AU + 5
Payroll	Payroll Internal Controls and Procedures	Rules and regulations regarding internal work practices	S + 2
Reporting	State Controller	Financial transaction report government compensation	**Permanent**

CATEGORY	RECORD TYPE	DESCRIPTION	RETENTION
Reporting	State Water Resources Control Board	Water arrearage	AU + 5
Reporting	Employment Development Department	Unemployment, disability, independent contractor	CU + 4
Revenue	Water Consumption, Meter Charges	Water consumption, meter fees, late fees	AU+ 5
Revenue	New Connections	Meters, capacity, intent to serve, project review	AU + 5
Revenue	Other Revenue	Property taxes, interest	AU+ 5
Revenue	Receivables Payments / Cash Receipts / Deposit Receipt Forms	Proof of payment for fire flow tests, meter upgrades, new services, and landscape reviews	AU + 5
Revenue	Wastewater Rate Study	Rates and fees study, rate models	**Permanent**
Revenue	Wastewater Capacity Charges	Wastewater capacity charges, rate models	**Permanent**
Revenue	Miscellaneous Fees	Miscellaneous fees, cost of service	**Permanent**
Revenue	Proposition 218	Notices, protests and ballots	CL + 4
Revenue	Rate Implementation	Annual revenue review, SKFCSD pass-throughs, and rate increase	AU + 6
Risk Management	Insurance: Certificates of Commercial and Professional Liability	Consultants, contractors, vendors	CL + 5
Risk Management	Insurance Programs: Liability, Property, Workers' Compensation	Program documents, performance bonds, employee bonds, insurance certificates	CU + 5
Risk Management	Accident / Damage Reports	Reports and related records	CL + 5

CATEGORY	RECORD TYPE	DESCRIPTION	RETENTION
Risk Management	Incident Reports	Theft, arson, vandalism, property damage, etc.	CU + 2
Risk Management	Claims	Claim forms, paid or denied, supporting documents, settlements	CL+ 5
Utility Billing	Receivables Payments / Cash Receipts	Payment records	CU + 5
Utility Billing	Reconciliations	Monthly/Quarterly billings and payment receipts	AU + 2
Utility Billing	Water Waste	Violation records, including administrative and public reports	CU + 5
Utility Billing	Utility Billing Internal Controls and Procedures	Rules and regulations regarding internal work practices	S + 2

Administration / Human Resources / Information Technology / Legal/ Public Relations and Outreach

Reference to retention periods, unless otherwise indicated, refers to the current year plus the years shown.

CATEGORY	RECORD TYPE	DESCRIPTION	RETENTION
Administration	Agreements – Contracts (Non-CIP)	Original agreements and back-up materials for non-CIP contracts and agreements, leases, licenses, reimbursements, maintenance, and professional services	CL+ 4
Administration	California Public Records Act	Requests, acknowledgments, responses	CU + 2
Administration	Agency Formation Records	Formation, incorporation, organizational, historical	**Permanent**
Administration	Policies and Programs	District policies and programs	S + 5
Administration	Records Destruction	Approved disposed records certificates	**Permanent**
Administration	Records Inventories and Indexes	Tracking logs, indexes of records	S + 5
Administration	Strategic Planning	Mission, values, vision, strategic plans	S + 5
Administration	Service, Sphere of Influence, Annexations	Reports, public notices, certifications	**Permanent**
Emergency Planning	Emergency Planning, Response, Recovery	Emergency preparedness, response, and disaster recovery, including evacuation plans, emergency response requirements	S + 10
Grants	Funded	Applications, reports, contracts, project files, statements	CL+ 5
Grants	Unfunded	Applications, proposals	CL+ 2
Human Resources	Labor Relations	SKFCSD bargaining unit, letter agreements, exempt employment agreements, personnel policies and procedures	S+ 7
Human Resources	Compensation and Benefits	CalPERS retirement plans, COBRA, compensation plans and studies, healthcare benefits, supplemental retirement plans, salary schedules, employee safety and wellness programs	S+ 7
Human	Employee Development	Performance evaluations, education, awards,	Separation + 7

Resources		discipline, promotion, training	
Human Resources	Labor Law and Legal Compliance	FSLA, NLRA, CFMLA, compliance, reporting, training	Separation + 7
Human Resources	Recruitment and Selection	Job descriptions/classifications, internship, community service, recruitment, selection, pre-employment information and reports, onboarding, orientation	CU + 5
Human Resources	Employment Applications	Unsolicited employment applications	CU + 2
Human Resources	Workplace Safety	Safety programs, Cal OSHA log of work-related injuries and illnesses, annual summary, and incident reports, DMV pull notices, security	CU + 5
Human Resources	Employee Personnel Files	All records, documents, and files related to employee's employment	Separation + 7
Information Technology	Hardware, Software, Telecommunications, Cybersecurity	Assessments, inventory, documentation, backups, logs, voicemail, operations manuals	CU + 2
Legal Services	Legal Opinions	Confidential attorney client privileged information / documents	CL + 5
Legal Services	Litigation / Mediation	Litigation and mediation or settlement files	CL + 7
Public Relations	PR, Community info/ Outreach historical	Records with historical value	**Permanent**
Public Relations	Public Relations and Community Information/ Outreach Historical	Advertising, bill inserts, brochures, correspondence, fact sheets, Q&As, newsletters, photos, press releases, social media, special events, videos	CU + 2
Public Relations	Correspondence	Letters, emails, texts, voicemails, Social media, invitations not related to another record series	CU + 2
Real Property	District Property	Title, grant deeds, easements, quit-claims	**Permanent**

BOARD OF DIRECTORS

Reference to retention periods, unless otherwise indicated, refers to the current year plus the years shown.

CATEGORY	RECORD TYPE	DESCRIPTION	RETENTION
Board Appointments	Certification Records	Administrative record of election from County Elections Office, Board member oaths of office	Separation + 10
Board Appointments	Other Agency Board / Committee	BAWSCA, ACWA Board and Committee, ACWA JPIA Board, Interagency	CU + 5
Board Meetings	Board Meetings, Regular and Special	Agendas, agenda packets, official minutes	**Permanent**
Board Committees	Board Committee Meetings	Agendas, meeting reports	CU + 3
Compensation	Board Compensation and Benefits	Compensation and benefits	CU + 5
Compliance	Mandatory Training	Certificates of Completion for Ethics and Harassment Prevention training	CU + 5
Compliance	FPPC Filings	Form 700, Statement of Economic Interest Elected and Public Officials (Section 6.1[F] of the Records Management Policy)	CU + 7
Elections	Initiatives and Measures, LAFCO, ACWA, ACWA JPIA	Administrative record of election conducted by County Elections Office, LAFCO Special District Representative, ACWA Region 5 Board, ACWA JPIA Executive Committee or Captive Water Insurance Fund	**Permanent**
Legislation	Resolutions / Ordinances	Legislative actions	**Permanent**
Recordings	Recordings of Public Meetings	Audio or video recordings in person or via virtual meetings of public meetings made by or at the direction of the Board	60 days

OPERATIONS

Reference to retention periods, unless otherwise indicated, refers to the current year plus the years shown.

CATEGORY	RECORD TYPE	DESCRIPTION	RETENTION
As-Built Drawings	As-Built System Plans and Drawings	As-built drawings of system improvements by contractors	**Permanent**
Construction Projects	Capital Improvements and Construction Projects	Planning, engineering design, construction records, including contracts and agreements and related materials, for District facilities, structures, and systems	**Permanent**
GIS Mapping	Maps, Geographic Information	System maps, distribution, sampling	S + 10
Meter Operations	Consumption Tracking	Meter readings, reconciled with SKFCSD billing system, water loss tracking, and historical water use data records	**Permanent**
Master Plan	Comprehensive System Analysis / Master Plan	Comprehensive planning for District Wastewater system improvements	S + 10
New Connections	Developer Project Files	Will serve letters, service applications, fire services, water supply agreements	CL + 10
Operations	Bacteriological Analysis, Chemical Analysis	Compliance records, including location, date, method used and results, analysis of bacterial and chemical content	CU + 12
Operations	Corrosion Control	Compliance records	CU + 12
Operations	Discharge Monitoring	Pollution discharges	CU + 5
Operations	Maintenance / Repair Records	Water system main line repairs and maintenance, including mainline valves, fire hydrants, water storage tanks, pumps, motors, generators	**Permanent**
Operations	Maintenance / Repair Records (Permits)	Vehicles and equipment, and generators; fuel station on-site, including regulatory inspections and reporting	CU + 5
Operations	WDR	Compliance with Clean Water Act regarding pollutants	**Permanent**

Operations	Sanitary Surveys	Statistics, reports, correspondence	CU + 10
Operations	SCADA	Supervisory Control and Data Acquisition system specifications and reports	CU + 5
Operations	State Certification	Compliance records	CU + 12
Operations	Lead and Copper Testing	Methodology, analysis, records, corrections	CU + 18
Operations	Water Outages and Customer Complaint Log	Leaks, pressure, color, taste, odor, turbidity, and other organisms	CU + 5
Operations	Water Quality	Compliance records, including sampling data, analysis, reports, surveys, records, evaluations, schedules, valves	CU + 12
Operations	Standard Operating Procedures	Rules and regulations regarding internal work practices	S + 2
Site Plan Reviews	Water System Standards and Specifications	Site plan reviews, inquiries, and Tennant improvements	**Permanent**

Agency Records Destruction Form (Revised June 2023)

Instructions: Complete the destruction form to document the approval and destruction of records in-house or by a 3rd-party vendor.

1. Complete the "Agency Information" section and indicate the reason for the records disposition/destruction.
2. List the records eligible for destruction in the table on page 2.
3. Route for approvals to verify records have met retention and are not on legal hold.
4. A state employee must witness the destruction and list their name and title in field #9.
5. Retain the Agency Records Destruction form in accordance with your retention schedule.

WARNING:

Per Government Code section 12275(a), "A record shall not be destroyed or otherwise disposed of by an agency of the state, unless it is determined by the Secretary of State that the record has no further administrative, legal, or fiscal value and the Secretary of State has determined that the record is inappropriate for preservation in the State Archives." A current retention schedule signed by the California State Archives, serves as approval from the Secretary of State.

Records flagged "Notify Archives" may not be destroyed. Contact the State Archives (SRAP@sos.ca.gov) for instructions on how to transfer records.

Agency Information

Provide information about the records creator and who will perform the destruction.

(1) Agency/Department	(2) Division/Branch Section
(3) Agency Address	(4) Who will perform the destruction (Third-party Vendor [Company Name], Employee, Agency onsite-pick-up destruction bins, etc.) ☐ State Records Center (DDC) ☐ Agency (onsite) ☐ Other/Third-Party, explain:

Agency Approval & Destruction Details

Verify the records are eligible for destruction and are not on legal hold (subject to current or pending litigation, audit, Public Records Act Request)

(5) Justification for Records Disposition/Destruction ☐ Records met retention period ☐ Records to be digitized* ☐ Records Accidentally Lost/Destroyed (attach the CalRIM-04 Notification Form)				
(6) Manager Responsible for Records - Signature	Title/Classification	Name – (Printed or Typed)	Email address	Date Signed
(7) Records Management Coordinator - Signature	Title/Classification	Name – (Printed or Typed)	Email address	Date Signed
(8) Method of Destruction ☐ Confidential Shredding ☐ Recycling ☐ Deletion	(9) Name/Title –Employee Witness of the Destruction (SAM 1623)			(10) Date Records Destroyed

Records Information

Describe the records to be destroyed. Use a separate line for each record series (or functional type of record); this corresponds to a line item on the Records Retention Schedule.

(11) **Record Series & Description**	(12) **Retention Schedule Authorization** **Approval #**	**Item #**	(13) **Records Cutoff & Retention Period**	(14) **Records Format**	(15) **Date(s) of records**	(16) **Volume**

Form Field Explanations The numbers below correspond to the form-field numbers on the Agency Records Destruction Form.

1. **Agency/Department**: State agency responsible for the records included on the destruction log.
2. **Division/Branch/Section:** Within the department responsible for the records included on the destruction log.
3. **Address** of the division/branch/section responsible for the records.
4. **Who Will Perform the Destruction:** Check box that most appropriately describes the who will perform the destruction: State Records Center, the Agency (employee); Other/Third-Party vendor. If using a third-party vendor, please provide company name.
5. **Justification for Records Destruction**: Check the box that most accurately describes why the records listed are being destroyed. If records were accidentally lost/destroyed, document the circumstances.

   *Electronic version of records that have been digitized, where the electronic version is now the original and paper version is to be destroyed, must be stored in a trusted system in accordance with California Government *Code section 12168.7(c)*. The destruction of the paper source records will be documented as "records to be imaged."
6. **Manager Responsible for the Record:** Manager's signature, classification, name, phone number, date they signed the records destruction form to signify their approval of the records destruction.
7. **Department's Records Management Coordinator (RMC)**: As defined by Government Code section 12274.5, signature, classification (e.g., AGPA, Business Services Officer I, etc.), name, phone number, date they signed the destruction form, to signify their approval of the records destruction.
8. **Method of Destruction**: Check the box that most accurately describes the method of destruction.
9. **Witness of the Destruction**: Name and title of the witness to the destruction; who verified destruction took place on the date specified (witness must be a State employee, per SAM 1623).
10. **Date Records Destroyed**: Date the records were destroyed and witnessed.
11. **Records Series and Description:** The exact title of records series from the approved records retention schedule along with the description of the specific records being destroyed.

    *Records must be on an agency's current and approved record retention schedule before being destroyed. If records are not on an approved retention schedule, contact CalRIM@sos.ca.gov.

    **Records cannot be destroyed that are flagged with "Notify Archives" on the approved Record Retention Schedule, without written approval from the State Archives that the records were appraised as NOT having archival value upon further review. (Questions? Contact SRAP@sos.ca.gov)
12. **Retention Schedule Authorization:** Provide the current records retention schedule **approval number** (YYYY-###) and the **item number** for that records series as evidence of the authorization of destruction.
13. **Records Cutoff and Retention Period:** List the inactivation trigger and the retention period from your current approved retention schedule (to show that the records listed have met the requirements.
14. **Records Format:** Include appropriate Storage Media code for the series of records described; E – Electronic; P- paper; M- magnetic (audio cassettes, VHS, etc.); F – Film (microfilm, etc.).
15. **Date(s) of Records**: Date or range of dates represented by the records being destroyed in that records series.
16. **Volume**: List the volume of records being destroyed for each series (physical records in Cubic Feet; and electronic records as MB, GB,TB, etc.).