

RESOLUTION NO. 06-12

**A RESOLUTION OF THE BOARD OF DIRECTORS OF RUNNING
SPRINGS WATER DISTRICT ADOPTING A RECORDS RETENTION
AND DESTRUCTION POLICY AND RECORDS RETENTION SCHEDULE
AND REPEALING RESOLUTION NO. 10-98**

WHEREAS, Sections 60200 through 60203 of the Government Code provide procedures regulating the retention and destruction of records for special districts; and

WHEREAS, on November 18, 1998, the District approved Resolution No. 10-98 which adopted a Records Retention Schedule ("Records Policy") to regulate the retention and destruction of documents and files in accordance with Government Code sections 60200, et seq.; and

WHEREAS, on January 1, 2005, significant amendments to Government Code sections 60201 and 60203 became effective pursuant to Assembly Bill 474 ("AB 474"), establishing new requirements for retaining and disposing of special district records; and

WHEREAS, in light of the new requirements established by AB 474, the District finds it necessary to adopt a new Records Policy to comply with State law; and

WHEREAS, the new Records Policy and its accompanying updated records retention schedule comply with the California Secretary of State Local Government Records Management Guidelines, as required under AB 474; and

WHEREAS, any records destroyed pursuant to the District's new Records Retention and Destruction Policy and Records Retention Schedule will not adversely affect the District or the public.

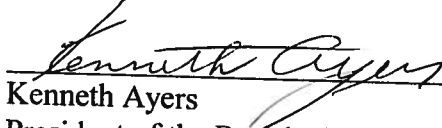
NOW THEREFORE BE IT RESOLVED BY THE BOARD OF DIRECTORS OF THE RUNNING SPRINGS WATER DISTRICT as follows:

Section 1. The Records Retention and Destruction Policy and the Records Retention Schedule, which are attached hereto as Exhibit A and incorporated herein by reference, are adopted as the policy of the Board of Directors.

Section 2. The General Manager of the District and/or his/her designee is authorized to do any and all acts necessary to give effect to and comply with the terms and intent of this Policy.

Section 3. Resolution No. 10-98 is hereby repealed.

ADOPTED this 21st day of March 2012.


Kenneth Ayers
President of the Board of Directors
Running Springs Water District

ATTEST:

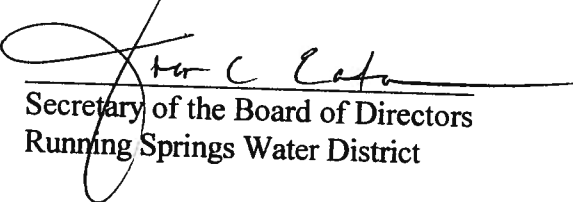

Secretary of the Board of Directors
Running Springs Water District

EXHIBIT A

RUNNING SPRINGS WATER DISTRICT RECORDS RETENTION AND DESTRUCTION POLICY

I. PURPOSE

The purpose of this policy is to provide guidelines to staff regarding the retention or destruction of records of the Running Springs Water District (the "District"); provide for the identification, maintenance, safeguarding and destruction of records in the normal course of business; ensure prompt and accurate retrieval of records; and ensure compliance with legal and regulatory requirements.

II. PROCEDURE

- A. The department head completes and signs a "Request for Destruction of Obsolete Records" form, listing the date and description of each document to be destroyed. A sample form is attached to this policy as Attachment "A". The department head submits the form to the Records Coordinator.
- B. The Records Coordinator checks the documents listed on the submitted form to confirm that each document is: (1) not required to be permanently retained, or (2) has been retained for the legally required period of time. The Records Coordinator also confirms that any applicable reproduction requirements (i.e., imaging, etc.) for each document are complete.
- C. The Records Coordinator submits the form to the General Manager, who reviews and signs the form and then returns the signed form to the Records Coordinator.
- D. After receiving the signed form from the General Manager, the Records Coordinator oversees the destruction of the documents, indicates the method of destruction on the form, signs the form and returns the original signed form to the General Manager.
- E. The General Manager will retain all original signed forms requesting destruction of records for a minimum period of two (2) years.

III. GENERAL GUIDELINES

A. The Records Coordinator, designated by the General Manager, shall be responsible for the administration of this policy and shall assist all District personnel to comply with the provisions of this policy and with the Records Retention Schedule, set forth in Attachment "B."

- B. The following general guidelines apply to all District records.
1. The Board of Directors, by majority vote, may authorize at any time the destruction of any **duplicate** records. (Gov. Code § 60200.)
 2. Pursuant to the resolution adopted by the Board of Directors, except where a record is expressly required to be preserved according to State law, the District may approve the destruction of any original document without retaining a copy of the document as long as the retention and destruction of the document complies with the retention schedule as set forth in this policy (Gov. Code § 60201.)
 3. In addition to the retention periods required under this policy, the District shall retain original administrative, legal, fiscal and/or historical records with continued value (i.e., 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. (Gov. Code § 14755, subd. (a); Gov. Code 34090.)
 4. Pursuant to Government Code section 60201, the District shall not destroy any of the following records:
 - (a) Records relating to the formation, change of organization, or reorganization of the District;
 - (b) Ordinances and resolutions, unless they have been repealed or have become invalid or otherwise unenforceable for five years;
 - (c) Minutes of any meeting of the District;
 - (d) Records relating to any pending claim, litigation, any settlement or other disposition of litigation within the past two years;
 - (e) Records that are the subject of any pending request for records under the California Public Records Act, whether or not 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;
 - (f) Records relating to any pending construction that the District has not accepted or for which a stop notice claim may be legally presented;
 - (g) Records relating to any nondischarged debt of the District;
 - (h) Records relating to the title to real property in which the District has an interest;
 - (i) Records relating to any nondischarged contract to which the District is a party;

- (j) Records that have not fulfilled the administrative, fiscal, or legal purpose for which they were created or received;
- (k) Unaccepted bids or proposals, which are less than two (2) years old, for the construction or installation of any building, structure or other public work;
- (l) Records less than seven (7) years old that specify the amount of compensation or expense reimbursement paid to District employees, officers, or independent contractors

IV. SPECIFIC GUIDELINES

A. Accounting Records

1. Accounting Records include, but are not limited to, the following:

(a) Source Documents

- Invoices
- Warrants
- Vouchers
- Requisitions/Purchase Orders (attached to invoices)
- Cash Receipts
- Claims (attached to warrants in place of invoices)
- Bank Statements
- Bank Deposits
- Checks
- Bills
- Various accounting authorizations taken from District minutes, resolutions or contracts

(b) Journals

- Cash Receipts
- Accounts Receivable or Payable Register
- Check or Warrant Register
- General Journal
- Payroll Journal

(c) Ledgers

- Expenditure
- Revenue
- Accounts Payable or Receivable Ledger
- Assets/Depreciation
- Warrants payable
- Construction
- General ledger

- (d) Trial Balance
 - (e) Adjusting Entries
 - (f) Statements (Interim or Certified - Individual or All Fund)
 - Balance Sheet
 - Analysis of Changes in Available Fund Balance
 - Cash Receipts and Disbursements
 - Inventory of Fixed Assets (Purchasing)
 - (g) Journal Entries
 - (h) Reversing Entries
 - (i) Payroll and personnel records include but are not limited to the following:
 - Accident reports, injury claims and settlements
 - Applications, changes or terminations of employees
 - Earnings records and summaries
 - Fidelity bonds
 - Garnishments
 - Insurance records of employees
 - Job descriptions
 - Medical histories
 - Retirements
 - Time cards
 - (j) Other
 - Inventory Records (Purchasing)
 - Capital Asset Records (Purchasing)
 - Depreciation Schedule
 - Cost Accounting Records
2. General ledgers should be retained a minimum of **four (4) years** after completion of any annual audit. (Code of Civ. Pro. § 337.) Published articles show retention periods of four (4) to seven (7) years as typical. The Secretary of State recommends that general ledgers be permanently retained. (Sec. of State Local Gov't. Records Mgmt. Guidelines; Gov. Code § 34090.)
 3. In general, the District should retain original source documents that are detailed in a register, journal, ledger or statement **until audited plus five (5) years**. Certain source documents may be retained for a shorter period of time. Refer to the Records Retention Schedule for specific accounting documents.

4. At any time, the District may destroy rough drafts, notes, working papers (except for audits) that are not retained by the District in the ordinary course of business, including temporary or transitory documents used only for controlling the flow of work (i.e. "Post-it" notes).
5. In addition to any required legal retention period, the District shall not authorize the destruction of any record subject to audit until it has been determined that the audit has been performed. (Gov. Code § 14755, subd. (b); Gov. Code § 34090.)

B. Long-Term Debt Records

1. The District may destroy paid bonds, warrant certificates and interest coupons after **two (2) years** if detailed payment records are retained for **ten (10) years**.
2. The District may not destroy any documents relating to any nondischarged debt. (Gov. Code § 60201, subd. (d)(7).)

C. District Records

1. The District shall retain original records of the minutes of meetings of the Board of Directors **indefinitely**. (Gov. Code §§ 60201; 34090.)
2. The District shall retain original resolutions adopted by the Board of Directors **indefinitely**. (Gov. Code § 60201.)

D. Statements of Economic Interest (SEI) [Form 700] Filed Pursuant to the Political Reform Act.

1. Filing officers shall retain copies of Statements of Economic Interest (SEI) [Form 700] of elected officials for **four (4) years** (originals are forwarded to the California Fair Political Practices Commission (FPPC)). The officer does not have to keep more than one copy of a statement. After two (2) years, the copies may be imaged and stored electronically. (Gov. Code § 81009 (f), (g).)
2. Filing officers shall retain originals of Statements of Economic Interest (SEI) [Form 700] of designated employees for **seven (7) years**. After two (2) years, the originals may be imaged and stored electronically. (Gov. Code § 81009 (e), (g).)

E. Contracts

1. The District shall retain original contracts for **four (4) years** after the end of the contracts. (Code of Civ. Proc. § 337.)

2. The District shall retain contracts with any person or entity who develops real property or furnishes the design, specifications, surveying, planning, supervision, testing, or observation of construction or improvement to real property for **ten (10) years** after the completion of the construction or improvement. (Code of Civ. Proc. § 337.15.)

F. Property Records.

The District shall retain original property records, such as title documents, **indefinitely**, or until the property is transferred or otherwise no longer owned by the District. (Gov. Code §§ 34090, 60201.)

G. Payroll and Personnel Records.

1. Payroll and personnel records include, but are not limited to, the following:
 - (a) Accident reports, injury claims and settlements
 - (b) Medical histories
 - (c) Injury frequency charts
 - (d) Applications, changes and terminations of employees
 - (e) Insurance records of employees
 - (f) Time cards
 - (g) Job descriptions
 - (h) Performance or rating documents
 - (i) Earning records and summaries

Records specifying amounts of compensation or expense reimbursement paid to District employees, officers, or independent contractors must be retained for seven (7) years after date of payment. (Gov. Code § 60201)

2. The District shall retain personnel files for **three (3) years** after an individual's employment terminates. (29 CFR 1627.3.)

3. The District shall retain medical records of employees for **thirty (30) years beyond the length of employment**. Medical records include records made or maintained by a physician, nurse, or other health care personnel or technician pertaining to employees exposed to toxic substances or harmful physical agents. Medical records do NOT include first aid records for one-time treatment made on-site by a non-physician or observation of minor scratches, cuts, burns, splinters, etc, which do not involve medical treatment, loss of consciousness, restriction of work or motion, or transfer to another job. For employees who are employed by the District for less than one year, the District does not need to retain the employee's medical records if the District provides the employee with such records upon termination of employment. (29 CFR 1910.1020; 8 Cal. Code Regs. § 3204.)
4. The District may destroy personnel fidelity bonds **two (2) years** after termination. Wage garnishments must be retained while active until garnishment is satisfied, then retain until audited plus **four (4) years**.
5. The District shall retain payroll records containing the name, address, date of birth, sex, job classification, hours worked, and regular and overtime wages for each employee for **three (3) years** beyond the length of employment **and seven (7) years from date of payment**. (29 C.F.R. Part 516.5; Labor Code §§ 1174, 1197.5; Gov. Code § 60201.) Payroll registers should be retained for a minimum of **seven (7) years from date of payment**. Permanent retention of payroll registers is recommended in the Secretary of State Local Government Records Management Guidelines.
6. The District shall retain basic time and earning cards or sheets on which are entered daily starting and stopping time of individual employees for **six (6) years**. (29 C.F.R. Part 516.6; 8 Cal. Code Regs. §§ 11000-11150; Labor Code § 1174; Sec. of State Local Gov't. Records Mgmt. Guidelines.)
7. The District shall retain employment applications and employment referral records and files for **two (2) years** after such records or files are created. (Gov. Code §12946; 29 C.F.R. 1627.3.)
8. The District shall retain records regarding the race, sex, and national origin of each applicant and for the job for which such applicant applied for **two (2) years** from the date of the making of the record or the date of the personnel action involved, whichever occurs later. The District may either retain the original documents used to identify applicants, or keep statistical summaries of the collected information. (2 Cal. Code Regs. §7287.0.)

9. The District shall retain any records pertaining to any payments, loans, promises or agreements by the District to any labor organization or representative of a labor organization for **five (5) years**. (29 U.S.C. §436.)

H. Exposure/Safety Records and Material Safety Data Sheets (MSDS).

1. The District shall retain employee exposure records and exposure assessment records for at least **thirty (30) years**. Such records should reveal the identity of the toxic substance or harmful physical agent and where and when such substance or agent was used. (8 Cal. Code Regs. § 3204.)
2. The District may destroy the material safety data sheet (MSDS) for a hazardous substance after the District stops using the hazardous substance provided it keeps a record of the substance (chemical name if known) and when and where it was used for **thirty (30) years** (8 Cal. Code Regs. § 3204(d)(1)(B)(2).)

I. Video Monitoring, Telephone and Radio Communications; Other Video and Audio Recordings

1. The District shall retain recordings of **routine video monitoring** (e.g., building security taping systems) for at least **one (1) year**. After the one year retention period, the District may destroy the video recording upon approval by the District. (Gov. Code §§ 34090.6, 53160.)
2. Upon authorization of the District, recordings of telephone and radio communications maintained by the District may be destroyed after **100 days**. (Gov. Code §§ 34090.6, 53160.)
3. If the District keeps another record, such as written minutes, of an event that is recorded on video (other than Board of Directors meetings), the District must keep the video recording of the event for **at least 90 days** after the occurrence of the event. **After 90 days**, the video recording may be destroyed or erased, upon approval by the District. (Gov. Code § 34090.7.)
4. If the District makes or directs the making of recordings of Board of Directors meetings, such as video recordings, the District must keep the recordings for at least **thirty (30) days** after the meeting date. (Gov. Code Gov. Code § 54953.5, subd. (b).)
5. When an audio recording of a meeting (e.g., District) is made solely to facilitate the preparation of minutes for that meeting, the audio recording may be destroyed or erased after it is no longer required and after the

minutes for that meeting have been approved. (Gov. Code § 34090; 64 Ops.Atty.Gen. 317.)

6. Other audio or video recordings which are not related to the conduct of the public's business (e.g., educational or promotional videos) are not considered to be official District records and may be destroyed after they are no longer required, upon approval by the District. (Gov. Code §§ 6252, subd. (e); 34090.)

V. RECORDS RETENTION SCHEDULE

The "Records Retention Schedule" is attached to this policy as Attachment "B" and is incorporated herein by reference. This policy and the Records Retention Schedule comply with the records retention guidelines provided by the California Secretary of State and may be updated from time to time.

ATTACHMENT "A"
REQUEST FOR DESTRUCTION OF OBSOLETE RECORDS

[Attached]

RUNNING SPRINGS WATER DISTRICT

To: General Manager
From: Records Coordinator
Subject: Request for Destruction of Obsolete Records

I am requesting approval to destroy the obsolete records listed below.

DATE OF RECORD	DESCRIPTION OF RECORD

APPROVED

Department Head

Date

General Manager

Date

The obsolete records described above were destroyed under my supervision using the following method: Shredding Burning Other (specify method)

I certify that such destruction meets the requirements of the Records Retention and Destruction Policy of the Running Springs Water District and all applicable requirements of State and federal law.

Records Coordinator

Date of Records Destruction

ATTACHMENT "B"
RECORDS RETENTION SCHEDULE

[Attached]

RECORDS RETENTION SCHEDULE – RUNNING SPRINGS WATER DISTRICT

DRAFT

Destruction of any record must be authorized according to District policy.

Type of Record	Category	Description or Example of Record	Legal Authority	Minimum Legal Retention Period
Accident/Illness Reports	Administration	Not a public record; For Employee Medical Records & Employee Exposure Records regarding exposure to toxic substances or harmful physical agents --includes Material Safety Data Sheets (MSDS) Does NOT include: health insurance claims; first aid records of one-time treatments for minor injuries; records of employees who worked less than one (1) year if records are given to employee upon termination	GC 6254(c) 8 CCR 3204(d)(1)(A)(B)	Length of employment plus 30 years
Accidents/Damage to District Property	Administration	Risk management administration	GC 34090 CCP 337.15	10 years

Legal Authority Abbreviations

CCP	Code of Civil Procedure (California)	GC	Government Code (California)	LC	Labor Code (California)
CCR	California Code of Regulations	H&S	Health & Safety Code	PC	Penal Code (California)
CFR	Code of Federal Regulations	IRC	Internal Revenue Code	R&TC	Revenue & Taxation Code (California)
EC	Elections Code (California)	IRS	Internal Revenue Service	USC	United States Code

RECORDS RETENTION SCHEDULE – RUNNING SPRINGS WATER DISTRICT

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Destruction of any record must be authorized according to District policy.

Type of Record	Category	Description or Example of Record	Legal Authority	Minimum Legal Retention Period
Accounting Records – General Ledger	Finance	General Ledger	GC 34090 CCP 337 Sec. of State Local Gov't. Records Retention Guidelines	Until audited + 4 years Published articles show 4 – 7 years retention as typical. Sec. of State Guidelines recommends permanent retention. [May be revised at a later time by Sec. of State or County officials.]
Accounting Records – - Permanent Books of Accounts	Finance	Records showing items of gross income, receipts and disbursement (including inventories, per IRS regulations)	26 CFR 1.6001-1(c) & (e)	Permanent

Legal Authority Abbreviations

CCP	Code of Civil Procedure (California)	GC	Government Code (California)	LC	Labor Code (California)
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CFR	Code of Federal Regulations	IRC	Internal Revenue Code	R&TC	Revenue & Taxation Code (California)
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RECORDS RETENTION SCHEDULE – RUNNING SPRINGS WATER DISTRICT

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Type of Record	Category	Description or Example of Record	Legal Authority	Minimum Legal Retention Period
Accounts Payable	Finance	Journals, statements, asset inventories, account postings with supporting documents, vouchers; investments, invoices and back-up documents, purchase orders, , petty cash, postage, PERS reports, check requests, etc. Expense reimbursements to employees & officers; travel expense reimbursements or travel compensation	CCP 337 26 CFR 31.6001-1(e)(2); Sec. of State Guidelines recommendation GC 60201(d)(12)	Until audited + 4 years 7 years after date of payment
Accounts Receivable	Finance	Receipts for deposited checks, coins, currency; checks received, reports, investments, receipt books, cash receipts, cash register tapes, payments for fees, permits, etc.	CCP 337 26 CFR 31.6001-1(e)(2); Sec. of State Guidelines recommendation	Until audited + 4 years
Affidavits of Publication / Posting	Administration	Legal notices for public hearings, publication of ordinances, etc.	GC 34090	2 years

Legal Authority Abbreviations

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Type of Record	Category	Description or Example of Record	Legal Authority	Minimum Legal Retention Period
Agenda / Agenda Packets	Administration	Original agendas / special meeting notices / certificates of posting, etc. - Board of Directors meetings	GC 34090; Sec. of State Guidelines	Current + 2 years
Agenda reports (staff reports)	Administration	Documentation received, created and/or submitted to Board of Directors	GC 34090; Sec. of State Guidelines	Current + 2 years
Agreements (see also Contracts)	Administration	Original contracts and agreements and back-up materials, including leases, license agreements, service/maintenance contracts, etc. Original contracts/agreements regarding the development of real property, design, specifications, surveying, planning, supervision, testing, or observation of construction or improvement to real property; may include records of retention releases, retention withheld, change orders, etc.	CCP 337 CCP 337.2 CCP 337.15	4 years after termination/ completion 10 years after termination/completion
Annexations / Reorganizations	Development	Notices, Resolutions, Certificates of Completion	GC 34090 GC 60201(d)(1)	Permanent

Legal Authority Abbreviations

CCP	Code of Civil Procedure (California)	GC	Government Code (California)	LC	Labor Code (California)
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Type of Record	Category	Description or Example of Record	Legal Authority	Minimum Legal Retention Period
Annual Financial Report	Finance	Independent auditor analysis	GC 34090	Until audited + 2 years
Appraisals	Development	For real property owned by District – Not a public record until real estate transaction is complete	GC 34090 GC 6254(h)	2 years
Articles of Incorporation	Administration		GC 34090 GC 60201	Permanent
Audit Reports	Finance	Financial services; internal and/or external reports; independent auditor analysis	GC 34090 Sec. of State Local Gov't. Records Retention Guidelines	Permanent [May be revised at a later time by Sec. of State or County officials]
Audit Hearing or Review	Finance	Documentation created and or received in connection with an audit hearing or review	GC 34090	2 years
Backflow Test Reports	Public Works	Reports of testing and maintenance – water supply	17 CCR § 7605	3 years

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RECORDS RETENTION SCHEDULE – RUNNING SPRINGS WATER DISTRICT

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Type of Record	Category	Description or Example of Record	Legal Authority	Minimum Legal Retention Period
Bank Account Reconciliations	Finance	Bank statements, receipts, certificates of deposit, etc.	26 CFR 31.6001-1(e)(2)	4 years (Sec. of State Guidelines – recommended retention: until audited + 5 years)
Bids, Successful	Development	Includes plan and specifications; notices/affidavits.	GC 34090 CCP 337, 337.1	4 years
Bids, Unsuccessful	Development	Unsuccessful bid packages only	GC 34090 GC 60201	2 years
Billing records	Finance	Utility bill stubs – submitted with payment	GC 34090	Current + 2 years
Bonds	Finance	Authorization/public hearing records/prospectus/proposals/certificates/notices (transcripts)/registers/statements.	CCP 337.5	Upon cancellation, redemption, or maturity + 10 years
Bonds – Employee	Finance	Personnel fidelity bonds	GC 34090	Current + 2 years
Bonds – Paid/Cancelled	Finance	Paid or cancelled bonds; warrant certificates; interest coupons	CCP 337.5	10 years
Bonds – Unsold/Unused	Finance	Unsold/unused bonds	GC 34090 GC 43900 et seq.	2 years (specific requirements for disposal of unused bonds)

Legal Authority Abbreviations

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Type of Record	Category	Description or Example of Record	Legal Authority	Minimum Legal Retention Period
Bonds - Final	Finance	Final bond documentation; monthly statement of transactions; supporting documents	CCP 337.5	Upon cancellation, redemption, or maturity + 10 years
Bonds, Development	Finance	Housing; Industrial Development	CCP 337.5	Upon cancellation, redemption, or maturity + 10 years
Bonds, Surety	Finance	Documentation created and/or received in connection with the performance of work/services for the District	CCP 337	4 years
Brochures/ Publications	Administration	Retain selected documents only for historic value.	GC 34090	2 years
Budget, Annual	Finance	Adjustments, journal entries, account transfers	GC 34090	Until audited + 2 years
Cal-OSHA	Administration	Personnel-Logs, Supplementary Record, Annual Summary (Federal & State-Cal OSHA)	LC 6410; 8 CCR 14307	5 years

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Type of Record	Category	Description or Example of Record	Legal Authority	Minimum Legal Retention Period
California State Tax Records	Finance	Forms filed annually; quarterly and year-end reports	R&TC 19530 R&TC 19704	6 years
Capital Improvements, Construction	Public Works	Records on planning, design, construction, conversion or modification of local government-owned facilities, structures and systems	GC 34090; H&S 19850; Sec. of State Local Gov't. Records Mgmt. Guidelines	Permanent
Checks	Finance	Check copies; canceled and voided checks	GC 60201(d)(12) CCP 337 Sec. of State Local Gov't. Records Mgmt. Guidelines	7 years
Citizen Feedback	Administration	General correspondence.	GC 34090	2 years
Claims Filed Against the District	Administration	Paid/Denied	GC 60201(d)(4); GC 34090	Until settled + 2 years

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Type of Record	Category	Description or Example of Record	Legal Authority	Minimum Legal Retention Period
Collective Bargaining Agreements	Administration		29 CFR 516.5	Current + 3 years
Complaints – Customer Relations	Customer Relations	Customer complaints regarding water quality – odor, taste, appearance; or water outages	40 CFR 122.41(j)(2) 22 CCR 64470	5 years
Complaints - Miscellaneous	Administration	Miscellaneous complaints, not related to specific lawsuits involving the District and not otherwise specifically covered by the retention schedule.	GC 34090	2 years
Comprehensive Annual Financial Reports (CAFR)	Finance	Finance	GC 34090; CCP 337	Until audited + 4 years
Conflict of Interest Code	Administration	Conflict of Interest Code – required under Political Reform Act; must be reviewed by July 1st of every even-numbered year and amended if necessary	GC 87300 et seq.	Permanent

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Type of Record	Category	Description or Example of Record	Legal Authority	Minimum Legal Retention Period
Contracts	Administration	<p>Original contracts and agreements and back-up materials, including leases, service/maintenance contracts, etc..</p> <p>Original contracts/agreements regarding the development of real property, design, specifications, surveying, planning, supervision, testing, or observation of construction or improvement to real property; may include records of retention releases, retention withheld, change orders, etc</p>	<p>CCP 337 CCP 337.2</p> <p>CCP 337.15</p>	<p>4 years after termination/completion</p> <p>10 years after termination/completion</p>

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RECORDS RETENTION SCHEDULE – RUNNING SPRINGS WATER DISTRICT

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Type of Record	Category	Description or Example of Record	Legal Authority	Minimum Legal Retention Period
Correspondence	Administration	General correspondence, including letters and e-mail; Various files, not otherwise specifically covered by the retention schedule.	GC 34090	2 years
Credit Cards, District-owned	Finance	Credit card bills or statements, and other records related to use of District-owned credit cards	GC 60201(d)(12)	7 years after date of payment
Deeds, Real Property (Grant Deeds)	Development	File with recorded documents; originals may not be destroyed.	GC 34090 GC 60201(d)	Permanent
Deferred Compensation Reports	Finance	Finance - pension/retirement funds	29 CFR 516.5 29 CFR 1627.3	3 years
Demographic/Statistical Data	Administration		GC 34090	Current + 2 years
DMV Driver Information Reports	Administration	Personnel--Not a public record.	GC 34090 GC 6254(c)	Until superseded
Easements, Real Property	Development	File with recorded documents; originals may not be destroyed.	GC 34090	Permanent

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RECORDS RETENTION SCHEDULE – RUNNING SPRINGS WATER DISTRICT

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EEOC Records (Equal Employment Opportunity Commission)	Human Resources	Records, reports showing compliance with federal equal employment requirements (EEO-4 Reports, etc.)	29 CFR 1602.30	3 years
Election - Administrative Documents	Administration	Not ballot cards or absentee voter lists/applications.	GC 34090	2 years
Election – Affidavit Index	Administration	Voter registration index	EC 17001	5 years
Election - Ballots and Related Documents	Administration	STATE & LOCAL ELECTIONS: All ballot cards (voted, spoiled, canceled) arranged by precinct, unused absentee ballots, ballot receipts, absent voter identification envelopes, absentee voter applications. May be destroyed subject to any pending contest.	EC 17302, 17306, 17505	6 months
Election - Ballots and identification envelope – Federal offices	Administration	For elections to Federal office (President, Vice President, US Senator, US Representative)	EC 17301	22 months

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RECORDS RETENTION SCHEDULE – RUNNING SPRINGS WATER DISTRICT

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Election - Ballots - Prop. 218 (Assessment Districts)	Administration	Ballots - Property related fees (assessment ballot proceeding) [Ballots are disclosable public records during and after tabulation]	GC 53753(e)(2)	2 years
Election - Canvass	Administration	Notifications and Publication of Election Records used to compile final election results, including tally sheets, voting machine tabulation, detailed breakdown of results; special election results	EC 17304	6 months
Election - Certificates of Election	Administration	Certificates of election; original reports and statements	GC 81009(a)(d)	Termination + 4 years
Election - Election Official's Package of Documents	Administration	Package of 2 tally sheets, copy of index, challenge lists, assisted voters list. Public record - all voters may inspect after commencement of official canvass of voters	EC 17304	6 months
Election - Nomination Documents - successful	Administration	All nomination documents and signatures in lieu of filing petitions	EC 17100	during term and 4 years after

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Election - Nomination Documents - unsuccessful	Administration		GC 81009(b)	5 years
Election Petitions - Initiative/Recall/Ref. Charter Amendments	Administration	Not a public record - documents resulting in an election - retention is from election certification.	EC 17200, 17400 GC 6253.5; EC 17400; GC 34458-60	8 months
Election Petitions - No election	Administration	Not a public record. Not resulting in an election. Retention is from final examination.	EC 17200, 17400 GC 6253.5	8 months
Election - Precinct Records	Administration	From date of election: Precinct official material; declaration of intention; precinct board member applications; orders appointing members of precinct boards and designating polling places includes notice of appointment of office and record of service	EC 17503	5 months

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Election - Roster of Voters	Administration	From date of election; initiative; referendum recall; general municipal election; Charter Amendments	EC 17300	5 years
Election - Voter Affidavits	Administration	Affidavits of registration (including cancelled affidavits); voter registration index	EC 17000, 17001	5 years
Election - Voter Registration Signature Copy	Administration	Fire, special or school district	EC 17000	5 years
Employee Benefits	Human Resources	Benefit plans (including "cafeteria" and other plans); health insurance programs; records regarding COBRA – extension of benefits for separated employees, insurance policies (health, vision, dental, deferred compensation, etc.)	29 USC 1027 28 CCR 1300.85.1 11 CCR 560 29 CFR 1627.3(b)(2)	For life of plan/policy + 6 years
Employee Bonds	Administration	Personnel fidelity bonds	GC 34090	While employed + 2 years

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RECORDS RETENTION SCHEDULE – RUNNING SPRINGS WATER DISTRICT

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Employee Files	Administration	Personnel--Not a public record.	GC 12946 GC 6254(c)	While current + 2 years
Employee Information, General	Administration	Name, address, date of birth, occupation	GC 12946 29 CFR 1627.3 LC 1174	3 years
Employee Information, Payment	Administration	Rate of pay and weekly compensation earned	GC 60201	7 years
Employee Information - CEIR	Administration	Personnel--California Employer Information Report (for employers of 100 or more employees)	2 CCR 7287(a), 2 CCR 7287(c)(2) GC 12946	2 years
Employee Information - Applicant Identification Records	Administration	Personnel--Data regarding race, sex, national origin of applicants	2 CCR 7287(b), (c)(2)	Current + 2 years

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Employee, Medical & Exposure Records (toxic substances or harmful physical agents)	Administration	<p>Medical records are part of personnel file --not a public record.</p> <p>Includes medical records made or maintained by a physician, nurse, or other health care personnel, or technician pertaining to employees exposed to toxic substances or harmful physical agents.</p> <p>Does <u>not</u> include first-aid records of one-time treatment made on-site by a non-physician or observation of minor scratches, cuts, burns, splinters, etc., which do not involve medical treatment, loss of consciousness, restriction of work or motion, or transfer to another job.</p> <p>(For employees of less than 1 year, no need to retain medical records regarding exposure to toxic substances/harmful physical agents if they are returned to employee upon termination)</p>	<p>GC 6254(c)</p> <p>29 CFR 1910.1020</p> <p>8 CCR 3204 (d)(1)(A)(B)</p>	<p>Length of employment + 30 years</p>

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RECORDS RETENTION SCHEDULE -- RUNNING SPRINGS WATER DISTRICT

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Employee, Non-safety	Administration	Non-safety employee records may include: Release Authorizations; Certifications; Reassignments; outside employment; commendations, disciplinary actions; terminations; Oaths of Office; evaluations-pre-employee medicals; fingerprints; identification cards (ID's)	29 CFR 1627.3 GC 12946	Length of employment + 3 years
Employee Programs	Administration	Includes EAP and Recognition	GC 34090 GC 12946	Current + 2 years
Employee, Recruitment	Administration	Alternate lists/logs, ethnicity disclosures, examination materials, examination answer sheets, job bulletins	GC 12946 GC 34090 29 CFR 1602.31 29 CFR 1627.3	Current + 2 years
Employee, Reports	Administration	Employee statistics, benefit activity, liability loss	GC 34090	Current + 2 years

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Employee, Safety	Administration	Police, fire, emergency employees may include: Release authorizations; certifications; reassignments; outside employment; commendations; disciplinary actions; terminations; Oaths of Office; evaluations-pre-employment medical evaluations	29 CFR 1627.3 29 CFR 1602.31 29 CFR 516.6 et. seq. 45 CFR 1068.6(a) GC 34090 GC 12946	Current + 3 years
Employee Rights - General	Administration		GC 12946 29 CFR 1602.14	Length of employment + 2 years
Employment Applications - Not Hired	Administration	Applications submitted for existing or anticipated job openings, including any records pertaining to failure or refusal to hire applicant	GC 34090 GC 12946 29 CFR 1627.3(b)(1)(i)	2 years
Employment Eligibility Verification (I-9 Forms)	Administration	Federal Immigration and Nationality Act; Immigration Reform/Control Act 1986	8 USC 1324a (b)(3) Pub. Law 99-603	3 years after date of hire, or 1 year after date of termination, whichever is later

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Employment - Personnel (by name)	Administration	Paperwork documenting internal and external training	GC 34090 GC 12946	Length of employment + 2 years
Employment - Public Safety	Administration	Certification/designations	GC 34090 GC 12946	Length of employment + 2 years
Employment - Surveys and Studies	Administration	Includes classification, wage rates	GC 12946 GC 34090 29 CFR 516.6	2 years
Employment - Training Records, Non-Safety	Administration	Volunteer program training - class training materials, internships	GC 34090 GC 12946	Length of employment + 2 years
Employment - Vehicle Mileage Reimbursement Rates	Administration	Annual mileage reimbursement rates	GC 34090	Until superseded
Environmental Quality Air Quality (AQMD)	Development	Participants/voucher logs, Total Daily Mileage Survey (TDM); various local authorities; Commute Alternative	CCP 338(k); GC 34090	3 years

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Environmental Quality Asbestos	Development	Documents, abatement projects, public buildings	GC 34090	Permanent
Environmental Quality California Environmental Quality Act (CEQA)	Development	Exemptions, Environmental Impact Report, Mitigation monitoring, negative declaration, notices of completion and determination, comments, statements of overriding considerations	GC 34090 CEQA Guidelines	Permanent
Environmental Quality Congestion Management	Development	Ride sharing, trip management	GC 34090	Completion + 2 years
Environmental Quality Environmental Review	Development	Correspondence, consultants, issues, conservation	GC 34090	Completion + 2 years
Environmental Quality Pest Control	Development	Pesticide applications, inspections and sampling documents	GC 34090	Completion + 2 years
Environmental Quality Soil	Development	Analysis, construction recommendations	GC 34090	Completion + 2 years

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Environmental Quality Soil Reports	Development	Final Reports	GC 34090	Permanent
ERISA Records (Employee Retirement Security Act)	Administration	Employee Retirement Income Security Act of 1974 - plan reports, certified information filed; records of benefits due	29 USC 1027 29 USC 1059	6 years
Ethics Training Records (AB 1234; effective 1/1/06)	Administration	Records required to be kept under Gov. Code section 53235.2 (effective 1/1/06). Records must show dates that local officials satisfied the training requirements and the entity that provided the training	GC 53235.2	5 years after receipt of training
Family and Medical Leave Act (Federal)	Administration	Records of leave taken, District policies relating to leave, notices, communications relating to taking leave	29 CFR 825.500 GC 12946	While employed +3 years (Federal) or 2 years (State)

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Federal Tax Records	Finance	May include Forms 1096, 1099, W-4 and W-2	29 USC 436 26 CFR 31.6001.1-4 26 CFR 31.6001-1(e) 29 CFR 516.5-516.6	5 years after file date
Fire Protection District Administration	Public Safety	Administrative documents.	GC 34090	2 years
Fire Safety Administration	Public Safety	General orders, policies & procedures	GC 34090	Until superseded + 2 years
Fixed Assets Inventory	Finance	Reflects purchase date, cost, account number	GC 34090	Until audited + 2 years
Fixed Assets Surplus Property	Finance	Auction; disposal – Listing of property; sealed bid sales of equipment	GC 34090 CCP 337	Until audited + 4 years

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Fixed Assets Vehicle Ownership & Title	Finance	Title transfers when vehicle is sold.	VC 9900 et. seq.	Until sold
Forms	Administration	Administrative - blank		Until Superseded
Fund Transfers	Finance	Internal; bank transfers & wires	GC 34090	Until audited + 2 years
General Ledgers	Finance	All annual financial summaries--all agencies	GC 34090 CCP 337 Sec. of State Local Gov't. Records Retention Guidelines	Until audited + 4 years Sec. of State Guidelines recommends permanent retention [May be revised at a later time by Sec. of State or County officials]
Gifts/Bequests	Finance	Receipts or other documentation	GC 34090	Until completed + 2 years
Grants Community Development Block Grant (CDBG); Urban Development; other Federal and State grants	Development	Grant documents and all supporting documents: applications, reports, contracts, project files, proposals, statements, sub-recipient dockets, environmental review, inventory, consolidated plan, etc.	GC 34090 24 CFR 570.502 24 CFR 85.42	Until completed + 4 years

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Hazardous Materials - Hazardous Waste Disposal	Public Safety	Documents regarding handling and disposal of hazardous waste [Permanent retention of environmentally sensitive materials is recommended]	CAL OSHA;	While current + 10 years
Hazardous Materials - Permits, Hazardous Materials Storage	Public Safety	[Permanent retention of environmentally sensitive materials is recommended]	GC 34090	While current + 2 years
Hazardous Materials - Exposure Records, etc.	Public Safety	Employee exposure records; name/identity of chemical substance used; when & where chemical substance was used	8 CCR 3204(d)(1)(B)	30 years
Hazardous Materials - Underground Storage Tank	Public Safety	Compliance: Documents regarding: storage, location, installation, removal, remediation, maintenance and repair	GC 34090	Permanent

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Improvements (lighting, underground utility) – supporting documents	Public Works	Supporting documents – bonds, taxes, construction	GC 34090 Sec. of State Local Gov't. Records Mgmt. Guidelines	Permanent
Insurance	Finance	Personnel related	GC 34090	Current + 2 years
Insurance, Joint Powers Agreement	Finance	Accreditation, MOU, agreements and agendas	GC 34090	Current + 2 years
Insurance Certificates	Finance	Liability, performance bonds, employee bonds, property: Insurance certificates filed separately from contracts, includes insurance filed by licensees.	GC 34090	Current + 2 years
Insurance, Liability/Property	Finance	May include liability, property, Certificates of Participation, deferred, use of facilities	GC 34090	Current + 2 years

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Insurance, Risk Management Reports	Finance	Federal OSHA Forms; Loss Analysis Report; Safety Reports; Actuarial Studies	29 CFR 1904.44 GC 34090	5 years (Federal) 2 years (State)
Investment Reports, Transactions	Finance	Summary of transactions, inventory and earnings report	GC 34090 CCP 337 Sec. of State Local Gov't. Records Retention Guidelines	Permanent
Invoices	Finance	Copies sent for fees owed, billing, related documents	GC 34090	Until audited + 2 years
Job Descriptions	Human Resources	Descriptions of duties, qualifications, responsibilities for each position/classification/job title	29 CFR 1627.3	While current + 3 years
Legal Notices/Affidavits of Publication	Administration	Notices of public hearings, proof of publication of notices	GC 34090	2 years

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Legal Opinions	Administration	Confidential – not for public disclosure (attorney-client privilege)	GC 34090	Until superseded + 2 years
Litigation	Administration	Case files	GC 34090	Until settled or adjudicated + 2 years
Maintenance Manuals	Administration	Equipment service/maintenance	GC 34090	Current + 2 years
Maintenance/Repair Records	Administration	Equipment	GC 34090	2 years
Marketing, Promotional	Administration	Brochures, announcements, etc.	GC 34090	2 years
Meter Operations	Public Works	Reader reports; orders; tests; maintenance reports	GC 34090	2 years
Meter Reading	Public Works	Reports and rebate reports	GC 34090	Current + 2 years
Minutes – Board meetings	Administration	Minutes of District Board meetings. Documents may be imaged immediately.	GC 34090, 60201	Permanent

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Minutes – Committee meetings	Administration	Minutes of various committee meetings, including any documentation, memos, etc.	GC 34090	2 years
Newsletter, District	Administration	May wish to retain permanently for historic reference.	GC 34090	2 years
Notices – Public Meetings	Administration	Special Meetings	GC 34090	2 years
Oaths of Office	Administration	Elected and public officials – Board Members	GC 34090 29 USC 1113 Sec. of State Guidelines	Current plus 6 years
OSHA	Administration	OSHA Log 200, Supplementary Record, Annual Summary (Federal & State-Cal-OSHA)	LC 6410; 8 CCR 14307 29 CFR 1904.2 - 1904.6	5 years

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OSHA (Accident/Illness Reports)	Administration	Personnel - Employee Exposure Records & Employee Medical Records Not a public record	LC 6410; 8 CCR 14307; 8 CCR. 3204; GC 6254(c)	Duration of employment plus 30 years
Paramedic Services	Public Safety	Documents other than original contracts.	GC 34090	2 years
Payroll - Federal/State Reports	Finance	Annual W-2's, W-4's, Form 1099s, etc.; quarterly and year-end reports	GC 60201	7 years
Payroll Deduction/Authorizations	Finance	Finance	29 CFR 516.6(c) GC 60201	While Current + 7 years
Payroll records	Finance	Records that specify compensation paid to employees, officers	GC 60201(d)(12)	7 years after date of payment
Payroll records, terminated employees	Finance	Finance files	29 CFR 516.5 GC 60201	7 years from date of last entry

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Type of Record	Category	Description or Example of Record	Legal Authority	Minimum Legal Retention Period
Payroll, registers	Finance	Payroll registers, payroll reports Registers that show labor costs by employee and program	29 CFR 516.5(a) LC 1174(d) GC 60201 Sec. of State Local Gov't Records Mgmt. Guidelines	7 years from date of last payment Sec. of State recommends permanent retention
Payroll records, terminated employees	Finance	Finance files	29 CFR 516.5 GC 60201	7 years from date of last entry
Payroll, time cards/sheets	Finance	Employee	29 C.F.R. Part 516.6; 8 Cal. Code Regs. §§ 11000-11150; Labor Code § 1174; Sec. of State Local Gov't. Records Mgmt. Guidelines	6 years
Payroll - Wage Rates / Job Classifications	Finance	Employee records	GC 60201	While current + 7 years
PERS - Employee Benefits	Human Resources	Retirement Plan	29 USC 1027	6 years

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RECORDS RETENTION SCHEDULE – RUNNING SPRINGS WATER DISTRICT

DRAFT

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Type of Record	Category	Description or Example of Record	Legal Authority	Minimum Legal Retention Period
Personnel Policies -- Rules and Regulations	Human Resources	Including employee handbooks, employee manuals, and other policies/procedures	29 CFR 516.6 29 CFR 1627.3(a)	Current + 3 years
Personnel Records	Human Resources	Other records (not payroll) containing name, address, date of birth, occupation, etc., including records relating to promotion, demotion, transfer, lay-off, termination	29 CFR 1627.3	3 years
Petitions	Administration	Submitted to legislative bodies	GC 34090	Current + 2 years
Policies, Administrative	Administration	All policies and procedures, directives rendered by the District not assigned a resolution number	GC 34090	Current + 2 years
Policies, District Board	Administration	Original policies adopted by the District Board	GC 34090	Current + 2 years
Political Support/Opposition, Requests & Responses	Administration	Related to legislation.	GC 34090	2 years

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Type of Record	Category	Description or Example of Record	Legal Authority	Minimum Legal Retention Period
Press Releases	Administration	Related to District actions/activities.	GC 34090	2 years
Procedure Manuals	Administration	Administrative.	GC 34090	Current + 2 years
Property, Abandonment	Development	Buildings, condemnation, demolition	GC 34090	Permanent
Property Acquisition/Disposition	Development	District owned. Supporting documents regarding sale, purchase, exchange, lease or rental of property by District	CCP 337.15	10 years
Public Records Request	Administration	Requests from the public to inspect or copy public documents	GC 34090	2 years
Purchasing RFQ's, RFP's	Finance	Requests for Qualifications; Requests for Proposals regarding goods and services	GC 34090	Current + 2 years
Purchasing, Requisitions, Purchase Orders	Finance	Original Documents	GC 34090 CCP 337	Until audited + 4 years

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Recordings – audio (for preparation of meeting minutes)	Administration	Audio recordings of Board meetings – solely for preparation of Board meeting minutes	GC 34090 64 Ops.Atty.Gen 317	Until no longer required for preparation of minutes (after minutes are approved)
Recordings - routine video monitoring, telephone, and radio communications	Administration	Routine daily recording of telephone communications & radio communications; recordings of routine video monitoring, monitoring systems, or building security systems	GC 34090 GC 34090.6	Videos - 1 year; Phone & Radio communications - 100 days (destruction must be approved by legislative body and with written consent of agency attorney). If recordings relate to a claim or pending litigation, they must be preserved until the matter is resolved.
Recordings, video recordings – meetings of legislative bodies	Administration	Recordings of public meetings made by or at the direction of the District (e.g., Board meetings)	GC 54953.5	30 days
Recordings, video – other events	Administration	Other than video recordings of public meetings; Considered duplicate records if another record of the same event is kept (i.e., written minutes)	GC 34090 GC 34090.7	90 days after event is recorded

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Records Management Disposition/Destruction Certification	Administration	Documentation of final disposition/destruction of records	GC 34090	Permanent
Records Retention Schedules	Administration		GC 34090	Current + 2 years
Recruitments and Selection	Administration	Records relating to hiring, promotion, selection for training	29 CFR 1627.3	3 years
Resolutions	Administration	Vital records – may be imaged immediately	GC 60201 GC 34090	Permanent
Returned Checks	Finance	Adjustments-NSF, etc. (not District checks)	GC 34090 Sec. of State Local Gov't. Records Mgmt. Guidelines	Until audited + 4 years
Salary/Compensation Studies, Surveys	Human Resources	Studies or surveys of other agencies regarding wages, salaries and other compensation or benefits	GC 34090	While current + 2 years

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Type of Record	Category	Description or Example of Record	Legal Authority	Minimum Legal Retention Period
State Controller	Finance	Annual reports.	GC 34090	2 years
State Tax Records	Finance	Filed annually; quarterly	Refer to Federal Tax Records	5 years after file date
Statements of Economic Interest (SEI) - Form 700 (copies) (elected officials)	Administration	Copies of original statements of elected officials forwarded to Fair Political Practices Commission.	GC 81009(f), (g)	4 years (can image after 2 years)
Statements of Economic Interest Statements (SEI) - Form 700 (originals) - non-elected	Administration	Originals of statements of designated employees	GC 81009(e), (g)	7 years (can image after 2 years)
Stop Payments	Finance	Finance - bank statements	GC 34090	2 years
Taxes, Special	Finance	Special tax levied by a local agency on a per parcel basis	CCP 338	Until audited + 3 years

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Underground Utility – supporting documents	Public Works	Supporting documents for improvements, lighting – bonds, taxes, construction	GC 34090 Sec. of State Local Gov't. Records Mgmt. Guidelines	Permanent
Unemployment Insurance Records	Finance		IRC 3301-3311	4 years
Utility Services - Applications	Public Works	Applications for utility connections, disconnects, registers, service	GC 34090; Sec. of State Guidelines recommendation	Current + 2 years
Utility Services - Billing Records	Public Works	Customer name, service address, meter reading, usage, payments, applications/cancellations	GC 34090; Sec. of State Guidelines recommendation	Until audited + 2 years
Utility Services - Connection Records	Public Works	Maps, water line connections	GC 34090; Sec. of State Guidelines recommendation	Permanent

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Utility Services - Journals, Utility Billing	Public Works	Billing including monthly activity	GC 34090; Sec. of State Guidelines recommendation	Current + 2 years
Utility Services - Meter Reading; Reports	Public Works		GC 34090	Current + 2 years
Utility Services - Utility Rebates, Reports	Public Works		GC 34090	Current + 2 years
Vouchers - Payments	Finance	Account postings with supporting documents	GC 34090 CCP 337	Until audited + 4 years
Wage Garnishment	Finance	Wage or salary garnishment	CCP 337	Active until garnishment is satisfied; then retain until audited + 4 years
Warrant Register/Check Register	Finance	Record of checks issued; approved by legislative body (copy is normally retained as part of agenda packet information)	GC 34090	Until audited + 2 years

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Type of Record	Category	Description or Example of Record	Legal Authority	Minimum Legal Retention Period
Workers Compensation Files	Finance	Work-injury claims (including denied claims); claim files, reports, etc.	8 CCR 10102 8 CCR 15400.2	Until settled + 5 years

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