

RESOLUTION NO. 07-15

A RESOLUTION OF THE BOARD OF DIRECTORS OF RUNNING SPRINGS WATER DISTRICT REPEALING RESOLUTION NO. 06-12 AND ADOPTING AN UPDATED RECORDS RETENTION AND DESTRUCTION POLICY AND RECORDS RETENTION SCHEDULE

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

WHEREAS, on March 21, 2012, the District adopted Resolution No. 06-12, which amended the existing records retention policy and records retention schedule in response to changes in the law affecting the retention of special district records; and

WHEREAS, in order to stay current with continuing changes in the law, the District desires to adopt an updated records retention policy and records retention schedule (“Records Policy”) for the orderly retention of District records and the proper destruction of obsolete records.

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

Section 1. The Board of Directors hereby repeals Resolution No. 06-12 in its entirety.

Section 2. The updated Records Policy, attached hereto as Exhibit “A,” incorporated herein by reference and made a part hereof, is hereby adopted as the records retention policy of the Running Springs Water District.

Section 3. The Board of Directors hereby finds that the Records Policy complies with the California Secretary of State’s Local Government Records Management Guidelines, as required under Government Code section 60201, subdivision (b)(2). The Board of Directors further finds that any obsolete records destroyed pursuant to the Records Policy will not adversely affect the District or the public.

Section 4. The General Manager of the District and/or his/her designee are authorized to do any and all acts necessary to give effect to and comply with the terms and intent of the Records Policy. The General Manager and/or his/her designee shall be responsible for the administration of the retention of records and the destruction of obsolete records pursuant to the Records Policy. In addition, the General Manager and/or his/her designee are authorized to update or amend the Records Policy as needed, without further approval from the Board of Directors, in order to stay current with federal and State laws, as well as any other regulations, regarding records retention.

Section 5. Pursuant to Government Code sections 53161 and 60200, the Board of Directors hereby authorizes the General Manager and/or his/her designee to destroy at any time any duplicate record, paper or document of the District, while the original, whether in paper or electronic format, is retained for the legally required time period by the District.

Section 6. The General Manager and/or his/her designee shall have ongoing authority, without further approval needed from the Board of Directors and with the approval of the District's legal counsel provided herein, to authorized destruction of obsolete District records in accordance with the Records Policy.

Section 7. The Board Secretary shall certify to the passage and adoption of this Resolution.

Section 8. This resolution shall become effective immediately upon its passage and adoption.

ADOPTED this 18th day of March, 2015.


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

ATTEST:


Secretary of the Board of Directors
Running Springs Water District

APPROVED:


Best Best & Krieger LLP
General Counsel

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 of records of the Running Springs Water District (the "District"); provide for the identification, maintenance, and safeguarding of District records and the destruction of obsolete 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 obsolete 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 obsolete records for a minimum period of two (2) years.
- F. The General Manager will retain a permanent record, such as a log or copies of certificates of destruction, in whatever format he/she determines to be convenient for the purpose, to document the destruction of obsolete records of the District.

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. 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 destroy any original obsolete 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.)
2. 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.)
3. 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 four (4) 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 **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 cards or time sheets, on which are entered daily starting and stopping time of individual employees, for a minimum of **three (3) years**. The Secretary of State guidelines recommends retaining such documents for **six (6) years**. (29 C.F.R. Part 516.6; 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.)

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; 53161.)
4. If the District makes or directs the making of recordings of Board of Directors meetings, such as audio or video recordings, for whatever purpose, 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. 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, as provided in the resolution adopting this policy. (Gov. Code §§ 6252, subd. (e); 60201.)

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, as provided in the resolution adopting this policy.

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

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 / Human Resources	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: records of health insurance claims maintained separate from employer's records; 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	Risk management administration	GC 34090 CCP 337.15	10 years
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.]

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

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 – 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
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 Local Gov't. Records Mgmt. Guidelines recommendation	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

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Type of Record	Category	Description or Example of Record	Legal Authority	Minimum Legal Retention Period
Agency Report of Public Official Appointments	Administration	Report of additional compensation received by District officials when appointing themselves to committees, boards or commissions of other public agencies, special districts, joint powers agencies or joint powers authorities. Current report must be posted on the District's website.	FPPC Reg. 18705.5(c)(3); GC 34090	Recommended retention: Keep a paper copy of report for 2 years after removal from the agency's website
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 343	4 years after termination/ completion 10 years after termination/completion

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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
Annexations / Reorganizations	Development	Notices, Resolutions, Certificates of Completion	GC 34090 GC 60201(d)(1)	Permanent
Annual Financial Report	Finance	May include independent auditor analysis	GC 34090; Sec. of State Local Gov't Records Mgmt. Guidelines	Until audited + 7 years
Annual Reports (Consumer Confidence Reports)	Operations	A Drinking Water Report gives detailed information about the contaminants in tap water, which allows consumers to make informed choices about water and their health.	GC 60201, 40 CFR 141.33(a)	12 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
AQMD Permits, Originals	Operations	Copies at Main Office	GC 34090; 60201	Current + 2 years
Articles of Incorporation	Administration	A written instrument that creates and defines the rights and privileges of a corporation. May include, but is not limited to original charter, petitions for incorporation, constitution, by-laws, amendments.	GC 34090 GC 60201	Permanent

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Assessments	Administration / Finance	Supplemental Assessments / DLP	GC 34090; 60201	Current + 2 years
Associations (ACWA, AWWA, CASA, etc.)	General Administration	Material received from Associations, including notices of meetings, agendas, publications, etc. Not District records		(none)
Audit Hearing or Review	Finance	Documentation created and or received in connection with an audit hearing or review	GC 34090	Until completion of audit + 2 years
Audit Reports	Finance	Financial services; internal and/or external reports	CCP 337, 343 Sec. of State Local Gov't. Records Mgmt. Guidelines	Current + 4 years Sec. of State recommended retention - Permanent [May be revised at a later time by Sec. of State or County officials]
Backflow Test Reports	Water	Reports of testing and maintenance – water supply	17 CCR § 7605	3 years
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)
Benchmark Data	Development	Horizontal, vertical & control	GC 60201	Current + 2 years

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Type of Record	Category	Description or Example of Record	Legal Authority	Minimum Legal Retention Period
Benefit Policies	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 CFR 1627.3(b)(2); 29 USC 1027; 28 CCR 1300.85.1; 11 CCR 560	For life of plan/policy + 6 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
Biennial Review of the Conflict of Interest Code	Board Administration	Correspondence pertaining to review; the final revised Conflict of Interest Code is adopted by Resolution as an attachment, and is part of the Agenda Packet	GC 34092; 60201	Current + 2 years
Billing Adjustments	Administration / Finance		GC 34090; 60201	Until audited + 2 years
Billing records	Finance	Utility bill stubs – submitted with payment	GC 34090	Current + 2 years

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Type of Record	Category	Description or Example of Record	Legal Authority	Minimum Legal Retention Period
Board Staff Reports, Backup & original source files for Board Meetings	Administration / Engineering	This information is back-up information in addition to the Staff / Board reports kept by Board Administration. Originals should be imaged immediately for permanent retention and the paper copies should be retained for 2 years. The scanned record may serve as a permanent record	GC 60201	2 years
Bonds	Finance	Authorization/public hearing records/prospectus/proposals/certi-ficates/notices (transcripts)/registers/statements.	CCP 337.5	Upon cancellation, redemption, or maturity + 10 years
Bonds – Employee (Fidelity Bonds)	Finance	Form of insurance that covers the District for losses resulting from fraudulent acts of covered employees	GC 34090	Current + 2 years
Bonds - Final	Finance	Final bond documentation; monthly statement of transactions; supporting documents	CCP 337.5	Upon cancellation, redemption, or maturity + 10 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)
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

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Brochures/ Publications	Administration	Retain selected documents only for historic value.	GC 34090	2 years
Budget, Annual	Finance	Annual operating budget approved by the Board of Directors	GC 34090; Sec. of State Local Gov't. Mgmt. Guidelines	Until audited + 2 years; Sec. of State recommends permanent retention. May be revised at a later time.
California Environmental Quality Act (CEQA) / National Environmental Policy Act (NEPA)	Administration / Engineering	Exemptions, Environmental Impact Report, Mitigation monitoring, negative declaration, notices of completion and determination, comments, statements of overriding considerations.	GC 60201 14 CCR 15095(c); CEQA Guidelines	Permanent
California Regulatory Agencies - CRWQCB, Lahontan, State Reports, Surface Water Monitoring, etc.	General Administration		GC 34090; 60201	Current + 2 years
California State Tax Records	Finance	Forms filed annually; quarterly and year-end reports	R&TC 19530 R&TC 19704	6 years

Legal Authority Abbreviations
 CCP Code of Civil Procedure (California)
 CCR California Code of Regulations
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RECORDS RETENTION SCHEDULE – RUNNING SPRINGS WATER DISTRICT

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
Cal-OSHA	Human Resources	Personnel-Logs, Supplementary Record, Annual Summary (Federal & State-Cal OSHA)	LC 6410; 8 CCR 14307	5 years
Capital Improvement Program Budget -- DRAFTS	Administration / Engineering	Drafts – Finance permanently maintains final versions	GC 60201	(none)
Capital Improvements, Construction	Public Works	Records on planning, design, construction, conversion or modification of local government-owned facilities, structures and systems. Agreements / Contracts, Bid Package (Winning), Board Letters (copy), Change Orders, Consultant Proposals (Successful), Environmental, Final As-Built Drawings (Record Drawings), Inspection Pictures, Inspection Reports, Material Testing, Permits (Design, Environmental), Preliminary Design Report, Rights of Way / Easements, Soils, Geotechnical Reports, Specifications, Submittals, Surveys, CAD files, Engineer's Calculation Files. [Paper copies should be maintained for 5 years. Originals should be imaged immediately for permanent retention. The scanned record may serve as a permanent record.]	GC 34090; 60201; 60203; H&S 19850; Sec. of State Local Gov't. Records Mgmt. Guidelines	Permanent

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Capital Improvements, Construction / Job Files – ADMINISTRATIVE FILE / INSPECTION FILE	Administration / Engineering	Project Administration: Bid Summary, Bonds, Certified Payroll, Grant Documents, Errors & Omissions, Insurance Certificates, Notifications, Progress Payments, Punch Lists, Videos Post-Construction & Pre-Construction, Correspondence (Transitory / Preliminary Drafts), Engineer's Estimates, Memoranda, NPDES, Permits (Construction & Street Opening)	CCP 337.15, GC 60201	CL + 10 years
CCTV Inspections / Sewer Videos & DVDs – Condition Assessments	Administration / Engineering	Video recordings -- Documentation of Inspections with Field Notes	GC 53160, 53161, 60201	One (1) year if no other record exists. 90 days if another record exists (e.g., detailed written record, such as minutes)
CCTV Inspections / Sewer Videos & DVDs (Wastewater)	Maintenance		GC 531260, 53161	One (1) year if no other record exists. 90 days if another record exists (e.g., detailed written record, such as minutes)

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Checks – District-issued	Finance	District checks paid – expense reimbursement to employees; payments to independent contractors; etc. Includes check copies; canceled or voided checks; electronic versions of checks	GC 60201(d)(12) CCP 337 Sec. of State Local Gov't. Records Mgmt. Guidelines; CCP 337; 26 CFR 31.6001-1(e)(2)	7 years Until audited + 4 years
Cities / Other Agencies	General Administration	Correspondence to or from RSWD pertaining to RSWD business	GC 34090; 60201	Current + 2 years
Citizen Feedback	Administration	General correspondence.	GC 34090	2 years
Claims Filed Against the District	Administration / Risk Management	Paid/Denied	GC 60201(d)(4); GC 34090	Until settled + 2 years
Closed Session Material	Board Administration		GC 34090; 60201	Current + 2 years
Collections / Collection Repair Job Orders (Wastewater)	Maintenance		GC 34090, 60201	Current + 2 years

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Collective Bargaining Agreements	Administration		29 CFR 516.5	Current + 3 years
Comments & Correspondence – BOARD MEMBERS	Board Administration	Letters, memoranda, other types of correspondence authored by, or received by, the Board members	GC 34090; 60201	Current + 2 years
Comments & Correspondence – CUSTOMERS	Board Administration	Comments, correspondence, complaints regarding drinking water (odor, taste, color, etc.)	GC 60201, 40 CFR 122.41(j)(2) & 40 CFR 141.33(b); 22 CCR 64470	5 years
Comments & Correspondence – GENERAL MANAGER	Board Administration	Letters, memoranda, other types of correspondence authored by, or received by, the General Manager	GC 34090; 60201	Current + 2 years
Complaints – Customer Complaints – Water Quality, Water Outages	Customer Relations	Customer complaints regarding water quality – odor, taste, appearance; or water outages	40 CFR 122.41(j)(2) 22 CCR 64470	5 years

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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
Complaints: Drinking Water	Operations or Maintenance	Color, Odor, Taste, etc.	40 CFR 122.41(j)(2) & 40 CFR 141.33(b); 22 CCR 64470	5 years
Comprehensive Annual Financial Reports (CAFR)	Finance	Finance	GC 34090; CCP 337	Until audited + 4 years
Confined Space Entry Permits, Originals	Maintenance		40 CFR 122.41(j)(2)	3 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
Consumption Reports	Operations	Historical Data in Excel	GC 60201	Current + 2 years

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Contracts	Administration	Original contracts and agreements and back-up materials, including leases, 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
Correspondence	Administration	General correspondence, including letters and e-mail; Various files, not otherwise specifically covered by the retention schedule.	GC 34090	Current + 2 years
Correspondence	General Administration	General correspondence, including letters and e-mail; Various files, not otherwise specifically covered by the retention schedule	GC 34090; 60201	Current + 2 years
Correspondence – DPH / DHS, etc.	Operations	General correspondence, including letters and e-mail; Various files, not otherwise specifically covered by the retention schedule	GC 34090; 60201	Two (2) years

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County Information	General Administration	General Plan Advisory, etc. Not District records.		(none)
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
Customer Complaint Forms	Maintenance	May be Related to Drinking Water	40 CFR 122.41(j)(2) & 40 CFR 141.33(b); 22 CCR 64470, GC 60201	5 years
CUWCC (California Urban Water Conservation Council) BMPs (Best Management Practices Reporting)	Water Use Efficiency	Backup to Reports	GC 34090; 60201	Two (2) years
CUWMP(California Urban Water Management Plan)	Water Use Efficiency	Water management plan for RSWD	Water Code section 10645	Retain the 2010 UWMMP on file until the 2015 UWMMP is adopted, unless the 2010 UWMMP is amended before that time
Deeds, Real Property (Grant Deeds)	Development	File with recorded documents; originals may not be destroyed.	GC 34090 GC 60201(d)	Permanent

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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
Deposits, Receipts / Cash Receipts / Cash Journals	Administration / Finance	Receipts for deposited checks, coins, currency	GC 60201, CCP 337	Until audited + 4 yrs
Direct Pay Forms	Customer Service		GC 34090; 60201	Current + 2 years
DMV Driver Information Reports	Administration / Human Resources	Personnel--Not a public record.	GC 34090 GC 6254(c)	Until superseded
DOT / Drug Tests	Human Resources		29 CFR 1627.3(b)(v), 49 CFR 382.401 et seq.; GC 12946, 60201, 49 CFR 653.71	5 years
Easements, Real Property	Engineering	File with recorded documents; originals may not be destroyed.	GC 34090	Permanent

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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 - 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 - 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 - 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

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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
Election - Nomination Documents - unsuccessful	Administration		GC 81009(b)	5 years
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
Election - Roster of Voters	Administration	From date of election; initiative; referendum recall; general municipal election; Charter Amendments	EC 17300	5 years

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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
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
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 (Fidelity Bonds)	Human Resources	Form of insurance that covers the District for losses resulting from fraudulent acts of covered employees	GC 34090	While current + 2 years
Employee Files	Human Resources	Personnel files ---Not a public record.	GC 12946 GC 6254(c)	While current + 2 years

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Employee Information - Applicant Identification Records	Human Resources	Personnel--Data regarding race, sex, national origin of applicants [Employee data must be kept separate from personnel files]	2 CCR 11013 (b), (c)(2)	Current + 2 years
Employee Information - CEIR	Human Resources	Personnel--California Employer Information Report (for employers of 100 or more employees)	2 CCR 11013 (a), 2 CCR 11013 (c)(2) GC 12946	2 years
Employee Information, General	Human Resources	Name, address, date of birth, occupation	GC 12946 29 CFR 1627.3 LC 1174	3 years
Employee Information, Payment	Human Resources	Rate of pay and weekly compensation earned	GC 60201	7 years
Employee Pre-Lists	Administration / Finance	Reports (Preliminary drafts – not required to be kept in the ordinary course of business)	GC 60201	(none)
Employee Programs	Human Resources	Includes EAP and Recognition	GC 34090 GC 12946	Current + 2 years

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Employee Rights - General	Human Resources		GC 12946 29 CFR 1602.14	Length of employment + 2 years
Employee, Medical & Exposure Records (toxic substances or harmful physical agents)	Human Resources	<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>	GC 6254(c) 29 CFR 1910.1020 8 CCR 3204 (d)(1)(A)(B)	Length of employment + 30 years

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Employee, Non-safety	Human Resources	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, Recruitment	Human Resources	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	Human Resources	Employee statistics, benefit activity, liability loss	GC 34090	Current + 2 years
Employment - Personnel (by name)	Human Resources	Paperwork documenting internal and external training	GC 34090 GC 12946	Length of employment + 2 years
Employment - Public Safety	Human Resources	Certification/designations	GC 34090 GC 12946	Length of employment + 2 years
Employment - Surveys and Studies	Human Resources	Includes classification surveys, wage rates	GC 12946 GC 34090 29 CFR 516.6	2 years

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Employment - Training Records (Not Ethics or Safety Training)	Human Resources	Sexual Harassment, etc.	GC 60201 GC 12946	Length of employment +2 years
Employment - Training Records, Non-Safety	Human Resources	Volunteer program training - class training materials, internships	GC 34090 GC 12946	Length of employment + 2 years
Employment - Vehicle Mileage Reimbursement Rates	Human Resources	Annual mileage reimbursement rates	GC 34090	Until superseded
Employment Applications - Not Hired	Human Resources	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)	Human Resources	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
Encroachment Permits	Administration / Engineering	For continuing Encroachments over District Easements, etc.	GC 60201(d)(8)	Permanent

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Encroachment Permits – Annual Blanket	Administration / Engineering	CalTrans, Health Department, County, etc. (for Street Openings, Road Use, Construction purposes, etc.)	GC 60201(d)(8)	Permanent
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
Environmental Quality Asbestos	Operations	Documents, abatement projects, public buildings	GC 34090	Permanent
Environmental Quality California Environmental Quality Act (CEQA)	Operations	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
Environmental Quality Soil Reports	Development	Final Reports	GC 34090	Permanent

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ERISA Records (Employee Retirement Security Act)	Human Resources	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	Board Administration	Records required to be kept under Gov. Code section 53235.2. 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
Facility Expansion Agreements	Administration / Engineering	Files related to facility expansion	GC 34090; 60201	Current + 2 years
Family and Medical Leave Act	Human Resources	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

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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
FEMA Claims	Administration / Engineering	Storm Damage, etc.	GC 60201. FEMA Guidelines	3 years beyond date of final Financial Status Report
Financial Reports Generated from Financial System	Administration / Finance	The database is the original. (Trial Balances, Delinquency Reports, etc.)	GC 60201	(none)
Fire Flow Letters	Administration / Engineering	Water pressure to fire hydrants. Paper copies should be maintained for CYE+2 years. Originals should be imaged immediately for permanent retention. The scanned record may serve as a permanent record	GC 34090; 60201	Current + 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
Flow charts, Circular / Circular Charts	Operations		GC 60201	Current + 2 years
Forms	Administration	Administrative - blank		Until Superseded
FPPC Form 801 / 802 (Gift to Agency)	Board Administration	Gift to Agency Report / Tickets Provided to Agency Report – FPPC form showing payment or donation made to the District or to a District official and which can be accepted as being made to the District	2 CCR FPPC Reg. 18944, 18944.1, 18950.1	4 years (must be posted on District website)
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	Until audited + 4 years
General Manager Projects	Board Administration	Various Projects – Example of records- major improvements (e.g. treatment plant improvements), long-range planning, etc.	GC 60201, CCP 337.15	10 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
Gifts/Bequests	Finance	Receipts or other documentation	GC 34090	Until completed + 2 years
Grants – Successful 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
Hazardous Materials - Underground Storage Tank	Operations / Public Safety	Compliance: Documents regarding: storage, location, installation, removal, remediation, maintenance and repair	GC 34090	Permanent
Hazardous Materials - Exposure Records, etc.	Operations / 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 - Hazardous Waste Disposal	Operations / Public Safety	Documents regarding handling and disposal of hazardous waste [Permanent retention of environmentally sensitive materials is recommended]	CAL OSHA;	While current + 10 years

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Hazardous Materials - Permits, Hazardous Materials Storage	Operations / Public Safety	[Permanent retention of environmentally sensitive materials is recommended]	GC 34090	While current + 2 years
Historical Records	Board Administration	Records with Significant Historical Value	GC 60201	(none)
Imported Water Supply	Board Administration	CLAWA, etc.	GC 34090; 60201	Current + 2 years
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
Information Services, Policies	IT/ Communications	Management policies and supporting documentation regarding Information Technology	GC 34090; 60201	Current + 2 years
Insurance	Finance / Human Resources	Personnel related	GC 34090	Current + 2 years

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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 Certificates (Use of Facilities)	General Administration		GC 34090; 60201	Current + 2 years
Insurance, Joint Powers Agreement	Finance	Accreditation, MOU, agreements and agendas	GC 34090	Current + 2 years
Insurance, Liability/Property	Administration / Risk Management	May include liability, property, Certificates of Participation, deferred, use of facilities	GC 34090	Current + 2 years
Insurance, Risk Management Reports	Administration / Risk Management	Federal OSHA Forms; Loss Analysis Report; Safety Reports; Actuarial Studies	29 CFR 1904.44 GC 34090	5 years (Federal) 2 years (State)

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Investment Reports, Transactions	Finance	Summary of transactions, inventory and earnings report	GC 34090 CCP 337 Sec. of State Local Gov't. Records Retention Mgmt. 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
Job Worksheets / Daily Work Sheets	Maintenance	(2004 & After)	GC 34090; 60201	Current + 2 years
Journal Entries / Journal Vouchers	Administration / Finance		GC 60201(d)(12)	7 years
Lab Reports / Worksheets / Sampling / Chains of Custody / Red Log Books: DRINKING WATER	Operations	Lead & Copper (Contracted out)	22 CCR 64400.20; 22 CCR 64690.80	12 years (or 2 compliance cycles)

Legal Authority Abbreviations

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PC Penal Code (California)
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RECORDS RETENTION SCHEDULE – RUNNING SPRINGS WATER DISTRICT

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Lab Reports / Worksheets / Sampling / Chains of Custody / Red Log Books: DRINKING WATER	Operations	Chemical	40 CFR 141.33(a); 22 CCR 64470	10 years
Lab Reports / Worksheets / Sampling / Chains of Custody / Red Log Books: DRINKING WATER	Operations	Bacteriological & Organics	40 CFR 141.33(a); 22 CCR 64470	5 years
Lab Reports / Worksheets / Sampling / Chains of Custody / Red Log Books: WASTEWATER	Operations	Wastewater & All Discharges from Treatment Plants	40 CFR 122.21, 122.41	3 years
Lab Reports / Worksheets / Sampling / Chains of Custody / Red Log Books: WELLS	Operations	Well Water Quality	GC 34090; 60201	Current + 2 years

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LAFCO Correspondence	Administration / Engineering	Municipal service review and other documentation / correspondence	GC 34090; 60201	Current + 2 years
Leaks / Leak Reports	Maintenance		40 CFR 122.41(j)(2) & 40 CFR 141.33(b); 22 CCR 64470	5 years
Legal Notices/Affidavits of Publication	Administration	Notices of public hearings, proof of publication of notices	GC 34090	2 years
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
Log Books	Maintenance	(before 2004)	GC 60201	(none)
Maintenance Manuals	Operations	Equipment service/maintenance	GC 34090	Current + 2 years
Maintenance/Repair Records	Operations	Equipment	GC 34090	2 years

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Marketing, Promotional	Administration	Brochures, announcements, etc.	GC 34090	2 years
Marketing, Promotional	IT/ Communications	Brochures, announcements, etc.	GC 34090; 60201	Current + 2 years
Master Plans & Reports	Administration / Engineering	Water and wastewater facilities master plans; hydraulic computer models	GC 60201	Permanent
Meter Operations	Operations	Reader reports; orders; tests; maintenance reports	GC 34090	2 years
Meter Reading	Operations	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
Minutes – Committee meetings	Administration	Minutes of various meetings of temporary or non-standing committees (not subject to the Ralph M. Brown Act), including any documentation, memos, etc.	GC 34090	2 years
Miscellaneous Development Project files	Administration / Engineering	Paper copies should be maintained for 5 years. Originals should be imaged immediately for permanent retention. The scanned record may serve as a permanent record	GC 34090; 60201	Current + 2 years; District preference – 5 years

Legal Authority/Abbreviations
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MOUs, Negotiations, Work Papers	Human Resources		GC 60201(d)(12)	7 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
NPDES Discharge Monitoring (Treatment Plants)	Operations		40 CFR 122.21, 122.41	3 years
NPDES Permits	Operations		40 CFR 122.21, 122.41	3 years
O&M Manuals / Manuals / Policies & Procedures	Maintenance or Operations		GC 60201	Current + 2 years
Oaths of Office	Administration	Elected and public officials – Board Members	GC 34090 29 USC 1113 Sec. of State Guidelines	Length of term/employment plus 6 years

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Offers of Dedication / Conveyance Agreements	Administration / Engineering	Water and wastewater offers of dedication from Developers	GC 34909; 60201	Current + 2 years
On Call Log Sheets	Maintenance		GC 34090; 60201	Current + 2 years
OSHA	Administration / Human Resources	OSHA Log 200, Supplementary Record, Annual Summary (Federal & State-Cal-OSHA)	LC 6410; 8 CCR 14307 29 CFR 1904.2 - 1904.6	5 years
OSHA (Accident/Illness Reports)	Administration	Personnel - Employee Exposure Records & Employee Medical Records regarding exposure to toxic substances Not a public record	LC 6410; 8 CCR 14307; 8 CCR. 3204; GC 6254(c)	Duration of employment plus 30 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 - Wage Rates / Job Classifications	Finance	Employee records	GC 60201	While current + 7 years
Payroll Deduction/ Authorizations	Finance	Finance	29 CFR 516.6(c) GC 60201	While Current + 7 years

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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
Payroll records, terminated employees	Finance	Finance files	29 CFR 516.5 GC 60201	7 years from date of last entry
Payroll, registers	Finance	Payroll registers, payroll reports	29 CFR 516.5(a) LC 1174(d) GC 60201	7 years from date of last payment
		Registers that show labor costs by employee and program	Sec. of State Local Gov't Records Mgmt. Guidelines	Sec. of State recommends permanent retention
Payroll, time cards/sheets	Finance	Employee	29 C.F.R. Part 516.6; Labor Code § 1174; Sec. of State Local Gov't. Records Mgmt. Guidelines	3 years per statute; Sec. of State Guidelines recommends until audited + 6 years

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Type of Record	Category	Description or Example of Record	Legal Authority	Minimum Legal Retention Period
Permits: Operating, etc.	Operations	(copies sent to Main Office)	40 CFR 122.21, 122.41, GC 60201	3 years
PERS - Employee Benefits	Human Resources	Retirement Plan	29 USC 1027	6 years
Personnel Policies -- Rules and Regulations	Human Resources	PERS Employee Benefit Plan – original document or copies	29 CFR 1627.3(b)(2); GC 34090	Current + 2 years
Personnel Records	Human Resources	Including employee handbooks, employee manuals, and other policies/procedures	29 CFR 516.6 29 CFR 1627.3(a)	Current + 3 years
Petitions	Administration	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
Photographs and News Clippings	IT/ Communications	Submitted to District Board	GC 34090	Current + 2 years
		May contain photographs, newspaper or magazine clippings, commentaries and other items pertaining to the activities, actions of the District	GC 60201	(none)

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Pipeline Installations	Administration / Engineering	Job Files for in-house and contract water and wastewater pipeline installations. Paper copies should be maintained for 5 years. Originals should be imaged immediately for permanent retention. The scanned record may serve as a permanent record	GC 60201, CCP 337.15	10 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
Press Releases	Administration	Related to District actions/activities.	GC 34090	2 years
Pressure Vessel Certifications or Permits (Air Compressors, CNG Tank, Propane, etc.)	Operations		GC 34090; 60201	Current + 2 years

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Pre-Trip Inspections / DOT Program / CHP Inspections / Vehicle Safety Checks / Daily Vehicle Inspections / Daily Equipment Checks	Operations OR Maintenance		GC 34090; 60201	2 years
Procedure Manuals	Administration	Administrative.	GC 34090	Current + 2 years
Property Acquisition/ Disposition	Development	District owned. Supporting documents regarding sale, purchase, exchange, lease or rental of property by District	CCP 337.15	10 years
Property, Abandonment	Development	Buildings, condemnation, demolition	GC 34090	Permanent
Proposition 218 Ballots & Protest Letters (Assessment Districts)	Board Administration	Property related fees (Assessment Ballot proceeding)	GC 53753(c)(2) California Constitution Art. XIII	2 years
Public Records Request	Administration	Requests from the public to inspect or copy public documents	GC 34090	2 years

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Pump Stations / Lift Stations	Operations	(Software)	GC 60201	(none)
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
Rebate programs	Water Use Efficiency	Toilet Retrofit, Shower Head, etc.	GC 34090; 60201	Current + 2 years
Record Drawings / Plans / Maps / "As Builts"	Administration / Engineering	All originals should be maintained in Engineering, with copies at the various facilities	GC 60201	Permanent
Recordings – audio (for preparation of meeting minutes)	Administration	Audio recordings of Board meetings – "made for whatever purpose by or at the direction of the local agency"	GC 54953.5(b)	Minimum 30 days
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 53160 GC 53161	Videos - 1 year; Phone & Radio communications - 100 days If recordings relate to a claim or pending litigation, they must be preserved until the matter is resolved.

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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 53160 GC 53161	90 days after event is recorded
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
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 / Human Resources	Records relating to hiring, promotion, selection for training	29 CFR 1627.3	3 years
Regulatory Agencies	Administration / Engineering	AQMD, LRWQCB, USFS, etc.	GC 34090; 60201	Current + 2 years
Reports: State Reports to DHS / DPH / DWR	Operations	Monthly and Annual	GC 60201	3 years

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Resolutions	Administration	Vital records – originals not to be destroyed, Image 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
Road Permits	Maintenance		GC 34090; 60201	Current + 2 years
Rules & Regulations	Administration / Engineering	Established by RSWD (other agencies are non-records – they are responsible for retaining them, and can be obtained from the Internet or by submitting a request to the agency.) For water, wastewater and recycled water service. Paper copies should be maintained for US +5 years. Originals should be imaged immediately for permanent retention. The scanned record may serve as a permanent record	GC 34090; 60201	Until superseded + 2 years
Safety Manual	Human Resources	Human Resources maintains the originals of the Safety Manuals; Maintenance & Operations maintains the Safety Meetings, agendas, Safety training material, sign-in sheets-copies	GC 34090; 60201	Current + 2 years

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Safety Meetings, agendas, Safety training material, sign-in sheets-copies (originals maintained by the Safety Officer)	Maintenance or Operations	Safety Committee, Safety Training. Human Resources is responsible for maintaining the Safety Manual	GC 60201; 8 CCR 3203 et seq.	1 year
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
Sanitary Sewer Overflows (SSOs)	Maintenance		SWRCB Order 2006-03, GC 60201	5 years
Sanitary Surveys	Operations		40 CFR 141.33(c)	10 years
SCBA (Self Contained Breathing Apparatus)	Maintenance		GC 34090; 60201	Current + 2 years

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Service Orders / Work Orders	Water Use Efficiency	All Data is entered into database (paper is a preliminary draft, not retained in the ordinary course of business). Leaks, Meter Swaps, Re-Reads, No-Reads, Fire Fly Swaps, Meter Repair, etc. Information is retained in the database	GC 60201	(none)
Service Request Form	IT/ Communications	Form used to request technical support. (Preliminary draft document – not retained in the ordinary course of business)		None
Sewage Sludge Hauling	Operations		WC 13263.2(b) et seq.; 40 CFR 122.41(j)(2); GC 60201	5 years
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
Statement of Facts – Roster of Public Agencies Filing (State of California)	Board Administration	Form # SEC/STATE NP/SF 405	GC 34090; 60201	Current + 2 years

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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
Stoppage & Repairs / Spill Reports	Maintenance	NPDES Standards (not drinking water). Repairs are in Hansen	GC 60201, 40 CFR 122.21, 122.41	3 years
Strategic Plans	General Administration		GC 34090; 60201	Current + 2 years
Studies & Reports	Administration / Engineering	Various Engineering Studies & Reports, including Feasibility Studies. Paper copies should be maintained for 5 years. Originals should be imaged immediately for permanent retention. The scanned record may serve as a permanent record	GC 34090; 60201	Current + 2 years; District preference – 5 years

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Type of Record	Category	Description or Example of Record	Legal Authority	Minimum Legal Retention Period
Supplemental Water Fees (Prop 218 Fees) / Tax Letters	Administration / Finance	File submitted to County Assessor for inclusion on Property Tax bill	GC 34090; 60201	Current + 2 years
Tax Rolls	Administration / Finance	Sewer Charges Sent to County Assessor	GC 34090; 60201	Current + 2 years
Taxes, Special	Finance	Special tax levied by a local agency on a per parcel basis	CCP 338	Until audited + 3 years
Underground Service Alert-USA Tickets	Maintenance	Both Received and Called In	GC 4216.2(d) & 4216.3(d), 60201	3 years
Underground Utility – supporting documents	Operations / Maintenance	Supporting documents for improvements, lighting – bonds, taxes, construction	GC 34090 Sec. of State Local Gov't. Records Mgmt. Guidelines	Permanent
Unemployment Claim Files	Human Resources		GC 60201(d)(12)	7 years
Unemployment Insurance Records	Human Resources		IRC 3301-3311	4 years

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

RECORDS RETENTION SCHEDULE – RUNNING SPRINGS WATER DISTRICT

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
Used Oil Disposal	Maintenance		22 CCR 66266.130(c)(5), H&S 25250.18(b), 25250.19(a)(3) et seq.	3 years
USFS Special Use Permits	Administration / Engineering	SUP Files, Meeting Notes, Correspondence	GC 34090; 60201	Current + 2 years
Utility Services – Applications	Administration	Applications for utility connections, disconnects, registers, service	GC 34090; Sec. of State Guidelines recommendation	Current + 2 years
Utility Services - Billing Records	Administration	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	Administration	Maps, water line connections	GC 34090; Sec. of State Guidelines recommendation	Permanent

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

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
Utility Services - Journals, Utility Billing	Administration	Billing including monthly activity	GC 34090; Sec. of State Guidelines recommendation	Current + 2 years
Utility Services - Meter Reading; Reports	Administration		GC 34090	Current + 2 years
Utility Services - Utility Rebates, Reports	Administration		GC 34090	Current + 2 years
Vehicle & Equipment History Files	Maintenance		GC 34090; 60201	Current + 2 years
Vehicle Titles (“Pink Slips”)	Human Resources		GC 60201, VC 9900 et. seq	Until sold
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

Legal Authority Abbreviations

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RECORDS RETENTION SCHEDULE – RUNNING SPRINGS WATER DISTRICT

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
Water Conservation Enforcement: Letters, Violations, etc.	Water Use Efficiency	Scanned to the Customer's account	GC 34090; 60201	Current + 2 years
Water Conservation Enforcement: Pictures	Water Use Efficiency	Stored on hard drives to document violations	GC 34090; 60201	Current + 2 years
Wells	Operations	Production, Water Quality	GC 34090; 60201	Current + 2 years
Will Serve Files / Tract Files / Private Development / Service Availability Letters & Applications -- Letters and Research	Administration / Engineering	Various investigations and records related to providing water & wastewater service to various properties. Paper copies of should be maintained for 5 years. Originals should be imaged immediately for permanent retention. The scanned record may serve as a permanent record	GC 34090; 60201	Current + 2 years; District preference -- 5 years
Workers Compensation Files	Human Resources	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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