

**RESOLUTION NO. SCV-67**

**A RESOLUTION OF THE  
BOARD OF DIRECTORS OF THE SANTA CLARITA VALLEY WATER AGENCY  
ADOPTING A RECORDS RETENTION POLICY AND 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**, the former Castaic Lake Water Agency and the former Newhall County Water District had each adopted a records retention policy and schedule; and

**WHEREAS**, with the reorganization of the former Castaic Lake Water Agency and the former Newhall County Water District into the Santa Clarita Valley Water Agency (the "Agency"), the Agency desires to adopt a new records retention policy and schedule ("Records Retention Policy and Schedule") for the orderly retention of Agency records and the proper destruction of obsolete records.

**NOW THEREFORE, THE BOARD OF DIRECTORS OF THE SANTA CLARITA VALLEY WATER AGENCY DOES RESOLVE AS FOLLOWS:**

**SECTION 1.** The Records Retention Policy and Schedule, attached hereto as "Exhibit A" and "Exhibit B," incorporated herein by reference and made a part hereof, is hereby adopted as the records retention policy and schedule of the Santa Clarita Valley Water Agency.

**SECTION 2.** The Board of Directors hereby finds that the Records Retention Policy and Schedule 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 Retention Policy and Schedule will not adversely affect the Agency or the public.

**SECTION 3.** The General Manager of the Agency and his designee are authorized to do any and all acts necessary to give effect to and comply with the terms and intent of the Records Retention Policy and Schedule. The General Manager and his designee shall be responsible for the administration of the retention of records and the destruction of obsolete records pursuant to the Records Retention Policy and Schedule. In addition, the General Manager and his designee are authorized to update or amend the Records Retention Policy and Schedule 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 4.** Pursuant to Government Code sections 53161 and 60200, the Board of Directors hereby authorizes the General Manager and his designee to destroy at any time any duplicate record, paper or document of the Agency, while the original, whether in paper or electronic format, is retained by the Agency for the legally required time period.

**SECTION 5.** The General Manager and his designee shall have ongoing authority, without further approval needed from the Board of Directors and with the approval of the Agency's legal counsel provided herein, to authorize destruction of obsolete Agency records in accordance with the Records Retention Policy and Schedule.

**SECTION 6.** The Board Secretary shall certify to the passage and adoption of this Resolution.

**SECTION 7.** This Resolution shall become effective immediately upon its passage and adoption.

  
President

I, the undersigned, hereby certify: That I am the duly appointed and acting Secretary of the Santa Clarita Valley Water Agency, and that at a regular meeting of the Board of Directors of said Agency held on November 6, 2018, the foregoing Resolution No. SCV-67 was duly and regularly adopted by said Board, and that said resolution has not been rescinded or amended since the date of its adoption, and that it is now in full force and effect.

DATED: November 6, 2018

  
Secretary





<b>POLICIES, RULES AND REGULATIONS</b>	
Title: <b>RECORDS RETENTION POLICY</b>	
Policy No.:15.0	Section Nos.: 15.0 – 15.12
Approval Date: November 2018	Effective Date: November 2018
Approved By: Board of Directors	

## 15.0 RECORDS RETENTION POLICY

California Government Code Sections 60200 through 60204 and the Secretary of State Local Government Records Management Guidelines govern the retention of records of the Santa Clarita Valley Water Agency (Agency) and the disposal of the Agency’s obsolete records. Through this policy, the Agency will manage its records, files, documents and other information, regardless of format, in accordance with all applicable laws and regulations regarding records retention.

Existing and emerging electronic communication technologies are integral to the ability of the Agency officials and staff members to conduct Agency business in both an effective and efficient manner. Such technology has the potential to enhance communications with the public and provide a higher level of service to the Agency’s constituency. However, the use of such technology creates challenges for the Agency to fulfill its commitment and obligation for government transparency and to meet the legal retention requirements for Agency records.

### 15.1. PURPOSE

The purpose of the Records Retention Policy is to provide guidelines to Agency staff members regarding the retention of Santa Clarita Valley Water Agency records; provide for the identification, maintenance, safeguarding of Agency records and the disposal of obsolete records in the normal course of business; ensure prompt and accurate retrieval of records; and ensure compliance with legal and regulatory requirements.

Vital and important records are those having legal, financial, operational, or historical value to the Agency.

#### Policy Objectives:

- Provide clear and concise direction regarding use of the Agency’s electronic communications systems, including electronic mail (e-mail), text messaging and voicemail.
- Minimize any disruptions to Agency services related to electronic communications.
- Enhance work productivity through the use of electronic communications.
- Comply with applicable State and federal laws and Agency policies related to documents, the use of e-mail and all other forms of electronic communication.

This policy applies to all employees, elected officials, appointed officials, consultants, volunteers, or other non-employees who use electronic communications regarding Agency business. All such person shall be referred to throughout this policy as “Agency personnel.”



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15.2 DEFINITIONS

For purposes of this policy, the following definitions apply:

- “Agency” means the Santa Clarita Valley Water Agency , and includes all of the Agency’s affiliated entities.
- “Agency official” shall mean any elected official, committee member or employee of the Agency.
- “Agency business” shall be construed broadly to mean information relating to the conduct of the public’s business or communications concerning matters within the subject matter of the Agency’s jurisdiction, including, but not limited to, pending or potential Agency projects, past or prospective Agency agenda items, or Agency budgets or expenditures involving Agency funds. Resolution of the question will involve an examination of several factors, including: (a) the content itself; (b) the context in, or purpose for which, it was written; (c) the audience to whom it was directed; (d) the purpose of the communication; and (e) whether the writing was prepared by an Agency official acting or purporting to act within the scope of his or her employment.
- “Electronic communications” includes any and all electronic transmission, and every other means of recording upon any tangible thing in any form of communication or representation, including letters, words, pictures, sounds, or symbols, or combinations thereof, and any record thereby created, regardless of the manner in which the record has been stored. Without limiting the nature of the foregoing, “electronic communications” include e-mails, texts, voicemails, and also include communications on or within commercial applications (apps) such as Facebook Messenger, Twitter, WhatsApp, etc.
- “Electronic messaging account” means any account that creates, sends, receives or stores electronic communications.
- “Official Agency Record” has the same meaning as the definitions provided in the California Public Records Act (Cal. Gov. Code § 6250 et seq.) for “public records” and “writing”:

*“...any writing containing information relating to the conduct of the public’s business prepared, owned, used or retained by any state or local agency regardless of physical form or characteristics...”*



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*“...‘Writing’ means handwriting, typewriting, printing, photostating, photographing, photocopying, transmitting by electronic mail or facsimile, and every other means of recording upon any tangible thing any form of communication or representation, including letters, words, pictures, sounds, or symbols, or combination thereof, and any record thereby created, regardless of the manner in which the record has been stored.”*

According to the preceding definitions, e-mail messages and any attachments regardless of format are, in fact, public records and are subject to the provisions of the Public Records Act as well as legal requirements for retention of public records. The preceding definitions also include any messages, sent through a smartphone, tablet or other electronic device, that end up as an e-mail to or from any Agency personnel.

### **DOCUMENT RETENTION**

#### 15.3 AUTHORIZATION

Pursuant to Resolution No. \_\_\_\_, the General Manager is authorized by the Board of Directors to interpret and implement this policy and to designate a Records Coordinator who shall be responsible for the administration of this Records Retention Policy. The General Manager and the Records Coordinator are authorized to do any and all acts necessary to comply with the terms and intent of this Records Retention Policy, The General Manager and Records Coordinator are responsible for the retention of records and the destruction of any obsolete records, papers, and documents that meet the qualifications governing the retention and disposal of records, as specified below.

#### 15.4 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 B.” 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.



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- 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 determines to be convenient for the purpose, to document the destruction of obsolete records of the Agency.

15.5. GENERAL GUIDELINES

- A. The following general guidelines apply to all Agency records.
  - 1. Pursuant to Resolution No. \_\_\_\_ adopted by the Board of Directors, except where a record is expressly required to be preserved according to State law, the Agency 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 Agency 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(d), the Agency shall not destroy any of the following records:
    - (a) Records relating to the formation, change of organization, or reorganization of the Agency;
    - (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 Agency;
    - (d) Records relating to any pending claim, litigation, any settlement or other disposition of litigation within the past two years;



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- (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 Agency;
- (f) Records relating to any pending construction that the Agency has not accepted or for which a stop notice claim may be legally presented;
- (g) Records relating to any non-discharged debt of the Agency;
- (h) Records relating to the title to real property in which the Agency has an interest;
- (i) Records relating to any non-discharged contract to which the Agency 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 Agency employees, officers, or independent contractors

**15.6 RECORDS TO BE RETAINED IN ORIGINAL FORMAT**

The records listed above in Section 15.5 must be retained in their original format, whether the original record is in hard copy or electronic format.

In addition, the following records are required to be retained in their original hard copy format for at least two (2) years before imaging or scanning them into electronic format:

- Statements of Economic Interest for Elected Officials (copies of FPPC Form 700). (Total retention is four (4) years.)
- Statements of Economic Interest for Non-Elected Officials (originals of FPPC Form 700). (Total retention is seven (7) years.)

After two (2) years, the Agency may image/scan the above documents and dispose of the hard copy versions. The electronic version becomes the “original,” pursuant to State law. (Gov. Code § 60203, subd. (b).)



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15.7 DUPLICATE RECORDS

Pursuant to Resolution No, \_\_\_\_\_, the General Manager and/or the Records Coordinator are authorized to destroy at any time any **duplicate** record, paper or document of the Agency, while the original, whether in paper or electronic format, is retained by the Agency for the legally required time period.

15.8 EXCEPTIONS TO SCHEDULED DISPOSAL OF OBSOLETE RECORDS

Scheduled disposal of records that have met or exceeded their retention periods must be postponed if the records are responsive to, subject to, or relate in some way to any of the following:

- A. A Public Records Act request received by the Agency;
- B. A subpoena served on the Agency;
- C. A Request for Production received by the Agency from an opposing party in litigation;
- D. A court order;
- E. A litigation hold or request for preservation of evidence received by the Agency;  
or
- F. A claim filed against the Agency under the Government Claims Act.

The above exceptions apply to both hard copy and electronic records

15.9 RECORDS RETENTION SCHEDULE

The Records Retention Schedule is attached to this policy as “Exhibit B” and is incorporated into this policy by reference. This policy and the Records Retention Schedule comply with State and federal law, as well as the records retention guidelines provided by the California Secretary of State. The Records Retention Schedule may be updated from time to time by the General Manager and/or the Records Coordinator, pursuant to Resolution No. \_\_\_\_\_, in order to stay current with federal and State laws, as well as any other regulations, regarding the retention of Agency records.





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**ELECTRONIC COMMUNICATION USAGE AND RETENTION**

15.10 GENERAL INFORMATION

A. Agency E-mail is an Official Agency Record  
 Electronic communications generate correspondence and other documentation which are public records (hereinafter “Official Agency Records”) that may be subject to disclosure under the California Public Records Act (Gov. Code § 6250, *et seq.*). Such records are also in need of protection/retention in accordance with records retention laws.

B. Retention of E-mail Within the Agency’s System  
 The Agency’s electronic communication systems, including e-mail, instant messaging, social media sites, and other communication tools, are intended as mediums of communication only. Therefore, the Agency electronic communication systems should not be used to store or maintain documents, including, but not limited to, Official Agency Records. Documents that must follow a defined legal retention schedule should be saved outside of the communication environment.

Communications within the electronic communication environment will be stored for two (2) years. After two years that electronic communication record will be removed from the communication system in which it existed.

Regarding e-mail, the system administrators perform regular electronic back-ups of the Agency’s e-mail system. However, the back-up is not a copy of all Agency e-mail activity that occurred on the Agency e-mail server during the back-up period.

C. Preservation of E-mails (PRA Requests, Subpoenas, Claims, etc.)  
 The Agency frequently receives requests for inspection or production of documents pursuant to the Public Records Act, as well as demands by subpoenas or court orders for documents, and claims filed against the Agency under the Government Claims Act. In the event a records request, or subpoena, asks for e-mail messages, the Agency officials and employees having control over or access to any relevant e-mail messages, once they become aware of the request or demand, shall use their best efforts, by any responsible means available, to temporarily preserve any such e-mail message until it is determined whether the e-mail message must be disclosed for public inspection or copied and produced.



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Also, the Agency has a duty to preserve any relevant data when there is even a hint of possible litigation. Therefore, when Agency employees become aware of a potential claim, an actual claim, or a lawsuit against the Agency, they must preserve any e-mail messages and attachments that have any information relevant to that matter. The Agency’s General Counsel can provide guidance on these issues.

15.11 PROCEDURE

A. Managing Agency E-mail

Agency officials and employees are responsible for the management of their e-mail folders on a regular basis. It is the responsibility of Agency officials and employees to determine if an e-mail is an Official Agency Record which must be retained in accordance with the Agency’s Records Retention Policy. Always consider the content of an e-mail message when you are determining if the message is an Official Agency Record. Generally, an e-mail message and any attachments regardless of format may be considered an Official Agency Record if it: (1) is created or received in connection with official Agency business; (2) documents the formulation and implementation of Agency policies and decisions; or (3) initiates, authorizes or completes a transaction of official Agency business.

Agency officials and employees may delete e-mail messages which are not otherwise required to be kept by law or whose preservation is not necessary or convenient to the discharge of your duties or the conduct of the Agency’s business.

B. Messages that are Generally NOT Considered as Official Agency Records

Examples of e-mail messages that are not generally considered Official Agency Records may include: (1) personal messages; (2) “Spam” emails, advertisements, or other “junk” e-mail; (3) messages not related to public business (e.g., employee birthday celebrations in the lunch room); and (4) newsletters or general information from vendors or other public agencies. The Agency’s General Counsel can assist in determining whether an e-mail message is required to be retained and/or is necessary or convenient to the discharge of duties or the conduct of the Agency’s business.

C. Preserving E-mails that are Official Agency Records

Any e-mail message, including any attachments regardless of format that is an Official Agency Record should be preserved by one of the following methods:

1. Print the email and place the printed copy in the appropriate file. Generally, the Agency employee who sends the e-mail should be the person responsible for printing and filing the hard copy, but persons



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responsible for a particular program or project file shall be responsible for retaining all e-mail they send or receive related to that program or project.

2. Electronically move the e-mail from your Inbox to a designated folder within your Agency e-mail account using the Agency’s document management system. Alternatively, you can move the e-mail out of the Agency’s e-mail system and store it on a network drive.

**15.12 USE OF PERSONAL E-MAIL ACCOUNTS FOR PUBLIC BUSINESS**

Pursuant to the California Supreme Court’s 2017 opinion in the *City of San Jose* case, e-mails sent or received by Agency officials or employees that are related to the conduct of public business may be Official Agency Records, even if the messages were sent or received using an Agency official’s or employee’s personal e-mail account or personal device. In light of the *City of San Jose* opinion, the following protocols shall apply:

1. Agency personnel who are assigned an Agency e-mail account to conduct Agency business, shall only conduct Agency business through the Agency account and shall not use personal accounts for the creation or receipt of Official Agency Records. If an Agency official or employee who is required to use an Agency e-mail account receives an e-mail regarding Agency business on his/her non-Agency account, the Agency official shall copy (“cc”) or forward the e-mail to the Agency e-mail account no later than 10 days after the original creation or transmission of the e-mail. Any Agency personnel who maintain Official Agency Records on a personal e-mail account without copying or forwarding the record to an Agency account shall be subject to the protocols listed below, regardless of whether the employee was authorized to utilize the personal account.
2. Agency personnel who are not assigned an Agency e-mail account, or that are authorized to utilize a personal e-mail account or to have Agency e-mails forwarded to a personal account, shall retain all e-mails that are Official Agency Records in accordance with the Agency’s Records Retention Policy regardless of whether the e-mail is originally sent or received on a personal e-mail account or personal device. Agency personnel who are authorized to use personal e-mail accounts are encouraged to create and only utilize accounts that are dedicated solely to the conduct of Agency business. Utilizing a dedicated account will help to ensure that Official Agency Records are properly maintained, will ease searches for responsive Official Agency Records, and will help to prevent the search or disclosure of personal records.
3. In the event the Agency receives a Public Records Act request seeking e-mails from personal accounts, the Agency Board Secretary will transmit the request to the applicable Agency personnel who may have responsive records. The Agency



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personnel shall then promptly conduct a good faith and diligent search of his/her relevant personal e-mail accounts and devices for responsive records. If the Agency personnel needs assistance in performing a search, he/she shall inform the Agency Board Secretary and Agency personnel may be assigned to assist.

4. The Agency personnel shall promptly transmit any responsive e-mails to the Agency Board Secretary within sufficient time to enable the Agency Board Secretary to adequately review and provide the disclosable e-mails to the requesting party. It shall be the duty of the Agency Board Secretary, in consultation with the Agency’s General Counsel, to determine whether a particular e-mail, or any portion of an e-mail, is exempt from disclosure. To that end, the responding Agency personnel shall provide the Agency Board Secretary with all responsive e-mails, regardless of whether an exemption to the disclosure may apply.
  
5. In the event the Agency personnel does not possess, or cannot with reasonable diligence recover, responsive e-mails, the Agency personnel shall inform the Agency Board Secretary by way of a written declaration signed under penalty of perjury. In addition, Agency personnel who withholds or redacts any e-mails identified as potentially responsive must provide the Agency Board Secretary with a written declaration (Public Records Act Form of Declaration) under penalty of perjury with facts sufficient to show the information withheld or redacted is “personal business” and not “public business” under the Public Records Act.

This policy does not waive any exemption to disclosure that may apply under the California Public Records Act or other applicable law.

*(Originally adopted November 2018)*

SCV WATER  
Records Retention Schedule  
2018

Record Series	Description	Retention Period
<b>Management</b>		
<b>BOARD OF DIRECTORS and COMMITTEES</b>		
<i>Board of Directors (BODs) include: Santa Clara Valley Water Agency, Upper Santa Clara Valley Joint Powers Authority</i>		
<i>Committees include : Ad Hoc, Agenda Planning, Finance and Administration, Planning and Engineering, Water Resources and Outreach and Retail Operations</i>		
Agency Formation/Reorganization	Records relating to formation, change or organization, or reorganization of the agency	P
Board/Committee Agendas, Packets and Related Items	Original agendas and special meeting notices, including certificates of posting, original summaries, original communications and action agendas for the Board and/or Committees; reports; attachments; handouts	P
Minutes	Official minutes and hearing proceedings of the Board of Directors	
Resolutions	Legislative actions	
Oaths of Office	Oaths of office for elected and appointed public officials	T + 6
<b>CONFLICT OF INTEREST (FPPC)</b>		
Statement of Economic Interest (FPPC Form 700)	Elected Officials - FPPC Filings (Form 700) [copies] (can image after 2 years)	4 yrs
	Non-Elected Officials - FPPC Filings (Form 700) [originals] (can image after 2 years)	7 yrs
Agency Report - Events & Ticket/Pass Distribution (FPPC Form 802)	Report of tickets/passes; identifies persons who received tickets/passes & described the public purpose for the distribution; Copy must be posted on agency website; Originals retained for 7 years	7 yrs
Behested Payment Report (FPPC Form 803)	FPPC form used by elected officials to disclose payments made at their behest (\$5,000 or more from same source) for legislative, governmental, or charitable purposes	7 yrs
Agency Report of Consultants (FPPC Form 805)	Identifies consultants hired by SCV Water who must file Form 700	7 yrs
Agency Report of Public Official Appointments (FPPC Form 806)	Report of additional compensation received by agency officials when appointing themselves to committees, boards or commissions of other public agencies or joint powers authorities. Current report must be posted on the agency's website.	CU + 2
Lobbying or Lobbyist Forms (FPPC Forms 602, 635)	FPPC Form 602 - Lobbying Firm Activity Authorization; FPPC Form 635 - Report of Lobbyist Employer & Report of Lobbying Coalition - forms used when employing or contracting with a lobbying firm	5 yrs
<b>FINANCING CORPORATION</b>		
Agendas, Packets and Related Items	Original agendas and special meeting notices, including certificates of posting, original summaries, original communications and action agendas for Council, Boards and Commissions; Board Reports; handouts	P
Minutes	Official minutes and hearing proceedings of the Board of Directors	
Resolutions	Legislative actions	

SCV WATER  
Records Retention Schedule  
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Record Series	Description	Retention Period
<b>GENERAL</b>		
General Administrative: Policies/Procedures	All Board Approved Policies and Management Operating Procedures	S + 2
Public Record Request Information	Requests for documents (Public Records Act); Responses provided	CL +2
Correspondence, general	Includes emails, letters, memos, etc., pertaining to SCV Water business	CU + 2
Records Retention - Records Destruction/Disposal	Documentation of final disposition/destruction of records that have met or exceeded minimum retention periods	P
<b>LEGAL/LEGISLATIVE</b>		
Administrative Code	Including bylaws	P
Legal Opinions	Opinions/memos drafted by legal counsel	S + 2
Litigation	Case files; settlement agreements for litigation matters (executed) [not including Workers' Comp claims]	CL +2
<b>PUBLIC INFORMATION</b>		
Press Releases		P

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Record Series	Description	Retention Period
<b>Administration</b>		
<b>GENERAL ADMINISTRATION</b>		
Contracts and Agreements (excluding CIP, Public Works)	Includes leases, equipment, services or supplies	T + 5
Policies		AC
Procedures		
Public Record Act Requests	Requests for records; responses provided	CL + 2
Record Retention / Management Program Records	Including schedule, destruction records, procedures	AC
Recordings - audio (e.g., for preparation of meeting minutes)	Audio recordings "made for whatever purpose by or at the direction of the local agency"	30 days
Recordings - routine video monitoring, telephone, radio communications	Routine daily recording of telephone or radio communications; recordings of routine video monitoring, monitoring systems, or building security systems; if recordings relate to a claim or pending litigation, they must be preserved until the matter is resolved.	Videos - 1 yr; Radio/Phone - 100 days
Recordings - video (e.g., recordings of Board meetings)	Recordings of public meetings made by or at the direction of SCV Water	30 days
<b>Administration - Accounting/Finance, Purchasing</b>		
<b>ACCOUNTING/FINANCE</b>		
Accounts Payable	Invoices, check copies, distribution journals, cash disbursements, expense reports, Petty Cash, supporting documents	AU + 7
Accounts Receivable	Invoices, registers, cash receipts journals, supporting docs	
Audit Reports/Financial Statements	Reports relating to audits/financial statements, trial balance, schedules; including reports, notes, and backup documentation (CAFR, Audit Binders etc.)	P
Bank Reconciliations	Bank statements, summaries for receipts, deposit slips, disbursements and reconciliations	AU + 5
Billing Records	Customer name, service address, usage payments, correspondence with customers	AU + 2
Bonds - Certificate of Participation (COP)	Monthly statement of transactions, supporting documents	CL + 10
Bonds - Certificate of Participation (COP)	Paid / cancelled	CL + 10
Bonds - Surety	Documentation created and/or received in connection with the performance of work/services for SCV Water	CL + 4
Budget - Proposed	Presented to Board	CU + 2
Budget - Adopted	Approved	P
Certificate of Authenticity	Records from outside vendors certifying documents have been destroyed in compliance with the records retention schedule	P
Check register/Warrant register	Record of checks issued, approved by the Board of Directors	AU + 2
Checks (issued by SCV Water)	(1) Expense reimbursement to employees; payments to independent contractors; etc. Includes check copies; canceled or voided checks; electronic versions of checks; (2) checks paid to vendors; other SCV Water payments. Includes check copies; canceled or voided checks; electronic versions of checks.	(1) CU + 7; (2) AU + 4

AC=Active AD=Adoption AU=Audit CL=Closed/Completed CU=Current Year E=Election L=Life P=Permanent S=Supersede T=Termination

SCV WATER  
Records Retention Schedule  
2018

Record Series	Description	Retention Period
	<b>Administration - Accounting/Finance, Purchasing - cont'd</b>	
Deferred Compensation	Records of employee contributions and agency payments	T + 5
Deposit Receipts	Checks, coins, currency	AU + 7
General Ledger		P
General Ledger - Voucher	Account postings with supporting documents	AU + 4
Investments	Including summary of transactions, inventory, and earnings report	P
Invoices	Copies sent for fees owed, billing, related documents	AU + 7
Journals - Billing	Billing, including monthly activity	CU + 2
Payroll Records	Including signed employee time sheets for audit and FEMA Reports; deduction authorization, beneficiary designations, unemployment insurance claims	AU + 6
Payroll Registers	Labor distribution costs by employee and program	P
Payroll Forms	W-2 and W-4 forms	T + 4
PERS Employee Deduction Reports	Including record of deductions, Retirement Balance Report	P
Reimbursements - expenses	Reimbursements to public officials and employees for travel and other expenses	AU + 7
State Controller	State Controllers Report	P
Taxpayer ID Forms	Including W-9's and 1099's	AU + 4
Tax Reporting	Federal and State quarterly reports	AU + 4



SCV WATER  
Records Retention Schedule  
2018

Record Series	Description	Retention Period
<b>Administration - Accounting/Finance, Purchasing - cont'd</b>		
Tax Returns		7 Years
Taxes, Receivables		AU + 3
Wage Garnishments	Wage or salary garnishment; active until garnishment is satisfied - then follow retention period	AU + 4
Warrant Registers/Check registers	Accounts Payable Batch List	AU + 2
Wire Transfers	Statements, confirmations and reconciliations, including voids	AU + 5
Worker's Comp Premium	Quarterly Report	T + 5
<b>CAPITAL PROPERTY</b>		
Fixed Assets	Inventories of fixed assets, surplus property	AU + 4
Capital Asset Record	CIP including Notice of Completion and supporting documents (documents maintained by Engineering Dept)	L + 3
Plant Ledger	Electronic records including equipment records and historical data	P
Surplus Property - Auction	Detailed listing of property, receipts from auction company (bid sales through licensed auction company)	AU + 2
Surplus Property - Disposal	Listing of property, receipts (bid sales of equipment through licensed auction company)	AU + 4
<b>PURCHASING</b>		
Bids, RFQ:s, RFP's		AU + 5
Successful / Accepted bids or proposals	Public contract bid documents; Requests for Qualifications; Requests for Proposals regarding goods and services	AU + 5
Unsuccessful / Unaccepted bids or proposals		CU + 2
Purchase Orders	Original documents (maintained w/paid invoices)	AU + 7
<b>Administration - Human Resources, Safety/Training, Risk Management</b>		
<b>HUMAN RESOURCES</b>		
Employee/Personnel files	Active and Terminated including applications, employment agreements, actions, evaluations, vesting, salary records, beneficiary designations, Family Leave requests, tuition reimbursement, benefit plan enrollment/denied, employee relations (may include claims, grievances, disciplinary actions), injury and accident reports, medical records, disability claims.	T + 7
Employment applications (not hired)	Applications submitted for existing or anticipated job openings, including any records pertaining to failure or refusal to hire applicant	CU + 2
Employment eligibility verification (I-9 forms)	Federal Immigration and Nationality Act - retention is 3 years after date of hire, or 1 year after date of termination, whichever is later.	3 + hire date, or T + 1
Classifications and Appointments	Includes supplemental Personnel records. Wage rate tables 2 years	CU + 3
Collective Bargaining Agreements	Surveys and studies including classification and wage rate tables	CU + 2
Correspondence, personnel & HR matters	Includes Memoranda of Understanding (MOU) with employee unions, represented employee groups	CU + 3
DMV Driver's Records Reports (DMV Pull-Notice System)	Includes emails, letters, memos, etc., pertaining to personnel & HR matters	CU + 2
	Motor vehicle pulls - personnel record	S + 7

AC=Active AD=Adoption AU=Audit CL=Closed/Completed CU=Current Year E=Election L=Life P=Permanent S=Supersede T=Termination

SCV WATER  
Records Retention Schedule  
2018

Record Series	Description	Retention Period
<b>Administration - Human Resources, Safety/Training, Risk Management - cont'd</b>		
Recruitment	Including candidate applications, interview notes, test results, resumes, alternative lists, indices, ethnicity disclosures, examination materials, examination answer sheets, job bulletins	CL + 3
Training Records (Non-Safety)	Volunteer program training, class training materials, internships; Paperwork documenting internal and external training	CU + 7 T + 7
Worker's Compensation Records	Work-injury claims (including denied claims); claim files, reports, etc. **Retain until the latest of the following: 5 years from date of injury; or 1 year from date compensation was last provided; or when all compensation due has been paid.**	**
Worker's Compensation - Settlement Agreements	Final, signed/approved settlement agreements for worker's compensation claims or litigation	5 yrs
<b>HUMAN RESOURCES: Benefits</b>		
Employee Benefits Administration Files	Including enrollment forms, billing reports	CL + 4
Employee Benefits Claims	May include dental, disability, education, health, life and vision including dependent care and Employee Assistance	T + 7
<b>SAFETY/TRAINING</b>		
General Administrative: Policies/Procedures	Safety related policies, procedures and standard operating procedures, etc.	S + 2
Training Records - Safety	Certifications/designations	CU + 2
Cal-OSHA Requirements	Log of work related injuries & illnesses (Form 300), Annual Summary (Form 300A), Incident reports (Form 301)	CU + 5

SCV WATER  
Records Retention Schedule  
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Record Series	Description	Retention Period
<b>RISK MANAGEMENT</b>		
Chemical Inventories		30 YRS
Claims, Damage	Paid/denied	CL + 5
Crane Inspections and Certifications	<b>Inspections:</b> Records relating to cranes regarding safety inspection logs, reports and correspondence.	AC + 5
	<b>Certifications:</b> Records, reports and certificates which are required to operate cranes.	
Insurance (Certificates of)	Insurance certificates filed separately from contracts, includes insurance filed by licensees; may include liability, property, Certificates of Participation, deferred, use of facilities; Indemnity; PERS - working files - originals with Administrator.	CU + 2
Injury and Accidents Reports	On-the-job, vehicle and OSHA Log	CU + 5
Material Safety Data Sheets	Records relating to the use of hazardous substances	P
Property Files	Original reports and supplemental documentation (Lost, Found, Safekeeping); apparatus/vehicle repair and maintenance; inventory, equipment and supplies	CU + 10
Risk Management Reports	Federal OSHA Forms; Loss Analysis Report; Actuarial Studies	CL + 5
Safety Meetings	Records relating to the OSHA required safety meetings (toolbox meetings) regarding on the job safety	CU + 5
Safety Records	Records of a general nature regarding safety. Records may include safety videos, training, checklists, meeting minutes and regulations.	P
Security Records	Records relating to the security of SCV Water and outside security companies used by SCV Water. Includes records regarding security issues, security books and copies of correspondence.	CU + 3
Underground Storage Tanks	Records including but not limited to: permits, photos, inspection and contracts, as well as records regarding leak detection monitoring, cleanup, and tightness of underground tanks	P
Vehicle Operating Records	Records relating to SCV Water vehicle registration, purchase costs, maintenance records and surplus information.	AC + 6

SCV WATER  
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<b>U.S. DEPARTMENT OF TRANSPORTATION</b>	
	Negative and canceled controlled substance tests. Alcohol tests with concentration less than .02 / Negative drug screen test.
Drug and Alcohol Testing Program: Collection Records	Collection logbooks, if used
	Documents relating to random selection process
	Documents generated relating to decisions to administer reasonable suspicion or post-accident tests
	Documents verifying medical inability to provide adequate samples.
	Employer's copy of alcohol/drug test form including results
Drug and Alcohol Testing Program: Records Relating to Positive Drug and Alcohol Tests	Employer's copy of drug chain of custody form
	Documents of a Medical Review Officer (MRO)
	Documents employee presents to dispute results
	Substance Abuse Professional (SAP) evaluation and referral
	Previous employer background screen results if positive
	Previous employer background screen results if negative
	Corrective Action Recommendations and Action
Records of refusal to take tests	
Drug and Alcohol Testing Program: Test Process Records	Program administration records
Drug and Alcohol Testing Program: Education and Training Records	Alcohol misuse and controlled substance use awareness including UW policy
	Driver's signed receipt for education materials
	Documentation of supervisor training

SCV WATER  
Records Retention Schedule  
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Record Series	Description	Retention Period
<b>Engineering, Water Quality and Regulatory Compliance, Maintenance, Operations</b>		
<b>CAPITAL IMPROVEMENT</b>		
Capital Improvement Projects	Supporting documents including bidders list, specifications, reports, plans, work orders, schedules, etc. Contains records re: Planning, design, construction, conversion or modification of facilities, structures and systems	CL + 10  P
Construction Project Files	Records relating to the construction of SCV Water property including but not limited to: field books and logs, diaries, reports, construction test records, samples, correspondence, drawings and specifications, recommendations, photographs, schedules, change orders and stop notices; submittals (records relating to submissions by contractors); and inspections (correspondence, reports, photos).	CL + 10
<b>CAPITAL IMPROVEMENT: Contracting and Agreements</b>		
Contracts and Agreements (Including Capital Improvement)		P
Bids and Proposals (Unsuccessful)		CL + 2
<b>CAPITAL IMPROVEMENT: Documentation and Records</b>		
Certificates	Building: Compliance, occupancy which affect real property. Planning: Retain during life of structure. Plans, buildings, signs, grading, encroachment, including blueprints and specifications (includes construction permits).	L + 5
Permits and Reports	National Pollutant Discharge Elimination System (NPDES) Discharge monitoring	P
<b>CAPITAL IMPROVEMENT: Project Specifications</b>		
Blueprints, Drawings, Photos and Specifications	Drawings/Project Plan (does not include those usually filed with case or project)	P
	Maps/Plans/Drawings/Exhibits/Photos	
	Blueprints/Specifications	
	Water Master Plan copies	
<b>CAPITAL IMPROVEMENT: Reports and Tests</b>		
Water Quality Records	Compliance records include location, date, method and results; corrections, analysis of bacterial or chemical content;	CU + 12
	Compliance documentation including sampling data, analysis, reports, surveys, documents, evaluation, schedules, valves, etc.	
<b>CAPITAL IMPROVEMENT: Standards, Studies and Surveys</b>		
Studies, Special Projects and Areas	Engineering	CL + 2
Surveys (including Water System Sanitary)	Recording data and maps; statistics, reports, correspondence	CU + 10
<b>ENVIRONMENTAL QUALITY</b>		
Environmental Review	Correspondence, consultants, issues, conservation	CL + 2
Soil Reports	Final Reports	P
<b>GENERAL</b>		
Policies and Procedures, Water	Includes rules and regulations	S + 2

SCV WATER  
Records Retention Schedule  
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Record Series	Description	Retention Period
<b>Engineering, Water Quality and Regulatory Compliance, Maintenance, Operations - cont'd</b>		
<b>PROPERTY DOCUMENTATION</b>		
Acquisition/Disposition	Supporting documents regarding: sale, purchase, exchange, lease or rental of property by Agency	CL +10
Appraisals	Exempt from public disclosure until final acquisition or contract agreement obtained	CL + 2
Annexation	Records relating to pending annexation	P
Deeds and Easements (and promissory notes)		P
Leases	Records including lease information on easements, parcel numbers and status reports	CL + 6
Property Development - Design/Construction	Design, construction, engineering documents	CL + 10
Property Development - As-built	As-built plans and related documents	P
<b>MAINTENANCE AND OPERATIONS</b>		
Equipment Leases		T + 4
Equipment Use Records and Maintenance Reports	Maintenance records; repair reports	AC + 5
Hazardous Waste Disposal	Documentation regarding handling and disposal of hazardous waste	P
Maintenance and Operations - Well and Pumping	Includes work orders, inspection, repairs, cleaning, reports, complaints. Times Operational, power used and quantity	CU +2
Meter Operations	Reader Reports, Orders, Tests, Maintenance reports; calibration	CU + 2
Valve Main Records		P
Violations, Drinking Water	Retention applies to each violation	CU + 10
Water Distribution System	Records regarding design of water distribution system	P
Wells	Records on well locations, connections, etc.	P

SCV WATER  
Records Retention Schedule  
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Record Series	Description	Retention Period
<b>Department: Water Resources</b>		
<b>WATER MANAGEMENT</b>		
Water Banking/Exchange/Transfer Programs	Costs	CL + 10
Water Delivery Records	Records relating to the delivery of water. Records may include schedules, volume sold and quantities	P
Water Management Agreements	MOA/MOUs	CL + 10
Water Purchase (Acquisitions/Sale) Agreements		P
Water Purchase Costs	Payments for SWP water supplies and other water supply sources	CU + 5
Water Resources/Use Reports	delivery, usage and storage	S + 10
State Water Project Deliveries	Delivery Correspondence and Allocation Notices	CL + 10
<b>PLANNING</b>		
California Environmental Quality Act (CEQA)	Exemptions, Environmental Impact Report, Mitigation Monitoring, negative declaration, notices of completion and determination, comments, statements of overriding considerations and Water Supply Assessments	P
Integrated Regional Water Management Plan (IRWMP)	Integrated Regional Water Management Plan (IRWMP)	S + 15
Salt and Nutrient Management Plan		S + 25
Urban Water Management Plan (UWMP)	Required documents for the California Urban Water Management Plan (UWMP) Act	S + 10
Water Master Plans	SCV Water and Retailers' capital project plans, groundwater plans, etc.	S + 10
<b>CONSERVATION</b>		
Best Management Practices (BMP) Reports	Reports required by the CUWCC that are required for compliance with UWMP, AB 1420, etc.	P
Conservation Program Analysis	Quantification of water savings attributable to conservation programs, including spreadsheets and reports	CU + 15
Reports on customer water use/conservation	Large Landscape, Commercial, Industrial and Institutional Customer reports that include data on water use and recommendations	CU + 6
Water User Data	"Raw" data on high water users per sector.	CU + 15
Water Use Efficiency Strategic Plan	Water Use Efficiency Strategic Plan, spreadsheet planning tool, plan updates	S + 15
<b>GRANTS</b>		
Grants	Federal and State / Financial Records - refer to grant application close-out procedure; Unsuccessful - Applications not entitled	CU + 7
<b>PUBLIC INFORMATION</b>		
Brochures, Publications, Newsletter, Bulletins	Print newsletters, newsletters	S + 2
Media Relations	Presentations (to community groups, Chamber, etc.); advertising (Includes cable, newspaper, radio)	CU + 2
News Articles	News articles and log.	CU + 2
<b>REPORTS</b>		
Annual Water Quality Report	California Department of Public Health Annual Water Quality Report	P
Annual Water Report	SCV Water Report prepared per LA County Board of Supervisors	P
Department of Water Resources	DWR Bulletins	S + 15
Groundwater Modeling Reports	Basin Yield Reports from retailers	S + 25
State General Planning	State Water Plan Documents	S + 15
State Water Project Reliability	DWR Semiannual State Water Project Reliability Reports	S + 15

SCV WATER  
Records Retention Schedule  
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Record Series	Description	Retention Period
<b>EDUCATION</b>		
Education Program Materials	Curriculum	CU + 2
Scheduling	Book of field trips and class presentation dates and scheduling correspondence	CU + 5