



moulton niguel water district

BOARD OF DIRECTORS' MEETING MOULTON NIGUEL WATER DISTRICT

27500 La Paz Road, Laguna Niguel

September 15, 2016

6:00 PM

Approximate Meeting Time: 2 Hours

1. **CALL MEETING TO ORDER:**

2. **PLEDGE OF ALLEGIANCE:**

3. **PUBLIC COMMENTS:**

Persons wishing to address the Board of Directors on matters not listed on the Agenda may do so at this time. "Request To Be Heard" forms are available at the entrance to the Board Room. Comments are limited to five minutes unless further time is granted by the Presiding Officer. Submit form to the Recording Secretary prior to the beginning of the meeting.

Those wishing to address the Board of Directors on any item listed on the Agenda should submit a "Request To Be Heard" form to the Recording Secretary before the Presiding Officer announces that agenda item. Your name will be called to speak at that time.

CONSENT CALENDAR ITEMS:(Items on the Consent Calendar have been discussed at the regularly scheduled Engineering/Operations and Finance/IT Board meetings)

Consent items: Unless the General Manager or the Board requests that an item be removed from the Consent Calendar, all items will be acted upon as a whole and by one vote. Requests for discussion of any specific item should be made to the Presiding Officer in conjunction with the discussion of the consent motion.

4. **MINUTES OF THE AUGUST 18, 2016 REGULAR BOARD OF DIRECTORS' MEETING**

5. **CROWN VALLEY RESERVOIRS RE-COATING CONSTRUCTION CONTRACT AWARD**

It is recommended that the Board of Directors award the construction services contract to J. Colon Coatings, Inc. in the amount of \$1,426,040; authorize the General Manager to execute the contract; and authorize the General Manager or designee to approve change orders up to 10% of the contract value.

6. **TURF REMOVAL PROGRAM POLICY UPDATE**

It is recommended that the Board of Directors approve the updated Turf Program Policy.

7. **AMENDMENT NO. 2 TO THE TURF REMOVAL INSPECTION AGREEMENT WITH WATER WISE CONSULTING**

It is recommended that the Board of Directors approve Amendment No. 2 to the Turf Removal Inspection Agreement with WaterWise Consulting to increase the contract by \$71,250 to

an amount not-to-exceed \$146,250 through June 30, 2017; and authorize the General Manager to execute Amendment No. 2.

8. REVISIONS TO RECORDS RETENTION SCHEDULES (RESOLUTION 16-__)

It is recommended that the Board of Directors approve the resolution entitled, “Establishing a Records Retention Schedule and Superseding All Previous Policies.”

9. WATER SHORTAGE CONTINGENCY PLAN CONTINUED IMPLEMENTATION (RESOLUTION 16-__)

It is recommended that the Board of Directors approve the resolution entitled, “Continuing Water Shortage Stages 1 and 2.”

10. ADOPTION OF DEMAND OFFSET FEES (RESOLUTION 16-__)

It is recommended that the Board of Directors adopt the resolution entitled, “Adopting a Water Demand Offset Fee.”

GENERAL MANAGER MATTERS:

PRESIDENT'S REPORT:

BOARD REPORTS:

CLOSED SESSION:

11. CONFERENCE WITH LEGAL COUNSEL – EXISTING LITIGATION

(Paragraph (1) of subdivision (d) of Government Code Section 54956.9)

Name of case: Shapell Industries, Inc., a Delaware Corporation vs Moulton Niguel Water District (Orange County Superior Court)

FUTURE AGENDA ITEMS (Any items added under this section are for discussion at future meetings only.):

LATE ITEMS: (Appropriate Findings to be Made)

- a. Need to take immediate action; and
- b. Need for action came to District’s attention after Agenda Posting. [Requires 2/3 vote (5 members) or unanimous vote if less than 2/3 are present]

ADJOURNMENT:

The Board of Directors’ Meeting Room is wheelchair accessible. If you require any special disability related accommodations (i.e., access to an amplified sound system, etc.), please contact the Moulton Niguel Water District Secretary’s office at (949) 831-2500 at least forty-eight (48) hours prior to the scheduled meeting. This agenda can be obtained in alternate format upon written request to the Moulton Niguel Water District Secretary at least forty-eight (48) hours prior to the scheduled meeting.

Agenda exhibits and other writings that are disclosable public records distributed to all, or a majority of, the members of the Moulton Niguel Water District Board of Directors in connection with a matter subject to discussion or consideration at an open meeting of the Board of Directors are available for public inspection at the District Office, 27500 La Paz Road, Laguna Niguel, CA (“District Office”). If such writings are distributed to members of the Board less than seventy-two (72) hours prior to the meeting, they will be available in the reception area of the District Office at the same time as they are distributed except that, if such writings are distributed immediately prior to, or during the meeting, they will be available in the Board meeting room and on the District website at www.mnwd.com.



moulton niguel water district

**DRAFT
MINUTES OF THE REGULAR MEETING
OF THE BOARD OF DIRECTORS OF THE
MOULTON NIGUEL WATER DISTRICT**

August 18, 2016

A Regular Meeting of the Board of Directors of the Moulton Niguel Water District was held at the District offices, 27500 La Paz Road, Laguna Niguel, California, at 6:00 PM on August 18, 2016. There were present and participating:

DIRECTORS

Duane Cave	Director
Scott Colton	Vice President
Richard Fiore	Director
Donald Froelich	President
Larry Lizotte	Director
Brian Probolsky	Vice President (arrived at 6:06 p.m.)

Also present and participating were:

STAFF MEMBERS, LEGAL COUNSEL, AND MEMBERS OF THE PUBLIC

Joone Lopez	General Manager
Matt Collings	Assistant General Manager
Marc Serna	Director of Engineering & Operations
Gina Hillary	Director of Human Resources
Drew Atwater	Director of Planning
Jeff Ferre	Best, Best, & Krieger (General Counsel)
Paige Gulck	Board Secretary
Tim Bonita	Recording Secretary
Trevor Agrelius	MNWD
Johnathan Cruz	MNWD
Medha Patel	MNWD
Rod Woods	MNWD
Michael Bell	Michael Bell Consulting, Inc.
Roger Faubel	Faubel Public Affairs
Karen Langer	Member of the Public

#4.

Jake Vollebregt

Best, Best, & Krieger

1. **CALL MEETING TO ORDER:**

The meeting was called to order by Donald Froelich at 6:00 p.m.

2. **PLEDGE OF ALLEGIANCE:**

3. **PUBLIC COMMENTS:**

None.

LEGAL MATTERS:

4. **2016 REPORT ON WATER QUALITY RELATIVE TO PUBLIC HEALTH GOALS – PUBLIC HEARING AND ADOPTION OF REPORT**

It is recommended that the Board of Directors conduct a public hearing to receive public testimony regarding the proposed adoption of the 2016 Public Health Goals Report. Upon completion of the public hearing, it is recommended that the Board of Directors take action to approve the 2016 Report On Water Quality Relative To Public Health Goals as required under the Health And Safety Code.

Donald Froelich opened the public hearing. Upon hearing no public comments, the hearing was closed.

MOTION DULY MADE BY SCOTT COLTON AND SECONDED BY DUANE CAVE, ITEM 4 WAS APPROVED AS PRESENTED. THE VOTE WAS UNANIMOUS WITH DIRECTORS DUANE CAVE, SCOTT COLTON, RICHARD FIORE, DONALD FROELICH, AND LARRY LIZOTTE ALL VOTING 'AYE'. DIRECTOR BRIAN PROBOLSKY WAS ABSENT.

CONSENT CALENDAR ITEMS:(Items on the Consent Calendar have been discussed at the regularly scheduled Engineering/Operations and Finance/IT Board meetings)

5. **MINUTES OF THE JULY 18, 2016 ENGINEERING AND OPERATIONS BOARD OF DIRECTORS' MEETING**

6. **MINUTES OF THE FEBRUARY 16, 2016 SPECIAL BOARD OF DIRECTORS' MEETING**

7. **MINUTES OF THE JULY 21, 2016 REGULAR BOARD OF DIRECTORS' MEETING**

8. RESERVOIR MANAGEMENT SYSTEMS REPLACEMENT PROFESSIONAL SERVICES AGREEMENT FOR FISCAL YEAR 2016-17

It is recommended that the Board of Directors approve the Professional Services Agreement for engineering services with Lee & RO, Inc. in the amount of \$199,663; authorize the General Manager to execute the agreement; and authorize the General Manager to or designee to approve amendments up to 10% of the contract value.

9. VALVE CREW - CAPITAL EQUIPMENT PURCHASES

It is recommended that the Board of Directors approve the purchases of a new 2017 Hydro-Excavator from Haaker Equipment Company for \$429,751 based on National Joint Powers Alliance (NJPA) pricing, purchase of a new 2016 Caterpillar 420F Backhoe Loader for \$132,742 based on NJPA pricing and a 2017 Peterbilt dump truck for \$153,744 that went out for competitive bid.

10. INSERTION VALVE EQUIPMENT PURCHASES FOR FISCAL YEAR 2016-17

It is recommended that the Board of Directors authorize the purchase of new Hydra-Stop Insertion valve equipment for an amount not-to-exceed \$186,592 for Fiscal Year 2016-17.

11. FUEL AGREEMENT EXTENSION FOR FISCAL YEAR 2016-17

It is recommended that the Board of Directors authorize the General Manager to execute Amendment No.1 to the Agreement with Nickey Petroleum Co. Inc., for an amount not-to-exceed \$280,000 for Fiscal Year 2016-17.

12. CITY OF LAGUNA NIGUEL CROWN VALLEY COMMUNITY PARK TIER II IMPROVEMENTS - MNWD PIPELINE RELOCATIONS

It is recommended that the Board of Directors authorize the General Manager to execute the Agreement with the City of Laguna Niguel for financial reimbursement of the facility relocations and recycled water site conversions, subject to non-substantive changes made by legal counsel, and authorize the reimbursement for an amount not-to-exceed \$325,000.

13. CITY OF LAGUNA NIGUEL TURF REMOVAL REBATE APPLICATION

It is recommended that the Board of Directors consider the rebate application for the identified project without a limitation on the maximum allowable acreage for the project and direct staff accordingly.

Items 14, 15 and 16 were all pulled from the consent calendar.

MOTION DULY MADE BY LARRY LIZOTTE AND SECONDED BY DUANE CAVE,

CONSENT ITEMS 5 THROUGH 13 WERE APPROVED AS PRESENTED. THE VOTE WAS UNANIMOUS WITH DIRECTORS DUANE CAVE, SCOTT COLTON, RICHARD FIORE, DONALD FROELICH, AND LARRY LIZOTTE ALL VOTING 'AYE'. DIRECTOR BRIAN PROBOLSKY WAS ABSENT.

14. WATER EFFICIENCY (FUND 6) BUDGET AMENDMENT (RESOLUTION 16-)

It is recommended that the Board of Directors' approve the resolution entitled, "Approving a Budget Amendment in Order to Fund additional Water Efficiency Programs for Fiscal Year 2016-17

This item will be brought back at a future meeting.

15. AMENDMENT NO. 2 TO THE CONSULTING SERVICES AGREEMENT - WARE MALCOMB

It is recommended that the Board of Directors approve Amendment No. 2 to the Consulting Services Agreement with Mare Malcomb for an amount not-to-exceed \$16,800 for a total contract amount of \$140,800; authorize the General Manager to approve change orders up to 10% of the total contract value; and authorize the General Manager to execute Amendment No. 2.

This item was pulled by staff from the consent calendar, to revise the recommendation.

Revised recommendation: It is recommended that the Board of Directors approve the Amendment No. 2, or the applicable amended and restated agreement, for a Consulting Services Agreement with Ware Malcomb for an amount not-to-exceed \$16,800 for a total contract amount of \$140,800; authorize the General Manager to approve change orders up to 10% of the total contract value; and authorize the General Manager to execute Amendment No 2., or the applicable amended and restated agreement.

MOTION DULY MADE BY LARRY LIZOTTE AND SECONDED BY SCOTT COLTON, ITEM 15 WAS APPROVED AS AMENDED. THE VOTE WAS UNANIMOUS WITH DIRECTORS DUANE CAVE, SCOTT COLTON, RICHARD FIORE, DONALD FROELICH, AND LARRY LIZOTTE, ALL VOTING 'AYE'. DIRECTOR BRIAN PROBOLSKY WAS ABSENT.

16. COPIER LEASING AND PRINTING SERVICES

It is recommended that The Board of Directors authorize the General Manager to execute the three-year Lease Agreement (the "Lease") in the amount of \$100,692 for copier leasing and a three-year Service and Maintenance Agreement for printer and copier services in the amount of \$60,000 with Kyocera Document Solutions America, Inc. ("Kyocera").

Brian Probolsky arrived at 6:06 p.m. Matt Collings provided an update on previously

discussed edits that were incorporated into the agreement.

MOTION DULY MADE BY DUANE CAVE AND SECONDED BY BRIAN PROBOLSKY, ITEM 16 WAS APPROVED AS PRESENTED. THE VOTE WAS UNANIMOUS WITH DIRECTORS DUANE CAVE, SCOTT COLTON, RICHARD FIORE, DONALD FROELICH, LARRY LIZOTTE, AND BRIAN PROBOLSKY ALL VOTING 'AYE'.

GENERAL MANAGER MATTERS:

Joone Lopez provided an update on the long term efficiency framework that is currently being developed by the State Water Resources Control Board and the Department of Water Resources. An Urban Advisory Group consisting of select agencies statewide has been developed and invited to participate and provide feedback. Joone Lopez provided information on upcoming events including the Stanford Water Data Summit, the District's Public Safety Appreciation Barbecue and the Joint South Orange County Agencies Meeting.

ENGINEERING & OPERATIONS MATTERS:

17. San Juan Basin Authority Update

Matt Collings presented the San Juan Basin Authority update. Key topics presented included an overview of the San Juan Watershed Project, the goals and benefits of the project, the phased approach of the project and next steps for the project.

PRESIDENT'S REPORT:

No report.

BOARD REPORTS:

Richard Fiore stated that he attended the opening of the La Pata Gap connection and the City of Laguna Niguel day at the Orange County Fair. Richard Fiore also stated that the City of Mission Viejo recognized Robert Breton for his many years of community service.

CLOSED SESSION:

18. CONFERENCE WITH LEGAL COUNSEL - ANTICIPATED LITIGATION

Significant exposure to litigation and initiation of litigation pursuant to paragraphs (2) and (4) of subdivision (d) of Government Code Section 54956.9

One potential case

The Board entered closed session at 7:37 p.m. and exited at 8:48 p.m. Jeff Ferre stated

#4.

that there was no reportable action.

FUTURE AGENDA ITEMS (Any items added under this section are for discussion at future meetings only.):

None.

LATE ITEMS: (Appropriate Findings to be Made)

Staff has none.

ADJOURNMENT:

The meeting was adjourned at 8:49 p.m.

Respectfully submitted,

Tim Bonita
Recording Secretary

DRAFT

RESOLUTION 16-___

**RESOLUTION OF THE BOARD OF DIRECTORS OF
MOULTON NIGUEL WATER DISTRICT
ESTABLISHING A RECORDS RETENTION SCHEDULE
AND SUPERSEDING ALL PREVIOUS POLICIES**

WHEREAS, the maintenance of numerous records is expensive, slows document retrieval, and is not necessary after a certain period of time for the effective and efficient operation of the government of the Moulton Niguel Water District; and

WHEREAS, Section 60200 of the Government Code of the State of California provides that the legislative body of a special district may authorize at any time the destruction or disposition of any duplicate record, paper, or document, the original or a permanent photographic record of which is in the files of any officer or department of the district; and

WHEREAS, Section 60201 of the Government Code of the State of California is amended effective January 1, 2005 to provide that district records which have served their purpose, which are not expressly required by law to be filed and persevered, and which will not adversely affect any interest of the district or public may be destroyed; and

WHEREAS, The Board of Directors previously adopted Resolution 07-06 establishing a records retention schedule; and

WHEREAS, the General Manager has developed policies and procedures relating to records management, including the requirement of the approval of a list of the types of records destroyed or disposed of that reasonably identifies the information contained in the records in each category;

NOW, THEREFORE, the Board of Directors of Moulton Niguel Water District does hereby **RESOLVE, DETERMINE**, and **ORDER** as follows:

Section 1. Repeal of Previous Resolutions.

Resolution 07-06 establishing records retention schedules and designating responsibilities are hereby repealed and superseded in their entirety;

Section 2. Destruction of Records in Compliance Exhibit A will not Adversely Affect Any Interest of the District.

The Board of Directors finds that the destruction or disposition of the records series that have exceeded the retention periods as set forth in the Records Retention Schedule Exhibit A will not adversely affect any interest of the District or the public.

Section 3. Authorization to Destroy Records in Compliance with Exhibit A.

The records of the Moulton Niguel Water District, as set forth in the Records Retention Schedule Exhibit A, attached hereto and incorporated herein by this reference, are hereby authorized to be

#8.

destroyed as provided by Section 60201 et seq. of the Government Code of the State of California and in accordance with the provision of said schedule in accordance with District policies and procedures, without further action by the Board of Directors of the Moulton Niguel Water District.

Section 4. Authorization for Future Updates to Exhibit A.

With the consent of the District Counsel and General Manager, minor updates are hereby authorized to be made to the Records Retention Schedule without further action by the Board of Directors. Minor updates include changes in Department or Division names, improvements in descriptions, changes in comments, deleting records series that are no longer applicable, and/or what is scanned. Changes in the Total Retention and/or adding new records series must be presented to the Board of Directors of the Moulton Niguel Water District.

Section 5. Definition of Records.

The term “records” as used herein shall include documents, instructions, books, microforms, electronic files, magnetic tape, optical media, or papers; as defined by the California Public Records Act.

ADOPTED, SIGNED and APPROVED this 15th day of September, 2016.

MOULTON NIGUEL WATER DISTRICT

President/Vice President
MOULTON NIGUEL WATER DISTRICT
and of the Board of Directors thereof

Secretary/Assistant Secretary
MOULTON NIGUEL WATER DISTRICT
and of the Board of Directors thereof

POLICY A-1: RETAINING DISTRICT RECORDS

This policy includes all employees and consultants employed by the District who create, use, or store paper or electronic records of the Moulton Niguel Water District.

1. Definitions

The terms “record” and “records” used in this policy shall have the same meaning as the terms “public records,” “records,” and “writing” used in the California Secretary of State Local Government Records Management Guidelines (“Secretary of State Guidelines”) and the California Public Records Act (“PRA”). Those terms are defined as follows:

From the Secretary of State Guidelines:

“**Public Records** – Any 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.”

“**Records** – All papers, maps, exhibits, magnetic or paper tapes, photographic films and prints, punched cards, and other documents produced, received, owned or used by an agency, regardless of physical form or characteristics.”

From the PRA - Government Code section 6252, subdivisions (e) and (g):

“(e) ‘Public records’ includes 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. ...”

“(g) ‘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 combinations thereof, and any record thereby created, regardless of the manner in which the record has been stored.”

2. Authorization

State Law authorizes special districts to develop and maintain a document management program, including management of electronic records. (Government Code §§ 60200 - 60203.)

3. General Manager Establishes Procedures to Implement Policy

The General Manager has authorization to establish procedures that will help in implementing the policy. The General Manager may also delegate authority to staff to initiate and manage the policy and related procedures.

4. Board Secretary/Executive Assistant will Implement Policy

The Board Secretary/Executive Assistant is responsible for implementing the policy, training staff on the policy, monitoring records retention schedules, managing the records policies and procedures, ensuring the records inventory is maintained and keeping the policy and procedures in compliance with the Secretary of State Guidelines and all applicable Federal and State laws.

5. Division and Department Heads are Responsible for Complying with the Policy and Procedures

All Division and Department Heads shall:

- Work with the Executive Assistant/Board Secretary to carry out the policy and procedures.
- Document transactions when preserving official records or destroying obsolete records.

6. Amendments to the Records Retention Schedules Must be Approved by General Manager and General Counsel

The General Manager and General Counsel shall approve minor amendments to the Records Retention Schedules, including updates to Department or Division names, improvements in descriptions, changes in comments, deleting records series, etc. The Board of Directors must approve substantial changes to the Records Retention Schedules, including changes in Total Retention or adding new records series.

7. Process must be documented

The records retention cycle for each department is to be documented and kept with the Board Secretary/Executive Assistant.

8. General Manager and Department Head Must Give Final Approval Before Destruction of Obsolete Records; General Counsel Written Consent Required For Destruction of Video/Audio Recordings

Prior to the destruction of any official / original record that has exceeded its retention period, both the Department Head and General Manager must approve its destruction in writing. Pursuant to Government Code section 53160, the written consent of General Counsel is required

before destruction of any recordings of “routine video monitoring” that have exceeded the required retention period, including recordings from monitoring systems and building security recording systems.

9. Records Retention Schedules

The Records Retention Schedules for the District’s records are attachments to this policy and are incorporated into and made a part of this policy.

Attachments:

District-Wide Standards Records Retention Schedule

Contracts & Procurement Records Retention Schedule

Engineering Records Retention Schedule

Finance Records Retention Schedule

General Manager & Board Secretary Records Retention Schedule

Human Resources Records Retention Schedule

Information Technology Records Retention Schedule

Operations Records Retention Schedule

Public Affairs Records Retention Schedule

Safety & Risk Management Records Retention Schedule

Water District Records Retention Schedule

ATTACHMENTS

RECORDS RETENTION SCHEDULES

[See Following Pages]

DRAFT

HOW TO USE RETENTION SCHEDULES

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A legend explaining the information presented in the retention schedule has been printed on the back of each page for your easy reference; an index to locate records is also provided.

The specified retention period applies regardless of the media of the record: If a record is stored on paper and a computer file on a hard drive, both records should be destroyed (or erased) after the specified period of time has elapsed.

Copies or duplicates of records should never be retained longer than the prescribed period for the original record.

STRUCTURE: DISTRICTWIDE, DEPARTMENTS & DIVISIONS

The District-wide retention schedule includes those records all departments have in common (letters, memorandums, purchase orders, etc.). These records are NOT repeated in the Department retention schedule, unless that department is the Office of Record, and therefore responsible for maintaining the original record for the prescribed length of time.

Each department has a separate retention schedule that describes the records that are unique to its department, or for which it is the Office of Record. Where appropriate, the department retention schedules are organized by Division within that Department. If a record is not listed in your department retention schedule, refer to the District-wide retention schedule. An index will be provided for your reference.

BENEFITS

This retention schedule will provide the District with the following benefits:

- Reduce administrative expenses, expedite procedures
- Free filing cabinet and office space
- Reduce the cost of records storage
- Eliminate duplication of effort within the District
- Easier purging of file folders
- Determine what media should be used to store records

For questions, please contact the District Secretary.

Authorization to Destroy Records:

All original records that have exceeded their retention period must be authorized for destruction according to District Policies & Procedures prior to destroying them.

Copies, drafts, notes and non-records do NOT require authorization, and can be destroyed "When No Longer Required."

- If there is a **minimum** retention (" **Minimum 2 years**"), it must be authorized for destruction before it is destroyed, as it is an original record.
- If there is **NOT** a minimum retention ("When No Longer Required"), it does NOT need to be authorized for destruction prior to destruction, as it is a preliminary draft / transitory record or a copy.
- On every page of the schedules (near the top, just under the column headings) are important instructions, including instructions regarding holds on destroying records. "**Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).**"

RECORDS RETENTION SCHEDULE LEGEND

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OFR (Office of Record): The department that keeps the original or “record copy.” Usually it is the department that originates the record, unless the item is for a District Board meeting (then it is the District Secretary.)

Records Description: The record series (a group of like records).

Transitory Records: Records that are not retained in the ordinary course of business, including without limitation: Preliminary drafts, notes, or interagency or intra-agency memoranda and records having only transitory value. Examples: Telephone messages, meeting room reservation schedules, logs, source records entered into a computer system that qualify as a “trusted system”, etc.

Non-Record: Documents, studies, books and pamphlets produced by outside agencies, preliminary drafts not retained by the District in the ordinary course of business.

Retention/Disposition:
Active: How long the file remains in the immediate office area (*guideline*)
Inactive: How long the file is in off-site storage, stored on Optical Disk or Microforms (*guideline*)
Total Retention: The total number of years the record will be retained active and inactive

For file folders containing documents with different retention timeframes, use the document with the longest retention time.

P = Permanent

Indefinite = No fixed or specified retention period; used for databases, because the data fields are interrelated.

Vital? = Those records that are needed for basic operations in the event of a disaster.

Media Options (*guideline*) – the form of the record:
Mag = Computer Magnetic Media (hard drives, tapes, USB Drives, thumb drives, etc.)
Mfr = Microforms (aperture cards, microfilm, microfiche, or jackets)
Ppr = Paper
OD = Optical Disk, CD-r, DVD-r, WORM, or other media which does not allow changes

Scan / Import (*guideline*):
“S” indicates the record should be scanned into the document imaging system;
“I” indicates the record should be electronically imported into the document imaging system;
“M” indicates the record should be microfilmed

Destroy Paper after Imaged & QCd (*guideline, if record is imaged*): QCd=Quality Checked. “Yes” indicates the paper version may be destroyed if the document has been imaged (microfilmed, scanned or imported onto Optical Disk – CD-R, WORM or DVD-R), and both the images and indexing have been QCd.

Legend for legal citations (§: Section)
CC: Civil Code (CA)
CFC: California Fire Code
EVC: Evidence Code (CA)
FTB: Franchise Tax Board (CA)
HUD: Housing & Urban Develop. (US)
PC: Penal Code (CA)
USC: United States Code (US)
WC: Water Code

B&P: Business & Professions Code (CA)
CCP: Code of Civil Procedure (CA)
CFR: Code of Federal Regulations (US)
FA: Food & Agriculture Code (CA)
GC: Government Code (CA)
LC: Labor Code (CA)
R&T: Revenue & Taxation Code (CA)
VC: Vehicle Code (CA)

CBC: California Building Code
CCR: California Code of Regulations (CA)
EC: Elections Code (CA)
FC: Family Code (CA)
H&S: Health & Safety Code (CA)
Ops. Cal. Atty. Gen.: Attorney General Opinions (CA)
UFC: Uniform Fire Code
W&I: Welfare & Institutions Code (CA)

RECORDS RETENTION SCHEDULE: DISTRICT-WIDE STANDARDS

Office of Record	Retention No.	Records Description	Retention / Disposition						Comments / Reference	
			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=Import M=Mfr S=Scan		Destroy Paper after Imaged & QC'd?
(OFR)										
<i>Retentions apply to the department that is NOT the Office of Record (OFR) or the "Lead Department". If you are the OFR, refer to your department retention schedule.</i>										
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>										
<i>Litigation, complaints, claims, public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>										
Risk Manage.	DW-001	Accident or Damage Reports	Copies - When No Longer Required		Copies - When No Longer Required	Yes: Until Settled	Mag, Ppr			GC §60200
Finance / Accounts Payable	DW-002	Accounts Payable (Invoices, Travel Expense Reimbursements, etc.)	Copies - When No Longer Required		Copies - When No Longer Required	Yes: Until Paid	Mag, Ppr			Also see Grants. copies; GC §60200
Legal & Board Services	DW-003	Agendas, Agenda Packets & Action Summaries (Board of Directors)	Copies - When No Longer Required		Copies - When No Longer Required	Yes	Mag, Ppr			District Secretary maintains originals; GC §60200
Engineering	DW-004	Agreements & Contracts - ALL	Copies - When No Longer Required		Copies - When No Longer Required	Yes	Mag, Mfr, OD, Ppr	S / I	No	Engineering maintains originals; GC §60200
Lead Department	DW-005	Agreements & Contracts - ALL: ADMINISTRATIVE RECORDS (Correspondence, project schedules, copies of invoices, backup, insurance certificates etc.) Also see grant retention, if applicable.C18	Completion + 10 years		Completion + 10 years		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	Also see Grants. Covers E&O Statute of Limitations (insurance certificates are filed with agreement); Published Audit Standards=4-7 years; Statute of Limitations: Contracts & Spec's=4 years, Wrongful Death=comp. + 5 years, Developers must retain their records for completion + 10 years; CCP §§336(a), 337 et. seq., GC §60201

RECORDS RETENTION SCHEDULE: DISTRICT-WIDE STANDARDS

Office of Record	Retention No.	Records Description	Retention / Disposition						Comments / Reference	
			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=Import M=Mfr S=Scan		Destroy Paper after Imaged & QC'd?
(OFR)										
<i>Retentions apply to the department that is NOT the Office of Record (OFR) or the "Lead Department". If you are the OFR, refer to your department retention schedule.</i>										
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>										
<i>Litigation, complaints, claims, public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>										
Lead Department	DW-006	Agreements & Contracts: Unsuccessful bids	Bid Opening + 2 years		Bid Opening + 2 years			Mag, Ppr		Special Districts are required to keep public works unaccepted bids for 2 years; GC §60201(d)(11)
	DW-007	Association Records (external associations - e.g., ACWA, etc.)	When No Longer Required		When No Longer Required			Mag, Ppr		Non-records; GC §60201 et seq.
	DW-008	Bids: See Agreements						Mag, Ppr		
	DW-009	Brochures: See Reference Materials						Mag, Ppr		
Finance	DW-010	Travel Authorizations / Travel Reimbursements (Accounts Payable)	Copies - When No Longer Required		Copies - When No Longer Required			Mag, Ppr		GC §60200
Finance	DW-011	Budgets - Finals, Drafts, Reports, Worksheets	Copies - When No Longer Required		Copies - When No Longer Required	Yes: Current Fiscal Year		Mag, Ppr		GC §§60200, 53901
Risk Manage.	DW-012	Claims / Litigation	Copies - When No Longer Required		Copies - When No Longer Required	Yes: Before Settlement		Mag, Ppr		GC §§60200, 60201 et seq.
Lead Dept.	DW-013	Clippings / Newspaper Clippings	When No Longer Required		When No Longer Required			Mag, Ppr		Non-records; GC §60201 et seq.
Lead Dept.	DW-014	Committees or Task Forces: Internal (e.g. Records Management Committee, etc.)	When No Longer Required		When No Longer Required			Mag, Ppr		GC §60201

RECORDS RETENTION SCHEDULE: DISTRICT-WIDE STANDARDS

Office of Record	Retention No.	Records Description	Retention / Disposition						Comments / Reference	
			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=Import M=Mfr S=Scan		Destroy Paper after Imaged & QC'd?
(OFR)										
<i>Retentions apply to the department that is NOT the Office of Record (OFR) or the "Lead Department". If you are the OFR, refer to your department retention schedule.</i>										
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>										
<i>Litigation, complaints, claims, public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>										
Lead Dept.	DW-015	Committees, Task Forces, Associations, Commissions, & Boards: External Organizations (e.g. Association of California Water Agencies, etc.)	When No Longer Required		When No Longer Required			Mag, Ppr		Non-records
	DW-016	Contracts: See Agreements						Mag, Ppr		
-17-	DW-017	Copies or duplicates of any record	Copies - When No Longer Required		Copies - When No Longer Required			Mag, Ppr		GC §60200
Lead Dept.	DW-018	Correspondence - Regulatory Agencies	When No Longer Required - Minimum 10 years		When No Longer Required - Minimum 10 years	Yes: While Active Issues		Mag, Ppr		District preference; some correspondence from Regulatory Agencies need to be retained for long periods of time; GC §60201
Dept. that Authors Document or Receives the District's Original Document	DW-019	Correspondence - Routine (e.g. Administrative, Chronological, Communications, General Files, Letters, Memorandums, Miscellaneous Reports, Reading Files, Working Files, etc. Does NOT include Regulatory Agency Correspondence)	When No Longer Required - Minimum 2 years		When No Longer Required - Minimum 2 years			Mag, Ppr		Department preference; GC §60201

RECORDS RETENTION SCHEDULE: DISTRICT-WIDE STANDARDS

Office of Record	Retention No.	Records Description	Retention / Disposition						Comments / Reference	
			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=Import M=Mfr S=Scan		Destroy Paper after Imaged & QC'd?
(OFR)										
<i>Retentions apply to the department that is NOT the Office of Record (OFR) or the "Lead Department". If you are the OFR, refer to your department retention schedule.</i>										
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>										
<i>Litigation, complaints, claims, public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>										
Dept. that Authors Document or receives District's Original Document	DW-020	Correspondence - TRANSITORY / PRELIMINARY DRAFTS , Interagency and Intraagency Memoranda not retained in the ordinary course of business (e.g. calendars, checklists, e-mail or social media posting NOT made or retained for the purpose of preserving the informational content for future reference , invitations, instant messaging, logs, mailing lists, meeting room registrations, supply inventories, telephone messages, transmittal letters, thank yous, requests from other cities, undeliverable envelopes, visitors logs, voice mails, webpages, etc.)	When No Longer Required		When No Longer Required			Mag, Ppr		Electronic and paper records are filed and retained based upon their content. E-mails, electronic records, or social media postings that ARE made or retained for the purpose of preserving the informational content for future reference are saved by printing them out and placing them in a file folder, or saving them electronically. If not mentioned here, consult the Attorney to determine if a record is considered transitory / preliminary draft. GC §§60201, 6252, 6254(a); 64 Ops. Cal. Atty. Gen. 317 (1981))
Lead Dept.	DW-021	Drafts & Notes: Drafts that are revised (retain final version)	When No Longer Required		When No Longer Required			Mag, Ppr		As long as the drafts and notes are not retained in the "Regular Course of Business". GC §60201, GC §6254

RECORDS RETENTION SCHEDULE: DISTRICT-WIDE STANDARDS

Office of Record	Retention No.	Records Description	Retention / Disposition						Comments / Reference
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<i>Retentions apply to the department that is NOT the Office of Record (OFR) or the "Lead Department". If you are the OFR, refer to your department retention schedule.</i>									
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>									
<i>Litigation, complaints, claims, public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>									
Lead Dept.	DW-022	Grants (SUCCESSFUL) - all records, including FEMA claims)	2 years	After Funding Agency Audit, if Required - Minimum 5 years	After Funding Agency Audit, if required - Minimum 5 years		Mag, Ppr		District Preference (may include records pertaining to independent contractor's compensation, or expense reimbursement); Meets auditing standards; Uniform Admin. Requirements for Grants to Local Governments is 3 years from expenditure report or final payment of grantee or subgrantee; 2 CFR 200.33; 7 CFR 3016.42; 221 CFR 1403.36 & 1403.42(b); 24 CFR 85.42, 91.105(h), 92.505, 570.490, & 570.502(a&b), 28 CFR 66.42; 29 CFR 97.42; 40 CFR 31.42; 44 CFR 13.42; 45 CFR 92.42; OMB Circular A-110 & A-133; GC §34090
Lead Dept.	DW-023	Grants: UNSUCCESSFUL (Applications, Correspondence, etc.)	2 years		2 years		Mag, Ppr		Department Preference; GC §60201
	DW-024	Invoices - see Accounts Payable					Mag, Ppr		
Lead Dept.	DW-025	Index to Inactive Records / Records Stored in Records Center / Inventory of Records in Records Center	Indefinite		Indefinite		Mag, Ppr		Department Preference; GC §60201
Lead Dept.	DW-026	JD Edwards Database / ERP Database	Indefinite		Indefinite		Mag		Data is interrelated; system qualifies as a "trusted system"; GC §§60201, 12168.7

RECORDS RETENTION SCHEDULE: DISTRICT-WIDE STANDARDS

Office of Record	Retention No.	Records Description	Retention / Disposition						Comments / Reference	
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<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>										
<i>Litigation, complaints, claims, public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>										
Lead Dept.	DW-027	Lawsuits / Litigation	Final Resolution	5 years	Final Resolution + 5 years	Yes: Until Resolution	Mag, Ppr			Department Preference; Covers various statute of limitations; CCP §§ 337 et seq.; GC §§ 911.2, 945.6, 60201(d)(4)
GM & Board Services	DW-028	Ordinances	Copies - When No Longer Required		Copies - When No Longer Required	Yes	Mag, Ppr			GC §60201
-20- Human Resources	DW-029	Personnel Files - Department-level Copies	Send to Human Resources Upon Separation		Send to Human Resources Upon Separation	Before Separation	Mag, Ppr			Ensure records kept in Department files comply with District policy; Originals are maintained by Personnel. Supervisors notes should be maintained in a separate folder and be incorporated in the employee's annual performance review; 29 CFR 1602.31 & 1627.3(b)(ii), 8 CCR §3204(d)(1) et seq., GC §§12946, 60201
Human Resources	DW-030	Personnel Files - Department-level Supervisor's Notes	When No Longer Required		When No Longer Required	Before Separation	Mag, Ppr			Preliminary Drafts; Supervisors notes should maintained in a separate folder and be incorporated in the employee's annual performance review; 29 CFR 1602.31 & 1627.3(b)(ii), 8 CCR §3204(d)(1) et seq., GC §§12946, 60201

RECORDS RETENTION SCHEDULE: DISTRICT-WIDE STANDARDS

Office of Record	Retention No.	Records Description	Retention / Disposition						Comments / Reference	
			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=Import M=Mfr S=Scan		Destroy Paper after Imaged & QC'd?
(OFR)										
<i>Retentions apply to the department that is NOT the Office of Record (OFR) or the "Lead Department". If you are the OFR, refer to your department retention schedule.</i>										
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>										
<i>Litigation, complaints, claims, public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>										
Finance / Cash Manage.	DW-031	Petty Cash	Copies - When No Longer Required		Copies - When No Longer Required	Yes: Until Paid	Mag, Ppr			Also see Grants. copies; GC §60200
Lead Dept.	DW-032	Photographs	When No Longer Required		When No Longer Required		Mag, Ppr			GC §60201
	DW-033	Policies & Procedures - See Reference Manuals					Mag, Ppr			
Lead Dept.	DW-034	Public Records Act Requests	2 years		2 years		Mag, Ppr			GC §60201(d)(5)
Lead Dept.	DW-035	Quotes	2 years	3 years	5 years	Yes: Until Paid	Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	Scanned to JD Edwards; Some grant funding agencies require audits; Statute of Limitations: Contracts & Spec's=4 years; CCP §337 et. seq., GC §60201
Admin. / Records Manage.	DW-036	Records Destruction Lists	Copies - When No Longer Required		Copies - When No Longer Required		Mag, Ppr			Copies; GC §60200
Authoring Dept.	DW-037	Reference Materials: Policies, Procedures, Brochures, Manuals, Newsletters, & Reports: Produced by YOUR Department	When No Longer Required - Minimum of Superseded + 2 years		When No Longer Required - Minimum of Superseded + 2 years		Mag, Ppr			Documents of historical significance should be retained longer; GC §60201
Lead Dept.	DW-038	Reference Materials: Policies, Procedures, Brochures, Manuals, Newsletters, & Reports: Produced by OTHER Departments	When No Longer Required		When No Longer Required		Mag, Ppr			Copies; GC §60200

RECORDS RETENTION SCHEDULE: DISTRICT-WIDE STANDARDS

Office of Record	Retention No.	Records Description	Retention / Disposition						Comments / Reference	
			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=Import M=Mfr S=Scan		Destroy Paper after Imaged & QC'd?
(OFR)										
<i>Retentions apply to the department that is NOT the Office of Record (OFR) or the "Lead Department". If you are the OFR, refer to your department retention schedule.</i>										
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>										
<i>Litigation, complaints, claims, public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>										
Lead Dept.	DW-039	Reference Materials: Policies, Procedures, Brochures, Manuals, Newsletters, & Reports: Produced by OUTSIDE ORGANIZATIONS	When No Longer Required		When No Longer Required			Mag, Ppr		Non-Records
Lead Dept.	DW-040	Reports and Studies - White Papers, Issue Papers, Position Papers, Scientific Studies (other than Annual Reports)	Minimum 2 years		Minimum 2 years			Mag, Ppr		GC §60201
Police & Board Services	DW-041	Resolutions	Copies - When No Longer Required		Copies - When No Longer Required	2 years	Yes, depending upon subject	Mag, Ppr		copies; GC §60200
Lead Dept.	DW-042	Subpoenas	2 years		2 years			Mag, Ppr		GC §60201(d)(5)
Lead Dept.	DW-043	Surveys / Questionnaires (that the District issues). If a summary of the data is compiled, the survey forms are considered a draft or transitory record, and can be destroyed when no longer required.	2 years		2 years			Mag, Ppr		GC §§60200, 60201
Finance / Payroll	DW-044	Time Sheets	Copies - When No Longer Required		Copies - When No Longer Required			Mag, Ppr		GC §60201

RECORDS RETENTION SCHEDULE: DISTRICT-WIDE STANDARDS

Office of Record	Retention No.	Records Description	Retention / Disposition						Comments / Reference
			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=Import M=Mfr S=Scan	
(OFR)									
<i>Retentions apply to the department that is NOT the Office of Record (OFR) or the "Lead Department". If you are the OFR, refer to your department retention schedule.</i>									
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>									
<i>Litigation, complaints, claims, public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>									
Human Resources or Safety -23-	DW-045	Training: ALL COURSE RECORDS / SYLLABUS, AND ROSTER OF ATTENDEES Includes Safety Training & Tailgate Training Meetings (except for Information Technology / Software)	2 years	3 years	5 years		Mag, Ppr		Department preference; Ethics Training is 5 years; Statewide guidelines propose 7 years; Calif. Labor Division is required to keep their OSHA records 7 years; EEOC/FLSA/ADEA (Age) requires 3 years for promotion, demotion, transfer, selection, or discharge; State Law requires 2 - 3 years for personnel actions; 8 CCR §3203 et seq., 29 CFR 1602.31; LC §6429(c); GC §§12946, 60201, 53235.2(b)
Lead Dept.	DW-046	Visitor Logs / Registers	2 years		2 years		Mag, Ppr		Department preference; GC §60201 et. seq.

RECORDS RETENTION SCHEDULE: CONTRACTS & PROCUREMENT

Office of Record	Retention No.	Records Description	Retention / Disposition						Comments / Reference	
			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=Import M=Mfr S=Scan		Destroy Paper after Imaged & QC'd?
(OFR)										
<i>If the record is not listed here, refer to the Retention for District-Wide Standards.</i>										
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>										
<i>Litigation, complaints, claims, public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>										
Contracts & Procure.	CONT-001	Certified Payroll (Operations Projects)	2 years	9 years	11 years		Mag, Ppr			Covers Audit requirements; CCP §337 et. seq., GC §60201
Contracts & Procure.	CONT-002	Insurance Certificates	2 years	9 years	11 years		Mag, Ppr			Covers Statute of Limitations for Erros & Ommissions; CCP §337 et. seq., GC §60201
Contracts & Procure. -24-	CONT-003	Purchase Orders After 2012 (JD Edwards)	W	3 years	5 years	Yes: Until Paid	Mag, Mfr, OD, Ppr	S / I	Yes: After QC	Some grant funding agencies require audits; Statute of Limitations for Errors & Ommissions doesn't apply; Published Audit Standards=4-7 years; Statute of Limitations: Contracts & Spec's=4 years, Wrongful Death=comp. + 5 years, Statewide guidelines propose termination + 5 years; CCP §337 et. seq., GC §60201
	CONT-004	Vendor Agreements / Master Contracts / Purchasing Contracts (Where Purchasing is the Lead) (Engineering retains all contracts in their files) (includes insurance certificates and Amendments / Revisions)	2 years	Completion + 10 years	Completion + 10 years	Yes: Before Completion	Mag, Mfr, OD, Ppr	S / I	Yes: After QC	Department Preference; Covers E&O Statute of Limitations; Published Audit Standards=4-7 years; Statute of Limitations: Contracts & Spec's=4 years, Wrongful Death=comp. + 5 years, Developers=comp. + 10 years; Statewide guidelines propose termination + 5 years; CCP §§336(a), 337 et. seq., GC §60201 et seq.

RECORDS RETENTION SCHEDULE: CONTRACTS & PROCUREMENT

Office of Record	Retention No.	Records Description	Retention / Disposition						Comments / Reference
			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=Import M=Mfr S=Scan	
(OFR)									
<i>If the record is not listed here, refer to the Retention for District-Wide Standards.</i>									
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>									
<i>Litigation, complaints, claims, public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>									
Contracts & Procure.	CONT-005	W-9's	2 years	3 years	5 years			Mag, Ppr	District Preference; Related to independent contractor's compensation; IRS: 4 yrs after tax is due or paid; Ca. FTB: 3 years; Articles show 7 years; IRS Reg §31.6001-1(e)(2), R&T §19530; 29CFR 516.5 - 516.6, 29USC 436, GC §60201(d)(12)

RECORDS RETENTION SCHEDULE: ENGINEERING

Office of Record	Retention No.	Records Description	Retention / Disposition							Comments / Reference	
			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=Import M=Mfr S=Scan	Destroy Paper after Imaged & QC & OD?		
(OFR)											
<i>If the record is not listed here, refer to the Retention for District-Wide Standards.</i>											
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>											
<i>Litigation, complaints, claims, public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>											
GENERAL ENGINEERING											
Engineering	ENG-001	Acquisitions / Sale, Real Property	Until Recorded	P	P			Mag, Mfr, OD, Ppr	S/I	Yes: After QC & OD	Department Preference; GC §60201
Engineering	ENG-002	Aerials	2 years	P	P			Mag, Mfr, OD, Ppr	S/I	Yes: After QC & OD	Department Preference; GC §60201
Engineering	ENG-003	Agreements & Contracts - ALL	2 years	P	P	Yes: Before Superseded		Mag, Mfr, OD, Ppr	S / I	No	Department Preference; CCP §337 et seq.; GC §60201
-26- Engineering	ENG-004	CEQA / NEPA Documents: Prepared by others for NON-District Projects (District comments) (Environmental Impact Reports (EIRs), Environmental Assessments, Negative Declarations, etc)	When No Longer Required		When No Longer Required			Mag, Ppr			Non-records; GC §60200
Engineering	ENG-005	CEQA / NEPA Documents: Prepared for District Purposes (Environmental Impact Reports (EIRs), Environmental Assessments, Negative Declarations, etc)	2 years	P	P	Yes: Until Project Completed		Mag, Mfr, OD, Ppr	S / I	No	Usually filed in Project File; GC §60201
Engineering	ENG-006	Correspondence with Regulatory Agencies	When No Longer Required - Minimum 10 years		When No Longer Required - Minimum 10 years	Yes: While Active Issues		Mag, Mfr, OD, Ppr	S	Yes: After QC & OD	District preference; some correspondence from Regulatory Agencies need to be retained for long periods of time; GC §60201

RECORDS RETENTION SCHEDULE: ENGINEERING

Office of Record	Retention No.	Records Description	Retention / Disposition							Comments / Reference
			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=Import M=Mfr S=Scan	Destroy Paper after Imaged & QC & OD?	
(OFR)										
<i>If the record is not listed here, refer to the Retention for District-Wide Standards.</i>										
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>										
<i>Litigation, complaints, claims, public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>										
Engineering	ENG-007	Corrosion Control / Cathodic Protection	2 years	P	P	Yes: Before Superseded	Mag, Mfr, OD, Ppr	S / I	No	Department Preference; GC §60201
Engineering	ENG-008	Geographic Information System (GIS)	Indefinite		Indefinite	Yes	Mag			Data is interrelated; GC §60200, 60201 et seq.
Engineering	ENG-009	Improvement Districts / Assessment Districts / CFDs	Upon Completion	P	P	Yes	Mag, Mfr, OD,	S	Yes: After QC & OD	GC §60201 et seq.
Engineering	ENG-010	Master Plans	2 years	P	P	Yes	Mag, Mfr, OD, Ppr	S	No	Department Preference (updated every 5 years); GC §60201 et seq.
Engineering	ENG-011	Real Estate Appraisal Reports ALL (Whether Purchased or Not)	2 years	P	P	Yes: Before Purchase	Mag, Mfr, OD, Ppr	S	Yes: After QC & OD	Department preference (not accessible to the public until close of escrow); USPAP (Uniform Standards of Professional Appraisal Practice) ethical standards require appraisers to retain records for at least 5 years, or final disposition + 2 years, if used in a judicial proceeding; GC §§60201, 6254(h)
Engineering	ENG-012	Reports & Studies (Soils Report, Water Availability,)	2 years	P	P	Yes	Mag, Mfr, OD, Ppr	S	No	Department Preference; GC §60201 et seq.

-27-

Office of Record	Retention No.	Records Description	Retention / Disposition							Comments / Reference
			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=Import M=Mfr S=Scan	Destroy Paper after Imaged & QC & OD?	
(OFR)										
<i>If the record is not listed here, refer to the Retention for District-Wide Standards.</i>										
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>										
<i>Litigation, complaints, claims, public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>										
CAPITAL IMPROVEMENT PROJECTS										
Engineering	ENG-013	Capital Improvement Projects (CIP): Large Format Drawings Design Drawings (finals), Final Record Drawings ("As Builts")	Upon Completion	P	P	Yes: Until Completed	Mag, Mfr, OD, Ppr	S	No	For Disaster Recovery Purposes; Final environmental determinations are required to be kept a "reasonable period of time"; 14 CCR §15095(c); GC §60201 et seq.
-28- Engineering	ENG-014	Capital Improvement Projects (CIP): Permanent File Agreements / Contracts, Bid Package(Winning), Bid Summary, Bonds, Board Letters (copy), Change Orders, Consultant Proposals (Successful), Environmental, Inspection Pictures, Inspection Reports, Material Testing, Operations & Maintenance Manuals, Permits (Design, Environmental), Preliminary Design Report, Rights of Way / Easements, Soils, Geotechnical Reports, Specifications, Submittals, Surveys, CAD files, Engineer's Calculation Files	Upon Completion	P	P	Yes: Until Completed	Mag, Mfr, OD, Ppr	S/I	Yes: Complet. + 10 years	Department preference; retained for disaster preparedness purposes; Statewide guidelines propose Permanent for Infrastructure plans; GC §60201

RECORDS RETENTION SCHEDULE: ENGINEERING

Office of Record	Retention No.	Records Description	Retention / Disposition					Comments / Reference	
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(OFR)									
<i>If the record is not listed here, refer to the Retention for District-Wide Standards.</i>									
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>									
<i>Litigation, complaints, claims, public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>									
Engineering -29-	ENG-015	Capital Improvement Projects (CIP): Administration - 10 year file Project Administration, Certified Payroll, Grant Documents, Errors & Omissions, Insurance Certificates, Notifications, Progress Payments, Punch Lists, Videos Post-Construction & Pre-Construction	Completion + 3 years	7 years or After Funding Agency Audit, if required, whichever is longer	Completion + 10 years or After Funding Agency Audit, if required, whichever is longer	Yes: Until Completed	Mag, Ppr		Some grant funding agencies require audits; Statute of Limitations for Errors & Omissions is 10 years; Published Audit Standards=4-7 years; Statute of Limitations: Contracts & Spec's=4 years, Wrongful Death=comp. + 5 years, Developers=comp. + 10 years; Statewide guidelines propose termination + 5 years; CCP §337 et. seq., GC §60201
Engineering	ENG-016	Capital Improvement Projects (CIP): Administration - 3 year file Bid Bonds (returned), Correspondence (Transitory / Preliminary Drafts), Engineer's Estimates, Memoranda, NPDES, Permits (Construction & Street Opening), Preliminary Notices, Printed E-mails, Project Manager's Notes, Project Schedules, Requests for Information, Stop Notices - Claims, Transmittal Letters, Unsuccessful Proposals, USAs	Completion + 3 years			Completion + 3 years or After Funding Agency Audit, if required, whichever is longer		Mag, Ppr	Department preference; GC §60201
Operations / Admin. & Engineering	ENG-017	Encroachment Permits (Road / Street Cuts - Temporary)	Completion + 2 years		Completion + 2 years		Mag, Ppr		Department preference; GC §60201

RECORDS RETENTION SCHEDULE: ENGINEERING

Office of Record	Retention No.	Records Description	Retention / Disposition							Comments / Reference
			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=Import M=Mfr S=Scan	Destroy Paper after Imaged & QC & OD?	
(OFR)										
<i>If the record is not listed here, refer to the Retention for District-Wide Standards.</i>										
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>										
<i>Litigation, complaints, claims, public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>										
Operations / Wastewater & Engineering	ENG-018	Operating Permits (SWRQCB, etc.)	Expiration + 5 years		Expiration + 5 years			Mag, Ppr		Department Preference; GC §60201
Operations / Water Dist. & Engineering	ENG-019	Reservoir Maintenance / Tank Maintenance (includes dive and tank inspection reports, other inspection reports, etc.)	2 years	Life of Tank	Life of Tank			Mag, Mfr, OD, Ppr	S/I	Yes: After QC'd Infrastructure; GC §60201

RECORDS RETENTION SCHEDULE: ENGINEERING

Office of Record (OFR)	Retention No.	Records Description	Retention / Disposition							Comments / Reference
			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=Import M=Mfr S=Scan	Destroy Paper after Imaged & QC & OD?	
<i>If the record is not listed here, refer to the Retention for District-Wide Standards.</i>										
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>										
<i>Litigation, complaints, claims, public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>										
DEVELOPMENT SERVICES										
Engineering	ENG-020	Annexations / Boundary Changes Index, Maps, Documents	Upon Completion	P	P	Yes	Mag, Mfr, OD, Ppr	S	Yes: After QC & OD	GC §60201 et seq.
Engineering	ENG-021	Application for Water & Sewer Service	2 years	P	P	Yes	Mag, Mfr, OD,	S	Yes: After QC & OD	Department preference; GC §60201

RECORDS RETENTION SCHEDULE: ENGINEERING

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			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=Import M=Mfr S=Scan		Destroy Paper after Imaged & QC & OD?
(OFR)										
<i>If the record is not listed here, refer to the Retention for District-Wide Standards.</i>										
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>										
<i>Litigation, complaints, claims, public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>										
-32- Engineering	ENG-022	Cell Sites Amendments Applications for site modification or coming to a site Approved plans/Consent Letters Correspondence Engineering Mount Integrity report Geotechnical Reports Lease Renewal Notices Lease Transfer Notices Default Notices Letter of Authorization Non-Compliance Notices Notice Lease License Expiration Notice of Legal Address Changes Proof of City Building Permit Proof of City Zoning Approval Public Hearing Notices Certified Mail Receipts Insurance Documents License Agreements Leases Receipts Removal Notices Structural Reports	2 years	P	P		Mag, Mfr, OD, Ppr	S/I	Yes: After QC & OD	Department Preference (preliminary notices may be purged after they are cleared / proof of payment to subcontractor has been presented); GC §60201
Engineering	ENG-023	Comment Letters: No Comment, Non-Interference Letters to City or County	2 years		2 years		Mag, Ppr			Department preference; GC §60201
Engineering	ENG-024	Contributed Capital Report	2 years	P	P	Yes	Mag, Mfr, OD,	S	Yes: After QC & OD	Department preference; GC §60201

RECORDS RETENTION SCHEDULE: ENGINEERING

Office of Record (OFR)	Retention No.	Records Description	Retention / Disposition							Comments / Reference	
			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=Import M=Mfr S=Scan	Destroy Paper after Imaged & QC & OD?		
<i>If the record is not listed here, refer to the Retention for District-Wide Standards.</i>											
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>											
<i>Litigation, complaints, claims, public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>											
Engineering	ENG-025	Developer Trust Accounts / Developer Deposit Accounts	Closed + 5 years		Closed + 5 years			Mag, Ppr		Department preference (meets municipal government auditing standards); GC §60201	
Engineering	ENG-026	Easements, Encroachments, Grant Deeds, Quitclaim Deeds & Title Reports	While active	P	P			Mag, Mfr, OD, Ppr	S	Yes: After QC & OD	Department preference; GC §60201
Engineering	ENG-027	Engineering Estimates / Water Service Cost Worksheets	2 years		2 years			Mag, Ppr			Department preference; GC §60201
Engineering	ENG-028	Engineering Receipts & Fee Calculation Spreadsheets	While active	P	P						
Engineering	ENG-029	Fire Flow Test Results - Hydrants	2 years		2 years			Mag, Ppr			Department Preference; GC §60201 et seq.
Engineering	ENG-030	Funds Received Report	2 years	P	P	Yes		Mag, Mfr, OD,	S	Yes: After QC & OD	Department preference; GC §60201
Engineering	ENG-031	Improvement District Reimbursement Packages	While active	P	P			Mag, Mfr, OD, Ppr	S	Yes: After QC & OD	Department preference (Meets municipal government auditing standards); GC §60201
Engineering	ENG-032	Inspection Reports	While active	P	P			Mag, Mfr, OD,	S	Yes: After QC & OD	Department preference; GC §60201
Operations / Water Dist. & Engineering	ENG-033	Manuals: Operations & Maintenance / Project Manuals (O&M Manuals)	Life of the Building or Equipment		Life of the Building or Equipment	Yes: Until Superseded		Mag, Ppr			Department preference; Maintain copies as long as the infrastructure is in the field ; GC §60201
Engineering	ENG-034	Projects - Private Development - Permanent File Dedications, Drainage, Driveway, Easements, Encroachments, Grading Permits & Plans, Rights of Way, Soils Reports, Stormwater, etc.	Upon Completion	P	P	Yes: Until Completed		Mag, Mfr, OD, Ppr	S	Yes: After QC & OD	For disaster preparedness purposes; GC §60201 et seq.

RECORDS RETENTION SCHEDULE: ENGINEERING

Office of Record	Retention No.	Records Description	Retention / Disposition							Comments / Reference
			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=Import M=Mfr S=Scan	Destroy Paper after Imaged & QC & OD?	
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Engineering	ENG-035	Projects - Private Development Files Large Format Drawings Design Drawings (finals), Record Drawings ("As Built") of Infrastructure Maintained by the District	Upon Completion	P	P	Yes: Until Completed	Mag, Mfr, OD, Ppr	S	Yes: After QC & OD	For Disaster Recovery Purposes; GC §60201 et seq.
-34- Engineering	ENG-036	Projects - Private Development: Administration - 10 year file Addendum 1 Insurance & Bonding, Construction Inspections, Construction Bonds, Indemnity Bonds, Photos, Private Lab Verifications, Notices / Notice of Completion, Testing Lab Final Reports	Completion + 3 years	7 years or After Funding Agency Audit, if required, whichever is longer	Completion + 10 years or After Funding Agency Audit, if required, whichever is longer	Yes: Until Completed	Mag, Ppr			Some grant funding agencies require audits; Statute of Limitations for Errors & Omissions is 10 years; Published Audit Standards=4-7 years; Statute of Limitations: Contracts & Spec's=4 years, Wrongful Death=comp. + 5 years, Developers=comp. + 10 years; Statewide guidelines propose termination + 5 years; CCP §337 et. seq., GC §60201
Engineering	ENG-037	Requirements Letters	Upon Completion		Upon Completion	Yes	Mag, Mfr, OD,	S	Yes: After QC & OD	Department preference; GC §60201
Engineering	ENG-038	Tracking Sheets & Master Tracking Sheets	2 years	P	P	Yes	Mag, Mfr, OD,	S	Yes: After QC & OD	Department preference; GC §60201
Engineering	ENG-039	Tracts / Subdivisions / Parcel Maps / Tentative Tracts (may contain drawings of our easements)	Upon Completion	P	P	Yes	Mag, Mfr, OD, Ppr	S	Yes: After QC & OD	Department preference (Tracts maintained by appropriate County and/or City); GC §60201
Engineering	ENG-040	Utility Requests: Design for USAs (Underground Utility Alerts)	3 years		3 years		Mag, Ppr			Department Preference; GC §§4216.2(d) & 4216.3(d), 60201

RECORDS RETENTION SCHEDULE: ENGINEERING

Office of Record	Retention No.	Records Description	Retention / Disposition							Comments / Reference
			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=Import M=Mfr S=Scan	Destroy Paper after Imaged & QC & OD?	
(OFR)										
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Engineering	ENG-041	Water Supply Assessments	2 years	P	P	Yes	Mag, Mfr, OD, Ppr	S	Yes: After QC & OD	Department Preference (updated every 5 years); GC §60201 et seq.
Engineering	ENG-042	Will-Serve Letters / Availability Letters, Engineering Feasibility Letters	2 years	P	P	Yes	Mag, Mfr, OD, Ppr	S	Yes: After QC & OD	Department preference; GC §60201

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(OFR)										
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ENGINEERING WATER QUALITY										
Engineering	ENG-043	Aboveground Petroleum Storage Tanks (Agency Owned) Spill Prevention Control and Countermeasures (SPCC), Inspections, Integrity Testing, Maintenance, Repairs	20 years		20 years		Mag, Ppr		Department Preference; applies to both Tier I and Tier II Tanks; (Tier II tanks are required to have an integrity test every 20 years); GC §60201	
Engineering	ENG-044	Cathodic Testing	7 years		7 years		Mag, Mfr, OD,	S	Yes: After QC & OD	Department Preference; GC §60201 et seq.
Engineering	ENG-045	Chains of Custody / Potable Water Analysis & Sampling: ALL	2 years	10 years	12 years		Mag, Ppr			Department Preference; Lead and Copper are required for 12 years or 2 compliance cycles (compliance cycle is 3 years); 40 CFR 141.33(a) and (b)(1); 22 CCR §64470; 22 CCR 64400.20; 22 CCR 64690.80
Engineering	ENG-046	FOG (Fat, Oil & Grease) / Pre-treatment - Improvement Plans	5 years	P	P		Mag, Mfr, OD, Ppr	S	Yes: After QC & OD	Department Preference (3 years is required; 40 CFR 403.12; GC §60201 et seq.
Engineering	ENG-047	FOG Reports (Fat, Oil & Grease) / Pre-treatment - Interceptors, Clarifiers, Inspections	5 years		5 years		Mag, Ppr			Department Preference (3 years is required; 40 CFR 403.12; GC §60201 et seq.
Engineering	ENG-048	New Connections / Repair Permits	2 years	P	P	Yes	Mag, Mfr, OD,	S	Yes: After QC & OD	Department Preference; GC §60201 et seq.
Engineering	ENG-049	Pre-Treatment Monitoring / Industrial Waste	3 years		3 years		Mag, Ppr			NPDES Monitoring records required for 3 years in Federal law; 40 CFR §§122.21, 122.41

RECORDS RETENTION SCHEDULE: ENGINEERING

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(OFR)										
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Engineering	ENG-050	Pre-Treatment Permits / Connection Permits	While Active	P	P	Yes	Mag, Mfr, OD,	S	Yes: After QC & OD	Department Preference; GC §60201 et seq.
Engineering	ENG-051	Recycled Water Monitoring / Backflow	3 years			3 years	Yes	Mag, Mfr, OD, Ppr	S	Yes: After QC & OD
Engineering	ENG-052	Recycled Water Program Permits	While Active	P	P	Yes	Mag, Mfr, OD, Ppr	S	Yes: After QC & OD	Department Preference (installation of lines are in CIP project files); Published Audit Standards=4-7 years; Statute of Limitations: Contracts & Spec's=4 years; CCP §§336(a), 337 et. seq., GC §60201 et seq.
Engineering	ENG-053	Regulatory Agency Reports / Compliance Reports - Monthly and Quarterly Reports	5 years		5 years		Mag, Ppr			Department preference; Hazmat discharge records are required for 3-5 years; 40 CFR 122.411(j)(2)
Engineering	ENG-054	Underground Storage Tanks Location, Soil Remediation, Monitoring Well Records	5 years	P	P		Mag, Mfr, OD, Ppr	S	Yes: After 1 year	Department Preference (required for the life of the tank); 23 CCR 2712(b), H&S §25284.24(i); GC §60201 et. seq.

RECORDS RETENTION SCHEDULE: FINANCE

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			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=Import M=Mfr S=Scan	Destroy Paper after Imaged & QC'd?	
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ADMINISTRATION / GENERAL ACCOUNTING										
Finance / General Accounting	FN-001	Assessed Valuations (County)	When No Longer Required		When No Longer Required		Mag, Ppr			Department Preference (Non-records)
Finance / General Accounting	FN-002	Audit Annual Reports / Audited Financial Statements / Comprehensive Annual Financial Report (CAFR) with Audit Management Letters / Audit Reports	5 years	P	P		Mag, Mfr, OD, Ppr	S / I	Yes: After Annual Audit	Department Preference; GC §60201 et seq.
Finance / General Accounting	FN-003	Audit Work Papers (Finals) Includes Depreciation Schedules	5 years		5 years		Mag, Ppr			Department Preference; GC §60201
Finance / General Accounting	FN-004	Audits - Single Audits	2 years	3 years	5 years		Mag, Ppr			Department Preference; Meets municipal government auditing standards; GC §60201
Finance / General Accounting	FN-005	Bank Statements / Checking Account Reconciliation / Fiscal Agent Statements, Trustee Statements, Investment Account Statements, etc.	2 years	3 years	5 years		Mag, Ppr			Department Preference; Meets municipal government auditing standards; GC §60201
Finance / General Accounting	FN-006	Bond Registers	2 years	Fully Defeased + 10 years	Fully Defeased + 10 years	Yes: Until Maturity	Mag, Mfr, OD, Ppr	S / I	No	Statute of Limitations for bonds, mortgages, trust deeds, notes or debentures is 6 years; Bonds issued by local governments are 10 years; There are specific requirements for disposal of unused bonds; CCP §§336 et seq. , 337.5(a); GC §43900 et seq.

RECORDS RETENTION SCHEDULE: FINANCE

Office of Record	Retention No.	Records Description	Retention / Disposition							Comments / Reference
			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=Import M=Mfr S=Scan	Destroy Paper after Imaged & QC'd?	
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<i>Litigation, complaints, claims, public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>										
Finance / General Accounting	FN-007	Bonds / Certificates of Participation / Transcripts / Disclosure Reports	2 years	Fully Defeased + 10 years	Fully Defeased + 10 years	Yes: Until Maturity	Mag, Mfr, OD, Ppr	S / I	No	Department Preference; Statute of Limitations for bonds, mortgages, trust deeds, notes or debentures is 6 years; Bonds issued by local governments are 10 years; There are specific requirements for disposal of unused bonds; CCP §§336(a)(1) & (2), 337.5(2); GC §43900 et seq. GC §60201 et seq.
Finance / General Accounting	FN-008	Budgets: Adopted	5 years	P	P	Yes: Current Fiscal Year	Mag, Mfr, OD, Ppr	S / I	Yes: After Annual Audit	Department Preference; GC §60200
Finance / General Accounting	FN-009	Budgets: Proposed	When No Longer Required		When No Longer Required		Mag, Ppr			Department Preference; Preliminary drafts; GC §60200
Finance / General Accounting	FN-010	Budgets: Work Papers, Drafts, etc.	When No Longer Required		When No Longer Required		Mag, Ppr			Department Preference; Preliminary drafts; GC §60200
Finance / General Accounting	FN-011	Cash Reconciliation	2 years	3 years	5 years		Mag, Ppr			Department Preference; Meets municipal government auditing standards; GC §60201
Finance / General Accounting	FN-012	Equipment Inventory	When No Longer Required		When No Longer Required		Mag, Ppr			Preliminary drafts (the Financial Database is the original); GC §60200

RECORDS RETENTION SCHEDULE: FINANCE

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Finance / General Accounting	FN-013	Financial Reports: Journals, Ledgers, Reconciliations, Registers, Reports, Transaction Histories, Balance Sheets, Budget Adjustments, Billing Registers for New Financial System, Edit Lists, (MONTHLY OR PERIODIC)	When No Longer Required		When No Longer Required			Mag, Ppr		Draft / Preliminary documents used to produce final year-end general ledger (financial database is the original); GC §60201
Finance / General Accounting	FN-014	Financial System Database / ERP Database (JD Edwards)	Indefinite		Indefinite			Mag		Data is interrelated; system qualifies as a "trusted system"; GC §§60201, 12168.7
Finance / General Accounting	FN-015	Fixed Assets - Auction / Disposal / Sales / Surplused	2 years	3 years	5 years			Mag, Ppr		Consistent with Accounts Receivable; Statute of limitations is 3 years; statewide guidelines propose 2 - 4 years; published articles show 3 - 6 years; GC §60201, CCP §337
Finance / General Accounting	FN-016	Fixed Assets - Valuation Record (Engineer's Estimate of Assets)	5 years	3 years	40 years			Mag, Ppr		Department preference (all assets are fully depreciated after 40 years; GC §60201
Finance / General Accounting	FN-017	Fund Transfers / Wire Transfers / Adjustments	2 years	3 years	5 years			Mag, Ppr		Department Preference; Meets municipal government auditing standards; GC §60201
Finance / General Accounting	FN-018	Inventory Reports	When No Longer Required		When No Longer Required			Mag, Ppr		Preliminary drafts (the Financial Database is the original); GC §60200
Finance / General Accounting	FN-019	Investment Files	2 years	3 years	5 years	Yes: Until Maturity		Mag, Ppr		Department Preference; GC §60201

RECORDS RETENTION SCHEDULE: FINANCE

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Finance / General Accounting	FN-020	Journal Vouchers / Journal Entries	2 years	3 years	5 years		Mag, Ppr			Department Preference; Statute of Limitations is 4 years; Published articles show 6-7 years; GC §60201, CCP §337
Finance / General Accounting	FN-021	LAIF (Local Agency Investment Fund)	2 years	3 years	5 years	Yes: Until Maturity	Mag, Ppr			Department Preference; GC §60201
Finance / General Accounting	FN-022	Organization Charts - In Budgets and CAFRs	5 years	P	P		Mag, Mfr, OD, Ppr	S/ I	Yes: After Annual Audit	GC §60201 et seq.
Board Services / GM	FN-023	Rate Schedules	When No Longer Required		When No Longer Required		Mag, Ppr			Preliminary drafts; GC §60200
Finance / General Accounting	FN-024	Rate Studies	5 years		5 years		Mag, Ppr			Department Preference; GC §60201
Finance / General Accounting	FN-025	SB 90 / Mandated Cost Reimbursement Claims	2 years	3 years	5 years	Yes: Until Maturity	Mag, Ppr			Department Preference; GC §60201
Finance / General Accounting	FN-026	State Reports: State Controllers Report	2 years	3 years	5 years		Mag, Ppr			District Preference; Meets auditing standards; GC §60201
Finance / General Accounting	FN-027	Vehicle Titles ("Pink Slips")	Upon Sale of the Vehicle		Upon Sale of the Vehicle	Yes	Mag, Ppr			Given to the new owner upon sale of the vehicle; GC §60201 et seq.
ACCOUNTS PAYABLE										

RECORDS RETENTION SCHEDULE: FINANCE

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Finance / Accounts Payable	FN-028	1099's or 1096's	2 years	5 years	7 years		Mag, Ppr			IRS: 4 years after tax is due or paid (longer for auditing & contractor delinquency); Ca. FTB: 3 years; Published articles show permanent; ; IRS Reg §31.6001-1(e)(2), R&T §19530, GC §60201(d)(12)
Finance / Accounts Payable	FN-029	Accounts Payable Source Records / Invoices & Receivers / Credit Card Statements / Customer Refunds ALL	2 years	5 years	7 years	Yes: Until Paid	Mag, Ppr			Meets municipal government auditing standards; Sewage Sludge is required for 5 years; Published articles show 3 - 7 years; 40 CFR 122.41(j)(2); WC §13263.2(b) et seq.; GC §60201(d)(12)
Finance / Accounts Payable	FN-030	Check Copies / Cancelled Checks (on CDs)	2 years	5 years	7 years		Mag, Ppr			May contain independent contractor's compensation; Statute of Limitations is 4 years; Meets municipal government auditing standards; GC §60201(d)(12), CCP § 337
Finance / Accounts Payable	FN-031	Check Register	When No Longer Required		When No Longer Required		Mag, Ppr			The Financial Database is the original; Reports can be recreated on demand and are considered a copy or preliminary draft; GC §60201
Finance / Accounts Payable	FN-032	Expense Reports (Accounts Payable)	2 years	5 years	7 years		Mag, Ppr			District Preference (may include records pertaining to independent contractor's compensation, or expense reimbursement); Meets auditing standards; GC §60201

RECORDS RETENTION SCHEDULE: FINANCE

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CASH MANAGEMENT										
Finance / Cash Manag.	FN -033	Bank Deposit Receipts	2 years	3 years	5 years		Mag, Ppr			Department Preference; Meets municipal government auditing standards; GC §60201
Finance / Cash Manag.	FN -034	Bank Signature Cards	Superseded + 5 years		Superseded + 5 years		Mag, Ppr			Department Preference; Meets municipal government auditing standards; GC §60201
Finance / Cash Manag.	FN -035	Billing: COBRA and Retiree Medical	Termination of Service	7 years	Termination of Service + 7 years	Yes: During Service	Mag, Ppr			Retained to cover auditing standards; General rule under ERISA (Employee Retirement Income Security Act) is 7 years; 29 CFR 1627.3(b)(2); 29 USC 1027; GC §60201
Finance / Cash Manag.	FN -036	Cash Receipts	2 years	3 years	5 years		Mag, Ppr			Department Preference; Meets municipal government auditing standards; GC §60201
Finance / Cash Manag.	FN -037	Cash Transfer Report	2 years	3 years	5 years		Mag, Ppr			Meets municipal government auditing standards; GC §60201
Finance / Accounts Payable	FN -038	Petty Cash / Reconciliation / Reports / Vouchers	2 years	5 years	7 years		Mag, Ppr			District Preference (may include records pertaining to independent contractor's compensation, or expense reimbursement); Meets auditing standards; GC §60201
PAYROLL										
Finance / Payroll	FN -039	1095-c (Employer-Provided Health Insurance Offer and Coverage)	4 years		4 years		Mag, Ppr			Department Preference; IRS: 4 years after tax is due or paid; IRS Reg §31.6001-1(e)(2), R&T §19530, GC §60201

RECORDS RETENTION SCHEDULE: FINANCE

Office of Record	Retention No.	Records Description	Retention / Disposition							Comments / Reference
			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=Import M=Mfr S=Scan	Destroy Paper after Imaged & QC'd?	
<i>If the record is not listed here, refer to the Retention for District-Wide Standards.</i>										
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>										
<i>Litigation, complaints, claims, public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>										
Finance / Payroll	FN -040	Billing: Separated Employee Loans (Computers, Educational Reimbursement, etc.)	Fully Paid	7 years	Fully Paid + 7 years	Yes: During Service	Mag, Ppr			GC §60201(d)(12)
Finance / Payroll	FN -041	Cancelled Payroll Checks, Including Voided copies for Automatic Deposits	2 years	5 years	7 years		Mag, Ppr			GC §60201(d)(12), CCP § 337
Finance / Payroll	FN -042	DE-6 & 941 Forms DE-6 & 941 Forms, DE-7, DE-9 DE-43, W-3, & DE-166, IRS 5500 Forms (Employee Benefit Plans) - Quarterly Payroll Tax Returns	5 years		5 years		Mag, Ppr			Department Preference; IRS: 4 years after tax is due or paid (longer for auditing & contractor delinquency); Ca. FTB: 3 years; Published articles show permanent; ; IRS Reg §31.6001-1(e)(2), 26 CFR §1.6001-1, R&T §19530, GC §60201
Finance / Payroll	FN -043	Garnishments	Fully Satisfied or Separated + 2 years		Fully Satisfied or Separated + 2 years		Mag, Ppr			Department preference; GC §60201 et seq.
Finance / Payroll	FN -044	Payroll Batch / Payroll Registers / Payroll Reports Includes Automatic Payroll Deposit Authorization, Changes to W-4s, Deferred Compensation Reports, PERS reports, 401A, etc.	2 years	5 years	7 years		Mag, Ppr			Department preference (Meets Municipal Government auditing Standards); GC §60201(d)(12)
Finance / Payroll	FN -045	Payroll Checks	2 years	5 years	7 years		Mag, Ppr			GC §60201(d)(12), CCP § 337
Finance / Payroll	FN -046	Timesheets	2 years	5 years	7 years		Mag, Ppr			Department preference; GC §60201(d)(12); 29 CFR 516; 8 CCR 11040.7(c)

RECORDS RETENTION SCHEDULE: FINANCE

Office of Record	Retention No.	Records Description	Retention / Disposition							Comments / Reference
			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=Import M=Mfr S=Scan	Destroy Paper after Imaged & QC'd?	
<i>If the record is not listed here, refer to the Retention for District-Wide Standards.</i>										
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>										
<i>Litigation, complaints, claims, public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>										
Finance / Payroll	FN -047	W-2's	2 years	5 years	7 years		Mag, OD, Mfr, Ppr	S / I	Yes: After Annual Audit	Department preference; IRS: 4 yrs after tax is due or paid; Ca. FTB: 3 years; Articles show 7 years; IRS Reg §31.6001-1(e)(2), R&T §19530; 29CFR 516.5 - 516.6, 29USC 436, GC §60201(d)(12)

Office of Record	Retention No.	Records Description	Retention / Disposition							Comments / Reference
			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=Import M=Mfr S=Scan	Destroy Paper after Imaged & QC'd?	
(OFR)										
<i>If the record is not listed here, refer to the Retention for District-Wide Standards.</i>										
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>										
<i>Litigation, complaints, claims, public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>										
GENERAL MANAGER										
GM & Board Secretary	BS-001	Issues & Projects	When No Longer Required		When No Longer Required			Mag, Ppr		Department preference; GC §60201
BOARD SECRETARY										
GM & Board Secretary	BS-002	Agendas & Agenda Packets - District Board of Directors, Subcommittees of the Board (Includes Agenda Staff Reports, Annotated Agendas, News clippings, etc.)	2 years	P	P	Yes: Before Meeting Date	Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	Department preference; GC §60201
GM & Board Secretary	BS-003	Appointments / Resignations to the Board of Directors	2 years	P	P		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	Department preference; GC §60201
GM & Board Secretary	BS-004	Association Records (external associations - e.g., ACWA, etc.)	When No Longer Required		When No Longer Required		Mag, Ppr			Non-records; GC §60201 et seq.
GM & Board Secretary	BS-005	Board Member's "Personnel File" (Benefits, Oaths of Office, etc.)	Transfer to Human Resources Upon Separation		Transfer to Human Resources Upon Separation		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	Department Preference; GC §60201
GM & Board Secretary	BS-006	Director's Handbook (Policy)	When Superseded		When Superseded		Mag, Ppr			Department preference; GC §60201
GM & Board Secretary	BS-007	Directors Historical Biographical Data	When No Longer Required		When No Longer Required		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	Department preference; GC §60201

RECORDS RETENTION SCHEDULE: GENERAL MANAGER & BOARD SECRETARY

Office of Record	Retention No.	Records Description	Retention / Disposition							Comments / Reference
			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=Import M=Mfr S=Scan	Destroy Paper after Imaged & QC'd?	
<i>If the record is not listed here, refer to the Retention for District-Wide Standards.</i>										
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>										
<i>Litigation, complaints, claims, public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>										
GM & Board Secretary	BS-008	District Formation Records, Acquisition of other Districts	2 years	P	P		Mag, Mfr, OD, Ppr	S / I	No	Department preference (historical purposes); GC §60201
GM & Board Secretary	BS-009	Elections - Historical (Sample Ballot, Election Results)	2 years	P	P		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	Department preference (historical purposes); GC §60201
GM & Board Secretary	BS-010	Elections: Correspondence, Notifications & Publications, Certificate of Election, etc.	2 years		2 years		Mag, Ppr			Department preference (historical purposes); GC §60201
47- GM & Board Secretary	BS-011	FPPC 700 Series Forms (Statement of Economic Interests): DESIGNATED EMPLOYEES & CONSULTANTS (specified in the District's Conflict of Interest code)	7 years		7 years		Mag, Ppr			District maintains original statements; GC §81009(e)&(g)
GM & Board Secretary	BS-012	FPPC 700 Series Forms (Statement of Economic Interests): PUBLIC OFFICIALS (elected & not elected. Includes District Board Members, General Manager)	7 years		7 years		Mag, Ppr			Department preference (only required for 4 years); GC §81009(f)&(g)
GM & Board Secretary	BS-013	FPPC Form 801 (Gift to Agency Report)	7 years		7 years		Mag, Ppr			Must post on website; 2 CCR 18944(c)(3)(G); GC §81009(e)
GM & Board Secretary	BS-014	FPPC Form 802 (Tickets Provided by Agency Report)	7 years		7 years		Mag, Ppr			Must post on website for 4 years; GC §81009€
GM & Board Secretary	BS-015	FPPC Form 803 (Behested Payment Report)	7 years		7 years		Mag, Ppr			GC §81009e

RECORDS RETENTION SCHEDULE: GENERAL MANAGER & BOARD SECRETARY

Office of Record (OFR)	Retention No.	Records Description	Retention / Disposition						Comments / Reference
			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=Import M=Mfr S=Scan	
<i>If the record is not listed here, refer to the Retention for District-Wide Standards.</i>									
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>									
<i>Litigation, complaints, claims, public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>									
GM & Board Secretary	BS-016	FPPC Form 804 (Agency Report of New Positions)	P		P		Mag, Ppr		FPPC Regulation 18734(c); GC §81009e; GC §60201
GM & Board Secretary	BS-017	FPPC Form 805 (Agency Report of Consultants)	P		P		Mag, Ppr		FPPC Regulation 18734(c); GC §81009e; GC §60201
GM & Board Secretary	BS-018	FPPC Form 806 (Agency Report of Public Official Appointments)	7 years		7 years		Mag, Ppr		Must post on website; 2 CCR 18705.5; GC §60201, 81009e
GM & Board Secretary	BS-019	Historical Records	2 years	P	P		Mag, Mfr, OD, Ppr	S / I	No District Secretary Determines Historical Significance; GC §60201
GM & Board Secretary	BS-020	Memoranda of Understanding (MOUs), Confirmation of Understanding (COUs)	2 years	P	P	Yes: Before Superseded	Mag, Mfr, OD, Ppr	S / I	Yes: After QC Department preference; §60200 et seq.
GM & Board Secretary	BS-021	Minutes: Board of Directors & Subcommittees of the Board	2 years	P	P	Yes (all)	Mag, Mfr, OD, Ppr	S / I	No GC §60201(d)(3)
GM & Board Secretary	BS-022	Notices: Affidavits of Postings and Publications	2 years		2 years		Mag, Ppr		Brown Act challenges must be filed within 30 or 90 days of action; GC §§60201, 54960.1(c)(1)
GM & Board Secretary	BS-023	Ordinances	2 years	P	P	Yes (all)	Mag, Mfr, OD, Ppr	S / I	No GC §60201 et. seq.
GM & Board Secretary	BS-024	Prop. 218 Notices, Mailing Lists, Ballots and/or Protest Letters	2 years		2 years		Mag, Ppr		GC §53753(e)(2)
GM & Board Secretary	BS-025	Prop. 218 Undeliverable Notices	90 days		90 days		Ppr		Department Preference; GC §60201

RECORDS RETENTION SCHEDULE: GENERAL MANAGER & BOARD SECRETARY

Office of Record	Retention No.	Records Description	Retention / Disposition						Comments / Reference	
			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=Import M=Mfr S=Scan		Destroy Paper after Imaged & QC'd?
(OFR)										
<i>If the record is not listed here, refer to the Retention for District-Wide Standards.</i>										
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>										
<i>Litigation, complaints, claims, public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>										
GM & Board Secretary	BS-026	Public Records Act Requests	2 years		2 years			Mag, Ppr		Department Preference; GC §60201
GM & Board Secretary	BS-027	Records Destruction Lists	5 years		5 years			Mag, Ppr		Department Preference; GC §60201(b)(1)(B)
GM & Board Secretary	BS-028	Records Retention Schedules; Approvals to Modify Records Retention Schedules	P		P			Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD Department Preference; GC §60201 et seq.
GM & Board Secretary	BS-029	Resolutions	2 years	P	P	Yes (all)		Mag, Mfr, OD, Ppr	S / I	No GC §60201 et. seq.
GM & Board Secretary	BS-030	Tapes & Recordings (Audio) District Board meetings	90 days, or After Minutes are Approved, whichever is longer		90 days, or After Minutes are Approved, whichever is longer			Mag		Department Preference; legally required for 30 days (or adoption of the minutes); GC §54953.5(b)

RECORDS RETENTION SCHEDULE: HUMAN RESOURCES

Office of Record	Retention No.	Records Description	Retention / Disposition						Comments / Reference	
			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=Import M=Mfr S=Scan		Destroy Paper after Imaged & QC'd?
(OFR)										
<i>If the record is not listed here, refer to the Retention for District-Wide Standards.</i>										
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>										
<i>Litigation, complaints, claims, public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>										
Human Resources	HR-001	Affirmative Action Complaints - Department of Fair Employment & Housing (DFEH) or Equal Opportunity Commission (EEOC)	Separation + 3 years		Separation + 3 years			Mag, Ppr		Department preference (same as the Personnel File); All State and Federal laws require retention until final disposition of formal complaint; State requires 2 years after action is taken; 2 CCR 11013(c); GC §§12946, 60201
Human Resources	HR-002	Applications for Employment / Recruitment Files: Solicited (Not Hired) (Includes Applications (Unsuccessful), Advertisements, Interview Notes, Job Brochures, Test Data, Rating Sheets, Questions, Eligibility Lists, Reference Checks, etc.)	1 year After Hiring Decision	2 years	3 years After Hiring Decision			Mag, Ppr		Department preference; EEOC / FLSA / ADEA (Age) requires 1-3 years; State Law requires 2 - 3 years; 29 CFR 1627.3(b)(i), 29 CFR 1602.14 et seq., 2 CCR 11013(c) GC §§12946, 60201
Human Resources	HR-003	Applications for Employment, Interest Cards or Resumes: Non-Solicited / Unsolicited / No open position (not hired)	When No Longer Required		When No Longer Required			Mag, Ppr		No positions open; therefore not deemed part of District recruitment practices; considered a transitory record not materially impacting the conduct of the public's business; GC §60201
Human Resources	HR-004	Cal-OSHA Log 200, 300, 300A, 301, etc.	5 years		5 years			Mag, Ppr		Department Preference; Calif. Labor Division is required to keep their records 7 years; OSHA requires 5 years; State law requires 2 years; 8 CCR 14300.33(a); 29 CFR 1904.33, 29 CFR 1904.44; GC §60201 et seq.; LC §6429c
Human Resources	HR-005	Classification and Compensation Studies / Surveys / Salary Surveys	When No Longer Required		When No Longer Required			Mag, Ppr		Department Preference; GC §60201

RECORDS RETENTION SCHEDULE: HUMAN RESOURCES

Office of Record	Retention No.	Records Description	Retention / Disposition						Comments / Reference	
			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=Import M=Mfr S=Scan		Destroy Paper after Imaged & QC'd?
(OFR)										
<i>If the record is not listed here, refer to the Retention for District-Wide Standards.</i>										
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>										
<i>Litigation, complaints, claims, public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>										
Human Resources	HR-006	Deferred Compensation Carriers File (457) - Merrill Lynch, etc	Copies - When No Longer Required		Copies - When No Longer Required			Mag, Ppr		Department preference; GC §60200
Human Resources	HR-007	Deferred Compensation Statements / Transactions / Balances - From Carriers (Binders)	7 years		7 years			Mag, OD, Mfr, Ppr	S / I	Yes: After Annual Audit Department preference (Meets Municipal Government auditing Standards); GC §60201 et seq.
Human Resources	HR-008	District Benefit Contracts & Benefit Plans / Insurance Policies (Health, Dental, Deferred Compensation, Pension, etc.)	Plan Termination + 1 year	1 year	Plan Termination + 2 years			Mag, Ppr		EEOC / ADEA (Age) requires 1 year after benefit plan termination; State Law requires 2 years after action; 9 CFR 1627.3(b)(2); 29 USC 1027; 11 CCR 560; 28 CCR 1300.85.1; GC §60201
Human Resources	HR-009	DMV Pull Notices (Class A & B Only)	3 years		3 years			Mag, Ppr		District preference (DMV record that the District considers a non-record used for reference); DMV audits every 2 years; Bureau of National Affairs recommends 2 years for all supplementary Personnel records; GC §60201
Human Resources	HR-010	DMV Pull Notices (Class C Only)	When Superseded		When Superseded			Mag, Ppr		District preference (DMV record that the District considers a non-record used for reference) GC §60201

-51-

RECORDS RETENTION SCHEDULE: HUMAN RESOURCES

Office of Record	Retention No.	Records Description	Retention / Disposition							Comments / Reference	
			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=Import M=Mfr S=Scan	Destroy Paper after Imaged & QC'd?		
(OFR)											
<i>If the record is not listed here, refer to the Retention for District-Wide Standards.</i>											
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>											
<i>Litigation, complaints, claims, public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>											
Human Resources	HR-011	Drug and Alcohol Testing / D.O.T files (ALL Files - Random, Post-Accident & Reasonable Suspicion Tests, refusals, annual summaries, etc.)	5 years		5 years			Mag, Ppr		Department preference; D.O.T. Requires 5 years for positive tests, refusals, annual summaries, etc, 1 year for negative tests; EEOC / FLSA / ADEA (Age) requires 3 years physical examinations; State Law requires 2 years; 229 CFR 1627.3(b)(1)(v), GC §§12946, 60201, 49 CFR 655.71 et seq.; 49 CFR 382.401 et seq. 49 CFR 653.71	
Human Resources	HR-012	EEO-4 Reports and records required to generate EEO-4 report (Self-Identification Form, etc.)	1 year	2 years	3 years			Mag, Ppr		29 CFR 1602.30	
Human Resources	HR-013	Grievances	Separation + 1 year	5 years	Separation + 6 years			Mag, Ppr		Department Preference; EEOC/FLSA/ADEA (Age) requires 3 years for promotion, demotion, transfer, selection, or discharge; State Law requires 2 -3 years; 229 CFR 1602.31 & 1627.3(b)(1);, GC §§12946, 12960, 60201; 29 USC 1113, LC 1174	
Human Resources	HR-014	Human Resources Database / ERP Database	Indefinite		Indefinite	Yes		Mag, Ppr		Data Fields / Records are interrelated; GC §60201	
Human Resources	HR-015	I-9s	Separation + 3 years		Separation + 3 years			Mag, Ppr		8 CFR 274a.2; 29 CFR 1627.3(b)(i); GC §§12946, 34090; INA 274A(b)(3); INS Rule 274a.1(b)(2)	
Human Resources	HR-016	Job Descriptions	Superseded + 1 years	2 years	Superseded + 3 years	Yes: Before Superseded		Mag, Mfr, OD, Ppr	S / I	Yes: After QC	Department Preference; GC §60201
Human Resources	HR-017	Labor Negotiations	10 years		10 years			Mag, Ppr		Department preference; §60200 et seq.	

RECORDS RETENTION SCHEDULE: HUMAN RESOURCES

Office of Record	Retention No.	Records Description	Retention / Disposition							Comments / Reference
			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=Import M=Mfr S=Scan	Destroy Paper after Imaged & QC'd?	
(OFR)										
<i>If the record is not listed here, refer to the Retention for District-Wide Standards.</i>										
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>										
<i>Litigation, complaints, claims, public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>										
Human Resources	HR-018	Lawsuits / Litigation (Employee-Related)	Final Resolution	5 years	Final Resolution + 5 years	Yes: Until Resolution	Mag, Ppr			Department Preference; Covers various statute of limitations; CCP §§ 337 et seq.; GC §§ 911.2, 945.6, 60201(d)(4)
Human Resources	HR-019	Local Government Compensation Report	2 years	3 years	5 years		Mag, Ppr			District Preference; Meets auditing standards; GC §60201
Human Resources	HR-020	Loss Runs - State Fund, Workers Compensation, etc.	2 years	3 years	5 years		Mag, Ppr			Department Preference (actuary wants 10 years of data); GC §60201 et seq.
Human Resources	HR-021	Personnel Files - Medical File (Includes pre-employment physicals, hazmat exposure records, hearing tests, pulmonary tests, Class A&B medicals, medical leaves, Respiratory Fit Tests, Workers Compensation Claims, etc.)	Separation + 1 year	29 years	Separation + 30 years	Yes: Until Separation	Mag, Mfr, OD, Ppr	S / I	Yes: After QC	Department preference; Files maintained separately; Claims can be made for 30 years for toxic substance exposure; 8 CCR §3204(d)(1) et seq., 29 CFR 1910.1020(d)(1)(i), GC §§12946, 60201
Human Resources	HR-022	Personnel Files - Official Personnel file (Includes Application, Awards, Backgrounds, Benefit Enrollments, DMV Reports, Disciplinary Actions, Employee Action Form. Certifications, Commendations, Disaster Service Workers Oaths, Evaluations, Licenses, Personnel Action Forms, Policy acknowledgements, W-4, etc. - Excludes Medical Records)	Separation + 1 year	5 years	Separation + 6 years	Yes: Until Separation	Mag, Mfr, OD, Ppr	S / I	Yes: After QC	Department Preference; statute of limitations for retirement benefits is 6 years from last action; EEOC/FLSA/ADEA (Age) requires 3 years for promotion, demotion, transfer, selection, or discharge; State Law requires 2 -3 years; 29 CFR 1602.31 & 1627.3(b)(ii); GC §§12946, 60201; 29 USC 1113; GC §3105
Human Resources	HR-023	Unemployment Claims	Final Resolution	5 years	Final Resolution + 5 years	Yes: Until Resolution	Mag, Ppr			Department Preference; Covers various statute of limitations; CCP §§ 337 et seq.; GC §§ 911.2, 945.6, 60201(d)(4)

RECORDS RETENTION SCHEDULE: INFORMATION TECHNOLOGY

Office of Record	Retention No.	Records Description	Retention / Disposition						Comments / Reference	
			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=Import M=Mfr S=Scan		Destroy Paper after Imaged & QC'd?
(OFR)										
<i>If the record is not listed here, refer to the Retention for District-Wide Standards.</i>										
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>										
<i>Litigation, complaints, claims, public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>										
Information Technology	IT-001	Backups - Daily	When No Longer Required		When No Longer Required	Yes	Mag.			Used for Disaster Recovery Purposes Only; Considered a copy and can be destroyed when no longer required; GC §60200 et seq.
Information Technology	IT-002	Backups - Weekly or Monthly		When No Longer Required	When No Longer Required	Yes	Mag.			Used for Disaster Recovery Purposes Only; Considered a copy and can be destroyed when no longer required; stored off-site; GC §60200 et seq.
Information Technology	IT-003	Network Configuration Maps & Plans	When No Longer Required		When No Longer Required		Mag, Mfr, OD, Ppr	S/ I	Yes: After QC	Preliminary documents not retained in the ordinary course of business; GC §60201 et seq.
Information Technology	IT-004	Projects, Strategic Plans, etc.	When No Longer Required		When No Longer Required		Mag, Mfr, OD, Ppr	S/ I	Yes: After QC	Preliminary documents not retained in the ordinary course of business; GC §60201 et seq.
Information Technology	IT-005	Software Licenses, Warrantees, Installation Media	When No Longer Used		When No Longer Used		Mag, Mfr, OD, Ppr	S/ I	Yes: After QC	Department preference; GC §60201 et seq.
Information Technology	IT-006	Video - Employee Areas (cashier operations, etc.)	1 year		1 year		Mag			Records regular and ongoing operations; GC §§53160, 60201 et seq.
Information Technology	IT-007	Video - Public Areas (entrance, lobby, parking lots, etc.)	When No Longer Required		When No Longer Required		Mag			Does not record regular and ongoing operations; GC §§53160, 60201 et seq.
Information Technology	IT-008	WORM / DVD-r / CD-r / Blue Ray-R or other unalterable media that does not permit additions, deletions, or changes	P		P		OD			For legal compliance for Trustworthy Electronic Records (when the electronic record serves as the official record); GC 60200, 12168.7, EVC 1550, CCR 22620 et seq.

RECORDS RETENTION SCHEDULE: OPERATIONS

Office of Record	Retention No.	Records Description	Retention / Disposition							Comments / Reference
			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=Import M=Mfr S=Scan	Destroy Paper after Imaged & QC'd?	
<i>If the record is not listed here, refer to the Retention for District-Wide Standards.</i>										
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>										
<i>Litigation, complaints, claims, public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>										
ADMINISTRATION										
Operations / Admin.	OP-001	AQMD Monitoring	5 years		5 years		Mag, Ppr			Department Preference; 40 CFR 70.6; GC §60201
Operations / Admin.	OP-002	AQMD Permit	Superseded + 5 years		Superseded + 5 years		Mag, Ppr			Department preference; 40 CFR 70.6; GC §60201
Operations / Admin.	OP-003	Business Plans / Hazardous Materials Inventory / Disclosures	5 years		5 years		Mag, Ppr			Department Preference (this is performed annually); GC §60201
Operations / Lead Div.	OP-004	Confined Space Entries / Hot Work Permits <small>(Permitted entries into confined spaces such as sewers and storm drains in order to comply with regulations)</small>	2 years		2 years		Mag, Ppr			8 CCR 5157(c)(6); GC §60201
Operations / Admin. & Engineering	OP-005	Encroachment Permits (Road / Street Cuts - Temporary)	Completion + 2 years		Completion + 2 years		Mag, Ppr			Department preference; GC §60201
Operations / Admin.	OP-006	Facility Maintenance & Repair	When No Longer Required		When No Longer Required	Yes: Until Superseded	Mag, Ppr			GC §60201
Operations / Admin.	OP-007	Geographic Information System (GIS)	Indefinite		Indefinite	Yes	Mag			Data is interrelated; GC §60200, 60201 et seq.
Operations / Admin.	OP-008	Hazardous Waste Manifests / Disposal (includes batteries)	5 years	P	P	Yes: Before Resolution	Mag, Mfr, OD, Ppr	S	Yes: After QC'd	Department preference (District has "cradle to grave" liability); only 3 years is mandated; 22 CCR 66262.40; GC §60201

RECORDS RETENTION SCHEDULE: OPERATIONS

Office of Record (OFR)	Retention No.	Records Description	Retention / Disposition						Comments / Reference	
			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=Import M=Mfr S=Scan		Destroy Paper after Imaged & QC'd?
<i>If the record is not listed here, refer to the Retention for District-Wide Standards.</i>										
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>										
<i>Litigation, complaints, claims, public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>										
Operations / Admin.	OP-009	MSDS / SDS Masters (Material Safety Data Sheets / Safety Data Sheets) / Chemical Use Report Form (or records of the chemical / substance / agent, where & when it was used)	Superseded + 2 years	28 years	Superseded + 30 years		Mag, Mfr, OD, Ppr	S	Yes: When Inactive	Previous MSDS may be obtained from a service; MSDS may be destroyed as long as a record of the chemical / substance / agent, where & when it was used is maintained for 30 years; Applies to qualified employers; Claims can be made for 30 years for toxic substance exposures; 8 CCR 3204(d)(1)(B)(2 and 3), 29 CFR 910.1020(d)(1)(ii)(B), GC §60201
Operations / Admin.	OP-010	NPDES Permits	Superseded + 3 years		Superseded + 3 years	Yes	Mag, Mfr, OD, Ppr	S	Yes: After QC	Department Preference; NPDES Monitoring records required for 3 years in Federal law; 40 CFR §§122.21, 122.41
Operations / Admin.	OP-011	Permits: Hazardous Materials Storage, other regulatory permits	Expiration + 10 years		Expiration + 10 years	Yes	Mag, Mfr, OD,	S	Yes: After QC	Department Preference; GC §60201
Operations / Admin.	OP-012	SCBA / Respirator Inventory & Maintenance	2 years		2 years		Mag, Ppr			Department preference; GC §60201
Operations / Admin.	OP-013	Smog Check Inspection Certificate	5 years		5 years		Mag, Ppr			Department preference; GC §60201
Operations / Admin.	OP-014	Two-Way Radio Licensing and Information	Expiration + 2 years		Expiration + 2 years	Yes: Until Expired	Mag, Mfr, OD, Ppr	S/I	Yes: After QC'd	Covers statute of limitations for written contracts (4 years); Statewide guidelines propose Permanent; CCP § 337 et. Seq.; GC § 60201

-56-

RECORDS RETENTION SCHEDULE: OPERATIONS

Office of Record	Retention No.	Records Description	Retention / Disposition					Comments / Reference		
			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options		Image: I=Import M=Mfr S=Scan	Destroy Paper after Imaged & QC'd?
(OFR)										
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<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>										
<i>Litigation, complaints, claims, public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>										
Operations / Admin.	OP-015	Underground Service Alerts (USA's)	3 years		3 years		Mag, Ppr			Department Preference (required for 3 years); the warrantee period for work done is usually 5 years, the Statute of Limitations for some work may be up to 10 years; CCP §337 et seq., GC §§4216.2(d) & 4216.3(d), 60201
-57- Operations / Admin.	OP-016	Vehicle and Equipment Folders: Includes Maintenance History, Inspections, etc.	Disposal of Vehicle or Equipment + 2 years		Disposal of Vehicle or Equipment + 2 years		Mag, Ppr			Department Preference; If a motor carrier, required for 18 months after vehicle is sold; CHP requires life of vehicle; OSHA requires 1 year; 8 CCR § 3203(b)(1); 49 CFR 396.21(b)(1); 49 CFR 396.3(c); CCP §337 et. seq., 13 CCR 1234(f); GC §60201
Operations / Admin.	OP-017	Vehicle Fuel & Mileage Records	When No Longer Required		When No Longer Required		Mag, Ppr			Department preference; GC §60201
Operations / Admin.	OP-018	Water Loss Worksheet / Incidents / Unauthorized Discharges: Main Breaks, Spills, Investigations and Corrective Actions, Notice to Comply - ALL	Last Action + 5 years		Last Action + 5 years	Yes: Before Resolution	Mag, Ppr			Department Preference; Code of Federal Regulations requires 3 years; 40 CFR 122.41(j)(2) & 40 CFR 141.33(b)(2); 22 CCR §64470
CUSTOMER SERVICE										
Operations / Customer Service	OP-019	Bankruptcies (Where District does NOT pursue a claim)	5 years		5 years		Mag, Ppr			Department preference; GC §60201

RECORDS RETENTION SCHEDULE: OPERATIONS

Office of Record	Retention No.	Records Description	Retention / Disposition					Comments / Reference	
			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options		Image: I=Import M=Mfr S=Scan
(OFR)									
<i>If the record is not listed here, refer to the Retention for District-Wide Standards.</i>									
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>									
<i>Litigation, complaints, claims, public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>									
Operations / Customer Service	OP-020	CIS / Customer Information System / Field Memos / Service Orders / Service Tracker CWMS DATABASE (Computerized Work Management System)	Indefinite		Indefinite		Mag		Data is interrelated; GC §60201
Operations / Customer Service	OP-021	CIS / Customer Information System / Field Memos / Service Orders / Service Tracker - All Information Entered in CWMS Database	When No Longer Required		When No Longer Required		Mag, Ppr		Preliminary drafts (the database is the original); GC §60201
Operations / Customer Service	OP-022	CIS / Customer Information System / Field Memos / Service Orders / Service Tracker - NOT entered in CWMS Database (or partial information entered into CWMS Database)	2 years	Minimum 3 years	Minimum 5 years		Mag, Ppr		District Preference - Clean Water Act Actions can go back 5 years; CCP §§338 et seq., 340 et seq., 342, GC §§945.6, GC §60201
Operations / Customer Service	OP-023	Collection Agency Assignments / Write Offs	2 years	5 years	7 years		Mag, Ppr		Department Preference (negative information remains on credit reports for 7 years); GC §60201 et seq.
Operations / Customer Service	OP-024	Customer Correspondence / Customer Concerns / Customer Complaints: Odor / Taste / Visual Complaints	2 years	3 years	5 years		Mag, Mfr, OD, Ppr	S/I	Yes: After QC'd 5 years is required in State and Federal law for any complaints; 40 CFR 122.41(j)(2) & 40 CFR 141.33(b); 22 CCR 64470
Operations / Customer Service	OP-025	Customer Files / Applications and Modifications / Change Requests	Close + 5 years		Close + 5 years	Yes: While Account Active	Mag, Ppr		Meets municipal government auditing standards; Statewide guidelines propose audit + 4 years; GC §60201
Operations / Customer Service	OP-026	Direct Deposits / Lock Box & Backup (Images, Stubs & Deposit Tickets)	2 years	3 years	5 years		Mag, Ppr		Department Preference; Meets municipal government auditing standards; GC §60201

RECORDS RETENTION SCHEDULE: OPERATIONS

Office of Record (OFR)	Retention No.	Records Description	Retention / Disposition					Comments / Reference	
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<i>If the record is not listed here, refer to the Retention for District-Wide Standards.</i>									
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>									
<i>Litigation, complaints, claims, public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>									
Operations / Customer Service	OP-027	Direct Payment Applications	2 years	3 years	5 years		Mag, Ppr		Meets municipal government auditing standards; Statewide guidelines propose audit + 4 years; GC §60201
Operations / Risk Manage.	OP-028	Facilities Use Agreements	2 years		2 years		Mag, Ppr		Department preference; GC §60201
Operations / Customer Service	OP-029	Hydrant Construction Meters – new applications / transfers / billing	Close + 5 years		Close + 5 years		Mag, Ppr		Meets municipal government auditing standards; Statewide guidelines propose audit + 4 years; GC §60201
Operations / Customer Service	OP-030	Liens	10 years		10 years		Mag, Ppr		Liens are good for 10 years from recording date, and may be extended by re-recording lien; WC 36729; 37212(b),
Operations / Customer Service	OP-031	Payment Stubs (mailed) / Utility Receipts (when payment is made at the counter)	When No Longer Required		When No Longer Required		Mag, Ppr		Department preference; Transitory records not retained in the ordinary course of business; GC §60201
Operations / Customer Service	OP-032	Returned Checks (NSF, etc.)	5 years		5 years	Yes: Until Paid	Mag, Ppr		Meets municipal government auditing standards; Statewide guidelines propose audit + 4 years; GC §60201
SUPPORT SERVICES									
Operations / Support Services	OP-033	Bit Inspection (CHP Commercial Vehicle Inspection)	Life of the Vehicle + 2 years		Life of the Vehicle + 2 years		Mag, Ppr		49 CFR 396.11 et seq.; GC §60201

RECORDS RETENTION SCHEDULE: OPERATIONS

Office of Record	Retention No.	Records Description	Retention / Disposition						Comments / Reference		
			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=Import M=Mfr S=Scan		Destroy Paper after Imaged & QC'd?	
(OFR)											
<i>If the record is not listed here, refer to the Retention for District-Wide Standards.</i>											
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>											
<i>Litigation, complaints, claims, public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>											
Operations / Lead Div.	OP-034	Pre-Starts / Daily Safety Checks / Commercial Vehicle Prestarts and Forklift Inspections	3 years		3 years			Mag, Ppr		Department preference; If a motor carrier, required for 3 and 14 months; 13 CCR 1234(e); 49 CFR 396.11 et seq.; 49 CFR 396.21(b)(1); GC §60201	
WATER DISTRIBUTION (DRINKING WATER / POTABLE WATER)											
Operations / Lead Div.	OP-035	Daily Log Sheets	2 years		2 years			Mag, Ppr		Department preference; Meets California Department of Health requirements; GC §60201	
Operations / Water Dist.	OP-036	Facility Tests / Meter Tests (Not in Work Order System)	5 years		5 years			Mag, Ppr		Department Preference (5 years is required in State and Federal law for any complaints); 40 CFR 122.41(j)(2) & 40 CFR 141.33(b); 22 CCR 64470	
Operations / Water Dist.	OP-037	Flow Meter Reading	5 years		5 years			Mag, Ppr		Department preference; GC §60201	
Operations / Water Dist. & Engineering	OP-038	Manuals: Operations & Maintenance / Project Manuals (O&M Manuals)	Life of the Building or Equipment		Life of the Building or Equipment	Yes: Until Superseded		Mag, Ppr		Department preference; Maintain copies as long as the infrastructure is in the field ; GC §60201	
Operations / Water Dist.	OP-039	Meter Changes / Pump Meter Changes	Upon Change of Meter		Upon Change of Meter			Mag, Mfr, OD, Ppr	S/I	Yes: After QC'd	Department Preference; GC §60201
Operations / Water Dist. & Engineering	OP-040	Reservoir Maintenance / Tank Maintenance (includes dive and tank inspection reports, other inspection reports, etc.)	2 years	Life of Tank	Life of Tank			Mag, Mfr, OD, Ppr	S/I	Yes: After QC'd	Infrastructure; GC §60201

RECORDS RETENTION SCHEDULE: OPERATIONS

Office of Record (OFR)	Retention No.	Records Description	Retention / Disposition					Comments / Reference	
			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options		Image: I=Import M=Mfr S=Scan
<i>If the record is not listed here, refer to the Retention for District-Wide Standards.</i>									
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>									
<i>Litigation, complaints, claims, public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>									
Operations / Lead Div.	OP-041	SCADA Alarm & Status Printouts / Charts	When No Longer Required		When No Longer Required		Mag, Ppr		Database is original, printouts are drafts / copies. Data is interrelated; system qualifies as a "trusted system"; GC §§60200, 12168.7
Operations / Lead Div.	OP-042	SCADA Database (Supervisory Control and Data Acquisition)	Indefinite		Indefinite	Yes	Mag, Ppr		Department preference; Data is interrelated; system qualifies as a "trusted system"; GC §§60201, 12168.7
WATER QUALITY									
Operations / Water Quality	OP-043	Backflow Testing / Cross Connection	3 years	2 years	5 years		Mag, Ppr		Department Preference; Meets California Department of Health requirements; GC §60201; 17 CCR 7605(f)
Operations / Water Quality	OP-044	Pressure Tests / Leak Detection (If not in Work Order System)	5 years		5 years		Mag, Ppr		Department preference; GC §60201
WASTEWATER									
Operations / Wastewater	OP-045	CCTV Inspection Tapes / Video Inspections / Video Tapes or Digital Recordings - Maintenance / Assessment	When No Longer Required		When No Longer Required		Mag, Ppr		Department preference; GC §60201
Operations / Wastewater	OP-046	Chains of Custody / Water Analysis & Sampling: Wastewater	2 years	10 years	12 years		Mag, Ppr		Department preference; NPDES Monitoring records required for 3 years in Federal law; 40 CFR §§122.21, 122.41
Operations / Wastewater	OP-047	Collections	5 years		5 years		Mag, Ppr		Department Preference; GC §60201
Operations / Wastewater	OP-048	Diaries, Daily Route Records - Wastewater	2 years	3 years	5 years		Mag, Ppr		Department preference; GC §60201

RECORDS RETENTION SCHEDULE: OPERATIONS

Office of Record	Retention No.	Records Description	Retention / Disposition					Comments / Reference	
			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options		Image: I=Import M=Mfr S=Scan
<i>If the record is not listed here, refer to the Retention for District-Wide Standards.</i>									
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<i>Litigation, complaints, claims, public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>									
Operations / Wastewater	OP-049	Lift Station Log Sheets	5 years		5 years		Mag, Ppr		Department Preference; GC §60201
Operations / Wastewater & Engineering	OP-050	Operating Permits (SWRQCB, etc.)	Expiration + 5 years		Expiration + 5 years		Mag, Ppr		Department Preference; GC §60201
Operations / Lead Div.	OP-051	Pre-Starts / Daily Safety Checks / Commercial Vehicle Prestarts and Forklift Inspections	3 years		3 years		Mag, Ppr		Department preference; If a motor carrier, required for 3 and 14 months; 13 CCR 1234(e); 49 CFR 396.11 et seq.; 49 CFR 396.21(b)(1); GC §60201
Operations / Wastewater	OP-052	Sanitary Sewer Overflows (SSOs)	5 years		5 years	Yes: Before Resolution	Mag, Ppr		Department preference; plans must be updated every 5 years, audits are required every 2 years; SWRCB Order 2006-03; 40 CFR 122.41(j)(2); GC §60201
Operations / Wastewater	OP-053	Sewer Line Cleaning Record	5 years		5 years		Mag, Ppr		Department Preference; GC §60201
Operations / Wastewater	OP-054	Sewer System Management Plans (SSMP) and Audits	5 years		5 years		Mag, Ppr		Department preference; plans must be updated every 5 years, audits are required every 2 years; SWRCB Order 2006-03; 40 CFR 122.41(j)(2); GC §60201
Operations / Wastewater	OP-055	Siphon and Flume Cleaning Record	5 years		5 years		Mag, Ppr		Department Preference; GC §60201
Operations / Wastewater	OP-056	Wastewater - Monthly Report to RWQCB	5 years		5 years		Mag, Ppr		Department preference; NPDES Monitoring records required for 3 years in Federal law; 40 CFR §§122.21, 122.41

RECORDS RETENTION SCHEDULE: PUBLIC AFFAIRS

Office of Record	Retention No.	Records Description	Retention / Disposition							Comments / Reference
			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=Import M=Mfr S=Scan	Destroy Paper after Imaged & QC'd?	
(OFR)										
<i>If the record is not listed here, refer to the Retention for District-Wide Standards.</i>										
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>										
<i>Litigation, complaints, claims, public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>										
Public Affairs	PA-001	Annual Water Quality Report / Consumer Confidence Report	12 years		12 years		Mag, Mfr, OD, Ppr	S / I	No	Department preference; State law requires 12 years, federal 10 years; 40 CFR 141.33(a); 22 CCR §64470
Public Affairs	PA-002	Displays & Exhibits	When No Longer Required		When No Longer Required		Mag, Ppr			Non-records; GC §60201 et seq.
Public Affairs	PA-003	Projects, Outreach, Special Events, Tours, Water Education Programs, Publications: Brochures, Programs, Annual Reports (Published by the District)	When No Longer Required - Minimum 2 years		When No Longer Required - Minimum 2 years		Mag, Ppr			Department preference; GC §60201

-63-

RECORDS RETENTION SCHEDULE: SAFETY & RISK MANAGEMENT

Office of Record	Retention No.	Records Description	Retention / Disposition						Comments / Reference	
			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=Import M=Mfr S=Scan		Destroy Paper after Imaged & QC'd?
(OFR)										
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<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>										
<i>Litigation, complaints, claims, public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>										
RISK MANAGEMENT										
Operations / Risk Manage.	S&RM-001	Claims	Final Resolution	5 years	Final Resolution + 5 years	Yes: Until Resolution	Mag, Ppr			Department Preference; Covers various statute of limitations; CCP §§ 337 et seq.; GC §§ 911.2, 945.6, 60201(d)(4)
Operations / Risk Manage.	S&RM-002	Emergency Exercises / Drills / After Action Reports	When No Longer Required		When No Longer Required	Yes: Until Superseded	Mag, Ppr			Department Preference; GC §60201
Operations / Risk Manage.	S&RM-003	Insurance Policies - General Liability, etc.	Expiration + 2 years	P	P	Yes	Mag, Mfr, OD, Ppr	S / I	Yes: After QC	Department Preference; Covers various statute of limitations; CCP §§ 337 et seq.; GC §§ 911.2, 945.6, 60201(d)(4)
Operations / Risk Manage.	S&RM-004	Insurance Policies - Property, Fire, Theft, etc.	Expiration + 2 years		Expiration + 2 years	Yes: Until Expired	Mag, Ppr			Department Preference; GC §60201
Operations / Risk Manage.	S&RM-005	Insurance Policies - Workers Compensation Insurance Policy / Plan	Policy Termination + 10 years		Policy Termination + 10 years	Yes: Before Expiration	Mag, Mfr, OD, Ppr	S / I	Yes: After QC	Department preference to be consistent with District-wide standards; EEOC / ADEA (Age) requires 1 year after benefit plan termination; State Law requires 2 years after action; 29 CFR 1627.3(b)(2); GC §§12946, 60201
Operations / Risk Manage.	S&RM-006	Lawsuits / Litigation (Not Employee Related)	Final Resolution	5 years	Final Resolution + 5 years	Yes: Until Resolution	Mag, Ppr			Department Preference; Covers various statute of limitations; CCP §§ 337 et seq.; GC §§ 911.2, 945.6, 60201(d)(4)

RECORDS RETENTION SCHEDULE: SAFETY & RISK MANAGEMENT

Office of Record	Retention No.	Records Description	Retention / Disposition							Comments / Reference	
			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=Import M=Mfr S=Scan	Destroy Paper after Imaged & QC'd?		
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<i>Litigation, complaints, claims, public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>											
Operations / Risk Manage.	S&RM-007	Vulnerability Assessment	When Superseded - Minimum 2 years		When Superseded Minimum 2 years			Mag, Mfr, OD, Ppr	S / I	Yes: After QC	Confidential; GC §60201
SAFETY											
Operations / Safety	S&RM-008	Cal-OSHA Inspections & Citations	5 years		5 years			Mag, Ppr			Department Preference; Calif. Labor Division is required to keep their records 7 years; OSHA requires 5 years; State law requires 2 years; 8 CCR 14300.33(a); 29 CFR 1904.33, 29 CFR 1904.44; GC §60201 et seq.; LC §6429c
Operations / Safety	S&RM-009	Illness and Injury Prevention Program	Minimum of Superseded + 2 years		Minimum of Superseded + 2 years			Mag, Ppr			Consistent with District-wide standards; GC §60201
Operations / Safety	S&RM-010	Safety Committee / Safety Steering Committee	5 years		5 years			Mag, Ppr			Department preference; 8 CCR §3203 et seq.; GC §60201 et seq.
Operations / Safety	S&RM-011	Safety Inspections	5 years		5 years			Mag, Ppr			Department Preference; Calif. Labor Division is required to keep their records 7 years; OSHA requires 5 years; State law requires 2 years; 8 CCR 14300.33(a); 29 CFR 1904.33, 29 CFR 1904.44; GC §60201 et seq.; LC §6429c

RECORDS RETENTION SCHEDULE: WATER EFFICIENCY

Office of Record	Retention No.	Records Description	Retention / Disposition						Comments / Reference	
			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=Import M=Mfr S=Scan		Destroy Paper after Imaged & QC'd?
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<i>Litigation, complaints, claims, public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>										
Water Efficiency	WE-001	Climatological Data	When No Longer Required		When No Longer Required		Mag, Ppr			Non-records (provided by NOAA); GC §60201
Water Efficiency	WE-002	Conservation Incentives / Rebates (Toilets, Turf Removal, Washers, etc.)	5 years		5 years		Mag, Ppr			Department preference; GC §60201
Water Efficiency	WE-003	Conservation Violation Notices	2 years	3 years	5 years		Mag, Ppr			Department preference; meets municipal government auditing requirements, and may have grant funding; GC §60201
Water Efficiency	WE-004	Customer Lists for Conservation Programs (Gardening Classes / Landscaping Classes, etc.)	When No Longer Required		When No Longer Required		Mag, Ppr			Department preference; GC §60201
Water Efficiency	WE-005	Plans: GWMP (Ground Water Management Plan), IRWMP (Integrated Regional Water Management Plan), WUEMP (Water Use Efficiency Master Plan), etc.	P		P		Mag, Mfr, OD, Ppr	S	Yes: After QC	Department preference; GC §60201
Water Efficiency	WE-006	Reports: CUWCC (California Urban Water Conservation Council), Conservation, Urban Water Management Plans (UWMP), etc.	10 years		10 years		Mag, Mfr, OD, Ppr	S	Yes: After QC	Department preference (Commercial baseline is 10 years); GC §60201
Water Efficiency	WE-007	Site Audits, Evaluations, Surveys (Conservation Inspection Results, Evaluations, Landscape, etc.)	After Entry Into ERP Database		After Entry Into ERP Database		Mag, Ppr			Department preference; GC §60201
Water Efficiency	WE-008	Variance Applications	2 years		2 years		Mag, Mfr, OD, Ppr	S	Yes: After QC	Department preference; Entered into ERP Database; GC §60201
Water Efficiency	WE-009	Water Supply and Water Demand Studies	P		P		Mag, Mfr, OD, Ppr	S	Yes: After QC	Department preference; GC §60201 et seq.
Water Efficiency	WE-010	Water Use Efficiency Projects	Audit Requirement - Minimum 5 years		Audit Requirement - Minimum 5 years		Mag, Mfr, OD, Ppr	S	Yes: After QC	Department preference (funded by DWR); GC §60201 et seq.

RESOLUTION NO. 16-__**RESOLUTION OF THE BOARD OF DIRECTORS OF
MOULTON NIGUEL WATER DISTRICT
CONTINUING WATER SHORTAGE STAGES 1 AND 2**

WHEREAS, California Constitution article X, section 2 and California Water Code section 100 provide that because of conditions prevailing in the state of California (the “State”), it is the declared policy of the State that the general welfare requires that the water resources of the State shall be put to beneficial use to the fullest extent of which they are capable, the waste or unreasonable use of water shall be prevented, and the conservation of such waters is to be exercised with a view to the reasonable and beneficial use thereof in the interest of the people and the public welfare; and

WHEREAS, pursuant to California Water Code section 106, it is the declared policy of the State that the use of water for domestic use is the highest use of water and that the next highest use is for irrigation; and

WHEREAS, pursuant to California Water Code section 375, the Moulton Niguel Water District (the “District”) is authorized to adopt and enforce a water conservation program to reduce the quantity of water used by persons within its jurisdiction for the purpose of conserving the water supplies of the District; and

WHEREAS, Governor Brown proclaimed a condition of statewide drought and called upon local agencies to take aggressive, immediate action to reduce water consumption locally and regionally; and

WHEREAS, pursuant to Ordinance No. 15-01 the District is authorized to declare water shortage stages; and

WHEREAS, on May 1, 2015, the Board adopted Resolution No. 15-16, which declared Water Shortage Stages 1 and 2 as said stages are set forth in Ordinance No. 15-01. As a result, beginning June 1, 2015, the voluntary water shortage response measures in Water Shortage Stage 1 and the mandatory water shortage response measures, reductions in water use, and penalties during a Water Shortage Stage 2 went into effect within the District; and

WHEREAS, on September 17, 2015, the Board adopted Resolution No. 15-26, which declared that continuing October 30, 2015, Water Shortage Stage 2 shall remain in effect within the District through February 28, 2016. As a result, along with the voluntary measures, the mandatory water shortage response measures, reductions in water use, and penalties during a Water Shortage Stage 2 continued to be in effect.

WHEREAS, on January 21, 2016, the Board adopted Resolution No. 16-02, which declared that continuing March 1, 2016, Water Shortage Stage 1 and 2 shall remain in effect within the District through June 30, 2016. As a result, along with the voluntary measures, the mandatory

water shortage response measures, reductions in water use, and penalties during a Water Shortage Stage 2 continued to be in effect.

WHEREAS, on June 16, 2016, the Board adopted Resolution No. 16-10, which declared that continuing July 1, 2016, Water Shortage Stage 1 and 2 shall remain in effect within the District through October 31, 2016. As a result, along with the voluntary measures, the mandatory water shortage response measures, reductions in water use, and penalties during a Water Shortage Stage 2 continued to be in effect.

WHEREAS, because of the prevailing conditions in the State, the current statewide drought, and the declared policy of the State, the District hereby finds and determines that it is necessary and appropriate for the District to continue, along with the voluntary measures, the mandatory water shortage response measures, reductions in water use, and penalties that are currently in effect during a Water Shortage Stage 2. Continuation of Water Shortage Stages 1 and 2 is necessary in order to adopt, implement, and enforce water shortage response measures to reduce the quantity of water used by consumers within the District to ensure that there is sufficient water for human consumption, sanitation, and fire protection all in conformance with Ordinance No. 15-01; and

NOW, THEREFORE, the Board of Directors of the Moulton Niguel Water District does hereby **RESOLVE, DETERMINE, AND ORDER** as follows:

Section 1. **Water Shortage Stages 1 and 2.** Pursuant to Ordinance No. 15-01, the Board hereby declares and finds that continuing November 1, 2016, Water Shortage Stages 1 and 2 shall remain in effect within the District through February 28, 2017. Such voluntary and mandatory water shortage response measures, reductions in water use, and penalties during Water Shortage Stages 1 and 2 as are set forth in Ordinance No. 15-01 are necessary for the following reasons:

- (1) District water supply conditions and storage levels;
- (2) statewide water supply conditions;
- (3) local water supply and demand conditions; and
- (4) actions by surrounding wholesale and retail water agencies.

Section 3. **Severability.** If any provision, section, subsection, sentence, clause or phrase or sections of this Resolution, or the application of same to any person or set of circumstances, is for any reason held to be unconstitutional, void or invalid, the invalidity of the remaining portions of this Resolution shall not be affected, it being the intent of the Board of Directors in adopting this Resolution that no portions, provisions, or regulations contained herein shall become inoperative, or fail by reason of the unconstitutionality of any other provision hereof, and all provisions of this Resolution are declared to be severable for that purpose.

Section 4. **Effective.** This Resolution shall be effective immediately upon adoption.

ADOPTED, SIGNED and APPROVED this 15th day of September, 2016.

MOULTON NIGUEL WATER DISTRICT

President/Vice President
MOULTON NIGUEL WATER DISTRICT
and of the Board of Directors thereof

Secretary/Assistant Secretary
MOULTON NIGUEL WATER DISTRICT
and of the Board of Directors thereof

RESOLUTION NO. ____

**RESOLUTION OF THE BOARD OF DIRECTORS OF THE
MOULTON NIGUEL WATER DISTRICT
ADOPTING A WATER DEMAND OFFSET FEE**

WHEREAS, the Board of Directors of the Moulton Niguel Water District (“District”) is a California Water District organized and operating pursuant to the California Water Code Section 34000, *et seq.*; and

WHEREAS, pursuant to California Government Code section 66013, the District is authorized to impose Capacity Charges for public facilities in existence at the time the charge is imposed or for new facilities to be acquired or constructed in the future that are of proportional benefit to the person or property being charged, including supply or capacity contracts for rights or entitlements, real property interests, and entitlements and other rights of the District involving capital expense relating to its use of existing or new public facilities; and

WHEREAS, the District has made significant investments in its recycled water system to provide and enhance long-term potable water supply reliability for its existing customers, in addition to investments made to maintain the existing water system infrastructure; and

WHEREAS, the District is obligated to ensure that future development does not reduce the reliability of water supply sources existing customers have funded; and

WHEREAS, the District is considering the adoption of a “Water Demand Offset Fee” pursuant to California Government Code Section 66013, to fund as-yet unknown, future water reliability and water use efficiency projects, programs, and capital improvement projects, in order to offset additional potable outdoor demand from new development that would otherwise impact existing potable water supply reliability; and

WHEREAS, the proposed Water Demand Offset Fee is a “Capacity Charge” within the meaning of California Government Code Section 66013; and

WHEREAS, the District Board of Directors has determined that: (1) the rates of the proposed Water Demand Offset Fee do not exceed the estimated reasonable cost of the services and facilities for which the Water Demand Offset Fee will be imposed; and (2) the allocation of those costs are fair or reasonable in relationship to the burdens on, or benefits that those who pay a Water Demand Offset Fee will receive from such services and facilities; and

WHEREAS, pursuant to Water Code section 13550, the Legislature has declared that the use of potable domestic water for non-potable uses, including, but not limited to, cemeteries, golf courses, parks, highway landscaped areas, and industrial and irrigation uses, is a waste or an unreasonable use of the water within the meaning of Section 2 of Article X of the California Constitution if recycled water is available; and

#10.

WHEREAS, pursuant to Water Code section 13551, a person or public agency, including a state agency, city, county, city and county, district, or any other political subdivision of the state, shall not use water from any source of quality suitable for potable domestic use for non-potable uses, including cemeteries, golf courses, parks, highway landscaped areas, and industrial and irrigation uses if suitable recycled water is available as provided in Section 13550; and

WHEREAS, pursuant to Water Code section 13552.2, the Legislature has declared that the use of potable domestic water for the irrigation of residential landscaping is a waste or an unreasonable use of water within the meaning of Section 2 of Article X of the California Constitution if suitable recycled water, for this use, is available to the residents; and

WHEREAS, the proposed Water Demand Offset Fee will be imposed on any person who submits an application for potable water service to a property requiring outdoor irrigation and recycled water, for this use, is not available to serve the property where the potable water service is requested.

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors of the Moulton Niguel Water District does hereby:

SECTION 1. Incorporation of Recitals: The Recitals set forth above are incorporated herein, are made findings and determinations of the Board of Directors, and are an operative part of this Resolution.

SECTION 2. CEQA Compliance:

(a) The District, as lead agency under the California Environmental Quality Act (“CEQA”), has evaluated the potential environmental impacts of the Water Demand Offset Fee. As the decision making body for the District, the Board of Directors has reviewed and considered the information contained in the administrative record for the adoption of the proposed Water Demand Offset Fee.

(b) The Board of Directors finds that the Water Demand Offset Fee is intended to fund as-yet unknown, future water reliability and water use efficiency projects, programs, and capital improvement projects related to the District’s need to finance capital improvements or other programs to provide a reliable water supply for new development and to provide equity between new development and existing customers. This fee does not commit the District to approve any particular project, program, or capital improvement, but will be placed in a separate fund for potential future projects. This Water Demand Offset Fee is in response to the District’s projected need for additional facilities and infrastructure to provide services, including continued water supply reliability, to its existing customers and new development. Any activities, including infrastructure improvements, to be funded by Water Demand Offset Fees will be subject to future environmental review under CEQA, as applicable, prior to District approval.

(c) The Board of Directors therefore finds that the Water Demand Offset Fee is not subject to environmental review under CEQA. First, the Water Demand Offset Fee, in and

of itself, does not have the potential for resulting in either a direct physical change in the environment, or a reasonably foreseeable indirect physical change in the environment and therefore is not considered a “project” under CEQA. (Pub. Resources Code, § 21065, 14 Cal. Code Regs., § 15378, subd. (a).) Second, the Water Demand Offset Fee is covered by the general rule that CEQA applies only to projects which have the potential for causing a significant effect on the environment; here, there is no possibility that the Water Demand Offset Fee, in and of itself, may have a significant effect on the environment. (14 Cal. Code Regs., § 15061, subd. (b)(3).) And third, the Water Demand Offset Fee is considered a government funding mechanism that does not involve any commitment on behalf of the District to any specific project which may result in a potentially significant physical impact on the environment. (14 Cal. Code Regs., § 15378, subd. (b)(4).)

(d) The determination that the Water Demand Offset Fee is not subject to CEQA review reflects the Board of Directors’ independent judgment and analysis.

(e) The documents and materials that constitute the record of proceedings on which these findings have been based are located at 27500 La Paz Road, Laguna Niguel, CA 92677-3489. The custodian for these records is the Secretary of the Board of Directors of the District.

SECTION 3. Water Demand Offset Fee: The Board hereby adopts the Water Demand Offset Fee at the rates specified in Attachment “A”. The Water Demand Offset Fee shall be imposed on any person who submits an application for potable water service to a property requiring outdoor irrigation and recycled water is not available to serve the property where the potable water service is requested. The rate for the Water Demand Offset Fee is based on water demand estimates for 1,000 square feet of irrigable area.

SECTION 4. Inconsistency with other Fees or Charges: To the extent that the Water Demand Offset Fee established by this Resolution is inconsistent with any fees or charges previously adopted by the District, it is the explicit intention of the Board of Directors of the District that the Water Demand Offset Fee adopted in this Resolution shall prevail.

SECTION 5. Severability: If any section, subsection, clause or phrase in this Resolution or the application thereof to any person or circumstances is for any reason held invalid, the validity of the remainder of this Resolution or the application of such provisions to other persons or circumstances shall not be affected thereby. The Board hereby declares that it would have passed this Resolution and each section, subsection, sentence, clause, or phrase thereof, irrespective of the fact that one or more sections, subsections, sentences, clauses or phrases or the application thereof to any person or circumstance be held invalid.

SECTION 6. Implementation: The General Manager of the District is hereby authorized and directed to take all actions necessary to implement the new rates for the Water Demand Offset Fee effective October 1, 2016, and to file a Notice of Exemption for the Water Demand Offset Fee with the County Clerk for the County of Orange within five working days of the date of the adoption of this Resolution.

#10.

SECTION 7. Effective Date of Resolution. This Resolution shall take effect immediately upon its adoption.

ADOPTED, SIGNED and APPROVED this 15th day of September, 2016.

MOULTON NIGUEL WATER DISTRICT

President/Vice President
MOULTON NIGUEL WATER DISTRICT
and of the Board of Directors thereof

Secretary/Assistant Secretary
MOULTON NIGUEL WATER DISTRICT
and of the Board of Directors thereof

STATE OF CALIFORNIA)
) ss.
COUNTY OF ORANGE)

I, PAIGE GULCK, Secretary of the Board of Directors of the MOULTON NIGUEL
WATER DISTRICT, do hereby certify that the foregoing is a full, true, and correct copy of
Resolution No. _____ of said Board and that the same has not been amended or repealed.

Dated this ____ day of _____, 2016.

Paige Gulck
Secretary
MOULTON NIGUEL WATER DISTRICT
and of the Board of Directors thereof

