



Policy Number: 6100

Policy Title: Record Retention and Destruction

A Record Retention and Destruction Schedule shall be developed and maintained to direct staff on procedures for retaining and destroying FOWD records. This schedule shall be written in compliance with California Government Codes and approved by resolution of the Board of Directors.

1. Purpose of the Policy

1.1. Provide guidelines to the Fair Oaks Water District (FOWD) staff regarding the retention and disposal of FOWD records in accordance with business need and with legal and regulatory requirements.

2. Record Retention and Destruction Schedule

2.1. A Record Retention and Destruction Schedule has been developed and approved by resolution of the FOWD Board of Directors (Board). All records must be kept up to and including the retention period defined in the schedule – the schedule is included in this policy as Attachment “A”.

2.2. The Record Retention and Destruction Schedule complies with the Local Government Records Management Guidelines adopted by the California Secretary of State, classifying the FOWD’s records by category, and establishing standard procedure for retention and destruction of FOWD’s records.

2.3. The FOWD is not responsible for the loss of any records due to natural disaster, cyber attack, or any other circumstance out of the control of the FOWD.

2.4. The Board authorizes the General Manager, or their designee, to update and amend the “Record Retention and Destruction Schedule” as needed to comply with current regulations without further approval from the Board.

2.5. Pursuant to the provisions of Government Code, including sections 60200 through 60204 and 12236, the retention and destruction of records of the FOWD must be implemented as follows:

2.5.1. The FOWD must retain the following records regardless of its Record Retention and Destruction Schedule:

2.5.1.1 Documents that have a continuing business need such as pending litigations, special projects, etc.

- 2.5.2. The FOWD may destroy the following records at any time.
 - 2.5.2.1 Duplicate records.
 - 2.5.2.2 Rough drafts, notes, and working papers, that are no longer necessary for the continuing business of the FOWD.
 - 2.5.2.3 Other papers used for controlling work.
- 2.5.3. Records not specifically mentioned in this policy shall be retained for a period of two years.
- 2.5.4. Upon approval by the General Manager, the FOWD may retain files for a longer period unless the law requires destruction.
- 2.5.5. Original documents may be converted to digital or photographic media and the originals may be destroyed. To the extent permitted by law, the FOWD shall use technology solutions to minimize the creation of paper files and records and to minimize the future workload in digitizing paper files for archive purposes.
- 2.5.6. Any document that falls within multiple categories shall be covered by the higher retention period.

2.6. Electronic Files

- 2.6.1. Electronic files have the same retention and destruction requirements as section 2.
 - 2.6.1.1 This requirement is limited to the capabilities of current FOWD Information Technology systems.

2.7. Electronic Mail (E-mail)

- 2.7.1. The FOWD's e-mail system is provided for employees to conduct FOWD's business.
- 2.7.2. The FOWD's e-mail preservation period is three years and is limited to items related to FOWD's official business records
 - 2.7.2.1 This requirement is limited to the capabilities of current FOWD Information Technology systems.

3. Text Messages, Voicemail Messages, and Social Media

- 3.1. Business done on behalf of the FOWD that requires the creation and preservation of records should not be conducted in this format; therefore, the FOWD will not preserve or retain these records, except to the extent that such records are required to be preserved due to related, pending litigation or other relevant State law.

4. Violation of Policy

- 4.1. Employees are expected to manage and protect FOWD's records. Violations of the policy may result in disciplinary action against an employee, up to and including termination.

5. Records Disposal

5.1. The General Manager or their designee may destroy and discard records, by any permanent method that protects the confidentiality of any privileged or confidential information after the retention period, as shown on the Record Retention and Destruction Schedule.

6. Responsible Personnel

6.1. The Finance Manager shall be responsible for the implementation of the Records Retention and Destruction Policy.

6.1.1 The responsible personnel shall:

- i. review the records annually;
- ii. propose to management a list of records for destruction after the FOWD's annual financial audit and before April 30;
- iii. submit the proposed destruction records to the General Manager for approval;
- iv. destroy the records once approved by the General Manager; and
- v. keep a hardcopy and/or electronic summary of items being destroyed along with destruction confirmation.

FAIR OAKS WATER DISTRICT
Attachment A
Record Retention and Destruction Schedule

<u>RECORD CATEGORY</u>	<u>RETENTION PERIOD</u>
ADMINISTRATION	
<i>Annual Disclosure Statement form 470.....</i>	7 Years after filing
<i>Brochures, Publications, Newsletter, Press Releases.....</i>	Superseded + 2 Years
<i>Filings with Secretary of State.....</i>	Permanent
<i>Formation/Change of Organization/Reorganization.....</i>	Permanent
<i>General Correspondence.....</i>	Current Year + 2 Years
<i>Grants (Federal & State).....</i>	Closed + 5 Years
<i>Management Reports.....</i>	2 Years
<i>Media Relations.....</i>	Current Year + 2 Years
<i>Public Record Request.....</i>	Completion + 2 Years
<i>Records Disposition Certification.....</i>	Permanent
<i>Records Management.....</i>	Closed + 2 Years
<i>Records Retention Schedule.....</i>	Superseded + 4
<i>Statement of Economic Interest Form 700.....</i>	7 Years after filing
BOARD OF DIRECTORS	
<i>Adopted Conflict of Interest Code.....</i>	Current + 3 Years
<i>Agendas.....</i>	Current Year + 2 Years
<i>Board and Standing Committee Meeting Minutes.....</i>	Permanent
<i>Board Meeting Audio Recording</i>	1 month after Board approval of minutes
<i>Board Policies and Procedures.....</i>	Superseded + 2 Years
<i>Meeting Notices.....</i>	Current Year + 2 Years
<i>Notifications and Publications.....</i>	Election + 2 Years
<i>Oath of Office & Other Election Related Documents.....</i>	Term of Office + 6 Years
<i>Resolutions and Ordinances.....</i>	Permanent
<i>Staff Reports.....</i>	Current Year + 2 Years
BOND ISSUANCE	
<i>Bond Issuance & Related Documents.....</i>	Closed + 10 Years
CONTRACTS & AGREEMENTS	
<u>Non-Capital</u>	
<i>Contracts and Agreements.....</i>	Termination + 5 Years
<i>Request for Proposal/Request for Qualifications.....</i>	Audit + 4
<i>Responses to Request for Proposal/Request for Qualifications-Successful.....</i>	Audit + 5
<i>Responses to Request for Proposal/Request for Qualifications-Unsuccessful.....</i>	Current Year + 2 Years
<u>Capital</u>	
<i>Contracts and Agreements.....</i>	15 Years
<i>Accepted Bid Documents.....</i>	Audit + 5 Years
<i>As-built Plans/Documents.....</i>	Permanent
<i>Unaccepted construction bids and proposals.....</i>	Closed + 2 Years
CUSTOMER SERVICE	
<i>Billing/Customer Records.....</i>	Current Year + 2 Years
<i>Billing Records.....</i>	Audit + 2 Years
<i>Connection Records.....</i>	Permanent
<i>Liens & Releases.....</i>	Closed + 2 years (supporting); Permanent (Recorded)
<i>Utility Rebates.....</i>	Current Year + 2 Years
<i>Meter Reading.....</i>	Current Year + 2 Years
<i>Meter Operations.....</i>	Current Year + 2 Years

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<u>RECORD CATEGORY</u>	<u>RETENTION PERIOD</u>
DEVELOPMENT/ENGINEERING	
<i>Blueprints/Specifications</i>	Closed + 2 Years
<i>Capital Improvements, Construction</i>	Permanent
<i>Development Agreements</i>	Permanent
<i>Development Conditions</i>	Life
<i>Development Standards</i>	Permanent
<i>Inspection</i>	Closed + 2 Years
<i>Maps & Plats</i>	Permanent
<i>Master Plans</i>	Superseded + 2 Years
<i>Permits (Construction)</i>	Permanent
<i>Permits (Other)</i>	Closed + 2 Years
<i>Photographs (Aerial)</i>	Superseded + 2 Years
<i>Projects not completed or denied</i>	Closed + 2 Years
<i>Surveys</i>	Permanent
FINANCIALS	
<i>Accounts Payable</i> ¹	7 Years after payment
<i>Accounts Receivable</i> ¹	Audit + 4 Years
<i>Audited Financial Statements</i>	Audit + 4 Years
<i>Banking Statements & Reconciliations</i>	Audit + 5 Years
<i>Budget</i>	Audit + 2 Years
<i>Federal & State Compliance Reporting/Filing</i>	Audit + 4 Years
<i>Fixed Asset (Vehicle Ownership and Title)</i>	Life
<i>Fixed Asset</i>	Audit + 4 Years
<i>General Ledger</i>	Current + 7 Years
<i>Inventory, Equipment</i>	Current + 2 Years
<i>Investment Transactions</i>	Current + 7 Years
<i>Purchasing</i>	Audit + 4 Years
<i>Rates</i>	Superseded + 2 Years
<i>State Controller's Report</i>	Permanent
HUMAN RESOURCES	
<i>Benefits</i>	Life of Plan/Policy + 6 Years
<i>Commercial Driver Records</i>	Closed + 7 Years
<i>Employee Fidelity Bond</i>	Termination + 2 Years
<i>Employee Handbook</i>	Superseded + 2 Years
<i>Employee Programs</i>	Closed + 2 Years
<i>I-9 (Employment Eligibility Verification)</i>	*3 Years from date of hire or 1-year following termination, whichever is later
<i>Job Descriptions</i>	Superseded + 2 Years
<i>Medical Leave</i>	Closed + 30 Years
<i>Payroll & Related Tax Filings</i>	7 Years after payment
<i>PERS Retirement/SSI/Social Security</i>	Permanent
 <i>Personnel Records</i>	 Termination + 2 Years
<i>Recruitment Records</i>	Closed + 3 Years
<i>Training Records</i>	Termination + 7 Years

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<u>RECORD CATEGORY</u>	<u>RETENTION PERIOD</u>
LEGAL	
<i>Claims (excluding worker's comp.)</i>	Completion + 5 Years
<i>Legal Advertisement</i>	Current Year + 4 Years
<i>Legal Notices & Meetings</i>	Current Year + 2 Years
<i>Opinions</i>	Superseded + 2 Years
<i>Petitions</i>	Current + 1 Year
MAINTENANCE & OPERATIONS	
<i>Main Valve Records</i>	Permanent
<i>Maintenance and Operations (Work orders/service requests, oncall logs etc.)</i> ...	Current + 2 Years
REAL PROPERTY	
<i>Deeds, Easements, and other documents related to real property interest</i>	Permanent
<i>Annexation & Detachment</i>	Permanent
RISK MANAGENT	
<i>Accident Reports</i>	Closed + 7 Years
<i>Bonds and Insurance Policies</i>	Permanent
<i>Damaged Claims</i>	Closed + 5 Years
<i>Incident Reports</i>	Closed + 7 Years
<i>Insurance Certificates (filed separately from contracts)</i>	Expired + 10 Years
<i>Photographs, Negatives, Film</i>	Closed + 2 Years
<i>Risk Management Reports</i>	Closed + 5 Years
<i>Worker's Compensation (Claims/Files/Reports/Incidents)</i>	Permanent
SAFETY	
<i>Hazardous - Training Materials</i>	Superseded + 2 Years
<i>Hazardous Materials Storage Permits</i>	Superseded + 2 Years
<i>Hazardous Waste Diposal</i>	Current Year + 10 Years
<i>Safety Certifications</i>	Current Year + 2 Years
<i>Safety Reports</i>	Current Year + 2 Years
<i>Vehicle Service Schedule</i>	Superseded
WATER SYSTEM	
<i>Chemical Analysis</i>	10 Years
<i>Consumer Confidence Report</i>	3 Years
<i>Microbiological & Turbidity</i>	5 Years
<i>Permits (Water & NDPEs)</i>	Permanent
<i>System Water Outage Complaints</i>	5 Years
<i>Water Quality</i>	Current + 12 Years

¹ Canceled checks and cash receipts that need to be retained longer than the indicated retention period should be filed with the documents pertaining to the underlying transaction (i.e. Development, Bond).