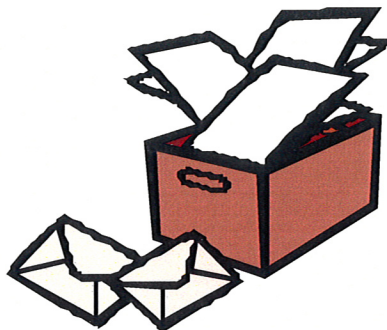


# **LOS OSOS**

## **COMMUNITY SERVICES DISTRICT**

### **RECORDS MANAGEMENT AND RECORDS RETENTION SCHEDULE**



**April, 2010**

## **INTRODUCTION**

The purpose of the Los Osos Community Services District's Records Management System is to facilitate reference to and preservation of District records.

The real goal of Records Management is making the desired information available at the required time at least expense. This depends solely on the strength of the records foundation: the retrieval system.

The measure of an effective records management program is not how much is discarded, how well forms are controlled, how effective a data requirement policy there is, but can a record be produced when needed. A well structured sort-as-you-go file system can put the burden of data retirement, microfilming and destruction where it belongs – with the clerical staff who operate the files. A base must be developed to gain more from the filing staff, reduce time lost in document searches, facilitate file purging and improve clerical morale.

All records have a life cycle: Active Records, Inactive Records and Obsolete Records. Every office manager recognizes this life cycle but records do accumulate because no one wants to move files to microfilm or storage because of lack of authority, system and equipment to do the job.

The following procedures and standards are established in accordance with Government Code § 60200 et seq. and other statutory requirements and sound records management practices.

## **RECORDS RETENTION SCHEDULE AND FILE PLAN**

### **PURPOSE**

The purpose of the schedule is to provide a guide for the periodic destruction of records that have outlived their usefulness to the District from a legal, operational and administrative standpoint.

### **BOARD OF DIRECTORS APPROVAL**

The Board of Directors' approval of this Records Management System by Resolution constitutes authority to dispose of the records listed herein in accordance with this policy. The Board shall annually review a list of records to be destroyed pursuant to this system. The following procedures shall be used for the annual review:

1. In September of each year, each department head shall gather a list of documents to be destroyed pursuant to this policy.
2. That list shall be given to the General Manager.

3. The General Manager shall bring the list of documents to be destroyed to the Board for consideration and that list shall be published as a part of the regular agenda.
4. The Board shall consider a Resolution approving the destruction of those records at its first meeting in October or as soon thereafter as may be convenient for the Board.
5. No record shall be destroyed before the Board adopts a resolution authorizing its destruction.

## **SCHEDULE**

The schedule is arranged in alphabetical order by responsible department according to record title. The schedule only covers records and does not provide a retention for non-records. All records need approval for destruction. Non-records on the other hand do not need formal approval for destruction and may be destroyed when they are no longer of value and have served their purpose. Non-records are reference papers, notes, working papers, publications, catalogs, outdated forms, and other similar materials, which are of no use to the department in relation to the duties which it performs and is not required to support or substantiate any District transactions. Duplicate copies of records may be destroyed without formal approval provided the information is contained on original copies which are retained; the only exceptions to this are noted on the schedule. All other documents are records. Any doubt as to whether a document is a record or not should be resolved by describing the document as a record or, if many similar documents are in question, the District legal counsel's office should be asked for advice.

## **RETENTION**

The retention represents that amount of time the record is required to be kept after it has become inactive. For example, if a record of a project begun in 1999 and completed in 2003 was required to be kept for two (2) years, it could be destroyed after 2005. All numbers refer to years unless otherwise indicated. The retention periods are as follows:

Legal Minimum: Number of years the record is required to be retained under State law and for legal purposes. Generally, the minimum is as follows:

### **Type of Record**

### **Legal Minimum**

The originals of Ordinances, Resolutions and Minutes of the Board of Directors, Boards, and Commissions:

Permanent

Records affecting the title to real property, easements or liens thereon:	Permanent
Court records:	Permanent
Bonds and coupons that have previously paid or cancelled:	5 Years
Other original records:	2 Years
Federal and state financed projects:	5 Years

The above guidelines establish the minimum legal retention time as required by state law, however, departments may have additional requirements for inactive records imposed by state law. Retention beyond the legal limitation is a matter of District policy to be based on the continuing need for the document.

Department Minimum: Number of years or other time as stated that the records must be retained before it can be destroyed as determined by the department in consultation with the District Manager.

## **ADMINISTRATION – BOARD FILE PLAN**

### Permanent Records:

1. Ordinances
2. Resolutions
3. Agendas
4. Board Minutes
5. District Code
6. Conflict of Interest Code
7. Board By Laws
8. Election Results
9. Board of Directors-Oaths of Office and Statements of Economic Interests
10. Claims against the District-releases and settlements
11. Lawsuits-releases and settlements
12. Statement of facts – Roster of Public Agency Filing
13. Recorded documents
14. Deeds/leases (all finalized property acquisition/disposition records)
15. Annexations/De-Annexations
16. Policies and Procedures
17. Confidential and attorney-client privileged documents

Records to be retained for specific period (years):

	<u>Legal</u>	<u>LOCSD</u>
Administration	2	2
Staff Reports and agenda packets	2	5
Audio/video tape recording of meetings	90 days	90 days

### **ADMINISTRATION – DISTRICT FILE PLAN**

Permanent Records:

1. Policy and Procedures
2. Confidential and attorney-client privilege documents
3. Record Retention and Destruction Notices

Records to be retained for specific period (years):

	<u>Legal</u>	<u>LOCSD</u>
Administration	2	2
Telephone Call Logs	2	2
Public Document Requests	2	2

### **UTILITY-WATER FILE PLAN**

Permanent Records:

1. DHS Permits
2. Production and Consumption Reports
3. Well Depths
4. Well Development
5. Cathodic Protection
6. District installed improvements
7. Reimbursement Agreements
8. Operation and Maintenance Manuals
9. Distribution system-as built, topography and aerial maps

- 10. Policies and Procedures
- 11. Agreements
- 12. Retrofit Program
- 13. Fire hydrant and valve Inventory
- 14. Confidential and attorney-client privileged documents

Records to be retained for specific period (years):

	<u>Legal</u>	<u>LOCSD</u>
Administration	2	2
Maintenance Records	2	5
Water Sampling Results and Reports	2	5
Backflow test results	2	5
Annual Reports:	2	5
-Office of Drinking Water		
-State Water Quality Control		
Board Reports		
-Water Quality Reports		
-Enforcement Letters		
-SLO County		
Rate Surveys	2	5
SCADA Records	2	5

### UTILITY-DRAINAGE FILE PLAN

Permanent Records:

- 1. Resolutions
- 2. Maps
- 3. Policies and Procedures
- 4. Confidential and attorney-client privileged documents

Records to be retained for specific period (years):

	<u>Legal</u>	<u>LOCSD</u>
Administration	2	2
Maintenance Records	2	5

## **UTILITY-FLEET PLAN**

Permanent Records:

1. Policies and Procedures
2. Confidential and attorney-client privileged documents

Records to be retained for specific period (years):

	<u>Legal</u>	<u>LOCSD</u>
Administration	2	2
Safety Checks	2	Life of ownership of vehicle
Maintenance Logs	2	Life of ownership of vehicle
Smog Checks	2	Life of ownership of vehicle

## **CUSTOMER UTILITY BILLING FILE PLAN**

### **CUSTOMER RECORDS**

Permanent Records:

1. Application Cards/Forms
2. Work Orders
3. Cash Receipts other than utility billing (i.e. capacity fees)
4. Policies and Procedures
5. Confidential and attorney-client privileged documents

Records to be retained for specific period (years):

	<u>Legal</u>	<u>LOCSD</u>
Administration	2	2
Water Billing Stub	2	2
Payment Arrangements	2	2
Liens & Releases	2	2
Work Order Log Books	2	2
Customer Complaints/Resolutions	2	2

**ACCOUNTS RECEIVABLE**

Permanent Records:

- 1. Policies and Procedures
- 2. Confidential and attorney-client privileged documents

Records to be retained for specific period (years):

	<u>Legal</u>	<u>LOCSD</u>
Administration	2	2
Account Receivable-computer Generated Ledgers and Reports	5	5

**FINANCE FILE PLAN**

Permanent Records:

- 1. Audits-Annual Audit of District Records
- 2. Annual Report of Financial Transactions of Special Districts
- 3. Appropriation Limitations
- 4. Insurance Policies
- 5. Investment Policies
- 6. Bank Contracts
- 7. Deferred Compensation-457 Plan
- 8. Inventory of Fixed Assets (current)
- 9. Policies and Procedures
- 10. Confidential and attorney-client privileged documents

Records to be retained for specific period (years):

	<u>Legal</u>	<u>LOCSD</u>
Administration	2	2
Accounting Records including Financial Statements, General Ledger, Adjusting Journal Entries and other working papers used in preparation of the Financial Statements	2	5
Accounts Payable Invoices	2	5



Annual Budgets and working papers	2	5
Payroll including timesheets, reports, deductions and registers	5	5
Forms W-2, 1099, 941, DE3	5	5
Bank Statements and cancelled checks	5	5
Assessment Districts		Duration of Assessment
State Revolving Fund Loans		Duration of the Loan
Rate Studies, Replacement Studies and Capital Improvement Plans	2	5
Bids and Agreements for Purchase/Surplus of Equipment or Services	5	5

## HUMAN RESOURCES FILE PLAN

Permanent Records:

1. Employee Personnel Records (Active) (See Listing Below)
2. Personnel Rules and Regulations
3. Salary Step Plan
4. Contracts for PERS and 457 Deferred Compensation Plan
5. Policies and Procedures
6. Confidential and attorney-client privileged documents

Records to be retained for specific period (years):

	<u>Legal</u>	<u>LOCSD</u>
Administration	2	2
Employee Personnel Records (Inactive) (See listing below)	5	5
Recruitment	2	2
Safety including Accident Reports Safety Committee Meeting and Minutes	5	5

***ITEMS TO BE INCLUDED IN THE EMPLOYEE PERSONNEL RECORDS***

- Application Form
- W-4
- Form I-9
- Employee Acknowledgements
- PERS Enrollment Form (if applicable)
- Medical/Dental Enrollment Forms (if applicable)
- Employment Contract (if applicable)
- Copy of Drivers License
- DMV Pull Program
- Copies of Certifications (if required for employment)
- Salary History (Personnel Action Forms)
- Safety Awards
- Injury and Illness (Workman's Compensation)
- Letters of Commendation
- Vacation and Sick Accruals
- Employee Evaluations and responses
- Employee Grievances and/or appeals
- Verifications of Employment
- Exit Interview