

SOUTH PLACER MUNICIPAL UTILITY DISTRICT POLICIES

Policy Name:	3310 – RECORDS RETENTION POLICY		
Approval Authority:	SPMUD BOARD OF DIRECTORS	Adopted:	09/03/15
Resolution No.	15-23, 21-06	Revised:	02/04/21

**POLICY STATEMENT**

The purpose of this policy is to provide guidelines to staff regarding the retention or disposal of South Placer Municipal Utility District records to provide for the identification, maintenance, safeguarding, and disposal of records in the normal course of business. This policy is in place to ensure the prompt and accurate retrieval of records in compliance with legal and regulatory requirements.

**Section 1. Authority**

The General Manager is authorized by the Board of Directors to interpret and implement this policy, and to cause to be destroyed any or all such records, papers, and documents that meet the qualifications governing the retention and disposal of records, as specified below.

Pursuant to the provisions of §12772 of the California Municipal Utility District Act and California Government Code §60200 through §60203, the following criteria will govern the retention and disposal of records of the South Placer Municipal Utility District.

**Section 2. Definitions**

*Authorization* – Approval from the General Manager, as authorized by the District's Board of Directors.

*Accounting Records* – Include, but are not limited to, the following:

1. Invoices, Requisitions/Purchase Orders, Cash Receipts, Claims, Bank Statements, Bank Deposits, Checks, Bills, Vendor Records including W-9 and Insurance, Accounting Authorizations taken from Board Minutes, Resolutions, or Contracts.
2. JOURNALS: Accounts Receivable or Payable Register, Check (payables), General Journal, Payroll Journal.
3. LEDGERS: Expenditure, Revenue, Accounts Payable or Receivable Ledgers, Construction, General Ledger, Assets/Depreciation.
4. TRIAL BALANCE
5. STATEMENTS (Interim or Certified): Balance Sheet, Analysis of Changes in Available Fund Balance, Cash Receipts and Disbursements.
6. JOURNAL ENTRIES
7. PURCHASING: Inventory Records, Capital Asset Record, Depreciation Schedule, Inventory of Fixed Assets, Cost Accounting Records.

*Destroy* – To dispose of a record by shredding or recycling paper records (tangible documents and materials) or permanently deleting electronic records.

*Destroy Securely* – To dispose of a confidential record by shredding, erasing, incinerating, or pulverizing it on site. Such records may be destroyed securely off site using a document shredding company approved by the General Manager, which maintains procedures to ensure the confidentiality of records prior to destruction.

*Payroll and Personnel Records* – Include but are not limited to the following:

1. Accident Reports, Injury Claims, Settlements, Applications, Employment Changes, Earnings Records, Wage and Garnishments Records, Insurance Records of Employees, Job Descriptions, Medical Histories, Retirements, Timecards, Performance Evaluations.

*Life* – The inclusive, operational, or valid dates of a document.

*Record* – Any “record” as defined in Government Code §60201, including any paper, bound book or booklet, card, photograph, drawing, chart, blueprint, map, tape, microfilm, or other document, issued by or received by the District, and maintained and used as information in the conduct of its operations

*Record Copy* – The official District copy of a document or file.

*Record Series* – A group of records generally filed together and having the same reference and retention value.

*Records Center* – The site selected for storage of inactive records.

*Records Disposal* – The planning for and/or the physical operation involved in the transfer of records to a Records Center or the authorized destruction of records pursuant to the approved Records Retention Schedule.

*Record Lifecycle* – The active period, inactive period, and final disposition period are three commonly used lifecycle terms. The active period will vary according to the record but is generally characterized as a record that is used or referred to frequently during the course of business and should be readily accessible. The inactive period is when the record’s regular use declines or ends; however, the record is still required to be held. The final disposition is generally the end of the record’s life when a final decision is made about the record.

*Records Retention Schedule* – The consolidated, approved schedule list of all District records which timetables the life and disposal of all records.

*Retention Code* – Abbreviation of retention action which appears on the retention schedule.

*Trigger Event* – A tangible or intangible barrier or occurrence which, once met, causes another **event** to occur.

*Vital Records* – Records which, because of the information they contain, are essential to the resumption and/or continuation of operations, the recreation of legal and financial status of the District, in case of a disaster, or the fulfillment of obligations to bondholders, customers, and employees.

Vital records include but are not limited to the following:

1. Agreements, Annexations and Detachments, As-built Drawings, Audits, Contract Drawings, Customer Statements, Deeds, Depreciation Schedule, Disposal of Surplus & Excess Property, District Insurance Records, Easements, Encroachment permits, Facility improvement plans, Personnel Records, Individual Claims/Settlements, Inventory, Journal Vouchers, Ledgers,

Licenses & Permits (to operate), Loans & grants, Maps, Minutes of Board Meetings, Resolutions, Ordinances, Payroll registers, Policies, Rules & Regulations, Purchase Orders & Requisitions.

### **Section 3. Storage of Records**

Proper storage of records in all stages of a record's lifecycle, regardless of format, effectively utilizes resources, aids in the allocation of space, and reduces liability and cost to the District. District records should only be stored on approved devices and in appropriate storage locations (See Appendix A *Document Storage Requirements*).

State laws generally preclude the destruction of a public record less than two years old unless the record has been reproduced in some manner, properly stored, and is available for public disclosure to the same extent as the original. Accordingly, the District's Electronic Content Management System (ECMS) shall be the official repository used to retain and store electronic copies of District records. No page of any record shall be destroyed if the page cannot be reproduced electronically with full legibility. Every irreproducible page shall be permanently preserved for the applicable retention period set forth below. Every reproduction made pursuant to this section shall be deemed to be an original record.

### **Section 4. Duplicate Records**

Duplicate records, papers and documents may be destroyed at any time without the necessity of Board authorization or copying to photographic or electronic media.

### **Section 5. Records Prepared in a Manner other than Pursuant to State or Federal Statute**

Originals of records, papers, and documents more than two years old that were prepared or received in any manner other than pursuant to State or Federal statute may be destroyed without the necessity of copying to photographic or electronic media.

### **Section 6. Destruction**

Record disposition applies to all records, regardless of the physical form or location of the record. At the conclusion of a record's retention period, the record shall be disposed of in accordance with this Policy. Unless the document is retained permanently, records shall be destroyed (recycled or deleted) or destroyed securely (shredded, erased, incinerated, or pulverized). Records that are securely destroyed shall either be done under the supervision of another employee or by an approved agency.

The records classification and retention periods outlined in this Policy constitute legal authority for retention and disposal of official records. No record shall be destroyed until it has met the minimum retention period and destruction has been authorized. If this Policy does not include a particular record series, contact the Administrative Services Manager for assistance.

**Section 7. Records Hold**

When a District employee receives notice of an existing or anticipated lawsuit, that notice shall be immediately communicated to the District's General Counsel. Upon notice of existing or anticipated litigation or upon request for investigative or review purpose, the District's General Counsel shall initiate a record hold to suspend operation of the applicable record retention period for such records that may be related to the lawsuit or claim.

**Appendix A  
Document Storage Requirements**

<b>System</b>	<b>Lifecycle</b>	<b>Retention Standard</b>
<b>Laserfiche (ECMS)</b>	Active/Inactive	+ 5 Years
Laserfiche is recommended for records that are accessed by staff frequently and for records with long retention periods.		
<b>Network Folders</b>	Active/Inactive	- 5 Years
Network folders are recommended for files that are extremely large and may be difficult to work with in an alternate storage location as well as records that require internal sharing but where collaboration and versioning are not needed.		
<b>OneDrive</b>	Active	- 5 Years
OneDrive is recommended for documents where minimal sharing and collaboration is required.		
<b>SharePoint</b>	Active	- 2 Years
SharePoint is recommended for collaboration and frequent internal and external document sharing.		
<b>Software/Database</b>	Active/Inactive	- 5 Years
Case management software, workflow systems, and databases should not be used for long term storage of records. These records should be migrated into or integrated with Laserfiche to ensure adequate preservation of the records.		
<b>Internet/Intranet</b>	Duplicates	N/A
The Internet and Intranet should only contain duplicate copies of records, and links to the official copy shall be provided wherever possible.		
<b>Email</b>	Active	- 2 Years
Records contained in emails shall be moved to an alternate location and stored based on their content and the associated retention period.		
<b>Text Messages</b>	Active	-2 Years
Records contained in text messages shall be moved to an alternate location and stored based on their content and the associated retention period. For assistance migrating and preserving text messages located on a personal device, please contact the Administrative Services Manager.		
<b>Local Machine</b>	Active	N/A
Only drafts, duplicates and transitory documents shall be stored on a desktop or C: Drive.		
<b>External Media</b>	Active	N/A
Only drafts, duplicates and transitory documents shall be stored on an external media device such as a flash drive, CD, DVD, or external hard drive.		
<b>Onsite Physical Storage</b>	Active	- 5 Years
Physical records that are cost prohibitive to digitize due to limited need for access, a short retention period, or media type may be stored onsite in the Record Center.		

Series	Title or Description	Retention Period	Trigger Event	Retain or Destroy	Statue
A.01	Board Minutes, Ordinances & Resolutions	Permanent	N/A	I	GC §60201(d)(2); GC §60201(d)(3)
A.02	Board Agendas, Staff Reports, & Supplemental Materials	Permanent	N/A	I	GC §60201 et seq
A.03	Election Records including Oaths of Office	Permanent	N/A	I	GC §60201 et seq
A.04	Fair Political Practice Commission (FPPC) Filings: Form Series 400, 700, & 800 and Campaign Statements	7 years	Filing Date	DS	GC §81009(a-g)
A.05	Redistricting Records	Permanent	N/A	I	GC §60201(d)(1)
A.06	Public Record Requests	2 years	Request completion	D	GC §60201(d)(5)
A.07	Claims against the District	5 years	Settlement date		CCP §337; GC §911.2; GC §60201(d)(4)
A.08	Records affecting Title to Real Property or Liens Thereof	7 years	Disposal of property or removal of lien	DS	GC §60201(d)(8)
A.09	Contracts, Agreements, and Leases	10 years	Contract expiration date	DS	CCP §337; CCP §337.1(a); CCP §337.15; CCP §343; GC §60201(d)(9)
A.10	Unsuccessful Bids and Proposals	2 years	Close of solicitation period	DS	GC §60201(d)(11)
A.11	Accounting and Banking Records	10 years	Completion of transaction and/or project	DS	IRS Reg §31.6001-1(e)(2); 26 CFR §1.6001-1(e); R&T §19530; R&T §19530; GC §60201(d)(7); GC §60201 (d)(12)
A.12	Budget, Audit, Rate Study, Salary Study, Nexus Study and other Financial Reports and Schedules	Permanent	N/A	I	GC §60201(d)(10)
A.13	Payroll Records	10 years	Date of Payment	DS	GC §60201(d)(12); 29 CFR §1627.3
A.14	Personnel Records	3 years	Separation and/or employee & beneficiary no longer receiving retiree benefits.	DS	GC §12946; GC §60201(d)(12); 29 CFR §1627.3
A.15	Recruitment Records including Employment Applications, Interview Schedules and Notes, and Candidate Letters	2 years	End of recruitment	DS	29 CFR §1602.31; 29 CFR §1627.3(b)(ii); GC §12946
A.16	Utility Customer Information System	3 years	Account Closure	DS	GC §60201 et seq
A.17	Utility Billing Correspondence	3 years	Account Closure	DS	GC §60201 et seq
A.18	Delinquent Assessment Records	7 years	Lien date	DS	GC §60201 et seq
D.01	Documents with lasting Historical, Administrative, Legal, Fiscal, or Research Value.	Permanent	N/A	I	GC §60201(d)(10)
D.02	Policies and Procedures including correspondence, operational reports and information upon which District policy has been established.	10 years	Superseded or Inactive	DS	GC §60201(d)(10)
D.03	Grant Administration and Project Records	Grant requirement but not less than 7 years	Life of the Grant	DS	21 CFR §1403.36(i)(11); 21 CFR §1403.42(b); 24 CFR §85.42; 24 CFR §91.105(h); 24 CFR §570.502(b); 29 §CFR 97.42
D.04	Correspondence and Publications	2 years	Creation	D	GC §60201 et seq

F.01	Accident & Injury Reports	30 years	Date of incident	DS	GC §60201 et seq
F.02	Cal OSHA Records	<u>Regulatory Inspection Reports, Citations, Log 200 &amp; 300: 7 years</u> <u>Employee Medical and Exposure Monitoring: 30 years</u>	Inspection date	DS	8 CCR §3203(b)(1); 8 CCR §3204(d)(1); LC §6429(c)
F.03	Commercial Driver Program	5 years	Completion date	DS	29 CFR §1627.3(b)(v); 49 CFR 653.71
F.04	Training Records including Ethics and Harassment Prevention certificates	5 years	Completion of Training	DS	GC §60201 et seq; GC §53235.2(b)
F.05	Regulatory Permits & Records	15 years	Creation	D	GC §60201(d)(10)
F.06	Equipment Ownership and Maintenance Records	2 years	Surplus of the Equipment	DS	GC §60201 et seq
T.01	Construction Project Records including bids, accounting records, and correspondence	10 years	Project award	DS	GC §60201(d)(6)
T.02	As-Built Construction Plans	Permanent	N/A	I	GC §60201(d)(6)
T.03	Easement Records	Permanent	N/A	I	GC §60201(d)(8)
T.04	Bills of Sale	Permanent	N/A	I	GC §60201(d)(8)
T.05	Work Orders	Permanent	N/A	I	GC §60201(d)(6)
T.06	Inspection Records	2 years	Project completion	D	GC §60201(d)(6)
T.07	Standard Specifications	Permanent	N/A	I	GC §60201(d)(10)
T.08	Sewer Code	Permanent	N/A	I	GC §60201(d)(2)
T.09	Server Backups	<u>Incremental:</u> Daily - 5 days Weekly - 4 weeks Monthly - 3 months <u>Full:</u> Quarterly - 1 year Annual - 2 years	Creation	DS	GC §60201 et seq

SPMUD Record Inventory Worksheet

Date of Inventory: \_\_\_\_\_

Completed By: \_\_\_\_\_

Record Series #*	Title or Description*	Quantity	Retention Period*	Trigger Event*	1st Applicable Trigger Date	Last Applicable Trigger Date	Notes

\* See Record Retention Schedule (Policy 3310, Appendix B)





**SOUTH PLACER MUNICIPAL UTILITY DISTRICT**  
5807 Springview Drive  
Rocklin, CA 95677  
(916) 786-8555  
(916) 786-8553 (Fax)

### Authorization to Destroy Records

- Record Inventory Worksheet is Attached       Shredding of Paper Version is Required

#### Section I. Authorization

Complete this section prior to Destruction, after documents have been reviewed and prepared for Destruction.

\_\_\_\_\_  
Employee Name (Please Print)

\_\_\_\_\_  
Employee Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Supervisor

\_\_\_\_\_  
Date

#### Section II. Certification

Complete this section after Destruction of the documents.

I hereby certify that the records listed on the attached records inventory worksheet, have been dispositioned in accordance with District policies and procedures.

\_\_\_\_\_  
Employee Name (Please Print)

\_\_\_\_\_  
Employee Signature

\_\_\_\_\_  
Date

- Records were destroyed by a 3<sup>rd</sup> party vendor and a Certificate of Destruction is attached.

\*Return completed copies of this form to the Administrative Services Manager\*