

SAN BERNARDINO MUNICIPAL WATER DEPARTMENT

POLICIES & PROCEDURES MANUAL

POLICY 20.050 - RECORDS RETENTION POLICY

Date: December 14, 2021
Revision No.: 1
Supersedes: March 5, 1991
First Adopted: March 5, 1991

POLICY:

California Government Code Sections 34090 through 34090.7 and the California Secretary of State Local Government Records Management Guidelines govern the retention of records of the San Bernardino Municipal Water Department (Department) and the disposal of the Department's obsolete records. Through this policy, the Department will manage its records, files, documents and other information, regardless of format, in accordance with all applicable laws and regulations regarding records retention.

This policy provides guidelines for Department staff members regarding the retention of Department records; provides for the identification, maintenance, safeguarding of Department records and the disposal of obsolete records in the normal course of business; ensures prompt and accurate retrieval of records; and ensures compliance with all legal and regulatory requirements.

AUTHORIZATION:

The General Manager and/or designee is authorized by the Water Board to interpret and implement this policy. The General Manager and/or designee are authorized to perform any and all acts necessary to comply with the terms and intent of this policy.

RECORDS RETENTION SCHEDULE:

The Records Retention Schedule for the Department is attached to this policy as Attachment "A" and is incorporated into this policy by reference. This policy and the Records Retention Schedule comply with state and federal law as well as the records retention guidelines provided by the California Secretary of State. The Records Retention Schedule may be updated from time to time by the General Manager and/or designee in order to stay current with federal and state laws as well as any other regulations.

PROCEDURE:

- A. Administrative Coordinators in each section are responsible for establishing and maintaining office, regulatory, and other files on programs and projects; establishing and maintaining complex filing systems and assisting with coordinating the retention of records for the Department. The Administrative Coordinators will work with section staff members to comply with the policy and the Records Retention Schedule.
- B. The Department Records Destruction form will be completed listing among other things the destruction date and description of each document to be destroyed per the Records Retention Schedule. The form will be signed by all listed parties. A sample form is attached to this policy as Attachment "B."
- C. After receiving the signed form from all parties, the Administrative Coordinator and/or designee will indicate the date of destruction per the Records Retention Schedule on the form, sign the form. If not using an online form filed automatically in Laserfiche, the Administrative Coordinator will scan the paper form into Laserfiche.
- D. The Administrative Coordinator and/or designee will retain a permanent copy of the form to document the destruction of obsolete records of the Department in Laserfiche.

GENERAL GUIDELINES:

1. Except where a record is expressly required to be preserved according to State law, the Department may destroy any original obsolete document without retaining a copy of the document as long as the retention and destruction of the document complies with the retention schedule as set forth in this policy. (Gov. Code § 34090.)
2. In addition to the retention periods required under this policy, the Department shall retain original administrative, legal, fiscal and/or historical records with continued value (i.e., records for long-term transactions and/or special projects) until all matters pertaining to such records are completely resolved or the time for appeals has expired. (Gov. Code 34090.)
3. Pursuant to Government Code Section 34090, the Department shall not destroy any of the following records, except as provided in Government Code Section 34090 through 34090.7:
 - (a) Records affecting the title to real property or liens thereon;
 - (b) Court records;
 - (c) Records required to be kept by statute;
 - (d) Records less than two years old; or
 - (e) The minutes or resolutions of the Water Board.

RECORDS TO BE RETAINED IN ORIGINAL FORMAT:

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

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

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

After two (2) years, the Department may image/scan the above documents and dispose of the hard copy versions. The electronic version becomes the "original," pursuant to State law. (Gov. Code § 34090, subd. (d).)

DUPLICATE RECORDS:

The General Manager and/or designee is authorized to destroy at any time any **duplicate** record, paper or document of the Department while the original, whether in paper or electronic format, is retained by the Department for the legally required time period.

EXCEPTIONS TO SCHEDULED DISPOSAL OF OBSOLETE RECORDS:

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

- (a) A pending Public Records Act request received by the Department;
- (b) A subpoena served on the Department;
- (c) A Request for Production received by the Department from an opposing party in litigation;
- (d) A court order;
- (e) A litigation hold or request for preservation of evidence received by the Department; or
- (f) A claim filed against the Department under the Government Claims Act.

The above exceptions apply to both hard copy and electronic records.

Policy Review

Established:

Board approved:

No changes:

No changes:

3/5/1991

12/14/2021

7/2022

7/2023

Minor grammar/spacing changes only:

7/2024

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Category of Record	Description or Example of Record	Legal Authority	Retention Period
Accident/Illness Reports	For Employee Medical Records & Employee Exposure Records regarding exposure to toxic substances or harmful physical agents --Includes Material Safety Data Sheets (MSDS) Does NOT include records of health insurance claims maintained separate from employer's records; first aid records of one-time treatments for minor injuries; records of employees who worked less than one (1) year if records are given to employee upon termination	GC 12964 GC 34090 8 CCR 3204(d) (1) (A)– (B)	Length of employment + 30 years

Legal Authority Abbreviations

CCP	Code of Civil Procedure (California)	GC	Government Code (California)	PC	Penal Code (California)
CCR	California Code of Regulations	R&TC	Revenue & Taxation Code (California)	H&S	Health & Safety Code (California)
CFR	Code of Federal Regulations	USC	United States Code	PRC	Public Resources Code
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Category of Record	Description or Example of Record	Legal Authority	Retention Period
Accidents/Damage to SBMWD Property	Risk management administration	GC 34090 CCP 337.15	10 years
Accounting Records - General Ledger	General Ledger	GC 34090 CCP 337 Sec. of State Local Gov't. Records Mgmt. Guidelines recommendation	Permanent
Accounting Records - - Permanent Books of Accounts	Records showing items of gross income, receipts, and disbursement (including inventories, per IRS regulations)	26 CFR 1.6001-1(a), (c) & (e)	Permanent

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Category of Record	Description or Example of Record	Legal Authority	Retention Period
Accounts Payable	Journals, statements, asset inventories, account postings with supporting documents, vouchers, investments, invoices and back-up documents, purchase orders, travel expense reimbursements, petty cash, postage, PERS reports, check requests, etc.	CCP 337 26 CFR 31.6001-1(e)(2) Sec. of State Local Gov't. Records Mgmt. Guidelines recommendation	Until audited + 4 years
Accounts Receivable	Receipts for deposited checks, coins, currency; checks received, reports, investments, receipt books, cash receipts, cash register tapes, etc.	CCP 337 26 CFR 31.6001-1(e)(2) Sec. of State Local Gov't. Records Mgmt. Guidelines recommendation	Until audited + 4 years
Affidavits of Publication / Posting	Legal notices for public hearings, publication of ordinances/resolutions, legal advertising, etc.	GC 34090 GC 54960.1(c)(1)	Current + 2 years, unless part of a project or matter that requires longer retention (i.e., CEQA documents)
Agenda / Agenda Packets	City Water Board - - agendas and packets can be imaged immediately for retention, if desired.	GC 34090 GC 34090.5	2 years

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Category of Record	Description or Example of Record	Legal Authority	Retention Period
Agenda reports (staff reports)	City Water Board - Originals can be imaged immediately for retention, if desired. The imaged record can serve as the "original" record, if desired.	GC 34090 GC 34090.5	2 years
Agreements	Original contracts and agreements and back-up materials, including leases, license agreements, service/maintenance contracts, etc.	CCP 337 CCP 337.1(a) CCP 337.2 CCP 343 48 CFR 4.703(a)	4 years after termination/completion
	Original contracts/agreements regarding the development of real property, design, specifications, surveying, planning, supervision, testing, or observation of construction or improvement to real property; may include records of retention releases, retention withheld, change orders, etc.	CCP 337.15 48 CFR 4.703(a)	10 years after termination/completion
Annexations / Reorganizations	Notices, Resolutions, Certificates of Completion	GC 34090	Permanent
Appraisals	For Real Property Owned by SBMWD	GC 34090	2 years

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Assessment Districts	Original Documentation	GC 34090	Permanent
Audit Hearing or Review	Documentation created and or received in connection with an audit hearing or review	GC 34090	2 years
Audit Reports	Financial services; internal and/or external reports	GC 34090 CCP 337 CCP 343 Sec. of State Local Gov't. Records Mgmt. Guidelines recommendation	Current + 4 years
Audit Working Papers & Confirmation Letters		GC 34090	4 years
Backflow Test Reports & Maintenance Certifications	Reports of testing and maintenance - water supply	17 CCR § 7605	3 years

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Category of Record	Description or Example of Record	Legal Authority	Retention Period
Bank Account Reconciliations & Statements, including Trust Accounts	Bank statements, receipts, certificates of deposit, etc.	26 CFR 31.6001-1(e)(2) Sec. of State Local Gov't. Records Mgmt. Guidelines recommendation	Until audited + 5 years
Bids, Successful	Includes plan and specifications; notices/affidavits.	GC 34090 CCP 337 CCP 337.1(a)	4 years
Bids, Unsuccessful	Unsuccessful bid packages only	GC 34090	2 years
Billing Records	Utility bill stubs - submitted with payment; Billings, correspondence, complaints	GC 34090	Current + 2 years
Bond Property Tax Assessments		GC 34090	Permanent
Bonds	Authorization/public hearing records/prospectus/proposals/certificates/notices (transcripts)/registers/statements.	CCP 336a CCP 337.5	Upon cancellation, redemption or maturity + 10 years
Bonds, Employee (Fidelity Bonds)	Form of insurance that covers employer (SBMWD) for losses resulting from fraudulent acts of specified employees	GC 34090 Sec. of State Local Gov't. Records Mgmt. Guidelines recommendation	Length of employment + 2 years

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Bonds - Final	Final bond documentation; monthly statement of transactions; supporting documents	GC 34090 CCP 337.5	Upon cancellation, redemption or maturity +10 years
Bonds - Paid/Cancelled	Paid or cancelled bonds; warrant certificates; interest coupons	GC 34090 GC 53921	2 years
Bonds, Surety	Documentation created and/or received in connection with the performance of work/services for the SBMWD, or for parcel maps and subdivision work	CCP 337	4 years
Bonds - Unsold/Unused	Unsold/unused bonds	GC 34090 GC 43900 et seq.	2 years (specific requirements for disposal of unused bonds)
Brochures/ Publications	Informational/promotional documents created for or by the SBMWD	GC 34090	2 years
Budget, Annual	Annual operating budget approved by City Water Board	GC 34090 Sec. of State Local Gov't. Records Mgmt. Guidelines recommendation	Permanent

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Category of Record	Description or Example of Record	Legal Authority	Retention Period
Building	Blueprints/ Specifications, Drawings, Plans (Final, As-Builts)	GC 34090 Sec. of State Local Gov't. Records Mgmt. Guidelines recommendation	Permanent
California Department of Public Health Emergency Manual		GC 34090	Until superseded
California Department of Public Health Water Supply Permits & Amendments		GC 34090	Expiration + 5 years
Cal-OSHA	Log of work-related injuries & illnesses (Form 300), Annual Summary (Form 300A), Incident reports (Form 301)	LC 6410 8 CCR 14300.33	5 years
California State Tax Records	Forms filed annually; quarterly and year-end reports	R&TC 19530 R&TC 19704	6 years

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Cash Flow Information, Cashiering, and Cash Receipts	Including Batch Tickets / Reconciliation Sheets / Daily Collection Sheets / Remittance Processing / Over Short Report, Posting Report, & Remittance Processor Images	GC 34090	6 years
Cashiering, Batch Tickets / Reconciliation Sheets / Daily Collection Sheets / Remittance Processing / Over Short Report		GC 34090	5 years
Cashiering, Posting Report		GC 34090	5 years
Cashiering, Remittance Processor Images		GC 34090	5 years
Cash Receipts, Spreadsheets		GC 34090	6 years
Chains of Custody		GC 34090 22 CCR 64400.20 22 CCR 64690.80	12 years

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Category of Record	Description or Example of Record	Legal Authority	Retention Period
Checks (SBMWD-issued)	Includes payroll checks; canceled or voided checks; copies of checks; electronic versions of checks	GC 34090 CCP 337 26 CFR 31.6001-1(e)(2) Sec. of State Local Gov't. Records Mgmt. Guidelines recommendation	Until audited + 5 years
Chlorination Checks / New Mains		GC 34090	5 years
Citizen Feedback		GC 34090	2 years
Claims Against the SBMWD	Government Claims Act - Claims paid or denied	GC 34090	Until settled + 2 years
Collections, Accounts turned over to Collection / Bankruptcies		GC 34090	7 years
Collections, Collection Agency Assignments		GC 34090	7 years
Collections, Customer Activity Accounting		GC 34090	7 years
Collections, Fees	Sampling, Discharge, etc.	GC 34090	7 years

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Collections, Liens Filed		GC 34090	Permanent
Collections, Liens Released		GC 34090	7 years
Collections, Miscellaneous Receivables	Hydrants, etc.	GC 34090	7 years
Collections, State Franchise Board Intercept Program		GC 34090	7 years
Collective Bargaining Agreements	Memoranda of Understanding (MOUs) with employee unions; represented employee groups	29 CFR 516.5(b)	Current + 3 years
Committees or Task Forces	Internal (e.g. Safety Committee, Unified Management Team, etc.)	GC 34090	2 years
Community Surveys & Questionnaires	Water rates, customer satisfaction, etc.; Review final survey reports for historic significance	GC 34090	2 years
Complaints - Miscellaneous	Miscellaneous complaints, non-code enforcement, not related to specific lawsuits involving the SBMWD and not otherwise specifically covered by the Retention Schedule	GC 34090	2 years

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Category of Record	Description or Example of Record	Legal Authority	Retention Period
Annual Comprehensive Financial Report (ACFR)	Finance	GC 34090 CCP 337 Sec. of State Local Gov't. Records Mgmt. Guidelines recommendation	Until audited + 4 years
Control Industries		GC 34090	Out of business + 5 years
Consent Decree Compliance	Superfund / Groundwater Contamination	Consent Decree GC 34090	50 years
Copies/Drafts, Generally	Copies & drafts of documents NOT specifically governed by different section & where original/final is retained	GC 34090.7	When No Longer Required
Correspondence	General correspondence regarding SBMWD business, including, but not limited to, letters, emails, and text messages; Posts/comments on SBMWD-owned social media accounts.	GC 34090 CEQA Guidelines <i>Golden Door Properties, LLC v. Superior Court</i> (2020) 53 Cal.App.5th 733 PRC 21167.6	2 years

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Category of Record	Description or Example of Record	Legal Authority	Retention Period
County of San Bernardino - Haz Mat Business Permit Plans, Cal ARP, Inspections, etc..		GC 34090	Until superseded + 5 years
Crane Certificates		GC 34090	Until superseded + 2 years
Daily Gate Inspection Sheets		GC 34090	Permanent
Daily Production Run Sheets & Monthly Booster Reads		GC 34090	Permanent
Deeds, Real Property (Grant Deeds)	File with recorded documents; originals may not be destroyed.	GC 34090	Permanent
Deferred Compensation Reports	Finance - pension/retirement funds	29 CFR 516.5 29 CFR 1627.3	3 years
Demographic/Statistical Data		GC 34090	Current + 2 years
Depreciation Schedules		GC 34090	Until asset disposed + 4 years

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Category of Record	Description or Example of Record	Legal Authority	Retention Period
Development Agreements	Agreements for development of real property; Development and Disposition Agreements (DDAs); May include infrastructure contracts (i.e., architects, treatment plants, utility lines, etc.), franchises, etc.	CCP 337, 337.1, CCP 337.15 GC 34090 48 CFR 4.703 Sec. of State Local Gov't. Records Mgmt. Guidelines recommendation	Permanent
Development Conditions	Mitigation measures; filed with project files	GC 34090	For the life of the project (min. 2 years)
Development, General Subject Files	Internal working files including correspondence	GC 34090	2 years
Development, Incident Files	Emergency Call Outs	GC 34090	2 years
Development Logs	Logs, registers or similar records listing permits, certificates of occupancy issued, may include inspection, building activity, daily, plan check, utility	GC 34090(a) GC 4003 GC 4004 H&S 19850 - 19853	5 years
Development, Photographs	Aerial Photographs	GC 30490	Current + 2 years

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Development, Projects- Not completed or denied	Building, engineering, planning	GC 34090	2 years
Development, Reports	Activity, Periodic	GC 34090	2 years
Development, Seismic Retrofit Program	Includes Certificates of Compliance	GC 34090 H&S 19850 Sec. of State Local Gov't. Records Mgmt. Guidelines recommendation	Permanent
Development Standards	Includes standards for landscaping medians, parkway landscape development, public works construction	GC 34090 Sec. of State Local Gov't. Records Mgmt. Guidelines recommendation	Permanent
Development, Street Names and House Numbers	Includes street dedications, street vacations/closings, address assignment/changes	GC 34090 Sec. of State Local Gov't. Records Mgmt. Guidelines recommendation	Permanent

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Development, Studies, Special Projects & Areas	Engineering, joint powers, noise, transportation	GC 34090	2 years
Development, Surveys	Recording data and maps	GC 34090	Permanent
Distribution Sheets, Map Sheets and Gate Books		GC 34090	Until superseded (min. 2 years)
DMV Drivers' Records Reports (DMV Pull-Notice System)	Motor Vehicle Pulls	GC 34090 VC 1808.1(c) Sec. of State Local Gov't. Records Mgmt. Guidelines recommendation	7 years
Drinking Water Source Assessments		GC 34090	10 years
Drug Testing	Department of Transportation (DOT) Drug Testing	49 CFR 382.401(b) (1)	5 years
Easements, Real Property	File with recorded documents; originals may not be destroyed.	GC 34090	Permanent
Education Programs		GC 34090	2 years

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EEOC Records (Equal Employment Opportunity Commission)	Records, reports showing compliance with federal equal employment requirements (EEO-4 Reports, etc.)	29 CFR 1602.30	3 years
Election - Ballots - Prop. 218 (Assessment Districts)	Ballots - Property related fees (Assessment Ballot proceeding)	GC 53753(e) (2)	2 years
Emergency/Disaster Preparedness	Including notification plans	GC 34090	Until superseded + 5 years
Employee Benefits	Benefit plans (including "cafeteria" and other plans); health insurance programs; records regarding COBRA - extension of benefits for separated employees, insurance policies (health, vision, dental, deferred compensation, etc.)	29 USC 1027 28 CCR 1300.85.1 11 CCR 560 29 CFR 516.5 29 CFR 516.6 29 CFR 1627.3(b) (2)	For life of plan/policy + 6 years

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Employee Files	Personnel files, including Personnel Action Forms, release authorizations; certifications; reassignments; outside employment; commendations, disciplinary actions; terminations; oaths of office; pre-employment medical evaluations; fingerprints; identification cards (ID's), etc.	GC 12946 29 CFR 516.5 29 CFR 516.6 29 CFR 1602.31 29 CFR 1627.3 8 USC 1324A(b) (3) LC 1174	While current + 3 years
Employee, Grievances		GC 34090 GC 12946	Final disposition + 2 years
Employee Information, General	Name, address, date of birth, occupation, rate of pay and weekly compensation earned	GC 12946 29 CFR 1627.3 LC 1174	3 years
Employee Information - CEIR	Personnel--California Employer Information Report (for employers of 100 or more employees)	2 CCR 11013 (c) (1) GC 12946	Received + 2 years
Employee Information - Applicant Identification Records	Personnel--Data regarding race, gender, national origin of applicants	2 CCR 11013 (c) (2)	Received + 2 years

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Category of Record	Description or Example of Record	Legal Authority	Retention Period
Employee, Medical Records (routine)	Maintained separate from other medical records -- Health insurance claims; Records of one-time first aid treatment for minor injuries (burns, splinters, etc.), not involving medical treatment, loss of consciousness, restriction of work or motion, or transfer to another job, if made on-site by a non-physician	GC 12946 GC 34090 29 CFR 1627.3	Length of employment + 3 years
Employee, Noise Exposure	Noise exposure measurement records Employee audiometric test records	8 CCR 5100 8 CCR 5100	Current + 2 years Length of employment
Employee Programs	May include Employee Assistance Program (EAP), Employee Recognition program, etc.	GC 34090 GC 12946	2 years
Employee, Recruitment	Alternate lists/logs, ethnicity disclosures, examination materials, examination answer sheets, job bulletins	GC 12946 GC 34090 29 CFR 1602.31 29 CFR 1627.3	2 years
Employee, Reports	Employee statistics, benefit activity, liability loss	GC 34090	2 years

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Employment Agreements - At-Will Employees; Temporary Employees	Original agreements/contracts for at-will employees or temporary employees	CCP 337 CCP 343	Length of employment + 4 years
Employment Applications - Not Hired	Applications submitted for existing or anticipated job openings, including any records pertaining to failure or refusal to hire applicants (including rating sheets)	GC 34090 GC 12946 29 CFR 1627.3(b)(1)(i)	2 years
Employment Eligibility Verification (I-9 Forms)	Federal Immigration and Nationality Act; Immigration Reform/Control Act 1986	8 USC 1324a (b)(3) Pub. Law 99-603	3 years after date of hire, or 1 year after date of termination, whichever is later
Employment - Surveys and Studies	Includes classification, wage rates	GC 12946 GC 34090 29 CFR 516.6	2 years
Employment - Training Records	Paperwork documenting internal and external training for employees; includes any volunteer program training - class training materials, internships	GC 34090 GC 12946	Length of employment + 2 years
Employment - Vehicle Mileage Reimbursement Rates	Annual mileage reimbursement rates	GC 34090	Until superseded + 2 years

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Engineering Capital Improvement Projects	Supporting documentation including bidders list, specifications, reports, plans, work orders, schedules, etc.	GC 34090 CCP 337.15	Project completion + 10 years
Engineering Construction Tracking, Daily	Daily/weekly logs; daily/weekly reports, etc.	CCP 337.15	Project completion + 10 years
Engineering Drawings, Traffic Control Plan	Signs, signing and striping, road construction	GC 34090	Permanent
Engineering Flood Control	Storm Drains	GC 34090	Permanent
Engineering Project Number Files		GC 34090	Permanent
Engineering Street/Alley (Abandonment/ Vacation)	Relinquishment of rights and fee title	GC 34090	Permanent

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Environmental Control / Septic Receiving Records	Including Liquid Waste Discharge Hauler Permits	GC 34090 40 CFR 122.41(j)(2) NPDES Order No. CA 0105392 NPDES Order No. CA 8000304	5 years
Environmental Quality Air Quality (AQMD)	Participants/voucher logs, Total Daily Mileage Survey (TDM); various local authorities; Commute Alternative	CCP 338(k); GC 34090	3 years
Environmental Quality Asbestos	Documents, abatement projects, public buildings	GC 34090	Permanent
Environmental Quality California Environmental Quality Act (CEQA)	Exemptions, Final Environmental Impact Reports, Mitigation monitoring, negative declaration, notices of completion and determination, comments, statements of overriding considerations	GC 34090 CEQA Guidelines <i>Golden Door Properties, LLC v. Superior Court</i> (2020) 53 Cal.App.5th 733; PRC 21167.6	Permanent
Environmental Quality Congestion Management	Ride sharing, trip management	GC 34090	Completion + 2 years

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Environmental Quality Environmental Review	Correspondence, consultants, issues, conservation	GC 34090	Completion + 2 years
Environmental Quality Pest Control	Pesticide applications, inspections and sampling, documents	GC 34090	Completion + 2 years
Environmental Quality Soil	Analysis, construction recommendations	GC 34090	Completion + 2 years
Environmental Quality Soil Reports	Final Reports	GC 34090	Permanent
EPA Manifests	Records of Disposal	GC 12946 GC 34090 8 CCR §3204(d) (1)	Permanent
ERISA Records (Employee Retirement Security Act)	Employee Retirement Income Security Act of 1974 - Plan reports, certified information filed; records of benefits due	29 USC 1027 29 USC 1059	6 years

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Ethics Training Records (AB 1234)	Records required to be kept under Gov. Code section 53235.2. Records must show dates that local officials satisfied the training requirements and the entity that provided the training	GC 53235.2	5 years after receipt of training
Events Planning, Community	Review for historic significance	GC 34090	2 years
Family and Medical Leave Act (federal)	Records of leave taken, SBMWD policies relating to leave, notices, communications relating to taking leave	29 CFR 825.500 GC 12946	3 years (federal) 2 years (State)
Fee Schedules/Studies	Considered by the Commission	GC 34090	2 years
Fixed Assets Inventory	Reflects purchase date, cost, account number	GC 34090 Sec. of State Local Gov't. Records Mgmt. Guidelines recommendation	Until audited + 4 years
Fixed Assets Surplus Property	Auction; disposal - Listing of property; sealed bid sales of equipment	GC 34090 CCP 337	Until audited + 4 years

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Fixed Assets Vehicle Ownership & Title, Registrations	Title transfers when vehicle is sold.	VC 9900 et. seq.	Until sold
Focused Facilities Plans	5-year Plan (Sewer Master Plan)	GC 34090 CCP 336(a) CCP 337	Permanent
Forms	Administrative - blank		Until Superseded
Fund Transfers	Internal; bank transfers & wires	GC 34090	Until audited + 2 years
GASB 45 Compliance Documents	Actuarial contract, schedules and any other data in support of actuarially determined OPEB liability	GC 34090	Permanent
Gift to Agency Report (FPPC Form 801)	FPPC form showing payment or donation made to the SBMWD or to an SBMWD official and which can be accepted as being made to the SBMWD	2 CCR 18944(c) (3) (F), (G) FPPC Fact Sheet : "Gifts to an Agency - Part 2"	Originals - 7 years
Gifts/Bequests	Finance - to the SBMWD (kept with cash receipts)	GC 34090	2 years

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Grants Federal and State grants	Grant documents and all supporting documents: applications, reports, contracts, project files, proposals, statements, sub-recipient dockets, environmental review, inventory, consolidated plan, accounting, etc.	GC 34090 2 CFR 200.334 24 CFR 570.502 24 CFR 85.42	Until completed + 4 years
Grants - Unsuccessful	Applications not entitled	GC 34090	2 years
Groundwater	Levels, Data Trends, Recordation, & Monitoring Books	GC 34090	Permanent
Hazardous Cleanups		GC 34090 8 CCR §3204(d) (1)	30 years
Hazardous Materials & Hazardous Waste Disposal Records	Examples of hazardous materials/hazardous waste: medical waste; used oil; pesticides	H&S 117945 H&S 118165 22 CCR 66279.91 3 CCR 6624(g)	3 years
Hazardous Materials - Permits, Hazardous Materials Storage		GC 34090	Permanent

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Hazardous Materials - Programs, Household Hazardous Waste	Documents regarding federal, State or local programs on disposal of household hazardous waste	GC 34090	Until superseded + 2 years
Hazardous Materials - Underground Storage Tank Compliance	Documents regarding storage, location, installation, removal, remediation	GC 34090	Permanent
Hazardous Materials - Underground Storage Tank Maintenance and Repair	Documents regarding repairs, lining and upgrades	23 CCR 2660(j) 23 CCR 2712	For the life of the tank (min.2 years)
Historic Preservation Inventory	Records of historic landmarks, including historic register	GC 34090	Current + 2 years
Hydrant Flushing		GC 34090	5 years
Inadvertent Releases / Spills		GC 34090 NPDES Order No. CA 0105392 NPDES Order No. CA 8000304	10 years
Insurance	Personnel related	GC 34090	Current + 2 years

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Insurance, Joint Powers Agreement	Accreditation, MOU, agreements and agendas	GC 34090	Current + 2 years
Insurance Certificates, SBMWD	Liability, performance bonds, employee bonds, property; Insurance certificates filed separately from contracts, includes insurance filed by licensees.	GC 34090	Current + 2 years
Insurance, Liability/Property	May include liability, property, Certificates of Participation, deferred, use of facilities	GC 34090	Current + 2 years
Insurance, Risk Management Reports	OSHA Forms, Inspections, & Citations; Loss Analysis Report; Safety Audits & Reports; Actuarial Studies	29 CFR 1904.33(a) 29 CFR 1904.44 GC 34090 8 CCR §3203(b)(1) 8 CCR 14300.33(a)	5 years
Investment Reports, Transactions	Summary of transactions, inventory and earnings report	GC 34090 CCP 337	Until audited + 4 years

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Invoices	Invoices from vendors and back-up documents	CCP 337 26 CFR 31.6001-1(e)(2); Sec. of State Local Gov't Records Mgmt. Guidelines recommendation	Until audited + 4 years
Job Descriptions	Descriptions of duties, qualifications, responsibilities for each position/classification/job title	29 CFR 516.6(a)(2) 29 CFR 1620.32(b)-(c)	Current + 2 years
Lab Analysis	Non-regulatory Data (process control)	GC 34090 40 CFR 122.41(j)(2)	5 years
Labor Organizations	Records of payments, loans, promises or agreements by SBMWD to any labor organization or representative of same	29 USC 436	5 years
Lab Results, Water Distribution System		22 CCR 64470 22 CCR 64400.20 22 CCR 64690.80	12 years

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Lab Results, Wells and EPA GAC Plants & Vessels		GC 34090	Permanent
Landscape Programs		GC 34090	2 years
Lease Agreement	Property or equipment	CCP 337 CCP 337.2 CCP 343	Until terminated + 4 years
Legal Notices	Examples: Notices of public hearings, notices of liens, etc. Also, proof of publication of notice, or proof of posting of notice	GC 34090 GC 54960.1(c)(1)	Current + 2 years, unless part of a project or matter that requires longer retention (i.e., CEQA documents)
Legal Opinions		GC 34090	Until superseded + 2 years
Litigation	Case files	GC 34090	Until settled + 2 years
Lobbying or Lobbyist Forms (FPPC forms)	FPPC Form 602 - Lobbying Firm Activity Authorization; FPPC Form 635 - Report of Lobbyist Employer & Report of Lobbying Coalition - forms used when employing or contracting with a lobbying firm	FPPC Reg. 18615(d)	5 years

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Loss Control / Damage Expenditures for Reimbursement	Floods, etc.	GC 34090	Until reimbursed + 5 years
Maintenance Manuals, Diagrams, Instructions, Specifications and Warrantees	Equipment	GC 34090	Until superseded or equipment disposition
Maintenance/Repair Records	Equipment	GC 34090	Until equipment disposition (min. 2 years)
Map Skinner Book	Department Property (Hand Drawn Maps)	GC 34090	Permanent
Maps & Plats	Engineering & field notes and profiles; cross section of roads, streets, right-of-way, bridges; may include annexations, parks, tracts, block, storm drains, water easements, benchmarks, trees, grading, landfill, fire hydrants, base maps, etc.	GC 34090	Permanent
Marketing, Promotional	Brochures, announcements, advertisements, photos, etc.	GC 34090	2 years

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Master Plans, Annual	Special or long-range program plan for municipalities - coordination of services; strategic planning	GC 34090	2 years
Materials Board, Renderings Boards & Photographs	Planning/Engineering	GC 34090	2 years
Memoranda of Understanding (MOU)	Personnel related; agreements with employee bargaining units resulting from negotiations	GC 34090; 29 USC 211(c) 29 CFR 516.5 Sec. of State Local Gov't. Records Mgmt. Guidelines recommendation	Permanent
Mergers & Acquisitions		GC 34090	Permanent
Meter Replacements/Changes		GC 34090	8 years
Meter Shop Log Sheets		GC 34090	2 years
Minutes	Board	GC 34090 (e)	Permanent
Monthly Chlorine Usage Sheets		GC 34090	3 years
Municipal Code		GC 34090	Permanent

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Municipal Facilities Construction	Contains records of plans, design, construction, conversion or modification of local government-owned facilities, structures and systems	GC 34090 H&S 19850	For the life of the building
Municipal Facilities Facility Rentals; Use	Permits, contracts, diagrams, schedules, insurance binders	GC 34090	Current + 2 years
Municipal Facilities Maintenance and Operations	Service requests, invoices supporting documentation, buildings, equipment, field engineering, manuals, public facilities including work orders and graffiti removal	GC 34090	2 years
Neighborhood Planning	Area and neighborhood Planning case records.	GC 34090	Until Completed (min. 2 years)
Newsletters	May wish to retain permanently for historic reference.	GC 34090	2 years
Network Configuration Plans & Maps		GC 34090	2 years
Notices to Remove/Abate	From the Department of Agriculture	GC 34090	Until resolution + 2 years

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NPDES Applications, Permits, & Monitoring Records	NPDES permit - monitoring information, including calibration and maintenance records, original strip chart recordings, required reports and all data used to complete the permit application	40 CFR 122.21(p) 40 CFR 122.41(j)(2) 40 CFR 122.44(i)(4)(2) 40 CFR 503.17 NPDES Order No. CA 0105392 NPDES Order No. CA 8000304	5 years
Nuisance Abatement	Includes citations (not police), nuisance abatement, and liens resulting from nuisance abatement.	GC 34090	Until settled + 2 years
Oaths of Office	Elected and public officials (i.e., Council members; commissioners; etc.)	GC 34090 29 USC 1113 Sec. of State Guidelines	Current plus 6 years
Offers of Dedication		GC 34090	Until Completed (min. 2 years)

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Payroll - Federal/State Reports	Annual W-2's, W-4's, Form 1099s, etc.; quarterly and year-end reports	29 USC 436 26 CFR 31.6001-4 R&TC 19530 R&TC 19704 26 USC 6001 26 CFR 301.6501(a)-1 26 CFR 31.6001-1(e) 29 CFR 516.5 29 CFR 516.6	6 years
Payroll Deduction/Authorizations	Finance	29 CFR 516.6(c)	While Current + 2 years
Payroll records (employee information)	Records showing employee information/data - names, addresses, etc.; hours worked; regular and overtime wages; leave requests; reports	29 CFR 516.5 LC 1174(d) LC 1197.5	Length of employment + 3 years
Payroll, registers	Finance Labor costs by employee & program	29 CFR 516.5(a) LC 1174(d) Sec. of State Local Gov't. Records Mgmt. Guidelines recommendation	Permanent

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Payroll, timecards/sheets	Employee; Includes daily time clock cards	29 CFR 516.6(a)(1) LC 1174(d) Sec. of State Local Gov't. Records Mgmt. Guidelines recommendation	Until audited + 6 years
Payroll - Wage Rates / Job Classifications	Employee records	LC 1197.5(d) LC 1174(d) GC 34090 GC 12946 29 CFR 516.6 29 CFR 1602.4 29 CFR 1627.3	While current + 3 years
Permits, Construction	Other than building permits - For signs, grading, encroachment, including copies of blueprints and specifications	GC 34090	Until completed + 2 years
Permits, EPA, Health Dept., & SCAQMD	Including permit applications	GC 34090 NPDES Order No. CA 0105392 NPDES Order No. CA 8000304 40 CFR 122.41(j)(2)	Permanent
Permits to Operate		GC 34090	Permanent

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Permits, Other	Alterations, encroachment, excavations, road, street sidewalks & curb alterations, transportation, swimming pool drainage, temporary uses, etc.	GC 34090	Until completed + 2 years
PERS - Employee Benefits	Retirement Plan - annual reports required to be filed under ERISA PERS Employee Benefit Plan - original document, or copies	29 USC 1027 29 CFR 1627.3(b)(2) GC 34090	6 years Current + 2 years
Personnel Policies -- Rules and Regulations	Including employee handbooks, employee manuals, and other policies/procedures	29 CFR 516.6 29 CFR 1627.3(a)	Current + 3 years
Petitions	Submitted to legislative bodies	GC 34090	Current + 2 years
Pipe Record	In EPN Database	GC 34090 CCP 337 CCP 337.1(a) CCP 337.15	Permanent
Plant Files	Tanks, Wells, SCE Rate Change Requests, Monthly Edison Reads, Pump Tests, Hydrogenation Log Sheets, Well Run Sheets (Plant Histories & Well Records)	GC 34090	Permanent
Plant Maps		GC 34090	Until superseded (min. 2 years)

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Policies, Administrative	All policies and procedures, directives rendered by City Water Board not assigned a resolution or ordinance number	GC 34090	Until Superseded + 2 years
Political Support/Opposition , Requests & Responses	Related to legislation.	GC 34090	2 years
Press Releases	SBMWD related.	GC 34090	2 years
Pressure Charts		GC 34090	Permanent
Pretreatment Program, Class 1 & 2	Permits, Sample Data, Correspondence, Inspections, Misc.	GC 34090 NPDES Order No. CA 0105392 NPDES Order No. CA 8000304 40 CFR 122.41(j)(2)	Permanent
Pretreatment Program, Class 3 & 5	Permits, Sample Data, Correspondence, Inspections, Misc.	GC 34090 NPDES Order No. CA 0105392 NPDES Order No. CA 8000304 40 CFR 122.41(j)(2)	8 years

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Pretreatment Program, Class 3 & 5 - Closed Businesses	Dead Files	GC 34090 NPDES Order No. CA 0105392 NPDES Order No. CA 8000304 40 CFR 122.41(j)(2)	6 years
Proclamations	SBMWD issued proclamations	GC 34090	2 years
Property, Abandonment	Buildings, condemnation, demolition	GC 34090	Permanent
Property Acquisition/Disposition	SBMWD owned. Supporting documents regarding sale, purchase, exchange, lease or rental of property by SBMWD	CCP 337.15	10 years
Public Records Act Request	Requests from the public to inspect or copy public documents	GC 34090	2 years
Purchasing RFQ's, RFP's	Requests for Qualifications; Requests for Proposals regarding goods and services	GC 34090	Current + 2 years
Purchasing, Requisitions, Purchase Orders	Original Documents	GC 34090 CCP 337	Until audited + 4 years
Rainfall Records		GC 34090	Permanent

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Category of Record	Description or Example of Record	Legal Authority	Retention Period
Recordings - audio (e.g., for preparation of meeting minutes)	City Water Board meetings -- audio recording "made for whatever purpose by or at the direction of the local agency"	GC 34090 GC 54953.5(b)	Minimum 30 days
Recordings - routine video monitoring, telephone, and radio communications	Routine daily recording of telephone & radio communications; routine video monitoring including in-car video systems, building security systems.	GC 34090, 34090.6	Videos - 1 year; Phone & Radio communications - 100 days (destruction must be approved by Board of Water Commissioners) should be Water Board
Recordings, video or digitally recorded - meetings of legislative bodies	Videos or digital recordings of public meetings made by or at the direction of the SBMWD (e.g., Commission meetings)	GC 54953.5(b)	Minimum 30 days
Recordings, video or digitally recorded (Duplicate - see Description or Example of Record)	Other than videos or digital recordings of public meetings; Considered duplicate records if another record of the same event is kept (i.e., written minutes)	GC 34090, 34090.7 85 Ops. Cal. Atty. Gen. 256 (2002)	Minimum 90 days after event is recorded
Records Management Disposition Certification	Documentation of final disposition of records	GC 34090	Permanent
Records Retention Schedules		GC 34090	Current + 2 years

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Category of Record	Description or Example of Record	Legal Authority	Retention Period
Recruitments and Selection	Records relating to hiring, promotion, selection for training	29 CFR 1627.3	3 years
Resolutions/Ordinances	Adopted by the City Water Board	GC 34090 (e)	Permanent
Reports	Hydrographs, Well levels, Dive inspections, UVMP; Sampling Reports	GC 34090 40 CFR 122.21 40 CFR 122.41 40 CFR 122.44	Permanent
Reports, Miscellaneous	Production, Fire Flow, Valves, DRINC, Water loss, WCMP	GC 34090 40 CFR 122.21 40 CFR 122.41 40 CFR 122.44	Current + 20 years
Reports, Water	Water Quality, Water Discharge, DMR Annual Monthly & Quarterly Reports; Biosolids; SARI; Stormwater Monitoring; Flushing SBMWD Reports; Lead & Copper, Bacteriological, Chemical Monitoring; UCMR	GC 34090 40 CFR 122.21 40 CFR 122.41 40 CFR 122.44 NPDES Order No. CA 0105392 NPDES Order No. CA 8000304 22 CCR 64470 (a), (b) (3) 22 CCR 64690.80	Current + 12 years

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Category of Record	Description or Example of Record	Legal Authority	Retention Period
Reports, Consumer Confidence		22 CCR 64483(g)	3 years
Returned Checks	Finance-NSF (not SBMWD checks)	GC 34090 Sec. of State Local Gov't. Records Mgmt. Guidelines recommendation	Until audited + 5 years
RFPs, Non-Purchasing	Including Infrastructure RFPs, Change Orders, Plans, Specifications	GC 34090 CCP 337.15	Permanent
Right of Way		GC 34090	Permanent
Salary Advancement Schedule		GC 12946 GC 34090 29 CFR 516.6 29 CFR 1620.32(c)	3 years
Salary/Compensation Studies, Surveys	Studies or surveys of other agencies regarding wages, salaries and other compensation or benefits	GC 34090	While current + 2 years

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Category of Record	Description or Example of Record	Legal Authority	Retention Period
Sanitary Sewer Overflows (SSO) Records		Water Resources Control Board Order No. WQ 2013-0058-EXEC, Attachment A, Section E	5 years
SCADA Computer Printouts & Backups		GC 34090 NPDES Order No. CA 0105392 NPDES Order No. CA 8000304 40 CFR 122.41(j)(2)	5 years
SCAQMD Variances & Exemptions		GC 34090 40 CFR 141.33(d)	5 years
Septic, All Classes		GC 34090 NPDES Order No. CA 0105392 NPDES Order No. CA 8000304 40 CFR 122.41(j)(2)	8 years

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Category of Record	Description or Example of Record	Legal Authority	Retention Period
Settlement Agreements	Final, signed/approved settlement agreements for litigation matters, claims, citations, etc. For Workers Compensation claims - final, signed/approved settlement agreements	GC 34090 8 CCR 10102 8 CCR 15400.2	2 years after signed/approved 5 years after signed/approved
Sewer Construction/Improvement/Maintenance	Administrative records.	GC 34090	2 years
Sludge Handling Logs and Weigh Tickets		GC 34090 NPDES Order No. CA 0105392 NPDES Order No. CA 8000304 40 CFR 122.41(j)(2)	5 years
Standard Drawings		GC 34090	Until superseded (min. 2 years)
State Controller	Annual reports.	GC 34090	2 years

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Category of Record	Description or Example of Record	Legal Authority	Retention Period
Statements of Economic Interest - Form 700 (copies) (elected/appointed officials)	<u>Copies</u> of original statements of elected officials forwarded to Fair Political Practices Commission (FPPC)	GC 81009(f), (g)	4 years (can image after 2 years)
Statements of Economic Interest - Form 700 (originals) (non-elected)	<u>Originals</u> of statements of designated employees	GC 81009(e), (g)	7 years (can image after 2 years)
Stolen or Missing Property		GC 34090	5 years
Stop Payments	Finance - bank statements	GC 34090	2 years
Storm Water Pollution Prevention Plant		GC 34090	Until superseded (min. 2 years)
Studies, Various		GC 34090	While current + 2 years
Studies, Water Rate		GC 34090	Permanent
Subpoenas (Subpoena Duces Tecum; Deposition Subpoena, etc.)	Subpoena served on the SBMWD or on a SBMWD employee by a third party (SBMWD/Employee is not a party in the litigation), including copies of any records produced in response to the subpoena	GC 34090	2 years

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Category of Record	Description or Example of Record	Legal Authority	Retention Period
Taxes, Special	Special tax levied by a local agency on a per parcel basis	CCP 338 (m)	Until audited + 3 years
Telephone Logs & Messages		GC 34090	2 years
Tie Sheets		GC 34090 CCP 337 CCP 337.1(a) CCP 337.15	Permanent
Training Outlines & Materials		GC 34090	Until superseded + 2 years
Unemployment Insurance Records	Records relating to unemployment insurance - claims, payments, correspondence, etc.	26 USC 3301-3311; Calif. Unemployment Insurance Code; CCP 343	While current + 4 years
Urban Water Management Plans		GC 34090	Permanent
Vehicle Accident Reports		GC 34090 CCP 337	5 years
Vehicle & Equipment History Files		GC 34090 CCP 337	Until asset disposed + 2 years
Vehicle Inspection Sheets		GC 34090 VC 34505.5	Until asset disposed + 2 years

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Category of Record	Description or Example of Record	Legal Authority	Retention Period
Vehicles, AQMD Documents		CCP 338(k) GC 34090	Until asset disposed + 3 years
Vehicles, Fleet Statistics Documents		GC 34090	2 years
Vehicles, Fuel Island Documents		GC 34090 CCP 337	Until asset disposed + 3 years
Vehicles, OSHA Documents		GC 34090 8 CCR 14300.33	Until asset disposed + 5 years
Vendor Questionnaires	Vendors who want to do business with the SBMWD	GC 34090	2 years
Violations, Reclamation/Wastewater	Including investigations & corrective action	GC 34090 NPDES Order No. CA 0105392 NPDES Order No. CA 8000304	5 years
Vouchers - Payments	Account postings with supporting documents	GC 34090 CCP 337	Until audited + 4 years
Wage Garnishment	Wage or salary garnishment	CCP 337	Active until garnishment is satisfied; then retain until audited + 4 years

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Category of Record	Description or Example of Record	Legal Authority	Retention Period
Warrant Register/Check Register	Record of checks issued; approved by legislative body (copy is normally retained as part of agenda packet information)	GC 34090	Until audited + 2 years
Water Conservation - Retrofit or Change of Service Certificates (is this rebates?)		GC 34090	Current + 2 years
Water Conservation - Audits	Indoor and outdoor	GC 34090	Current + 2 years
Water Conservation - Sign-up lists (for rebates or workshops?)		GC 34090	Current + 2 years
Water Operations - Applications	Applications for utility connections, disconnects, service	GC 34090 Sec. of State Local Gov't. Records Mgmt. Guidelines recommendation	Current + 2 years

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Category of Record	Description or Example of Record	Legal Authority	Retention Period
Water Operations - Billing Records	Customer name, service address, meter reading, usage, payments, applications/cancellations	GC 34090 Sec. of State Local Gov't. Records Mgmt. Guidelines recommendation	Until audited + 2 years
Water Operations - Journals, Utility Billing	Billing including monthly activity	GC 34090 Sec. of State Local Gov't. Records Mgmt. Guidelines recommendation	Current + 2 years
Water Operations - Logbooks		GC 34090	Permanent
Water Operations - Connection Records	Maps, water line connections	GC 34090 Sec. of State Local Gov't. Records Mgmt. Guidelines recommendation	Permanent
Water Operations - Consumption Reports		GC 34090\ Sec. of State Local Gov't. Records Mgmt. Guidelines recommendation	Current + 5 years

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Category of Record	Description or Example of Record	Legal Authority	Retention Period
Water Operations - Meter Reading; Reports; Meter Book		GC 34090 Sec. of State Local Gov't. Records Mgmt. Guidelines recommendation	Current + 2 years
Water Operations - Service Orders	Repair and maintenance orders, requests, correspondence, logs	GC 34090 Sec. of State Local Gov't. Records Mgmt. Guidelines recommendation	Current + 5 years
Water Operations - Utility Rebates, Reports		GC 34090	Current + 2 years
Water Operations - Violations	Drinking Water	GC 34090 40 CFR 141.33 (b)	Current + 3 years
Water Stock	Other Water Companies	GC 34090	Until audited + disposed + 5 years
Waste Management	Solid Waste - Administrative documents	GC 34090	2 years
Workers Compensation Files (No longer self- insured so remove?)	Work-injury claims (including denied claims); claim files, reports, etc.	8 CCR 10102 8 CCR 15400.2	Until settled + 5 years

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Category of Record	Description or Example of Record	Legal Authority	Retention Period
WRP Administration/Operations Checklists & Records		GC 34090 NPDES Order No. CA 0105392 NPDES Order No. CA 8000304 40 CFR 122.41(j)(2)	5 years
WU Operations Plan		GC 34090	Permanent

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ATTACHMENT B (electronic form available in Laserfiche):

SAN BERNARDINO MUNICIPAL WATER DEPARTMENT
AUTHORIZATION FOR RECORDS DESTRUCTION, per policy 20.050

Date submitted: _____
Water Department Section: _____
Name of initiator: _____
General Records Description: _____

Listing of Records (attach additional if necessary)

Record Name: _____
Record Location: _____
Retention Schedule: _____
Eligible Destruction Date: _____
Destruction Method: _____

Record Name: _____
Record Location: _____
Retention Schedule: _____
Eligible Destruction Date: _____
Destruction Method: _____

Record Name: _____
Record Location: _____
Retention Schedule: _____
Eligible Destruction Date: _____
Destruction Method: _____

Approvals

Section Manager:	_____	Date:	_____
Director:	_____	Date:	_____
Deputy General Mgr:	_____	Date:	_____
General Manager:	_____	Date:	_____

Confirmation of Destruction

Destroyed by (name): _____
Destroyed by (signature): _____
Destroyed on (date): _____
Proof of Destruction (attach): _____