



# Policy

<b>Policy No.:</b> P100-22-1	<b>Type of Policy:</b> Administration
<b>Policy Title:</b> Records Retention	
<b>Policy Description:</b> Establishes framework for managing the retention and disposition of District records in compliance with Government Code 60200	
<b>Original Adoption:</b> 04/14/22	<b>Reviewed:</b>
<b>Review Cycle:</b> 5 Years	<b>Resolution No.:</b> 04-22

It is the policy of the Board of Directors of the Scotts Valley Water District to properly manage the retention and disposition of District records. Proper management of District records ensures prompt and accurate retrieval of records and compliance with legal and regulatory requirements.

The term “record” is defined as any document, report, paper, exhibit and electronic file including email and other documentation as identified by Federal and State law.

The term “non-record” is defined as documentation that is not retained in the normal course of business, such as acknowledgements, drafts, copies or duplicates, preliminary reports, notes or working papers used in the preparation or analysis of other records. Non-records may be disposed of at any time.

Records that do not contain confidential information are open for public review and are disclosed upon request. Any record provided to the public will have all confidential information (e.g. personal contact information) redacted.

## Records Retention Schedule

The records retention schedule serves as the framework for the proper management, retention and disposition of District records and will be used throughout the District.

The records retention schedule is applied to all record types, including paper records, electronic records and imaged copies archived and managed in an electronic format.

## Records Disposal

District records will not be disposed of before the end of the required retention period. A records disposition form that identifies the record series, description and date of the record will be completed and retained.

# Scotts Valley Water District Records Retention Schedule

Series Number - Category	Subject	Description	Retention
100 Agency Administration	Agreements Contracts (Non-CIP)	Original agreements and back up materials for leases, license, reimbursement, interagency, maintenance, services	CL + 4
100 Agency Administration	California Public Records Act	Request, acknowledgment, response	CY + 3
100 Agency Administration	Formation Records	Formation, incorporation, mergers, organizational, historical	P
100 Agency Administration	Policies and Programs	District policies and programs	S + 5
100 Agency Administration	Record Destruction	Approved destruction records	P
100 Agency Administration	Records Inventories and Indexes	Tracking logs, indexes of records	S + 5
100 Agency Administration	Strategic Planning	Mission, values and vision, strategic work plan	S + 5
110 Annexation Service Area	Annexations	Reports, public notices, certifications	P
110 Annexation Service Area	Service and Sphere of Influence	Reports, public notices, certifications	P
120 Community Relations	Community Information Historical	Records with historical value	P
120 Community Relations	Community Information General	Advertising, bill inserts, brochures, correspondence, fact sheets, media, newsletters, photos, press releases, social media, special events, video	CY + 2
120 Community Relations	Correspondence General	Letters, emails, texts, voicemails, social medial, invitations not related to another record series	CY + 2
130 Emergency Planning	Emergency Planning, Response, Recovery	Emergency preparedness, response, and disaster recovery, including evacuation plans, emergency response requirements	S + 10
140 Grants	Funded	Applications, reports, contracts, project files, statements	CL + 5
140 Grants	Unfunded	Proposals	CL + 2
150 Human Resources	Employee Employer Relations	ASFCME, exempt contracts, employee handbook, MOU, policies	S + 7
150 Human Resources	Compensation and Benefits	CalPERS retirements, COBRA, compensation plans and studies, health and welfare benefits, retirement, salary schedules	S + 7
150 Human Resources	Employee Development	Performance evaluations, education, awards, discipline, promotion, training	T + 7
150 Human Resources	Labor Law and Legal Compliance	FSLA, NLRA, CFMLA, compliance, reporting, training	T + 7
150 Human Resources	Recruitment and Selection	Job descriptions, internship, community service, onboarding, recruitment, selection	CY + 5
150 Human Resources	Workplace Safety	Safety program, OSHA, CalOSHA, DMV pull notice, security	CY + 5

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Series Number - Category	Subject	Description	Retention
160 Information Technology	Hardware, Software, Telecommunications, Cybersecurity	Assessments, inventory, documentation, backups, logs, voice mail, operations manuals	CY + 2
170 Legal Service	Legal Opinions	Confidential attorney client privilege	CY + 5
170 Legal Services	Litigation – Arbitration	Litigation and arbitration files	CL + 7
180 Real Property	District Real Property	Title, grant deeds, easements, quit-claims, acquisition, appraisals, surplus	P
<b>200 Financial</b>			
200 Accounting	Audit	Annual Comprehensive Financial Report	P
200 Accounting	Audit Reports	Financial services, internal and external reports, independent auditor analysis, management letters	AU + 5
200 Accounting	Journals, Registers, Ledgers	Journals: general, payroll; Registers: cash receipts, cash disbursements, accounts receivable, accounts payable, check; Ledgers: general, payroll	AU + 5
200 Accounting	Accounting Reports, Statements	Monthly budget status, revenue, expense, balance sheet, quarterly reports	AU + 5
200 Accounting	Purchase Orders	Purchase Orders	AU + 5
200 Accounting	Purchasing Vendor Information	Vendor information, I-9	AU + 5
200 Accounting	Purchasing Bid, RFQs, RFPs	Bids, RFP, RFQ not related to projects	AU + 5
200 Accounting	Source Records	Invoices, checks, vouchers, receipts, claims, bills	AU + 5
210 Banking-Investments	Banking, Certificates of Deposit (CDS)	Statements, reconciliation, transactions, earnings reports	AU + 5
210 Banking-Investments	Local Agency Investment Fund (LAIF)	Statements, transactions, earnings report	P
220 Budget	Operating and Projects	Annual operating and project budget	P
230 Debt	Bonds: Refunding Revenue and Certificate of Participation Bonds	Authorizations, public hearing records, prospectus, certificates, notices, transcripts, reporting, statements	CL + 10
230 Debt	Loans: State, Federal, Bank, or Financial Institutions	Authorizations, public hearings, prospectus, certificates, notices, transcripts, reporting, statements	CL + 10
240 Fixed Assets	Inventory	Purchase date, cost, depreciation	AU + 5
240 Fixed Assets	Surplus Property	Disposition, listing of property	AU + 2
240 Fixed Assets	Vehicles and Equipment	Titles, related records	L + 2
250 Insurance-Risk Management	Certificates of Commercial Liability	Consultants, contractors, vendors	CL + 5
250 Insurance-Risk Management	Liability, Property, Workers' Compensation	Performance bonds, employee bonds, insurance certificates	CY + 2

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250 Insurance-Risk Management	Accident - Damage Reports	Reports and related records	CL + 5
250 Insurance-Risk Management	Incident Reports	Theft, arson, vandalism, property damage	CY + 2
250 Insurance-Risk Management	Claims	Paid or denied, supporting records, settlements	CL + 5
260 Payroll	CalPERS Employee Deduction Reports	Record of CalPERS deductions	T 
260 Payroll	Registers	Labor cost and employee program	P
260 Payroll	Reports District Level	W-2, Federal 941s, CA DE6's, CA DE7	AU + 5
260 Payroll	Reports Employee Level	Dates and hours worked, gross pay, net pay, and all related taxes, deductions, benefits, adjustments, etc.	AU + 5
260 Payroll	Salary Records	Deduction authorizations, paid time off, beneficiary, garnishments, unemployment claims	T 
260 Payroll	Timecard Data	Record of employee attendance	AU + 5
270 Reporting	State Controller	Financial transaction report government compensation	P
270 Reporting	State Water Resources Control Board	Water arrearage payment program	AU + 5
270 Reporting	Secretary of State	SVWD Public Facilities Dissolution	P
270 Reporting	Employment Development Department	Unemployment, disability, independent contractor	CY + 4
270 Reporting	Department of Tax and Fee Administration	Diesel fuel tax return	CY + 4
270 Reporting	Office of State Controller	Unclaimed property	CY + 4
270 Reporting	United States Census Bureau	Public employment payroll survey	CY + 4
280 Revenue	Water Consumption, Meter Charges	Water consumption, meter fees, late charges	AU + 5
280 Revenue	New Connections	Meters, capacity, will serve, project review	AU + 5
280 Revenue	Other Revenue	Property tax, interest	AU + 5
280 Revenue	Water Rate Study	Rate and fees study, rate models	P
280 Revenue	Proposition 218	Notice, protest letters	CY + 4
280 Revenue	Rate Implementation	Rate sheets, annual review	AU + 6
290 Utility Billing	Billing Past Due, Disconnect	Notices to customers for delinquent accounts and shut offs	CY + 1
290 Utility Billing	Connection Records	Service order (SO) related records	P
290 Utility Billing	Customer Requests	Start-stop service, name change, meter reading, usage, payment, disconnect, shutoff	CY + 2
290 Utility Billing	Journals	Monthly activity, meter reading	AU+2
290 Utility Billing	Leak Adjustments	Program related records including administrative and requests	CY + 5

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290 Utility Billing	Qualifying Medical Needs	Program related records including administrative and requests	CY + 5
290 Utility Billing	Rate Assistance	Program related records including administrative and requests	CY + 5
290 Utility Billing	Rebates	Program related records including administrative and requests	CY + 5
290 Utility Billing	Receivables Payments	Payment records	CM + 5
290 Utility Billing	Reconciliations	Daily work for cashiering; daily journal tape from register and payment receipts	AU + 2
290 Utility Billing	Temporary Connections	Contractor and developer records, temporary fire hydrant meters for construction	CL + 2
290 Utility Billing	Water Waste	Violation records including administrative and requests	CY + 5
<b>300 Operations</b>			
300 Operations	Bacteriological Analysis	Compliance records include location, date, method used and results; corrections analysis of chemical content	CY + 12
300 Operations	Chemical Analysis	Compliance records include location, date, method used and results; corrections analysis of bacterial content	CY + 12
300 Operations	Consumer Confidence Report	Annual Report on Drinking Water Quality	CY + 7
300 Operations	Corrosion Control	Compliance records	CY + 12
300 Operations	Discharge Monitoring	Pollution discharges	CY + 5
300 Operations	Laboratory Quality Assurance	Records quality control and assurance records procedures	S + 12
300 Operations	Maintenance/Repair Records	Equipment	L + 2
300 Operations	Permits: NPDES	Compliance with Clean Water Act re: pollutants	P
300 Operations	Sanitary Surveys	Statistics, reports, correspondence	CY + 10
300 Operations	State Certification	Compliance records	CY + 12
300 Operations	Testing, Lead and Copper	Date, methodology, results; corrections, analysis	CY + 18
300 Operations	Treatment Plant	Compliance records and reports	CY + 8
300 Operations	Water Outages and Customer Complaints Log	Color, leaks, pressure, taste, odor, turbidity, water borne illness and other organisms	CY + 5
300 Operations	Water Quality	Compliance records including sampling data, analysis, reports, surveys, records, evaluation, schedules, valves.	CY + 12
<b>400 Engineering</b>			
400 As Built-Drawings	As Build Drawings	Revised construction drawings submitted by contractors	P
410 Backflow Prevention	Backflow Prevention Program	Inspections, test records, approved	CY + 3

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Series Number - Category	Subject	Description	Retention
		testers	
420 Construction Projects	Capital Improvement and Construction Projects	Final planning, design, construction records for facilities, structures and systems	P
430 New Connections	Developer Project Files	Will serve letters, main extension agreements, service applications, fire services, deposit summaries	CL + 10
440 GIS Mapping-	Maps, Geographic Information	System maps, distribution, sampling	S + 10
450 Meter Operation	Meter Reading, Maintenance, Testing	Meter reading reports, maintenance, specifications, testing	CY + 2
460 Standard Specifications	Water System Standard Specifications	Design, construction, testing of water mains and appurtenances	S + 10
<b>500 Board of Directors</b>			
500 Board Appointments	Board Committees	Committee Assignments	CY + 5
500 Board Appointments	Other Agency Board, Committees	SMGWA, Interagency, ACWA Board and Committees, ACWA JPIA Board	CY + 5
510 Board Meetings	Board Meetings, Regular, Special	Agenda Packets, Minutes	P
520 Committees	Board Committees	Agendas, Meeting Reports	CY + 3
530 Compensation	Compensation and Benefits	Benefits, benefits reimbursement, meeting attendance for active and retired Directors, Associated Directors and Committee Members	CY + 5
540 Compliance	Mandatory Training	Certificate of Completion for AB 1234 Ethics, AB1661 Harassment Prevention	CY + 5
530 Compliance	Fair Political Practices Commission (FPPC) Filings	Form 700, Statement of Economic Interest public and elected officials	CY + 5
540 Elections	Board of Directors	Administrative record of election conducted by County Elections	E + 10
550 Elections	Initiative and Measure	Administrative record of the election conducted by County Elections	E + 10
550 Elections	Oath of Offices	Elected official before assuming office after successful election	T + 10
550 Elections	ACWA	Region 5 Board of Directors	E + 10
550 Elections	ACWA JPIA	Executive Committee, Captive Water Insurance Fund	E + 10
550 Elections	LAFCO	Special District Representative	E + 10
560 Legislation	Administrative Code, Resolutions	Legislative actions	P
560 Legislation	Ordinances	Legislative actions	P
560 Legislation	Resolutions	Legislative actions	P
570 Reporting	FPPC Form 801	Gifts to Agency Report	CY + 5
570 Reporting	FPPC Form 806	Public Official Appointments.	CY + 7

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