

Part 7 RECORDS MANAGEMENT

Chapter 1 Records Management

Article 1 – General

1.1 Purpose and Scope

This Article provides criteria and procedures for the inspection and production of public records.

1.2 Definitions

As used in this Article:

Public Records" includes any writing containing information relating to the conduct of the District's business prepared, owned, used, or retained by the District regardless of physical form or characteristics.

- (a) "Public Records" includes any writing containing information relating to the conduct of the District's business prepared, owned, used, or retained by the District regardless of physical form or characteristics.
- (b) "Writing" means any handwriting, typewriting, printing, photographing, transmitted by electronic mail, facsimile, or through the District's Technology Resources and every other means of recording upon any tangible thing any form of communication or representation, including letters, words, pictures, sounds, or symbols, or combinations thereof, and any record thereby created, regardless of the manner in which the record has been stored.
- (c) "Confidential Information" means any personnel records and employee contact information, medical records, trade secret or other proprietary information, information discussed at Closed Session meetings of the Board, and all records that are exempt from disclosure pursuant to the Public Records Act, including drafts of reports and documents protected pursuant to the deliberative process privilege. This definition shall be in accordance with the Administration Code under Part 3, Chapter 6, Article 8, Section 8.1 Confidential Information.
- (d) "Records" means all papers, maps, exhibits, electronic, audio/video recordings, imaging media, prints, and other documents produced, received, owned or used by the District agency, regardless of physical form or characteristics.

Article 2 – Organization and Board Officers

2.1 General

Public Records are open to inspection at all times during office hours of the District and every person has a right to inspect public records, except as herein provided or as limited under applicable state or federal law.

2.2 Exceptions

Nothing in this Article shall be construed to require disclosure of records that are:

- (a) Preliminary drafts, notes, or interagency or intra-agency memoranda that are not retained by the District in the ordinary course of business, if the public interest in withholding such records clearly outweighs the public interest in disclosure;
- (b) Records pertaining to pending litigation to which the District is a party, or to claims made pursuant to Division 3.6 (commencing with Section 810), until such pending litigation or claim has been finally adjudicated or otherwise settled;
- (c) Personnel, medical, or similar files, the disclosure of which would constitute an unwarranted invasion of personal privacy;
- (d) Geological and geophysical data, plant production data, and similar information relating to utility systems development that are obtained in confidence from any person;
- (e) Test questions, scoring keys, and other examination data used to administer examinations for employment;
- (f) The contents of real estate appraisals, engineering or feasibility estimates and evaluations made for or by the District relative to the acquisition of property, or to prospective public supply and construction contracts, until all of the property has been acquired or all of the contract agreement obtained. However, the law of eminent domain shall not be affected by this provision;
- (g) Pre-decisional communications protected by the deliberative process privilege;
- (h) Attorney-client privileged communications;
- (i) Attorney work product;

- (j) Records, the disclosure of which is exempted or prohibited pursuant to federal or state law, including, but not limited to, provisions of the Evidence Code relating to privilege; and
- (k) The disclosure of other records which is not required by law and are considered "confidential information" as defined in this policy and in accordance with the Administration Code under Part 3, Chapter 6, Article 8, Section 8.1 Confidential Information.
- (l) Where it is determined pursuant to Government Code Section 6255 that the public interest in withholding a certain record from disclosure outweighs the public interest in disclosing the record.

2.3 Additional Exceptions

Notwithstanding the foregoing:

- (a) Computer software developed by the District is not itself a public record under Government Code 6254.9. The District may sell, lease, or license the software for commercial or noncommercial use.
- (b) "Computer Software" includes computer mapping systems (GIS), computer programs, and computer graphics systems.
- (c) This section shall not be construed to create an implied warranty on the part of the District for errors, omissions, or other defects in any computer software as provided pursuant to this section.
- (d) Nothing in this section is intended to affect the public record status of information merely because it is stored in a computer. Public records stored in a computer shall be disclosed as required by this chapter.
- (e) Nothing in this section is intended to limit any copyright protections.

2.4 Additional Public Records

Notwithstanding the foregoing:

- (a) Every employment contract between the District and any public officer or public employee is a public record.
- (b) An itemized statement of the total expenditures and disbursements provided in Article VI of the California Constitution shall be open for inspection.

2.5 Justification for Withholding of Records

The District shall justify withholding any records by demonstrating that the record is exempt under an express provision of this Article or on the facts of the particular case the public interest served by not disclosing the record clearly outweighs the public interest served by disclosure of the record.

A response to a written request for inspection or copies of public records that includes a determination that the request is denied, in whole or in part, shall be in writing.

2.6 Copies of Records

- (a) Except with respect to public records exempt from disclosure by express provisions of law, the District, upon a request for a copy of records that reasonably describes an identifiable record or records, shall make the records available with minimal delay to any person upon payment of fees covering direct costs of duplication, or a statutory fee if applicable. An exact copy shall be provided unless impracticable to do so. No payment shall be required merely for the inspection of documents where copies are not sought.
- (b) The charge for copies of any specifically described and identified public records not exempt from disclosure is \$.23 per page for copied documents, except there will be no charge for less than ten (10) pages. Paper copies generated from computer database programs, are \$.23 per page. Copied hearing CDs or audio tapes are One Dollar (\$1.00) each.
- (c) Records stored by the District in electronic format, that are not exempt from disclosure, will be provided in the same electronic format when requested by any person, if such format is a format in which the District keeps such records or transmits them to other agencies. The District, in its discretion, may agree to produce requested electronic records that require data compilation, extraction, or programming. When direct costs are incurred by the District in providing such electronic data that requires data compilation, extraction, or programming, the direct costs shall be paid by the requestor. The District may require the requestor to submit a deposit prior to incurring such data compilation, extraction, or programming costs. The District is not required to produce records in an electronic format when the requested records are not available in electronic format at the time of the request.

2.7 Public Counter Files

- (a) The General Manager shall maintain a duplicate copy of approved minutes, the agenda for the next scheduled Board meeting and written material distributed to members of the Board for discussion or consideration at the next scheduled Board meeting, at the public counter located in the District's offices. Any writing exempt from public exposure pursuant to the Public Record Act shall not be maintained at the public counter. Writings which are

discussed during a public meeting but not previously available shall be made available prior to the commencement of discussion at such meeting and shall be made available for inspection as soon thereafter as practicable.

- (b) No charge will be imposed for the use of the records described in this section, unless a copy thereof is requested in which case the above copy charges set forth shall be paid.
- (c) The Secretary shall maintain a record of requests for inspection declined for reasons set forth in this Article.

2.8 Website Access

The District shall maintain electronic files of agendas, approved minutes, and the agenda for the next scheduled Board meeting and written material distributed to members of the Board for discussion or consideration at the next scheduled Board meeting, on the District's website. Any writing exempt from public exposure pursuant to the Public Records Act shall not be maintained on the website. Writings which are discussed during a public meeting but not previously available shall be made available prior to the commencement of discussion at such meeting and shall be made available for inspection as soon thereafter as practicable.

2.9 Inspection by Directors

All records of the District, including records excluded from public inspection by virtue of this Article, are available for inspection by Directors at all reasonable times and in accordance with the Administrative Code under Part 2, Chapter 1, Article 3, Section 3.5 Directors' Requests for Staff Assistance.

Article 3 - Retention of Records

3.1 Purpose

This Article provides criteria for the establishment of policy and procedures for the management, retention or destruction of records. The District's primary concern is the efficient, effective, and economical management of information. The guiding principle of the District's records management is to ensure that information is available when and where it is needed, in an organized and efficient manner.

3.2 Disclaimer

Neither this document, nor the record descriptions, nor the District's retention periods shall constitute acknowledgment of the existence or non-existence of any record. Neither this document, nor the record descriptions, nor the retention periods shall constitute the public's right to view, inspect, copy, or otherwise access the records listed herein. Rather, such access is governed by the California Public Records Act and other pertinent statutes and regulations governing public access to governmental records.

3.3 Policy

The District shall conform to applicable Government Code Sections (60200 through 60203) with regard to the record retention and document management of District records. District staff will effectively manage District records through a comprehensive and functional records management program. This policy will apply to hard copy, duplicate copies as well as electronic files, including email, records generated by the District's Technology Resources, and other records as defined by California law.

3.4 Retention of Original Records

The following original records shall be maintained permanently in the District's files:

- (a) The Certificate of Incorporation of the District;
- (b) Certifications of annexation proceedings;
- (c) Certificates of the Secretary of State reciting the filing of annexation papers;
- (d) Certifications by the Secretary of State that detachment papers have been received;
- (e) Resolutions and Ordinances;
- (f) Minutes of meetings of the Board of Directors;
- (g) Certificate of Assessed Valuation prepared by the Auditor;
- (h) Documents received from Tax Assessors detailing District taxes collected;
- (i) Ballot arguments pro or contra on bond issues;
- (j) Results of bond propositions received from the canvassing bodies;
- (k) Results of elections for the office of Board member of the Board of Directors received from the canvassing body;
- (l) Nomination & Ballot Results for the Election of Appointed Water Purveyors;
- (m) Records of securities acquired with surplus District moneys;
- (n) Receipts for securities from banks;
- (o) Documents received relating to claims brought against the District;
- (p) Documents received pursuant to eminent domain proceedings brought by the District;

- (q) Records determined by the Board of Directors to be of significant and lasting historical, administrative, legal, fiscal or research value; and
- (r) Records required by law to be filed and preserved.

3.5 Retention of Closed Session Records

Minutes from closed sessions of the Board of Directors shall be retained permanently by the District's General Counsel. Minutes prepared in accordance with Administrative Code, Part 2, Chapter 1, Article 4, Section 4.6 by the District's General Counsel shall be filed and retained in the Office of the General Counsel. Should there be a change in the District's General Counsel representation at any time, the outgoing General Counsel shall turn over all closed session minutes as described herein to the new General Counsel. The transition of these records to the new General Counsel shall be overseen by the General Manager.

3.6 Retention of Duplicate Original Records

The following duplicate original records, or electronic copy of such original record shall be maintained permanently in the District's files:

- (a) Financial records summarizing the financial status of the District. This does not include reports prepared pursuant to Article 9 (commencing with Section 53891) of Part 1 of Division 2 of the Government Code summarizing the financial transactions for each fiscal year which are submitted to the State Controller's Office;
- (b) Records affecting title to land or liens;
- (c) Oaths of Office and related materials depicting the authenticity of the appointment of a Director or officer of the District;

3.7 Storage of Records

All of the records referenced in this section will be maintained at the District's Administrative office located at 6252 Telegraph Road, Commerce, CA 90040 and/or such other repository (i.e. Laserfiche) that the District may designate from time to time. Documents deemed permanent on the retention schedule must be electronically stored and kept securely stored on site or per Part 7, Chapter 1, Article 3, Section 3.4, and Records Retention of Original Records.

Hard copy Documents that are not deemed permanent on the retention schedule and have been electronically stored may be disposed of upon assurance or quality control has been performed to ensure the number of pages and images have been adequately captured.

With the exception of those hard copy documents deemed permanent or per Part 7, Chapter 1, Article 3, Section 3.4, and Records Retention of Original Records, all documents electronically stored on the Districts Electronic Document Management System will be considered the District's "official document" or "official record."

If records are no longer of use in the business context and there are no statutory regulatory or investigative reasons to retain them, then it is in the District's best interest to dispose of them.

The District may dispose of the following records at any time, without maintenance of a copy: Rough drafts, notes and working papers prepared or kept by any employee or accumulated in the preparation of a communication, study or other document, unless of a formal nature contributing significantly to the preparation of the document, Shorthand notes, telephone messages and inter-departmental notes.

3.8 Retention of Other Records

All other records not listed in Part 7, Chapter 1, Article 3, Section 3.4 Retention of Original Records, and Part 7, Chapter 1, Article 3, Section 3.5 Retention of Duplicate Original Records, that are shown on the Records Retention Schedule shall be retained for the period shown on the Records Retention Schedule. Such records may be destroyed as noted in Part 7, Chapter 1, Article 3, Section 3.7, Records Review and Destruction.

3.9 Records Review and Destruction

- (a) A records retention schedule describing various District records and stating when the original or duplicate of such records may be destroyed is attached hereto and hereby incorporated by reference.
- (b) The General Manager shall retain or destroy District records at the times set forth in the records retention schedule and in accordance with the policies established by the Board of Directors and procedures set forth in this section.
- (c) At least 30 days prior to the proposed destruction date and at least annually, the Records Management Assistant shall provide a list of eligible records to be destroyed to the Department Heads for review and approval. The General Manager and General Counsel shall examine the list to determine whether the records proposed for destruction are in accordance with the records retention schedule.
- (d) Upon review and written approval by the General Manager and General Counsel, the list of eligible records to be destroyed shall be presented to the Board of Directors for approval by resolution.
- (e) Official records shall not be destroyed if any legal action, audit or government investigation involving those records is identified or ongoing.

- (f) Destruction of paper records shall be by shredding and destruction of electronic records shall be by deleting from the system.(i.e. Electronic Document Management System and Drives)
- (g) At least biennially, the records retention schedule shall be reviewed by the Records Management Assistant and General Manager. Updates and/or changes shall be presented to the Board of Directors for approval.

Article 4 - Controlled Systems & Practical Application with Current Technology

4.1 Purpose

A controlled system must include an avenue for maintaining at least two separate copies of an electronic resource. A combination of proper hardware and storage techniques are necessary to prevent any unauthorized additions, modifications, or deletions to a document. Controlled systems require auditing tools and access control policies to ensure the security, availability and integrity of the data. This includes ensuring the servers storing the data are secure and follow standard security protocols, in addition, but not limited to ensuring network, firewall, disk, and virus security exists on the server.

4.2 Policy

To ensure that all electronic versions of official documents or records, including documents or records converted from hard copy or electronically originated documents, are stored and managed in a controlled system. The Director of Information Technology and General Manager, in consultation with Legal Counsel, have determined that documents scanned and electronically stored, in a controlled system that does not permit any unauthorized alterations or deletions, are twice duplicated onto electronic media. The District uses a combination of physical disk media, tape media, usb media, and storage media to ensure that data is copied and backed up in multiple areas.

Said hard copies may be destroyed, with the exception of identified records in Part 7, Chapter 1, Article 3, Section 3.4, Retention of Original Records. The stored record(s), in either system such as Laserfiche or shared drive or hard copy, will be defined as the “official documents” or “official record” applicable to statutes in business practices of the District which is responsible for retaining said documents or records.

RECORD RETENTION SCHEDULE

Department 10: Administration and Board Services

Administration					
No.	Record Type	Retention Periods (Year)			Citations/Remarks
		V/H/R	District Retention	Electronic	
1.	Administrative Code/Policy Revisions	V/H	P		GC Sec. 60201;GC34090
2.	Agency Correspondence Files <ul style="list-style-type: none"> • Cities • Water Districts • County, State, Federal • Public Facilities Corp. • Associations (ACWA, AWWA, CSDA, CCCA, ICA, etc.) • Other (Internal Memos/Notices) 		CY + 2 years		Legal Requirement is CY+2. GC Sec. 60200-60203 GC Sec. 34090 Best Practices 2 years Excludes MWD Files
3.	Annexation Files	V/H	P		GC Sec. 60200-60203
4.	Corporate Records <ul style="list-style-type: none"> • District Formation Records • Incorporation Files • Historical Information • Bylaws 	V/H	P	Electronic	Keep permanently. GC Sec. 60201
5.	Central and West Basin Judgments <ul style="list-style-type: none"> • Volumes 1-21 and other associated files 		P	Electronic	Keep hard copies.

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RECORD RETENTION SCHEDULE

6.	District Boundaries <ul style="list-style-type: none"> • Correspondence • Legal Descriptions • Maps • Reports • Redistricting Records 	V/H	P		GC Sec. 60201
7.	Legal Opinions	R	P		GC Sec. 60201
8.	Litigation Files <ul style="list-style-type: none"> • Lawsuits • Affidavits • Court records • Depositions • Briefs & Exhibits • Claims 	R	Settlement or other Disposition CY + 4 years		Exception: eminent domain and real property actions affecting title or an interest in real property - keep permanently. GC Sec. 60201, CCP Sec. 337
9.	Metropolitan Water Districts Files <ul style="list-style-type: none"> • Records providing MWD documentation on functions, activities and programs • Correspondence 		2 years		GC Sec. 60201
10.	Property Records <ul style="list-style-type: none"> • Documents of Title • Grant Deeds • Eminent Domain • Acquisition Records • Title Transfers • Liens 	V/H	P		Keep permanently – or until no longer owned by the district

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RECORD RETENTION SCHEDULE

11.	Records related to topics and issues important to the business unit/Subject Files <ul style="list-style-type: none"> • Memorandums • Reports • Research materials • Misc. data & information 		2 years		Review and purge non-essential materials every two years. GC Sec. 60201 Excludes formal project records
12.	Retention of Records <ul style="list-style-type: none"> • Retention Schedule • Management Files - Records related to the management of District records, includes <ul style="list-style-type: none"> ○ All procedures ○ Guidelines ○ Records of Board Approved Document Destruction (Certification of Destruction of Records either by the District or an approved Vendor) 	H	P	Electronic	GC Sec. 60201-60203 Destroy hard copies if in electronic format.
Office of the Board of Directors/Board Secretary					
13.	Board Correspondence <ul style="list-style-type: none"> • All incoming and outgoing 		2 years		GC Sec. 60201 GC Sec. 34090
14.	Board of Director Meetings <ul style="list-style-type: none"> • Agendas • Affidavit of Posting Notice • Adjourned Meeting Notices • Board Packets 	V/H	P	Electronic	GC Sec. 60200-60203, 34090 If Agenda/Board Packets are not in electronic format, scan and keep electronic copy permanently.

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RECORD RETENTION SCHEDULE

	<ul style="list-style-type: none"> • Closed Session Minutes & Audio • Minutes • Ordinances • Resolutions 				Scan Minutes, Ordinances, and Resolutions for preservation, keep originals permanently.
15.	Board Meeting Recordings <ul style="list-style-type: none"> • Audio • Video Recordings (this is new as of July 2013) 		2 Years	Audio Digital as of 3/2008 to present Cassette Tapes from 1990's thru 2/2008	GC 54953.5 (b), California Attorney General Opinion No. 80-1006
16.	Directors' AB 1234 Ethics Certificates	H	5 years		The District shall maintain these records for five (5) years from the date certificate expires. GC Sec. 53235.2
17.	Directors' Files/General <ul style="list-style-type: none"> • Including letter of appointment • Biographies • Itineraries • Conference/Travel Files 		2 years		Review for historical information before purging GC Sec. 60201
18.	Directors' Oath of Office Statements		ET +6 years		GC 34090;29 U.S.C. 1113

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RECORD RETENTION SCHEDULE

19.	<p>Election Files</p> <ul style="list-style-type: none"> • County Registrar/Recorder Correspondence • Roster of Office Holders • Notifications & Publications • Certificate of Election • Election Results 	H	2 years		<p>Includes sample ballots, correspondence and reports</p> <p>GC Sec. 34090</p>
20.	<p>Election For Appointed Water Purveyors</p> <ul style="list-style-type: none"> • Nomination Forms • Ballot Forms • Ballot Result Forms • Mailing List • Nominated Candidates Biographies • Appointed Director Purveyors Guidelines & Election Schedule • General Correspondence 	<ul style="list-style-type: none"> • 4 years - Nomination/ Ballot Forms and Results • 2 years - Mailing lists • DE +7 - Years apply to all Candidate Statements • P - election-related statements 			<p>GC Sec. 81009, EC Sec. 17100, EC Sec. 17302, EC Sec. 17306, GC Sec. 34090</p> <p>(Note: For those election materials that may be destroyed after a specific number of months or years, the retention period should start from the date of the election.)</p>

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RECORD RETENTION SCHEDULE

21.	<p>Financing Corporation (Central Basin)</p> <ul style="list-style-type: none"> • Incorporation Papers • Minutes • Ordinances • Resolutions • Agendas 	H	P	Electronic	<p>GC Sec. 60200-60203, 34090</p> <p>If Agendas are not in electronic format, scan and keep electronic copy permanently. Hard copy ok to Destroy.</p> <p>Scan Incorporation Papers, Minutes, Ordinances, and Resolutions for preservation, keep originals permanently.</p>
22.	<p>Joint Financing Authority (Central Basin and West Basin) -</p> <ul style="list-style-type: none"> • Incorporation Papers • Minutes • Ordinances • Resolutions • Agendas <p>Note: This is no longer Active.</p>	H	P	Electronic	<p>GC Sec. 60200-60203, 34090</p> <p>If Agendas/Board Packets are not in electronic format, scan and keep electronic copy permanently. Hardcopy ok to Destroy.</p> <p>Scan Incorporation Papers, Minutes, Ordinances, and Resolutions for preservation, keep originals permanently.</p>
23.	<p>Public Facilities Corporation</p> <ul style="list-style-type: none"> • Incorporation Papers • Agendas • Minutes • Ordinances • Resolutions <p>Note: This is no longer Active</p>	H	P	Electronic	<p>GC Sec. 60200-60203, 34090</p> <p>If Agendas/Board Packets are not in electronic format, scan and keep electronic copy permanently. Hard copy ok to Destroy.</p> <p>Scan Incorporation Papers, Minutes, Ordinances, and Resolutions for preservation, keep originals permanently.</p>

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RECORD RETENTION SCHEDULE

24.	Public Hearings <ul style="list-style-type: none"> • Proof of Publications • Notices • Correspondence 		P 2 years		GC Sec. 60201 Scan Proof of Publications for preservation. GC Sec. 34090
25.	Public Records Requests <ul style="list-style-type: none"> • Incoming • Outgoing 		2 years	Electronic	Cal. Records Retention Guidelines GC Sec. 34090 (2 years after completion, any request that is still pending cannot be disposed of.) (GC 60201(d) (5).)
26.	Standing Committee <ul style="list-style-type: none"> • Agendas/ Packets • Minutes 		P	Electronic	GC Sec. 34090
27.	Weekly Reports		2 years	Electronic	Keep for two years then destroy. GC Sec. 34090

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RECORD RETENTION SCHEDULE

Department 20: Finance

FINANCE					
No.	Record Type	Retention Periods (Year)			Citations/Remarks
		V/H/R	District Retention	Electronic	
1.	Accounts Payable Files <ul style="list-style-type: none"> • Invoices • Check Copies • Supporting Documents • Purchase Orders • Check Register 		AU + 4		GC Sec. 34090; 26 CFR 1.6001-1
2.	Accounts Receivable <ul style="list-style-type: none"> • Check Log • Bank Deposit Slips • AR Reports • Demand List • Expense Reports Directors Staff 		AU + 4		GC Sec. 60201 GC Sec. 34090
3.	Audit Documents <ul style="list-style-type: none"> • Comprehensive Annual Financial Report (CAFR) 		P	Electronic	GC Sec. 34090

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4.	Banking <ul style="list-style-type: none"> • Bank Statements (reconciliations) • Canceled Checks • LAIF Statements • Securities • Sweep Accounts 		5 years		GC Sec. 34090, State Controller's Guidelines.
5.	Bond Files <ul style="list-style-type: none"> • Agreements • Bond Propositions • Certificates • Correspondence • Guaranteed Investment Contracts • Interest Statements • Statements • Withdrawal Requisitions 		10 years, unless record is subject of legal challenge within statutory 10-year statute of limitations.		GC Sec. 34090; CCP Sec. 337.5 Records related to claims brought against the District are retained permanently
6.	Budgets – District	H	P	Electronic 2010 to Present	GC Sec. 60201, GC Sec. 34090
7.	Budget Transfers		5 years = Audit + 4 years		GC Sec. 34090
8.	Financial Statements – including: <ul style="list-style-type: none"> • General ledger • Profit & loss statement • Treasurer report • Trial balance • Work papers 		7 years		GC Sec. 60201

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9.	Investments <ul style="list-style-type: none"> • Cash Investment Tickets • Investment Files & Records • Investment Reports • Investment Transactions 		P		GC Sec. 60201; 26 CFR 1.6001-1
10.	Journals, Ledgers, Statements <ul style="list-style-type: none"> • Bond Statements • Financial Statements • General Ledger • Journal Entries 		P	Hard copy thru 6/30/12 Electronic (FMS) 07/01/12	GC Sec. 60201, GC Sec. 34090
11.	Payroll Records <ul style="list-style-type: none"> • Deferred compensation • Financial Statements • Leave accrual report • Payroll advice register • Payroll check register • Timesheets • Payroll Taxes – Federal and State <ul style="list-style-type: none"> • 1099s • W-4s • W-2s 		Audit + 7 years		GC Sec. 60201; GC Sec. 34090; 29 CFR 516.2 Registers must be permanently kept.
12.	Public Employment Retirement System <ul style="list-style-type: none"> • Summary Report of Member & Employee Contributions 	VR	P		GC Sec. 34090
13.	Public Employment Retirement System		2 years		GC Sec. 60200-60203

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	<ul style="list-style-type: none"> Correspondence 				
14.	Rate Analyses - supporting documents to official changes in rates		Cy + 2years		GC Sec. 34090
15.	Standby Charge Assessment Documentation <ul style="list-style-type: none"> Assessment Reports Methodology Reports and Studies	V	P		
16.	Water Billing <ul style="list-style-type: none"> MWD/Customer Reads Recycled Water Sales Reports Summaries/Invoices Capacity Charge Documents Local Resources Program (LRP) 		P		
Contracts/Grants					
		Retention Periods (Year)			
No.	Record Type	V/H/R	District Retention	Electronic	Citations/Remarks
17.	<u>RFP/Proposals</u> <ul style="list-style-type: none"> Request for Proposal (RFP) Request for Quotes (RFQ) Request for Bids (RFB) – construction State of Qualifications Addendums Request for Clarification Proposals Received (successful/unsuccessful) 		P		CCP Sec. 337.2,343; B & P Sec. 7042.5

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18.	<u>Contracts & Agreements</u> <ul style="list-style-type: none"> • Equipment • Supplies • Professional Service Agreements • Service Agreements • Service Purchase Order • Memorandum of Understanding • MWD Connection Agreements • Amendments • Insurances 		P		CCP Sec. 337.2,343; B & P Sec. 7042.5
19.	<u>CIP/Construction Contracts</u> <ul style="list-style-type: none"> • Construction Agreements • Addenda/Amendments • Change Orders • Insurance/Bid Bond forms 		P		GC Sec. 37090a; 4004; H&S Sec. 19850
20.	<u>Grant Awarded Contracts (Projects that have Grant Funding)</u> <ul style="list-style-type: none"> • Federal • State • County • Local 		P		2 C.F.R. § 200.333; see also 24 C.F.R. § 85.42, 24 C.F.R. § 570.502(a) (16). GC Sec. 34090
21.	<u>Lease/License/Easements/Permits</u>		P		GC Sec. 60201,60203

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RECORD RETENTION SCHEDULE

Department 30: Human Resources and Risk Management

Human Resources					
No.	Record Type	Retention Periods			Citations/Remarks
		V/H/R	District Retention	Electronic	
1.	Actuarial Studies	H	10 years	Electronic	Department Preference (10 years is used to establish rates) meets all auditing requirements; GC Sec. 60201 et seq.
2.	Departmental Internal Audits Examples may include: <ul style="list-style-type: none"> • Payroll • Personnel Reports to State and Federal Agencies • Service year records 	V	P		GC 60201
3.	Benefit Plan Administration Examples may include: <ul style="list-style-type: none"> • Benefit summaries • Benefit pricing/cost • Benefit policy coverage options • OPEB Actuarial Valuations • Discrimination testing • Plan documents DO NOT INCLUDE: <ul style="list-style-type: none"> i Employee (EE) enrollment forms ii EE medical Information iii <i>Also See EE Personnel Records (Active and Termed)</i> 	H	Active + 6 years		Destroy after 6 years in archives. 29 U.S.C. § 1027 GC Sec. 60200 – 60203 GC Sec. 12946 29 CFR 1602.31 & 1627.3(b)(ii),

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4.	<p>COBRA Files</p> <ul style="list-style-type: none"> • Correspondence • Work Papers • Election • Continuation Coverage Forms 	R	Expiration + 6 years		GC Sec. 60201
5.	<p>Conflict of Interest Files</p> <ul style="list-style-type: none"> • Statements of Economic Interest 	V	7 years		<p>GC Sec. 81009 retention 7 years GC 81009 (E & G)</p> <p>Files can be scanned</p>
6.	<p>Employee EDD Records</p> <p>Examples may include:</p> <ul style="list-style-type: none"> • Unemployment Benefits Administration • Forms • Employer Account Statements 	R	7 years		GC Sec. 60201 22 CCR §1085-2 (c)
7.	<p>Employee EE Confidential Records (Active and Termed)</p> <p>Examples may include:</p> <ul style="list-style-type: none"> • EE reference checks • EE group health plan enrollment forms • Background checks • Employment verification requests 	R	Active + 6 years		<p>GC Sec. 60200 – 60203 GC Sec. 12946 & 60201;29, 29 CFR 1602.31 & 1627.3(b)(ii), 29 U.S.C. § 1027</p>

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8.	<p>Employee Health & Medical Records (Personal Health Information)</p> <p>Examples may include:</p> <ul style="list-style-type: none"> • Medical certificates/physicals <ul style="list-style-type: none"> ○ Includes pre-employment physicals • FMLA if EE has disclosed nature of illness • Return to Work releases • Medical Information related to reasonable accommodation 	R	Active + 30 years		<p>Scan and destroy hard copies after 5 years. Retain scan for 25 years – total retention: 30 years. 29 CFR 1910.20; 8 CCR 3204. 29 CFR 1602.31 & 1602.31 & 1627.3(b)(ii),</p>
9.	<p>Employee Personnel Records (Active and Termed)</p> <p>Examples may include:</p> <ul style="list-style-type: none"> • Applications • Resume • Job Descriptions • Offer Letter • Personnel Action Notices (PAN) • Leaves Requests • Education Records/Certificates/Training • Performance Evaluations • Terminations • Acknowledgments of Receipt – Administrative Code/ • Employee Handbook • Payroll Withholdings/Garnishments 	R	Active + 6 years		<p>GC 12946 & 60201;29, 29 CFR 1602.31 & 1602.31 & 1627.3(b)(ii),</p> <p>Note: For Payroll follow Finance Retention (7 years = Audit + 6 years)</p>

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10.	Grievances, Discipline & Investigations <ul style="list-style-type: none"> • EE Hearings • Discipline • Grievances • Investigations 	R	2 years (Or until the disposition of any case)		Filed separately with active. File with Personnel File at termination. GC Sec. 60201, GC Sec. 12946
11.	I-9 Form	R	3 years after date of hire or 1 year after termination whichever is later	Electronic	CFR 274a.2
12.	Job Applications – Not Hired Examples may include: <ul style="list-style-type: none"> • Candidate applications • Employment/New Hire Test results 	R	2 years		Destroy after 2 years. CA Code Section 12946. 29CFR 1602 et seq & 1627.3(a)(5) and (6), 1 CCR7287, 8CCR §11040.7(c). GC13946,60201
13.	Job Postings Examples may include: <ul style="list-style-type: none"> • Records regarding the advertisement of available position • Advertising 	H	3 years		Destroy 3 years after employment decision. CA Labor Code Section 1197.5; 29 CFR 1627.3
14.	Long Range & Strategic Plans	V	P	Electronic	GC Sec. 60201

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15.	<p>Motor Vehicle Pulls (DMV)</p> <p>Records will include:</p> <ul style="list-style-type: none"> • Active EEs current status of driver's license and DMV reports 	R	Until Superseded or 2 years after termination	Electronic	<p>GC Sec. 12946 GC Sec. 60201</p>
16.	<p>Organization Chart/Structure – Documents that describe and depict the structure of an organization in terms of reporting relationships.</p> <ul style="list-style-type: none"> • Examples may include: • Charts • Diagrams 	V	P	Electronic	<p>Review and purge non-essential materials every two years.</p> <p>GC Sec. 60201</p>
17.	<p>Policies & Procedures – Records providing documentation on the implementation of management & administrative policies and directions for departments functions</p>	H	P	Electronic	<p>GC Sec. 60201</p>
18.	<p>Retiree Files, records may include:</p> <ul style="list-style-type: none"> • Retirement Status • Beneficiary Designation • Benefits Information 	R	Retirement Duration + 6 years	Electronic	<p>Destroy after 6 years in archives.</p> <p>Per ERISA Department Preference; statute of limitations for retirement benefits is 6 years from last action; GC Sec. §§12946, 60201; 29 USC 1113</p>
19.	<p>Retirement Records</p> <p>Examples may include:</p> <ul style="list-style-type: none"> • Deferred Compensation 	V/R	P	Electronic	<p>Pension and insurance plans, as well as copies of any seniority system and merit systems, must be kept on file for the full period the plan or system is</p>

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	<ul style="list-style-type: none"> • CalPERS • Actuaries 				in effect, and for at least 1 year after termination. 29 CFR 1627.3; GC Section 60200-60203.
20.	<p>Salary & Classification Surveys</p> <ul style="list-style-type: none"> • Wage Rate • Classifications • Job Description Development • Job Analyses 		2 years	Electronic	Keep in office 2 years, then destroy (CY+2). GC Sec. 12946, 34090; 29 CFR 516.6(2); 29 CFR 1602.14
21.	<p>Sexual Harassment Prevention Training (AB 1825)</p> <p>Examples may include:</p> <ul style="list-style-type: none"> • Rosters • Training materials • Instructor credentials 	V	5 years	Electronic	GC Sec. 12950.1
22.	Tuition Reimbursement Forms	V	7 years	Electronic	GC Sec. 60201
23.	Training Records	V	Active + 2 years	Electronic	GC Sec.34090 & 12946
24.	<p>Workers Compensation</p> <p>Examples may include:</p> <ul style="list-style-type: none"> • Claims • Files • Incident Reports 	R	<p>Settled + 5 years</p> <p>Toxic Substance Claims (Separation + 30 Years)</p>	Electronic	Claims can be made for 30 years for toxic substance exposure; Claims are required for five years after the end of compensation, or injury, whichever is longer; 8CCF §3204(d)(1) et/seq/. 8CCR 10102

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25.	Workers Compensation Insurance Claims-non litigated	R	Settlement or other Disposition + 2 years	Electronic	GC Sec. 60201, CCP 337
26.	Workers Compensation Policy Administration Examples may include: <ul style="list-style-type: none"> • Summary of Claims reports • Analysis reports • Loss Incident Reports 	R	5 years	Electronic	Best practice 5 years
Risk & Safety Management					
27.	General Liability, Property Insurance Claims-non litigated	R	Settlement or other Disposition + 2 years	Electronic	GC Sec. 60201, CCP 337
28.	Insurance Coverage <ul style="list-style-type: none"> • Policies • Joint Powers Insurance Authority Memorandum of Understanding 	V	P	Electronic	GC Sec. 60201 CCP 337
29.	OSHA -200 Log -300 Forms Includes the Log of: <ul style="list-style-type: none"> • Occupational injuries • Illnesses • Summary • Accompanying forms. 	R	7 years Toxic Substance Claims (Separation + 30 Years)	Electronic	(CY+5). CA Admin. Code Title 8, Section 14307 Calif. Labor Division is required to keep their records 7 years; OSHA requires 5 years; State law requires 2 years; 8 CCR 14300.33(a);CFR1904.33, 29 CFE 1904.411; GC Sec. 60201

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RECORD RETENTION SCHEDULE

Department 40: External Affairs

External Affairs					
No.	Record Type	Retention Periods (Year)			Citations/Remarks
		V/H/R	District Retention	Electronic	
1.	Construction Notices for Neighborhoods		2 years		GC 60201
2.	Correspondence – General <ul style="list-style-type: none"> • Cities • Water Districts • State, Federal and local gov't Memberships/Organizations • Internal Memos 		2 years		Destroy CY+2. GC Sec. 60200-60203
3.	Media Files <ul style="list-style-type: none"> • News Clippings/Files • TV and radio tapes, news releases • Media Releases/Press Releases 	H	2 years unless Historical then keep Permanently		<u>Review</u> Files and keep historical data pertaining to district permanently. GC Sec. 60201
4.	Photographs-Official	H	2 years unless Historical then keep Permanently		Review Files and keep historical data pertaining to district permanently. GC Sec. 60201
5.	Programs/Events Files <ul style="list-style-type: none"> • Marketing • Special Events 		3 years		GC Sec. 60200-60203

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6.	Proof of Publications <ul style="list-style-type: none"> • Print • Radio • TV 		2 years		GC Sec. 60201
7.	Public Outreach Material-including <ul style="list-style-type: none"> • Newsletters • Fact sheets • Brochures • Videos • Maps • Data & Information • Other collateral material 	H	CY + 5 years		GC Sec. 60201 Review and keep historical data pertaining to the district
8.	Tours <ul style="list-style-type: none"> • MWD Inspection Tours: <ul style="list-style-type: none"> • Colorado River • Sacramento State Water Project • CB Water Education Tour-Diamond Valley 		5 years		GC Sec. 60200-60204 District Preference
EDUCATION (Sub-category under PA)					
9.	Education Programs <ul style="list-style-type: none"> • Schedules 		When no longer required Minimum 2 years		District Preference – Review and keep permanently if Historical GC Sec. 60201
10.	Education Publications <ul style="list-style-type: none"> • Bookmarks • Brochures • Mailers • Correspondence 		When no longer required Minimum 2 years		District Preference – Review and keep permanently if Historical GC Sec. 60201

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LEGISLATIVE (Sub-category under PA)					
11.	Lobbyist Reports Form # 602 & 635 FPPC (Fair Political Practices Commission) Reports		5 years		2 CCR 18615 (d)

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RECORD RETENTION SCHEDULE

Department 50: Engineering & Operations

Engineering					
No.	Record Type	Retention Periods (Year)			Citations/Remarks
		V/H/R	District Retention	Electronic	
1.	Agency Correspondence Files <ul style="list-style-type: none"> • Cities • Water Purveyors/Retailers • Water Districts • County • State • Federal • Privately Owned Business • Other (Internal Memos/Notices) 		CY+2		Legal Requirement is CY+2. GC Sec. 60200-60203, 34090
2.	Agendas/Meeting Notices <ul style="list-style-type: none"> • Engineering/Operations meetings with other Agencies or contractors 		2 years		GC Sec. 60200-60203
3.	As-built drawings		P		Keep in office permanently
4.	Construction Projects (CIP)	V/H	P		<ul style="list-style-type: none"> • All documents directly related to CIP projects; • Final versions of documents only; no working versions • No duplicates

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5.	CEQA, CEQA+ Environmental Documentation (District Projects) <ul style="list-style-type: none"> • Notice of Exemption • Notice of Determination • Notice of Preparation • Environmental Impact Report • Negative Declaration • Mitigated Negative Declaration • Notice of Filing • Notice of Completion • Adopted Environmental Documents 		P		GC Sec. 15095(c), CEQA Guidelines
6.	Reports and Studies (Done by or generated for Central Basin Municipal Water District)		P		District Preference
Operations & Maintenance					
No.	Record Type	V/H/R	District Retention	Electronic	Citations/Remarks
7.	Equipment Inventory List		CY	Electronic	GC Sec. 60201
8.	Equipment & Facilities Repair or Replace Records Maintenance Records		Sale of Equipment + 2 years	Electronic	GC Sec. 60201-
9.	O&M Monthly Reports		CY + 2 Years		GC Sec. 34090
10.	Emergency or Safety Plans		2 Years	Electronic	GC Sec. 34090
11.	Facilities Crime/Incident Reports-Pump station Facilities		2 years	Electronic	GC Sec. 60201

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12.	FEMA Records		3 years	Electronic	44 CFR 13.42
13.	Operating & Maintenance Manuals		Life of Equipment+2 Years		GC Sec. 60201
14.	Operating Permits		Active + 2 years	Electronic	GC Sec.60201
15.	Operations & SCADA Hydraulic Data		10	Electronic	GC Sec.60201
16.	(WQPP) Water Quality Monitoring & Production <ul style="list-style-type: none"> • Well & Pump records • Facility Improvements Reports 		P	Electronic	
17.	Recycled Water Customer Development <ul style="list-style-type: none"> • Recycled Water Site Plans • Letter of Intent • Engineering Report • Approvals from Regulatory Agencies 		P	Electronic	
18.	Recycled Water Customer Development <ul style="list-style-type: none"> • Correspondence • Usage data • Photos 		5 years		
19.	Recycled Water Monitoring <ul style="list-style-type: none"> • Water Quality Data • Reports 		P		

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RECORD RETENTION SCHEDULE

Department 55: Water Resources & Planning

Water Resources & Planning					
No.	Record Type	Retention Periods (Year)			Citations/Remarks
		V/H/R	District Retention	Electronic	
1.	Capacity Charge <ul style="list-style-type: none"> • Calculations • Spreadsheet • Related correspondence 		10 years		GC Sec. 60201
2.	Reports <ul style="list-style-type: none"> • Annual Water Use Report 		P		
3.	Urban Water Management Plan	H	P		
4.	Watermaster Reports		P		
5.	Well Driller's Logs		P		
6.	MWD Imported Water Service Connections		P		GC Sec. 34090
Water Conservation (Sub-category under WR)					
7.	Grant Funded Programs <ul style="list-style-type: none"> • Performance reports 		CY + 2 years		GC Sec. 34090
8.	MWD/SoCal WaterSmart Documentation <ul style="list-style-type: none"> • Local Partnerships • Supplemental Funding 		P		

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RECORD RETENTION SCHEDULE

Department 60: Building, Information Technology (IT) and Geographical Information Systems (GIS)

BUILDING					
No.	Record Type	Retention Periods (Year)			Citations/Remarks
		V/H/R	District Retention	Electronic	
1.	Crime/Incident Reports- including police reports		2 years	Electronic	GC Sec. 60201
2.	Elevator Inspection & Certification		Current	Electronic	GC Sec. 60201
3.	Emergency Preparedness Plan Response & Disaster Recovery Files Records providing instructions in the event of a disaster. Includes: <ul style="list-style-type: none"> • Evacuation plans • Emergency response requirements • Staff duties 	V	P	Electronic	GC Sec. 60201
4.	Employee Badge Database		P	Electronic	GC Sec. 60201
5.	Equipment/Maintenance Files <ul style="list-style-type: none"> • Communication Systems • Computer Systems • Office Building • Office Machines 		Active + 4 years	Electronic	Code Civ. Proc. Sec. 337, 338, 343

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6.	Facility and IT Assessment		3 years	Electronic	GC Sec. 60201
7.	Inventory List <ul style="list-style-type: none"> • Building • Emergency Items 		CY + 3 years	Electronic	GC Sec. 60201
8.	Maintenance Records		Sale of Equipment + 2 years	Electronic	GC Sec. 60201
9.	Operating & Maintenance Manuals		Life of Equipment	Electronic	GC Sec. 60201
10.	Operating Permits	V	Expiration + 3 years	Electronic	Department preference, GC Sec. 60201
11.	Property Improvement Files-including <ul style="list-style-type: none"> • Expansion • Upgrades 		P	Electronic	GC Sec. 60201
12.	Reports & Facility Security <ul style="list-style-type: none"> • Assessments • Plans 	R	Superseded + 5 years	Paper	GC Sec. 60201—Department Preference, Confidential
13.	Visitor Logs		2 years	Electronic	GC Sec. 60201
14.	Video-Employee Areas		6 months	Electronic	Records regular and ongoing operations; GC Sec. 60201

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15.	Video-Public Areas <ul style="list-style-type: none"> • Entrances • Parking lot, etc. 		6 months	Electronic	Records regular and ongoing operations; GC Sec. 60201
Information Technology (IT)					
No.	Record Type	V/H/R	District Retention	Electronic	Citations/Remarks
16.	Email System & Backups		21 days	Electronic	GC Sec. 60201
17.	Emails, Deleted		3 years	Electronic	GC Sec. 60201
18.	Hardware and Software Inventory Records		Superseded + 2 years	Electronic	Running inventories of hardware and software used to track locations, to whom assigned, and licensing information.
19.	System and Data Documentation		Superseded or Obsolete + 2 years	Electronic	Records documenting systems and data including, but not limited to, network diagrams, data dictionaries, flow charts, specifications, file layouts source code, metadata, configurations, system change notices, and security records.
20.	Hardware and Software Documentation and Maintenance Records		No Longer in Use + 2 years	Electronic	Manuals, warranties, maintenance logs, and other records documenting the operation and use of IT hardware and software. Excludes documentation of repairs on end user computers and any other equipment located in department offices.
21.	Information System (IS) - <ul style="list-style-type: none"> • Backup Tapes-<i>excluding</i> email 		CY + 3 previous backups	Electronic	GC Sec. 60201 (SDCWA) Note: Override tapes

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