

TO: BOARD OF DIRECTORS
FROM: MICHAEL S. LEBRUN *mes*
GENERAL MANAGER
DATE: SEPTEMBER 4, 2015

**AGENDA ITEM
E-1
SEPTEMBER 9, 2015**

**MARGARITA VALLEY RANCH INC. CONSIDER REQUEST FOR
INTERIM FEE RECONCILIATION**

ITEM

Consider a request by Santa Margarita Ranch Inc. to reconcile water capacity fees owed on an in-progress project [RECOMMEND CONSIDER PROPOSAL, DIRECT STAFF]

BACKGROUND

Margarita Valley Ranch Inc. (Developer) is developing Tract 2650/Westgate. In 2014 the developer paid a 100% estimate of the fees required for the 16-lot subdivision and received a will serve letter. Subsequently, the District's water capacity charge was lowered.

Per District policy, a final reconciliation of fees is made when a developer meets all District conditions and requests water meters to be set.

The Developer has requested an interim reconciliation of fees. Should your Board grant this request, a final fee calculation and reconciliation will be made once conditions are met and water meters are requested.

FISCAL IMPACT

In 2014, the Developer paid \$306,144.00 in fees, \$301,584.00 attributed to water capacity charges. At today's rate, the water capacity charges for this project are \$170,992.00. A refund of \$130,592.00 would be due to the developer.

RECOMMENDATION

Should your Board desire to grant the Developer's request, direct staff to issue a refund of water capacity fees in the amount of \$130,592.00.

ATTACHMENTS

- A. July 27, 2015 Margarita Valley Ranch Inc. Letter

September 9, 2015

E-1

ATTACHMENT A

Margarita Valley Ranch, Inc.

July 27, 2015

Nipomo Community Services District
148 South Wilson Street
Nipomo, CA 93444

Attention: Michael Lebrun – Manager
RE: Westgate – Tract 2650

Mr. Lebrun,

As per our conversation and the understanding that the cost/fees for the Nipomo supplemental water "Project" have come in lower than earlier projected, we would like to request a refund for the difference in the fees paid for Tract 2650 at the corner of Via Concha and Willow Roads. As records will show, this is a 16 lot subdivision and all fees due and payable at that time were paid in full.

Please provide an accounting and refund to reflect the final cost assessments,

Sincerely,



Greg Nester

Greg Nester Construction & Development dba Margarita Valley Ranch, Inc.
General Contractor License No. 694679
Tel: 805.481.5182 · FAX: 805.481.2790
Mailing Address: P.O. Box 219, Arroyo Grande, CA 93421
Office Location: 111 Nelson St., Arroyo Grande, CA 93420
www.GregNesterHomes.com · Info@GregNesterHomes.com

TO: BOARD OF DIRECTORS
FROM: MICHAEL S. LEBRUN *ML*
GENERAL MANAGER
DATE: SEPTEMBER 4, 2015

**AGENDA ITEM
E-2
SEPTEMBER 9, 2015**

RECORDS RETENTION POLICY UPDATE

ITEM

Consider adopting records retention policy update [RECOMMEND ADOPT RESOLUTION APPROVING RECORDS RETENTION POLICY UPDATE]

BACKGROUND

The District current records management and retention policy was adopted in 2000 (Attachment A). Staff reviewed the policy and current policies at numerous public agencies and is recommending your Board consider a revised and updated retention policy (Attachment B – Exhibit A to Resolution).

FISCAL IMPACT

Minor budgeted staff time and document destruction fees are expended in support of records management. Well managed records save time and resources.

RECOMMENDATION

By motion and roll call vote, adopt Resolution approving records retention policy and repealing Resolution 2000-718.

ATTACHMENTS

- A. Resolution 2000-718
- B. Resolution 2015-XXXX Retention

September 9, 2015

E-2

ATTACHMENT A

NIPOMO COMMUNITY SERVICES DISTRICT

RESOLUTION NO. 00-718

**A RESOLUTION OF THE BOARD OF DIRECTORS OF THE
NIPOMO COMMUNITY SERVICES DISTRICT
ESTABLISHING A RECORDS MANAGEMENT AND
RECORDS RETENTION SCHEDULE**

WHEREAS, the Nipomo Community Services District finds it to be in the best interest of the District to adopt a records management and records retention schedule to facilitate reference to and preservation of District records. The program consists of record organization, indexing, selection, retention, destruction, and permanent storage. The objective of the program is to minimize the cost and effort of record keeping.

NOW, THEREFORE, BE IT RESOLVED, DETERMINED AND ORDERED by the Board of Directors of the Nipomo Community Services District as follows:

1. The Records Management and Records Retention Schedule is established in accordance with Government Code Section 60200 et seq. and other statutory requirements and sound records management practices.
2. The attached Records Management and Records Retention Schedule is hereby adopted by the Nipomo Community Services District Board of Directors.

Upon motion of Director Mobraaten , seconded by Director Mendoza on the following roll call vote, to wit:


AYES: Directors Mobraaten, Mendoza, Blair, Simon and Kaye
NOES: None
ABSENT: None
ABSTAIN: None

the foregoing resolution is hereby passed and adopted this 19th day of January, 2000.



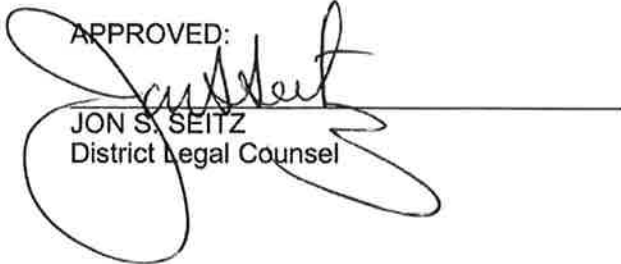
GENE KAYE, PRESIDENT OF THE BOARD
Nipomo Community Services District

ATTEST:



DONNA K. JOHNSON
Secretary to the Board

APPROVED:

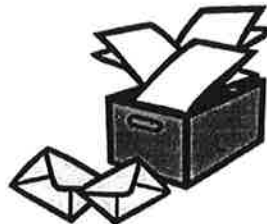


JON S. SEITZ
District Legal Counsel

NIPOMO

COMMUNITY
SERVICES
DISTRICT

RECORDS MANAGEMENT AND RECORDS RETENTION SCHEDULE



Nipomo Community Services District's Record Management System

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Nipomo Community Services District's Record Management System

INTRODUCTION

The purpose of the Nipomo Community Services District's Record Management System is to facilitate reference to and preservation of District records. The program consists of record organization, indexing, selection, retention, destruction, and permanent storage.

The objective of the Records Management System is to minimize the cost and effort of record keeping.

To achieve these objectives, the following procedures and standards are established in accordance with Government Code § 60200 et seq. and other statutory requirements and sound records management practices.

In the event these regulations conflict with State and/or Federal law, then said State and Federal laws shall control.

If any provisions of these regulations or the application of any such provision shall be held invalid by a Court of competent jurisdiction, the remainder of the regulations, or the application of said provisions, other than those which have been held invalid, shall not be affected thereby.

Nipomo Community Services District's Record Management System

CHAPTER I

RECORDS MANAGEMENT

1. Applicability:

The following procedures are to be used in establishing, maintaining and ordering all records and files for the Nipomo Community Services District.

2. Purpose:

The purpose of the following procedure is to facilitate reference to and preservation of District Records.

3. Definitions:

- a. "Archives" are those files of the District that must be preserved permanently: a.k.a. "Permanent File".
- b. "File" is defined as a device (as a folder, case, or cabinet) by means of which records are arranged in an order; e.g., alpha/subject or numerical.
- c. "File Plan" is a minimum category description to assist the District Manager in the storage and retrieval of files located in the RRC. Departments are encouraged to use the File Plan to index their department records.
- d. "Minutes" are the official records of the District regarding legislative action and are prepared in accordance with District adopted Board Bylaws.
- e. "General category" shall refer to the broad classification of a subject; e.g., water.
- f. "Record" is defined as a body of recorded information relating to the conduct of the District's business. A "record" must be distinguished from "non-records", which include reference papers, notes, working papers, publications, catalogs, out-dated forms, and other similar material.

"Active records" shall refer to records which are used in the day to day operation of the department and normally retained with the department.

"Inactive records" shall refer to records which are not used in the day to day operation of the department.

Nipomo Community Services District's Record Management System

- g. "Record Retention Center (RRC)" may be a location or a medium (e.g., digitized information) where inactive records are stored (a.k.a. "records"). The RRC is the responsibility of the District Manager's office. The RRC may be off premises. All documents sent to the RRC shall be labeled/coded per the File Plan.
- h. "Tapes" of the proceedings of any Board meeting will be used for the sole purpose of making sure the action of the Board of Directors was recorded properly. Tape recordings are maintained in accordance with District adopted Board Bylaws.
- i. "Storage Records" are inactive records which are forwarded to the Record Retention Center (RRC).
- j. "Working files" are the sole responsibility of the affected department.

4. Files Plan:

This is the official files plan for the Nipomo Community Services District. The files plan assigns departments the responsibility for accumulating and maintaining active records by subject or by numerical code if approved by the District Manager.

Inactive records are to be prepared for transmittal to the Record Retention Center (RRC) by the responsible department. Preparation shall be in accordance with the procedure entitled Maintenance Procedure.

Note: Prior to assignment, Inactive Records shall be indexed and placed in boxes. Indexing shall be placed on the outside of the box and a copy placed on file with the District Manager. The index will follow the File Plan.

5. File Index:

The indexing of records and files shall include the following indexing method:

- a. Files created prior to January 2000 may be indexed alphabetically – numerically, as assigned by the department. Files created after December 31, 1999 should be coded/labeled per the file plan (see retention schedule).
- b. One copy of the file plan index shall be kept in the department maintaining such files or records and one in the District's RRC.
- c. It shall be the responsibility of the departments to update the indexes and to provide such information to the RRC.

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6. Ordering Within Files:

- a. Proper name arrangement: Files maintained by proper names will be arranged alphabetically by Surname, first name, and middle initial (in that order).
- b. Geographical location arrangement: When papers are referred to by name of geographical location, one of the following arrangements will be used:
 1. By specific name or location and thereunder alphabetically by general name or location.
 2. By specific street and/or block number.
- c. Chronological order: Is defined as current date, backwards; e.g., July 1, June 30, June 29, June 28, etc.

MAINTENANCE PROCEDURE

7. General:

The procedures in this section are designed to provide maximum efficiency in processing papers for filing, using file guides and folders and labeling guides, folders, and file containers. It is the responsibility of each department to maintain its files per this manual.

8. Inspection of Papers:

Papers received for filing or storage will be inspected to insure completeness and to eliminate unnecessary material (e.g., duplicate copies).

- a. Completeness: Papers received for filing will be checked to insure that all papers which should be included to complete the record are attached. An attempt will be made to obtain missing papers or copies of those papers.
- b. Unnecessary material: Unnecessary documents such as used envelopes, routing slips and extra copies may be discarded. When the original of a paper is available, all copies may be discarded unless an extra copy contains additional information needed for record purposes.

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9. Assembly of Papers:

- a. Separate correspondence: A separate "chain" of correspondence, in chronological order, consists of the basic paper (the paper starting the action), any replies continuing the action, enclosures, and supporting papers forming a part of the whole correspondence action. If the file history is lengthy, the method of assembling papers, in bottom to top order, is:
 1. The basic paper (letter, memorandum, staff reports, etc.).
 2. Letter endorsements, disposition, comments, in date order.
 3. Replies (letter, memorandum, etc.).
 4. Enclosures in numerical sequence.
 5. Internal actions which support the actions (studies coordinating actions, etc.).
- b. Related papers: Papers which are directly related or contain definite reference to earlier papers on the same subject will be combined with these papers only if reference requirements require such action. They will be assembled as described in "a" above. Combined papers will be filed behind the earlier papers or placed in file where earlier papers are filed.

10. RRC Code:

- a. At a minimum, an RRC Code will appear on files containing all papers to be filed as to that subject matter as to assist in their storage and retrieval. The RRC Code should be located on the right corner of the file indicating date, subject file, plan code (see retention schedule), other information.

11. Indexing:

- a. Indexing is determining the specific file into which material is to be placed. Indexing is done after each person concerned has seen the material before it is filed. It consists of marking the material by underlining, circling, or writing in the subject under which it is to be filed in accordance with the file index. If a cross-reference is needed, it should be filled out at this time as discussed below.
- b. The File Index is the key to good filing. For this reason, it should be kept current at all times. Identify the exact topic as precisely and concisely as possible. Avoid headings which are meaningless as to what is covered, for example:

Instructions	Miscellaneous
Date	Correspondence
Office Memos	

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- c. File Drawer: The front of each file drawer will have the alphabetical/code notation, function, and/or an index listing the files in the drawer.

12. Labels:

- a. File drawers, guides, and folders will be labeled to facilitate filing, searching and disposition. Whenever possible, the material in a single file should reference the appropriate heading found in the "File Plan". Gummed labels will be used for labeling guides and folders. Drawer labels will be prepared on card stock.
- b. Captions:
 - 1. Labels will bear the file title, year of the file and disposition instructions in that sequence.
 - 2. Various colored labels may be used on files to indicate different years to be forwarded to the RRC. The District Manager's Office will establish the color code for a given year. Until the color code is established, all RRC records will have red labels.

13. Check-Out Record, Suspense, and Follow-up:

- a. A check-out record will be made and substituted for the file removed for reference purposes. The check-out form is placed in the filing location from which the file material is removed. When the file is re-filed, the entries on the form are lined out, and the form is then available for re-use.
- b. A suspense file may be established to provide control over records loaned outside the file area. The form will be filed by the suspense or tracing date established for the papers that are loaned. When the established suspense or tracing date is reached, the suspense copy will be withdrawn from the file, and the individual to whom the papers are charged will be notified.
- c. Procedure:
 - 1. The original folder will be filed in a suspense or tracing file, by date, established for the papers that are loaned from the folder.
 - 2. One copy will be provided to the person requesting the papers from the file.
 - 3. When the established suspense or tracing date is reached, the suspense copy will be withdrawn from the suspense file and the individual to whom the papers are charged will be notified.

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14. Policy and Precedent files:

- a. Consists of extra copies of documents containing a statement of policy or precedent for future or continuing action. These files are not ordinarily cut off at the end of each year; only one series of files needs to be maintained. Thus, each folder in the series might contain documents from several years (Administrative Policy Manual, etc.).
- b. Destruction should be made when superseded, obsolete, or when no longer needed for reference purposes.

15. Reference Papers:

Reference papers are transitory papers, non-action papers, convenience copies, and working papers. They may consist of the following:

- a. Papers which after receipt, preparation, or when action has been completed may be discarded after a relatively short retention period as being without value and not needed for the conduct of future operations. Examples of these papers should be transmittal letters which do not contain information supplementing the document it transmits, notices of meetings, visits, charity drives, interoffice memorandums, papers accumulated for background purposes used in the preparation of survey reports, and copies of letters and other documents addressed to or received by an office other than the addressee which required no action.
- b. Reference papers when needed for 60 days or less will not be inter-filed in other files.
- c. Disposition instructions – to be destroyed when they no longer serve a purpose.

16. Working Documents (i.e., Working Drafts) – Department Files:

Are files which need to be referenced on an ongoing basis, are related to a work in process (e.g., a study or construction project) or are to be destroyed in 60 days or less per adopted District policy. Generally, working papers/documents should not be forwarded to the RRC.

17. Modifications:

Except for the records retention schedule, this manual may be modified by the District Manager to further the purpose of the records management system as identified on pages one (1) through four (4) of this document.

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CHAPTER II

FUNCTIONS AND DUTIES OF THE RECORD RETENTION CENTER (RRC)

Under general direction of the District Manager, in addition to their other duties, the RRC personnel will:

1. Preserve records as determined by the responsible department (in the retention schedule) and systematically eliminate all other records; provide records reference service and be responsible for the Central Files for the Nipomo Community Services District.
2. Manage an RRC for the orderly storage, care, management, and safeguarding of "storage records" of the departments and offices of the Nipomo Community Services District.
3. Notify department heads when records in storage are available for destruction and process the proper documents through the department head, District legal counsel, and any other required approving authority.
4. Furnish any record or volume of records entrusted to the Records Retention Center (RRC) when called upon by the departments.
5. Provide intended customer service to departments in the preservation and management of their storage records.
6. Transfer and index records for proper placement in the Records.
7. Remove records from the RRC for destruction in accordance with the retention schedule.

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CHAPTER III

FILES MAINTENANCE, RETENTION, STORAGE AND DESTRUCTION

1. PURPOSE

The purpose of a files management program is to provide guidelines for District departments concerning files maintenance, retention, storage, and destruction. The main objectives of the program are to increase the usefulness of the record by preserving only the material that is truly essential or desirable, and to make that information quickly accessible by accurate classification of the file.

2. PREPARATION OF TEMPORARY FILES FOR TRANSFER TO THE RECORD RETENTION CENTER (RRC)

Section 60201 of the California Government Code requires special districts and their agents to retain records for a minimum of two years unless otherwise required by law. The total time of retention is determined by the file retention needs of the various departments.

- a. When transferring inactive temporary files to the RRC, the department must submit a Records Transmittal form. The nature of the file will dictate whether it falls within a general category (File Plan) which refers to the broad classification of a subject, or a specific subject which refers to a particular matter within a general category. This information must appear on the Records Transmittal form. Selection of a proper category description is very important for file retrieval purposes. Special care should be taken when filling out the retention and destruction date blanks on the form. The total number of years a record must be retained will be entered in the appropriate space. The number of years to retain the record is determined by the files retention list of the particular department found in the Records Management Manual and Records Retention Schedule ("Manual"). The total retention time is computed from the date of the last entry in the file.
- b. A review of the material in the file should be made to insure the record is complete. If the record is not complete, an effort must be made to obtain missing papers. In addition, all unnecessary materials should be eliminated at this time. These include "reference papers" as explained by the Manual.
- c. The logical assemblage of papers and order within the file is critical in order to enhance its value as an informational tool. A correspondence "chain" consists of the basic paper commencing an action, any replies continuing the action,

Nipomo Community Services District's Record Management System

enclosures, and any supporting paper functioning as a part of the whole correspondence action. The papers are assembled in chronological order. If the file history is lengthy, the department may wish to divide the file folder as described below:

1. The basic paper (letter, memorandum, District staff reports, etc.).
 2. Endorsement letter, disposition, comments, in date order.
 3. Replies (letter, memorandum, etc.).
 4. Enclosures in numerical sequence.
 5. Internal actions supporting the actions (studies coordinating actions, etc.).
- d. The files may now be sent to the RRC accompanied by two (2) typed copies of the Records Transmittal form. The third copy is retained by the department as a tracer. A location number is assigned to the file and applied to the first and second copies of the form by the Center. Upon receipt of the second copy, the department may then discard the tracer.

Note: A file which is designated a temporary file will be destroyed per the Retention Schedule. A "T" shall be placed onto both the file and the transmittal form.

3. PREPARATION OF PERMANENT FILES FOR TRANSFER TO THE RECORD RETENTION CENTER (RRC)

Files to be retained permanently as required by law or by a District department may be scheduled for microfilming or imaging, or otherwise stored.

Except as noted below, permanent files will be transferred to the RRC using the same procedure as for temporary files. Failure to comply with these guidelines will mean the rejection of all permanent files sent to the RRC for microfilming/imaging/storage.

- a. When transferring inactive permanent files to the RRC, the department will type out the Transmittal form in the same manner as for temporary files. The destruction date blank of the Transmittal form, however, will not be applicable. The permanent status of the file will be entered in the total retention time space.

Note: A file designated as a Permanent File should have a "P" placed onto both the file and the transmittal form.

4. FILE RETRIEVAL

The RRC will furnish any record to a department upon request. The requesting department will provide the RRC with the necessary file reference number. At the time

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the record is removed, RRC personnel will fill out a Central Files Check-out form in duplicate and attach the original copy of the form to the file. The check-out procedure applies to microfilmed files also.

Outside representatives not employed by the Nipomo Community Services District wishing to request a file of a particular department must be accompanied to the RRC by a member of that department's staff before the file can be released. This assures the department that no confidential material is released without the necessary approval. Requests for certain records normally accessible under the California Public Records Act may require the advance approval of the District's legal counsel.

5. DESTRUCTION OF FILES

- a. Temporary Files: At the beginning of each calendar year, the RRC personnel will review those records whose retention period has expired, and which are no longer needed for legal, administrative, fiscal, historical, or research purposes per the retention schedule. The RRC will submit a "Destruction of Temporary Records Notice" to the department concerned for department head approval. The departments are asked to approve the destruction notice as quickly as possible in order to avoid receiving subsequent notices on the same files. The RRC will request approval for the destruction of the expired files in accordance with the following procedure:
1. A "Destruction of Temporary Records Notice" form will be typed in triplicate by the RRC.
 2. An original and one copy will be forwarded to the department or office concerned for department head signature. The destruction notice will then be sent to the District Manager and the District's legal counsel for co-signatures.
 3. The RRC will retain the third copy of the destruction form as a tracer copy and attach it to the transmittal slip(s). This tracer copy will be discarded by the RRC only after it has received the first two copies of the notice with the required signatures.
 4. Upon receipt of the approved "Notice", the file copy of the Records Transmittal will be attached to the destruction slip and placed in a pending file until the record is destroyed.
 5. Upon destruction of the records, the duplicate copy of the form will be returned to the department or office involved.

Note: If the department does not respond in writing within thirty (30) days ("Notice to Destroy"), the document will be destroyed.

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- b. Permanent Files: Permanent files are destroyed only if the files have been microfilmed/imaged (read only) and the film record edited, duplicated and permanently stored. When this is accomplished, the RRC will prepare a "Destruction of Microfilmed Records Notice" in triplicate, and follow the destruction procedure as outlined in the destruction of temporary files procedure.
- c. Destruction of Files Held by the Department: The destruction of temporary records (as opposed to the periodic weeding out of files) is the total elimination of a file or record. Temporary records held by the department and not in the RRC will require a "Destruction of Records Not Sent to RRC" notice typed in duplicate by the department. The original copy of the notice must be sent to the department head. The District Manager and the District's legal counsel for approval signatures. The second copy is held by the department as a tracer copy and may be discarded when the signed original is received from the District legal counsel's office.
- d. Destruction of Confidential Files: "Confidential" records or files are those which are exempt from disclosure under the California Public Records Act, (Government Code §6250 et seq.), under any other provision of law establishing a privilege or confidentiality as to such records, or those designated as confidential by the department from which such records originate.

All files of a confidential nature will be destroyed by shredding only. Retention requirements and the destruction procedure also apply to confidential files. All District departments will follow the destruction of confidential files procedure outlined below only after the proper destruction notices have been completed and approved. These guidelines apply to records stored in a department and not in the RRC.

- 1. If a department has a large volume of confidential records to destroy, arrangements for pick-up of the records by an outside agency must be made through the RRC. An individual from the department, designated by the department head, must accompany the records to the site of destruction to witness the total destruction of the files. Only after watching the destruction process of the records may the witness sign and date the destruction notice.
- 2. If a department has a small volume of files to destroy, the files may be destroyed by a designated individual from the department on the District's own shredder. After shredding the files, the individual may sign and date the destruction notice.

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CHAPTER IV

RECORDS RETENTION SCHEDULE & FILE PLAN

1. PURPOSE

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

2. BOARD OF DIRECTORS' APPROVAL

Board of Directors' approval of this Records Management Manual by Resolution constitutes authority to dispose of records listed herein without further reference to the Board of Directors.

3. SCHEDULE

The schedule is arranged in alphabetical order (File Plan) by responsible department according to record title. The schedule only covers records and does not provide a retention for non-records. All records need approval for destruction (see Chapter III). Non-records on the other hand do not need formal approval for destruction and may be destroyed when they are no longer of value and have served their purpose. Non-records are reference papers (see Chapter I, #15), notes, working papers, publications, catalogs, outdated forms, and other similar materials, which are of no use to the department in relation to the duties which it performs and is not required to support or substantiate any District transactions. Duplicate copies of records may be destroyed without formal approval provided the information is contained on original copies which are retained, the only exceptions to this are noted on the schedule. All other documents are records. Any doubt as to whether a document is a record or not should be resolved by describing the document as a record or, if many similar documents are in question, the District legal counsel's office should be asked for advice.

4. RETENTION:

The retention represents that amount of time the record is required to be kept after it has become inactive. For example, if a record of a project begun in 1995 and completed in 1999 was required to be kept for two (2) years, it could be destroyed after 2001. All numbers refer to years unless otherwise indicated. The retention periods are as follows:

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

	<u>Type of Record</u>	<u>Legal Minimum</u>
1.	The originals of ordinances, resolutions and minutes of the Board of Directors, boards, and commissions:	Permanent
2.	Records affecting the title to real property, easements or liens thereon:	Permanent
3.	Court records:	Permanent
4.	Bonds and coupons that have been previously paid or cancelled:	5 Years
5.	Other original records:	2 Years
6.	Federal and state financed projects:	5 Years

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

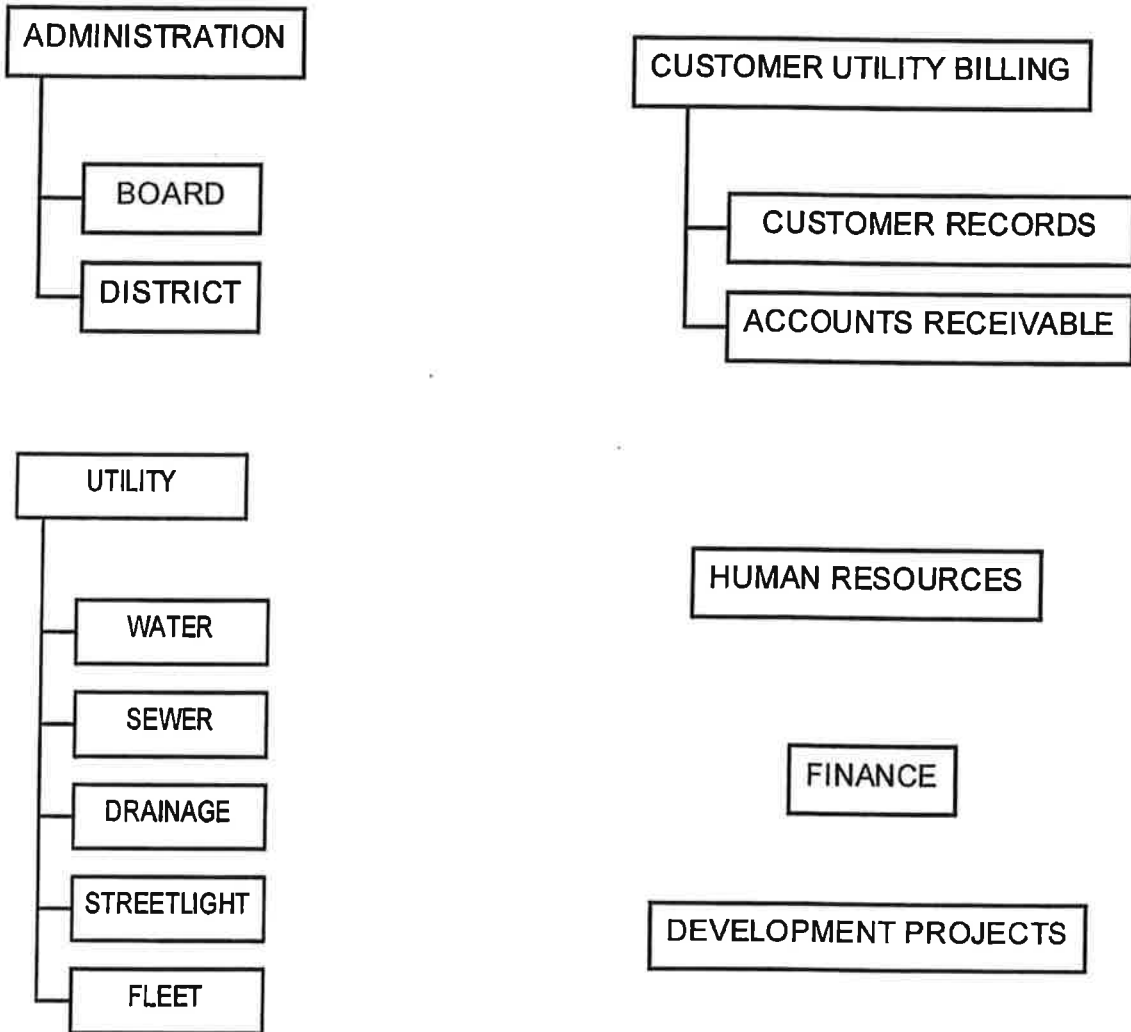
- b. **Department Minimum:** Number of years or other time as stated that the records must be retained before it can be destroyed as determined by the department in consultation with the District Manager.

5. **RETENTION CODES:**

The codes used in the "Retention" columns are explained below:

- a. P – Permanent
- b. T – Temporary - the record is kept until it serves its purpose as determined by the department.
- c. I – Imaging - documents that will be imaged when funding is available to undertake the work.

FILE PLAN OVERVIEW



Nipomo Community Services District's Record Management System

ADMINISTRATION - BOARD FILE PLAN

Permanent Records

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

Records to be retained for specific period (years)

	Legal	NCSD
1. Administration	2	2
2. Staff Reports and agenda packets	2	5
3. Audio/video tape recording of meetings	90 days	90 days

Nipomo Community Services District's Record Management System

ADMINISTRATION - DISTRICT FILE PLAN

Permanent Records

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

Records to be retained for specific period (years)

	Legal	NCSD
1. Administration	2	2
2. Telephone call logs	2	2
3. Public Document Requests	2	2

Nipomo Community Services District's Record Management System

UTILITY-WATER FILE PLAN

Permanent Records

1. DHS Permits
2. Production and Consumption Reports
3. Well Depths
4. Well Development
5. Cathodic Protection
6. District installed improvements
7. Reimbursement Agreements
8. Operation and Maintenance Manuals
9. Distribution system-as built, topography and aerial maps
10. Policies and Procedures
11. Agreements
12. Retrofit Program
13. Fire hydrant and valve Inventory
14. Confidential and attorney - client privileged documents

Records to be retained for specific period (years)

	Legal	NCSD
1. Administration	2	2
2. Maintenance Records	2	5
3. Water Sampling Results and Reports	2	5
4. Backflow test results	2	5
5. Annual Reports: a. Office of Drinking Water b. State Water Quality Control Board Reports c. Water Quality Reports d. Enforcement Letters e. SLO County	2	5
6. Rate Surveys	2	5
7. SCADA Records	2	5

Note: When documents relate to both water and sewer (i.e. water and sewer master plan, rate study) the documents will be filed in the Water Department with a cross reference in the Sewer Department.

Adopted December 15, 1999

FILE PLAN

Nipomo Community Services District's Record Management System

UTILITY-SEWER FILE PLAN

Permanent Records

1. Discharge Orders
2. District installed improvements
3. Monitoring Well Development
4. Lift Station Development
5. Operation & Maintenance Manuals
6. Collection system-as built, topography and aerial maps
7. Agreements
8. Reimbursement Agreements
9. Policies and Procedures
10. Original sewer system-listing of volunteers and non-volunteers
11. Confidential and attorney - client privileged documents

Records to be retained for specific period (years)

	Legal	NCSD
1. Administration	2	2
2. Maintenance Records	2	5
3. Sewer Sampling Results and Reports	2	5
4. Annual Discharge Reports	2	5
5. Rate Surveys	2	5
6. SCADA Reports	2	5

Note: When documents relate to both water and sewer (i.e. water and sewer master plan, rate study) the documents will be filed in the Water Department with a cross reference in the Water Department.

Nipomo Community Services District's Record Management System

UTILITY-DRAINAGE FILE PLAN

Permanent Records

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

Records to be retained for specific period (years)

	Legal	NCSD
1. Administration	2	2
2. Maintenance Records	2	5

Nipomo Community Services District's Record Management System

UTILITY-STREETLIGHT FILE PLAN

Permanent Records

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

Records to be retained for specific period (years)

	Legal	NCSD
1. Administration	2	2
2. Public Notices of Hearings and Staff Reports	2	5
3. County Tax Roll	2	5

Adopted December 15, 1999

FILE PLAN

Nipomo Community Services District's Record Management System

UTILITY-FLEET FILE PLAN

Permanent Records

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

Records to be retained for specific period (years)

	Legal	NCSD
1. Administration	2	2
2. Safety Checks	2	Life of ownership of vehicle
3. Maintenance Logs	2	Life of ownership of vehicle
4. Smog Checks	2	Life of ownership of vehicle

Nipomo Community Services District's Record Management System

CUSTOMER UTILITY BILLING FILE PLAN

CUSTOMER RECORDS

Permanent Records

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

Records to be retained for specific period (years)

	Legal	NCSD
1. Administration	2	2
2. Water/Sewer Utility Billing Stubs	2	2
3. Payment Arrangements	2	2
4. Liens & Releases	2	2
5. Work Order Log Books	2	2
6. Customer Complaints/Resolutions	2	2

ACCOUNTS RECEIVABLE

Permanent Records

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

Records to be retained for specific period (years)

	Legal	NCSD
1. Administration	2	2
2. Accounts Receivable-computer generated ledgers and reports	5	5

Nipomo Community Services District's Record Management System

FINANCE FILE PLAN

Permanent Records

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

Records to be retained for specific period (years)

	Legal	NCSD
1. Administration	2	2
2. Accounting Records including Financial Statements, General Ledger, Adjusting Journal Entries and all other working papers used in preparation of the Financial Statements	2	5
3. Accounts Payable Invoices	2	5
4. Annual Budgets and working papers	2	5
5. Payroll including timesheets, reports, deductions and registers	5	5
6. Forms W-2, 1099, 941, DE3	5	5
7. Bank Statements and canceled checks	5	5
8. Assessment Districts		Duration of the Assessment
9. State Revolving Fund Loans		Duration of the Loan
10. Rate Studies, Replacement Studies and Capital Improvement Plans	2	5
11. Bids and agreements for purchase/surplus of equipment or services	5	5

Adopted December 15, 1999

FILE PLAN

Nipomo Community Services District's Record Management System

HUMAN RESOURCES FILE PLAN

Permanent Records

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

Records to be retained for specific period (years)

	Legal	NCSD
1. Administration	2	2
2. Employee Personnel Records (Inactive) (See listing below)	5	5
3. Recruitment	2	2
4. Safety including Accident Reports Safety Committee Meetings and Minutes	5	5

ITEMS TO BE INCLUDED IN THE EMPLOYEE PERSONNEL RECORDS

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

Adopted December 15, 1999

FILE PLAN

Nipomo Community Services District's Record Management System

DEVELOPMENT PROJECTS FILE PLAN

Permanent Records

1. Tract Books-Completed Projects (See list below)
2. Tract Maps-As Built, topography and aerial photos/maps
3. Policies and Procedures
4. Confidential and attorney - client privileged documents

Records to be retained for specific period (years)

	Legal	NCSD
1. Administration	2	2
2. Projects denied service or expired at SLO County	2	5

ITEMS TO BE INCLUDED IN TRACT BOOKS

- Tract Book Checklist
- District correspondence
- Engineer correspondence
- Board Actions (i.e. Intent-to-Serve and Will-Serve Letters, Resolutions of Acceptance, Board Minutes)
- Fees (computation of fees and payment of fees)
- Agreements (i.e. Plan Check & Inspection, Easements, Offers of Dedication)
- Inspections
- Plans and maps

Nipomo Community Services District's Record Management System

UTILITY-FLEET FILE PLAN

Permanent Records

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

Records to be retained for specific period (years)

	Legal	NCSD
1. Administration	2	2
2. Safety Checks	2	Life of ownership of vehicle
3. Maintenance Logs	2	Life of ownership of vehicle
4. Smog Checks	3	Life of ownership of vehicle

September 9, 2015

E-2

ATTACHMENT B

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NIPOMO COMMUNITY SERVICES DISTRICT RESOLUTION 2015-XXXX

A RESOLUTION OF THE BOARD OF DIRECTORS OF THE NIPOMO COMMUNITY SERVICES DISTRICT ADOPTING RECORDS RETENTION POLICY AND REPEALING RESOLUTION 2000-718

WHEREAS, the California Secretary of State has issued local government records management guidelines, and certain legislation has been passed and signed into law that augments the authority of local governments and districts to establish records retention schedules that comply with the Secretary of State guidelines (AB 474 amending California Government Code Sections 60200 et seq.); and

WHEREAS, said Board of Directors is authorized by the provisions of California Government Code Section 60200 et seq., to establish a records retention schedule applicable to district records; and

WHEREAS, an appropriate records retention schedule assists the District by documenting which records require office or temporary storage, which records have historic value, and which records should be destroyed because they no longer have any administrative, fiscal or legal value; and

WHEREAS, it is timely to repeal the existing records management and records retention schedule (Resolution 2000-718).

NOW, THEREFORE, BE IT RESOLVED, DETERMINED AND ORDERED, by the Board of Directors of the District as follows:

Section 1: Authorization for Destruction of Records. The Record Retention Schedule set forth in Exhibit "A" hereto is adopted as the approved schedule for the District in compliance with Government Code Sections 60200 et seq., and after such records have been retained for the time periods and according to the process set forth therein, such records may be destroyed upon the request of the General Manager without further action by the Board of Directors of the District.

Section 2: Authorization of Record after Scanning. Any record not expressly required by law to be filed and preserved in original form may be destroyed at any time after it is electronically stored in conformance with the requirements of Government Code Section 60203.

Section 3: Destruction of Duplicates. Pursuant to Government Code Section 60200, any duplicate record, paper or document, the original or a permanent photographic copy of which is in the files of the District, may be destroyed after

NIPOMO COMMUNITY SERVICES DISTRICT
RESOLUTION 2015-XXXX

A RESOLUTION OF THE BOARD OF DIRECTORS OF
THE NIPOMO COMMUNITY SERVICES DISTRICT
ADOPTING RECORDS RETENTION POLICY AND
REPEALING RESOLUTION 2000-718

confirmation that such original or permanent photographic copy remains on file with the District.

Section 4: Retention of Records Not Mentioned. All records, papers and documents not mentioned in this Resolution may be scanned as archival records or destroyed so long as such disposal is consistent with the recommendations of the Local Government Records Management Guidelines as set forth by the Secretary of State (June 2004) as the same may be amended from time to time.

Section 5: Retained Records. Notwithstanding the provisions of Section 1 above or any other provision of law, pursuant to Code Section 60201(d) the District may not destroy or dispose of any record that is any of the following:

- a. Relates to formation, change of organization, or reorganization of the District;
- b. An ordinance adopted by the District. However, an ordinance that has been repealed or is otherwise invalid or unenforceable may be destroyed or disposed of five years after it was repealed or became invalid or unenforceable;
- c. Minutes of any meeting of the Board of Directors of the District;
- d. Relates to any pending claim or litigation or any settlement or other disposition of litigation within the past two years;
- e. Is the subject of any pending request made pursuant to the California Public Records Act (Chapter 3.5, Division 7, Title 1, commencing with Section 6250 of the Code), whether or not the District maintains that the record is exempt from disclosure, until the request has been granted or two years have elapsed since the District provided written notice to the requester that the request has been denied;
- f. Relates to any pending construction that the District has not accepted or as to which a stop notice claim legally may be presented;
- g. Relates to the title to real property in which the District has an interest;
- h. Relates to any nondischarged contract to which the District is a party;
- i. Has not fulfilled the administrative, fiscal, or legal purpose for which it was created or received;
- j. Is an unaccepted bid or proposal, which is less than two years old, for the construction or installation of any building, structure, or other public work;
- k. Specifies the amount of compensation paid to District employees or to independent contractors providing personal or professional

NIPOMO COMMUNITY SERVICES DISTRICT
RESOLUTION 2015-XXXX

A RESOLUTION OF THE BOARD OF DIRECTORS OF
THE NIPOMO COMMUNITY SERVICES DISTRICT
ADOPTING RECORDS RETENTION POLICY AND
REPEALING RESOLUTION 2000-718

services to the District, or relates to expense reimbursement to District officers or employees or the use of District paid credit cards or any travel compensation mechanism.. However, a record described in this paragraph may be destroyed or disposed of pursuant to Section 60201 of the Code seven years after the date of payment; and

- I. Any other records required by law to be filed or preserved.

Section 6: Resolution 2000-718 is hereby repealed in its entirety.

Section 7: Incorporation of Recitals. The Recitals are true and correct and incorporated herein by this reference. The Recitals and referenced reports and studies contained therein constitute and support the findings of the District in support of this Resolution.

Section 8: Effect of Repeal on Past Actions and Obligations. This Resolution does not affect prosecutions for violations committed prior to the effective date of this Resolution, does not waive any fee or penalty due and unpaid on the effective date of this Resolution, and does not affect the validity of any bond or cash deposit posted, filed or deposited pursuant to the requirements of any prior Resolution or Ordinance.

Section 9: CEQA Findings. The Board of Directors of the District finds that the records retention policy adopted by this Resolution exempt from the California Environmental Quality Act pursuant to Public Resources Code § 21080(b)(8) and CEQA Guidelines Section 15273. The District General Manager is directed to prepare and file appropriate notices.

Section 10: Severance Clause. If any section, subsection, sentence, clause or phrase of this Resolution is for any reason held to be unconstitutional, ineffective or in any manner in conflict with the laws of the United States, or the State of California, such decision shall not affect the validity of the remaining portions of this Resolution. The Governing Board of the District hereby declares that it would have adopted this Resolution and each section, subsection, sentence, clause and phrase thereof, irrespective of the fact that any one or more sections, subsections, sentences, clauses or phrases be declared unconstitutional, ineffective, or in any manner in conflict with the laws of the United States or the State of California.

Section 11: Effective Date. This Resolution shall take effect immediately.

NIPOMO COMMUNITY SERVICES DISTRICT
RESOLUTION 2015-XXXX

A RESOLUTION OF THE BOARD OF DIRECTORS OF
THE NIPOMO COMMUNITY SERVICES DISTRICT
ADOPTING RECORDS RETENTION POLICY AND
REPEALING RESOLUTION 2000-718

Upon the motion of Director _____, seconded by Director ---, and on the following roll call vote, to wit:

AYES:
NOES:
ABSENT:
CONFLICTS:

the foregoing resolution is hereby adopted this ___th day of _____, 2015.

CRAIG ARMSTRONG
President of the Board

ATTEST:

APPROVED AS TO FORM:

MICHAEL S. LEBRUN
General Manager and Secretary to the Board

MICHAEL W. SEITZ
District Legal Counsel

EXHIBIT A

NIPOMO COMMUNITY SERVICES DISTRICT
RESOLUTION 2015-XXXX

A RESOLUTION OF THE BOARD OF DIRECTORS OF
THE NIPOMO COMMUNITY SERVICES DISTRICT
ADOPTING RECORDS RETENTION POLICY

LEGEND

Records Retention

AC = Active
AU = Audit
CU = Current Year
E = Election
P = Permanent
T = Termination

AD = Adoption
CL = Closed/Completion
L = Life
S = Supersede

CITATIONS

B&P - Business and Professions

H&S - Health & Safety

CAC - California Administrative Code

CCP - Code of Civil Procedure

OSHA - Occupational Safety & Health Act

CCR - Code of California Regulations

CEQA - California Environmental Quality Act

CFR - Code of Federal Regulations

UFC - Uniform Fire Code

EC - Election Code

USC - United States Code

FMLA - Family & Medical Leave Act, 1993

GC - Government Code

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EXHIBIT A

NIPOMO COMMUNITY SERVICES DISTRICT
RESOLUTION 2015-XXXX

A RESOLUTION OF THE BOARD OF DIRECTORS OF
THE NIPOMO COMMUNITY SERVICES DISTRICT
ADOPTING RECORDS RETENTION POLICY

ADMINISTRATION

Record Series	Retention	Citation	Descriptor
AUDIT			
Annual Financial Report	CL + 2	GC34090	Independent auditor analysis
Bonds	CL + 10	GC34090; CCP 337.5	Final bond documentation
Budget	p	GC34090	Annual operating budget approved by Legislative Body
Budget Operating (copies)	S	GC34090	Departmental Reference
Hearing or Review	AU + 2	GC34090; OMBA-128	Documentation created and or received in connection with an audit hearing or review
Reports	AU + 4	GC34090; OMBA-128	Internal and/or external
Reviews, Internal/External Periodic	CU	GC34090; GC6250	Daily, weekly, monthly, quarterly or other summary, review, evaluation, log, list, statistics, except a report
COMMUNITY SERVICES			
ELECTIONS			
Ballots Prop.218 (Assessment Districts)	p	California Constitution Art. XIII	Property related fees (Assessment Ballot proceeding)
Certificates of Election	T + 4	GC 81009(a) (d)	Certificates of election; Original reports and statements

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EXHIBIT A

NIPOMO COMMUNITY SERVICES DISTRICT
RESOLUTION 2015-XXXX

A RESOLUTION OF THE BOARD OF DIRECTORS OF
THE NIPOMO COMMUNITY SERVICES DISTRICT
ADOPTING RECORDS RETENTION POLICY

ADMINISTRATION (CONTINUED)

Record Series	Retention	Citation	Descriptor
Fair Political Practices			
Administration/ Campaign Statements and Conflict of Interest	CU + 5		FPPC Opinions
Campaign disclosure, Elected	p	GC81009(b) /a\	FPPC Filings
Campaign disclosure, Not Elected	E + 5	GC81009(b)	FPPC Filings
History	p	GC34090	History of elections,
Statement of economic interest - Elected Officials	T + 7	GC 81009(e)	FPPC Filings
Statement of economic interest - Not Elected	E + 5	GC 81009(b)	FPPC Filings
Oaths of Office	T + 6	GC34090; 29 USC 1113	Elected Officials
Petitions	.75	EC 17200, 17400; GC 7253.5; EC 14700 + GC 3756:8	From date of filing or election; Initiative, referendum, recall, Charter Amendments

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EXHIBIT A

NIPOMO COMMUNITY SERVICES DISTRICT
RESOLUTION 2015-XXXX

A RESOLUTION OF THE BOARD OF DIRECTORS OF
THE NIPOMO COMMUNITY SERVICES DISTRICT
ADOPTING RECORDS RETENTION POLICY

ADMINISTRATION (CONTINUED)

Record Series	Retention	Citation	Descriptor
GENERAL SUBJECT			
Administration	p	GC34090	
Biographies	CU + 2	GC34090	
Classifications and Appointments	p	GC 34090; GC 12946; 29 CFR 516.6(2); 29 CFR 1602.4	Includes supplemental Personnel records. Wage rate tables 2 years.
Correspondence/ Originating Department	CU + 2	GC34090(d)	If not attached to agreement or project file
Goals & Objectives	CU + 2	GC34090	Departmental goals & objectives
Policies & Procedures, Departmental	S + 5	GC34090(d)	Retain while current
Promotional Marketing			
External	CU + 7		
Internal	2		
Reports			
Departmental	CU + 2	GC34090	Special or final summary, review or evaluation
Staff	CU + 2	GC34090	Non-agenda related, includes supporting documentation
Special Projects	CU + 2	GC34090	
Support Services	CU + 2	GC34090	Reproduction; printing; postal/mailing services, other internal resources
Travel Records	CU + 2	GC34090	
GRANTS			
Community Development Block Grant and Urban Development	T + 4	GC34090; 24 CFR 570.502 24 CFR85.42*	Applications, reports, contracts, supporting documents; *OMB Cir. A-102, A-110, A-128
Federal and State	CL + 5	GC34090	Refer to grant application close-out procedure
Financial Records	CL + 5	GC34090	Refer to grant application close-out procedure
Unsuccessful	CL + 2	GC34090	Applications not entitled

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EXHIBIT A

NIPOMO COMMUNITY SERVICES DISTRICT
RESOLUTION 2015-XXXX

A RESOLUTION OF THE BOARD OF DIRECTORS OF
THE NIPOMO COMMUNITY SERVICES DISTRICT
ADOPTING RECORDS RETENTION POLICY

ADMINISTRATION (CONTINUED)

Record Series	Retention	Citation	Descriptor
HUMAN RESOURCES			
Benefit Plan Claims	P	GC6250 et seq; OMBA-129 29 CFR 1602.30; 32; Lab Rel Sec 1174*	May include dental, disability, education, health, life and vision including dependent care and Employee Assistance *29 CFR 1637.3; 29 USC 1027; 29 CFR 1627.3; 29 USC 1113
Benefit Plan Enrollment, Denied	CL + 4	GC34090; OMBA-128	
Bond, Personnel Fidelity	T + 2	GC34090	Employee Fidelity Bonds
Employee Handbook	S + 2	GC 34090	General employee information including benefit plans
Employee Programs	CL + 2	GC 34090; GC 12946	Includes EAP and Recognition
Employee Rights General Employees Safety (Police)	T + 2 T + 5	GC12946; 29 CFR 1602; 29 USC211 (e); 203(m); 207(a)	May include Arbitration, grievances, union requests, sexual harassment and Civil Rights, complaints, disciplinary actions
Hourly Employees	T + 6	GC12946; GC34090*	*29 CFR 1627.3, Labor Relations Section 1174
Immigrant		Immigration Reform/Control Act 1986 Pub. L 99-603	1-9's
Medical Leave	CL + 30	FMLA 1993 USOSHA; 29 CFR ; 1910.20*	May include Family leave; certifications; tests; W-4's; *29 CFR 1602.30.32; 49 CFR 193-9;
Motor Vehicle Pulls (OMV)	CL + 7	GC12946,*	*CA 91009; 8 USC 1324 (a)
Negotiation	P	29 USC Sections 211(c), 203(m), 207(a)	Notes, notebooks, correspondence, contracts, and Memorandums of Agreements

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EXHIBIT A

NIPOMO COMMUNITY SERVICES DISTRICT
RESOLUTION 2015-XXXX

A RESOLUTION OF THE BOARD OF DIRECTORS OF
THE NIPOMO COMMUNITY SERVICES DISTRICT
ADOPTING RECORDS RETENTION POLICY

ADMINISTRATION (CONTINUED)

Record Series	Retention	Citation	Descriptor
Non-Safety Employees	T + 3	Reference: 29 CFR 1627.3; CCR Sec 1174; 29 CFR 1602.30.32; GC6250 et seq; 29 CFR; GC 12946, 34090*	Non-safety employees may include: Release Authorizations; Certifications; Reassignments; outside employment; commendations disciplinary actions; terminations; Oaths of Office; evaluations-pre-employee medicals; fingerprints; identification cards (ID=s) *1607.4; 29 CFR 655.202; 29 CFR 516.6 et seq; 45 CFR 1068.6(a)
Personnel Records (copies)	CU + 2	GC34090 ; GC6250	Attendance; evaluations; drafts; worksheets; postings
PERS, Social Security, SSI	P	29 CFR 1627.3(2); GC 12946, 34090	EEOC/ADEA
Recruitment	CL + 3	Reference: GC12946; GC6250 et seq; 29 CFR 1602 et seq 29 CFR 1607; 29CFR 1627.3	Applications, resumes, alternate lists/logs, indices; ethnicity disclosures; examination materials; examination answer sheets, job bulletins; eligibility; electronic database
Reports	CU + 2	GC34090	Employee statistics, benefit activity; liability loss
Safety Employees	T + 5	Reference: 29 CFR 16273; CCR Sec 1174; 29 CFR 1607.4; *	Police, fire, emergency employees may include; Release Authorizations; Certifications Reassignments; outside employment; commendations disciplinary actions; terminations; Oaths of Office; evaluations-pre employee medicals *29 CFR 1602.30.32; 29 CFR 655.202; 29 CFR 516.6 et seq; 45 CFR 1068.6(a)
Surveys and Studies	CU + 2	GC 12946, 34090; 29 CFR 516.6(2); 29 CFR 1602.14	Includes classification, wage rates
Training Records Non-Safety	CU + 7	GC6250 et seq	Employee applications, volunteer program training, class training materials, internships;
Personnel (by name)	T + 7	GC34090	Paperwork documenting officers internal and external training
Safety	CU + 2	GC34090	Certifications/designations
Vehicle Mileage Reimbursement Rates	S + 2	GC34090	Annual mileage reimbursement rates

EXHIBIT A

NIPOMO COMMUNITY SERVICES DISTRICT
RESOLUTION 2015-XXXX

A RESOLUTION OF THE BOARD OF DIRECTORS OF
THE NIPOMO COMMUNITY SERVICES DISTRICT
ADOPTING RECORDS RETENTION POLICY

ADMINISTRATION (CONTINUED)

Record Series	Retention	Citation	Descriptor
INFORMATION SERVICES			
Internet, World Wide Web	S + 2	GC34090	Management/Policies and supporting documentation
Inventory, Information Systems	S + 2	GC34090	Hardware/Software Inventory logs; systems manuals
Network Information Systems (LAN/WAN)	CU + 4	GC34090; CCP 337.2; 343	Configuration maps and plans
Program Files and Directories	CU + 2 cu + (2 mos.) cu + 1 CU + .5	GC34090; GC34090.7	Annual backup Daily backup Monthly backup Weekly backup
Tapes Information Systems	CU + 2	GC34090	System Generation
LEGAL/ LEGISLATIVE			
Agendas	CU + 2	GC34090	Original agendas and special meeting notices, including certificates of posting, original summaries, original communications and action agendas for Council, Boards and Commissions
Agenda Reports (Master, Subject Files)	CU + 2	GC34090 (d)	Documentation received, created and/or submitted to Council
Appeals, Civil	CU + 3	CCP 583.320(a)(3);GC 34090	
Applications, Boards, Commissions, Committees	CL + 2	GC34090	Not selected
Applications, Boards, Commissions, Committees	T + 5	GC34090; GC40801	Selected
Articles of Incorporation	P	GC34090; CCP 337.2	
Case Log	CL + 7	CCP 337.2; 343	From Close of cases listed; Chronological listing of cases
Case Records - (High Profile)	P	GC6254	Significant cases which have importance/or set legal precedence. Includes logs, complaints, police reports, court orders motions, notes, briefs
Case Records	C0 + 7	42 USC s1983	Includes logs, complaints, police reports, court orders, motions, notes, briefs, closing statements (unless minors - 3 years after attaining 18)
Contracts and Agreements	T + 5	CCP 337.2, 343;	Includes leases, equipment, services or supplies *PU7685; 48 CFR:2; GC53066

EXHIBIT A

NIPOMO COMMUNITY SERVICES DISTRICT
RESOLUTION 2015-XXXX

A RESOLUTION OF THE BOARD OF DIRECTORS OF
THE NIPOMO COMMUNITY SERVICES DISTRICT
ADOPTING RECORDS RETENTION POLICY

Capital Improvement		B&P7042.5; *	
Incl. Capital Improvement	P	2.08.110,*	Construction *GC37090a; 4004; H&S 19850
Index, Attorney Case	L	GC6254	Including notations on activities related to case

EXHIBIT A

NIPOMO COMMUNITY SERVICES DISTRICT
RESOLUTION 2015-XXXX

A RESOLUTION OF THE BOARD OF DIRECTORS OF
THE NIPOMO COMMUNITY SERVICES DISTRICT
ADOPTING RECORDS RETENTION POLICY

ADMINISTRATION (CONTINUED)

Record Series	Retention	Citation	Descriptor
Legal Advertising	CU + 4	CCP 343, 349 et seq.; GC 9112; GC34090	Includes public notices, legal publications
Logs, Attorney Service Request	CU + 2	GC34090	Service request, summaries of monthly requests
Minutes	p	GC34090(d) ;GC36814; GC40801	Official minutes and hearing proceedings of governing body or board, commission or committee
Notices, Meeting	CU + 2	GC 34090.7, 54960.1(c)(1)	Special meetings
Opinions	S + 2	GC34090 ; GC6254	Confidential
Ordinances	p	GC34090(d} 40806	Charter amendments; municipal code
Petitions	cu + 1	GC50115; GC6253	Submitted to legislative bodies
Resolutions	p	GC34090(d} 40801	Legislative actions
Tapes, Audio/Video	CU + 3 mos.	GC 34090.7	When used for minute preparation and may have historical value.
MUNICIPAL CLERK			
Assessment Districts	p	GC34090	Original documentation
Inventory, Records	cu + 2	GC34090; 80 OPS Atty. Gen. 106	Inventory of non-current or inactive records holdings and location, indices. Tapes may be recycled.
Municipal Code	p	GC 34090	Supplements included
Public Records Request	CL + 2	GC 34090	
Records Management	CL + 2	GC34090	Document includes retrieval, transfers - inactive
Records Management Disposition Certification	p	GC34090	Documentation of final disposition or records
Records Retention Schedules	S + 4	CCP 343	
POLICIES/ PROCEDURES			
General Administrative	S + 2	GC34090; 40801	All city policies and procedures
Policy, Council/ Proclamations	S + 2	GC34090	Policies, directives rendered by Council not assigned a resolution or ordinance number

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PUBLIC FINANCING AUTHORITY			
Administration	p	GC 34090	

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ADMINISTRATION (CONTINUED)

Record Series	Retention	Citation	Descriptor
Financial Records	p	GC34090, 40802, 53901	
Management Reports	2	GC34090	
PUBLIC INFORMATION			
Brochures, publications, newsletter, bulletins	S + 2	GC34090	
Calendar,	CU + 2	GC 34090	
Media Relations	CU + 2	GC 34090	Includes cable, newspaper, radio, message boards, and presentations.
RISK MANAGEMENT			
Accident Reports - Assets	CL + 7	29 CFR 1904.2;29;*	Reports and related records * CFR 1904.6
Bonds, Insurance	p	CCP 337.2; 343	Bonds and insurance policies insuring city property and other assets
Claims, Damage	CL + 5	GC34090; GC25105.5	Paid/Denied
Incident Reports	CL + 7	29 CFR 1904.2; 29 CFR 1904.6	Theft, arson, vandalism, property damage or similar occurrence (excluding fire/law enforcement)
Insurance, Joint Powers Agreement	p	GC34090	(Authority California Cities Excess Liability Insurance) B Accreditation/ MOU=s/agreement/agendas
Insurance, Certificates	p	GC34090	Insurance certificates filed separately from contracts, includes insurance filed by licensees
Insurance, Liability/Property	p	GC34090	May include liability, property, Certificates of Participation, deferred, use of facilities
Insurance, Workers Compensation	p	GC6410; 29 CFR 1910.20	Indemnity; PERS - working files - originals with Administrator
Photographs, Negatives, Film	CL + 2	GC34090	
Risk Management Reports	CL + 5	OMB 1220- 0029; 29 CFR1904.4; GC 34090	Federal OSHA Forms; Loss Analysis Report; Safety Reports ;Actuarial Studies
Workers Compensation	p	CCR 14311; 15400.2; CA Labor Code 110-139.6	Claim Files, Reports, Incidents (working files) originals filed with Administrator

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DEVELOPMENT

Record Series	Retention	Citation	Descriptor
ADMINISTRATION			
Benchmark Data	cu + 2	GC34090d	Horizontal, vertical & control
Bids & Proposals (Unsuccessful)	CL + 2	GC34090d	
Bonds	CL + 10	CCP 337.5	Housing; Industrial Development
Development Security	CL + 2	GC34090	Documentation created and or received in connection with the performance of work/services for the city, or for parcel maps and subdivision work
Code Books	p	GC34090e	National Electrical Code, Uniform Building, Fire, Mechanical, Plumbing & Supplements
Contractor	CU + 2	GC34090d	Current listing
Correspondence	cu + 2	GC34090d	Working documentation
Development Conditions	L	GC34090	Mitigation measures; filed with case files
Development Agreements	p	CCP337, 337.1(a), 337.15; GC34090; 48 CFR 4.703	Infrastructure contracts, franchises. Original maintained for 7 years.
Development Standards	p	GC34090a	Landscape mediums, parkway landscape development, public works construction
Drawings, Project Plan	cu + 2	GC34090d	Does not include those usually filed with case or project
Franchises	p	GC65864, 65869.5, 34090*	Including subdivision agreements, contracts for sale or purchase of property, cable, grant of easements and involving construction of improvements *CCP 337.2, 343; AC16023
General Subject Files	cu + 2	GC34090d	Internal working files including correspondence
Grants, Community/Urban Development (includes CDBG)	CL + 4	24CFR 570.502(b) (3); 241CFR 85.42 & OMB Cir. A-110, Attach. C; *	Project files, contracts, proposals, statements, reports, sub-recipient dockets, Environmental review, grant documents, applications, inventory, consolidated plan, etc. Includes Section 108 loan guarantee *OMB Cir. A-102 & 128, HUD regulations
Historic Preservation Inventory	2	GC34090d	Historic structures & landmarks
Incident Files	2	GC34090d	Emergency Call Outs
Land Uses, nonconforming	p	GC34090a	Building or site usage which does not conform to current standards
Logs	cu + 5		Logs, registers or similar records listing permits, certificates of occupancy issued; may include inspection, building activity, daily, plan check, utility

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DEVELOPMENT (CONTINUED)

Record Series	Retention	Citation	Descriptor
Maps & Plats	p	GC34090a	Engineering & field notes and profiles; cross-section of roads, streets, right-of-way, bridges; may include annexations, parks, tracts, block, storm drains, water easements, bench marks, trees, grading, landfill, fire hydrants, base maps, etc.
Master Plans, Annual	S + 2	GC34090	Special or long range program plan for municipalities-coordination of services; strategic planning
Permits, Construction	p	GC34090a; H&S19850; 4003; 4004	Plans, building, signs, grading, encroachment, including blueprints and specifications
Permits, Other	CL + 2	GC34090d	Alterations, encroachment, excavations, road, street sidewalks & curb alterations, transportation, swimming pool drainage, temporary uses, etc.
Photographs	S + 2	GC34090d	Aerial photographs
Projects, Not Completed or Denied Reports	CL + 2	GC34090d	Building, engineering, planning
	CU + 2	GC34090	Activity, periodic
Studies, Special Projects & Areas	CL + 2	GC34090d	Engineering, joint powers, noise, transportation
Surveys	p	GC34090a	Recording data and maps
ENGINEERING			
Capital Improvement Projects	CL + 10	CC337.15	Supporting documents including bidders list, specifications, reports, plans, work orders, schedules, etc.
Special Districts	p	GC34090a	Supporting documents re: improvement, lighting, underground utility; bonds, taxes & construction
Street/Alley (Abandonment/Vacation)	CL + 2	GC34090d	Relinquishment of rights and fee title
ENVIRONMENTAL QUALITY			

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DEVELOPMENT (CONTINUED)

Record Series	Retention	Citation	Descriptor
MUNICIPAL FACILITY			
Capital Improvements, Construction	p	2.083110; GC34090a; 4004; H&S 19850; GC34090a	Contains records re: Planning, design, construction, conversion or modification of local government-owned facilities, structures & systems
Facility Rentals/Use	cu + 2	GC34090	Permits, contracts, diagrams, schedules, insurance binders
Maintenance & Operations	cu + 2	GC34090d	Service requests, invoices, supporting documentation; buildings, equipment, field engineering, public facilities including work orders and graffiti removal
PROPERTY			
Abandonment	p	GC34090a	Buildings, Condemnation, Demolition
Acquisition/ Disposition Disposition	CL + 10	GC34090a; GC6254	Supporting documents re: sale, purchase, exchange, lease or rental of property by City
Annexation Case Files	p	GC34090a	Reports, agreements, public notices
Appraisals	CL + 2	GC34090; GC6254(h)	Exempt until final acquisition or contract agreement obtained
Deeds & Promissory Notes	p	GC34090a *	* 24 CFR 570.502(b)(3); 24 CFR 8.42 & OMB Circ. SA-110
Maps, City Boundary	p	GC34090d	Recorded maps, surveys, monuments
Lot Split Cases	p	GC34090	
Relocation Files	CL + 2	GC34090	e.g., Redevelopment

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FINANCE

Record Series	Retention	Citation	Descriptor
ACCOUNTING			
Accounts Payable	AU + 4	GC34090	Invoices, check copies, supporting documents
Accounts Receivable	AU + 4	GC 34090	
Applications	CL + 2	GC34090	Utility connections, disconnects, registers, service
Assessment Districts	p	GC 34090	Collection information; Original documentation files with municipal clerk
Bank Reconciliation	AU + 5	GC34090; 26 CFR 16001-1	Statements, summaries for receipts, disbursements & reconciliation
Billing Records	AU + 2	GC34090	Customer name, service address, meter reading, usage, payments, applications/cancellations
Budget	AU + 2	GC 34090	
Budget adjustments, journal entries	AU + 2	GC34090	Account transfers
Checks	AU + 5	GC34090; CCP 337	Includes payroll, canceled & voided checks
Deposits, Receipts	AU + 4	GC 34090; CCP 337	Checks, coins, currency
Invoices	AU + 2	GC34090	Copies sent for fees owed, billing, related documents
Journals			
Utility Billing	CU + 2	GC34090	Billing including monthly activity
Ledger, General	p	GC34090; *	* CCP 337
Voucher	AU + 4	GC34090; CCP 337	Account postings with supporting documents
Taxes, Receivable	AU + 3	CCP338	
Warrant Register	AU + 2	GC 34090.7	
ADMINISTRATIVE SERVICES			
Budget Operating (copies)	S	GC34090	Departmental Reference
Budget, Proposed	CU + 2	GC34090	Presented to Council
Adopted	p	GC 34090	
FIXED ASSETS			
Inventory	AU + 4	GC34090; 26 CFR 301 65-1(F)	Reflects purchase date, cost, account number
Surplus Property			
Auction	AU + 2	GC34090	Listing of property
Disposal	AU + 4	GC34090; CCP 337	Sealed bid sales of equipment
Vehicle Ownership & Title	L	VC 9900 et seq.	Title transfers when vehicle sold

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FINANCE (CONTINUED)

Record Series	Retention	Citation	Descriptor
PAYROLL			
Adjustments	AU + 4	GC 34090 29 CFR 516.5-516.6	Audit purposes
Employee Time Sheets	AU + 6	GC34090; 29 CFR 516.2*	Signed by employee for audit & FEMA Reports *20 CFR 516.6(1); IRS Reg. 31.6001-1(e)(z); R&T 19530; LC 1174(d)
PERSEmployee Deduction Reports	T + 4	GC34090; CAC 22- 1085-2	Record of deductions (<i>PERS Public Employee Retirement System</i>) *26CFR 31.6001-1;29 CFR 516.5, 516.6, LC 1174(d)
Register	P	GC34090; GC37207	Labor costs by employee & program
Salary Records	T + 3	GC34090; 29 CFR 516.2	Deduction authorization, beneficiary designations, unemployment claims, garnishments
PURCHASING			
Bids, RFQ's, RFP's Successful Unsuccessful	AU + 4 AU + 5 CU + 2	GC34090; CCP 337; *	Requests for Qualifications; Requests for Proposals regarding goods and services * GC 25105-1; GC 34090
Requisitions			
Purchase Orders	AU + 4	GC34090; CCP 337	Original documents
Stores	CU + 2	GC34090	Completed forms for ordering
Vendor Register	p	GC34090	Alpha vendor listing of purchase orders, invoices, account numbers and check date
REPORTS			
Audits	p	GC 34090	
Deferred Compensation	T + 5	GC34090; 26 CFR 16001- 1*	Records of employee contributions and city payments *29 CFR 1627.3(2)
Federal and State Tax	AU + 4	GC34090; 29USC 436 *	Forms 1096, 1099, W-4's and W-2's *26 CFR 31.6001.1-4; IRS REG 31.6001-1(e)(2);R&T 19530;29 CFR 516.5-516.6
Financial, Annual	AU + 7	GC 34090.7	
Investment Transactions	p	GC34090; CCP 337; GC 53607	Summary of transactions, inventory & earnings report
Labor Distribution	AU + 2	GC34090	Costs by employee & program
Meter Reading	CU + 2	GC34090	
State Controller	p	GC34090	Controller may destroy after 5 years
Utility Rebates	CU + 2	GC34090	
TREASURER			
Bank Statements	AU + 2	FC 3368, 30210; GC 43900 et seq.	Financing authority

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FINANCE (CONTINUED)

Record Series	Retention	Citation	Descriptor
Bonds			
Account Statements	CL + 10	GC34090; CCP 337.5	Monthly statement of transactions.
Administration	CL + 10	GC34090; CCP 337.5	Supporting documents
Bonds and Coupons	CL + 2	GC34090; 53921	Paid/canceled

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PUBLIC WORKS

Record Series	Retention	Citation	Descriptor
WASTEWATER			
Collections/ Facilities	CU + 2 CU + 2	GC34090 GC34090	Daily records, usage Correspondence, maps, patron list
Incineration Plants, Sludge	CU + 2	40 CFR 61.54	Sludge, sampling, charging rate to measure mercury content
Incinerator Operations, Treatment Plant	CU + 2	40 CFR 60.153	Gas flow through wet scrubbing, oxygen content of exhaust gas, sludge rate, temperatures, fuel flow, total solids and volatile solids
Maintenance and Operations	CU + 2	GC34090	Includes work orders, inspection, repairs, cleaning, reports, complaints
Maps, Septic Tank	p	GC34090	Location maps
Rates	CU + 2	GC34090	
UTILITIES			
WATER			
Billing/Customer	CU + 2	GC34090	Billings, correspondence, complaints
Connection Records	p	GC34090	Maps, water line connections

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PUBLIC WORKS (CONTINUES)

Record Series	Retention	Citation	Descriptor
Grants <i>(see Admin.)</i>			
Inventory, Equipment	cu + 2	GC34090	
Locations	p	GC34090	Mains, valves, hydrants, wells
Maintenance and Operations	cu + 2	GC34090	Includes work orders, inspection, repairs, cleaning, reports, complaints
Service	cu + 2	GC34090	Includes work orders, entry cards, manholes, service to property owners
Well & Pumping	cu + 2	GC34090	Times operational, power used and quantity
Maps	p	GC34090	Line location; easements
Master Plans	cu + 2	GC34090	Copies
Meter Operations	cu + 2	GC34090	Reader reports, orders, tests Maintenance Reports
Permits			
National Pollutant Discharge Elimination System (NPDES)	p	40 CFR 122.28	Municipalities of 100,000/more, compliance with Clean Water Act re: pollutants
Others	CU + 2	GC34090	May depend on terms of state or federal agency
Policies and Procedures	S + 2	GC34090	Includes rules and regulations
Rates	S + 2	GC34090	
Reclamation	cu + 5	40 CFR 122.41	Daily operations including sewage flow, grit removal, chlorine usage, lab analysis results, etc.
Reports			
Conservation	CU + 2	GC34090	
Consumption	cu + 2	GC34090	
Corrosion Control	cu + 12	40 CFR 141.91	Compliance documentation
Discharge Monitoring	cu + 5	40 CFR 122.41	Average amount of pollution discharged into waters of municipality.
Drinking Water Corrections	cu + 10	40 CFR 141.33	
Hydrograph	p	GC34090	Daily flow of streams
Lead Service Line	cu + 12	40 CFR 141.91	Compliance documentation

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PUBLIC WORKS (CONTINUES)

Record Series	Retention	Citation	Descriptor
Public Education	cu + 12	40 CFR 141.91	Compliance documentation
Quality Parameters	cu + 12	40 CFR 141.91	Compliance documentation
Sanitary Surveys	cu + 10	40 CFR 141.33	Statistics, reports, correspondence
Source Water	cu + 12	40 CFR 141.91	Compliance documentation, e.g. lead & copper
State Certification	cu + 12	40 CFR 141.91	Compliance documentation
Variances, Water System	cu + 5	40 CFR 141.33	
Well Level	cu + 2	GC34090	
Sources	cu + 2	GC34090	May include wells, rivers, lakes, districts
Surveyor Field Notes	p	GC34090	Notes preparatory to maps of water installations
Surveys, Water System Sanitary	cu + 10	40 CFR 141.33	Statistics, reports, correspondence
Tests			
Bacteriological Analysis	cu + 5	40 CFR 141.33	Compliance records include location, date, method and results; corrections, analysis of bacterial content
Chemical Analysis	cu + 10	40 CFR 141.33	Compliance records include location, date, method used and results; corrections, analysis of chemical content
Quality	cu + 12	40 CFR 141.91	Compliance documentation including sampling data, analysis, reports, surveys, documents, evaluation, schedules, valves, etc.
Valve Main Records	p	GC34090	
Violations, Drinking Water	cu + 3	40 CFR 141.33	Retention applies to each violation