

**RESOLUTION NO. 2017-367**

**A RESOLUTION OF THE BOARD OF SOUTH SAN LUIS OBISPO COUNTY  
SANITATION DISTRICT, ADOPTING A RECORDS RETENTION SCHEDULE AND  
AUTHORIZING DESTRUCTION OF CERTAIN DISTRICT RECORDS**

**WHEREAS**, the maintenance of numerous records is expensive, slows document retrieval, and is not necessary after a certain period of time for the effective and efficient operation of the government of the South San Luis Obispo County Sanitation District; and

**WHEREAS**, Section 60200 of the Government Code of the State of California provides that the legislative body of a special district may authorize at any time the destruction or disposition of any duplicate record, paper, or document, the original or a permanent photographic record of which is in the files of any officer or department of the district; and

**WHEREAS**, Section 60201 of the Government Code of the State of California was amended effective January 1, 2005 to provide that district records which have served their purpose, which are not expressly required by law to be filed and preserved, and which will not adversely affect any interest of the district or public may be destroyed;

**WHEREAS**, the District has a procedure to maintain a list of the types of records destroyed or disposed of that reasonably identifies the information contained in the records in each category;

**WHEREAS**, the District has an adopted records retention schedule, incorporated in the Operations and Maintenance Manual (O&M Manual) in Chapter VII.

**NOW, THEREFORE, IT IS HEAREBY RESOLVED** by the Board of South San Luis Obispo County Sanitation District:

**Section 1.** The Board of Directors finds that the destruction or disposition of the records series that have exceeded the retention periods as set forth in the Records Retention Schedule Exhibit A will not adversely affect any interest of the District or the public.

**Section 2.** The current records retention schedule, incorporated in the Operations and Maintenance Manual (O&M Manual) in Chapter VII, is hereby rescinded.

**Section 3.** The records of the South San Luis Obispo County Sanitation District, as set forth in the Records Retention Schedule Exhibit A, attached hereto and incorporated herein by this reference, are hereby adopted.

**Section 4.** Records are hereby authorized to be destroyed as provided by Section 60201 et seq. of the Government Code of the State of California, with the consent of the and in accordance with the provision of said schedule and in accordance with District policies and procedures, and with the written approval of the District Administrator and District Counsel.

**Section 5.** The term "records" as used herein shall include documents, instructions, books, microforms, electronic files, magnetic tape, optical media, or papers;

as defined by the California Public Records Act.

**Section 6.** This Resolution shall become effective immediately upon its passage and adoption.

**PASSED AND ADOPTED** at a regular meeting of the South San Luis Obispo County Sanitation District Board of Directors held this 19th day of April, 2017. 3rd May 8/11

On the motion of Hill seconded by White, and after the following roll call vote:

AYES: Hill, White, Shoals  
NOES:  
ABSENT:  
CONFLICTS:

  
\_\_\_\_\_  
John Shoals,  
Chairman  
Board of Directors  
South San Luis Obispo County Sanitation District

APPROVED AS TO FORM:


BY:   
DISTRICT COUNSEL

CONTENTS:

BY:   
DISTRICT ADMINISTRATOR

#### CERTIFICATION

I do hereby certify that the foregoing is a full, true, and correct copy of a resolution duly and regularly adopted at a meeting of the Board of Directors of South San Luis Obispo County Sanitation District held April 19, 2017. May 3, 2017

  
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# SLOCCSD Records Retention Schedule Exhibit "A"

Excludes records that are the subject of any claim, litigation, investigation, pending records request, or audit.

Department	Type of Record	Description or Example of Record	Retention Period	Legal Authority
Board Administration	Affidavits of Publication / Posting	Records documenting compliance with laws requiring public notice of governmental activities. May include: public or legal notices, certificates, affidavits or publication, and similar documents.	Calendar Year End+2 Years	GC 60201 CCP 343
Board Administration	Agenda reports (staff reports)	Paper copies of agenda packets should be maintained for 1 year as complete packets. Originals should be imaged immediately for permanent retention. The filmed record may serve as a permanent record.	Permanent	GC 60201
Board Administration	Agenda / Agenda Packets	Agendas and packets should be imaged immediately. A paper copy should be maintained for one year only	Permanent	GC 60201
Board Administration	Agreements / Contracts – Grants, Intra-Agency Agreements, Property Agreements, Leases, etc.	A written agreement between a grantee and a third party to acquire routine goods and services. A grant is a Financial assistance mechanism providing money, property, or both to an eligible entity to carry out an approved project or activity	Permanent	CCP 337 GC 60201
Board Administration	Articles of Incorporation	A written instrument that creates and defines the rights and privileges of a corporation. May include, but is not limited to original charter, petitions for incorporation, constitution, by-laws, amendments	Permanent	GC 60201(d)(1)
Board Administration	Closed Session Material		Calendar Year End+10 Years	GC 60201

## Legal Authority Abbreviations

CCP	Code of Civil Procedure (California)	GC	Government Code (California)	LC	Labor Code (California)	VC	Vehicle Code (California)
CCR	California Code of Regulations	H&S	Health & Safety Code	PC	Penal Code (California)		
CFR	Code of Federal Regulations	IRC	Internal Revenue Code	R&TC	Revenue & Taxation Code (California)		
EC	Elections Code (California)	IRS	Internal Revenue Service	USC	United States Code		

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Department	Type of Record	Description or Example of Record	Retention Period	Legal Authority
Board Administration	Comments & Correspondence – BOARD MEMBERS	Letters, memoranda, other types of correspondence authored by, or received by, the Board members	Calendar Year End+2 Years	GC 60201
Board Administration	Economic Interest Statements – Form 700 (copies) (elected officials)	Copies of original statements of elected officials forwarded to Fair Political Practices Commission	Calendar Year End+4 Years (can image after 2 Years)	GC 81009(f), (g)
Board Administration	Economic Interest Statements – Form 700 (originals) (non-elected)	Originals of statements of designated employees	Calendar Year End+7 Years (can image after 2 Years)	GC 81009(e), (g)
Board Administration	Proposition 218 Ballots & Protest Letters (Assessment Districts)	Property related fees (Assessment Ballot proceeding)	Calendar Year End+2 Years	GC 53753(e)(2) CA Constitution Art. XIII
Board Administration	Ethics Training	Records that indicate both the dates of training and the entity that provided the training	5 Years after receiving training	GC 53235.2(b)
Board Administration	FPPC Form 801 / 802	Gift to Agency Report / Tickets Provided to Agency Report	7 Years	2 CCR 18944.1 GC 81009(e)
Board Administration	Minutes	Minutes of District Board meetings; documents the proceedings of public bodies. Documents are to be imaged immediately. Paper records are to be maintained permanently by the Board	Permanent	GC 60201(d)(3)

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Department	Type of Record	Description or Example of Record	Retention Period	Legal Authority
Board Administration	Oaths of Office	Elected and public officials – Board Members	Current+6 Years	GC 60201; 29 USC 1113
Board Administration	Policies, District Board	Original policies adopted by the District Board	Until Superseded+2 Years	GC 60201
Board Administration	Public Records Request	Requests from the public to inspect or copy public documents	2 Years	GC 60201(d)(5)
Board Administration	Records Management Disposition Certification	Documentation of final disposition of records	Permanent	GC 60201
Board Administration	Records Retention Schedules	After Adoption / Approval	Permanent	GC 60201 CCP 343
Board Administration	Recordings, video / livestream video – meetings of legislative bodies	Video Tapes, CDs or DVDs of public meetings made by or at the direction of the District (e.g., Board meetings)	10 Years	GC 53161 GC 54953.5
Board Administration	Resolutions	Vital records. Originals may never be destroyed. Image immediately.	Permanent	GC 60201
Board Administration	Statement of Facts – Roster of Public Agencies Filing (State of California)	Form #SEC/STATE NP/SF 405	Calendar Year End+2 Years	GC 60201
Customer Service	Direct Pay Forms	Request for reimbursements, etc.	After Audit+4 Years	GC 60201
Customer Service	Service Orders	Requests from customers for services to be performed.	After Audit+5 Years	GC 60201

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Department	Type of Record	Description or Example of Record	Retention Period	Legal Authority
Development	Annexations / Reorganizations	Notices, Resolutions, Certificates of Completion	Permanent	GC 60201 GC 60201(d)(1)
Development	Benchmark Data	Horizontal, vertical & control	Permanent	GC 60201
Development	Environmental Quality Soil Reports	Final Reports	Permanent	GC 60201
Development	Property Acquisition/ Disposition	District owned. Supporting documents regarding sale, purchase, exchange, of property by District	Permanent	GC 60201(d)(8)
Engineering	Annexations / Boundary Changes		Permanent	GC 60201(d)(1)
Engineering	Appraisals	For real property owned by District – Not a public record (i.e. exempt from disclosure) until real estate transaction is complete	After Audit+5 Years	GC 60201; GC6254(h)
Engineering	Bids, Notices & Affidavits, Accepted	Accepted Bids	2 Years	GC 60201 CCP 337
Engineering	Bonds, Surety	Documentation created and/or received in connection with the performance of work/services for the District	Close/Completion +10 Years	CCP 337.15 GC 60201

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# SSLOCS D Records Retention Schedule Exhibit "A"

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Department	Type of Record	Description or Example of Record	Retention Period	Legal Authority
Engineering	California Environmental Quality Act (CEQA) / National Environmental Policy Act (NEPA)	Exemptions, Environmental Impact Report, Mitigation monitoring, negative declaration, notices of completion and determination, comments, statements of overriding consideration	Permanent	GC 60201 14 CCR 15095(c);
Engineering	Capital Improvements, Construction / Job Files – PERMANENT FILE	For Disaster Recovery Purposes:  Agreements/Contracts, Bid Package (Winning), Board Letters (copy), Change Orders, Consultant Proposals (Successful), Environmental, Final As-Built Drawings (Record Drawings), Inspection Pictures, Inspection Reports, Material Testing, Permits (Design, Environmental), Preliminary Design Report, Rights of Way / Easements, Soils, Geotechnical Reports, Specifications, Submittals, Surveys, CAD files, Engineer's Calculation Files	Permanent	GC 60201
Engineering	Capital Improvements, Construction / Job Files – ADMINISTRATIVE FILE / INSPECTION FILE	Project Administration:  Bid Summary, Bonds, Certified Payroll, Grant Documents, Errors & Omissions, Insurance Certificates, Notifications, Progress Payments, Punch Lists, Videos Post-Construction & Pre-Construction, Correspondence (Transitory / Preliminary Drafts), Engineer's Estimates, Memoranda, NPDES, Permits (Construction & Street Opening)	Close/Completion+ 10 Years	CCP 337.15, GC 60201
Engineering	CCTV Inspections / Sewer	Video Documentation of Inspection with Field Notes	10 Years	GC 60201

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Department	Type of Record	Description or Example of Record	Retention Period	Legal Authority
Engineering	Easements, Maps of Easements	File with recorded documents, originals may not be destroyed	Permanent	GC 60201(d)(8)
Engineering	Encroachment Permits	For continuing encroachments over District easements, etc.	Permanent	GC 60201
Engineering	Encroachment Permits – Annual Blanket	CalTrans, Health Department, County, etc. (for Street Openings, Road Use, Construction purposes, etc.)	Permanent	GC 60201
Engineering	Grants / Community Development Block Grant (CDBG); Urban Development; other Federal and State grants and Loans	Grants documents and all supporting documents: applications, reports, contracts, project files, proposals, statements, sub-recipient dockets, environmental review, grant documents, inventory, consolidated plan, etc.	Close/Completion+5 Years (but refer to grant for any close-out procedures)	GC 60201 24 CFR 570.502 24 CFR 85.42
Engineering	FEMA Claims	Storm Damage, etc. * Or three years after date of final Financial Status Report whichever is later.	10 Years *	GC 60201 FEMA Guidelines
Engineering	LAFCO Correspondence	Municipal service review and other documentation / correspondence	Calendar Year End+2 Years	GC 60201
Engineering	Master Plans & Reports	Sewer and wastewater facilities master plans; hydraulic computer models	Permanent	GC 60201
Engineering	Offers of Dedication / Conveyance Agreements	Sewer and wastewater offers of dedication from Developers	Permanent	GC 60201

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Department	Type of Record	Description or Example of Record	Retention Period	Legal Authority
Engineering	Pipeline Installations / Pipeline Connections	Job Files for in-house and contract sewer and wastewater pipeline installations; Connections into the District's system.	Permanent	GC 60201, CCP 337.15
Engineering	Record Drawings / Plans / Maps / "As Builts"	All originals should be maintained in Engineering, with copies at the various facilities	Permanent	GC 60201
Engineering	Regulatory Agencies	CCRWQCB, etc.	Permanent	GC 60201
Engineering	Rules & Regulations	Rules and regulations authored by the District	Permanent	GC 60201
Engineering	Studies & Reports	Various Engineering Studies & Reports, including Feasibility Studies	Permanent	GC 60201
Engineering	SSMP (Sewer System Management Plans)	SSMP and audits	5 years	SWRCB Order 2006-03; 40 CFR 122.41(i)(2); GC 60201

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Department	Type of Record	Description or Example of Record	Retention Period	Legal Authority
Finance	Annual Financial Report	Independent auditor analysis	Permanent	GC 60201
Finance	Audit Reports	Financial services; internal and/or external reports; independent auditor analysis	Permanent	GC 60201
Finance	Bonds / COPs (Debt)	Certificates / Notices / Transcripts / Registers / Statements / Reconciliations, Paid or cancelled bonds / Monthly Statements	Close/Completion+ 10 Years	CCP 336(a)(1) & (2), CCP 337.5; GC 43900, 60201
Finance	Budget, Annual		Permanent	GC 60201
Finance	California State Tax Records	Forms filed annually; quarterly and year-end reports	After Audit+4 Years	R&TC 19530 R&TC 19704 GC 60201
Finance	Federal Tax Records	May include Forms 1096, 1099	After Audit+4 Years	26 CFR 1.6001-1e IRS Reg 31.6001-1(e)(2), GC 60201

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Department	Type of Record	Description or Example of Record	Retention Period	Legal Authority
General Administration	Citizen Feedback	General correspondence.	2 Years	GC 60201
General Administration	Correspondence	General correspondence, including letters and e-mail; Various files, not otherwise specifically covered by the retention schedule	2 Years	GC 60201
General Administration	Legal Opinions	Confidential – not for public disclosure (attorney-client privilege)	Until Superseded+2 Years	GC 60201
General Administration	Litigation / Lawsuits	Case files	Close/Completion+10 Years	GC 60201
General Administration	Policies, Administrative	All policies and procedures, directives rendered by the District not assigned a resolution number	Until Superseded+2 Years	GC 60201
General Administration	Procedure Manuals	Administrative	Until Superseded+2 Years	GC 60201
General Administration	Strategic Plans		Permanent	GC 60201

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Department	Type of Record	Description or Example of Record	Retention Period	Legal Authority
Human Resources	Accident/Illness Reports / SDI (State Disability Insurance)	Not a public record; For Employee Medical Records & Employee Exposure Records regarding exposure to toxic substances or harmful physical agents – includes Material Safety Data Sheets (MSDS)	Length of Empl.+30 Years	8 CCR 3204(d)(1)(A); 8 CCR 10102 8 CCR 15400.2, GC 12946, GC 60201 CCP 337 et seq.
		Does NOT include: health insurance claims; first aid records of one-time treatments for minor injuries; records of employees who worked less than one (1) year if records are given to employee upon termination		
Human Resources	Benefit Policies		Termination +2 Years	29 CFR 1627.3(b)(2); GC 12946, GC 60201
Human Resources	Cal-OSHA Logs (200, 300, 300A, 301, etc.), Citations, Violations		Calendar Year End+5 Years	8 CCR 14300.33(a); 29 CFR 1904.33, 29 CFR 1904.44; GC 60201; LC 6429c
Human Resources	DMV Driver Information Reports / DMV Pull Notices	Personnel – Not a public record	Superseded	GC 60201, GC 12946 8 USC 1324(a)

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Department	Type of Record	Description or Example of Record	Retention Period	Legal Authority
Human Resources	Drug Tests	Records of driver alcohol test results, records of driver verified positive controlled substance test results, documentation of refusal to take tests; driver evaluation and referrals; calibration documentation; records related to the administration of the testing programs; copy of calendar year summary.	5 Years	29 CFR 1627.3(b)(v), 49 CFR 382.401; GC 12946, 60201,
Human Resources	Employee Bonds / Public Official Bonds	Personnel fidelity bonds	Length of Empl.+4 Years	GC 60201, PC 801.5,803(c)
Human Resources	Employee Files – Official Personnel File	Personnel – Application, release authorizations, certifications, reassignments, outside employment, disciplinary actions, terminations, evaluations  Not a public record (Not Medical Files)	Length of Empl.+10 Years	GC 12946 29 CFR 1602.31 & 1627.3(b), GC 60201; 29 USC 1113
Human Resources	Employee Files – Medical File	Medical records are part of personnel file – not a public record. Includes Respiratory Fit Tests  Includes medical records made or maintained by a physician, nurse, or other health care personnel, or technician pertaining to employees exposed to toxic substances or harmful physical agents. It does not include first-aid records of one-time treatment made on-site by a non-physician or observation of minor scratches, cuts, burns, splinters, which do not involve medical treatment, loss of consciousness, restriction of work or motion, or transfer to another job	Length of Empl.+30 Years	29 CFR 1910.1020; 8 CCR 3204 (d)(1)(A)(B); GC 60201

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Department	Type of Record	Description or Example of Record	Retention Period	Legal Authority
Human Resources	Employee Handbook		Until Superseded+2	GC 60201
Human Resources	Employment Applications / Recruitment Files – Not Hired	Applications submitted for existing or anticipated job openings, including any records pertaining to failure or refusal to hire applicant	Close/Completion+3 Years	GC 60201 GC 12946, 29 CFR 1602, 1627.3, 2 CCR 7287.0(c)(2), 8 CCR 11040(7(c))
Human Resources	I-9 Forms	Federal Immigration and Nationality Act; Immigration Reform/Control Act 1986	Length of Empl.+3 Years	Immigration Reform/Control Act 1986 Pub. L 99-603, Section 101(b)(3)(B)
Human Resources	Employment – Surveys and Studies	Includes surveys of classification, wage rates	Length of Empl.+2 Years	GC 60201, GC 12946, 29 CFR 516.6(2), 29 CFR 1602.14
Human Resources	Employment – Training Records (Not Ethics or Safety Training)	Sexual Harassment, etc.	Length of Empl.+7 Years	GC 60201 GC 12946
Human Resources	Insurance: Liability / Property	May include liability, property, general liability, auto liability, professional liability, excess liability	Permanent	GC 60201

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## SSLOCSOCS Records Retention Schedule

### Exhibit “A”

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Department	Type of Record	Description or Example of Record	Retention Period	Legal Authority
Human Resources	Insurance, Risk Management Reports	Federal OSHA Forms; Loss Analysis Report; Safety Reports; Actuarial Studies	Calendar Year End+5 Years	29 CFR 1904.44 8 CCR 14300.33 29 CFR1904.33,
Human Resources	MOUs, Negotiations, Work Papers		Permanent	GC 60201(d)(12)
Human Resources	PERS & Deferred Compensation (457) Plans-Employee Benefits	Retirement & Deferred Compensation Plans	Close/Completion+6 Years	29 USC 1027
Human Resources	Safety Manual	Human Resources maintains the originals of the Safety Manuals; Maintenance & Operations maintains the Safety Meetings, agendas, Safety training material, sign-in sheets–copies	Until Superseded+5 Years	GC 60201
Human Resources	Unemployment Claim Files		After Audit+7 Years	GC 60201(d)(12)
Human Resources	Workers Compensation Files	Work-injury claims (including denied claims); claim files, reports, etc.	After Settlement+30 yrs	8 CCR 10102 8 CCR 15400.2, 8 CCR 3204(d)(1), GC 12946, CCP 337

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## SSLOCSO Records Retention Schedule Exhibit "A"

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Department	Type of Record	Description or Example of Record	Retention Period	Legal Authority
IT/ Communications	Information Services, Internet/World Wide Web	Management policies and supporting documentation regarding Information Technology	Until Superseded+2 Years	GC 60201
IT/ Communications	Information Systems, Backup Tapes	System generation. Used for Disaster Recovery Purposes Only	(none)	GC 60201
IT/ Communications	Newsletter, District	May wish to retain permanently for historic reference	Permanent	GC 60201
IT/ Communications	Photographs and News Clippings	May contain photographs, newspaper or magazine clippings, commentaries and other items pertaining to the activities, actions of the District (Not records)	(none)	GC 60201
IT/ Communications	Press Releases	Related to District actions/activities	Calendar Year End+2 Years	GC 60201
IT/ Communications	Recordings, videotaped (Public Areas – Parking Lots, etc.)	Does not record "Regular and Ongoing Operations" of the District	2 Years	GC 53161

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Department	Type of Record	Description or Example of Record	Retention Period	Legal Authority
Maintenance	CCTV Inspections / Sewer Videos & DVDs (Wastewater)	Video Inspections of pipelines, etc.	2 Years	GC 53161
Maintenance	Collections / Collection Repair Job Orders (Wastewater)	Records of repairs to collections system	Calendar Year End+4 Years	GC 60201
Maintenance	Log Books		Calendar Year End+4 Years	GC 60201
Maintenance	Maintenance Manuals	Equipment service/maintenance	Until Superseded	GC 60201
Maintenance or Operations	O&M Manuals / Manuals / Policies & Procedures		Until Superseded	GC 60201
Maintenance	On Call Log Sheets		Calendar Year End+3 Years	GC 60201
Maintenance	Sanitary Sewer Overflows (SSOs)	SSO Record	Calendar Year End+5 Years	SWRCB Order 2006-03
Operations	Hazardous Materials – Permits, Hazardous Materials Storage, Disposal, Manifests	[Permanent retention of environmentally sensitive materials is recommended]	Permanent	GC 60201

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Operations	Hazardous Waste Generator Permit & Disposal Records (EPA)		Permanent	GC 60201
Operations	Lab Reports / Worksheets / Sampling / Chains of Custody / Red Log Books: WASTEWATER	Wastewater & All Discharges from Treatment Plants	Calendar Year End+3 Years	40 CFR 122.21, 122.41
Operations	NPDES Discharge Monitoring (Treatment Plants)		Calendar Year End+3 Years	40 CFR 122.21, 122.41
Operations	Sanitary Surveys		Calendar Year End+10 Years	40 CFR 141.33(c)

### Legal Authority Abbreviations

CCP	Code of Civil Procedure (California)	GC	Government Code (California)	LC	Labor Code (California)	VC	Vehicle Code (California)
CCR	California Code of Regulations	H&S	Health & Safety Code	PC	Penal Code (California)		
CFR	Code of Federal Regulations	IRC	Internal Revenue Code	R&TC	Revenue & Taxation Code (California)		
EC	Elections Code (California)	IRS	Internal Revenue Service	USC	United States Code		

## SSLOCCSD Records Retention Schedule Exhibit "A"

Excludes records that are the subject of any claim, litigation, investigation, pending records request, or audit.

Department	Type of Record	Description or Example of Record	Retention Period	Legal Authority
Risk Management	Accidents / Damage to District Property		Close/Completion+ 5 Years	GC 60201 CCP 337.15
Risk Management	Claims Against the District	Paid/Denied	Close/Completion+5 Years	GC 60201; CCP 337
Risk Management	Potential Claims		Calendar Year End+3 Years	GC 60101

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