

**MCMULLIN AREA GROUNDWATER
SUSTAINABILITY AGENCY
RECORDS RETENTION POLICY**

POLICY NO. 2020 - 04

DATE ADOPTED: June 3, 2020

1.0 Purpose

This Records Retention Policy (“Policy”) and Schedule (“Records Retention Schedule”) serves as the McMullin Area Groundwater Sustainability Agency (“MAGSA”) policy to be used for the proper management, retention and disposal of records created, maintained and stored by MAGSA. Proper management of MAGSA’s records provides the following benefits: (1) higher quality and faster service to MAGSA’s stakeholders; (2) reduces records storage costs; (3) performance of searches for documents and information quickly. As a Groundwater Sustainability Agency (“GSA”) properly organized pursuant to the Sustainable Groundwater Management Act (“SGMA”), MAGSA is authorized to adopt rules, regulations, ordinances, and resolutions for purposes of fulfilling its obligations as a GSA. (Water Code § 10725.2(b).) MAGSA adopts this Policy pursuant to this authority. This Policy creates MAGSA’s records management program in accordance with the California Secretary of the State’s established Local Government Records Program (see Gov’t Code § 12236)

2.0 Scope

This Policy applies to the administration of MAGSA’s records management program.

3.0 Directive

This Policy and Records Retention Schedule shall be used by MAGSA as the policy for the proper management and retention of MAGSA records and documents.

This Records Retention Schedule shall be applied to all document types, including hard copies, original copies, and scanned or imaged copies archived and managed in an electronic document management system.

No record or document shall be disposed of or destroyed before the expiration of its required retention period, nor shall any document be retained any longer than its required retention, unless the documents are part of a pending litigation. If part of a pending litigation, the documents shall be placed into “legal hold” and shall be retained until further notice from legal counsel. Any document provided to the public shall have any confidential information (i.e., names, addresses, account numbers, financial information of landowner, etc.) redacted from the documents, in accordance with MAGSA’s Accountability and Transparency Policy (adopted June 3, 2020) and California Public Records Act Policy (adopted June 3, 2020).

4.0 Guidelines

- a. Amendments: If a new record series arises at MAGSA that is not included in this Policy and Records Retention Schedule and/or an amendment needs to be made to a current record series, then a records retention amendment request shall be made and signed by the General Manager or other appropriate management personnel. The request shall be submitted to legal counsel, and upon approval of legal counsel, the amendments and/or new records series shall be incorporated into the Records Retention Schedule. MAGSA’s legal counsel will provide the Board of Directors and General Manager with interim updates of any changes to the retention schedule, at least on an annual basis.

MAGSA - RECORDS RETENTION SCHEDULE

- b. Copies or Duplicates: Copies or duplicates retained in an office that is not the primary office of record can be disposed of by the non-primary office at their leisure. However, copies shall not be retained in any format, including hard copy, scanned, or imaged copy, longer than the specified retention period.
- c. Records Disposal: When a record has reached the expiration of its required retention period, no department, office or unit shall dispose of any records in any format including hard copy, scanned, or imaged copy, without following the proper records disposal procedures established herein.

Except as specified herein, a document destruction form must first be filled out and signed by the General Manager and legal counsel. The original document destruction form shall be retained permanently by MAGSA for record disposition verification. Records with a retention period defined as “supersede(s)” do not require a document destruction form so long as MAGSA maintains the latest, most current version of such records.

MAGSA staff, if any, shall work closely with the General Manager or other records custodian(s) to properly dispose of expired records. Records may be disposed of, regardless of retention period, if they pose a health risk, due to improper storage, or are stored within obsolete media that cannot be converted. Additionally, photographs with no label or other identifiable value shall be disposed of if their effectiveness cannot be determined.

No MAGSA official or employee has, by virtue of his or her position, any personal rights to MAGSA records even though he or she may have created or compiled them. The unauthorized destruction, removal, or use of such records is prohibited. MAGSA prohibits the use of removable devices to store or backup records. Removable devices are defined as thumb drives, CD/DVD, external hard drives, and similar such devices.

5.0 Definitions

- a. Confidential: Documents and records that contain sensitive or confidential information and are not open for public review. These documents cannot be disclosed to the public.
- b. Discovery: The pretrial disclosure of pertinent facts or documents by one or both parties to a civil action or proceeding. Anything requested during discovery must be disclosed if it exists – even non-records and records that should have been released by opposing attorney.
- c. Disposition: Describes the current state of a record, whether or not it exists at MAGSA, or if it has been disposed of.
- d. Document: A document can be any physical form of information, decision, or reporting whether written, electronic, photographs, physical sample, sample drawing, computer program, etc.
- e. Historical: Records that have enduring value because they reflect the MAGSA’s formation and significant historical events.
- f. Non-Record: Materials that are not retained in the normal course of business, such as records that contain no information of significant or lasting value such as acknowledgements, drafts, rough notes or calculations created and used in the preparation or analysis of other documents. As non-records

MAGSA - RECORDS RETENTION SCHEDULE

are not retained in the normal course of business, they may be disposed of at any time. However, if a non-record is retained as an integral part of a file or in conjunction with original records, it shall be retained in accordance with the appropriate retention schedule.

- g. Public Records: Documents that do not contain confidential information, are not otherwise subject to exemption pursuant to the California Public Records Act and are otherwise available for public review. These documents can be disclosed to the public upon request.
- h. Records: All papers, maps, exhibits, magnetic or paper tapes, photographic films and prints, punched cards, and other documents produced, received, owned or used by MAGSA, regardless of physical form or characteristics.
- i. Records Custodian: A single individual, either the General Manager or appointee of the General Manager, who satisfies the following conditions: (1) the person understands the record systems of the office; (2) the person is able to make decisions on retention and disposition of records.
- j. Records Management: The professional management information in the physical form of records from the time the records are received or created through the entire lifecycle of the record.
- k. Records Retention Schedule: The list of all records produced or maintained by MAGSA and the actions taken with regards to those records. The retention schedule is MAGSA's legal authority to receive, create, retain, and dispose of official public records. It assists MAGSA with documenting which records require office or temporary storage, which records have historic or research value, and which records should be destroyed because they no longer have any administrative, fiscal, or legal value. In the event of litigation, courts accept a retention schedule as establishing an agency's "normal course of doing business."
- l. Retention Period: The length of time a record must be retained to fulfill its administrative, fiscal and/or legal function. A record should be disposed of as soon as possible following the expiration of the appropriate retention period in accordance with the most current approved Records Retention Schedule. No record shall be disposed of or destroyed before this given time period.

6.0 Records Management – General Principles

a. This Policy is designed to apply efficient and economical management methods to the creation, utilization, retention, preservation, and disposal of MAGSA's records. This Policy is intended to ensure that MAGSA's records are kept only as long as they have some administrative, fiscal, or legal value.

b. MAGSA recognizes that when records no longer fulfill the value for which they were created, they should be destroyed unless they also have some historic or research significance. If that is the case, the records should be preserved appropriately. MAGSA acknowledges that an effective records management program is not only cost effective, but it ensures effective and efficient management of the agency. Retention of records beyond their value to MAGSA may extend MAGSA's legal liability in the event of adverse litigation.

MAGSA - RECORDS RETENTION SCHEDULE

7.0 Inventory

The first step in MAGSA's records management is a records inventory. MAGSA must keep track of what records it has, where the records are kept, the volume, and how the records are used. This information is essential for developing a Records Retention Schedule to document MAGSA's normal course of doing business.

8.0 Appraisal and Scheduling

- a. After the inventory, this Policy requires an appraisal of records in relation to their period of usefulness and their value to MAGSA. This appraisal will:
 - i. Establish reasonable retention periods.
 - ii. Identify records that can be destroyed immediately.
 - iii. Identify records that should be transferred to low cost storage.
 - iv. Identify vital and/or confidential records.
 - v. Identify records with historic and/or research value.
- b. Once records are inventoried, MAGSA will determine the immediate and future usefulness of the records. In general, it is MAGSA's policy that records be retained only as long as they serve the immediate administrative, legal and/or fiscal purposes for which they were created. When records no longer serve these purposes, it is MAGSA's policy that they should be disposed of or preserved for archival purposes, whichever is appropriate.
 - i. Records with Administrative Value: Records with administrative value are created to help accomplish the functions for which MAGSA is responsible and have administrative value only as long as they assist MAGSA in performing current or future work. Their administrative use is exhausted when the transactions to which they relate are complete and from that point forward they lose value rapidly.
 - ii. Records with Legal Value: Records with legal value contain evidence of MAGSA's legally enforceable rights or obligations. Examples include records that provide basis for action, such as legal decisions and opinions; fiscal documents representing agreements, such as leases, titles and contracts; and records of action in particular cases, such as claim papers and legal dockets.
 - iii. Records with Fiscal Value: Fiscal records pertain to MAGSA's financial transactions, such as budgets, ledgers, allotments, payrolls and vouchers. After some records have served a basic administrative function, they may still have sufficient fiscal value to justify additional retention to protect MAGSA against court action and/or audits.

MAGSA - RECORDS RETENTION SCHEDULE

- iv. Records with Historical or Other Value: Some other records will also have enduring value because they reflect significant historical events or document the history and development of MAGSA. Others may contain accumulated data that may be useful for scientific research. Historical societies and/or public libraries may be able to help assess the potential value of these records for MAGSA.
- c. Determine Retention Period. The final step in appraising records is determining their retention period. Keeping records, either in offices or storage areas, is expensive and the actual or potential value of the records must be weighed against the cost. As a general rule, most administrative records (except for perpetual records) should only be kept for two or three, but likely not any more than five years. Program records (those that are unique and representative of MAGSA's primary functions) are typically large files and kept for longer periods of time. **Attachment A** to this Policy contains MAGSA's Records Retention Schedule with retention periods for common records maintained by MAGSA.

9.0 Retention Schedule

The Records Retention Schedule, attached as **Exhibit A** to this Policy, is MAGSA's legal authority to take whatever action necessary with records and documents entrusted to MAGSA's care. It certifies the life, care, and disposition of all agency records. MAGSA acknowledges that in order for its Records Retention Schedule to help MAGSA defend its actions, MAGSA's Retention Schedule must be specific and consistently used.

- a. Form and Approval of Schedule: It is MAGSA's policy that the attached Records Retention Schedule (see **Exhibit A**) be used by MAGSA, and that the Schedule contains all the elements necessary to withstand legal scrutiny.
 - i. Completeness and Accuracy of the Schedule: The signatures of MAGSA's records custodian or records manager attest to the completeness and accuracy of the information contained in the Schedule.
 - ii. Approval Authority: The approval authority for the Schedule shall be the MAGSA Board of Directors.
 - iii. Archival Review: Archival review may be performed by Fresno County's historical society, a local historical museum, library, or similar organization, as determined by the MAGSA Board of Directors.
- b. Term Schedule Deemed "Current": MAGSA's Retention Schedule shall be deemed current for five years, unless amended sooner due to a significant change in MAGSA's record keeping practices. Events that may trigger an amendment to MAGSA's then-existing Records Retention Schedule include, but are not limited to, the following:
 - a. A change to MAGSA's mission or purpose;
 - b. New added MAGSA functions; and

MAGSA - RECORDS RETENTION SCHEDULE

c. New MAGSA programs.

Regardless of any amendments, a new schedule must be prepared and approved after five years (or sooner) to ensure the schedule accurately and completely reflects MAGSA's records holdings and disposition.

10.0 Disposition of Records

Once records have fulfilled their administrative, fiscal, or legal function they should be disposed of as soon as possible in accordance with MAGSA's Records Retention Schedule. Disposition may include sending appropriate records to an archival facility, recycling unneeded records, and/or destroying unneeded confidential records.

MAGSA - RECORDS RETENTION SCHEDULE

EXHIBIT A

**The McMullin Area Groundwater Sustainability Agency
Records Retention Schedule**

Legend

<u>Records Retention</u>	
AU = Audit Year	L = Life
CL = Close or completion of project	P = Permanent
CM = Current Month	S = Superseded
CY = Current Year	T = Termination
<u>Citations</u>	
CCP = Code of Civil Procedure	NPDES = National Pollution Prevention Discharge System
CEQA = California Environmental Quality Act	OSHA = Occupational Safety & Health Act
CFR = Code of Federal Regulations	UFC = Uniform Fire Code
GC = Government Code	
<u>Abbreviations</u>	
CM = Contracts Management	RFB = Request for Bid
NTP = Notice to Proceed	RFP = Request for Proposal
PM = Project Manager	RFQ = Request for Qualifications
RM = Records Management	

MAGSA - RECORDS RETENTION SCHEDULE

INDEX

Category	Page
Administration	9
Board of Directors	10
Communications/Public Outreach	11
Contracts Management	11
Cultural Resources	21
Customer Service	21
Engineering	22
Environmental Compliance and Review	25
Finance	26
General Services	31
Human Resources	31
Information Technology	34
Inspection Services	37
Insurance/Risk Management	38
Laboratory	38
Mapping	39
Meter Services	39
Legal Counsel	40
General Manager	42
Payroll	42
Purchasing	44
Rate Billing	44
Real Estate Management	47
Records Management	49
Regulatory Compliance – State and Federal	50
Safety and Security	53
Water	54
Water Policy	55

MAGSA - RECORDS RETENTION SCHEDULE

Type of Records	Type Description	Retention	Remarks	Status
<u>ADMINISTRATION</u>				
Committee Meetings	MAGSA committee meeting minutes and agendas	CY+10		Public
Goals and Objectives	MAGSA short and long term goals	S		Public
Grants Successful	Documentation of federal or state grant funding for various projects, programs, or emergencies/ natural disasters Successful / Funded	CL+5	Retain for 5 years after the final Financial Status Report is complete	Public
Grants Unsuccessful	Documentation of federal or state grant funding for various projects, programs, or emergencies / natural disasters Unsuccessful / unfunded	CL+2		Public
Performance Measures	MAGSA and individual performance measures	S		Public
Procedures Manuals	MAGSA procedures for project and task reference	S		Public

MAGSA - RECORDS RETENTION SCHEDULE

Type of Records	Type Description	Retention	Remarks	Status
<u>BOARD OF DIRECTORS</u>				
<p>Board Agenda Items</p> <p>Board Agenda Items: -Material presented during BODs meeting</p> <p>Board Agenda Items: -Material presented less than 72 hours in advance of BODs meeting</p>	<p>Board AIS</p> <p>Documents, letters, printed emails, etc. These are filed with the minutes.</p> <p>Documents, letters, printed emails, etc. These are not filed with the minutes</p>	<p>P</p> <p>P</p> <p>P</p>	<p>Closed Session Items = Confidential</p>	<p>Public</p>
Board Agendas and Minutes	Official Board meeting minutes	P	Closed Session Items = Confidential	Public
Board Meeting Packets	Board Packets	P	Closed Session Items = Confidential	Public
Board Resolutions	Board Actions	P	Closed Session Items = Confidential	Public
Board Tapes/Audio	Board Room Recordings	CL+1	Closed Session Items = Confidential 1 year after approval of Board meeting minutes	Public
Power Point Presentations	Power Point slides and information presented at Board meetings. Retained for reference.	CY+6	Closed Session Items = Confidential	Public
Protest Letters	Protests, Proposition 218, etc.	CL+3	Close date begins after last rate increase period.	Public

MAGSA - RECORDS RETENTION SCHEDULE

Type of Records	Type Description	Retention	Remarks	Status
<u>COMMUNICATIONS /PUBLIC OUTREACH</u>				
Correspondence	Incoming and outgoing letters, emails, memos, and transmittals	CY+2		Public
Event Materials	Event invitation (if any), printed materials and handouts	CY+2		Public
Press Release	Press releases initiated by MAGSA	P		Public
Publications	MAGSA informational materials and publications (e.g., Prop 218, GSP)	P		Public
<u>CONTRACTS MANAGEMENT</u>				
Addenda	Used to correct inaccuracies in RFPs, RFPs, or RFQs. Becomes part of the bid, proposal, or qualifications.	CL+10	Close is the project completion date.	Public
Advertisements – Legal Notices	Legal notice advertisement sent to newspapers, to obtain bids, proposals, or statements of qualifications from contractors or consultants to perform work on a project.	CL+10	Close is the project completion date.	Public

MAGSA - RECORDS RETENTION SCHEDULE

Type of Records	Type Description	Retention	Remarks	Status
Agreements – Access Indemnity, and Release	Site access agreements with contractors potentially performing work on projects.	P		Public
Agreements – Escrow for Security Deposits in Lieu of Retention	Escrow agreements with contractors performing work on projects.	CL+10	Close is the project completion date	Confidential
Agreements – Grants	Capital project related grant agreements.	P		Public
Agreements – MOU	Capital project related memorandum of understanding agreements.	P		Public
Agreements – Reimbursement	Capital project related agreements for reimbursement.	P		Public
Agreements / Contracts – On-Call	Agreements / contracts with contractors or consultants to perform work or services for the MAGSA on an on-call basis.	P		Public
Agreements / Contracts Capital Improvements	Agreements / contracts with contractors or consultants to perform capital project services, or to provide goods.	P		Public

MAGSA - RECORDS RETENTION SCHEDULE

Type of Records	Type Description	Retention	Remarks	Status
Bid Escrow Documents Capital Improvements	Information submitted by contractor as required in the Bid Specifications.	CL	Shred immediately after project completion and close out. Close in the project completion date.	Confidential
Bid Opening Checklist Capital Improvements	The Bid Opening Checklist form used to verify construction bidder has submitted all required items.	CL+10	Close is the project completion date.	Public
Bid Summary Capital Improvements	Spreadsheet summarizing bids/proposals received in response to an RFB, RFQ or RFP.	CL+10	Close is the project completion date.	Public
Bids Successful Capital Improvements	Bid documents submitted by the successful bidder.	CL+10	See regulatory for compliance projects required by State or Federal. Close is the project completion date.	Public
Bids Unsuccessful Capital Improvements	Bid documents submitted by the unsuccessful bidder.	CL+2	Close is the project completion date.	Public
Certified Payroll	Certified payroll information received from Prime Contractor.	CL+10	Close is the project completion date.	Public

MAGSA - RECORDS RETENTION SCHEDULE

Type of Records	Type Description	Retention	Remarks	Status
Contract Change Order	<p>Change to an agreement or contract relating to scope of work, completion date, etc.</p> <p>Capital Improvement Projects</p> <p>Operations & Maintenance Projects</p>	<p>CL+10</p> <p>CL+2</p>	Close is the project completion date	Public
Correspondence	<p>Includes letters, memos or transmittals regarding a contract.</p> <p>Capital Improvement Projects</p> <p>Operations & Maintenance Projects</p>	<p>CL+10</p> <p>CL+2</p>	Close is the project completion date	Public
Form – Emergency	Form listing emergency contact numbers for those working on a particular project.	CL+10	Close is the project completion date	Public
Form – Public Status Form	Contract Status Inquiry request (usually form the bonding company).	CL+10	Close is the project completion date.	Public

MAGSA - RECORDS RETENTION SCHEDULE

Type of Records	Type Description	Retention	Remarks	Status
Form – SAM (System for Award Management)	<p>Website search to ensure a contractor or consultant is not debarred from working in the USA.</p> <p>Capital Improvement Projects</p> <p>Operation & Maintenance Projects</p>	<p>CL+10</p> <p>CL+2</p>	Close is the project completion date	Public
Meeting Agenda	Agenda for meetings regarding capital improvement projects.	CL+10	Close is the project completion date	Public
Notice of Award Capital Improvements	Notice to a contractor who has been awarded a contract	CL+10	Close is the project completion date	Public
Notice of Completion Form Capital Improvements	Form stating a construction project is complete. Include E-10 Form	P		Public
Notice of Intent to Award Capital Improvements	Notice of intent to award a contract. Given after a bid opening and information is verified. Not a final notice.	CL+10	Close is the project completion date	Public

MAGSA - RECORDS RETENTION SCHEDULE

Type of Records	Type Description	Retention	Remarks	Status
Notice to Proceed	<p>Notice to Contractor – Gives them the approval to begin construction on a project.</p> <p>Capital Improvement Projects</p> <p>Operations and Maintenance Projects</p>	<p>CL+10</p> <p>CL+2</p>	Close is the project completion date.	Public
<p>Payments and Invoices</p> <p>Capital Improvements</p>	Invoices received from contractors, consultants, or vendors requesting payment for work performed on a project. Includes payment processing documents.	CL+10	Close is the project completion date	Public
Preliminary Bid Results	Preliminary bid results form prepared for website posting immediately following a bid opening.	CL+10	Close is the project completion date	Public
<p>Project Manual – Specifications</p> <p>Capital Improvements</p>	Project specifications and drawings.	P		Public
<p>Proposals</p> <p>Successful</p> <p>Capital Improvements</p>	<p>Proposals submitted by proposer in response to an RFP.</p> <p>Successful and awarded</p>	CL+10	Close is project completion date	Public

MAGSA - RECORDS RETENTION SCHEDULE

Type of Records	Type Description	Retention	Remarks	Status
Proposals Unsuccessful Capital Improvements	Unsuccessful proposals submitted by proposer in response to an RFP. Unsuccessful and not awarded.	CL+2	Close is end of the proposal process	Public
Proposals Unsuccessful	Unsuccessful proposals submitted by proposers in response to an RFP. Unsuccessful and not awarded	CL+2	Close is end of the proposal process	Public
Request for Proposal (RFP)	Request for proposal published by the MAGSA to notify contractors of CIP projects eligible for bidding. Capital Improvement Projects Operations & Maintenance Projects	 CL+10 CL+2	Close is the project completion date	Public
Request for Qualifications (RFQ)	Request for Qualifications published by the MAGSA to notify contractors the MAGSA is seeking qualified contractors to bid on CIP projects.	CL+10	Close is the project completion date	Public

MAGSA - RECORDS RETENTION SCHEDULE

Type of Records	Type Description	Retention	Remarks	Status
Single Source Justification Memo	<p>Form prepared by project manager that justifies that a particular contractor or company is the only company that can perform a certain type of work or provide a certain type of material. Therefore, eliminating the need to go request bids.</p> <p>Capital Improvement Projects</p> <p>Operations & Maintenance</p>	<p>CL+10</p> <p>CL+2</p>	Close is the project completion date	Public
Statement of Qualifications Successful	<p>Statement of Qualifications submitted by contractor or consultant in response to an RFQ issued by MAGSA</p> <p>Successful and pre-qualified</p>	CL+10	<p>First page of SOQ containing contact information is public. Everything else is confidential.</p> <p>Supporting financial documents are disposed after RFQ results are finalized.</p> <p>Close is the project completion date.</p>	Confidential

MAGSA - RECORDS RETENTION SCHEDULE

Type of Records	Type Description	Retention	Remarks	Status
Statement of Qualifications Unsuccessful	Statement of Qualification submitted by contractor or consultant in response to an RFQ issued by MAGSA. Unsuccessful and not qualified	CL+2	First page of SOQ containing contact information is public. Everything else is confidential. Supporting financial documents are disposed after RFQ results are finalized. Close is the project completion date.	Confidential
Stop Notices	Document sent to MAGSA by subcontractors working on public works jobs if they are not being paid in a timely manner by the Contractor.	CL+10	Close is the project completion date	Public
Stop Notice – Release	Document sent to MAGSA by subcontractor releasing a stop notice, indicating they have been paid or settled with the Contractor.	CL+10	Close is the project completion date	Public
Waiver and General Release for Access to MAGSA Property	Waiver signed, typically, during a pre-bid meeting allowing access to MAGSA’s property. Capital Improvement Projects Operations & Maintenance Projects	 CL+10 CL+2	Close is the project completion date	Public

MAGSA - RECORDS RETENTION SCHEDULE

Type of Records	Type Description	Retention	Remarks	Status
Waiver and General Release Form – Progress payments and Final payments	Form submitted by Contractor with progress invoices and final invoice	CL+10	Close is the project completion date	Public
Logs – Tracking Logs and Spreadsheets	Includes Notice to Proceed (NTP), Letter, Transmittal, Memo, System for Award Management (SAM) and Bid Receipt Books, etc.	CY+2		Public
Surveys	Onsite inspections of water on customers premises to evaluate actual and potential hazards to public water system.	P		Public
Correspondence	Cross connection, control, and compliance enforcement. Documents requiring water customers to comply with program requirements.	P		Public
Differential Pressure Gauge Calibrations	Annual calibration certification for backflow testing equipment.	CY+3		Public
Drawings and Maps	Maps of water connections; monitoring wells; storage; etc. SEE MAPPING	S		Public
Regulations	MAGSA policies, regulations and ordinances.	S+2		Public
Test Records		CY+3		Public

MAGSA - RECORDS RETENTION SCHEDULE

Type of Records	Type Description	Retention	Remarks	Status
<u>CULTURAL RESOURCES</u>				
Agreements / MOUs Programmatic	Legal document used in conjunction with the management plan. Used to document agreement between participating parties pertaining to specific programmatic treatment of sites (as opposed to specific sites). Originated by MAGSA and other party.	P		Confidential
Cultural Resources Reports and Supporting Documentation	Cultural Resources Reports, inventories, and mitigation reports. Includes documentations to substantiate cultural resources reports, archaeological reports, letters and records or phone conversations, consultations with interested parties, notes	P	CEQA Guidelines, 36 CFR 79, Historical	Confidential
<u>CUSTOMER SERVICE</u>				
Correspondence	Incoming and outgoing letters regarding landowner inquiries, disputes, and service-related information	CY+2		Public

MAGSA - RECORDS RETENTION SCHEDULE

Type of Records	Type Description	Retention	Remarks	Status
Landowner Notifications	Notifications sent to MAGSA landowners to advise of MAGSA information to customers via phone or email.	CY+10		Public
Landowner Surveys	Landowner satisfaction surveys distributed randomly. Used to determine satisfaction level with MAGSA activities, interests, and rates.	CY+10		Public
<u>ENGINEERING</u>				
Correspondence – Internal, and External, Incoming and Outgoing	Letters, fax, memo, to or from contractors, or consultants regarding CIP projects. DOES NOT INCLUDE GOVERNMENT REGULATORY	CL+10	Close is project completion date.	Public
Development standards	Development, Design, and Construction Standards	S		Public
Historical	Citizen’s committees, rainfall history, drought history – vital to historical records and history of event.	P		Public

MAGSA - RECORDS RETENTION SCHEDULE

Type of Records	Type Description	Retention	Remarks	Status
Manuals – O&M	Operations and maintenance manuals	S	Retain for the life of the facility	Public
Permits	<p>CIP – Engineering and Inspections related permits: encroachment permits, building, signs, grading and encroachment. Includes all permits for development, design, and construction.</p> <p>DOES NOT INCLUDE GOVERNMENT REGULATORY</p>	P		Public
Photographs / Videos	<p>CIP related photographs</p> <p>DOES NOT INCLUDE GOVERNMENT REGULATORY</p>	P		Public
Preliminary Liens	Issued to MAGSA by subcontractors for public work projects.	CL+10	Close is project completion date.	Public
Projects Not Completed or Denied	<p>CIP documentation on projects that were never initiated or were not approved by the BODs.</p> <p>EXCEPT: design info, calculations and other MAGSA work products.</p>	P		Public

MAGSA - RECORDS RETENTION SCHEDULE

Type of Records	Type Description	Retention	Remarks	Status
Reports – CIP	Includes various Engineering reports and studies, including, but not limited to, geotechnical, environmental reports, surveys, project completion reports, water diversion, water resources and reliability, water rights and Capital Improvement Plan.	P		Public
Reports – CIP Budget Reports	Capital Improvement Projects budget reporting	CL+10	Close is project completion date.	Public
Requests for Information – RFI	Questions from contractors to MAGSA General Manager’s office regarding drawings, project manual, etc. Includes responses from MAGSA’s General Manager to contractors.	CL+10	Close is project completion date.	Public
Submittals – Final CIP	Final-Approved Only Project Manager review and takes action on submittals submitted by contractor, includes planning, design, construction, conversions, or modifications of local government-owned facilities, structures and systems.	P		Public

MAGSA - RECORDS RETENTION SCHEDULE

Type of Records	Type Description	Retention	Remarks	Status
Submittals – Not Approved CIP	Submittals that have been rejected, noted exceptions, or asked for revisions.	CI+10	Close is project completion date.	Public
Transmittals – CIP	Form used to document the transfer of documents to or from a government agency, or outside contractor or vendor. DOES NOT INCLUDE GOV'T REGULATORY	CL+10	Close is project completion date.	Public
<u>ENVIRONMENTAL COMPLIANCE AND REVIEW</u>				
Air Quality (AQMD)	State and local air quality permits; including generator permits; participants or voucher logs and recordings, total daily mileage survey (TDM); various local authorities and commute alternative info.	T	Termination is cancellation or revocation of permit.	Public
Ca Environmental Quality Act – CEQA	Includes NEPA, Notice of Exemptions, determinations, and completions, Environmental Impact Reports, Mitigation Monitoring Plans, negative declarations, comments, and statements of overriding considerations, public notices filed with county or government agencies.	P	CEQA Guidelines	Public

MAGSA - RECORDS RETENTION SCHEDULE

Type of Records	Type Description	Retention	Remarks	Status
Correspondence	Environmental Review, correspondence, Consultants, issues, conversations.	CY+2		Public
Correspondence Capital Improvements	Description of CIP project for Environmental Department, informs Environmental of projects. Ultimately becomes part of Environmental reports. Compliance purposes. Includes Environmental Review correspondence, issues, and correspondence.	CL+10		Public
Reports	Includes soil reports and asbestos reports. Documents abatement projects, and public buildings.	P		
<u>FINANCE</u>				
<u>Accounting</u>				
Audit – Annual Financial Reports	Independent Auditor Analysis	P		Public
Accounts Receivable	Miscellaneous cash receipts, daily cash receipts filed by month, substantiates, incoming cash from customer and vendors. Includes cash register tapes.	AU+7		Public

MAGSA - RECORDS RETENTION SCHEDULE

Type of Records	Type Description	Retention	Remarks	Status
Assessment Districts	Assessment District files	P		Public
Budget	Board approved operating budget. Used to track budget expenditures and budget allocations. Includes Financing Authority Documents.	P		Public
Cash to General Ledger	Investment support Documentation and Reconciliation: Reconciles cash and general ledger, investments, and bank accounts. Includes supporting material, reports, bank register, and supporting analysis worksheets.	AU+5		Public
Bank Reconciliations	Incoming and Outgoing. Pertinent banking data and information for each month. Documents issues and correspondence; cash receipts. Letters and greenbar, balancing AP from GL to System for Audit.	AU+5		Public
Fixed Assets	Fixed Asset Inventory: Annual update of fixed assets. Fixed asset depreciation: part of financial statements, includes checks, invoices and backup. Reflects purchase dates, and cost account numbers.	L		Public

MAGSA - RECORDS RETENTION SCHEDULE

Type of Records	Type Description	Retention	Remarks	Status
Form DE542	Used for independent contractors, includes supporting documents.	AU+4		Public
Journal Entries	Transactions not otherwise recorded in another fashion in the general ledger; Accounts receivable / time and materials billing including monthly activity. Initiates time and material billings. Includes landowner name, address, meter readings, usage payments, applications / cancellations; Customer payments, billing errors, fund changes, CIP funds.	P	Electronic copies will be retained permanently. Paper copies will be retained for CY+1 for audit purposes.	Public
Journals – Capital Improvement Projects, Green Sheets	CIP files associated with funding issues and fixed assets. Includes green sheets, AID, minutes, journals, etc. Billing included monthly activity.	CL+10		Public
Rates	Yearly rates for water, sewer, irrigation, recycled water, etc. BODs rate decisions.	P		Public
Reports – Miscellaneous, Finance	Miscellaneous reports, financial notebooks, and fixed finance documents for departmental reference. Financial files and subject files. Includes operating budget files.	S		Public

MAGSA - RECORDS RETENTION SCHEDULE

Type of Records	Type Description	Retention	Remarks	Status
Reports – Sales Tax	Federal and State – Filed by calendar year. Monthly or quarterly sales / use tax returns filed with the CA Board of Equalization. Includes supporting documents and Forms 1096, 1099, W-4, and W-2	AU+4		Public
<u>Accounts Payable</u>				
Accounts Payable	AP invoices with copies of checks and backup documentation. Includes CIP invoices and payments, employee reimbursements for travel, training, seminars, or purchases.	AU+10	Gov’t Code sec. 60201(d)(12)	Public
Form W-9, New Vendor	Vendor information, vendor forms, tax compliance.	AU+7	Gov’t Code sec. 60201(d)(12)	Public
Vendor Register – 1099	Letter and greenbar, alpha vendor listing or purchase orders, invoices, account numbers, and check dates. Dollar amount reportable to company to Federal and State, includes copies of documentation sent to IRS – compliance.	AU+7		Public

MAGSA - RECORDS RETENTION SCHEDULE

Type of Records	Type Description	Retention	Remarks	Status
Warrant Register	Agenda Item Summary, and cover page – expenditures paid in check run, dates to be approved by BODs, and approval dates.	AU+2		Public
Warrant Register – Executive Summary	Weekly executive summary of weekly warrant register, prepared for General Manager. Outlines major expenditures by fund in narrative form.	AU+2		Public
<u>Treasury</u>				
Bank Check Register	Pertinent banking data for month, bank check register, records all banking activity for a particular month. Includes statements, summaries for receipts, disbursements & reconciliations.	AU+5		Public
Bank Reconciliation	Equity Reconciliation, spreadsheets and reports, statements, summaries for receipts, disbursements and reconciliation, balances per book vs. balances per bank.	AU+5		Public

MAGSA - RECORDS RETENTION SCHEDULE

Type of Records	Type Description	Retention	Remarks	Status
Bank Statements	Monthly bank account statements, substantiates bank activity for particular month.	AU+4		Public
Bonds	Final Bond Documents	P		Public
<u>GENERAL SERVICES</u>				
Building	Documents relating to building equipment, maintenance and operations. Includes warranting and repair paperwork.	L+2		Public
Surplus	Documents supporting surplus property disposition. Includes inventory of equipment gone to auction and supporting paperwork.	AU+4		Public
<u>HUMAN RESOURCES</u>				
Classification specifications and Salary Schedules	Description of position classification duties and responsibilities. Salary schedule – compensation for each classification.	S+2		Public
Correspondence	Non-safety correspondence: letter log, memos, transmittals, faxes.	T+7		Confidential

MAGSA - RECORDS RETENTION SCHEDULE

Type of Records	Type Description	Retention	Remarks	Status
Employee Files	Active, New Hire, Terminated, State Disability, Disciplinary, Evals, and Medical: State Disability insurance files, unemployment, reassignments, commendations, disciplinary actions, terminations, Oaths of office, employee evaluations, pre-employment medical exams, fingerprints, offer letters, benefit enrollment information, employee applications, training certificates and licenses, automobile liability insurance certificates (if applicable), letters of recognition, disciplinary actions, promotions and transfers, pre-employment and pre-assignment medical clearances, includes periodic, episodic records, etc.	T+7		Confidential

MAGSA - RECORDS RETENTION SCHEDULE

Type of Records	Type Description	Retention	Remarks	Status
Employee Grievance / Complaints – Arbitration Files	Composed of investigation notes regarding employee complaints such as discrimination or sexual harassment claims. May include arbitration, grievances, union requests, sexual harassment and civil rights, complaints, and disciplinary actions.	T+7		Confidential
Employee Handbook	General employee information including benefits plan.	S+2		Public
Employee Training	Mandatory employee training, non-safety. Sign-in sheets, training documentation.	T+7		Public
Form I-9	Proof of right to work in the United States.	T+7		Public
Labor Negotiations	Negotiations between MAGSA management and MAGSA employees. Contains notes leading up to MOU agreement. Includes notes, notebooks, and correspondence.	P		Confidential
Memorandum of Understanding	Contract / agreement between MAGSA and MAGSA management.	P		Public

MAGSA - RECORDS RETENTION SCHEDULE

Type of Records	Type Description	Retention	Remarks	Status
Position Control	Backup documentation for job descriptions to substantiate claims of terminated employees. Lists all positions filled, available, and vacant. Frequently referenced and changes depending on vacancies and budget constraints.	T+7		Public
Recruitment	Job announcements, advertisements, applications, ethnicity forms, exams, interview questions, resumes, eligibility lists and logs, and invoices.	CL+7		Confidential
State Disability Insurance	Insurance certifications and policy	P		Public
<u>INFORMATION TECHNOLOGY</u>				
Email – Employee Inbox Folder	Applies to email messages contained in the employee’s “inbox” folder. Messages in this folder exceeding the retention duration will be moved to the “deleted items” folder and subsequently permanently deleted without further action by the employee.	Message Date + 90 Days		Public

MAGSA - RECORDS RETENTION SCHEDULE

Type of Records	Type Description	Retention	Remarks	Status
Email – Employee Sent Item Folder	Applies to email messages contained in the employee’s “sent items” folder. Messages in this folder exceeding the retention duration will be moved to the “deleted items” folder and subsequently permanently deleted without further action by the employee.	Message Date + 90 Days		Public
Email – Employee Drafts Folder	Applies to email messages contained in the employee’s “Draft” folder. Messages in this folder exceeding the retention duration will be moved to the “deleted items” folder and subsequently permanently deleted without further action by the employee.	Message Date + 90 Days		Public
Email – Employee Defined Email Folder	Applies to email messages contained in any folders the employee may have created. Messages in any employee-defined folder exceeding the retention duration will be moved to the “deleted items” folder and subsequently permanently deleted without further action by the employee.	Message Date +2 Years		Public

MAGSA - RECORDS RETENTION SCHEDULE

Type of Records	Type Description	Retention	Remarks	Status
Email – Employee Deleted Items Folder	Applies to email messages contained in the employee’s “Deleted Items” folder. Messages in this folder exceeding the retention duration will be moved to the “deleted items” folder and subsequently permanently deleted without further action by the employee.	Message Date + 30 days		Public
Email – Journal	Applies to all email messages sent from or received by a MAGSA or MAGSA-affiliated email address. This instance of email messages is not necessarily maintained or accessible to employees and may be intended for HR and Legal search purposes only.	Message Date + 2 Years		Public
IT Project Documents (Non-CIP)	Charters, project plans, project status reports, test and acceptance results, post-project evaluations and findings. Includes documents regarding business process and change management.	S		Public

MAGSA - RECORDS RETENTION SCHEDULE

Type of Records	Type Description	Retention	Remarks	Status
System Logs	Logging data from IT systems that indicate performance issues. Includes Enterprise and Infrastructure systems and application servers.	90 Days		Confidential
Voice Mail Messages	Voice mail messages	Message Date + 30 Days		Public
<u>INSPECTION SERVICES</u>				
Correspondence	<p>Incoming or outgoing – letters, memos, to or from contractors, consultant’s vendors relating to a CIP project.</p> <p>DOES NOT INCLUDE DEVELOPER PROJECTS OR REGULATORY PROJECTS</p>	CL+10	Close is project completion date for CIP	Public
Daily Log Books	Journals of daily inspection activities.	CY+10		Public
Inspection Reports	<p>Inspection reports, includes daily record of work performed for MAGSA projects, verification and confirmation with drawings. Includes various specialty inspection files from inspectors, concrete inspections, compression tests, compaction, painting, etc.</p>	CY+10	Close is project completion date for CIP and date of acceptance for Developer projects.	Public

MAGSA - RECORDS RETENTION SCHEDULE

Type of Records	Type Description	Retention	Remarks	Status
Photographs and Videos	Pictures or videos of constructions site and progress.	P		Public
Punch List	Used at project completion to verify that all aspects of the job are complete.	CL+10	Close is project completion date for CIP.	Public
<u>INSURANCE / RISK MANAGEMENT</u>				
Claims, Damage	Claim documentation	CL+5	Close is when claim is closed.	Confidential
Insurance Certificates – Lease Holders	Insurance certificates from parties leasing MAGSA facilities.	T+1	Termination is expiration or revocation of permit.	Public
Insurance Certificates – Vendors/ Consultants/ Contractors	Insurance certificates	CY+10		Public
Insurance, Liability/ Property	Liability and Property insurance for MAGSA facilities.	P		Public
<u>LABORATORY</u>				
Bacterial Analysis	Compliance records; includes location, date, method, and results, analysis of bacterial content of plant effluent.	CY+12	State Water Resources Control Board – NPDES	Public
Chemical Analysis	Compliance records include location, date, method, and results for organics, inorganics and conventional pollutants.	CY+12		Public

MAGSA - RECORDS RETENTION SCHEDULE

Type of Records	Type Description	Retention	Remarks	Status
Correspondence	Incoming / Outgoing, compliance issued as needed, letters, memos, emails	CY+10		Public
Lab Data Reports	QA/QC Contract lab documentation	CY+12		Public
Quality	Compliance documentation including sampling data, analysis, surveys, documents, evaluation, schedules, valves, etc.	CY+12		Public
Reports – Lab Data	Reports Generated	CY+12		Public
<u>MAPPING</u>				
Drawings – As Built	Blueprints, drawings, maps, plans.	P		Public
GIS Documents	Maps containing geographic information. Also includes water and sewer line drawings.	S		Public
Photographs	Aerial photos.	P		Public
<u>METER SERVICES</u>				
USA Locations	USA location request received from USA North, if any.	CY+2		Public

MAGSA - RECORDS RETENTION SCHEDULE

Type of Records	Type Description	Retention	Remarks	Status
<u>LEGAL</u>				
Agreements / Contracts	<p>Contracts between outside agencies, contractors, vendors, or consultants and MAGSA.</p> <p>Some agreements / contracts may be confidential depending on the nature of the agreement.</p>	P		Public / Confidential
Board Policies and Administrative Regulations	<p>Board approved policies and administrative regulations. Maintained electronically by legal counsel; updated by legal counsel.</p>	S+5		Public
Correspondence	<p>Includes correspondence from outside sources. Restricted access to legal counsel only.</p>	CL+2		Confidential
Litigation / Case Files	<p>Includes various litigation case files pertaining to any project or claim – several files with numerous volumes per case.</p>	CL+7	<p>Close is final judgment, settlement, or other disposition of the case has occurred and any time for reconsideration or appeal has lapsed.</p>	Confidential
Reference Files – BODs	<p>Legal Filing – BODs</p>	CY+10		Confidential

MAGSA - RECORDS RETENTION SCHEDULE

Type of Records	Type Description	Retention	Remarks	Status
Reference Files – Office of the General Manager	Legal Filing – General Manager’s Office. EXCLUDING – Human Resources and Water Policy Coordination / Special Projects	CY+10		Confidential
Reference Files – Human Resources	Legal Filing – Human Resources	T+7		Confidential
Reference Files – Water Policy	Legal Filing – Water Policy / Special Projects Includes various file types relating to Water Policy and Special Projects, maintained by the Legal Counsel; Legal Counsel reference documents	P		Confidential
Reference Files – Operations and Engineering	Legal Filing – Operations and Engineering EXCLUDING – Water Rights	CY+15		Confidential
Reference Files – Ditches (Non-Hydro)	Legal Filing – Ditches. Includes various file types relating to MAGSA ditches (if any).	P		Confidential
Legislative – Bill Analysis	Includes memos, notes, et al.	CY+3		Confidential

MAGSA - RECORDS RETENTION SCHEDULE

Type of Records	Type Description	Retention	Remarks	Status
Legislative – Research Information	Information obtained while researching various legislative proposals.	CY+3		Confidential
Legislative – Legal Opinion	Opinion provided on behalf of MAGSA on various legislative proposals.	CL+1		Confidential
<u>OFFICE OF THE GENERAL MANAGER (OGM)</u>				
Correspondence	Office of the General Manager letters and logs	CY+5		Public
Form 700 – Statement of Economic Interest	Form 700	T+7		Public
<u>PAYROLL</u>				
Employee Payroll Files	Active and Terminated: Managed from date of hire through termination for payroll related items only. Any changes to payroll master file: (including but not limited to) PAF's for employee setup, position, pay budget charge numbers, tax withholding, deductions, benefits, garnishments, direct deposit, etc.	T+7		Public (Excluding employee address, phone number and SSI number)
Payroll Register	Labor cost and employee program	P		Same as above

MAGSA - RECORDS RETENTION SCHEDULE

Type of Records	Type Description	Retention	Remarks	Status
Payroll Reports – MAGSA Level	All subsequent reporting for payroll: W-2 forms, Federal Quarterly 941s (Federal Income Tax, Social Security, and Medicare), Ca State Quarterly DE6’s (State Income Tax and State Disability Insurance), unemployment quarterly DE6’s, Ca annual reconciliation DE7, workers compensation premium statements, pay period reporting for : deferred comp premiums, new hire reporting, CALPERS retirement, insurance premiums, direct deposit, GTLI, tax payments and levies, paid-time-off records, flexible spending accounts, etc.	AU+7		Same as above
Payroll Reports – Employee Level	Reports show everything from dates and hours to gross pay, net pay, and all related taxes, deductions, benefits, etc.	AU+7		Same as above
Timecard Data	Record of employees’ attendance	AU+6		Same as above
Unclaimed Wages	Wages not claimed by employees	T+8		Same as above

MAGSA - RECORDS RETENTION SCHEDULE

Type of Records	Type Description	Retention	Remarks	Status
<u>PURCHASING</u>				
PO Agreements	Purchase Orders that function as a contract with the contractor. Also, supporting materials that substantiate the final contract or decision trail, i.e., solicitations (formal and informal), solicitation response (successful and unsuccessful), correspondence.	AU+6		Public
Contracts – Non-CIP	Purchasing contracts. Supporting materials that substantiate the final contract or decision trail, i.e., solicitation responses (successful and unsuccessful), correspondence.	AU+6		Public
Cancelled Solicitations – Non-CIP	Cancelled formal and informal written solicitations containing un-awarded written vendor submittals, correspondence, etc.	AU+2		Public
<u>RATE BILLING</u>				
Adjustments	Adjustment accounts consist of adding fees, adjusting balance.	AU+4		Public

MAGSA - RECORDS RETENTION SCHEDULE

Type of Records	Type Description	Retention	Remarks	Status
Agreements – Owner / Tenant	Rent properties – Owner applies for agreement to allow the tenant to be on the account.	CY+2	Retain for 2 years	Public
Billing – Landowner Payments	Payments received from MAGSA landowners, in all formats. Includes landowner account records and postings of credit card, electronic or other online payments by landowners.	AU+2		Public
Billing – Landowners payments, Electronic Funds Transfer	EFT – Documentation of electronic funds transfer from customer account to MAGSA account for bill payments. Includes forms and voided checks.	AU+2		Public
Billing – Landowner Payments, Overpayment Refunds	Refund approval letters for over payment.	AU+2		Public
Billing – Delinquent Notices	Copies of notice to landowners that are delinquent on their accounts and in jeopardy of enforcement.	AU+2		Public
Billing Landowner Payments, Returned / Bounced Checks	Letter from the bank regarding bounced checks from landowners.	AU+2		Public

MAGSA - RECORDS RETENTION SCHEDULE

Type of Records	Type Description	Retention	Remarks	Status
Billing – Landowner Returned Mail	Mail returned for non-existing address, etc.	CM+5	Retain for current month + 5 months	Public
Billing – Inactive Collections	Monthly reports generated on all accounts unpaid. Includes 30, 60 and 90 day notifications and reports on accounts sent to collections agency.	AU+2		Public
Billing and Past Due Output files	Consists of detailed lists of who was billed, date, rate charged, and where billings were sent. Also includes notifications to landowners who are past due on their accounts.	CY+1		Public
Correspondence	Incoming and outgoing regarding accounts, includes letters, memos, emails, fax.	CY+2		Public
Customer Service Requests	Requests for general assistance or to report issues that require MAGSA attention. May include meter service requests, initial/final meter reads and supporting documentation.	P	Hard copies are retained for 6 months.	Public
Escrow / Lien Demands	Outstanding lien, sale, or refinance. Includes fax and email to and from the title company.	CY+2	Supporting documents	Public

MAGSA - RECORDS RETENTION SCHEDULE

Lien / Tax Roll	Assessments of liens against properties for non-payment. Includes liens released, liens sent to tax roll (assessed against property tax). Supporting Documents Originals.	CY+2 P		Public
<u>REAL ESTATE MANAGEMENT</u>				
Agreements – Leases and License	All Leases and License Agreements permitting the use of MAGSA real property (if any).	T+5		Public
Contracts – On Call	Contracts for various professional services as needed for Real Estate purposes. Records associated with all correspondence, contract documents, insurance documents, invoices, purchase orders and payments.	T+5	Retention is based on termination of contract.	Public
Agreements – Right of Entry, License Agreement	Custom agreements for temporary use of MAGSA-owned real property (if any), granted to third parties for a specific purpose.	AU+1		Public
Grant Deeds	All documentation granting real property to MAGSA.	P		Public

MAGSA - RECORDS RETENTION SCHEDULE

Type of Records	Type Description	Retention	Remarks	Status
Grants of Easement	All recorded easement rights granted to the MAGSA.	P		Public
Hold Harmless Agreements	Agreements for temporary MAGSA use of real property owned by a third party.	T+4	Retention based on completion of temporary MAGSA use.	Public
Road Association Dues / Assessments	Various roads utilized by MAGSA to maintain MAGSA infrastructure (if any) that are privately maintained.	AU+4		Public
Quitclaims	Real property interests held by the MAGSA that are no longer necessary for MAGSA purposes. The quitclaim document relinquishes any and all right MAGSA has in a specific parcel of real property.	P		Public
Property Appraisal	Documentation of property value appraisals of MAGSA property (if any).	CL+10	Retention based on valuation date of appraisal.	Public
Waiver and Release Agreement	Standard form agreement to allow a third party to enter MAGSA-owned real property (if any) for a specific purpose and very short duration such as inspection, job walk, or similar activity that can be completed in one or a few days.	T+1	Retention based on completion of access.	Public

MAGSA - RECORDS RETENTION SCHEDULE

Type of Records	Type Description	Retention	Remarks	Status
<u>RECORDS MANAGEMENT</u>				
Historical	Historical documents including various reports, pictures, videos, etc.	P		Public
Logs and Spreadsheets	Various logs, including CIP project history, and correspondence tracking logs.	P		Public
Public Records Requests	Requests from public, vendors, contractors, consultants, developers. Includes response from MAGSA and supporting documentation.	CL+2		Public
Records Inventories	Inventory of non-current or inactive records holdings and location, indices.	S	Active Document – updated continuously.	Public
Records Management Document Destruction Forms	Documentation of approved record purges. Includes record description, dates, retention policy and approvals from General Manager and Legal Counsel.	P		Public
Records Retention Schedule	Records retention requirements approved by the BODs	S		Public

MAGSA - RECORDS RETENTION SCHEDULE

Type of Records	Type Description	Retention	Remarks	Status
<u>REGULATORY – STATE AND FEDERAL</u>				
<u>State</u> – Pertains to State safety or environmental regulatory agencies				
Compliance	Includes confirmation of compliance documentation and supporting documentation for proof of compliance.	P		Public
Correspondence – State Regulatory Compliance	Includes compliance related letters, fax, memos to or from State regulatory agencies.	P		Public
Projects – State Regulatory Compliance	Project documentation for projects mandate by the State. Includes correspondence, transmittals, photos, videos, reports, inspection reports, emergency action plans, surveys, analysis, contract documents, submittals, as-built drawings, specifications, project manuals, permits, assessments, project completion reports.	P		Public
Notifications – State Regulatory Compliance	Includes notices, letters, memos, or faxes from State agencies, as reminders of specific items or details.	CY+2		Public

MAGSA - RECORDS RETENTION SCHEDULE

Type of Records	Type Description	Retention	Remarks	Status
Permits	Permits required by state agencies.	P		Public
Reports – State Regulatory Compliance	Includes information and reports submitted to State regulatory agencies.	P		Public
Submittals – State Regulatory Compliance	Form used to document the transfer of documents to or from State regulatory agencies. This includes the cover letter and the documents being transmitted.	P		Public
<p><u>Federal</u> – Pertains to Federal Safety or environmental regulatory agencies overseeing compliance projects (e.g., USACE and USFW)</p>				
Projects – Federal Regulatory Compliance	Project documentation for CIP mandated by Federal regulatory agencies. Includes correspondence, transmittals, photos, videos, reports, surveys, analysis, contract documents, submittals, specifications, project manuals, permits, assessments, project completion reports.	P	Copies remain in corresponding office until no longer needed for departmental reference.	Public
Correspondence – Federal Regulatory Compliance	Letters, memos, faxes to or from Federal regulatory agencies.	P		Public

MAGSA - RECORDS RETENTION SCHEDULE

Type of Records	Type Description	Retention	Remarks	Status
Emergency Action Plan	Emergency Action Plan (EAP). Plan of action for emergencies.	S		Public
License Compliances	Reports, plans, studies, correspondence and other relevant documentation necessary to demonstrate compliance with Federal license requirements (if any).	P		Public
License Documents	Documents associated with Federal licensing (if any) including but not limited to, license amendments, permits, orders and agreements.	P		Public
Notifications – Federal Regulatory Compliance	Includes notices, letters, memos, or faxes from Federal regulatory agencies as reminders of specific items or details.	CY+2		Public
Reports – Federal Regulatory Compliance	Includes all reports submitted to Federal regulatory agencies.	P		Public
Transmittals – Federal Regulatory Compliance	Form used to document the transfer of documents to or from Federal agencies. This includes the cover letter and documents being transmitted.	P		Public

MAGSA - RECORDS RETENTION SCHEDULE

Type of Records	Type Description	Retention	Remarks	Status
<u>SAFETY AND SECURITY</u>				
Safety Management Reports	Cal/OSHA form 300-log of work related injuries – maintained throughout the year. Cal/OSHA form 301 – MAGSA injury and illness incident reports and supporting documentation; Safety Committee meeting minutes (if any).	CY+7		Public
Security Incident Reports	Security Activity Reports (SAR) and video monitoring files documents malevolent acts involving MAGSA critical infrastructure and other assets.	CY+7	Until pending litigation or prosecution resolved	Public
Security Plans	District-wide risk assessments and security / emergency plans	P		Confidential
Training Records	Employee training / classes regarding safety MAGSA-wide include certificates and sign in sheets.	CY+7		Public
Workers Compensation	Claims files, reports (originals with ACWA/JPIA)	T+7		Confidential

MAGSA - RECORDS RETENTION SCHEDULE

Type of Records	Type Description	Retention	Remarks	Status
<u>WATER</u>				
Compliance Orders	Compliance orders issued by State regulatory agencies. May include violation notice, corrective actions and corresponding customer notifications and other correspondence.	CL+3		Public
Correspondence	Incoming and outgoing letters, or memos not related to regulatory or compliance issues. Also includes formal customer contact and project info.	CY+2		Public
Discharge Reports	Reports submitted to the Water Resources Control Board and USFWS regarding planned and unplanned drinking water discharges (if any) including chlorine, turbidity and pH info.	CY+10		Public
Manual – Operations and Maintenance (O&M)	O&M Manuals – Used as a guideline for equipment repair.	S		Public
Monitoring Plans	Various water monitoring data plans.	S+10		Public
Permits	Drinking water permit and permit amendments	P		Public

MAGSA - RECORDS RETENTION SCHEDULE

Type of Records	Type Description	Retention	Remarks	Status
Reports – Landowner Concern Reports	Landowner requests for water quality investigations and results required for monthly and annual reporting to Division of Drinking Water.	CY+5		Public
<u>WATER POLICY</u> (See also Legal Counsel)				
Water Rights	Documentation of water rights (if any).	P		Public