

**TWAIN HARTE COMMUNITY SERVICES DISTRICT
Finance/Policy Committee Meeting**

Chair: *Gary Sipperley*
Co-Chair: *Eileen Mannix*

**THCSD CONFERENCE ROOM
22912 VANTAGE POINTE DR., TWAIN HARTE
September 7, 2022 1:30 p.m.**

NOTICE: Public May Attend this Meeting In-Person. Facial coverings are recommended for any person attending, regardless of vaccination status.

The meeting will be accessible via ZOOM for anyone that chooses to participate virtually:

- Videoconference Link: <https://us02web.zoom.us/j/83658135970>
- Meeting ID: 836 5813 5970
- Telephone: (669) 900-6833

AGENDA

- 1. Review Policy #2000 – Organizational Structure and Job Descriptions.**
- 2. Review Policy #2001 – Hiring Policy.**
- 3. Review Policy #2002 – Discrimination.**
- 4. Review Policy #2003 – Employee Appearance & Hygiene.**
- 5. Review Policy #3030 – Injury and Illness Prevention Program.**
- 6. Discuss proposed revision to Policy #3100 – Records Retention and Destruction.**
- 7. Adjourn.**

HOW TO VIRTUALLY PARTICIPATE IN THIS THIS MEETING

The public can virtually observe and participate in a meeting as follows:

- **Computer:** Join the videoconference by clicking the videoconference link located at the top of this agenda or on our website. You may be prompted to enter your name and email. Your email will remain private and you may enter “anonymous” for your name.

- **Smart Phone/Tablet:** Join the videoconference by clicking the videoconference link located at the top of this agenda OR log in through the Zoom mobile app and enter the Meeting ID# and Password found at the top of this agenda. You may be prompted to enter your name and email. Your email will remain private and you may enter “anonymous” for your name.
- **Telephone:** Listen to the meeting by calling Zoom at (4669) 900-6833. Enter the Meeting ID# listed at the top of this agenda, followed by the pound (#) key.

* NOTE: your personal video will be disabled and your microphone will be automatically muted.

FOR MORE DETAILED INSTRUCTIONS, CLICK [HERE](#)

SUBMITTING PUBLIC COMMENT

The public will have an opportunity to comment before and during the meeting as follows:

- **Before the Meeting:**
 - Email comments to ksilva@twainhartecsd.com, write “Public Comment” in the subject line. In the body of the email, include the agenda item number and title, as well as your comments.
 - Mail comments to THCS Board Secretary: P.O. Box 649, Twain Harte, CA 95383
- **During the Meeting:**
 - Computer/Tablet/Smartphone: Click the “Raise Hand” icon and the host will unmute your audio when it is time to receive public comment. If you would rather make a comment in writing, you may click on the “Q&A” icon and type your comment. You may need to tap your screen or click on “View Participants” to make icons visible.



- Telephone: Press *9 if to notify the host that you have a comment. The host will unmute you during the public comment period and invite you to share comments.
- In-Person: Raise your hand and the Board Chairperson will call on you.

* NOTE: If you wish to speak on an item on the agenda, you are welcome to do so during consideration of the agenda item itself. If you wish to speak on a matter that does not appear on the agenda, you may do so during the Public Comment period. Persons speaking during the Public Comment will be limited to five minutes or depending on the number of persons wishing to speak, it may be reduced to allow all members of the public the opportunity to address the Board. Except as otherwise provided by law, no action or discussion shall be taken/conducted on any item not appearing on the agenda. Public comments must be addressed to the board as a whole through the President. Comments to individuals or staff are not permitted.

MEETING ETIQUETTE

Attendees shall make every effort not to disrupt the meeting. Cell phones must be silenced or set in a mode that will not disturb District business during the meeting.

ACCESSIBILITY

Board meetings are accessible to people with disabilities. In compliance with the Americans with Disabilities Act, those requiring accommodations for this meeting should notify the District office 48 hours prior to the meeting at (209) 586-3172.

WRITTEN MEETING MATERIALS

If written materials relating to items on this Agenda are distributed to Board members prior to the meeting, such materials will be made available for public inspection on the District's website:
www.twainhartecsd.com

TWAIN HARTE COMMUNITY SERVICES DISTRICT
Policy and Procedure Manual

POLICY TITLE: Organizational Structure and Job Descriptions
POLICY NUMBER: 2000
ADOPTED: February 12, 2020
AMENDED: N/A
LAST AMENDED: N/A

2000.01 PURPOSE

Twain Harte Community Services District requires a well-organized organizational structure to accomplish its mission and strategic objectives. This structure is needed to clearly define and organize staffing roles in a manner that results in the provision of quality, efficient, and sustainable services.

2000.10 DISTRICT ORGANIZATIONAL STRUCTURE MANUAL

- 2000.11** The General Manager is responsible to create, update and keep current an Organizational Structure Manual (Organization Manual) for the District.
- 2000.12** At a minimum, the Organization Manual shall contain the District's updated Organizational Chart and all current Job Descriptions.
- 2000.13** The Organization Manual shall be available to District employees at all times during normal business hours.

2000.20 ORGANIZATIONAL CHART

- 2000.21** The General Manager is responsible and authorized to create and organize departments and staff roles in a manner that enables the District to best accomplish the mission and strategic objectives set by the Board.
- 2000.22** The organizational structure developed by the General Manager shall be simply and effectively communicated through the creation of an Organizational Chart. The Organizational Chart shall be organized in a manner that prioritizes the provision of quality, efficient, professional, fiscally responsible and sustainable services.
- 2000.23** Each year during development and adoption of the fiscal year budget, the Organizational Chart will be presented to the Board of Directors, along with the

anticipated number of full-time equivalent staff members for each position and a proposed salary plan.

- 2000.24** The budget and salary plan shall be subject to approval of the Board. The Organizational Chart will remain the responsibility of the General Manager and does not require Board approval. However, the General Manager may be required to modify the Organizational Chart to operate within the budgetary limits set by the Board.

2000.30 JOB DESCRIPTION

- 2000.31** The Board is responsible for developing and defining the scope of duties for the General Manager.
- 2000.32** The General Manager is responsible for developing a staffing model that enables the District to best accomplish the mission and strategic objectives set by the Board. This includes the authority and responsibility to create staff positions and define the scope and schedule of staff job duties.
- 2000.33** Each staff position identified within the Organizational Chart shall have a written Job Description, developed or approved by the General Manager, which generally describes the scope of duties for that position.
- 2000.34** Job Descriptions for staff, other than the General Manager, are not subject to Board approval.

2000.40 MODIFICATIONS, REMOVAL AND ADDITIONS

- 2000.41** The General Manager has authority to modify the Organizational Chart and modify, remove or add Job Descriptions at any time. All such modifications, removal and additions shall be subject to Board-adopted budget limitations, Board Policy, state and federal laws and existing agreements with labor unions.
- 2000.42** Prior to modifying the Organizational Chart or modifying any Job Description, the General Manager shall consider how such modification might impact the scope of duties for all staff roles. The General Manager shall also consider if any such potential impacts warrant a change in wages.
- 2000.43** Organizational Chart and Job Description modifications that effect wages, hours or conditions of employment for positions represented by labor unions must first be presented to the appropriate labor union.
- 2000.44** If modifications to the Organizational Chart or any Job Description warrant a change in wages listed on the approved salary plan, the General Manager will recommend a revised salary plan to the Board. Revisions to the salary plan are subject to Board approval and any associated modifications to the Organizational Chart or Job Description will not be final until, and unless, the revised Salary Plan is approved by the Board.

TWAIN HARTE COMMUNITY SERVICES DISTRICT
Policy and Procedure Manual

POLICY TITLE: Hiring Policy
POLICY NUMBER: 2001
ADOPTED: April 8, 2010
AMENDED:

2001.10 It is the intent of the District to fill open positions with the most qualified and/or experienced individuals, either from current District personnel or through the external application process. Preferential consideration shall be given to District personnel, based upon his/her qualifications, when filling positions other than entry level positions. The District shall be free to recruit both current and outside simultaneously, when filling entry level positions.

At-Will Statement:

Employment at the District is employment *at-will*. Employment *at-will* may be terminated with or without cause and with or without notice at any time by the employee or the District. Nothing in the Employee Policies and Procedures or in any document or statement shall limit the right to terminate employment *at-will*. No manager, supervisor or employee of the District has any authority to enter into an agreement for employment for any specified period of time or to make an agreement for employment other than *at-will*. Only the Board of Directors of the Twain Harte CSD has the authority to make any such agreement and then only in writing.

2001.20 No person shall be employed who is the spouse, child, father, mother, grandfather, grandmother, grandchild, brother, sister, father-in-law, mother-in-law, step-son, step-daughter, step-father, step-mother, or individual living in spousal-like relationship with any other employee of the District assigned to the same department, if such relative would directly be supervised by or be a supervisor of such employee, or where potential problems of safety, morale, security, or conflicts of interest exist.

2001.21 If two employees marry or become related and a conflict arises, or a reasonable potential for conflict exists, only one of the employees will be permitted to stay with the District, unless reasonable accommodations can be made to eliminate the potential problems. The decision as to which relative will remain with the District must be made by either the two employees, within thirty (30) calendar days, or the District on the basis of factors that serve the best interests of the District.

2001.30 Selection Process - Non-entry Level Job Openings - Current District Personnel

2001.31 Eligibility: To be considered, the applicant must be a regular or temporary employee.

2001.32 Selection Procedures: The selection procedure for each job opening will

be administered by the Department Head in conjunction with the General Manager and may include any or all of the following:

1. Completed District Employment Application form.
2. Determination if applicant meets minimum qualifications.
3. Performance testing (typing, equipment operation, etc.).
4. Written testing - achievement or aptitude.
5. Interview - conducted by interview panel.
6. Review of applicant's previous performance appraisals.
7. Experience in field or related field in which applicant is applying.

2001.33 Performance/Written Testing: A performance and/or written test may be administered to determine an applicant's level of skill and/or proficiency, as related to the minimum qualifications specified in the job description. Any applicant not scoring a minimum passing score on the performance and/or written test shall be disqualified and not eligible for an interview.

2001.34 Awarding Position: Candidates who meet the minimum job qualifications and who successfully complete all phases of the selection procedure will be recommended to the General Manager, who may choose any one of the applicants to fill the position.

2001.40 Selection Process - Non-entry Level Job Openings - Outside Applicants

The District will seek applications from outside applicants when any of the following occurs:

1. When no qualified regular or temporary District employee applies for the job opening.
2. When, in the opinion of the District, a current District employee fails to demonstrate the necessary skills, personal attributes and/or physical requirements required to successfully perform the assigned tasks.
3. When a regular employee who was offered the job declines to accept the job offer.

2001.50 Public Notice of Open Position

Depending upon the position and the qualifications called for in the job description, a public notice may be advertised in the local and/or out of area newspaper(s) and/or professional publications, and may include the following:

1. Job title
2. Brief description of job duties
3. Minimum experience, qualifications, and license/certificate required.
4. Hourly rate of pay
5. Filing deadline - date and time
6. Drug testing requirement

2001.51 Selection Process: The same standards and criteria shall be used in consideration, testing and interviews as in Section 2001.30 above, except that at any time if there are not enough qualifying applicants (applicants that have successfully passed all tests and oral interviews) from which to choose for the position being filled, the General Manager may elect to reopen the recruitment or to reconsider the position.

2001.60 Entry Level Positions

2001.61 Public Notice: Depending upon the position and the qualifications called for in the job description, a public notice may be advertised in the local and/or out of area newspaper(s) and/or professional publications, and may include the following:

1. Job title
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2001.62 Selection Process: The same standards and criteria shall be used in consideration, testing and interviews as under Section 2001.30 above, except that at any time if there are not enough qualifying applicants (applicants that have successfully passed all tests and oral interviews) from which to choose for the position being filled, the General Manager may elect to reopen the recruitment or to reconsider the position.

2001.70 Background Investigation

The District may use any means necessary to qualify a prospective employee for employment. These options include but are not limited to the following:

1. Background check via online services
2. Department of Motor Vehicles
3. Reference checks (work)
4. Reference Checks (personal)

2001.80 Offer Letter of Employment

The District will make employment offers via the use of an “Offer Letter” to all prospective employees. This “Offer Letter” shall, at a minimum, contain the following:

1. Employment start date
2. Position title
3. Salary/hourly amount
4. Listing of all benefits (including dollar value)
5. Drug testing requirement
6. Define introductory period

TWAIN HARTE COMMUNITY SERVICES DISTRICT
Policy and Procedure Manual

POLICY TITLE: Hiring Policy
POLICY NUMBER: 2001
ADOPTED: April 8, 2010
AMENDED: N/A
LAST AMENDED: N/A

2001.10 PURPOSE

The purpose of this policy is to provide fair, non-discriminatory general guidelines for recruiting and hiring quality, experienced and successful District personnel. It is understood that hiring situations can be unique and the General Manager may choose to add to or forego some of the procedures in this policy, so long as the hiring process is fair, free from discrimination, and meets all requirements of the law and this policy.

2001.20 GENERAL INTENT

It is the intent of the District to fill open positions with the most qualified and/or experienced individuals, either from current District personnel or through the external application process. Preferential consideration shall be given to District personnel, based upon his/her qualifications, experience, and work history; however, the District shall be free to recruit both current personnel and outside applicants simultaneously, when filling any open position.

2001.30 NEPOTISM

No person shall be hired who is the spouse, child, father, mother, grandfather, grandmother, grandchild, brother, sister, father-in-law, mother-in-law, step-son, step-daughter, step-father, step-mother, or individual living in spousal-like relationship with any other employee of the District assigned to the same department, if such relative would directly be supervised by or be a supervisor of such employee, or where potential problems of safety, morale, security, or conflicts of interest exist. If two employees marry or become related and a conflict arises, or a reasonable potential for conflict exists, only one of the employees will be permitted to stay with the District, unless reasonable accommodations can be made to eliminate the potential problems. The decision as to which relative will remain with the District must be made by either the two employees, within thirty (30) calendar days, or the District on the basis of factors that serve the best interests of the District.

2001.30 RECRUITMENT AND NOTICE

2001.31 Recruitment. Methods of recruitment and noticing should be selected to achieve an acceptable candidate pool and meet District timelines and needs. A public notice may be advertised in any or all of the following:

1. Local and/or out of area newspaper(s); and/or
2. Professional publications; and/or
3. District website; and/or
4. Social media platforms; and/or
5. Online job advertising sites.

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2001.40 SELECTION PROCESS

2001.41 Eligibility. To be considered, the applicant must meet minimum qualifications and/or demonstrate a potential ability through experience or other qualifications to perform in the position successfully.

2001.42 Application, Testing, and Evaluation Procedures. The application, testing, and evaluation procedure for each job opening will be administered by the Department Head in conjunction with the General Manager and may include any or all of the following:

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7. Experience in field or related field in which applicant is applying.

2001.43 Candidate Selection. Candidates who meet minimum qualifications (or demonstrate a clear ability to perform the job successfully) and exhibit the highest combination of qualifications, experience, competence and other critical skills will be recommended to the General Manager, who may choose any of the candidates to fill the position.

2001.44 Re-Opening Recruitment. If the General Manager, at any time during

the application, testing, and selection process, determines there are not enough qualifying applicants, the General Manager may elect to reopen the recruitment or reconsider the position.

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2001.70 — Background Investigation

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5. Drug testing requirement
6. Define introductory period

TWAIN HARTE COMMUNITY SERVICES DISTRICT
Policy and Procedure Manual

POLICY TITLE: **Discrimination**
POLICY NUMBER: **2002**
ADOPTED: **March 21, 2006**
AMENDED: **9/11/2014, 9/9/2020**
LAST AMENDED: **November 12, 2020**

2002.10 There shall be no discrimination in any personnel action, including recruitment, appointment, performance evaluation, promotion, the granting of leave, and any disciplinary or grievance action for the following:

- Age (40 and over)
- Ancestry, National Origin
- Disability, mental and physical
- Genetic Information
- Gender Identity, Gender Expression
- Marital Status
- Medical Condition
- Military and Veteran Status
- Race, Color
- Religion, Creed
- Sex, Gender (including pregnancy, childbirth, breastfeeding or related medical conditions.)
- Sexual Orientation

2002.20 Protections against discrimination and harassment shall extend to unpaid interns and volunteers. There shall be no discrimination against unpaid interns or volunteers in regards to selection, termination, training and treatment for any of the reasons listed above or other protections provided by law. Furthermore, unpaid interns, volunteers, and persons providing services pursuant to a contract shall not be subjected to harassment in the workplace for any of the reasons listed above or other protections provided by law.

2002.30 All employees are protected from illegal conduct from any workplace source, including third parties who are in the workplace.

2002.40 There shall be no discrimination, for any of the reasons stated above or provided by law, in any actions taken by the District in dealing with our customers or the general public.

2002.50 To ensure that this policy is protecting the rights of all employees against discrimination, this policy shall be reviewed annually by the Board of Directors in a regular meeting. All employees should be reminded of the Board's consideration of the policy and encouraged to submit written or verbal comments as to its effectiveness.

2002.60 To ensure that employees understand these protections and mandated procedures, a copy of this policy will be provided to employees upon hire and an updated electronic copy will be posted in a location accessible to all employees. New employees and unpaid interns shall acknowledge receipt of the policy in writing and shall be required to undergo training within six months of starting their employment or volunteer internship. Seasonal or temporary employees employed less than six months shall undergo training within 30 days of starting their employment.

2002.70 Reporting Complaints: There are several avenues of reporting a confidential complaint other than to a direct supervisor, the different avenues of reporting include:

- Report to direct supervisor.
- Report to your supervisor's supervisor.
- Report to General Manager.
- If the complaint is in regards to General Manager, report to the President of the Board of Directors.

2002.80 Response to Reported Complaints: Every reported incident of discrimination will be documented, tracked and promptly investigated by qualified personnel or a District representative with the cooperation of the employee and/or the public member reporting the discrimination. This policy requires anyone who receives a complaint of misconduct to report the complaint to the General Manager. If the complaint is in regards to the General Manager, the recipient of the complaint can report to the President of the Board of Directors. Confidentiality of all persons involved in the incident shall be maintained. Employees will not be exposed to retaliation as a result of the making a complaint or participating in any workplace investigation. The results of any investigation of alleged discrimination shall promptly be communicated to the employee or public member. Where charges of discrimination by an employee are substantiated, appropriate corrective action will be taken. Appropriate action might range from counseling to termination.

TWAIN HARTE COMMUNITY SERVICES DISTRICT
Policy and Procedure Manual

POLICY TITLE: Employee Appearance and Hygiene

POLICY NUMBER: 2003

ADOPTED: August 14, 2008

AMENDED: 9/9/2015

LAST AMENDED: April 9, 2015

2003.10 PURPOSE

Personal appearance and hygiene play an important role in projecting a professional image in the community and to the customers we serve. This policy is intended to describe guidelines on what is considered appropriate workplace attire, hygiene and overall personal appearance. These guidelines are not intended to be all-inclusive, but rather should help set the general parameters for appropriate workplace attire, hygiene and personal appearance. Employees should use good judgment and common sense about items not specifically addressed. The General Manager will have the discretion to make the final determination on what constitutes professional and suitable dress for the work setting in a particular situation.

2003.20 ATTIRE

The District requires employees to always appear for work in attire that is “professional” and suitable for the work setting. This may vary slightly from one area to another depending on the nature of the work, exposure to the general public, customers and the environment. Employee appearance should always reflect what is appropriate for the job, work setting and personal safety. The following specific attire guidelines must be followed:

- 2003.21** Footwear must be appropriate for the work environment and for the functions required for each job position.
- 2003.22** Clothing must not interfere with the safe operation of equipment.
- 2003.23** Jewelry is acceptable, except in areas or near equipment where it constitutes a safety hazard.

2003.30 HYGIENE

A high standard of personal cleanliness is required for all employees.

2003.40 PERSONAL APPEARANCE

Employee personal appearance must be maintained in a manner that projects a good public image.

- 2003.41** Hair must be neat, clean and well groomed. If necessary for safety, long hair must be tied back or secured to prevent potential for being caught in equipment.
- 2003.42** Facial hair (sideburns, mustaches, goatees, beards, etc.) must be kept neat and well-groomed. Employees who must wear a breathing apparatus or respirator to perform any portion of their work must keep facial hair shaven at the jaw line to affect a proper seal with personal safety equipment.
- 2003.43** Visible body piercings and associated jewelry that diminish the effectiveness of an employee's professionalism must be removed, covered or replaced with a clear plastic spacer.
- 2003.44** Tattoos that diminish the effectiveness of an employee's professionalism must be covered and not visible to staff, customers or visitors. Such tattoos include, but are not limited to, those that are obscene, sexually explicit, extremist, gang-related, or discriminating as to sex, race, religion, national origin, or any other protected class. No tattoos are allowed anywhere on the head, face or neck.

2003.50 EXCEPTIONS

At the General Manager's discretion, the District may allow employees to dress in a more casual fashion than is normally required. On these occasions, employees are still expected to present a neat, respectable appearance.

2003.60 SAFETY

Any requirement of this policy may be temporarily suspended by a department head for safety reasons.

TWAIN HARTE COMMUNITY SERVICES DISTRICT
Policy and Procedure Manual

POLICY TITLE: Injury and Illness Prevention Program

POLICY NUMBER: 3030

ADOPTED: September 17, 1996

AMENDED: 7/8/2010, 5/9/2013, 9/10/2015, 10/12/2017, 9/15/2021

LAST AMENDED: September 15, 2021

3030.10 Safety Policy

3030.11 No function at Twain Harte Community Services District is so critical as to require or justify a compromise of safety and health. We believe that everyone benefits from a safe and healthful work environment. We are committed to maintaining a safe workplace and to complying with applicable laws and regulations governing safety.

3030.12 To achieve this goal, the District has adopted this *Injury & Illness Prevention Program* (IIPP). The IIPP is the responsibility of all employees as we work together to identify and eliminate conditions, practices, policies and procedures that compromise safety.

3030.13 To this end, each and every manager, supervisor and employee has the authority to take action to prevent mishaps. It takes positive and genuine effort to assure a safe work environment. The alternative is wasted money and wasted time due to occupational injuries and illnesses and their associated pain and suffering.

3030.14 Our expectations are that everyone will:

- A) Complete initial and ongoing safety training, including review of this IIPP.
- B) Do the right thing the first time.
- C) Seek to integrate safety into all tasks.
- D) Avoid taking short cuts.
- E) Take time to assure a safe workplace.
- F) Have a safe and healthy work experience here at the District.

3030.15 All employees shall review the IIPP and are expected to strive to achieve the District's ultimate goal of an injury-free workplace.

3030.20 Responsibilities

3030.21 Managers/Supervisors/Employees

Managers, supervisors, and employees have the responsibility of providing a safe place to work including plant facilities, equipment, standards and procedures, adequate supervision and recognition for a job done properly.

Managers and Supervisors are responsible for training all of their employees to perform their jobs properly and safely. Managers and Supervisors teach, demonstrate, observe and enforce compliance with established safety standards.

3030.22 IIPP Administrator

The IIPP Administrator is the General Manager or his/her designee. The IIPP Administrator has the responsibility for the implementation, maintenance, and update of this program.

3030.23 Employees

Employees have the responsibility of performing their tasks properly and safely. They are to assure themselves that they know how to do the job properly and ask for additional training or assistance when they feel there is a gap in their ability, knowledge, or training. They should never undertake any task, job, or operation unless they are able to perform it safely.

3030.30 Compliance

3030.31 Management Responsibility

Management is responsible for ensuring that the District safety and health policies are clearly communicated and understood by employees. Managers and supervisors are expected to enforce the rules fairly and uniformly.

3030.32 Employee Responsibility

All employees are responsible for using safe work practices, for following directives, policies and procedures, and for assisting in maintaining a safe work environment.

3030.33 Performance Evaluations

As part of employees' regular performance reviews, they are evaluated on their compliance with safe work practices and on what they have done to ensure a safe workplace for their respective employees.

3030.34 Employee Recognition

Employees who make a significant contribution to the maintenance of a safe workplace, as determined by their supervisors, receive written acknowledgment that is maintained in the employees' personnel files.

3030.35 Employee Training

Employees who are unaware of correct safety and health procedures are trained or retrained.

3030.36 Employee Correction

Employees who fail to follow safe work practices and/or procedures, or who violate the District's rules or directives, are subject to disciplinary action, according to Policy 2150 and/or appropriate union Collective Bargaining Agreements.

3030.40 Communication

3030.41 Two-Way Communication

Management recognizes that open, two-way communication between management and staff on health and safety issues is essential to an injury-free, productive workplace.

3030.42 The District System of Communication

The following system of communication is designed to facilitate a continuous flow of safety and health information between management and staff in a form that is readily understandable.

- A) An orientation program is given to all new employees and includes a review of the *Injury & Illness Prevention Program* and a discussion of policy and procedures that the employee is expected to follow. This program is documented on the *New Employee Safety Orientation Checklist*.
- B) The District has safety meetings where safety is freely and openly discussed by all present. Such meetings are held monthly and all employees are expected to attend and are encouraged to participate in discussion. All such meetings are documented on the *Employee Meeting & Training Report Form*.
- C) From time to time, written safety notifications are provided directly to individual employees or are posted on District bulletin boards.
- D) Other methods of communicating pertinent health and safety information are used as they are identified.

3030.43 Safety Suggestions and Hazard Reporting

- A) All employees are encouraged to inform their supervisors, or other management personnel of any matter, which they perceive to be a workplace hazard, or a potential workplace hazard. They are also encouraged to report suggestions for safety improvement. This reporting can be done orally, but preferably in writing on the *Identified Problem Report Form*. When done in writing, the notification may be given directly to the supervisor, the IIPP Administrator or other management personnel.
- B) If an employee wants to remain anonymous, an employee may complete an *Identified Problem Report Form* anonymously by not filling in his/her name or signing the form.

- C) No employee shall be retaliated against for reporting hazards or potential hazards, or for making suggestions related to safety.
- D) Management reviews all submitted *Identified Problem Report Forms*.
- E) If employees provide their names in regards to the notification, they are informed of what is being done within 5 working days of receipt, and receive updates as applicable.
- F) The resolution is communicated to employees in accordance with **Section 3030.42** under the subject of Communications.

3030.50 Hazard Identification & Evaluation

Inspection of the workplace is our primary tool used to identify unsafe conditions and practices. While we encourage all employees to identify and correct hazards and poor safety practices continuously, certain situations require formal evaluation and documentation.

3030.51 Safety Inspections

Documented internal safety inspections are conducted on a monthly basis. Hazards found are corrected on the spot or recommendations are submitted for future corrections. A member of management/supervision and at least one employee conduct the monthly tour. The goal is to have each employee have at least one opportunity per year to participate in a monthly inspection. Inspections are documented on the *Safety Inspection Form/Action Form*.

3030.52 Additional Inspections

Inspections are also conducted in accordance with Cal-OSHA requirements:

- A) Whenever new substances, processes, procedures or equipment present a new safety or health hazard.
- B) Whenever management/supervision become aware of a new or previously unrecognized hazard, either independently or by receipt of information from an employee.
- C) Whenever it is appropriate to conduct an unannounced inspection.

3030.53 Confined Space Inspections

All routine confined space inspections/entry shall be performed by trained and licensed contractors. District employees shall not perform confined space inspection/entry.

3030.60 Injury/Illness Investigation

3030.61 Investigation

All accidents resulting in injury or property damage, however slight, including near misses or near hits, are investigated immediately to determine the primary and contributing causes within seven working days. This information is documented on the *Investigation Report* and analyzed to assist in obtaining

corrective actions to prevent similar accidents from occurring in the future. The responsibility to see that this investigation is performed rests with the IIPP Administrator.

3030.62 Reporting

All facts, findings, and recommendations are documented on the *Investigation Report*. Management reviews *Investigation Reports* with a view towards determining adequacy of corrective action.

3030.70 Correction of Hazards

3030.71 When a hazard exists, it is corrected on a timely basis based on the severity of the hazard. If imminent danger exists to any employees, management and supervision remove these employees from the danger at once, and personnel, who are provided with the necessary safeguards, correct the hazard. Documentation of hazard correction is completed on at least one of the following forms:

1. Identified Problem Report Form
2. Investigation Report Form
3. Safety Inspection Form/Action Plan

3030.80 Training

3030.81 Orientation - New Employees

The initial orientation on general safety is conducted within two days of employment. The orientation is documented on the *New Employee Safety Orientation Checklist*. This orientation includes:

- A) Review of the Twain Harte Community Services District:
 1. Injury & Illness Prevention Program
 2. Respiratory Protection Plan
 3. Exposure Control Plan
 4. Hazard Communication Program
 5. Personal Protective Equipment Requirements
 6. Emergency Action Plan
 7. Fire Prevention Plan
 8. Code of Safe Practices
 9. Occupational Injury & Illness Reporting Requirements
- B) Overview of how to prevent:
 1. Overexertion
 2. Strains and sprains
 3. Slips, trips and falls
 4. Cuts and lacerations
 5. Electrical shock

6. Driving accidents
 7. Other occupational injuries or illnesses identified via loss analyses and investigations
- C) At a minimum, all new hires are given a copy of the District's *Injury & Illness Prevention Program* and those rules, procedures and regulations that apply to their work environment. New employees sign and date their receipt of this information.

3030.82 Initial On-The-Job Training

3030.82.1 When an employee first starts to work, a manager/supervisor will train the employee in all aspects of safety for the purpose of educating the new employee on the hazards of the work environment and the safety procedures that are required to be used to mitigate those hazards.

3030.82.2 This training is done by using the "New Employee Training Checklist" which is signed by the supervisor and the employee when the training is completed, and then becomes a permanent part of the employee's personnel file. The "New Employee Training Checklist" is filled out during the employee's initial on-the-job training, and both the supervisor and employee sign and date the checklist.

3030.83 Specific District-wide Training

- A) First Aid, CPR, and/or Bloodborne Pathogen Training
1. Designated employees receive first-aid training in accordance with the Cal-OSHA requirement that there is always at least one person available to provide first aid.
 2. Some locations require all employees to be trained due to the small number of employees at the work site.
 3. Based upon available time, the Twain Harte CSD may also provide CPR training.
 4. Based upon potential exposures, bloodborne pathogen training may also be given.
- B) Emergency Preparedness
- This training includes the District's Emergency Action Plan structure and how each employee fits into that structure, i.e., what the employee is expected to do under specific circumstances such as fire, earthquake, medical emergency and bomb threat.
- C) Defensive Driver Driving
- Besides discussions on defensive driving that are part of regular

safety training meetings, the District strives to provide at least one formal defensive driving course every four years for those employees who drive District vehicles and/or their private vehicles on District business.

D) Ergonomics

Management provides ergonomic training to those employees who have to complete tasks that involve lifting, pushing, pulling and/or repetitive motion. At a minimum, employees receive training on proper lifting techniques, and if necessary, computer workstation set up.

3030.84 Retraining

- A) Reasons for retraining include change of job assignment, change of operations or materials, observation of poor work habits, or update of training methods. Managers/supervisors/IIPP Administrator perform retraining:
1. When an existing employee changes job functions.
 2. On at least an annual basis as a refresher program.
- B) Such training includes a review of those topics covered in the new employee orientation, other general workplace safety issues, job-specific hazards and/or hazardous materials, as applicable. All retraining is documented on the *New Employee Meeting & Training Report Form*.

3030.85 Specialized Training

- A) Managers and supervisors are trained in their responsibilities for the safety and health of their employees. Such training includes both safety management and technical subjects.
- B) Managers and supervisors are also trained in the hazards and risks faced by the employees under their immediate direction.
- C) Managers/Supervisors/IIPP Administrator:
1. Determine safety-training needs.
 2. Implement new training programs.
 3. Evaluate the effectiveness of these programs.
- D) In addition, training is provided whenever:
1. New substances, processes, procedures or equipment pose a new hazard and there is a lack of skill or knowledge to deal

with the situation.

2. Management, supervision, or the IIPP Administrator becomes aware of a previously unrecognized hazard and there is a lack of skill or knowledge to deal with the hazard.
-
- E) All employees delivering or supervising live fire training at District facilities shall be in compliance with State Fire Training Instructor Standards and in compliance with National Fire Protection Association (NFPA) 1403.
 - F) All fire, water and sewer personnel shall be trained to use the extractor decontamination machine and shall comply with all sections of the Exposure Control Plan.

3030.90 Emergency Response Guidelines for Hostile or Violent Incidents

3030.91 Purpose of the Policy

To provide direction for the District Board of Directors and staff regarding responses to hostile or violent incidents, including possible armed intruders or related threats on District facilities or properties.

3030.92 Background

The potential for hostile or violent incidents on District facilities or operational locations always exists. In recent timeframes, incidents involving armed intruders have occurred with increasing frequency involving injuries and deaths at government institutions, offices and educational facilities. Often, an intruder is a person who is an ex-employee, customer or person known to the agency involved. The person often is upset at an event or person who works at the facility. However, armed intruders can be any variety of persons who have an anger situation affecting one or more staff members or other related persons to the District. Often, incidents involving armed intruders escalate to include multiple persons and potentially taking of hostages, including District customers. Threats of these types and risks are to be considered extreme emergencies and the safety and well-being of employees and/or customers is the highest priority.

3030.93 Response to an Incident

Any evidence of the exposure to a hostile or violent person or situation on District facilities or operating areas should be taken seriously for safety purposes. Any Director or staff employee observing or sensing that a violent or hostile situation is occurring, should consider taking precautionary and safety actions:

Any event resulting in awareness of a possible violent act, including possible gunfire, explosion, fighting, scuffling, could indicate an incident of violent

potential. Any staff person observing such potential activities should take steps to protect themselves and others in the District premises including but not limited to:

- A) Attempt to communicate the situation to everyone in the facility by means of telephone, paging, email and/or radio system, including basic information that a potential incident is occurring. If a perpetrator(s) is seen or known, information on the person(s) should be provided.
- B) Since different types and levels of workplace violence may require various responses, establishing basis information on the type of event is essential. Examples are:
 - 1. Gunfire - Awareness of gunfire in the facility should result in evacuation to the extent that is possible. If not possible, securing of rooms or offices and notification to others by phone or email is encouraged. Calling emergency resources via 911 is imperative, once safe to call. Remain in the most secure location possible until contacted by public safety personnel or a facility supervisor, etc.
 - 2. Explosion – An explosion could occur naturally or by violent intention. Awareness of an explosion or fire in the facility should result in immediate evacuation, in accordance with established procedures for fire. Response to a planned location is important to make known who is out of the facility.
 - 3. Physical or Bomb Threat – Awareness of a telephone or in person threat to facility or staff should be met with action to evacuate and clear staff from the threatened area. Calling 911 as soon as possible is imperative.
 - 4. Situations Involving Hostages – If a possible hostage incident is known, evacuation of the facility is paramount to safety of persons in the area. Contact 911 immediately.
 - 5. Irate Customer/Threat at Counter or Meeting – In cases where any person acts to threaten a staff person or customer at a District facility in a manner causing fear for safety, action to summon public safety personnel by 911 should be taken. In no way should steps be taken to challenge or subdue such a person, except in defense of life of self or immediate others at facility.
 - 6. In the event that a volatile situation occurs at a Board of Directors or other public meeting, the person chairing/hosting the meeting should take steps to control the situation or adjourn the meeting to abate the confrontation, if possible. In the event of a threatening or hostile situation, call 911 immediately and proceed with evacuation or other appropriate

actions.

3030.94.1 Planning for Emergency Incidents

Steps should be taken to plan response capabilities for emergencies in addition to fires, earthquakes, etc. that may involve hostile situations. These include but are not limited to:

- A) Preparation of a facility evacuation plan from each room. Post the plan at each doorway and hallway exit. Have a safe area zone for staging established.
- B) Lock down procedures to secure the facility in a hostile or violent incident for both exterior and interior doors.
- C) Develop an emergency notice code for intercom, email and radio to facility and District staff. Use of a code is recommended.
- D) Develop a radio communication alert code to notify other District staff so they will not return to the facility during the incident until cleared to do so by public safety personnel.
- E) Training of all personnel in dealing with customers, employees and other persons in aggravated situations and how to identify and assess potential threats or volatile situations. All employees assigned or expected to serve at the front desk or counter shall receive such training regularly.

All employees and members of the Board of Directors shall receive training on response to violent or hostile incidents. In the event of a potential incident, notify a supervisor or the General Manager, as is possible, or call 911 when an active incident is occurring. If assessment of a possible threat is needed, the General Manager or ranking staff person shall be notified for considering validity of the threat or safety risk. Public safety agency shall be contacted by 911 whenever a perceived threat is considered valid.

3030.95 Actions for Violent or Armed Threat Situation

The existence or potential for an event involving a violent person or armed intruder at a District facility should be considered an emergency condition. Actions could include up to and all of:

- A) Notify your supervisor or General Manager and other staff immediately if a threat is received but not actively in process. If validated, contact public safety by calling 911 immediately.
- B) The General Manager or ranking staff member shall evaluate the situation and consider appropriate actions, including shutting down operations and evacuation and/or locking down the facility until public safety response abates the threat.
- C) Initiate notification to other facility staff of active threat by emergency code procedure. Evacuate the facility wherever possible. Secure

money or computer equipment if time allows.

- D) Activate an alarm for notifying other staff or an alarm company if one is engaged by the District. A call contact would be included in procedure to double check for safety at the facility.
- E) Upon sighting an armed intruder, an alert to all employees should be made by page, email or radio.
- F) Secure your work area or evacuate, if safely possible. If not able to evacuate, find a safe hiding place and stay put until contacted by public safety personnel.
- G) Once outdoors after an evacuation, proceed to planned staging area to report in for identification. Inform public safety personnel of any information on the incident.
- H) Attempt to remain calm and assist others; wait for instructions from public safety or supervisory personnel.
- I) Do not attempt to look around to see what is happening. Evacuate whenever possible and with others in areas you see directly. Do not confront or attempt to apprehend a violent perpetrator unless directly attacked for self-defense. Do not assume someone already called 911; call them immediately.

3030.96 Post Event Actions

Following the clear announcement of ending of a violent or hostile person situation, contact public safety or supervisory personnel for instructions. Report any knowledge or firsthand observations of the incident. Contact your family and immediate friends so they will not take any actions to respond unnecessarily. Await direction as to return to work or other steps, dependent on level of the incident. If not able to do so, consult with your supervisor or notify the ranking person on-site.

An Emergency Response Coordinator shall evaluate and debrief any major incident to take needed steps to abate the conditions after the event and prepare as necessary for continued operations. Planning and actions to address conditions are expected and your input is important via your supervisor. There may be the potential to lock-down or close the facility for some time or corrective steps. If deemed needed, seek direction on what actions you should take to assist in procedure.

3030.100 Documentation, Plans and Records

3030.101 Documentation Forms and Plans

In addition to this IIPP, the following shall be maintained by the District to provide consistent document of IIPP implementation and to supplement the safety measures set forth herein:

- A) Documentation Forms: The following IIPP forms shall be used to

document implementation of the IIPP. The IIPP Administrator is authorized to revise these forms or add forms to better document IIPP implementation or fit the District's operations. Revision or addition of forms shall not require Policy revision or Board action.

1. Acknowledgement of Receipt of the General Code of Safe Practices
2. Acknowledgement of Receipt of the Injury & Illness Prevention Program
3. Employee Meeting & Training Report Form
4. Identified Problem Report
5. Investigation Report
6. New Employee Safety Orientation Checklist
7. Safety Inspection Form/Action Plan

B) Plans: The following plans shall be created and maintained to supplement the safety requirements of this IIPP. The IIPP Administrator is authorized to revise these plans or add plans to improve safety or fit the District's operations. Revision or addition of plans shall not require Policy revision or Board action.

1. Respiratory Protection Plan
2. Exposure Control Plan
3. Hazard Communication Program
4. Emergency Action Plan
5. Fire Prevention Plan
6. Code of Safe Practices

3030.102 Record Keeping Summary

In coordination with other management, the IIPP Administrator is responsible for maintaining all documentation relating to the implementation of the IIPP. For the purpose of displaying a tracking history of occupational safety and health programs and activities, all documents are maintained in accordance with the District's Records Retention Policy.

TWAIN HARTE COMMUNITY SERVICES DISTRICT
Policy and Procedure Manual

POLICY TITLE: Records Retention & Destruction
POLICY NUMBER: 3100
ADOPTED: November 10, 2011
AMENDED: May 12, 2021

3100.10 PURPOSE

The purpose of this policy is to provide staff guidance regarding the retention or disposal of Twain Harte Community Services District (District) records; provide for the identification, maintenance, safeguarding and disposal of records in the normal course of business; ensure prompt and accurate retrieval of records; and ensure compliance with legal and regulatory requirements.

3100.20 AUTHORITY

This policy and schedule govern the retention and disposal of District records pursuant to the provisions of California Government Code §61061(c) and §60200 – §60203.

The General Manager is authorized by the District Board of Directors to interpret and implement this policy, and to cause to be destroyed any or all such records, papers and documents that meet the qualifications governing the retention and disposal of records, specified herein.

3100.30 DEFINITIONS

1. **LIFE:** The inclusive or operational or valid dates of a document. Signified by an "L" in the Records Retention Schedule (Appendix A).
2. **PERMANENT:** The requirement to keep a record indefinitely without destroying it. Signified by a "P" in the Records Retention Schedule (Appendix A).
3. **RECORD:** Any paper, bound book or booklet, card, photograph, drawing, chart, blueprint, map, tape, microfilm, or other document (regardless of physical form or characteristics) produced, received, owned or used by the District in the conduct of its operations. See California Government Code §6252(g) for more information.
4. **RECORDS RETENTION SCHEDULE:** The consolidated, approved schedule and/or list of all District records which timetables the life and disposal of all records. Included in this policy as Appendix A.

5. **RETENTION PERIOD:** The length of time a record is required to be kept by the District without being destroyed, expressed in years. Unless specified otherwise, the retention period begins when a document is approved, complete or received in its final form. Finance record retention periods begin at the end of the fiscal year in which records were created.

3100.40 NON-RECORDS

The following are not considered records and may be destroyed at any time without authorization of the Board or General Manager and without copying to photographic or electronic media:

1. Duplicates.
2. Preliminary drafts, worksheets, internal notes not necessary as verification on the completed draft.
3. Intra-agency memoranda which are not retained by the District in the ordinary course of business.
4. Telephone messages, shorthand notes, steno tapes, other temporary mechanical recordings.
5. Letters of transmittal or form letters which require no follow-up action.
6. Routine acknowledgements, answers to inquiries.
7. Advertising Literature, circulars, 3rd class mail.
8. Superseded or outdated publications, forms, directories, etc.
9. Notes of appreciation, congratulations, etc.
10. Announcements, bulletin board notices.

3100.50 RECORDS RETENTION REQUIREMENTS

3100.51 Records Retention Schedule: Appendix A contains the District's Records Retention Schedule, which provides minimum time periods for retaining categories of District records. Indefinite retention periods (periods not labeled "Permanent") are based on any minimum retention requirements established by law and the maximum period of time the District deems each type of record could reasonably affect any interest of the District or public.

3100.52 Records not Listed: Originals of records, papers and documents that do not fall under one of the records categories in the Records Retention Schedule and were prepared or received in any manner other than pursuant to State or Federal statute shall be retained for a minimum of two (2) years prior to destruction.

3100.53 E-mail Retention: The District's electronic mail ("e-mail") system is intended as a medium of temporary communication only and should not be used to store or maintain correspondence and other documentation considered to be public records per the California Public Records Act (Gov. Code § 6250-6276.48).

However, some e-mails and/or their attachments may be considered public records. The following retention requirements apply to District e-mails:

1. E-mails as Public Records: “Public records” include any writing containing information relating to the conduct of District business prepared, owned, used or retained by the District regardless of physical form or characteristics. If an e-mail (including attachments) meets the definition of a public record, it must be retained in accordance with the retention periods specified in this policy and the Records Retention Schedule (Appendix A), based on type of record.
2. E-mails as Non-Records: E-mails that can be considered non-records (see Section 3100.40) are not required to be retained. Employees are encouraged to delete documents which are not otherwise required to be kept by law or whose preservation is not necessary or convenient to the discharge of duties or the conduct of the District’s business. Examples of e-mail messages that are generally not considered public records may include:
 - Personal messages not related to official District business.
 - Messages with attached copies or extracts of documents distributed for convenience or reference (with the original documents being preserved according to the District’s Records Retention Policy).
 - Messages that are essentially cover notes or distribution slips.
3. Responsibility for E-Mail Retention: Generally, the District employee who sends or receives an e-mail that qualifies as a public record should be the person responsible for preserving that e-mail. Employees responsible for a particular program or project file shall also be responsible for preserving all e-mail they send or receive related to that program or project. District employees may print and file hard copies of e-mail messages that must be retained. Employees may also save e-mail messages electronically, in electronic folders separate from their regular e-mail inboxes. All e-mail messages retained electronically must be easy to retrieve, view and print out.
4. Determination of Public Record: The General Manager or their designee will assist employees in determining whether an e-mail message is required to be retained and/or is necessary or convenient to the discharge of duties or the conduct of the District’s business.
5. Claims/Lawsuits: Any e-mail messages that relate to a claim or a potential claim against the District must be preserved. Likewise, any e-mail messages that may relate to a lawsuit filed against the District, even if a subpoena or court order for such e-mail messages has not yet been issued, must be preserved. The District has a duty to preserve any relevant data when there is even a hint of possible litigation.

6. Requests for E-mail Records: In the event a records request or subpoena is made for e-mail, the employees having control over such e-mail, once they become aware of the request or demand, shall use their best efforts, by any reasonable means available, to temporarily preserve any e-mail which is in existence until it is determined if such e-mail is subject to preservation, public inspection or disclosure.
7. Other Electronic Communication: For the purposes of this section, e-mail also includes messages sent through a wireless phone or other electronic device that ends up as e-mail or text message to or from any District employee as long as such message pertains to the District's business.

3100.60 RECORDS DESTRUCTION

3100.61 No Destruction of Records in Use: In no instances are records, papers, or documents to be destroyed where there is a continuing need for such records for such matters as pending litigation, special projects, etc.

3100.62 E-mail Destruction: The District's e-mail system will automatically delete all e-mail messages in employee's inboxes that are greater than (2) years old. E-mail messages saved in electronic folders as public records will not be deleted.

3100.63 Destruction of Records: Keeping numerous records after a certain period of time is not necessary for the effective and efficient operation of the District and does not provide any benefit to the interests of the District or public. Therefore, records, papers or documents **which are not expressly required by law** to be filed and preserved may be destroyed if **all** the following conditions are met:

1. The record's retention period has been met, pursuant to this policy and the Records Retention Schedule (Appendix A).
2. The District finds the category of records listed in the policy may be destroyed after specified retention periods because the record's destruction is not found to have an adverse effect on any interest of the District or of the public.
3. Records must be approved for destruction by the General Manager on a form authorizing said destruction. The form shall include a general inventory of the documents to be destroyed by category that reasonably identifies the information in the records destroyed.

3100.64 Destruction Timing: Approval and destruction of records is to occur on an annual basis or as necessary. Destruction of records shall be in a manner that does not compromise privacy or other confidential information.

Appendix A Records Retention Schedule

FILING SYSTEM COLOR CODE KEY	
COLOR CODE	RETENTION PERIOD
GREEN	3
YELLOW	5
ORANGE	7
RED	10
PURPLE	P (Permanent)
PINK	L (Life)

Record	ADMINISTRATION	
	Retention Period	Description/Examples
Agreements		
Agreements	P	Not Capital Improvement ¹ MOU's Contracts
Board of Directors		
Board Meeting Materials	3	Agendas, Board Packets ²
Board Legal Documents	7	Election Materials/Results ³ Ethics Training/Certificate ⁴ Form 700 ⁵ Oaths of Office ⁶
Minutes	P	⁷
Resolutions and Ordinances*	P	*If the resolution or ordinance has been repealed, it may be destroyed or disposed 5 years after it was repealed. ⁸
Policies	P	*If the policy has been repealed, it may be destroyed or disposed 5 years after it was repealed. ⁹
Capital Improvement Projects		
Final Project Documents	P	Bid Docs/Results Agreements/Contracts Design Drawings (Originals) Permits CEQA Surveys ¹⁰
Unaccepted Bids/Proposals	3	¹¹
Correspondence		
Correspondence	3	Support Letters Agency Correspondence ¹²

Customer Files		
Customer Files	P	Incode Files Liens and Releases Work Orders Water/Sewer Hook Up Forms ¹³
District Documents		
District Documents	P	District Formation Documents District Reorganization/Changes Boundaries LAFCO Documents ¹⁴
District Insurance		
Claims	3	Damage Claims Against the District
Policy Documents	10	Property/Liability Insurance
Reports	10	Accident, Incident Reports ¹⁵
District Property – ‘Real Property’		
Agreements	P	Agreements, Contracts, Leases ¹⁶
Surveys	P	District Boundaries Property Surveys Survey Maps ¹⁷
Real Property Interests Documentation	P	Annexations Detachments Grant Deeds Easements Encroachments ¹⁸
Grants		
Unsuccessful Grants	3	
Successful Grants*	P	*Refer to funding agreement for required documents.
Legal		
Litigation*	L+2	*Any pending claim or litigation or any settlement other than a disposition of litigation. ¹⁹
Legal Counsel/Opinion	3	²⁰
Operating Procedures		
Operating Procedures	L+3	SOP's, SOG's ²¹
Records Management		
Filing Structure/Inventory	L	
Public Records Request	3	²²
Records Destruction	P	Destruction approval/inventory form
Vehicle & Equipment Maintenance		
Vehicle & Equipment Maintenance	L	Title / Registration Inspection/Maintenance Records ²³

Record	FINANCE	
	Retention Period	Description/Examples
Accounting Records		
Accounting Records	10	Accounts Payable/ Receivable ²⁴ Annual Financial Reports Audit (Working Files) ²⁵ Billing Reports ²⁶ Bills/Invoices ²⁷ Cash Receipts Depreciation Schedule Fuel Logs Ledgers / Journals Petty Cash Purchase Orders Sales Tax Report
Banking		
Banking	10	Deposits ²⁸ Reconciliation ²⁹ Statements (With copies of checks) Checks, Stubs ³⁰
Cost of Services/Financing		
Cost of Services/Financing	P	Rates and Charges / Prop 218 Documents Taxes/Fees Assessments Bonds Loans ³¹
Final Audit Report		
Final Audit Report	P	
Final Budget		
Final Budget	P	Operating/Capital Improvement Budget Salary Schedule ³²
Payroll		
Federal/State Reports	10	W-2's, W-4's, 1099's Quarterly & Year End Reports ³³
Reports	10	Direct Deposit Workers Comp Retirement – CalPERS / 457 Overtime Vacation, CTO, Sick Leave ³⁴
Additional Payroll Documents	10	Deductions ³⁵ Registers ³⁶ Timesheets ³⁷ Garnishments ³⁸

Record	PERSONNEL	
	Retention Period	Description/Examples
Employee Records		
Resumes/Job Applications	3	Non-successful candidates ³⁹
Employee Training Records	L+3	⁴⁰
Personnel Files	L+3	Training Certifications Performance Evaluations Employment Apps, Resumes Tests, Changes Terminations Medical Leave DMV Pull Notices/Reports Disciplinary Actions ⁴¹
Human Resources		
Employee Programs	3	EAP Recognition ⁴²
Job Descriptions	L+3	⁴³
CA & Federal Employment Notices	5	
Insurance		
Employee Benefits	7	Benefit Plans Health Insurance Programs COBRA ⁴⁴
Union		
Employee Rights	3	Grievances Sexual harassment Civil rights
Agreements	P	MOU
Correspondence	3	
Workers Compensation Claims		
Workers Compensation Claims	P	⁴⁵

Record	OPERATIONS	
	Retention Period	Description/Examples
As Built and Facility Drawings		
As Built and Facility Drawings	P	
Operations/Maintenance Records		
Operational	10	SWTP/Well Records Lift Station Pumping ⁴⁶
Maintenance	10	Manhole Inspections Sewer Line Cleaning Pump Maintenance ⁴⁷
Regulatory/Compliance		
Permits	P	Water Supply Permit Permit to Operate OSHA State Health Permit Compressor Permit ⁴⁸
Water Testing Analysis	P	
Reports – Regulatory Inspection	P	Hazardous Waste Inspections
Reports – Regulatory Compliance	3	Backflow SSO's CCR Annual Report
Inspection Reports	10	FERC Facility DWR/CDPH County OSHA
Operation Plans	P	ERP SSMP BSSP SWTP/GW OP

Record	FIRE	
	Retention Period	Description/Examples
Emergency Management & Response		
Emergency Planning	L+3	Mutual Aid Plans Response Plans Evacuation Plans Business Pre-Plans
Incidents	3	Mutual Aid Incidents Strike Team Patient Care Records Reports - Dispatch & Incident ⁴⁹
Fire Safety		
Business Pre Plans	L+3	
Fire Codes & Manuals	L+3	⁵⁰
Inspections / Citations	L+3	Building, Business, Vacant Lots ⁵¹
Investigations	P	
Plans	L+3	Fire Alarm, Sprinkler
ISO Ratings	L+3	
Operations		
Daily Station Logs	P	Activities, Engine Company
Inventory & Supplies	L	⁵²
Operational Logs/Journals	3	Pass-down logs Training logs ⁵³
Permits	L+3	Confined Space Other Permits
Volunteer Programs		
Volunteer Programs	L+3	CERT Intern Programs Reserve Programs Operational Support Unit

FOOTNOTES

ADMINISTRATION

¹ CCP 337

CCP 337.2

CCP 343

² GC 34090

GC 34090.5

³ GC 53235.2

⁴ GC 81009b, 81009g

⁵ GC 81009e

GC 81009b

⁶ GC 34090

29 USC 1113

⁷ GC 34090

GC 40801

⁸ GC 34090d

GC 40806

GC 40801

GC 60201

⁹ GC 34090d

GC 40806

GC 40801

GC 60201

¹⁰ GC 34090

CCP 337.15

¹¹ GC 60201(d)(11)

¹² GC 34090d

¹³ GC 34090

¹⁴ GC 34090

¹⁵ 29 CFR 1904.2 29 CFR 1904.6

¹⁶ CCP 337.15

¹⁷ GC 34090

¹⁸ GC 34090a

¹⁹ GC 34090

GC 60201

²⁰ GC34090

²¹ GC 34090

²² GC 34090

GC 60201

²³ VC 9900 et seq.

FINANCE

²⁴ GC 34090.7

²⁵ GC 34090

CCP 337

CCP 343

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- 26 GC 34090
 - 27 GC 34090

 - 28 GC 34090
 CCP 337
 - 29 GC 34090
 26 CFR 16001-1
 - 30 GC 34090
 CCP 337
 - 31 GC 34090
 - 32 GC 34090
 - 33 29 USC 436; 26 CFR 31.6001-4;
 R & TC 19530; R & TC 19704; 26 USC 6001
 - 34 GC 60201
 - 35 GC 34090; CAC 22-1085-2; 29 CFR 516.6c
 - 36 GC 34090; GC 37207; 29 CFR 516.5a, LC 1174d
 - 37 GC 34090; 29 CFR 516.2; LC 1174d
 - 38 CCP 337

PERSONNEL

- 39 29 CFR 1627.3
- 40 GC 12946
 GC 34090
- 41 GC 12946; 29 CFR 1627.3
- 42 GC 34090
 GC 12946
- 43 29 CFR 1627.3
- 44 29 USC 1027; 11 CCR 560; 29 CCR 1300.85.1; 29 CFR 1627.3(b)(2)
- 45 Insurance- GC 6410; 29 CFR 1910.20
Claims- CCR 14311; 15400.2, CA Labor Code 110-139.6

OPERATIONS

- 46 GC 34090
- 47 GC 34090
- 47 GC 34090

FIRE

- 49 GC 34090; CCP 338
- 50 GC 34090
 CCP 340.5
- 51 UFC 103.34
- 52 GC 34090
- 53 GC 34090

TWAIN HARTE COMMUNITY SERVICES DISTRICT
Policy and Procedure Manual

POLICY TITLE: Records Retention & Destruction
POLICY NUMBER: 3100
ADOPTED: November 10, 2011
AMENDED: 5/12/2021
LAST AMENDED: May 12, 2021

3100.10 PURPOSE

The purpose of this policy is to provide staff guidance regarding the retention or disposal of Twain Harte Community Services District (District) records; provide for the identification, maintenance, safeguarding and disposal of records in the normal course of business; ensure prompt and accurate retrieval of records; and ensure compliance with legal and regulatory requirements.

3100.20 AUTHORITY

This policy and schedule govern the retention and disposal of District records pursuant to the provisions of California Government Code §61061(c) and §60200 – §60203.

The General Manager is authorized by the District Board of Directors to interpret and implement this policy, and to cause to be destroyed any or all such records, papers and documents that meet the qualifications governing the retention and disposal of records, specified herein.

3100.30 DEFINITIONS

1. **LIFE**: The inclusive or operational or valid dates of a document. Signified by an “L” in the Records Retention Schedule (Appendix A).
2. **PERMANENT**: The requirement to keep a record indefinitely without destroying it. Signified by a “P” in the Records Retention Schedule (Appendix A).
3. **RECORD**: Any paper, bound book or booklet, card, photograph, drawing, chart, blueprint, map, tape, microfilm, or other document (regardless of physical form or characteristics) produced, received, owned or used by the District in the conduct of its operations. See California Government Code §6252(g) for more information.
4. **RECORDS RETENTION SCHEDULE**: The consolidated, approved schedule and/or list of all District records which timetables the life and disposal of all records. Included in this policy as Appendix A.

5. **RETENTION PERIOD:** The length of time a record is required to be kept by the District without being destroyed, expressed in years. Unless specified otherwise, the retention period begins when a document is approved, complete or received in its final form. Finance record retention periods begin at the end of the fiscal year in which records were created.

3100.40 NON-RECORDS

The following are not considered records and may be destroyed at any time without authorization of the Board or General Manager and without copying to photographic or electronic media:

1. Duplicates.
2. Preliminary drafts, worksheets, internal notes not necessary as verification on the completed draft.
3. Intra-agency memoranda which are not retained by the District in the ordinary course of business.
4. Telephone messages, shorthand notes, steno tapes, other temporary mechanical recordings.
5. Letters of transmittal or form letters which require no follow-up action.
6. Routine acknowledgements, answers to inquiries.
7. Advertising Literature, circulars, 3rd class mail.
8. Superseded or outdated publications, forms, directories, etc.
9. Notes of appreciation, congratulations, etc.
10. Announcements, bulletin board notices.

3100.50 RECORDS RETENTION REQUIREMENTS

3100.51 Records Retention Schedule: Appendix A contains the District's Records Retention Schedule, which provides minimum time periods for retaining categories of District records. Indefinite retention periods (periods not labeled "Permanent") are based on any minimum retention requirements established by law and the maximum period of time the District deems each type of record could reasonably affect any interest of the District or public.

3100.52 Records not Listed: Originals of records, papers and documents that do not fall under one of the records categories in the Records Retention Schedule and were prepared or received in any manner other than pursuant to State or Federal statute shall be retained for a minimum of two (2) years prior to destruction.

3100.53 E-mail Retention: The District's electronic mail ("e-mail") system is intended as a medium of temporary communication only and should not be used to store or maintain correspondence and other documentation considered to be public records per the California Public Records Act (Gov. Code § 6250-6276.48).

However, some e-mails and/or their attachments may be considered public records. The following retention requirements apply to District e-mails:

1. E-mails as Public Records: "Public records" include any writing containing information relating to the conduct of District business prepared, owned, used or retained by the District regardless of physical form or characteristics. If an e-mail (including attachments) meets the definition of a public record, it must be retained in accordance with the retention periods specified in this policy and the Records Retention Schedule (Appendix A), based on type of record.
2. E-mails as Non-Records: E-mails that can be considered non-records (see Section 3100.40) are not required to be retained. Employees are encouraged to delete documents which are not otherwise required to be kept by law or whose preservation is not necessary or convenient to the discharge of duties or the conduct of the District's business. Examples of e-mail messages that are generally not considered public records may include:
 - Personal messages not related to official District business.
 - Messages with attached copies or extracts of documents distributed for convenience or reference (with the original documents being preserved according to the District's Records Retention Policy).
 - Messages that are essentially cover notes or distribution slips.
3. Responsibility for E-Mail Retention: Generally, the District employee who sends or receives an e-mail that qualifies as a public record should be the person responsible for preserving that e-mail. Employees responsible for a particular program or project file shall also be responsible for preserving all e-mail they send or receive related to that program or project. District employees may print and file hard copies of e-mail messages that must be retained. Employees may also save e-mail messages electronically, in electronic folders separate from their regular e-mail inboxes. All e-mail messages retained electronically must be easy to retrieve, view and print out.
4. Determination of Public Record: The General Manager or their designee will assist employees in determining whether an e-mail message is required to be retained and/or is necessary or convenient to the discharge of duties or the conduct of the District's business.
5. Claims/Lawsuits: Any e-mail messages that relate to a claim or a potential claim against the District must be preserved. Likewise, any e-mail messages that may relate to a lawsuit filed against the District, even if a subpoena or court order for such e-mail messages has not yet been issued, must be preserved. The District has a duty to preserve any relevant data when there is even a hint of possible litigation.

6. Requests for E-mail Records: In the event a records request or subpoena is made for e-mail, the employees having control over such e-mail, once they become aware of the request or demand, shall use their best efforts, by any reasonable means available, to temporarily preserve any e-mail which is in existence until it is determined if such e-mail is subject to preservation, public inspection or disclosure.
7. Other Electronic Communication: For the purposes of this section, e-mail also includes messages sent through a wireless phone or other electronic device that ends up as e-mail or text message to or from any District employee as long as such message pertains to the District's business.

3100.60 RECORDS DESTRUCTION

3100.61 No Destruction of Records in Use: In no instances are records, papers, or documents to be destroyed where there is a continuing need for such records for such matters as pending litigation, special projects, etc.

3100.62 E-mail Destruction: The District's e-mail system will automatically delete all e-mail messages in employee's inboxes that are greater than (2) years old. E-mail messages saved in electronic folders as public records will not be deleted.

3100.63 Destruction of Records: Keeping numerous records after a certain period of time is not necessary for the effective and efficient operation of the District and does not provide any benefit to the interests of the District or public. Therefore, records, papers or documents **which are not expressly required by law** to be filed and preserved may be destroyed if **all** the following conditions are met:

1. The record's retention period has been met, pursuant to this policy and the Records Retention Schedule (Appendix A).
2. The District finds the category of records listed in the policy may be destroyed after specified retention periods because the record's destruction is not found to have an adverse effect on any interest of the District or of the public.
3. Records must be approved for destruction by the General Manager on a form authorizing said destruction. The form shall include a general inventory of the documents to be destroyed by category that reasonably identifies the information in the records destroyed.

3100.64 Destruction Timing: Approval and destruction of records is to occur on an annual basis or as necessary. Destruction of records shall be in a manner that does not compromise privacy or other confidential information.

Appendix A Records Retention Schedule

FILING SYSTEM COLOR CODE KEY	
COLOR CODE	RETENTION PERIOD
GREEN	3
YELLOW	5
ORANGE	7
RED	10
PURPLE	P (Permanent)
PINK	L (Life)

Record	ADMINISTRATION	
	Retention Period	Description/Examples
Agreements		
Agreements	P	Not Capital Improvement ¹ MOU's Contracts
Board of Directors		
Board Meeting Materials	3	Agendas, Board Packets ²
Board Legal Documents	7	Election Materials/Results ³ Ethics Training/Certificate ⁴ Form 700 ⁵ Oaths of Office ⁶
Minutes	P	⁷
Resolutions and Ordinances*	P	*If the resolution or ordinance has been repealed, it may be destroyed or disposed 5 years after it was repealed. ⁸
Policies	P	*If the policy has been repealed, it may be destroyed or disposed 5 years after it was repealed. ⁹
Capital Improvement Projects		
Final Project Documents	P	Bid Docs/Results Agreements/Contracts Design Drawings (Originals) Permits CEQA Surveys ¹⁰
Unaccepted Bids/Proposals	3	¹¹
Correspondence		
Correspondence	3	Support Letters Agency Correspondence ¹²

Customer Files		
Customer Files	P	Incode Files Liens and Releases Work Orders Water/Sewer Hook Up Forms ¹³
District Documents		
District Documents	P	District Formation Documents District Reorganization/Changes Boundaries LAFCO Documents ¹⁴
District Insurance		
Claims	3	Damage Claims Against the District
Policy Documents	10	Property/Liability Insurance
Reports	10	Accident, Incident Reports ¹⁵
District Property – ‘Real Property’		
Agreements	P	Agreements, Contracts, Leases ¹⁶
Surveys	P	District Boundaries Property Surveys Survey Maps ¹⁷
Real Property Interests Documentation	P	Annexations Detachments Grant Deeds Easements Encroachments ¹⁸
Grants		
Unsuccessful Grants	3	
Successful Grants*	P	*Refer to funding agreement for required documents.
Legal		
Litigation*	L+2	*Any pending claim or litigation or any settlement other than a disposition of litigation. ¹⁹
Legal Counsel/Opinion	3	²⁰
Operating Procedures		
Operating Procedures	L+3	SOP's, SOG's ²¹
Records Management		
Filing Structure/Inventory	L	
Public Records Request	3	²²
Records Destruction	P	Destruction approval/inventory form
Vehicle & Equipment Maintenance		
Vehicle & Equipment Maintenance	L	Title / Registration Inspection/Maintenance Records ²³

Record	FINANCE	
	Retention Period	Description/Examples
Accounting Records		
Accounting Records	10	Accounts Payable/ Receivable ²⁴ Annual Financial Reports Audit (Working Files) ²⁵ Billing Reports ²⁶ Bills/Invoices ²⁷ Cash Receipts Depreciation Schedule Fuel Logs Ledgers / Journals Petty Cash Purchase Orders Sales Tax Report
Banking		
Banking	10	Deposits ²⁸ Reconciliation ²⁹ Statements (With copies of checks) Checks, Stubs ³⁰
Cost of Services/Financing		
Cost of Services/Financing	P	Rates and Charges / Prop 218 Documents Taxes/Fees Assessments Bonds Loans ³¹
Final Audit Report		
Final Audit Report	P	
Final Budget		
Final Budget	P	Operating/Capital Improvement Budget Salary Schedule ³²
Payroll		
Federal/State Reports	10	W-2's, W-4's, 1099's Quarterly & Year End Reports ³³
Reports	10	Direct Deposit Workers Comp Retirement – CalPERS / 457 Overtime Vacation, CTO, Sick Leave ³⁴
Additional Payroll Documents	10	Deductions ³⁵ Registers ³⁶ Timesheets ³⁷ Garnishments ³⁸

Record	PERSONNEL	
	Retention Period	Description/Examples
Employee Records		
Resumes/Job Applications	3	Non-successful candidates ³⁹
Employee Training Records	L+ 5 3	⁴⁰
Personnel Files	L+ 5 3	Training Certifications Performance Evaluations Employment Apps, Resumes Tests, Changes Terminations Medical Leave DMV Pull Notices/Reports Disciplinary Actions ⁴¹
Human Resources		
Employee Programs	3	EAP Recognition ⁴²
Job Descriptions	L+3	⁴³
CA & Federal Employment Notices	5	
Insurance		
Employee Benefits	7	Benefit Plans Health Insurance Programs COBRA ⁴⁴
Union		
Employee Rights	3	Grievances Sexual harassment Civil rights
Agreements	P	MOU
Correspondence	3	
Workers Compensation Claims		
Workers Compensation Claims	P	⁴⁵

Record	OPERATIONS	
	Retention Period	Description/Examples
As Built and Facility Drawings		
As Built and Facility Drawings	P	
Operations/Maintenance Records		
Operational	10	SWTP/Well Records Lift Station Pumping ⁴⁶
Maintenance	10	Manhole Inspections Sewer Line Cleaning Pump Maintenance ⁴⁷
Regulatory/Compliance		
Permits	P	Water Supply Permit Permit to Operate OSHA State Health Permit Compressor Permit ⁴⁸
Water Testing Analysis	P	
Reports – Regulatory Inspection	P	Hazardous Waste Inspections
Reports – Regulatory Compliance	3	Backflow SSO's CCR Annual Report
Inspection Reports	10	FERC Facility DWR/CDPH County OSHA
Operation Plans	P	ERP SSMP BSSP SWTP/GW OP

Record	FIRE	
	Retention Period	Description/Examples
Emergency Management & Response		
Emergency Planning	L+3	Mutual Aid Plans Response Plans Evacuation Plans Business Pre-Plans
Incidents	3	Mutual Aid Incidents Strike Team Patient Care Records Reports - Dispatch & Incident ⁴⁹
Fire Safety		
Business Pre Plans	L+3	
Fire Codes & Manuals	L+3	⁵⁰
Inspections / Citations	L+3	Building, Business, Vacant Lots ⁵¹
Investigations	P	
Plans	L+3	Fire Alarm, Sprinkler
ISO Ratings	L+3	
Operations		
Daily Station Logs	P	Activities, Engine Company
Inventory & Supplies	L	⁵²
Operational Logs/Journals	3	Pass-down logs Training logs ⁵³
Permits	L+3	Confined Space Other Permits
Volunteer Programs		
Volunteer Programs	L+3	CERT Intern Programs Reserve Programs Operational Support Unit

FOOTNOTES

ADMINISTRATION

¹ CCP 337

CCP 337.2

CCP 343

² GC 34090

GC 34090.5

³ GC 53235.2

⁴ GC 81009b, 81009g

⁵ GC 81009e

GC 81009b

⁶ GC 34090

29 USC 1113

⁷ GC 34090

GC 40801

⁸ GC 34090d

GC 40806

GC 40801

GC 60201

⁹ GC 34090d

GC 40806

GC 40801

GC 60201

¹⁰ GC 34090

CCP 337.15

¹¹ GC 60201(d)(11)

¹² GC 34090d

¹³ GC 34090

¹⁴ GC 34090

¹⁵ 29 CFR 1904.2 29 CFR 1904.6

¹⁶ CCP 337.15

¹⁷ GC 34090

¹⁸ GC 34090a

¹⁹ GC 34090

GC 60201

²⁰ GC34090

²¹ GC 34090

²² GC 34090

GC 60201

²³ VC 9900 et seq.

FINANCE

²⁴ GC 34090.7

²⁵ GC 34090

CCP 337

CCP 343

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- 26 GC 34090
 - 27 GC 34090

 - 28 GC 34090
 CCP 337
 - 29 GC 34090
 26 CFR 16001-1
 - 30 GC 34090
 CCP 337
 - 31 GC 34090
 - 32 GC 34090
 - 33 29 USC 436; 26 CFR 31.6001-4;
 R & TC 19530; R & TC 19704; 26 USC 6001
 - 34 GC 60201
 - 35 GC 34090; CAC 22-1085-2; 29 CFR 516.6c
 - 36 GC 34090; GC 37207; 29 CFR 516.5a, LC 1174d
 - 37 GC 34090; 29 CFR 516.2; LC 1174d
 - 38 CCP 337

PERSONNEL

- 39 29 CFR 1627.3
- 40 GC 12946
 GC 34090
- 41 GC 12946; 29 CFR 1627.3
- 42 GC 34090
 GC 12946
- 43 29 CFR 1627.3
- 44 29 USC 1027; 11 CCR 560; 29 CCR 1300.85.1; 29 CFR 1627.3(b)(2)
- 45 Insurance- GC 6410; 29 CFR 1910.20
Claims- CCR 14311; 15400.2, CA Labor Code 110-139.6

OPERATIONS

- 46 GC 34090
- 47 GC 34090
- 47 GC 34090

FIRE

- 49 GC 34090; CCP 338
- 50 GC 34090
 CCP 340.5
- 51 UFC 103.34
- 52 GC 34090
- 53 GC 34090