



# Santa Clara Valley Water District

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**File No.:** 19-1224

**Agenda Date:** 2/11/2020

**Item No.:** 5.2.

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## BOARD AGENDA MEMORANDUM

### **SUBJECT:**

Adopt a Resolution Amending the District Records Retention Schedule.

### **RECOMMENDATION:**

Adopt the RESOLUTION AMENDING THE DISTRICT'S RECORDS RETENTION SCHEDULE.

### **SUMMARY:**

State law allows the legislative body of a special district to authorize destruction of records (Government Codes §60200, 60201). On April 11, 2006, the Board adopted a records retention schedule (Resolution No. 06-24) setting forth the periods for which District records should be retained to meet its operational needs and to comply with legal and other business requirements. The Records Retention Schedule covers District records in any media or format.

Periodically, the records retention schedule needs to be updated to match current organizational structure, legal requirements, and business purposes. Section 3 of Resolution No. 06 24 requires Board approval of subsequent revisions or updates to the schedule that increase or decrease the length of time a record is retained, or that are new record series added to the schedule that carry legal, fiscal, administrative, or historical requirements to the District or the public. Section 4 of Resolution No. 06-24 provides that other revisions, including changes to Office of Record or clarification to descriptions of record series, do not require further action by the Board.

Staff's recommended changes to the Records Retention Schedule are presented to the Board for consideration and approval under this agenda item.

### **PROPOSED CHANGES:**

The proposed changes to the retention schedule and the associated reasons are summarized below. In making these recommendations, staff have consulted the managers who serve as custodians of the record series and confirmed that the proposed revisions would meet the operational needs for their units. The proposed retention periods also would continue to comply with all applicable federal, state, and/or local recordkeeping requirements.

1. Transitioning Physical Records to Electronic Data Systems. The changes are proposed for twelve series in order to enable the District to transition from managing records in hardcopy formats (for



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which fixed period such as “5 years” would be appropriate) to digital data systems for which an “indefinite” retention period is appropriate in order to enable the relational systems to operate dynamically. The proposal is to manage all the following records under RS-0032 "Relational Databases, Enterprise Applications, and Electronic Document Management Systems (EDMS)." In cases where records are required for long term business purposes, the intention is to keep the records available for as long as needed. “Indefinite” does not mean that the District intends to dispose of these records in an ad hoc manner, but rather that it may need to migrate systems, update data tables, or make other changes to keep the content available as systems evolve. The intention in moving the majority of Watershed’s records into Maximo, the District’s asset management system, is to have one system of record in which to store and research a wide variety of Watershed’s records, and to gain the efficiencies of storing these items consistently.

*See Attachment 1, Proposed Changes, Physical to Electronic Transition.*

2. Similar Series to be Merged for Consistent Management of Files. Staff is also recommending that several series which are closely related be merged, in order to have consistent management of similar record types.

*See Attachment 2, Similar Series, to be Merged.*

3. Change periods for clarity. A recommendation is being made for three series that defined a retention period from the moment when a document is superseded. In some cases, documents in these series can also become obsolete without being replaced, for example, when a process is wholly discontinued. Staff recommends adjusting the retention periods for these series to permit us to count the retention period from the time a document is declared obsolete, regardless of whether it is replaced by a later version or not.

*See Attachment 3, Clarity Changes, Documents Not to be Superseded.*

The above proposed changes are incorporated in the revised Records Retention Schedule attached as Exhibit A to the Resolution (Attachment 4).

#### **FINANCIAL IMPACT:**

There are no additional costs to implement the amended Records Retention Schedule. Improved efficiency in managing records may reduce costs.

#### **CEQA:**

The recommended action does not constitute a project under CEQA because it does not have a potential for resulting in direct or reasonably foreseeable indirect physical change in the environment.



**ATTACHMENTS:**

Attachment 1: Proposed Changes, Physical to Electronic Transition

Attachment 2: Similar Series, to be Merged

Attachment 3: Clarity Changes, Documents Not to be Superseded

Attachment 4: Resolution and Records Retention Schedule

**UNCLASSIFIED MANAGER:**

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