

	DOCUMENT TYPE	Policy
	DOCUMENT NO.	C05
	ADOPTED	3/18/2022
	LAST UPDATED	TBD

SITES PROJECT AUTHORITY RECORDS MANAGEMENT POLICY

1. Purpose

The Records Management Policy establishes management, maintenance, and accessibility of records for the Sites Project Authority in compliance with the California Public Records Act.

2. Definitions

Requester: Refers to any individual requesting access to, inspection of, or copies of Sites Project Authority records.

Record: Has the same meaning as “public records” as defined in subdivision (e) of California Government Code Section §6252. Records are any writing containing information relating to the conduct of the public’s business prepared, owned, used, or retained by the agency regardless of physical form or characteristics.

3. Policy

Records Management

The Sites Project Authority retains records of the agency and effective retention and storage of records, management of records, and information collection practices by establishing and maintaining an active records management program while ensuring compliance with the Public Records Act.

Public Records

The Sites Project Authority provides public access to Sites Project Authority records upon request in compliance with the California Public Records Act.

The Sites Project Authority reserves all available exceptions to disclosure as provided under the Public Records Act

Consistent with applicable case law interpreting and applying the Public Records Act, new records will not be created to respond to requests.

4. Roles and Responsibilities

Sites Authority Board and Reservoir Committee Members

The Sites Project Authority does not create or maintain records on behalf of any participating agency. Members of the Sites governing boards are subject to compliance with this Records Management Policy.

Contracted Service Providers

Contracted service providers shall perform and maintain appropriate processes and systems to comply with the Public Records Act, the respective executed contract between the service provider and the Sites Project Authority, and this policy by making records generated in performing their work for the Sites Project Authority available as records of the agency upon request by the Authority.

Program Operations Manager

The Program Operations Manager shall be responsible to oversee the Sites Project Authority's records management activities and assure the Authority remains in full compliance with this policy at all times.

Requester

Requests must comply with Government Code §6253.1, to make an effective request for records. The Authority shall make reasonable efforts to assist the requester as needed to achieve compliance. A requester should include the following applicable information to ensure the scope of the request is clear enough for personnel to determine if the Sites Project Authority has the records being requested:

The subject of the record

- A clear, concise, and specific description of the record(s) being requested
- The date(s) of the record(s), or a time period for the request (e.g.: calendar year 2019)
- Full names for the individuals and/or agencies included in the request, including proper spelling
- Any additional information that helps identify the record(s) being requested
- Contact information for response to the request, preferably an email address
- Please make every effort to research the records being requested, prior to submitting a request. There is a vast amount of information, resources, and records available on the Sites Project Website, by utilizing the search tool, or browsing the topics related to the request.

Records Administrator

Under the supervision of the Program Operations Manager, the Records Administrator will administer an efficient records management procedure and response to public records requests procedure to manage the Authority’s records in compliance with this policy.

5. Process

Records will be retained and discarded in alignment with the attached Records Retention Schedule.

All public records requests will be reviewed by the Program Operations Manager, Records Administrator, and Legal Counsel as needed.

6. Reporting

The Reservoir Committee and Authority Board will receive an informational report of public records requests and notice of completion of responses.

7. Attachments:

Records Retention Schedule

8. Fee Schedule:

Requests for copies of records, for which fees are not otherwise set by law, shall be subject to the following fees:

First page	\$1.00
Each additional page	\$0.25
Front/Back copying	additional \$.10 per page
Copying on paper other than 8.5 x 11	actual cost
Color Copies	actual cost
Deposit required if estimated copying costs exceed	\$25.00

9. References

California Public Records Act ([Government Code Section 6250 et seq.](#))

Local Government Records Management Guidelines

Attachment: Records Retention Schedule

The Sites Project Authority Records Retention schedule is based on the 2021 California State Records Management Handbook and has been adapted for use by the Sites Project Authority.

Records Retention Schedule	
Records	Minimum Retention Period
Organizational Records	
Articles of incorporation	Permanent
Application for exempt status	Permanent
Bylaws	Permanent
Authority Board Adopted Policies and operating procedures	Permanent
Authority Board and Reservoir Committee meeting minutes	Permanent
Form 700	7 years Original/4 years Copies
Authority Board and Reservoir Committee meeting materials, including Public Agendas and Staff Reports	5 years
Authority Board and Reservoir Committee Meeting Recordings	1 day after the approval of the respective minutes
Correspondence	7 years
Other documents not defined	1 year
Accounting Records	
Chart of accounts	Permanent
Annual financial statements	Permanent
Annual audit reports	Permanent
General ledger	20 years
Monthly financial statements	6 years
Quarterly financial statements	6 years
Journal entries	6 years
Accounts payable ledger	6 years
Accounts receivable ledger	6 years
Expense records	6 years
Accounting procedures	6 years
All other accounting records	6 years

Invoices	6 years
Bank statements	3 years
Bank reconciliations	3 years
Canceled checks	3 years
Stop payment orders	3 years
Check signature authorizations	3 years
All other bank records	3 years
Tax Records	
Tax returns	Permanent
Form 990 and supporting documentation	Permanent
1099 forms	8 years
All other tax return records	6 years
Supporting documentation for taxes	4 years
Real Estate Records	
Escrow documents	3 years after close
Deeds	Permanent
Option Agreements	5 years after fulfillment or expiration of agreement
First Rights of Refusal Agreement	3 years after fulfillment or expiration of agreement
Purchase/Sale Agreements	Permanent
All other real estate records	3 years
Insurance Records	
Policies	Permanent
Claims	5 years
Legal Records	
Contracts and Agreements	Permanent
All other legal records (that do not fit into a defined category in this table)	10 years
Personal injury records	8 years
Leases	6 years after termination
Litigation claims	5 years following close of case
Court documents and records	5 years following close of case

Deposition transcripts	5 years following close of case
Discovery materials	5 years following close of case
Environmental and Permitting Records	
CEQA Administrative Record ¹	10 years after completion of the project activity
Permits and Supporting Documents	10 years after completion of project and mitigation actions, if any, required in the permit
Water Right and Supporting Documents	Permanent
Engineering Records	
Final reports and/or memoranda	Permanent
Final construction contract documents (including plans, specifications, cost estimates, and CAD/BIM files)	Permanent
Construction as-built documentation	Permanent
Records given/sent to any third party or government agency	10 years after close of project
Meeting minutes	10 years after close of project
Geotechnical samples/cores	10 years after close of project with consideration for permanent long-term storage of limited records
Temporary Project records	10 years after close of project
Technical Project Support Records	
Expert opinions	Permanent
Final reports	Permanent
Final technical and/or administrative memoranda	Permanent
Final data collection/analysis/modeling output supporting key deliverables	10 years after close of project
Documents given/sent to any third party or government agency	10 years after close of project

¹ Public Resources Code Section 21167.6 (e) provides a list of the types of documents that comprise an administrative record, included as Appendix B to the Records Management Procedure. It is the responsibility of the Authority, as lead agency to retain relevant records, many of which may be generated by consultants. If there is a CEQA challenge, legal counsel would ultimately be responsible for the selection of files to be included in the administrative record.

Meeting minutes, including meetings with committees and third parties	10 years after close of project
Proposals in response to Authority solicitations	2 years
Final Cost estimates	10 years after close of project
Correspondence, including emails, letters, text messages, handwritten telephone and meeting notes not further transcribed, written memoranda, to-do lists, report drafts, correspondence with member agencies	5 years after close of project