



# RECORDS MANAGEMENT PROCEDURE MANUAL


**MARCH 2022**



Adopted

March 23, 2022

Resolution OC SAN 22-XX

 <b>RECORDS MANAGEMENT POLICY &amp; PROCEDURE MANUAL</b>	Orange County Sanitation District	Procedure Number: 00
	<b>RECORDS MANAGEMENT POLICY &amp; PROCEDURE MANUAL</b>	Effective Date: <del>9/23/2020</del> xx-xx-xxxx
		Supersedes: <del>23/2020</del>
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**POLICY CONTACT:**

Clerk of the Board (Custodian of Records)


**REGULATORY REFERENCES:**

Resolution No. ~~OCSD 20-10~~OC SAN 21-XX

California Government Code §34090 (How Long Records are Held-Records Retention)


California Government Code §6250 (California Public Records Act)

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 <b>OC SAN</b> <small>ORANGE COUNTY SANITATION DISTRICT</small>	Orange County Sanitation District	Procedure Number: 00
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TO THE PUBLIC

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<b>SUBJECT: RECORDS MANAGEMENT PROGRAM POLICY</b>		Approved by: OC San Board of Directors

## 1.0 POLICY STATEMENT

1.1 The Board of Directors shall annually adopt a Resolution updating the Records Management Procedure Manual as presented by the Custodian of Records (Clerk of the Board). The Orange County Sanitation District (~~Sanitation District~~OC San) is committed to effective records management including but not limited to:


- A. Meeting legal requirements for records retention,
- B. Identifying and protecting all records,
- C. Managing record holds,
- D. Protecting privacy,
- E. Optimizing the use of space,
- F. Minimizing the cost of records retention,
- G. Providing open access to public records, and
- H. Disposing of outdated records properly.

## 2.0 PURPOSE

2.1 The purpose of the Records Management Program Policy is to establish a Records Management Program (the Program) that will develop a systematic method for managing the ~~Sanitation District~~OC San records. The Program ensures that all OC San ~~Sanitation District~~ records are created, received, maintained, and dispositioned in a cost-effective manner, in accordance with operating requirements for ~~Sanitation District~~OC San business and applicable statutes and regulations. Failure to follow the Records Management Program may result in excessive costs, litigation, loss of productivity, etc.

## 3.0 PROGRAM RESPONSIBILITY

3.1 Under the authority of ~~the Sanitation District's~~OC San's Board of Directors, the General Manager and the Executive Management Team oversee the Records Management Program. The Clerk of the Board is responsible for oversight, implementation, administration, and operation of OC San's ~~the Sanitation District's~~ Records Management Program.

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3.2 ~~A Record Retention Schedule Review Committee (RRSRC), made up of the Sanitation District's Assistant General Managers, The~~ Administration Manager, Clerk of the Board, Assistant Clerk of the Board, Risk Manager, IT Manager and Records Management Specialist and General Counsel will meet as needed to review Record Retention Schedule change requests and approve changes which are then presented to the Board of Directors.

3.3 Departments/Divisions that maintain Agency records are responsible for understanding appropriate records management procedures and practices. Each Department/Division Manager, or a designee must:


- A. Ensure compliance with the approved Record Retention Schedule.
- B. Be familiar with the Agency's Records Management Policy;
- C. Develop the department's procedures and practices, consistent with this policy;
- D. Educate staff within the department about sound record management practices;
- E. Coordinate the disposition of records as provided in the Sanitation District's Retention Schedule; and
- F. Restrict access to confidential records and information appropriately.

#### 4.0 APPLICABILITY

4.1 This Policy applies to all ~~Sanitation District-OC San~~ and Contract staff who create, receive, or maintain ~~Sanitation District-OC San~~ records. OC San~~The Sanitation District~~ requires the maintenance of Agency records in a consistent and logical manner so that the Agency:

- A. Meets legal standards for public examination, protection, storage and retrieval;
- B. Protects the privacy of customers, ratepayers and staff;
- C. Optimizes the use of space;
- D. Minimizes the cost of record retention; and
- E. Disposes of outdated records in accordance with the Agency's Retention Schedule applicable statutes.

4.2 Record policies apply to all records, whether they are maintained in hard (paper) copy, electronically, or in some other fashion. Each Department/Division shall appoint a Records Coordinator/s who serves as


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a liaison to Records Management to assist in the development, implementation, maintenance, and adherence to a records management plan appropriate for the particular records it maintains, in cooperation with the Clerk of the Board.

- 4.3 The Division Records Coordinator facilitates program compliance within their respective Divisions in applying the Records Management Program policy.
- 4.4 ~~The Sanitation District OC San~~ is subject to a range of statutes and rules regarding record retention and disclosure. All ~~Sanitation District OC San~~ employees are responsible for complying with the requirements of the Records Management Program policy and ~~the Sanitation District's OC San~~'s Record Retention Schedule.

#### 4.0 HISTORY OF PROGRAM

- 4.1 ~~The Sanitation District OC San~~, through an outside consultant, conducted the initial records inventory from February through August of 2000. The inventory consisted of a physical inventory of records stored in active office work areas and various storage areas within the Plant No. 1 and Plant No. 2 facilities. The purpose of the inventory was to describe, identify, locate, and quantify ~~Sanitation District OC San~~ records. To supplement the data gathered during the physical inventory, the consultant conducted interviews with staff members from each Division who were most familiar with records creation and maintenance.
- 4.2 Based on the physical inventory of records and the data gathered during the interviews, the initial RRS was developed. Files were identified by their record titles and classified into record series based on having similar business functions (purposes) and retention requirements.
- 4.3 Extensive legal research was performed to ensure that all legal requirements were met in assigning the records retention periods to each records series. Other attributes were also assigned to each records series to ensure that vital, historical, and confidential records are properly protected and processed for retention.


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		Supersedes: <u>23/2020</u>
<b>SUBJECT: PROGRAM GUIDELINES</b>		Approved by: OC San Board of Directors

## 1.0 INTRODUCTION

- 1.1 The Orange County Sanitation District-wide Records Management Program (the Program) is intended to effectively identify, manage, store, and destroy records that have been created and received by ~~the Sanitation District~~ OC San.
- 1.2 Records received and created by OC San ~~the Sanitation District~~ in fulfillment of its responsibility to the public and in compliance with government regulations are identified in the Record Retention Schedule (RRS), and accurate retention periods are assigned.
- 1.3 ~~Sanitation District~~ OC San records that are no longer needed to be in the immediate office of each Division for convenient access, are processed for storage, retrieval, or disposition in accordance with the guidelines established by the Program.
- 1.4 Records that have met the retention requirements identified in the RRS are processed for destruction in accordance with this Program.
- 1.5 Historical and vital records are identified and processed in accordance with the guidelines established by the Program.
- 1.6 Records management activities are completed in a cost-effective manner.
- 1.7 The Program promotes an increase in productivity by decreasing the volume of obsolete records stored; thus, reducing the amount of time necessary for document retrieval.
- 1.8 The Program contributes to industry best practices by ensuring accountability, efficiency, and compliance in a cost-effective manner.

## 2.0 PURPOSE

- 2.1 Identify ~~Sanitation District~~ OC San records to facilitate access to information required to conduct ~~Sanitation District~~ OC San business and to provide appropriate access by the public.

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2.2 Maintain ~~Sanitation District~~ OC San records for the duration of the approved retention period.

2.3 Provide access to ~~Sanitation District~~ OC San records for operational, legal or public access requirements.

2.4 Digitize records per procedure no. 13.0

2.42.5 Protect ~~Sanitation District~~ OC San records.

2.52.6 Ensure compliance with legal statutes and governmental regulations regarding recordkeeping and public access requirements.

2.62.7 Destroy ~~Sanitation District~~ OC San records in accordance with the approved RRS or process those deemed historical records for long-term retention.

### 3.0 SCOPE

3.1 Create, receive, maintain, and dispose of ~~Sanitation District~~ OC San Records.

3.2 Maintain approved RRS.

3.3 Ensure use of appropriate technology in facilitating records and information storage and retrieval.

3.4 Provide systematic control of all ~~Sanitation District~~ OC San records through processing, distribution, maintenance, retrieval, and disposition.


### 4.0 RECORDS

4.1 ~~Sanitation District~~ OC San records must be managed throughout their “life cycle”.

4.2 The life cycle of a record is the time period from the creation or receipt of a record to its final disposition.

4.3 Final disposition can be either destruction or perpetual retention.



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4.4 Life cycle of a record is inclusive of five (5) stages:

- Stage 1 – Creation or receipt of records
- Stage 2 – Use or distribution
- Stage 3 – Storage or maintenance
- Stage 4 – Retention or disposition
- Stage 5 – Archival preservation

4.5 Some records do not require managing throughout their “life cycle”. Such records are termed “transitory records”. The value of transitory records is limited to a very short time, i.e., a day, a week, or no more than three months. These records do not require digitization.

4.6 Transitory records do not carry the requirement to retain the documentation of any transaction. Transitory records include:

- Extra copies of publications, pamphlets, blank forms. These are considered “supplies” rather than records.
- Reference materials not produced by the District.
- Working copies of documents used solely until the finished record is declared or declined.
- Notices of meetings, events, office or holiday gatherings, or employee meetings which do not relate directly to the functional responsibility of the organization.
- Informational copies of widely distributed District materials.
- Preliminary drafts of documents such as letters, memoranda, reports, and worksheets, which do not represent significant steps in the preparation of District records, and **which do not record decisions**. Once the completed record is included in the filing system (in the appropriate medium), the working materials (drafts) are considered transitory records.
- Catalogs, trade journals, and other published materials received from other organizations, commercial firms, vendors, or private institutions, which require no action and are not needed for documentary purposes.

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- These materials are usually considered “reference materials” and should be controlled as such but **are not Sanitation District records**.  
Incorrect versions of documents, forms, or reports that had to be regenerated in order to correct errors in typing, data entry, spelling, grammar, or format.

## 5.0 RECORD RETENTION SCHEDULE

- 5.1 The Record Retention Schedule (RRS) is a list of Sanitation District records organized by record series to which are assigned retention periods and other attributes.
- 5.2 The retention periods identified in the RRS have been established after extensive legal research of all government regulations applicable to ~~the Sanitation District~~ OC San.
- 5.3 The RRS has been reviewed and has received concurrence of the various Sanitation District Divisions, Clerk of the Board, ~~Records Management Specialist~~ Assistant Clerk of the Board, ~~Administration Manager~~, Executive Management, Legal Counsel, ~~(Review Team)~~ and the Administrative Committee, as well as the approval of ~~the District~~ OC San Board of Directors for implementation.
- 5.4 The RRS has been developed to ensure that each Department maintains its records for the duration of the period legally required by applicable legal statutes and government regulations, and until all the operational business functions are met.

## 6.0 HISTORICAL RECORDS

- 6.1 Historical records are identified and preserved.
- 6.2 The program ensures that records with permanent historical value are identified, documented, and preserved for the life of the Sanitation District.
- 6.3 The ~~Records Management Specialist~~ Clerk of the Board/Assistant Clerk, prior to processing records for destruction, shall identify records having historical significance.

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6.4 Historical records are retrieved, prepared, and processed for preservation in accordance with Procedure 7.0.


~~6.4~~

## 7.0 VITAL RECORDS


- 7.1 Vital records are those documents identified by each Division as necessary to enable ~~the Sanitation District~~ OC San to continue vital operations in the event of a disaster or major interruption to business.
- 7.2 Vital records enable ~~the Sanitation District~~ OC San to reconstruct its legal obligations and rights.
- 7.3 Vital records enable ~~the Sanitation District~~ OC San to reconstruct its financial position.
- 7.4 Vital records enable ~~the Sanitation District~~ OC San to satisfy ~~the District's~~ obligations to its employees.
- 7.5 Vital records enable OC San ~~the Sanitation District~~ to protect employee and public health and safety.
- 7.6 Vital records enable OC San ~~the Sanitation District~~ to reconstruct its assets and ownership.

## 8.0 CONFIDENTIAL RECORDS

- 8.1 Records containing proprietary or sensitive information to which access must be restricted are considered confidential.
- 8.2 Confidential information must be protected and preserved to avoid unauthorized disclosure that could be harmful to a person, to ~~the Sanitation District~~ OC San, or to an ~~Sanitation District~~ OC San business process.
- 8.3 Confidential records shall be managed, controlled, and disposed of separately from records containing non-confidential information.

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- 8.4 Confidentiality of information shall be protected until it is destroyed or until ~~the Sanitation District~~ OC San has changed the status of the confidentiality of information.

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<b>SUBJECT: STAFF RESPONSIBILITIES</b>		Approved by: OC San Board of Directors

## 1.0 INTRODUCTION


1.1 The Records Management Program is a decentralized administrative program. As such, Program activities are carried out by the Orange County Sanitation District (OC San) Clerk of the Board (Custodian of Records); ~~Records Management Specialist~~Assistant Clerk of the Board; and by OC San Sanitation District staff in each Division. ~~The Sanitation District OC San's Records Management Specialist~~Assistant Clerk of the Board is responsible for coordinating and overseeing the Program and Program procedures, and Division staff ~~is~~are responsible for complying with the Program requirements for records in their respective Divisions. In the procedures that follow, the individual responsible for running the daily operations of the Program is identified as the ~~Records Management Specialist~~Assistant Clerk of the Board.

## 2.0 PURPOSE:

The purpose of this procedure is to describe the roles and responsibilities of Records Management and OC San Sanitation Division Staff.

## 3.0 STAFFING AND RESPONSIBILITIES

Responsibility	Action
<b>CLERK OF THE BOARD</b>	Custodian of Records of <del>the Sanitation District</del> <u>OC San</u>
<b>ASSISTANT CLERK OF THE BOARD</b>	<p><b>Under the direction of the Clerk of the Board:</b></p> <ul style="list-style-type: none"> <li>• Serve as the Public Records / Freedom of Information Officer and coordinate public requests for information. Maintain Public Records Act Log and PRA information in the Records Management Software.</li> </ul>


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Responsibility	Action
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**RECORDS MANAGEMENT  
SPECIALIST**

~~Under the direction of the Clerk of the Board:~~

- ~~Oversee the Records Management Program and act as a liaison between Division Records Coordinators, Management and the Record Retention Schedule Review Committee, General Counsel, and the Sanitation District's Board of Directors.~~
- Act as an advisor on all records and information management issues and related projects.
- Maintain the Record Retention Schedule.
- Develop and conduct training sessions on appropriate Records Management Program activities, including ~~the~~ any Records Management Software.
- Maintain the Records Management Procedure Manual and update as needed.
- Coordinate record destruction suspension (“holds”) and destruction resumption (“releases”) with legal counsel, auditors, and the Office of Record to ensure that records are available as required.
- Manage the record retention, offsite transfer, and destruction activities of the Program.


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Responsibility	Action
	<ul style="list-style-type: none"> <li>• Conduct periodic audits of the Program to ensure compliance.</li> <li>• <u>In accordance with Risk Management and IT, C</u>oordinate Vital Record protection and ensure that the Vital Records Program supports the Integrated Emergency Response Plan.</li> <li>• Serve as Administrator for the Record Management Software, manage the program database and content for the Intranet site.</li> </ul>
<p><b>DIVISION RECORDS COORDINATORS</b></p> <p>A list of <a href="#">Division Records Coordinators</a> can be found in the above link.</p>	<ul style="list-style-type: none"> <li>• Review Division records and the Record Retention Schedule periodically to ensure compliance with the Program. Forward any requests for changes to the Record Retention Schedule to the <u>Records Management Specialist Assistant Clerk of the Board.</u></li> <li>• Ensure that records are maintained and protected in compliance with the Program.</li> <li>• Coordinate preparation of records for transfer to offsite storage.</li> <li>• Coordinate managing pertinent records after receipt of a Records Hold or Records Release.</li> <li>• Coordinate records disposition activities, including the preparation of a Records Disposition Form and obtaining approvals to destroy records in any format (hard copy</li> </ul>

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Responsibility	Action
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		Supersedes: <a href="#">28/2010</a>
<b>SUBJECT: RECORDS RETENTION &amp; <u>OFFSITE STORAGE</u></b>		Approved by: OC San Board of Directors

## 1.0 INTRODUCTION


1.1 Records retention activities of the Records Management Program (RMP) control the maintenance and storage of Orange County Sanitation District ([OC San](#)) records. Following the retention procedures ensures compliance with pertinent statutory, regulatory, operating, and administrative recordkeeping requirements. In addition, it ensures that records needed to conduct ~~Sanitation District~~ [OC San](#) business are protected and accessible. The Record Retention Schedule (RRS) is the foundation of the ~~RMP~~ [RMP program](#) and defines the period required to maintain ~~Sanitation District~~ [OC San](#) records.

1.2 Records Management Terms:

Term	Definition
<b>Active</b>	Records that are required for current day-to-day business and are subject to frequent use; generally located near the user (if hardcopy); can easily be accessible on a networked server (if electronic); generally referred to more than once per month.
<b>Administrative Value</b>	A record that assists in the operation of the business, and ensures administrative consistency and continuity, serving a particular purpose for that office at that particular time. In appraisal, the usefulness of records for the conduct of current or future administrative business needs.
<b>Appraisal</b>	The process of determining the value and thus the disposition of records based on their current administrative, fiscal, and legal value; their evidential and informational value; their arrangement and condition; their intrinsic value; and their relationship to other records.
<b>Archival Records <u>(also called Historical Records)</u></b>	Records identified as having archival value or potential archival value and designated as Historical on the OC San Records Retention Schedule.
<b>Audit</b>	Review for acceptance of records relating to operations, policies and procedures, financial documentation, and historical documents by regulating agencies.
<b>Closed / Completed</b>	A file or record on which action has been completed and to which an audit or further action is not likely to occur.
<b>Copy <u>(also called Duplicate)</u></b>	A reproduction of the contents of an original document which is not the official file copy of the agency. Copies are usually identified by their function, i.e., action copy, reading file copy, tickler file copy, etc. In most instances, copies will have a shorter retention than the

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	official file copy (see Official Copy) of a <del>Record-series</del> <u>Type</u> .
<b>Current</b>	When specified as the “minimum retention period” means that superseded, rescinded, expired, or no longer useful records may be removed from the files and may be destroyed.
<b>Disposition</b>	The predetermined action taken with regard to records including form of retention (hard copy or image), period of time retained (archive or destroy), where to store (on-site or off-site), and method of destruction (recycle, burn, or shred).
<b>Duplicate</b>	A document that is a copy of the original or official version of a record. A duplicate may be a paper version or an electronic version of the official record.
<b>Evidential Value</b>	In appraisal, the value of a record that documents the activities of an organization or agency.
<b>File Integrity</b>	Accuracy and completeness of the file or records <del>collection</del> .
<b>Fiscal Value</b>	Documents and accounts for receipt of or expenditure of public funds; such as budget, ledgers of accounts receivable and payable, payrolls, and vouchers. Documents availability of funds for operational purposes. In appraisal, records required until a financial audit is completed, or financial obligations are fulfilled.
<b>Historical Value</b>	In appraisal, the value attributed to a record which preserves documentation on significant historical events including the <del>agency's</del> <u>City's</u> operations, origin, policies, authorities, functions, and organizations, as well as significant administrative decisions.
<b>Legal Value</b>	In appraisal, value attributed to a records <del>s-series</del> which documents business ownership, agreements, and transactions.
<b>Life</b>	The retention period assigned to a record that has continuing value to the organization throughout its existence.
<b>Minimum Retention Period</b>	The least amount of time a record must be kept determined by assessment of administrative, legal, fiscal, and historical values.
<b>Office of Record</b>	The Division that created or is responsible for retaining the official copy until it is dispositioned.
<b>Official Copy</b>	The original or official copy of a record maintained by the Office of Record.
<b>Record</b>	Any documentary material, regardless of physical form or characteristic, made, or received by an organization in pursuance of law or in connection with the transaction of business and used by that organization as evidence of activities or because of informational value.
<b>Records Retrieval</b>	Locating records and delivering them for use.
<b>Retention Period</b>	The period of time that records must be kept according to legal or organizational requirements.


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<b>Retention Schedule</b>	A list describing the <del>Record Types</del> series, the length of time records are retained (may include active and inactive storage detail), the Office of Record, and the final disposition.
<b>Supersede</b>	The replacement of an existing document.
<b>Termination</b>	Designates the end of a specific term, e.g., appointed, elected official's terms; employment; training, course, program; use or ownership.
<b>Transitory Records</b>	Documents retained for a short time having no long-term administrative, fiscal, legal, or archival value. These records are kept for a very short time and are not necessary to document the completion of a business transaction.
<b>Vital Records</b>	Those records containing information necessary to continue the operation of government, affirm the powers and duties of government and to protect the rights and interest of persons.

1.3 Retention Length Event Codes:

The ~~RRSrecords retention schedule~~ provides information to guide the organization in maintenance of business records. Some retention periods are assigned a number representing the length of time (stated in years) for which the records must be maintained and accessible (retrievable). Others are based on the occurrence of an event or a transaction, or a combination of both. The following table describes the meaning of each event as it pertains to records retention and disposition.

Event Code	Event	Definition
<del>AR</del>	<del>Annual Review</del>	<del>Maintain records for at least one year. At the end of that and each subsequent year, review the records to determine whether or not they have continuing value to the organization. If so, retain the records for one more year. If not, destroy the records in accordance with procedures.</del>
<del>AA</del>	<del>After Audit</del>	<del>Maintain records until the audit, inspection, examination, or investigation is complete. Then destroy in accordance with procedures.</del>
CL	Closed <u>or</u> , Completed	Maintain records until the transaction or the terms of the activity, the project, assignment, contract, etc. is closed or completed. Then destroy in accordance with procedures.
CL + A	Closed plus Term of the Agreement	Certain agreements, particularly grants, have a specified retention time built into the agreement. Keep according to term of the agreement.
EX	Expired	Maintain records until the term, period, permit, or license is expired.


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		Then destroy in accordance with procedures.
LO LP	Life of Organization Project	Maintain records for the "life" of the organization, project, physical plant or building, a building system or sub-system, asset, piece of equipment, or component. Then destroy in accordance with procedures.
RE	Revised	Maintain records until the record is changed or modified. Then destroy in accordance with procedures.
SU	Superseded	Maintain records until record is superseded or made obsolete by a newer version or edition. Then destroy in accordance with procedures.
TE	Terminated	Maintain records until activity is concluded or employee is terminated, retires, or otherwise leaves the employ of the organization. Then destroy in accordance with procedures.

#### 1.4 Characteristic Codes:

Some retention periods are assigned a "characteristic" to identify any special handling required for documents classified in that records series. The following table describes the meaning of each "**characteristic**" as it pertains to records retention and disposition.

Code	Characteristics	Definition
V	Vital	Vital Records are required to be available in the event of an emergency or major interruption to normal business operations to continue to provide safe treatment of wastewater during the event. Vital Records may protect <del>the Sanitation District</del> <a href="#">OC San</a> 's rights and interests, ensure that it can continue to effectively protect the environment, the public, and meet its obligation to its employees. Identifying records as "vital records" ensures that they are handled in a manner that protects them and makes them readily accessible during the time period that the information is vital. This characteristic does not affect the length of the retention period.
H	Historical	Historical Records potentially have historical significance. Records may document the formation of OC San, annexations, consolidation, major projects, and strategic direction. Historical Records may have intrinsic value due to their age, author, or special nature. Identifying records as "historical records" ensures that they are handled in a manner that protects them and preserves them for long-term storage and research purposes. This characteristic may affect the length of the retention period as historical records are usually maintained for the life of <del>the Sanitation District</del> <a href="#">OC San</a> .
C	Confidential	Confidential Records contain confidential, sensitive, or proprietary information that would be harmful to an employee or would harm the

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		<del>District's OC San's</del> business if assessed by unauthorized individuals. Confidential Records may be confidential throughout their useful life, or only during a portion of their useful life. Identifying records as "confidential records" ensures that they are handled in a manner that protects them from unauthorized access. This characteristic does not affect the length of the retention period.
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## 2.0 RECORDS CLASSIFICATION

- 2.1 Records are classified into Records Series to facilitate assignment of retention times, legal citations, and the overall maintenance of Sanitation District OC San records.
- 2.2 Classifications contain like records grouped together based on similar business function, usage, and retention time.

## 3.0 RECORDS RETENTION SCHEDULE MAINTENANCE

- 3.1 The Record Retention Schedule is a list of Sanitation District OC San records organized by record series to which are assigned retention periods and other attributes.
- 3.2 A record series is comprised of similar or related record titles that have a similar business function (purpose), are normally used and filed as a unit, and are retained for a similar time period.
- 3.3 ~~Following~~ the retention standards of the schedule ensures that the Sanitation District OC San maintains appropriate records of Sanitation District OC San transactions and meets its legal obligations cost effectively, by storing records as long as is operationally and legally required. The RRS shall be reviewed, evaluated, and updated periodically by Clerk of the Board, Records Management Specialist Assistant Clerk of the Board, OC San Management, and General Counsel (RRS Review Team).
- 3.4 The retention periods assigned to each record series shall be maintained and updated as needed, to meet changing business, legal, and regulatory requirements.

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Responsibility	Action
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Records Management Specialist Assistant Clerk of the Board


- Coordinate the periodic update of the Record Retention Schedule and Record Series Definitions. Provide training on RRS use and maintenance.

Division  
Records Coordinator

- Periodically (but not less than annually) review the RRS associated with records in the Division.
- Match the RRS against records stored in the office, shop, field, and other storage locations.
- Mark for deletion any records that are no longer maintained by the Division.
- Note any new records that are not represented. Include a description of the record, the business function, the operating record retention requirements, and special records characteristics (vital, historical, or confidential).
- Using a Record Retention Schedule Change Form (Exhibit A), identify any updates or changes requested and forward to the Records Management Specialist Assistant Clerk of the Board for presentation to the Record Retention Schedule Review Committee.

Records Management Specialist Assistant Clerk of the Board

- Review the Record Retention Schedule Change Form completed by the Division Records Coordinators. Determine in which records series the record titles logically belong.
- Create a new Record Series if the record title does not logically belong to an existing series. In cooperation with the requesting Division, develop a definition for the Records Series.

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- Assign to the new Record Series the applicable characteristics (if any): vital, historical, or confidential, as indicated by the Division Records Coordinator.
- Determine legal retention requirements by reviewing pertinent legal citations.
- Provide direction to the Division Records Coordinators for proper management of historical, vital, and confidential records.

#### 4.0 RECORD RETENTION SCHEDULE CHANGES

- 4.1 The Division Records Coordinator may request a change to the RRS at any time.
- 4.2 Examples of changes that may initiate a change to the RRS include:
- Change in the assigned Office of Record due to reorganization.
  - Change in the characteristics associated with the records: vital, historical, or confidential.
  - Change in the retention event associated with the records, for example: closed, complete, expired, or superseded.
  - Change in the legal and administrative requirements.
  - New record types that are generated or used in performing business functions.
  - Change in the definition of the record series that applies to Division records.

Responsibility	Action
Division	<ul style="list-style-type: none"> <li>• Complete Record Retention Schedule Change Request Form</li> </ul>



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**Responsibility**

**Action**


Records  
Coordinator

(Exhibit A). Use one form for each records series to be amended. For a change to the legal retention period, provide the text of the applicable statute or regulation.

- Secure the Division Manager’s approval.
- Forward the approved Record Retention Schedule Change Request Form to Records Management.
- Review the completed and Division-approved Record Retention Schedule Change Request Form and ensure that required information is provided.
- For a change to the legal retention period of an existing record series, ensure that the legal retention requirements of the record series are met and secure the approval of Legal Counsel.
- If management does not agree with the change request, return the change request to the Division Records Coordinator with an explanation.
- For a change to add a new Record Series, ensure that an appropriate definition of the Record Series is provided, that the retention periods are identified, and that an applicable legal citation is identified, if applicable.
- For a change to the official or duplicate retention periods, ensure that the change is in accordance with [the District OC San’s](#) RMP policies and applicable legal requirements.
- Update the RRS and prepare a revised RRS for approval by the RRS Review Team at their next meeting.
- When approved by the RRS Review Team, annually send a copy of the newly revised RRS for review and concurrence by the [Administrative Administration](#) Committee and Board of

[Records Management Specialist Assistant Clerk of the Board](#)



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**Responsibility**

**Action**

Directors.


- Periodically review the text of the statutes and regulations governing recordkeeping requirements of [the District OC San](#) and update the RRS as required.
- Update the Program database and intranet site as required.
- Distribute the updated Record Retention Schedule (RRS).

**5.0 RECORDS PURGE**

- 5.1 Eliminate records from active files and facilitate their timely destruction after all legal and business requirements have been met.
- 5.2 Only records that are useful in current business activities are retained, enabling timely retrieval of frequently used records.
- 5.3 Records with research or historical value are preserved in a controlled environment.
- 5.4 Records stored offsite are reviewed semi-annually and a list of retention expired records prepared by the [Records Management Specialist Assistant Clerk of the Board](#) for each Division.

**Responsibility**

**Action**

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[Records Management Specialist Assistant Clerk of the Board](#)


- Issue a report of records stored offsite that are eligible for destruction to all Division Records Coordinators with the following information specific to each Division:
  - Records Series & Definitions
  - Retention Period

Division Records Coordinator

- Review the report received from the [Records Management Specialist Assistant Clerk of the Board](#).
- Match the active (in office) files with the record definitions listed in the report and the Records Series assigned to it.
- If there are records identified that have met their established retention periods, these are now considered obsolete records. Follow the instructions described in Procedures 5.0 for disposition of obsolete records.
- If there are records identified that have not met their retention period but are no longer required to be maintained in the immediate office area, complete Disposition form for transfer to the offsite storage facility.
- Records may be transferred to offsite storage at any time during their mandated retention period. Determining when, if ever, to transfer records, is based on the amount of storage area in the office or work area, and the type and frequency of access required.

## 6.0 INACTIVE RECORDS TRANSFER AND STORAGE

- 6.1 Inactive records are those records that have not met their required retention periods but are no longer current or frequently referenced.
- 6.2 Inactive files management standards are established by ~~the~~ [District OC San](#) to ensure that ~~District OC San~~ records remain accessible and protected throughout the duration of their required retention periods.

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6.3 Active files are periodically reviewed to identify those records that are inactive.

6.4 Inactive records that are identified during the review are purged from active file areas and processed for offsite storage.


6.4 Systematic control of inactive records consists of:

- Properly packing the records in records storage boxes obtained from the warehouse, that are properly labeled
- Preparing an index of the contents of the box using a Disposition Form.
- Contacting the [Records Management Specialist Assistant Clerk of the Board](#) for a barcode.
- Follow the guidelines below when packing the records:
  - Each box shall only contain official inactive records. **Non-records and duplicate records should not be transferred to offsite storage.** They are destroyed in the active office area as appropriate.

**Do not pack different record series in the same box. Record series packed together should have the same destruction date.**

Schedule the pick-up and transfer of the box(s) to the offsite storage by contacting the [Records Management Specialist Assistant Clerk of the Board](#).

## 7.0 PURGING TRANSITORY RECORDS

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7.1 Transitory records can be purged from file storage equipment and destroyed as soon as their usefulness in the performance of business functions are met.

7.2 **Do not send transitory records to offsite storage.**

## 8.0 RETRIEVING BOXES FROM OFFSITE STORAGE

8.1 Inactive records may be retrieved from the offsite storage center at any time by contacting [Records Management](#).

8.2 Records may be retrieved only by staff from the Division designated as “owner” of the records.

8.3 In the event that staff from a Division other than the owner, requires access to the records, the retrieval request shall be approved by the [Assistant Clerk of the Board](#) ~~Records Management Specialist~~ and the Division that owns the records.

8.4 Boxes retrieved from the offsite storage center shall be returned to the center with the same records and in the same order as when they were received.

8.5 Records should not be removed, nor should additional records be added.

8.6 If the box contents must be altered, complete a new Disposition Form, and contact the ~~Records Management Specialist~~ [Assistant Clerk of the Board](#).

Procedure 4.0.1

Records Retention Schedule Change Form

Exhibit A

# OCSD Record Retention Schedule Change Request Form

Date: \_\_\_\_\_ Submitted by: \_\_\_\_\_

Division # & Name: \_\_\_\_\_ Approved by: \_\_\_\_\_

Check One:  Add  Change  Delete  
Approved by: \_\_\_\_\_  
Manager  
Dept Head

Record Series Number: \_\_\_\_\_ Name: \_\_\_\_\_

Definition: \_\_\_\_\_

Official Retention: \_\_\_\_\_ Office of Record: \_\_\_\_\_

Format: \_\_\_\_\_ Confidential: \_\_\_\_\_ Vital: \_\_\_\_\_ Historical: \_\_\_\_\_

**REASON FOR ADDITION OR CHANGE:**

**ACTION TAKEN:**

Date of Action: \_\_\_\_\_

Approved: \_\_\_\_\_

New Record Series Number and Name : \_\_\_\_\_

New Definition : \_\_\_\_\_

New Official Retention: \_\_\_\_\_ New Office of Record: \_\_\_\_\_

Modified Approval: \_\_\_\_\_

Explain Change : \_\_\_\_\_

Denied: \_\_\_\_\_

Reason for Denial: \_\_\_\_\_

**Record Retention Review Committee:**

Added to RRS: \_\_\_\_\_  
(Date)

Clerk of the Board: \_\_\_\_\_ Records Management: \_\_\_\_\_ Board Approval: \_\_\_\_\_  
(Date)

AGM: \_\_\_\_\_ Risk Management: \_\_\_\_\_ Legal: \_\_\_\_\_

## Procedure 4.0.2

### Records Retention Schedule Exhibit B


Procedure 4.0.3

Records Retention Schedule Definitions

Exhibit C

**PLACEHOLDER**



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## 1.0 INTRODUCTION

- 1.1 Records disposition is a specific set of actions taken with regard to inactive records as determined through records appraisal.
- 1.2 Records disposition includes determining whether OC San records are eligible for destruction (records have been determined to be retention expired) or for longer-term preservation (records have been determined to be Historical Records or Inactive Records).

## 2.0 PURPOSE


- 2.1 The purpose of this procedure is to describe the procedures for dispositioning OC San Retention Expired Records, Inactive Records, and Historical OC San Records in an organized and efficient manner.
- 2.2 This procedure ensures that appropriate review and approval are completed prior to destruction or longer-term storage of OC San records.

~~2.3.2.3~~ — This procedure ensures that records that have an expired retention, but that are subject to a Records Hold of any sort (legal, or audit, or other holds), are maintained until resolution of the legal matter or conclusion of the reason necessitating the Records Hold.

2.4 This procedure applies to all OC San records regardless of whether or not the records contain sensitive information (confidential). Should a unique process for disposition be required for any record, please contact the Clerk of the Board/Assistant Clerk of the Board and a process will be established that is mutually acceptable for all business purposes.

## 3.0 PROCEDURES

- 3.1 Records are periodically reviewed in order to identify those records that have met the required retention periods established in the Records Retention Schedule (RRS).

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3.2 The review activity usually groups records into the following frequently used ~~three~~ disposition groups:

3.2.1 Retention Expired Records: Records that have met the required retention are considered obsolete and are processed for destruction.

3.2.2 Inactive Records: Records that have not met their retention ~~periods, but~~ periods but are no longer required to be in the immediate office area, are considered inactive and are processed for offsite storage. See Procedure 4.0.

3.2.3 Historical Records: Records that have met their business function retention requirements, but have historical or intrinsic value, are considered Historical Records, and are digitized and processed for long-term storage. See Procedures 7.0 and 13.0.


3.2.4 Active Records: Records that are required for current day-to-day business and are subject to frequent use; generally located near the user (if hardcopy); can easily be accessible on a networked server (if electronic); generally referred to more than once per month. May also be stored offsite.

#### 4.0 PROCESSING OFFICIAL DISTRICT RECORDS FOR DESTRUCTION


4.1 Destruction of the official version of OC San records requires the approval of the following, as applicable:

- Submitter
- Department/Division Records Coordinator
- Department/Division Supervisor
- Department/Division Manager
- Department/Division Director
- Assistant Clerk of the Board (or designee)
- Legal Counsel


4.2 Procedures to process retention expired records for destruction are included in the following chart:

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Responsibility	Action
Assistant Clerk of the Board	<ul style="list-style-type: none"> <li>Annually, at the start of the calendar <del>year and the fiscal years,</del><u>year,</u> issue a call to all Records Coordinators requesting a review and purge of their <del>a</del><u>Active, Inactive, and Historical</u> <del>R</del><u>Records.</u></li> </ul>
Division Records Coordinators <u>(may also be a Submitter separate from the Records Coordinator)</u>	<ul style="list-style-type: none"> <li>Review existing records currently maintained in the office area or stored offsite. <u>Review can be done annually at the start of the calendar year and fiscal years based on the call from the Assistant Clerk of the Board (step above), or as business needs warrant. Review should be conducted using the appropriate RRS, using all components of any given Record Type (Record Type description, Retention Length, etc.). Check the definitions for the Record Type listed in the RRS. Calculate destruction dates using the example in the chart Records Management Disposition Form (Exhibit A). below.</u> <b>Cross-reference records with any active Requests for Records Holds on file. The Clerk of the Board or Assistant Clerk of the Board should be contacted for any questions pertaining to Records Holds.</b></li> <li>Purge the files in accordance with <u>the process outlined below and</u> Procedure 4.0. <b>Do not purge any documents subject to a Records Hold.</b></li> <li>If there are records identified that have met the required retention periods, and are not subject to a Records Hold, complete a Records <u>Management</u> Disposition Form (Exhibit A). The Assistant Clerk of the Board <u>or designee</u> will prepare the Request for Authorization to Destroy Records (Exhibit B) and route the documents for digital signatures/approval.</li> <li><u>The Submitter and Records Coordinator are first and second, respectively, in the approval routing sequence.</u></li> </ul>
<u>Assistant Clerk of the Board</u>	<ul style="list-style-type: none"> <li><u>Review the submitted Disposition Form and validate all information on the Disposition Form, including confirming the records are eligible for destruction (checking historical value, Records Holds, etc.).</u></li> </ul>

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Responsibility	Action
<u>Department/Division Supervisor</u>	<ul style="list-style-type: none"> <li>• <u>If <del>there are</del> records identified are not eligible for destruction, advise the Records Coordinator and Submitter and handle according to the type of record.</u></li> <li>• <u>Prepare the Request for Authorization to Destroy Records, ensuring the appropriate RRS is included in the information that is routed, and route for signature/approval. Digitally sign the forms approving destruction (in the approval routing sequence after Department/Division Director).</u></li> <li>• <u>Review the submitted forms and authorize approval to destroy records by digitally signing/approving the forms.</u></li> <li>• <u>If you do not approve, please contact the Assistant Clerk of the Board. The Assistant Clerk of the Board will coordinate with the Submitter and Records Coordinator, as appropriate, to resolve any issues.</u></li> </ul>
<u>Department/Division Manager</u>	<ul style="list-style-type: none"> <li>• Review the <u>submitted <del>completed</del></u> forms and authorize approval to destroy <u>OC San</u> records by digitally signing/approving the forms.</li> <li>• If you do not approve, <u>please contact the Assistant Clerk of the Board state the reason, and return the forms to Division Records Coordinator. The Assistant Clerk of the Board will coordinate with the Submitter and Records Coordinator, as appropriate, to resolve any issues.</u></li> </ul>
<u>Department/Division Director</u>	<ul style="list-style-type: none"> <li>• <u>Review the submitted forms and authorize approval to destroy records by digitally signing/approving the forms.</u></li> <li>• <u>If you do not approve, please contact the Assistant Clerk of the Board. The Assistant Clerk of the Board will coordinate with the Submitter and Records Coordinator, as appropriate, to resolve any issues.</u></li> </ul>

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Responsibility	Action
Division Records Coordinator	<ul style="list-style-type: none"> <li><del>If the request for destruction is not been approved, contact the Assistant Clerk of the Board. Reasons for postponing scheduled destruction may include ongoing or pending audits, investigations, or litigation.</del></li> </ul>
Assistant Clerk of the Board	<ul style="list-style-type: none"> <li><del>Review the submitted Disposition Form and determine if the records have historical value or are subject to an existing Record Hold.</del></li> <li><del>If there are records identified that contain historical value to OC San, process the records as detailed in RMP Procedure 7.0, Historical Records Program.</del></li> <li><del>If there are no historical records identified, and none of the records are subject to an existing Record Hold, prepare the Request for Authorization to Destroy Records and route for signature/approval. Digitally sign the forms approving destruction.</del></li> </ul>
Legal Counsel	<ul style="list-style-type: none"> <li><u>Review the submitted forms and determine whether to approve or disapprove the request for destruction of records.</u></li> <li><u>If you do not approve, please contact the Assistant Clerk of the Board. The Assistant Clerk of the Board will coordinate with the Submitter and Records Coordinator, as appropriate, to resolve any issues.</u></li> <li><u>Authorize approval to destroy records by digitally signing/approving the forms.</u></li> <li><u>Determine whether to approve or disapprove the request for destruction of records.</u></li> <li><del>If approved, digitally sign the forms approving destruction.</del></li> <li><del>If not approved due to a Legal Hold:</del></li> </ul>

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Responsibility	Action
	<ul style="list-style-type: none"> <li><del>State the reason for the Legal Hold (pending audit, investigation, or litigation)</del></li> <li><del>Provide an estimated length of time to hold the records</del></li> <li><del>Complete "Request for Record Hold" portion of Record Hold and Release Form.</del></li> </ul> <p><del>Return the completed forms, along with any special instructions, to the Assistant Clerk of the Board.</del></p>
Assistant Clerk of the Board	<ul style="list-style-type: none"> <li><del>Upon complete approval, the Assistant Clerk of the Board will send a signed copy of the approved forms to the Division Records Coordinator.</del></li> <li><del>If the request for destruction of records is disapproved:</del> <ul style="list-style-type: none"> <li><del>Advise the Division of the decision.</del></li> <li><del>Resolve any problems.</del></li> </ul> </li> </ul>
Division Records Coordinator & Assistant Clerk of the Board	<ul style="list-style-type: none"> <li><del>Upon approval of the destruction request, the Records Coordinator and Assistant Clerk of the Board will proceed with destruction procedures.</del></li> <li><del>If request for destruction is not approved for any reason, records will be maintained until resolution of the matter or conclusion of the reason necessitating the Records Hold.</del></li> <li><del>If not approved due to Legal Hold, maintain records until notification of the release of the records from Legal Hold is received.</del></li> <li><del>If not approved due to Historical Records designation, box records and transfer to the Assistant Clerk of the Board.</del></li> </ul>
Assistant Clerk of the Board	<ul style="list-style-type: none"> <li>Coordinate destruction of records. If the records are digital, notify IT of the necessary destruction or handle in other appropriate manner. If the records are confidential, arrange for destruction that will protect the confidentiality of the information.</li> </ul>

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<b>SUBJECT: RECORDS <u>DESTRUCTION</u><u>DISPOSITION</u> <u>AND CONFIDENTIALITY</u></b>	Approved by: OC San Board of Directors	

Responsibility	Action
	<ul style="list-style-type: none"> <li>• After destruction, ensure that a Certificate of Destruction is properly completed and signed.</li> <li>• Maintain the Certificate of Destruction in the appropriate files.</li> <li>• Update the Master Records Inventory and GRM database as applicable.</li> </ul>

## 5.0 PROCESSING DUPLICATE RECORDS FOR DESTRUCTION

5.1 Duplicate records are documents that are copies of the original or official version of a record. A duplicate may be a paper version or an electronic version of the official record.~~the Record Types maintained by Divisions that are not identified as the Office of Record in the RRS.~~

5.2 Retention periods of original or official versions of a record do not apply to duplicate files ~~are identified in the RRS. These are the maximum retention periods allowed for the duplicate records.~~


5.3 Duplicate records may be destroyed at any time, upon confirmation that the record is a duplicate. ~~during and up to the end of the assigned duplicate retention time.~~

5.45.2 Duplicate records should **not** be transferred or stored offsite. ~~They are destroyed when the retention requirements of these records are met as established in the RRS.~~

5.55.3 Duplicate records are destroyed in the office or work area. To destroy a duplicate record, please contact the Assistant Clerk of the Board for determination and confirmation that records are, in fact, duplicate records.

5.65.4 ~~No f~~ Formal destruction authorization is may be required to destroy duplicate records.



	Orange County Sanitation District	Procedure Number: 5.0
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		Supersedes: <u>23/2020</u>
<b>SUBJECT:</b>	<b>RECORDS <u>DESTRUCTION</u>DISPOSITION <u>AND CONFIDENTIALITY</u></b>	Approved by: OC San Board of Directors

~~5.75.5~~ If the duplicate records contain confidential information, they should be shredded to protect the confidentiality of the information. If the records are not confidential, they may be recycled or discarded.


## ~~6.0 PRESERVATION, PROTECTION AND DESTRUCTION OF CONFIDENTIAL RECORDS~~

~~6.1 Confidential records are those records containing information that is proprietary or sensitive, and to which access must be restricted. This includes recorded information about an identifiable individual including:~~

- ~~• The individual's name, home, or business address or home or business telephone~~
- ~~• The individual's race, national or ethnic origin, color, or religious or political beliefs or associations~~
- ~~• The individual's age, sex, marital status, or family status~~
- ~~• An identifying number or symbol assigned to the individual~~
- ~~• The individual's fingerprints, other biometric information, blood type, or genetic information~~
- ~~• Information about the individual's health and health care history, including information about a physical or mental disability~~
- ~~• Information about the individual's educational, financial, or employment or criminal history, including criminal records where a pardon has been given~~

~~6.2 Confidential information must be protected and preserved to avoid unauthorized disclosure that could be harmful to a person, to the OC San, or to an OC San business process.~~



	Orange County Sanitation District	Procedure Number: 5.0
	<b>RECORDS MANAGEMENT POLICY &amp; PROCEDURE MANUAL</b>	Effective Date: <u>9/23/2020xx/xx/xxx</u>
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<b>SUBJECT:</b>	<b>RECORDS <u>DESTRUCTIONDISPOSITION AND CONFIDENTIALITY</u></b>	Approved by: OC San Board of Directors

~~6.3 Confidential records shall be managed, controlled, and disposed of separately from records containing non-confidential information. All confidential records disposed of by OC San must be shredded.~~

~~6.4 The Office of Record for records designated as confidential shall destroy. The official copy of confidential records following the approved destruction procedures. The Records Disposition Form (Exhibit A) should be clearly marked as confidential records. Any duplicate copies of records designated as confidential will also be shredded after review and approval, when these records are no longer needed, to ensure their confidentiality.~~

~~6.5 Confidentiality of information shall be protected until it is destroyed or until OC San has changed the status of the confidentiality of information. It is suggested that:~~

- ~~• Active confidential records should be maintained in Red folders.~~

~~Confidential records should be distributed in sealed Red Envelopes or those that specify confidential material.~~

- ~~• Confidential records sent to offsite storage must be in securely taped boxes, or safes, and designated as confidential on the Records Disposition Form. Red Confidential labels should be placed on the outside of the box.~~
- ~~• The Disposition Form should also indicate who is allowed to retrieve and review the confidential boxes. Escrow records usually require that both parties to the escrow are present when the material is reviewed. Both parties must also sign off on the destruction notice.~~



# Request for Authorization to Destroy Records



## Instructions

1. Identify records that are eligible for destruction.
  2. Complete a Disposition Form indicating which records are requested for destruction.
  3. Email the completed Disposition Form to Records Management.
  4. Records Management will prepare the Request for Authorization to Destroy Records and attach it to the completed Disposition Form and route it for approval.
  5. Records Management will obtain all required approvals & finalize request for destruction. Records Coordinators will receive a copy for reference.
- Please contact Tina Knapp at ext. 7190 for questions/assistance or you may send an email to RecordsManagement@OCSD.com.*

Division Number	Total Number of Boxes for Destruction

## Complete this section for authorization to destroy records

I certify that the OFFICIAL RECORDS AND COPIES identified on the corresponding Disposition Form are past the retention period specified by OC San's Records Retention Schedule and that all audit, business, and administrative requirements have been satisfied. Further, I certify that no HOLD has been placed on these OFFICIAL RECORDS AND COPIES due to any litigation, claim, negotiation, audit, or public records request and all legal, business, and administrative requirements have been satisfied. I certify that all information on this form is accurate and true to my knowledge by providing my signature.

## Required Approval

Submitter's Name & Signature:  
(If different from Records Coordinator)

\_\_\_\_\_  
Name (Print)    Signature    Date

Records Coordinator  
Name & Signature:

\_\_\_\_\_  
Name (Print)    Signature    Date

Department/Division Supervisor  
Name & Signature:

\_\_\_\_\_  
Name (Print)    Signature    Date

Department/Division Manager  
Name & Signature:

\_\_\_\_\_  
Name (Print)    Signature    Date

Department/Division Director  
Name & Signature:


\_\_\_\_\_  
Name (Print)    Signature    Date

Legal Counsel  
Name & Signature:

\_\_\_\_\_  
Name (Print)    Signature    Date

Records Management  
Name & Signature:

\_\_\_\_\_  
Name (Print)    Signature    Date

	Orange County Sanitation District	Procedure Number: 6.0
	<b>RECORDS MANAGEMENT POLICY &amp; PROCEDURE MANUAL</b>	Effective Date: 9/23/2020
		Supersedes: 7/28/2010
<b>SUBJECT: VITAL RECORDS</b>		Approved by: OC San Board of Directors

## 1.0 INTRODUCTION


- 1.1 Vital records are those documents that contain information that enables the Orange County Sanitation District (~~Sanitation District~~OC San) to continue vital and critical operations in the event of a major interruption to business.
- 1.2 Such interruptions could be natural disasters (for example, earthquake, pandemic, sudden and severe energy shortage, or flood) or man-made disasters (for example, accidental fire, cyberterrorism, arson, or civil unrest) which result in the loss of the normal means of access to vital records.
- 1.3 In most organizations, vital records comprise between two and five percent of the total record volume. During the initial records inventory, vital records titles were identified and assigned to Records Series. Vital records are identified with a “V” on the Record Retention Schedule.

## 2.0 PURPOSE

- 2.1 The purpose of the vital records management is to ensure that vital records are identified, protected, and accessible during or shortly following a disaster or major interruption to business.

## 3.0 SCOPE

- 3.1 Vital records are either irreplaceable or very difficult to replace.
- 3.2 Absence of vital records, or the inability to locate or translate vital records (in the case of machine-readable or digital records) means that ~~the Sanitation District~~OC San could not provide critical services to the public and its employees during a disaster or shortly thereafter.

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<b>SUBJECT: VITAL RECORDS</b>		Approved by: OC San Board of Directors

3.3 Vital records are maintained and protected in the format (paper, digital, Bold Planning, etc.) that is most appropriate for efficient retrieval.

3.4 Vital records include records that enable ~~the Sanitation District OC San~~ to:

3.4.1 Provide required ~~Sanitation District OC San~~ safety and health services during and immediately following a disaster or other major interruption to business.

3.4.2 Meet the obligations to ~~Sanitation District OC San~~ employees and retirees.

3.4.3 Reconstruct legal obligations and rights.

3.4.4 Establish the financial position of ~~OC San the Sanitation District~~.

3.4.5 Reconstruct ~~the Sanitation District's OC San's~~ assets and ownership.

#### 4.0 PROCEDURES

##### Responsibility


##### Action

<u>Clerk of the Board/ Assistant Clerk of the Board</u>	<u>Develop procedures for protecting vital records, either digitization and/or storing them onsite in fire-resistant equipment or by sending copies offsite.</u>
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Identify viable onsite or remote storage sites for records protection.

Coordinate vital records protection procedures with ~~the Sanitation District's~~ OC San's Integrated Emergency Response Plan.

Develop procedures for retrieving vital records within the identified time requirements following a disaster.

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Coordinate, identify, and develop agreements with vendors to provide records retrieval or recovery services required following a disaster.

Work with the IT and Risk Managers to ensure the Vital Records Management Program meets ~~the Sanitation District~~OC San's needs.

**Risk IT Manager**

Review the vital records procedures to ensure that ~~the Sanitation District~~OC San's interests are protected and to ensure minimum exposure to risk in the event of a disaster.

**Division Records  
Coordinator**

Identify vital records based on an evaluation of division business functions.

Comply with procedures that protect vital records.

Determine the frequency with which vital records must be stored both onsite and offsite.


Routinely copy and forward vital records to onsite or offsite protective storage facilities.

**5.0 VITAL RECORDS CATEGORIES**

5.1 The following is a list of the record categories that are usually considered vital. The Records Series containing vital records are identified as such on the Records Retention Schedule.

**Financial**

- Accounts Receivable
- Fixed Asset Inventories
- General Ledger
- Loan Payments
- Registers Proving Payment
- Statements
- Stock Certificates

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Tax Returns

**Negotiable Instruments**

- Benefits
- Bonds
- Checks
- Claims
- Notes
- Payroll
- Retiree Benefits

**Ownership**

- Capital Investments
- Deeds
- District Charter or Formation Records
- Leases
- Titles

**OC San Administration**

- Board Meeting Minutes
- Delegation of Authority
- Ordinances
- Resolutions
- Major capital improvements or construction contracts or other major agreements

**Insurance**


- Policies and Endorsements

**Engineering**

- Drawings
- Maps
- Specifications

**Computer Software Applications**

- Code
- Manuals (if created by DistrictOC San)
- Software Licenses

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## 6.0 VITAL RECORDS FORMAT

6.1 Select the format for protecting and maintaining vital records that ensures accessibility and usability during a disaster or emergency response:

6.1.1 Source document (original or designated official version, regardless of format).

6.1.2 Distributed copy (copy of record that is routinely distributed).

6.1.3 Reproduced copy (hard copy of record that is copied for Vital Records Program needs).

6.1.4 Scan (Scanned for Vital Records Program needs).

6.1.5 Magnetic Tape (digital version of vital record).

6.2 Select Vital Records Protection Methods


6.2.1 Select the method most appropriate to protect the vital record.

6.2.2 Verify existing dispersal of record, ensure that vital records are available in multiple, geographically separate locations as part of normal business activities.

6.2.3 Improve dispersal by initiating distribution of copies of vital records to a secure location at the time of document creation.

6.2.4 Duplicate records by reproducing copies of vital records in a medium appropriate to efficient storage and use and send to a secure location.



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6.2.5 Move electronic vital records to Electronic Content Management System (Laserfiche).


~~6.2.5~~

6.2.6 Move hard copy vital records from active use areas once digitized and when no longer needed for active reference and send to a secure location.

~~6.2.6~~ 6.2.7 Store vital records onsite in a secure location, such as the vault, that meets NFPA standards for fire-resistance.

6.3 Select Vital Records Update Frequency

6.3.1 Determine how often it is necessary to update vital records to ensure that the information is current.

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		Supersedes: <u>23/2020</u>
<b>SUBJECT: HISTORICAL RECORDS</b>		Approved by: OC San Board of Directors

## 1.0 INTRODUCTION

- 1.1 It is the policy of the Orange County Sanitation District (~~Sanitation District~~OC San) to identify and preserve records that have historical significance for ~~the Sanitation District~~OC San.

## 2.0 PURPOSE


- 2.1 The purpose is to ensure that all ~~Sanitation District~~OC San records are reviewed for historical value prior to destruction through the application of well-accepted appraisal criteria.
- 2.2 Historical records are processed according to standard archival practice to ensure their preservation.

## 3.0 RESPONSIBILITY

- 3.1 The identification and review of Historical Records is administered under the authority of ~~the Sanitation District's~~OC San's Records Management Program.
- 3.2 Both the Office of Record and ~~the District's~~OC San's ~~Records Management Specialist~~Custodian of Records's have a direct role in the implementation of identifying Historical Records.

## 4.0 OBJECTIVES

- 4.1 The objectives are:
- 4.1.1 Identify ~~Sanitation District~~OC San records of historical value.
  - 4.1.2 Process ~~Sanitation District~~OC San records of historical value in a manner that will ensure that they are properly preserved.
  - 4.1.3 Prepare a finding guide to ~~the Sanitation District's~~OC San's historical records to facilitate access to the records

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by ~~Sanitation District~~ OC San's staff and outside researchers.

- 4.1.4 Promote the use of ~~the Sanitation District's~~ OC San's historical records in such areas as agency planning, management, development, public relations, and litigation support.

## 5.0 SCOPE


- 5.1 The scope includes the identification of records designated as historical on the retention schedule, the application of standard appraisal criteria at the end of the official retention period, and the processing and arrangement of historical records.

5.1.1 Processing and arrangement for paper records include:

- 5.1.1.1 Removal of hardware (staples, brads, and other fasteners)
- 5.1.1.2 Placing documents in acid free folders and boxes that meet the standards for archival preservation.
- 5.1.1.3 Preparation of inventories and finding guides to the historical records.

## 6.0 PROCEDURE

- 6.1 The policy applies to all ~~Sanitation District~~ OC San and contract staff who create, receive, or maintain ~~Sanitation District~~ OC San records.

	Orange County Sanitation District	Procedure Number: 8.0
	<b>RECORDS MANAGEMENT PROCEDURE MANUAL</b>	Effective Date: <u>9/23/2020xx/xx/xxxx</u>
		Supersedes: <u>23/2020</u>
<b>SUBJECT:</b>	<b>RECORDS MANAGEMENT PROGRAM AUDIT AND COMPLIANCE REVIEW</b>	Approved by: OC San Board of Directors

## 1.0 INTRODUCTION


- 1.1 The Records Management Program Compliance Audit reviews and monitors compliance with the Orange County Sanitation District's (~~Sanitation District~~ OC San) Records Management Program.
- 1.2 Periodically, ~~the~~ Records Management ~~Specialist~~ conducts a compliance audit with several Divisions.
- 1.3 All Divisions should complete the audit process every two years.

## 2.0 PURPOSE

- 2.1 The purpose of the Records Management Program Compliance Audit is to ensure that all OC San ~~Sanitation District~~ records are created, received, maintained, and disposed of in accordance with the Board of Directors approved Records Management Policy and Procedure.

## 3.0 PROGRAM PROCEDURES

<u>Responsibility</u>	<u>Action</u>
<b>Records Management Specialist/Assistant Clerk of the Board</b>	<p>Review how Division records are kept, where they are located, in what format (hardcopy or electronic), and security (who has access).</p> <p>Compare records eligible to be destroyed with those actually destroyed by the Division. Note any records series destroyed prematurely or that have been retained beyond the approved destruction date.</p> <p>Review with staff, their knowledge and understanding of the <del>Sanitation District</del> <u>OC San</u> Records Management Program, particularly the Records Retention Schedule and Records Disposition Policy.</p>

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~~Write-Run~~ a summary report of findings with recommended corrective action, if necessary, such as additional training or revisions to existing documentation. Submit the report to the Division Manager and Department Head.

**Division  
Records  
Coordinator**

Assist ~~Records Management Specialist~~ the Assistant Clerk of the Board in conducting the records compliance review in the designated Divisions.


Respond to the summary audit report findings by identifying which corrective actions are planned or have been completed.

Inform Records Management of changes within the Division and business practices that potentially may have an effect on the Records Management Program.

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	<b>RECORDS MANAGEMENT POLICY &amp; PROCEDURE MANUAL</b>	Effective Date: xx/xx/xxxx
		Supersedes: <u>23/2020</u>
<b>SUBJECT: RECORD HOLD AND RELEASE</b>		Approved by: OC San Board of Directors

## 1.0 INTRODUCTION

- 1.1 At any time during the life of a record or record series, there may be circumstances that require the “holding” or suspension of destruction of certain record series or types of records from being disposed of due to reasons specified by the legal counsel, auditors, or department managers.
- 1.2 Destruction suspension is a hold placed on the scheduled destruction of records that may be relevant to foreseeable or pending litigation, governmental investigation, audit, special organizational requirements, or other business needs not contemplated when the records were originally scheduled for disposal.
- 1.21 The five types of holds are:
- A. RIM Hold – used when there is cause for Records Management to research records for inconsistent, missing or incorrect information
  - B. Legal/Regulatory Hold - Financial Audits and Anticipated or Pending Litigation
  - C. Department Hold – Request from a department with justification
  - D. Historical Hold – Preservation with justification
  - E. Retention Schedule Change Hold – used when a change, addition, or deletion is required until the time the RRS can be changed
- 1.3 Depending upon the circumstances, a “Record Hold” may require the retention of all documents of a certain kind, whether they are hard copy records, electronic records, or non-records, as defined in Procedure 4.0.

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- 1.4 Once a “Record Hold” has been placed on particular records or record series, the records will not be disposed of until a “Record Release” has been issued by a Record Hold Requestor.

## 2.0 PURPOSE

- 2.1 The purpose of this procedure is to describe the procedures for suspending destruction or placing a hold on the destruction of records that may be relevant to foreseeable or pending litigation, governmental investigations, audits, or other special ~~Sanitation District-OC San~~ requirements, and for releasing the hold when it is no longer necessary.
- 2.2 This procedure requires that the Clerk of the Board, ~~Records Management Specialist~~Assistant Clerk of the Board, and Division Records Coordinators be notified when holds on the destruction of certain records are necessary.
- 2.3 This procedure ensures that records subject to holds for any purpose, are maintained until resolution or conclusion of the matter.

## 3.0 SCOPE


- 3.1 This Procedure documents the process of suspending destruction or placing a hold on the destruction of records.
- 3.2 This Procedure applies to **any record, non-record, or transitory record, in any format, at any time** during the life of the record or transitory record.

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#### 4.0 PROCEDURES FOR REQUESTING RECORDS DESTRUCTION HOLD


Responsibility	Action
Legal Counsel Division Managers	<ul style="list-style-type: none"> <li>Upon becoming aware of the need for the suspension of destruction of certain <del>Sanitation District</del> <u>OC San</u> records that may be relevant to <u>foreseeable</u> or <u>pending</u> litigation, governmental investigations, audits, other special <del>District</del> <u>OC San</u> requirements, or other business reasons, notify the Clerk of the Board.</li> </ul>
Clerk of the Board/ <del>Records Management Specialist</del> <u>Assistant Clerk of the Board</u>	<ul style="list-style-type: none"> <li>Review all documentation submitted by Record Hold Requestor. Contact Record Hold Requestor to clarify scope of requested Hold if necessary.</li> <li>Upload all information to GovQA Legal Holds to reflect the Hold and the Estimated Date of Release.</li> <li>Route Legal Hold to EMT, IT, Manager, and Records Coordinators in <u>all</u> affected Divisions along with any specific instructions.</li> </ul>
Division Records Coordinators	<ul style="list-style-type: none"> <li>Review and file all Record Hold &amp; Release Forms forwarded by GovQA portal.</li> <li>Prior to purging files in accordance with Procedure 4.0 or completing a Request for Authorization to Destroy Records, cross-reference records identified to be purged or destroyed against Record Hold Requests on file. Identify documents subject to a Record Hold. <b>Do not purge or request destruction of any documents subject to a Record Hold.</b></li> <li>The EDMS Administrator (IT) will place a Legal Hold on relevant records in the EDMS System.</li> </ul>




 <b>OC SAN</b> <small>ORANGE COUNTY SANITATION DISTRICT</small>	Orange County Sanitation District	Procedure Number: 9.0
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<b>SUBJECT: RECORD HOLD AND RELEASE</b>	Approved by: OC San Board of Directors	

## 5.0 PROCEDURES FOR REQUESTING RELEASE OF RECORDS DESTRUCTION HOLD

Responsibility	Action
Clerk of the Board/ <del>Records Management Specialist Assistant</del> <u>Clerk of the Board</u>	<ul style="list-style-type: none"> <li>Periodically review Record Hold &amp; Release GovQA portal and identify Estimated Dates of Release for previously placed Records Destruction Holds.</li> <li>If the Estimated Date of Release on a Record Hold has passed, contact the Record Hold Requestor to inquire whether release of the Hold is appropriate. If the Record Hold Requestor indicates that release of the Hold is appropriate, route a Release Form through GovQA to the Record Hold Requestor and request completion. If the Record Hold Requestor indicates that release of the Hold is not yet appropriate, obtain and note the new Estimated Date of Release.</li> </ul>
Legal Counsel and Division Managers	<ul style="list-style-type: none"> <li>Upon determining that a Hold on the destruction of certain <del>District</del> <u>OC San</u> records is no longer needed, the originator of the Record Hold shall notify the Clerk of the Board <del>—</del> through the GovQA portal with any specific instructions.</li> </ul>
<del>Records Management Specialist Assistant</del> <u>Clerk of the Board</u>	<ul style="list-style-type: none"> <li>Review Authorization for Release and update GovQA. Route release to Records Coordinators in all affected Divisions, along with any specific instructions.</li> </ul>

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<b>Responsibility</b>	<b>Action</b>
Division Records Coordinators	<ul style="list-style-type: none"> <li>Review Authorization for Release forwarded by the <del>Records Management Specialist</del><u>Assistant Clerk of the Board</u>.</li> <li>Identify documents within scope of Authorization for Release and remove any notation of prior Hold. Any transitory records or records falling within the scope of the Authorization for Release may be purged or destroyed in accordance with Procedures 4.0 and 5.0, respectively.</li> <li>The EDMS Administrator will manually release the Administrative Hold in the EDMS System.</li> </ul>


	Orange County Sanitation District	Procedure Number: 10.0
	<b>RECORDS MANAGEMENT POLICY &amp; PROCEDURE MANUAL</b>	Effective Date: <u>9/23/2020xx/xx/xxxx</u>
		Supersedes: <u>22/2010</u>
<b>SUBJECT:</b>	<b>PUBLIC RECORDS ACT - RELEASE OF RECORDS TO THE PUBLIC</b>	Approved by: OC San Board of Directors

## 1.0 STATEMENT OF POLICY AND LAW

The California Public Records Act (Government Code §6250 et seq.) (the “CPRA” or “Act”) declares that access to information concerning the conduct of the people’s business is a fundamental and necessary right of every person. In furtherance of that policy, the Act mandates, with specified exceptions, that public records are open to inspection at all times during the office hours of state and local agencies. The Act, however, recognizes a number of specific statutory exemptions to the general rule of public disclosure. The Act also authorizes local agencies to adopt procedures for making records available and for recovering the direct costs of duplicating those records.

The spirit of the Act, and the policy of the Orange County Sanitation District (~~Sanitation District~~OC San), is to permit access to all disclosable public records in the possession of OC San~~the Sanitation District~~, unless doing so would constitute an unwarranted invasion of personal privacy or the request calls for the production of records that are exempt from disclosure under the Act. Other records may be kept confidential on a case-by-case basis only after an OC San~~Sanitation District~~ determination that the public interest served by non-disclosure clearly outweighs the public interest served by disclosure. An example of that type of record would be preliminary drafts of agreements prepared to facilitate discussion and/or negotiations, if disclosure prior to final agreement would have an adverse effect on the negotiation process. However, such analysis will usually involve the assistance of General Counsel.

In addition, California courts have also recognized that certain records need not be disclosed if disclosure would reveal the public agency’s decision-making process in such a way as to discourage candid discussion within the agency, which would thereby undermine the agency’s ability to perform its functions.


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		Supersedes: <del>22/2010</del>
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## 2.0 PROCEDURE

- 1.1 The Clerk of the Board/Custodian of Records (PRA Team) receives and processes all Public Records requests in accordance with Government Code Section 6250 - 6270.7. California Public Records Act and ~~Sanitation District OC San~~ Board approved Policy Resolution No. ~~OCSD 18-22~~OC SAN 21-08. The PRA Team interprets each public record request in accordance with Government Code Section 6253.1 and attempts to assist members of the public to identify the record that contains the information they request.
- 1.2 ~~The Sanitation District OC San~~ uses the GovQA Public Records Request Management Software (GovQA) to receive, correspond, route, track, and respond to Public Records requests.
- 1.3 To ensure consistency with the process of records requests, if a Department/Division receives a request from the public or agency to provide public records, the Department/Division should direct the requestor to the [OC San Public Records Portal](#) on the ocsan.gov website so that the request may be routed and tracked in the GovQA portal for response. The PRA team should be notified and will be able to assist.

## 2.0 PROCESS

- 2.1 Requests are received by ~~the Sanitation District OC San~~ and placed in GovQA by either the requestor or in a few cases the PRA Team; and ~~the Sanitation District OC San~~ Staff users/approvers enter the portal to respond or upload documents to fulfill the request.
- 2.2 When a request is initially received, the PRA Team immediately responds to the requestor, via GovQA, with an email receipt of request that provides a legal explanation of the PRA process. The PRA Team determines if the request is complete or requires clarification (e.g., too broad; apparent typographical errors; etc.). If necessary, the PRA Team contacts the requestor for clarification.


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If the PRA Team and Department Head believe that employee rights or significant interests of ~~the Sanitation District~~ OC San could be compromised by the requested disclosure, the PRA team and Department Head shall discuss the request with General Counsel prior to making such disclosure.

### 2.3 TIMELINESS.

Although ~~Sanitation District~~ OC San policy encourages a quicker response, the CPRA requires that the person requesting copies of ~~Sanitation District~~ OC San records be notified within ten (10) calendar days of OC San's ~~the Sanitation District's~~ determination as to whether the request, in whole or in part, calls for the production of disclosable, non-privileged records that are in the possession of ~~the Sanitation District~~ OC San. Occasionally, where assistance of General Counsel is appropriate for example, the full ten (10) calendar days may be required in order to make the requisite determination. Under the Act, the Sanitation District may also be entitled to an additional fourteen (14) calendar days in which to make its initial determination under the following four (4) circumstances:

- 2.3.1. There is a need to search for and collect the requested documents from other offices, or offsite storage, separate from the office processing the request;
- 2.3.2. There is a need to search for, collect, and examine a voluminous amount of separate and distinct records which are demanded in a single request; or
- 2.3.3. There is a need to consult with another Agency or Department having a substantial interest in the determination of the request. This includes requests for Certified Payrolls from an OC San ~~Sanitation District~~ Contractor or Sub-Contractor.

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2.3.4. In the case of electronic records, there is a need to compile data, write programming language or a computer program, or to construct a computer report to extract data.

If the additional fourteen (14) calendar days are needed, either the General Counsel or PRA Team must notify the Requestor, in writing, of the reason or reasons for the fourteen (14) day extension and the date on which the determination is expected.


If the final determination is to deny a request to inspect or copy OC San Sanitation District records, the General Counsel or the PRA Team shall notify the Requestor, in writing, of the reasons for the denial.

2.4 PARTIAL DISCLOSURE.

If portions of the requested record(s) are determined to be exempt from disclosure and those portions can be reasonably segregated from the rest of the record(s) by deletion, redaction or other means, the non-exempt portion shall be provided to the Requestor.

2.5 COST OF COPIES.

Under the Act, the Sanitation District OC San is entitled to be reimbursed by the Requestor for the direct costs of duplication. The Sanitation District OC San has, however, made a policy determination to not charge the Requestor for the first ten (10) pages. If a Public Records Act request calls for the production of records in excess of ten (10) pages, then the Requestor shall be required to pay twenty-five cents per page for each additional page, which shall be reimbursement of OC San's the Sanitation District's direct costs for duplication. The reimbursement rate shall not include recovery of costs for staff time spent searching for, retrieving, reviewing, evaluating and/or handling of responsive records. At the sole discretion of the Sanitation District OC San, the Sanitation District OC San may require the Requestor to

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submit, in advance, a check based on the estimated direct duplication costs.

Electronic records, which can easily be transmitted to the Requestor via GovQA will not be subject to the twenty-five cents per page copying charge.

At the sole discretion of ~~the Sanitation District OC San~~, and depending on the estimated number of responsive records, the Requestor or ~~the Sanitation District OC San~~ may retain the professional reprographic services of a bonded copy service. The Requestor shall be required to pay for or reimburse ~~the Sanitation District OC San~~ for the direct costs of duplication associated with the use of a bonded copying service. In the event ~~the Sanitation District OC San~~ approves of the use of a bonded copying service, the Requestor may select and retain a bonded copying service; however, such selection shall be subject to ~~the Sanitation District's OC San's~~ approval.


2.6 COST OF VIDEOTAPES, AUDIOTAPES, COMPACT DISCS OR THUMB DRIVE.

The charge to the Requestor for copies of videotapes, audiotapes, compact disc, DVD recordings, or thumb drives shall be at OC San's ~~the District's~~ actual cost of reproduction.

2.7. MEDIA CONTACTS.

Employees are encouraged to refer all media contacts and media inquiries to the PAO Officer/Administration Manager. All information requests requiring production of records shall be processed in accordance with the terms of this Policy, and upon completion of the preparation of the copies, shall be delivered to the requesting media representative by the Administration Manager. Department Heads shall report any and all media contacts to the Administration Manager as soon as possible. The Administration Manager shall coordinate any action required by such contact with the Clerk of the Board and keep the appropriate



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Department Head, General Manager, and General Counsel informed.

## 2.8. FORMS.

GovQA generated forms and letters shall be used by ~~Sanitation District~~ OC San staff for purposes of complying with this administrative policy.

## 2.9 ACCESS TO FILES.

No member of the public and no ~~OC San Sanitation District~~ employee, other than an employee of the Department processing records, shall enter GovQA or any file cabinets, record storage areas or containers that hold ~~Sanitation District~~ OC San records, except when authorized by the PRA Team or Department head.

When a requestor is reviewing physical files, a member of ~~the Sanitation District~~ OC San staff must be present during the entire file review. This may be the Clerk of the Board or staff member of the Department that owns the records. The Requestor may not remove any records during the file review.


## 2.10. REMOVAL OF RECORDS.

The unauthorized removal of any record of ~~the Sanitation District~~ OC San is a violation of California Government Code Section 6201, and is punishable by imprisonment, or fine, or both.

## 2.11 LITIGATION DOCUMENTS.

The charge for all copies of any ~~Sanitation District~~ OC San document or record produced pursuant to a subpoena or request for production of documents issued by a Court or an authorized administrative or regulatory agency or tribunal, shall be twenty-five (\$.25) cents per page to reimburse ~~the Sanitation District~~ OC San



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for its costs of research, retrieval, examination, handling, copying, and certification of the documents.

In the event, due to size or volume of the responsive records, special reproduction services are required, the person making the request shall pay the actual charges incurred for either ~~the Sanitation District's~~ OC San's in-house copy service, or an outside copy service.

For large records request, ~~the Sanitation District~~ OC San shall require an advance deposit based on the estimated direct copying costs. Said deposit shall be paid by the Requestor prior to ~~the Sanitation District~~ OC San commencing any work to obtain and copy the requested records.


Litigation document requests shall be handled by the General Counsel and the Clerk of the Board.

### 3.0 ROUTINE REQUESTS

3.1 If the PRA Team determines the nature of the request to be routine (e.g., Site Assessments, stale check data requests, contract documents etc.), the team will then determine which Department should receive the request and route it accordingly via GovQA. The following types of requests route directly to the staff liaison that has been pre-designated by the Manager or Department head:

A. Contracts and Purchasing If a request is made to either division, the entire division including the Supervisor and Manager are notified. The request is fulfilled, and the Supervisor or Manager approves prior to release. This prevents delays in turn around due to absenteeism. Routine requests include RFP/RFQ bidder information; cumulative purchase order lists; and contract compliance.

B. Environmental Services requests for Site Assessment data are routed to a designated staff member~~s~~ in Environmental Services

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and is only escalated to a Supervisor or Manager when there is an underlying issue with the property or a permittee.


- C. Finance Department routine requests for stale check data and Sewer Service Fees/Rebate requests automatically route to a designated staff member as determined by the Assistant General Manager/Director of Finance and Administrative Services.
- D. Planning/Engineering requests for Sewer connection/lateral maps and requests for Certified Payroll route to a designated staff member as determined by Assistant General Manager/Director of Operations and Maintenance.
- E. Human Resources requests are sent to a designated staff member as determined by the Human Resources Manager.

#### 4.0 NON-ROUTINE REQUESTS:


- 4.1 Non-routine requests consist of a variety of things. Examples of these are: All emails/correspondence for a certain staff member, which requires IT assistance for e-Discovery, requests from law offices, or any request that the Clerk of the Board believes or determines is related to anticipated or current litigation.
- 4.2 Non-routine requests are sent to the affected Manager, Executive Management and/or General Counsel before beginning the process. Each department will assist with the process for research and retrieval and approval of what is released to the public.

#### 5.0 COMPLETION

- 5.1 Once a request has been completed by the affected department/division, the request routes back to the PRA Team for final review before release. The review consists of checks for accuracy, confidentiality, or personal information, and redaction prior to its release.

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- 5.2 The Clerk of the Board will provide a weekly summary containing the number of PRA's received and processed with assigned department detail to the Administration Manager and/or General Manager.

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## 1.0 INTRODUCTION

1.1 The Electronic Communications Policy of the Records Management Program controls the maintenance and storage of Orange County Sanitation District (~~Sanitation District OC San~~) electronic mail records, text messages, instant messages, voicemail, and social media. Following the retention procedures ensures compliance with pertinent statutory, regulatory, operating, and administrative recordkeeping requirements. In addition, it ensures that records needed to conduct ~~Sanitation District OC San~~ business are protected and accessible. The Records Retention Schedule (RRS) is the foundation of the Program and defines the periods required to maintain ~~Sanitation District OC San~~ records, including all electronic communications. See Records Management Policy No. 4.0 for Records Classification.


## 2.0 PURPOSE

### 2.1 POLICY OBJECTIVES:

- 2.1.1 Provide clear and concise direction regarding use and retention of the Sanitation District's electronic communications systems, including electronic mail (email), text messaging, instant messages, and voicemail.
- 2.1.2 Comply with all applicable State and Federal laws and Sanitation District Personnel Policy 5.10 related to the use of email and all other forms of electronic communication.
- 2.1.3 Address the California Supreme Court's 2017 decision in *City of San Jose v. Superior Court of Santa Clara County*, holding that a Public Agency employee's communications related to the conduct of public business are subject to the California Public Records Act, even if they were sent or received using a personal account or personal device.

## 3.0 SCOPE/BACKGROUND

3.1 This policy applies to all persons (including employees, appointed officials, interns, and contractors) who are permitted to use the Sanitation District's

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computing or network resources, particularly the email functions of the system ("**Authorized Users**"). "**Email**" means any electronic communication to or from any Authorized Users using the Email System, including all information, data, and attachments to the electronic communication. "**Email System**" means the system of devices (including hardware, software, and other equipment) owned and controlled by the Sanitation District or the Authorized User for the purpose of facilitating the electronic transmission. "**Electronic Communications**" includes any and all electronic transmission, and every other means of recording upon any tangible thing in any form of communication or representation, including letters, words, pictures, sounds, symbols, or combinations thereof, and any record thereby created, regardless of the manner in which the record has been stored. Without limiting the nature of the foregoing, electronic communications include email, texts, instant messages, voicemails, and include communications on or within applications (apps) such as Facebook Messenger, Twitter, Microsoft Teams, etc.

## 4.0 POLICY

### 4.1 ROLES AND RESPONSIBILITIES


4.1.1 The Board Services and Information Technology (IT) divisions are responsible for administering this policy and procedure.

4.1.2 The ~~Sanitation District~~OC San Clerk of the Board and/or the ~~Records Management Specialist~~Assistant Clerk of the Board or Designee (Clerk), with the advice of General Counsel, will monitor compliance and make the final determination of official records of ~~the Sanitation District~~OC San.

4.1.3 All Authorized Users are responsible for compliance with this policy and procedure.

### 4.2 DEFINITION OF "OFFICIAL ~~SANITATION DISTRICT~~OC SAN RECORD":

Under this Policy, the definition of "**Official ~~Sanitation District~~OC San Record**" is the same as the definition provided in the California Public

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Records Act (Cal. Gov. Code § 6250 et seq.) (Public Records Act) for "public records" and "writing":


"... 'Public records' include any writing containing information relating to the conduct of the public's business prepared, owned, used, or retained by any state or local agency regardless of physical form or characteristics ..."

"... 'Writing' means any handwriting, typewriting, printing, photostating, photographing, photocopying, transmitting by electronic mail or facsimile, and every other means of recording upon any tangible thing any form of communication or representation, including letters, words, pictures, sounds, or symbols, or combinations thereof, and any record thereby created, regardless of the manner in which the record has been stored."

4.3 **ELECTRONIC COMMUNICATION RELATED TO SANITATION DISTRICT OC SAN BUSINESS IS AN OFFICIAL SANITATION DISTRICT OC SAN RECORD**

4.3.1 Email and other forms of electronic communication, such as voicemail, texts, instant messaging and social media posts, generate correspondence and other types of records that can be recognized as Official Sanitation District OC San Records and may be subject to disclosure under the Public Records Act. In addition, any Official Sanitation District OC San Record created through email and other forms of electronic communication must be protected and retained in accordance with records retention laws.

4.3.2 Messages transmitted using the Sanitation District OC San's Email System or Sanitation District OC San-owned equipment with capabilities for text messaging and/or voicemail, should be messages which involve Sanitation District OC San business activities and contain information essential to accomplishment of business-related tasks, or can otherwise be recognized as Official Sanitation District OC San Records. Any incidental (personal) email, text, instant message, or voice messages are not considered public records but may still be discoverable. All electronic communications are the property of the Sanitation District OC San.

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4.4 ~~SANITATION DISTRICT~~OC SAN EMAIL SYSTEM IS NOT FOR STORAGE

~~The Sanitation District~~OC San reserves the right to retrieve and make proper and lawful use of any and all electronic communications transmitted through ~~the Sanitation District~~OC San's Email System and any ~~Sanitation District~~OC San-owned and subsidized equipment. Although the use of electronic communications is considered official ~~Sanitation District~~OC San business, the ~~Sanitation District~~OC San's communications systems, including email, text messaging, instant messaging, and voicemail, are intended as a medium of communication only. Therefore, the Email System and any ~~Sanitation District~~OC San-owned or subsidized equipment such as cell phones should not be used for the electronic storage or maintenance of documentation, including, but not limited to, Official ~~Sanitation District~~OC San Records. Regarding email, the system administrator performs regular electronic back-up of the ~~Sanitation District~~OC San's Email System; however, the back-up is not a copy of all ~~Sanitation District~~OC San email activity that occurred during any given period.


**5.0 GUIDELINES FOR PROPER EMAIL USAGE**

5.1 Authorized Users are responsible for managing their mailboxes, including organizing and deleting any non-~~Sanitation District~~OC San related messages that do not constitute Official ~~Sanitation District~~OC San Records. Authorized Users are responsible for determining if emails contain substantive information regarding ~~Sanitation District~~OC San business or may later be important or useful for carrying out ~~Sanitation District~~OC San business, and thus could be considered as Official ~~Sanitation District~~OC San Records.

**6.0 USE OF SANITATION DISTRICT ELECTRONIC COMMUNICATIONS VIA PERSONAL ACCOUNTS**

6.1 ~~Sanitation District~~OC San accounts shall be used to conduct ~~Sanitation District~~OC San business. Authorized Users should not use personal accounts



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for the creation, transmission, or storage of electronic communications regarding ~~Sanitation District~~OC San business.


- 6.2 All Authorized Users shall, within 90 days following the adoption of this updated policy, search all private, non-governmental electronic messaging accounts to which they have user access and locate any electronic communications that might constitute an Official ~~Sanitation District~~OC San Record. All such communications shall be forwarded to the Authorized User's ~~Sanitation District~~OC San-provided account. To the extent the Authorized User believes that any part of such communications contains personal matter not related to the conduct of the public's business, the Authorized User shall provide a declaration, as set forth in Exhibit A.
- 6.3 If an Authorized User receives an electronic message regarding ~~Sanitation District~~OC San business on his/her non-~~Sanitation District~~OC San electronic messaging account, or circumstances require such person to conduct ~~Sanitation District~~OC San business on a non-~~Sanitation District~~OC San account, the Authorized User shall either: (a) copy ("**cc**") any communication from an Authorized User's personal electronic messaging account to his/her ~~Sanitation District~~OC San electronic messaging account; or (b) forward the associated electronic communication to his/her ~~Sanitation District~~OC San account no later than 10 days after the original creation or transmission of the electronic communication.
- 6.4 Authorized Users shall endeavor to ask persons sending electronic communications regarding ~~Sanitation District~~OC San business to a personal account to instead utilize the Authorized User's business account and, likewise, shall endeavor to ask a person sending an electronic communication regarding non-~~Sanitation District~~OC San business to use the Authorized User's personal or non-~~Sanitation District~~OC San electronic messaging account.

## 7.0 ELECTRONIC COMMUNICATIONS AND PRIVACY

### 7.1 NO EXPECTATION OF PRIVACY

7.1.1 Personnel Policy 5.10 states that ~~Sanitation District~~OC San Electronic Communication devices are the exclusive property of ~~the Sanitation~~



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~~District~~OC San. Authorized Users have no right or expectation of privacy or confidentiality in any message created, sent, received, deleted, or stored using ~~the Sanitation District~~OC San Email System or any ~~Sanitation District~~OC San-owned or subsidized communication devices. All messages and any attachments on ~~the Sanitation District's~~OC San's computer network, Email System, ~~Sanitation District~~OC San-owned system or device, or ~~Sanitation District~~OC San subsidized communication device are subject to ~~Sanitation District~~OC San review and disclosure of electronic communications regarding ~~Sanitation District~~OC San business.

7.1.2 Electronic communications regarding ~~Sanitation District~~OC San business that are created, sent, received, or stored on an electronic messaging account may be subject to the Public Records Act, even if created, sent, received, or stored on a personal account or personal device. Most communications that include Authorized Users are not confidential communications; however, certain communications such as investigations, personnel records, or attorney-client communications may be confidential or contain confidential information. Questions about whether communications are confidential, and how they are to be preserved, should be discussed with the Clerk.

## 7.2 USE CAUTION WITH CONFIDENTIAL INFORMATION

All Authorized Users must exercise a greater degree of caution in sending confidential information on ~~the Sanitation District~~OC San's electronic communications systems than they take with other media because of the risk that such information may be copied and/or retransmitted. All email correspondence containing confidential information should be tagged as such and stored in a clearly labeled confidential folder to protect and preserve the privacy and confidentiality of the record. When in doubt, do not use email, text messaging, instant messaging, or voicemail as a means of confidential communication.

## 8.0 PUBLIC RECORDS REQUESTS, RETENTION, AND DESTRUCTION

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Electronic communications are a business tool which shall be used in accordance with generally accepted business practices and all Federal and State laws, including the California Public Records Act, to provide an efficient and effective means of intra-agency and interagency communication. Under most circumstances, communications sent electronically are public records, subject to disclosure under the California Public Records Act and subject to records retention laws applicable to a variety of government agencies.


8.1 PRESERVING ELECTRONIC MESSAGES - PUBLIC RECORDS ACT REQUESTS, SUBPOENAS, CLAIMS, AND POTENTIAL CLAIMS AGAINST ~~THE SANITATION DISTRICT~~OC SAN

~~The Sanitation District~~OC SAN receives requests for inspection or production of documents pursuant to the Public Records Act, as well as subpoenas or court orders for documents. In the event such a request or demand includes electronic messages, Authorized Users who have control over or access to any such messages, once they become aware of the request or demand, shall use their best efforts, by reasonable means available, to temporarily preserve any such message until it is determined whether the message is subject to preservation, public inspection, or disclosure. Authorized Users shall contact the Clerk regarding any such messages that are within their control.

8.2 CALIFORNIA PUBLIC RECORDS ACT

8.2.1 In the event a Public Records Act request is received by ~~the Sanitation District~~OC San seeking electronic communications of Authorized Users, the Clerk shall promptly transmit the request to the applicable Authorized User whose electronic communications are sought. The Clerk shall communicate the scope of the information requested to the applicable Authorized User, and an estimate of the time within which the Clerk intends to provide any responsive electronic communications to the requesting party.

8.2.2 It shall be the duty of each Authorized User receiving such a request from the Clerk to promptly conduct a good faith and diligent search of all Business and Personal electronic messaging accounts and devices for responsive electronic communications. The Authorized User shall then

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promptly transmit any responsive electronic communications to the Clerk. Such transmission shall be provided in sufficient time to enable the Clerk to adequately review and provide the disclosable electronic communications to the requesting party. If the Authorized User is unable to transmit the responsive communications, the IT division has the ability to extract the pertinent communications and ensure the appropriate metadata is preserved.

8.2.3 Based on the nature of the Public Records Act request, the Clerk may also request an eDiscovery of all electronic email records and instant messages through the IT division.


8.2.4 In the event an Authorized User does not possess responsive electronic communications from ~~the Sanitation District~~OC San's owned or subsidized electronic messaging account, the Authorized User shall so notify the Clerk by way of a written declaration (Exhibit A).

### 8.3 AUTOMATIC DELETION OF EMAIL

~~The Sanitation District~~OC San's email system automatically deletes ~~Sanitation District~~OC San emails, including any text messages that become emails, which are more than **24 months** old from "Inbox" and "Sent" email folders of each ~~Sanitation District~~OC San email user. Email in "Deleted" folders will be automatically removed after **ninety (90)** days.

### 8.4 EMAIL FOLDER MANAGEMENT

8.4.1 Authorized Users are responsible for the daily management of their email boxes and associated folders. To ensure maximum efficiency in the operation of the Email System, Authorized Users are directed to delete email messages that are NOT Official ~~Sanitation District~~OC San Records from their inboxes on a weekly basis. These Transitory email records, based on the content of the information which only have a retention value of a few days or weeks, can be deleted from the Email Inbox upon review and determination when the purpose of the information has been fulfilled - which can be any time up to 90 days. **All email records moved to Deleted will be automatically purged by IT after 90 days.**

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Examples of such messages are personal emails, solicitations, email advertisements/ announcements, or newsletters.

8.4.2 ~~If~~ email messages that are not Official ~~Sanitation District~~OC San Records are necessary for transitory work, preliminary drafts, or preparation of work product or personal notes, Authorized Users should either move the record to a dedicated email (working) folder, print the email and maintain the paper copy, or create a PDF version of the email (save as PDF) and store the file in an electronic folder on ~~the Sanitation District~~OC San's network drive (OneDrive, SharePoint and SharePoint Online) to be deleted when no longer needed.


8.4.3 Attachments to email messages should be retained or disposed of according to the content of the attachment itself, not according to the email transmitting the attachment. Many email attachments are duplicates of existing documents or are draft versions of documents that might not be retained by ~~the Sanitation District~~OC San after the final version of the document is complete. If you need help in determining whether an attachment to an email message must be retained, please contact the Clerk.

## 8.5 DETERMINATION OF RECORD

In accordance with Records Management Policy 4.0, it is the responsibility of Authorized Users to determine if an electronic communication is an Official ~~Sanitation District~~OC San Record which must be retained in accordance with ~~the Sanitation District~~OC San's Records Retention Policy. Electronic communication messages (including any attachments) that are deemed to be Official ~~Sanitation District~~OC San Records shall be preserved. Authorized Users shall consider the content of an electronic communication when determining if it is an Official ~~Sanitation District~~OC San Record. The Clerk can assist in making such a determination. In addition, following is a general guideline for determining whether an electronic communication is an Official ~~Sanitation District~~OC San Record:

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<b>SUBJECT:</b>	<b>ELECTRONIC COMMUNICATIONS POLICY</b>	Approved by: OC San Board of Directors

<b>Electronic Communications that are generally considered as Public Records</b>	<b>Electronic Communications that are generally NOT considered as Public Records</b>
(Retention time is 2 years or more)	(Retention time is no more than 90 days)
Electronic Communication that is created or received in connection with official <del>Sanitation District OC San</del> business.	Personal messages and announcements not related to official <del>Sanitation District OC San</del> business.
Electronic Communication that shows how an <del>Sanitation District OC San</del> policy was created or how a decision was made by <del>Sanitation District OC San</del> staff and/or the <del>Sanitation District OC San</del> Board of Directors.	Duplicate documents (copies or excerpts) distributed for convenience or reference.
Electronic Communication that begins, authorizes, or completes an item or a transaction of official <del>Sanitation District OC San</del> business.	Transmittal messages that merely assist the flow of work.
Electronic Communication that documents significant official decisions or commitments reached verbally (person-to-person, by phone, or in conference) and not otherwise documented in <del>Sanitation District OC San</del> files.	Electronic Communications containing preliminary drafts, notes, or interagency or intra-agency memos that are not retained in the ordinary course of business. Gov. Code § 6254(a). Records that are normally retained do not qualify for this exemption.

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## 8.6 ELECTRONIC COMMUNICATIONS UPON TERMINATION

Upon an Authorized User's retirement or termination, IT will forward the user's Electronic communications to the immediate supervisor for review. In accordance with the policy herein, it is the Supervisor's duty to review and determine which email/text messages, voicemails etc. should be preserved, retained, or disposed of according to the content of the email and following the approved Sanitation District OC San's Records Retention Schedule.

Once determined, the Supervisor should either transfer the records to a dedicated email (working) folder in their email inbox, print the communication and maintain the paper copy, or create a PDF version of the email (save as PDF) and store the file in an electronic folder on OC San the Sanitation District's network drive (OneDrive, SharePoint and SharePoint Online) to be retained or to be deleted when no longer needed. Once completed, IT will dispose of the entire mailbox after 90 days unless otherwise requested by supervisor.


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Exhibit "A"

<p>In the matter of:</p> <p>California Public Records Act Request Pursuant to Gov. Code § 6250 <i>et seq.</i></p> <p>Re:</p> <p>_____</p> <p>Insert name of record request</p> <p>Request #: _____</p>	<p>Declaration of:</p> <p>_____</p> <p>Print or type name of user</p> <p><b>DECLARATION REGARDING SEARCH OF PERSONAL ELECTRONIC MESSAGING ACCOUNTS</b></p>
--	--


STATE OF CALIFORNIA  
COUNTY OF ORANGE  
ORANGE COUNTY SANITATION DISTRICT

I, \_\_\_\_\_ declare:  
Print name

- I received notice of a California Public Records Act ("CPRA") request regarding a search of my personal electronic messaging account(s).
- I understand that the CPRA request seeks:

\_\_\_\_\_  
*Insert text of CPRA request.*



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3. I am the owner or authorized user of the following personal electronic messaging account and have the authority to certify the records:

---

*Insert description of personal electronic messaging account(s).*

4. I have made a good faith, diligent, thorough, and complete search of the above mentioned personal electronic messaging account(s) for all electronic communications potentially responsive to the above mentioned CPRA request.
5. Any responsive electronic communications discovered, and referenced below, were prepared, or used by me in the ordinary course of business at or near the time of the act, condition, or event.
6. Any responsive electronic communications discovered, and referenced below, are true copies of all records described in the above mentioned CPRA request.

*Check the applicable box:*

- I certify that I do not possess responsive electronic communications.
- I certify that I cannot reasonably recover responsive electronic communications without technical assistance.

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---



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*Explain efforts to retrieve responsive electronic communications and why you were unable to recover responsive electronic communications. Add technical assistance required.*


- I certify that I discovered potentially responsive electronic communications from my personal electronic messaging account, but I am withholding that information because the information is “personal” business. This is for the following reasons:

---



---



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*Describe with sufficient facts why the contested information is personal business and not subject to the CPRA. Attach additional pages, if necessary.*

- I certify that I discovered potentially responsive electronic communications from my personal electronic messaging account. I am providing all responsive information. However, some information is non-responsive, and I am withholding that information, because the information is personal business. This is for the following reasons:

---



---



---


*Describe with sufficient facts why the contested information is personal business and not subject to the CPRA. Attach additional pages, if necessary.*

I declare under penalty of perjury under the laws of the State of California that the foregoing is true and correct and that I have personal knowledge of the facts set forth above.

Executed this \_\_\_\_ day of \_\_\_\_\_ 20\_\_\_\_, in \_\_\_\_\_, California.

By: \_\_\_\_\_

Print Name: \_\_\_\_\_

 <b>RECORDS MANAGEMENT POLICY &amp; PROCEDURE MANUAL</b>	Orange County Sanitation District	Procedure Number: 12.0
	<b>RECORDS MANAGEMENT POLICY &amp; PROCEDURE MANUAL</b>	Effective Date: <u>5/26/2021</u> <del>xx-xx-xxxx</del>
		Supersedes: <u>5/26/2021</u>
<b>SUBJECT: ESCROW OF BID DOCUMENTS</b>	Approved by: OC San Board of Directors	

*This Procedure applies only to Invitation for Bids (IFBs) with an award amount of \$10,000,000 or more, to the lowest responsive, responsible bidder.*


## 1.0 PRE-BID

- 1.1 If Escrow of Bid Documents (Escrow) is required (per Bid Requirements Form), Contracts Administrator (CA) will notify Records Management the need for escrow and will establish a time and date for Bidders to submit their Bid Documents for escrow as specified in the Special Provisions, “Escrow of Bid Documents.”
  - a. This date and time of submission will be within the date and time set forth in the Contract’s Special Provisions.
  - b. The date must also be coordinated with Records Management’s schedule (e.g., check to see that if the Escrow Bid Document submission date is on a Friday, Records Management is available).
- 1.2 CA submits a Meeting Planner to reserve a room in the Administration Building for receipt of the Bid Documents for escrow.
- 1.3 CA schedules a meeting with Records Management, via Outlook Calendar, on the date and time scheduled for receipt of Bid Documents for escrow.
- 1.4 Upon receipt of the Outlook meeting request, Records Management schedules the date for Offsite Storage (GRM) to transfer the Escrow Bid Documents to offsite storage.
- 1.5 GRM requires 24 hours’ notice for pick-up, and usually picks up between 11:00 a.m. and 2:00 p.m. (Therefore, it is best to schedule receipt of the Bid Documents in the morning)

## 2.0 BID OPENING

- 2.1 At Bid Opening, OC San announces the two (2) lowest Bidders who will be required to submit their Bid Documents for escrow within the date and time set forth in the Special Provisions.

~~2.4~~


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2.2 At the Bid Opening, Bidders shall be reminded that:

2.2.1 Failure to timely submit Bid Documents for escrow may result in a Bidder being deemed non-responsive.

2.2.2 Escrowed Bid Documents must be delivered in a sealed container, marked with the project name and the words "Escrowed Bid Documents." If Bidders are not using a safe, Bidders should use a regular document storage size box (10"x12"x15").

2.3 The Escrowed Bid Documents shall be accompanied with a Bid Document Certification, signed by an individual authorized by the Bidder to execute the Bidding proposal, stating that the material in the Escrowed Bid Documents constitutes the complete, only, and all documentary information used in preparation of the Bid and that he or she has personally examined the contents of the Escrowed Bid Documents container and has found that the documents in the container are complete.



**BID DOCUMENT CERTIFICATION FOR ESCROW**

(Project Number)

(Project Name and information)

The material in the Escrow Bid Documents constitutes the complete, only, and all documentary information used in preparation of the Bid and by the authorized signature below Bidder represents that he or she has personally examined the contents of the Escrow Bid Documents container and has found that the documents in the container are complete.

\_\_\_\_\_


Signature of individual authorized by the Bidder to execute the Bidding Proposal

Printed Name \_\_\_\_\_ Title \_\_\_\_\_

Company \_\_\_\_\_

Date \_\_\_\_\_

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### 3.0 POST BID OPENING

3.1 After Bid Opening, but no later than the date and time for receipt of Escrow Bid Documents, Records Management will prepare a “Records Storage Facility Transfer Request,” for *each* Bidder’s Escrowed Bid Documents.

OC-San-Escrow-Records-Storage-Transfer-Request-&-Tracking		Date: 05/05/2021	
Project Number and Name: P1-128A, Headworks Complex at Plant No. 1 Contractor: Swinerton Builders Requestor: Digna Olmos Division Name and Number: Contracts-230		<b>Offsite Storage Location &amp; Tracking Barcode:</b> AFFIX BAR CODE HERE	
Meeting/Transacting Date	Transaction/Activity	Authorization Signatures	Comments/Notes
Original Records Intake 05-05-2021 / 9:00 a.m.	Intake of Escrow Bid Documents Meeting	Contractor Representative Print Name Contractor Representative Signature	Information Recorded on Escrow Inventory
05-05-2021	Escrow Bid Documents Sent Offsite	Records Management Print Name Records Management Signature	Information Recorded on Escrow Inventory
Document Review Meeting (If Applicable) Date & Time:	Escrow Bid Documents Retrieval & Review <input type="checkbox"/> Check here if inventory of records (Contracts document) added to storage container	Records Management Print Name Records Management Signature Contractor Representative Print Name Contractor Representative Signature	If applicable, escrow records inspected by contractor(s) and OC San staff. Documents not officially released and will be resealed and sent back offsite. Date sent offsite:
Date Pending	Release of Escrow Bid Documents Meeting	Contractor Representative Print Name Contractor Representative Signature	
Storage Intake Approved By: → → → → → → Date:			
OC-San-Records-Management			
Storage Permout Approved By: → → → → → → Permout Date:			
OC-San-Records-Management			

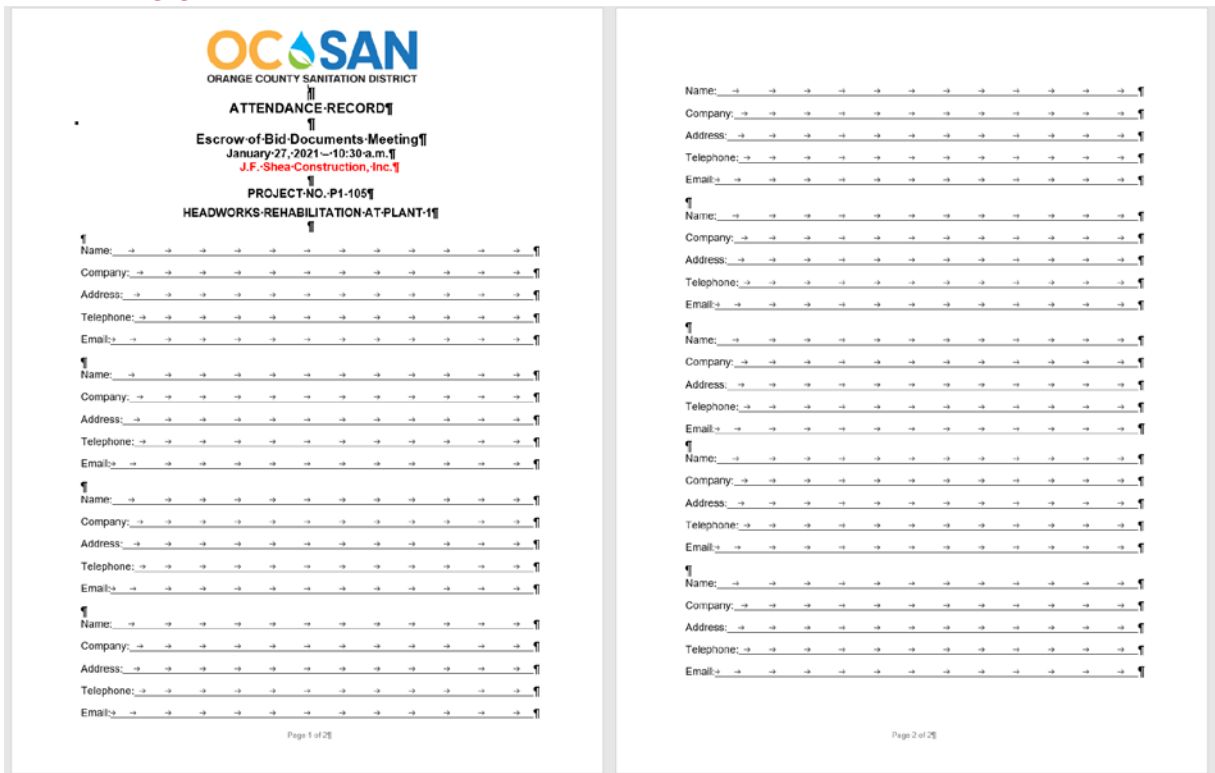
A separate form is required for each Bidder’s Escrowed Bid Documents due to the fact each Bidder’s escrow box is assigned a separate bar

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code to be affixed to the Form. Also, each Bidder must sign the Records Storage Facility Transfer Request Form applicable to their documents. After the meeting – scan and save a copy of all documents.


3.2 In preparation for the arrival of Bidders on the date set for receipt of Escrowed Bid Documents, the CA shall prepare an attendance sign-in record form for record of attendance. The representative of each company and all the OC San staff in attendance must fill out. A copy should be made and provided to each representative of the company delivering documents and the original kept on file with Record Management.

3.3



The image shows two pages of an attendance record form. The top page (Page 1 of 2) features the OC SAN logo and the following text: "ATTENDANCE-RECORD", "Escrow-of-Bid-Documents-Meeting", "January-27,-2021--10:30-a.m.", "J.F.-Shea-Construction, Inc.", "PROJECT-NO.-P1-105", and "HEADWORKS-REHABILITATION-AT-PLANT-1". Below this, there are five sets of input fields for Name, Company, Address, Telephone, and Email. The bottom page (Page 2 of 2) contains another five sets of these same input fields.

3.43.3 At the time and date for submission of Bid Documents for escrow, the two lowest Bidders will hand deliver their Bid Documents to OC San Records Management and the CA. OC San Staff /Contractor will open and review the contents together at OC San.

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3.53.4 Each Bidder will fill out and sign an “Intake of Escrow Bid Documents” previously filled out by Records Management.



RECORD OF RECEIPT FOR:

Intake of Escrow Bid Documents

May 5, 2021 ~ 9:00 a.m.

**Swinerton Builders**

PROJECT NO. P1-128A

HEADWORKS COMPLEX AT PLANT NO. 1

NUMBER OF BOXES: → → → → →

Documents Delivered By:

Name: → → → → → → → → → → →

Company: → → → → → → → → → → →

Address: → → → → → → → → → → →

Telephone: → → → → → → → → → → →

Email: → → → → → → → → → → →

Signature: → → → → → → → → → → →

Documents Intake By:

Name: → → → → → → → → → → →

Company: → Orange County Sanitation District → → → → →


Address: → 10844 Ellis Avenue, Fountain Valley, CA 92708 → → → → →

Telephone: → → → → → → → → → → →

Email: → → → → → → → → → → →

Signature: → → → → → → → → → → →

3.63.5 After OC San approves of the documentation in the Bidders’ Bid Documents, OC San Records Management will affix GRM bar codes and ID numbers on Records Storage Transfer form and to each Bidder’s Escrowed Bid Document box. The Bidders and Records Management shall all sign the completed Records Storage Facility Transfer Request.

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3.73.6 Each Bidder, the CA, and Records Management will receive a copy of the completed form for their records and future reference.

3.83.7 GRM will thereafter take possession of the apparent two low bidder's Escrowed Bid Documents and transfer them to its document storage facility.


#### 4.0 AFTER CONTRACT AWARD

4.1 Following the Award of the Contract, OC San will return the Escrowed Bid Documents to the unsuccessful Bidder(s). The CA and Records Management will complete the Release of Escrow Bid Documents Record of Release and obtain receipt signatures from the Bidder(s) and Records Management.

#### 5.0 EXCEPTIONS

5.1 In the event of a bid protest or other problem with the apparent low bid, the CA will contact the third and perhaps fourth apparent low bidders and complete procedure numbers 9 and 10 above.

5.2 For Design-Build (DB) Projects, only the Proposal Documents of the successful proposer will be escrowed, after the award of contract by the Board of Directors.

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		Supersedes:
<b>SUBJECT:</b>	<b>DIGITIZATION OF RECORDS</b>	Approved by: OC San Board of Directors

## 1.0 POLICY OBJECTIVES AND BACKGROUND

1.01 The Orange County Sanitation District (OC San) has identified the following objectives for digitizing records:

- 1.01.1 Provide online access to OC San records
- 1.01.2 Make digitized material and metadata available
- 1.01.3 Advance the preservation of records by reducing wear and tear on the originals
- 1.01.4 Maintain a reduction in paper

1.02. To ensure that users have the ability to access digitized records, OC San has implemented an Electronic Content Management System (Laserfiche) which will be made available on ocsan.gov. Utilizing this management system ensures the authenticity, reliability, usability, and integrity of the digital copies.


1.03 The implementation of a paper reduced environment, including the incorporation of the Electronic Content Management System and implementation of a fully digital process to reduce the use of paper by June 30, 2022, was included in the General Manager's Fiscal Year 2021-22 Work Plan.

1.04 OC San is pursuing a reduction in paper in the office environment. Digitization provides a means for preserving at-risk physical materials (including paper documents, maps, photos, etc.) as well as providing greater accessibility and security for those documents. To the extent practicable, OC San promotes electronic systems, electronic records, and paperless transactions to support OC San's transition to electronic government and enhanced transparency.

1.05 Digitization refers to the process that includes the following activities:

- 1.05.1 Identifying, selecting, and documenting physical materials for digitization;
- 1.05.2 Preparing physical materials for scanning (including locating,



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preserving, gathering, reviewing and organizing for access, and screening for suitability to be digitized);


- 1.05.3 Collecting basic descriptive and technical metadata sufficient to allow retrieval and management of the digital copies and to provide basic contextual information for the user;
- 1.05.4 Scanning the physical materials (also referred to as digital conversion), re-filing, or disposing;
- 1.05.5 Quality control (validation) of digital copies and metadata;
- 1.05.6 Providing access to reliable and authentic copies for business purposes to internal users as well as the public; and
- 1.05.7 Maintaining digital copies and metadata.

## 2.0 POLICY RESPONSIBILITY

- 2.1 Board Services and Information Technology (IT) Divisions have overall responsibility for this policy. The OC San Board of Directors adopts this policy, IT manages the Electronic Document Management System, and the Custodian of Records implements and oversees this policy on behalf of the Board of Directors.

## 3.0 APPLICABILITY

- 3.1 This policy provides guidance and requirements for digitizing physical media.
- 3.2 This policy applies to all record collections of physical materials being considered for digitization. These record collections fall into three categories:
  - 3.2.1 Record Collections of vital or historical records with permanent or life of organization retention.
  - 3.2.2 Record Collections of inactive records that have not met their retention schedule (especially record collections that are voluminous or have a long retention schedule) and are not regularly accessed.


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These may be considered for digitization due to constraints of physical storage space or costs of maintaining the physical record collection; and

- 3.2.3 Record Collections of active records that are initially produced in paper or similar physical media as part of the business process, e.g., requiring a physical signature, and are regularly accessed for a continuing business purpose. Digitization may provide for access among multiple users across multiple locations.

#### 4.0 TERMS AND DEFINITIONS

- 4.1 As used in this policy, the following terms and definitions apply:
  - 4.1.1 Record Collection: A series of records (whether in physical or digital form) that have a consistent organizing principle, e.g., subject matter, author, or business process.
  - 4.1.2 Custodian of Records: The custodian of records for OC San is the Clerk of the Board.
  - 4.1.3 Digitization: The act of scanning an analog document into digital form, as well as the series of activities that results in a digital copy being made available to end users via the intranet, internet or other means for a sustained length of time.
  - 4.1.4 Electronic Content Management System (ECMS): Computerized/digital means for collecting, organizing, and categorizing information to facilitate its preservation, retrieval, use, and disposition.
  - 4.1.5 Electronic Signature: A method of signing an electronic document that identifies and authenticates a particular person as the source of the signature and indicates such person's intent to sign the document.
  - 4.1.6 Office of Record: The Department/Division that, by definition of its mission or function, has primary responsibility for maintenance and retention of the record.


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**5.0 POLICY GOAL AND CONSIDERATIONS**

- 5.01 The goal of this policy is to expand public and internal access to our important vital, historical, and long term documents through digitization. OC San does not require all records in physical media be digitized unless they are at risk of damage or destruction, which may result in the loss of the record. However, based upon business analysis by the Office of Record and Custodian of Records, digitization may be an effective way to maintain and manage a record collection that exists only in physical media form.
- 5.02 Before undertaking a digitization project, the Office of Record should consider the following:
  - A. Volume of the record collection;
  - B. Cost to digitize (budgeted in each Division);
  - C. Need/Demand for availability (sharing) of the documents;
  - D. Quality of the originals (including handwritten notes, degradation of original medium, etc.); and
  - E. Need to preserve the originals after digitization for historical or other purposes.
- 5.03 The legal validity of electronic signatures in the context of electronic transactions (i.e., actions between two or more persons relating to the conduct of business, consumer, commercial, or governmental affairs) must be well recognized and approved by the Secretary of State of the California.

**6.0 POLICY EXCEPTIONS**

- 6.01 Exceptions to this policy may be necessary based on legitimate business needs, legal or compliance requirements. Any exceptions must be documented, reviewed, and approved by the Custodian of Records, Management, and General Counsel.
- 6.02 This policy guidance does not apply when the digitization is merely to provide a reference or convenience copy in limited circumstances, i.e. a single document rather than conversion of an entire collection for purposes of lifecycle management.

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**7.0 RESPONSIBILITIES**

- 7.01 Board Services Division: Coordinates the overall program. Provides guidance and assistance to all OC San organizations with lifecycle management, and coordinates required records reviews, evaluations, and reports.
- 7.02 Reprographic Center: Provides digitization/scanning services to the Office of Record for their paper document record collections. For larger projects the need for additional services may be required.
- 7.03 Managers/Supervisors: Effectively manage information assets within their area of responsibility in a consistent manner to ensure the integrity, security, and availability of information assets. Managers/supervisors are also responsible, through their organization, for documenting a digitization plan that ensures their digitization projects meet the requirements of this policy.

**8.0 STANDARDS AND PROCEDURES**

- 8.01 The Office of Record, under the direction of the Custodian of Records, must develop a digitization plan to meet the following requirements:
  - 8.01.1 Authorization. Digital record collections may be maintained as the only copy of a record if approved by General Counsel and the Board of Directors following the laws of California. They are viewed as being functionally equivalent to the original paper version if the intent to preserve the document only in digital form is documented and authorized by the Custodian of Records and General Counsel. Once approved this authorization and notation must be included in the Records Retention Schedule.
  - 8.01.2 Document Preparation. This includes a review of the documents to be digitized to ensure that digitization will not compromise the readability of the content. This is particularly important for documents that include “marginalia” (handwritten notes or additions to the content of the document). Moreover, an inventory of the records collection must be prepared, especially in instances where the actual digitization is performed by someone else. Finally, in some instances, a clean copy may be necessary if the original paper has been degraded to the point that, in its original form, a valid digital

Commented [JC1]: Should this be added to the definitions?

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copy would not be possible.


8.01.3 Digitization. As part of the actual digitization process, a single scanned image type must be chosen for the records collection. Consideration must be given to the ability of a particular scanned image type to be searched. In addition, a consistent set of metadata should be incorporated into the scanned image to assist in organizing and managing the digital collection. "Scanned image" types include:

- a) gif – graphics interchange format;
- b) tiff – tagged image file format;
- c) biif – basic image interchange format;
- d) png – portable network graphics; or
- e) pdf – portable document format.

8.01.4 Validation. Throughout the digitization process, the scanned images must be validated to ensure that a clean, readable image has been produced, that the content of the document set is the same as the original - number of pages, and that the metadata attached is accurate. The Office of Record may choose to do an initial series of documents from the records collection as a test case. If so, choose a sample from the records collection that will cover the range of quality and other attributes of the originals, e.g., differing font sizes or layouts. It is recommended that every scanned image be validated. However, if the original documents are of highly consistent quality, format, and content, sampling validation may be appropriate.

8.01.5 Disposition of Originals. Once the records collection has been digitized and validated, the paper original may be destroyed as long as the destruction is documented as part of the digitization plan, in accordance with the Records Retention Schedule and has been authorized by the Office of Record, Manager, Executive Director, General Counsel, and the Custodian of Records. Special consideration must be given to physical records with historical value content. OC San's Custodian of Records can provide assistance and guidance to divisions in determining the historical value of original physical media records.

8.01.6 Digital Storage. The Electronic Content Management System (ECMS) Laserfiche - designated for maintenance and management

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		Approved by: OC San Board of Directors

of OC San's digital records collections meets the integrity, security, and availability requirements. Using Laserfiche for digital records collections is preferred because this system prevents manipulation and unauthorized deletion of the scanned images. In addition, Laserfiche provides enhanced security and permission restrictions to aid management of the digital collection.

## 9.0 PERFORMANCE & MONITORING

9.01 The Custodian of Records and IT Division are responsible for the performance standards and monitoring plans contained in this policy.

9.02 Performance Standards

9.02.1 Cost effectiveness of digitization projects:

9.02.1.1 Increased availability of OC San records to the public and appropriate personnel with a need for access.

9.02.1.2 Reduced risk of damage or inaccessibility to OC San records currently maintained in paper format.

9.03 Monitoring Plans

9.03.1 Sampling and validating digitized collections for integrity, security, and availability.

9.03.1.1 Scheduling (for retention) and reviewing ECMS used to maintain digitized collections.