



## **ORANGE COUNTY SANITATION DISTRICT SPECIAL NOTICE REGARDING CORONAVIRUS (COVID-19) AND ATTENDANCE AT PUBLIC MEETINGS**

Governor Newsom signed Assembly Bill (AB) 361 on September 16, 2021, which, in part, addresses the conduct of public meetings in light of the continued State of Emergency order.

Effective October 1, 2021, AB 361 suspends the requirements located in California Government Code, Section 54953, Subdivision (b), Paragraph (3) specifically pertaining to the conduct of public meetings. As such, the Orange County Sanitation District (OC San) Board of Directors has determined that due to the size of OC San's Board of Directors (25), and the health and safety of the members, the Board of Directors will be participating in meetings of the Board telephonically and via Internet accessibility.

### **PUBLIC PARTICIPATION**

Your participation is always welcome. OC San offers several ways in which to interact during meetings. You will find information as to these opportunities below.

#### **ONLINE MEETING PARTICIPATION**

You may join the meeting live via Teams on your computer or similar device or web browser by using the link below:

[Click here to join the meeting](#)

We suggest testing joining a Teams meeting on your device prior to the commencement of the meeting. For recommendations, general guidance on using Teams, and instructions on joining a Teams meeting, [please click here](#).

Please mute yourself upon entry to the meeting. Please raise your hand if you wish to speak during the public comment section of the meeting. The Clerk of the Board will call upon you by using the name you joined with.

Meeting attendees are not provided the ability to make a presentation during the meeting. Please contact the Clerk of the Board at least 48 hours prior to the meeting if you wish to present any items. Additionally, camera feeds may be controlled by the meeting moderator to avoid inappropriate content.

## **HOW TO PARTICIPATE IN THE MEETING BY TELEPHONE**

To join the meeting from your phone: Dial (213) 279-1455  
When prompted, enter the Phone Conference ID: 276 833 72#

All meeting participants may be muted during the meeting to alleviate background noise. If you are muted, please use \*6 to unmute. You may also mute yourself on your device.

Please raise your hand to speak by using \*5 during the public comment section of the meeting. The Clerk of the Board will call upon you by using the last 4 digits of your phone number as identification.

**NOTE: All attendees will be disconnected from the meeting at the beginning of Closed Session. If you would like to return to the Open Session portion of the meeting, please login or dial-in to the Teams meeting again and wait in the Lobby for admittance.**

## **VIEW THE MEETING ONLINE ONLY**

The meeting will be available for online viewing only at:

<https://ocsd.legistar.com/Calendar.aspx>

## **HOW TO SUBMIT A COMMENT**

You may provide verbal comment in real time during the meeting. In order to provide a verbal comment, please raise your hand as described above or alert the Clerk of the Board before or during the public comment period.

You may also submit your comments and questions in writing for consideration in advance of the meeting by using the eComment feature available online at: <https://ocsd.legistar.com/Calendar.aspx> or sending them to [OCSanClerk@ocsan.gov](mailto:OCSanClerk@ocsan.gov) with the subject line "PUBLIC COMMENT ITEM # (insert the item number relevant to your comment)" or "PUBLIC COMMENT NON-AGENDA ITEM".

You may also submit comments and questions for consideration during the meeting by using the eComment feature available online at: <https://ocsd.legistar.com/Calendar.aspx>. The eComment feature will be available for the duration of the meeting.

All written public comments will be provided to the legislative body and may be read into the record or compiled as part of the record.

## **TECHNICAL SUPPORT PRIOR TO AND DURING MEETINGS**

For technical assistance before and during the meeting, please call 714-593-7431. For any other questions and/or concerns, please contact the Clerk of the Board's office at 714-593-7433. Thank you, in advance, for your patience in working with these technologies. We appreciate your interest in OC San!

March 2, 2022

**NOTICE OF REGULAR MEETING**

**ADMINISTRATION COMMITTEE  
ORANGE COUNTY SANITATION DISTRICT**

**Wednesday, March 9, 2022 – 5:00 P.M.**

**ACCESSIBILITY FOR THE GENERAL PUBLIC**

**Your participation is always welcome. Specific information as to how to participate in this meeting is detailed in the Special Notice attached to this agenda. In general, OC San offers several ways in which to interact during meetings: you may join the meeting live via Teams on your computer or similar device or web browser, join the meeting live via telephone, view the meeting online, and/or submit comments for consideration before or during the meeting.**

The Regular Meeting of the Administration Committee of the Orange County Sanitation District will be held at the above location and in the manner indicated on Wednesday, March 9, 2022 at 5:00 p.m.

  
\_\_\_\_\_  
Clerk of the Board

- Serving:*
- Anaheim
  - Brea
  - Buena Park
  - Cypress
  - Fountain Valley
  - Fullerton
  - Garden Grove
  - Huntington Beach
  - Irvine
  - La Habra
  - La Palma
  - Los Alamitos
  - Newport Beach
  - Orange
  - Placentia
  - Santa Ana
  - Seal Beach
  - Stanton
  - Tustin
  - Villa Park
  - County of Orange
  - Costa Mesa Sanitary District
  - Midway City Sanitary District
  - Irvine Ranch Water District
  - Yorba Linda Water District

ADMINISTRATION COMMITTEE MEETING DATE	BOARD MEETING DATE
03/09/22	03/23/22
04/13/22	04/27/22
05/11/22	05/25/22
06/08/22	06/22/22
07/13/22	07/27/22
<b>AUGUST DARK</b>	08/24/22
09/14/22	09/28/22
10/12/22	10/26/22
11/09/22	<b>11/16/22 *</b>
12/14/22	<b>12/21/22 *</b>
<b>JANUARY DARK</b>	01/25/23
02/08/23	02/22/23

*\* Meeting will be held on the third Wednesday of the month*

**ROLL CALL**  
**ADMINISTRATION COMMITTEE**  
**Finance, Information Technology, Environmental Services**  
**and Human Resources**

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Meeting Date: March 9, 2022

Time: 5:00 p.m.

Adjourn: \_\_\_\_\_

**COMMITTEE MEMBERS (13)**

Glenn Parker, Chair	
Anthony Kuo, Vice-Chair	
Brad Avery	
Ron Bates	
Art Brown	
Kim Carr	
Rose Espinoza	
Marshall Goodman	
Patrick Harper	
Andrew Nguyen	
David Shawver	
John Withers (Board Chair)	
Chad Wanke (Board Vice-Chair)	

**OTHERS**

Brad Hogin, General Counsel	

**STAFF**

Jim Herberg, General Manager	
Rob Thompson, Assistant General Manager	
Lorenzo Tyner, Assistant General Manager	
Celia Chandler, Director of Human Resources	
Kathy Millea, Director of Engineering	
Riaz Moinuddin, Director of Operations & Maintenance	
Lan Wiborg, Director of Environmental Services	
Kelly Lore, Clerk of the Board	

**ORANGE COUNTY SANITATION DISTRICT**  
**BOARD OF DIRECTORS**  
**Complete Roster**

Effective 1/25/2022

<b>AGENCY/CITIES</b>	<b>ACTIVE DIRECTOR</b>	<b>ALTERNATE DIRECTOR</b>
Anaheim	Stephen Faessel	Gloria Ma'ae
Brea	Glenn Parker	Cecilia Hupp
Buena Park	Art Brown	Connor Traut
Cypress	Paulo Morales	Anne Hertz
Fountain Valley	Patrick Harper	Ted Bui
Fullerton	Jesus J. Silva	Nick Dunlap
Garden Grove	Steve Jones	John O'Neill
Huntington Beach	Kim Carr	Dan Kalmick
Irvine	Anthony Kuo	Farrah N. Khan
La Habra	Rose Espinoza	Steve Simonian
La Palma	Marshall Goodman	Nitesh Patel
Los Alamitos	Ron Bates	NONE
Newport Beach	Brad Avery	Joy Brenner
Orange	Kim Nichols	Chip Monaco
Placentia	Chad Wanke	Ward Smith
Santa Ana	Johnathan Ryan Hernandez	Nelida Mendoza
Seal Beach	Sandra Massa-Lavitt	Schelly Sustarsic
Stanton	David Shawver	Carol Warren
Tustin	Ryan Gallagher	Austin Lumbard
Villa Park	Chad Zimmerman	Robert Collacott

**Sanitary/Water Districts**

Costa Mesa Sanitary District	Bob Ooten	Art Perry
Midway City Sanitary District	Andrew Nguyen	Mark Nguyen
Irvine Ranch Water District	John Withers	Douglas Reinhart
Yorba Linda Water District	Brooke Jones	Ted Lindsey

**County Areas**

Board of Supervisors	Donald P. Wagner	Doug Chaffee
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**ADMINISTRATION COMMITTEE**  
**Regular Meeting Agenda**  
**Wednesday, March 9, 2022 - 5:00 PM**  
**Board Room**  
**Administration Building**  
**10844 Ellis Avenue**  
**Fountain Valley, CA 92708**  
**(714) 593-7433**

**AGENDA POSTING:** In accordance with the requirements of California Government Code Section 54954.2, this agenda has been posted outside the main gate of the OC San's Administration Building located at 10844 Ellis Avenue, Fountain Valley, California, and on the OC San's website at [www.ocsan.gov](http://www.ocsan.gov) not less than 72 hours prior to the meeting date and time above. All public records relating to each agenda item, including any public records distributed less than 72 hours prior to the meeting to all, or a majority of the Board of Directors, are available for public inspection in the office of the Clerk of the Board.

**AGENDA DESCRIPTION:** The agenda provides a brief general description of each item of business to be considered or discussed. The recommended action does not indicate what action will be taken. The Board of Directors may take any action which is deemed appropriate.

**MEETING AUDIO:** An audio recording of this meeting is available within 24 hours after adjournment of the meeting at <https://ocsd.legistar.com/Calendar.aspx> or by contacting the Clerk of the Board at (714) 593-7433.

**NOTICE TO DIRECTORS:** To place items on the agenda for a Committee or Board Meeting, the item must be submitted in writing to the Clerk of the Board: Kelly A. Lore, MMC, (714) 593-7433 / [klore@ocsan.gov](mailto:klore@ocsan.gov) at least 14 days before the meeting.

**FOR ANY QUESTIONS ON THE AGENDA, BOARD MEMBERS MAY CONTACT STAFF AT:**

General Manager: Jim Herberg, [jherberg@ocsan.gov](mailto:jherberg@ocsan.gov) / (714) 593-7300  
Asst. General Manager: Lorenzo Tyner, [ltwyner@ocsan.gov](mailto:ltwyner@ocsan.gov) / (714) 593-7550  
Asst. General Manager: Rob Thompson, [rthompson@ocsan.gov](mailto:rthompson@ocsan.gov) / (714) 593-7310  
Director of Human Resources: Celia Chandler, [cchandler@ocsan.gov](mailto:cchandler@ocsan.gov) / (714) 593-7202  
Director of Engineering: Kathy Millea, [kmillea@ocsan.gov](mailto:kmillea@ocsan.gov) / (714) 593-7365  
Director of Environmental Services: Lan Wiborg, [lwiborg@ocsan.gov](mailto:lwiborg@ocsan.gov) / (714) 593-7450  
Director of Operations & Maintenance: Riaz Moinuddin, [rmoinuddin@ocsan.gov](mailto:rmoinuddin@ocsan.gov) / (714) 593-7269

**CALL TO ORDER**

**PLEDGE OF ALLEGIANCE**

**ROLL CALL AND DECLARATION OF QUORUM:**

Clerk of the Board

**PUBLIC COMMENTS:**

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*All written public comments will be provided to the legislative body and may be read into the record or compiled as part of the record.*

**REPORTS:**

*The Committee Chairperson and the General Manager may present verbal reports on miscellaneous matters of general interest to the Directors. These reports are for information only and require no action by the Directors.*

**CONSENT CALENDAR:**

*Consent Calendar Items are considered to be routine and will be enacted, by the Committee, after one motion, without discussion. Any items withdrawn from the Consent Calendar for separate discussion will be considered in the regular order of business.*

**1. APPROVAL OF MINUTES**

**[2022-2151](#)**

**RECOMMENDATION:**

Approve Minutes of the Regular Meeting of the Administration Committee held February 9, 2022.

**Originator:** Kelly Lore



**Attachments:** [Agenda Report](#)  
[02-09-2022 Administration Committee Minutes](#)

**2. STRATEGIC PROCESS STUDY FOR MEIOFAUNA BASELINE ASSESSMENT** [2022-2155](#)

RECOMMENDATION: Recommend to the Board of Directors to:

- A. Approve a Professional Consultant Services Agreement to Florida State University to provide a Meiofauna Baseline Strategic Process Study (Specification No. CS-2021-1266BD) for a total amount not to exceed \$277,946; and
- B. Approve a contingency of 27,795 (10%).

**Originator:** Lan Wiborg

**Attachments:** [Agenda Report](#)  
[CS-2021-1266BD Draft PCSA](#)

**3. UPDATE TO RECORDS MANAGEMENT PROGRAM PROCEDURES AND RECORDS RETENTION SCHEDULE RESOLUTION** [2022-2072](#)

RECOMMENDATION: Recommend to the Board of Directors to:

Adopt Resolution No. OC SAN 22-XX entitled: "A Resolution of the Board of Directors of the Orange County Sanitation District Adopting the Records Management Program Procedures and Records Retention Schedule, Authorizing Destruction of Obsolete Records, and Repealing Resolution No. OC SAN 21-08".

**Originator:** Kelly Lore

**Attachments:** [Agenda Report](#)  
[Resolution No. OC SAN 22-XX](#)  
[Records Management Procedure Manual - Redlined](#)  
[Draft Records Retention Schedule](#)

**NON-CONSENT:**

**4. REPLACE SERVER AND STORAGE INFRASTRUCTURE FOR PLANT NO. 1 INDUSTRIAL CONTROL SYSTEM** [2022-2160](#)

RECOMMENDATION: Recommend to the Board of Directors to:

- A. Approve a Purchase Order to ePlus Technology, Inc. for the purchase of software, hardware, and services to implement and configure the Nutanix metro clusters for Plant No. 1 Industrial Control System, Specification No. E-2022-1300BD, for a total amount not to exceed \$560,195, plus applicable sales tax and shipping; and

B. Approve a contingency in the amount of \$56,019 (10%).

**Originator:** Lorenzo Tyner

**Attachments:** [Agenda Report](#)

**INFORMATION ITEMS:**

5. **FY 2022-23 AND FY 2023-24 ORANGE COUNTY SANITATION DISTRICT BUDGET REVENUES AND RESERVES OVERVIEW** [2022-2159](#)

**RECOMMENDATION:**

Information Item.

**Originator:** Lorenzo Tyner

**Attachments:** [Agenda Report](#)  
[FY2022-23 and FY2023-24 Budget Revenue Detail Reserve Summary - FY 2021-22 Presentation - FY2022-23 2023-24 Revenues Reserves Overview](#)

6. **STAFFING STRATEGY TO DELIVER CAPITAL IMPROVEMENT PROGRAM** [2022-2178](#)

**RECOMMENDATION:**

Information Item.

**Originator:** Kathy Millea

**Attachments:** [Agenda Report](#)  
[Presentation - CIP Delivery Strategy](#)

**DEPARTMENT HEAD REPORTS:**

**CLOSED SESSION:**

None.

**OTHER BUSINESS AND COMMUNICATIONS OR SUPPLEMENTAL AGENDA ITEMS, IF ANY:**

**BOARD OF DIRECTORS INITIATED ITEMS FOR A FUTURE MEETING:**

At this time Directors may request staff to place an item on a future agenda.

**ADJOURNMENT:**

Adjourn the Committee meeting until the Regular Meeting of the Administration Committee on April 13, 2022 at 5:00 p.m.



# ADMINISTRATION COMMITTEE

Administration Building  
10844 Ellis Avenue  
Fountain Valley, CA 92708  
(714) 593-7433

## Agenda Report

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**File #:** 2022-2151

**Agenda Date:** 3/9/2022

**Agenda Item No:** 1.

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**FROM:** James D. Herberg, General Manager  
Originator: Kelly A. Lore, Clerk of the Board

**SUBJECT:**

**APPROVAL OF MINUTES**

**GENERAL MANAGER'S RECOMMENDATION**

RECOMMENDATION:

Approve Minutes of the Regular Meeting of the Administration Committee held February 9, 2022.

**BACKGROUND**

In accordance with the Board of Directors Rules of Procedure, an accurate record of each meeting will be provided to the Directors for subsequent approval at the following meeting.

**RELEVANT STANDARDS**

- Resolution No. OC SAN 21-04

**ATTACHMENT**

*The following attachment(s) may be viewed on-line at the OC San website ([www.ocsan.gov](http://www.ocsan.gov)) with the complete agenda package:*

- Minutes of the Administration Committee held February 9, 2022



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## **CALL TO ORDER**

A regular meeting of the Administration Committee of the Orange County Sanitation District was called to order by Committee Chair Glenn Parker on Wednesday, February 9, 2022 at 5:00 p.m. in the Administration Building of the Orange County Sanitation District. Chair Parker stated that the meeting was being held telephonically and via Internet accessibility in accordance with new provisions in California Government Code Section 54953 and Resolution No. OC SAN 22-02, due to the continued State of Emergency Order. Chair Parker announced the teleconference meeting guidelines and led the flag salute.

## **ROLL CALL AND DECLARATION OF QUORUM:**

Roll call was taken and a quorum was declared present, as follows:

**PRESENT:** Glenn Parker, Anthony Kuo, Ron Bates, Art Brown, Kim Carr, Rose Espinoza, Marshall Goodman, Patrick Harper, Andrew Nguyen, David Shawver, Chad Wanke and John Withers

**ABSENT:** Brad Avery

**STAFF PRESENT:** Kelly Lore, Clerk of the Board, and Joshua Martinez were present in the Board Room. Jim Herberg, General Manager; Rob Thompson, Assistant General Manager; Lorenzo Tyner, Assistant General Manager; Celia Chandler, Director of Human Resources; Kathy Millea, Director of Engineering; Lan Wiborg, Director of Environmental Services; Mo Abiodun; Jennifer Cabral; Sam Choi; Tina Knapp; Laura Maravilla; John Preston; Wally Ritchie; Thomas Vu; and Ruth Zintzun were in attendance telephonically.

**OTHERS PRESENT:** Brad Hogin, General Counsel; Audrey Donovan and Roger Alfaro, Eide Bailey; Bill Dennehy, Chandler Asset Management; and Dennis Mulqueeney, Alliant, were in attendance telephonically.

## **PUBLIC COMMENTS:**

None.

At the request of staff, Chair Parker announced that Item No. 9 would be heard directly after Item No. 7.

## **REPORTS:**

Chair Parker and General Manager Jim Herberg did not provide reports.

**CONSENT CALENDAR:**

**1. APPROVAL OF MINUTES [2022-2097](#)**

**Originator:** Kelly Lore

MOVED, SECONDED, AND DULY CARRIED TO:

Approve Minutes of the Regular Meeting of the Administration Committee held December 8, 2021.

**AYES:** Glenn Parker, Anthony Kuo, Ron Bates, Art Brown, Kim Carr, Rose Espinoza, Marshall Goodman, Patrick Harper, Andrew Nguyen, David Shawver and John Withers

**NOES:** None

**ABSENT:** Brad Avery and Chad Wanke

**ABSTENTIONS:** None

**2. MID-YEAR CONSOLIDATED FINANCIAL REPORT FOR THE PERIOD ENDED DECEMBER 31, 2021 [2021-1950](#)**

**Originator:** Lorenzo Tyner

MOVED, SECONDED, AND DULY CARRIED TO: Recommend to the Board of Directors to:

Receive and file the Orange County Sanitation District Mid-Year Consolidated Financial Report for the period ended December 31, 2021.

**AYES:** Glenn Parker, Anthony Kuo, Ron Bates, Art Brown, Kim Carr, Rose Espinoza, Marshall Goodman, Patrick Harper, Andrew Nguyen, David Shawver and John Withers

**NOES:** None

**ABSENT:** Brad Avery and Chad Wanke

**ABSTENTIONS:** None

**3. DESIGNATION OF APPLICANT'S AGENT FOR DISASTER RELIEF [2021-2021](#)**

**Originator:** Kelly Lore

MOVED, SECONDED, AND DULY CARRIED TO: Recommend to the Board of Directors to:

Adopt Resolution No. OC SAN 22-XX, entitled: "A Resolution of the Board of Directors of the Orange County Sanitation District authorizing the General Manager or either Assistant General Manager to Execute State Office of Emergency Services and/or Federal Emergency Management Agency Documents and Relevant Permit Applications for Present and Future Disaster Relief Applications; and Repealing Resolution No. OCSD 19-01".

**AYES:** Glenn Parker, Anthony Kuo, Ron Bates, Art Brown, Kim Carr, Rose Espinoza, Marshall Goodman, Patrick Harper, Andrew Nguyen, David Shawver and John Withers

**NOES:** None

**ABSENT:** Brad Avery and Chad Wanke

**ABSTENTIONS:** None

**4. GENERAL MANAGER APPROVED PURCHASES AND ADDITIONS TO THE PRE-APPROVED OEM SOLE SOURCE LIST** [2022-2114](#)

**Originator:** Lorenzo Tyner

MOVED, SECONDED, AND DULY CARRIED TO: Recommend to the Board of Directors to:

A. Receive and file Orange County Sanitation District purchases made under the General Manager's authority for the period of October 1, 2021 to December 31, 2021; and

B. Approve the following additions to the pre-approved OEM Sole Source List for the period of October 1, 2021 to December 31, 2021:

- ACOEM - Vibralign Fixture Laser Alignment Training
- BEAMEX - Beamex Instrumentation Test Equipment Hardware and Software Training
- HAYWORD-GORDON - Hayward-Gordon Pumps, Mixers, and Parts
- INTERTECH - Modicon PLC Hardware, Software, and Network Training
- MIDWAY MFG. & MACHINE COMPANY - Rechargeable Carbon Canisters
- WSG & SOLUTIONS, INC. - Grit Classifier Repair Parts

**AYES:** Glenn Parker, Anthony Kuo, Ron Bates, Art Brown, Kim Carr, Rose Espinoza, Marshall Goodman, Patrick Harper, Andrew Nguyen, David Shawver and John Withers

**NOES:** None

**ABSENT:** Brad Avery and Chad Wanke

**ABSTENTIONS:** None

5. **UNIFORM AND JANITORIAL ARTICLES RENTAL SERVICE**

[2022-2115](#)

**Originator:** Rob Thompson

MOVED, SECONDED, AND DULY CARRIED TO: Recommend to the Board of Directors to:

- A. Approve a service contract to Cintas Corporation to provide Uniform and Janitorial Articles Rental Service, Specification No. S-2021-1277BD, for a total amount not to exceed \$839,512 for the period beginning April 1, 2022, through March 31, 2025, with one (1) three-year renewal period option; and
- B. Approve a three-year contingency of \$83,951 (10%).

**AYES:** Glenn Parker, Anthony Kuo, Ron Bates, Art Brown, Kim Carr, Rose Espinoza, Marshall Goodman, Patrick Harper, Andrew Nguyen, David Shawver and John Withers

**NOES:** None

**ABSENT:** Brad Avery and Chad Wanke

**ABSTENTIONS:** None

6. **AMENDMENT TO OCSD PERSONNEL POLICIES AND PROCEDURES**

[2022-2120](#)

**Originator:** Celia Chandler

MOVED, SECONDED, AND DULY CARRIED TO: Recommend to the Board of Directors to:

Adopt Resolution No. OC SAN 22-XX entitled: "A Resolution of the Board of Directors of the Orange County Sanitation District amending the Board of Directors Personnel Policies and Procedures Manual providing for classification, compensation, and other terms, conditions, policies, and procedures governing employment of District employees to include the addition of Policy No. 6.6, Diversity, Equity, and Inclusion; and Amending Resolution No. OCSD 18-18".

**AYES:** Glenn Parker, Anthony Kuo, Ron Bates, Art Brown, Kim Carr, Rose Espinoza, Marshall Goodman, Patrick Harper, Andrew Nguyen, David Shawver and John Withers

**NOES:** None

**ABSENT:** Brad Avery and Chad Wanke

**ABSTENTIONS:** None

**NON-CONSENT:**

7. **INTERNAL AUDIT UPDATE**

[2022-2102](#)

**Originator:** Lorenzo Tyner



Audrey Donovan, Eide Bailey, provided a brief overview of the audit process and details of the recent audit completed.

MOVED, SECONDED, AND DULY CARRIED TO: Recommend to the Board of Directors to:

Receive and file the Orange County Sanitation District Contracts Procurement Process Internal Audit Report dated January 4, 2022.

**AYES:** Glenn Parker, Anthony Kuo, Ron Bates, Art Brown, Kim Carr, Rose Espinoza, Marshall Goodman, Patrick Harper, Andrew Nguyen, David Shawver and John Withers

**NOES:** None

**ABSENT:** Brad Avery and Chad Wanke

**ABSTENTIONS:** None

*Board Vice-Chair Chad Wanke arrived at the meeting at approximately 5:12 p.m.*

**9. INVESTMENT PERFORMANCE RESULTS**

[2022-2101](#)

**Originator:** Lorenzo Tyner

Controller Wally Ritchie provided a presentation regarding OC San reserves & investments which included the seven reserve criteria, investment objectives, portfolios (long-term and short-term), and asset allocation.

Bill Dennehy, Chandler Asset Management, provided a presentation regarding OC San's investments which included an overview of the firm, economic update, and account profile.

ITEM RECEIVED AS AN:

Information Item.

**8. CONSIDERATION OF BUDGET ASSUMPTIONS AND BUDGET CALENDAR FOR PREPARATION OF THE FISCAL YEAR 2022-23 and FY 2023-24 BUDGET**

[2022-2093](#)

**Originator:** Lorenzo Tyner

Mr. Ritchie provided a presentation regarding the budget development assumptions including economics, revenue, and reserves; operations; staffing; the Capital Improvement Program, and debt financing. A budget summary and key meeting dates were provided.

MOVED, SECONDED, AND DULY CARRIED TO:

Approve the FY 2022-23 and FY 2023-24 budget assumptions and direct staff to incorporate these parameters in preparing the FY 2022-23 and FY 2023-24 budget.

- AYES:** Glenn Parker, Anthony Kuo, Ron Bates, Art Brown, Kim Carr, Rose Espinoza, Marshall Goodman, Patrick Harper, Andrew Nguyen, David Shawver, Chad Wanke and John Withers
- NOES:** None
- ABSENT:** Brad Avery
- ABSTENTIONS:** None

**INFORMATION ITEMS:**

**10. RISK MANAGEMENT AND INSURANCE UPDATE [2022-2095](#)**

**Originator:** Lorenzo Tyner

John Preston, OC San Contractor, provided a presentation regarding risk management and an insurance update which included: claim data, insurance program coverage and retentions, topics of interest, future considerations, and a calendar of events leading up to the renewal period in July.

ITEM RECEIVED AS AN:

Information Item.

**11. COVID-19 SEWAGE SURVEILLANCE PROJECT UPDATE [2022-2117](#)**

**Originator:** Lan Wiborg

Lab and Ocean Monitoring Manager Samuel Choi provided a PowerPoint presentation regarding OC San's COVID-19 Sewage Surveillance Efforts which included a description of sewage surveillance (WBE), how it is used during COVID-19, the unknowns of the early days, OC San efforts, California and National efforts, future efforts, statewide recognition received, and acknowledgments.

ITEM RECEIVED AS AN:

Information Item.

**DEPARTMENT HEAD REPORTS:**

None.

**CLOSED SESSION:**

None.

**OTHER BUSINESS AND COMMUNICATIONS OR SUPPLEMENTAL AGENDA ITEMS, IF ANY:**

None.

**BOARD OF DIRECTORS INITIATED ITEMS FOR A FUTURE MEETING:**

Chair Parker requested a future presentation from OCERS.

**ADJOURNMENT:**

Chair Parker declared the meeting adjourned at 6:09 p.m. to the next Regular Administration Committee meeting to be held on Wednesday, March 9, 2022 at 5:00 p.m.

Submitted by:

\_\_\_\_\_  
Kelly A. Lore, MMC  
Clerk of the Board



# ADMINISTRATION COMMITTEE

Administration Building  
10844 Ellis Avenue  
Fountain Valley, CA 92708  
(714) 593-7433

## Agenda Report

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**File #:** 2022-2155

**Agenda Date:** 3/9/2022

**Agenda Item No:** 2.

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**FROM:** James D. Herberg, General Manager  
Originator: Lan C. Wiborg, Director of Environmental Services

**SUBJECT:**

### **STRATEGIC PROCESS STUDY FOR MEIOFAUNA BASELINE ASSESSMENT**

#### **GENERAL MANAGER'S RECOMMENDATION**

RECOMMENDATION: Recommend to the Board of Directors to:

- A. Approve a Professional Consultant Services Agreement to Florida State University to provide a Meiofauna Baseline Strategic Process Study (Specification No. CS-2021-1266BD) for a total amount not to exceed \$277,946; and
- B. Approve a contingency of 27,795 (10%).

#### **BACKGROUND**

The Orange County Sanitation District (OC San) is required, under its current ocean discharge permit, to conduct a Baseline Strategic Process Study to investigate the potential impacts of increased reverse osmosis concentrate flows from the Groundwater Replenishment System (GWRS) Final Expansion Project on the marine animals in the receiving water. This study will focus on meiofauna, which are very small sediment-dwelling animals less than one millimeter in size. They are known to be more sensitive to pollution than larger animals which are monitored as part of OC San's Ocean Monitoring Program. This project will require the contractor to collect samples within OC San's coastal monitoring area, and to then process/analyze the samples and provide a report on the findings. This work will characterize the existing meiofauna population around OC San's ocean discharge and evaluate the suitability of using these animals to study the potential environmental impacts of the GWRS Final Expansion Project.

#### **RELEVANT STANDARDS**

- Ensure the public's money is wisely spent
- Sustain 1, 5, 20-year planning horizons
- Comply with environmental permit requirements
- Maintain collaborative and cooperative relationships with regulators, stakeholders, and neighboring communities

**PROBLEM**

OC San does not have the specialized expertise to collect, extract, sort, identify, and analyze meiofauna samples.

**PROPOSED SOLUTION**

Approve an Agreement with Florida State University to conduct the Meiofauna Baseline Strategic Process Study. Florida State University has research staff with 18 years of experience with meiofauna taxonomy, ecology, and biology, particularly in the context of biodiversity studies and the use of meiofauna and free-living nematodes (marine worms) as indicators of environmental change and human caused impacts.

**TIMING CONCERNS**

The first phase of this study involving sample collection must be completed before the GWRS Final Expansion Project is completed in early 2023. Otherwise, using meiofauna for a before-after control-impact study to assess any potential effects of the Final Expansion will not be possible.

**RAMIFICATIONS OF NOT TAKING ACTION**

By not acting on this Baseline Strategic Process Study, OC San is at risk of violating its ocean discharge permit.

**PRIOR COMMITTEE/BOARD ACTIONS**

N/A

**ADDITIONAL INFORMATION**

OC San released a Request for Proposals (RFP) on October 27, 2021, via PlanetBids. A non-mandatory pre-bid meeting was conducted on November 10, 2021 via Microsoft Teams. Proposals were due on December 2, 2021. OC San received three proposals valid for 180 calendar days from the RFP opening date.

A Staff Evaluation Committee consisting of three representatives from the Environmental Laboratory and Ocean Monitoring Division was formed to review and rank each of the proposals. On December 8, 2021, the evaluation team met to discuss the policies and procedures for the evaluation process. The proposals were then evaluated based on pre-defined minimum qualifications and cost in accordance with OC San's Purchasing Ordinance. A representative from the Purchasing and Contracts Administration Division chaired the team and participated in the evaluation process as a non-voting member.

Individual scoring was the chosen method of evaluation for this procurement. Members of the team performed an independent review of the proposals and later met as a group with the Buyer to discuss their preliminary scores and discuss any questions/concerns they had. Proposals were evaluated based on the following criteria:

CRITERION	WEIGHT
1. Qualifications & Experience of Firm	15%
2. Proposed Staffing & Project Organization	15%
3. Work Plan	50%
4. Cost	20%

The evaluation team first reviewed and scored the proposals based upon the criteria listed above, other than cost. All proposals were accompanied by a sealed cost proposal. Only the cost proposal for the highest ranked firm was opened.

Rank	Proposer	Criterion 1 (Max 15%)	Criterion 2 (Max 15%)	Criterion 3 (Max 50%)	Subtotal Score (Max 80%)
1	Florida State University	14%	14%	45%	73%
2	INES Integrated Environmental Solutions UG	10%	10%	37%	57%
3	Miller Marine Science & Consulting	9%	10%	28%	47%

References were contacted and verified for the top-ranking firm. Based on their review of the proposal, references, and cost proposal, the Evaluation Committee unanimously scored Florida State University as the most qualified firm.

### CEQA

N/A

### FINANCIAL CONSIDERATIONS

This request complies with authority levels of OC San's Purchasing Ordinance. This item has been budgeted (Line item: Section 6, Page 48).

### ATTACHMENT

The following attachment(s) may be viewed on-line at the OC San website ([www.ocsan.gov](http://www.ocsan.gov)) with the complete agenda package:

- Draft Professional Consultant Services Agreement

**PROFESSIONAL CONSULTANT SERVICES AGREEMENT  
MEIOFAUNA BASELINE STUDY  
SPECIFICATION NO. CS-2021-1266BD**

**This AGREEMENT** is made and entered into as of the date fully executed below, by and between Orange County Sanitation District, with a principal place of business at 10844 Ellis Avenue, Fountain Valley, CA 92708 (hereinafter referred to as "OC San") and [\_\_\_\_\_] with a principal place of business at [\_\_\_\_\_] (hereinafter referred to as "Consultant") collectively referred to as the "Parties".

**WITNESSETH**

**WHEREAS**, based on Consultant's expertise and experience, OC San desires to temporarily engage Consultant to provide services for a Meiofauna Baseline Study ("Services") as described in Exhibit "A"; and

**WHEREAS**, Consultant submitted its Proposal, dated [\_\_\_\_], which is attached hereto as Exhibit "B"; and

**WHEREAS**, on [\_\_\_\_], the [Board of Directors or Operations Committee] of OC San, by minute order, authorized execution of this Agreement between OC San and Consultant; and

**WHEREAS**, OC San has chosen Consultant to conduct Services in accordance with Ordinance No. OC SAN-56; and

**NOW, THEREFORE**, in consideration of the mutual promises and mutual benefits exchanged between the Parties, the Parties mutually agree as follows:

**1. Introduction**

1.1 This Agreement and all exhibits hereto (called the "Agreement") are made by OC San and the Consultant. The terms and conditions herein exclusively govern the purchase of Services as described in Exhibit "A".

1.2 Exhibits to this Agreement are incorporated by reference and made a part of this Agreement as though fully set forth at length herein.

Exhibit "A" Scope of Work  
Exhibit "B" Proposal  
Exhibit "C" Determined Insurance Requirement Form  
Exhibit "D" Contractor Safety Standards  
Exhibit "E" Human Resources Policies

1.3 In the event of any conflict or inconsistency between the provisions of this Agreement and any of the provisions of the exhibits hereto, the provisions of this Agreement shall in all respects govern and control.

1.4 This Agreement may not be modified, changed, or supplemented, nor may any obligations hereunder be waived or extensions of time for performance granted, except by written instrument signed by both Parties.

- 1.5 The various headings in this Agreement are inserted for convenience only and shall not affect the meaning or interpretation of this Agreement or any section or provision hereof.
- 1.6 The term “days”, when used in the Agreement, shall mean calendar days, unless otherwise noted as workdays.
- 1.7 The term “workday”. Workdays are defined as all days that are not Saturday, Sunday, or OC San observed holidays. Meetings with OC San staff shall be scheduled from Monday through Thursday between the hours of 8 a.m. and 4 p.m. (exception is Operations staff who maintain plant operations 24/7 and work a rotated 12-hour shift) and shall conform to OC San work schedules.
- 1.8 OC San holidays (non-working days) are as follows: New Year’s Day, Lincoln’s Birthday, Presidents’ Day, Memorial Day, Independence Day, Labor Day, Veterans Day, Thanksgiving Day, Day after Thanksgiving, Christmas Eve, and Christmas Day.
- 1.9 Work Hours: The work required under this Agreement may include normal business hours, evenings, and weekends. OC San will not pay for travel time.
- 1.10 Work Hours: All work shall be scheduled with OC San staff Monday through Thursday, between the hours of 7:00 a.m. and 5:30 p.m.
- 1.11 Consultant shall provide OC San with all required premiums and/or overtime work at no charge beyond the total amount of the Agreement.
- 1.12 Except as expressly provided otherwise, OC San accepts no liability for any expenses, losses, or action incurred or undertaken by Consultant as a result of work performed in anticipation of purchases of said Services by OC San.
- 2. Scope of Work** Subject to the terms of this Agreement, Consultant shall perform the Services identified in Exhibit “A”. Consultant warrants that all of its Services shall be performed in a competent, professional, and satisfactory manner.
- 3. Modifications to Scope of Work** Requests for modifications to the Scope of Work hereunder can be made by OC San at any time. All modifications must be made in writing and signed by both Parties. A review of the time required for the modification will be made by OC San and Consultant and the Agreement period adjusted accordingly.
- 4. Compensation**  
Compensation to be paid by OC San to Consultant for the Services provided under this Agreement shall be a total amount not to exceed [\_\_\_\_\_] Dollars (\$[\_\_\_\_\_]00).
- 5. California Department of Industrial Relations (DIR) Registration and Record of Wages**
- 5.1 To the extent Consultant’s employees and/or subconsultants who will perform work for which Prevailing Wage Determinations have been issued by the DIR and as more specifically defined under Labor Code Section 1720 et seq, Consultant and subconsultants shall comply with the registration requirements of Labor Code Section 1725.5. Pursuant to Labor Code Section 1771.4, the work is subject to compliance monitoring and enforcement by the DIR.
- 5.2 The Consultant and subconsultants shall maintain accurate payroll records and shall comply with all the provisions of Labor Code Section 1776, and shall submit payroll records to the



Labor Commissioner pursuant to Labor Code 1771.4(a)(3). Penalties for non-compliance with the requirements of Section 1776 may be deducted from progress payments per Section 1776.

- 5.3 Pursuant to Labor Code Section 1776, the Consultant and subconsultants shall furnish a copy of all certified payroll records to OC San and/or general public upon request, provided the public request is made through OC San, the Division of Apprenticeship Standards, or the Division of Labor Standards Enforcement of the Department of Industrial Relations.
- 5.4 The Consultant and subconsultants shall comply with the job site notices posting requirements established by the Labor Commissioner per Title 8, California Code of Regulation Section 16461(e).

**6. Payment and Invoicing**

- 6.1 OC San shall pay, net thirty (30) days, upon receipt and approval, by OC San's Project Manager or designee, of itemized invoices submitted for Milestones completed as follows:

10%	Milestone No. 1 – Project Schedule and Kick-off Meeting
15%	Milestone No. 2 – Sample Collection
20%	Milestone No. 3 – Sorting and Identifying First Set of Meiofauna Samples
20%	Milestone No. 4 – Sorting and Identifying Second Set of Meiofauna Samples
15%	Milestone No. 5 – Draft Report
20%	Milestone No. 6 – Final Report

- 6.2 OC San, at its sole discretion, shall be the determining party as to whether the Milestones have been satisfactorily completed.
- 6.3 Invoices shall be emailed by Consultant to OC San Accounts Payable at [APStaff@OCSan.gov](mailto:APStaff@OCSan.gov) and "INVOICE" with the Purchase Order Number and CS-2021-1266BD shall be referenced in the subject line.

7. **Audit Rights** Consultant agrees that, during the term of this Agreement and for a period of three (3) years after its termination, OC San shall have access to and the right to examine any directly pertinent books, documents, and records of Consultant relating to the invoices submitted by Consultant pursuant to this Agreement.

8. **Commencement and Term** The Services provided under this Agreement shall be completed within 730 calendar days from the effective date of the Notice to Proceed.

9. **Extensions** The term of this Agreement may be extended only by written instrument signed by both Parties.

10. **Performance** Time is of the essence in the performance of the provisions hereof.

**11. Termination**

- 11.1 OC San reserves the right to terminate this Agreement for its convenience, with or without cause, in whole or in part, at any time, by written notice from OC San. Upon receipt of a termination notice, Consultant shall immediately discontinue all work under this Agreement (unless the notice directs otherwise). OC San shall thereafter, within thirty (30) days, pay Consultant for work performed (cost and fee) to the date of termination. Consultant expressly waives any claim to receive anticipated profits to be earned during the uncompleted portion of this Agreement. Such notice of termination shall terminate this Agreement and release OC San from any further fee, cost or claim hereunder by Consultant

other than for work performed to the date of termination.

11.2 OC San reserves the right to terminate this Agreement immediately upon OC San's determination that Consultant is not complying with the Scope of Work requirements, if the level of service is inadequate, or any other default of this Agreement.

11.3 OC San may also immediately terminate for default of this Agreement in whole or in part by written notice to Consultant:

- if Consultant becomes insolvent or files a petition under the Bankruptcy Act; or
- if Consultant sells its business; or
- if Consultant breaches any of the terms of this Agreement; or
- if total amount of compensation exceeds the amount authorized under this Agreement.

11.4 All OC San property in the possession or control of Consultant shall be returned by Consultant to OC San on demand, or at the termination of this Agreement, whichever occurs first.

12. **Indemnification and Hold Harmless Provision** Consultant shall assume all responsibility for damages to property and/or injuries to persons, including accidental death, which may arise out of or be caused by Consultant's Services under this Agreement, or by its subconsultant(s) or by anyone directly or indirectly employed by Consultant, and whether such damage or injury shall accrue or be discovered before or after the termination of the Agreement. Except as to the sole active negligence of or willful misconduct of OC San, Consultant shall indemnify, protect, defend and hold harmless OC San, its elected and appointed officials, officers, agents and employees, from and against any and all claims, liabilities, damages or expenses of any nature, including attorneys' fees: (a) for injury to or death of any person or damage to property or interference with the use of property, arising out of or in connection with Consultant's performance under the Agreement, and/or (b) on account of use of any copyrighted or uncopyrighted material, composition, or process, or any patented or unpatented invention, article or appliance, furnished or used under the Agreement, and/or (c) on account of any goods and services provided under this Agreement. This indemnification provision shall apply to any acts or omissions, willful misconduct, or negligent misconduct, whether active or passive, on the part of Consultant or anyone employed by or working under Consultant. To the maximum extent permitted by law, Consultant's duty to defend shall apply whether or not such claims, allegations, lawsuits, or proceedings have merit or are meritless, or which involve claims or allegations that any of the parties to be defended were actively, passively, or concurrently negligent, or which otherwise assert that the parties to be defended are responsible, in whole or in part, for any loss, damage, or injury. Consultant agrees to provide this defense immediately upon written notice from OC San, and with well qualified, adequately insured, and experienced legal counsel acceptable to OC San. This section shall survive the expiration or early termination of the Agreement.

13. **Insurance** Consultant and all subconsultants shall purchase and maintain, throughout the life of this Agreement and any periods of warranty or extensions, insurance in amounts equal to the requirements set forth in the signed Determined Insurance Requirement Form, Exhibit "C". Consultant shall not commence work under this Agreement until all required insurance is obtained in a form acceptable to OC San, nor shall Consultant allow any subconsultant to commence service pursuant to a subcontract until all insurance required of the subconsultant has been obtained. Failure to maintain required insurance coverage shall result in termination of this Agreement.

14. **Key Personnel** Personnel, as provided in Exhibit “B”, are considered “key” to the work under this Agreement and will be available for the term of the Agreement. No person designated as key under this Agreement shall be removed or replaced without prior written consent of OC San. If OC San asks Consultant to remove a person designated as key under this Agreement, Consultant agrees to do so immediately regardless of the reason, or the lack of reason, for OC San's request. Consultant shall assign only competent personnel to perform Services pursuant to this Agreement.

15. **Confidentiality and Non-Disclosure**

15.1 Consultant acknowledges that in performing the Services hereunder, OC San may have to disclose to Consultant orally and in writing certain confidential information that OC San considers proprietary and has developed at great expense and effort.

15.2 Consultant agrees to maintain in confidence and not disclose to any person, firm, or corporation, without OC San's prior written consent, any trade secret or confidential information, knowledge or data relating to the products, process, or operation of OC San.

15.3 Consultant further agrees to maintain in confidence and not to disclose to any person, firm, or corporation any data, information, technology, or material developed or obtained by Consultant during the term of this Agreement.

15.4 Consultant agrees as follows:

- To use the confidential information only for the purposes described herein; to not reproduce the confidential information; to hold in confidence and protect the confidential information from dissemination to and use by anyone not a party to this Agreement; and to not use the confidential information to benefit itself or others.
- To restrict access to the confidential information to its subconsultant or personnel of Consultant who (1) have a need to have such access and (2) have been advised of and have agreed in writing to treat such information in accordance with the terms of this Agreement.
- To return all confidential information in Consultant's possession upon termination of this Agreement or upon OC San's request, whichever occurs first.
- To hold in confidence information and materials, if any, developed pursuant to the Services hereunder.

15.5 The provisions of this section shall survive termination or expiration of this Agreement and shall continue for so long as the material remains confidential.

16. **Ownership of Documents** All drawings, specifications, reports, records, documents, memoranda, correspondence, computations, and other materials prepared by Consultant, its employees, subconsultants, and agents in the performance of this Agreement shall be the property of OC San and shall be promptly delivered to OC San upon request of OC San's Project Manager or designee, or upon the termination of this Agreement, and Consultant shall have no claim for further employment or additional compensation as a result of the exercise by OC San of its full rights of ownership of the documents and materials hereunder. Any use of such completed documents for other projects and/or use of incomplete documents without specific written authorization by the Consultant will be at OC San's sole risk and without liability to Consultant. Consultant shall ensure that all its subconsultants shall provide for assignment to OC San of any documents or materials prepared by them.

**17. Ownership of Intellectual Property**

- 17.1 Consultant agrees that all designs, plans, reports, specifications, drawings, schematics, prototypes, models, inventions, and all other information and items made during the course of this Agreement and arising from the Services (hereinafter referred to as "New Developments") shall be and are assigned to OC San as its sole and exclusive property.
- 17.2 Consultant agrees to promptly disclose to OC San all such New Developments. Upon OC San's request, Consultant agrees to assist OC San, at OC San's expense, to obtain patents or copyrights for such New Developments, including the disclosure of all pertinent information and data with respect thereto, the execution of all applications, specifications, assignments, and all other instruments and papers which OC San shall deem necessary to apply for and to assign or convey to OC San, its successors and assigns, the sole and exclusive right, title and interest in such New Developments. Consultant agrees to obtain or has obtained written assurances from its employees and contract personnel of their agreement to the terms hereof with regard to New Developments and confidential information.
- 17.3 Consultant warrants that Consultant has good title to any New Developments, and the right to assign New Developments to OC San free of any proprietary rights of any other party or any other encumbrance whatever.
- 17.4 The originals of all computations, drawings, designs, graphics, studies, reports, manuals, photographs, videotapes, data, computer files, and other documents prepared or caused to be prepared by Consultant or its subconsultants in connection with these Services shall be delivered to and shall become the exclusive property of OC San. OC San may utilize these documents for OC San applications on other projects or extensions of this project, at its own risk.

**18. No Solicitation of Employees**

- 18.1 Consultant agrees that it shall not, during the term of this Agreement and for a period of one (1) year immediately following termination of this Agreement, or any extension hereof, call on, solicit, or take away any of the employees whom Consultant became aware of as a result of Consultant's Services to OC San.
- 18.2 Consultant acknowledges that OC San's employees are critical to its business and OC San expends significant resources to hire, employ, and train employees. Should Consultant employ or otherwise engage OC San's employees during the term of this Agreement and for a period of one (1) year following termination of this Agreement, Consultant will pay OC San fifty percent (50%) of the former employee's most recent annual salary earned at OC San to accurately reflect the reasonable value of OC San's time and costs. This payment is in addition to any other rights and remedies OC San may have at law.

**19. Independent Contractor Capacity**

- 19.1 The relationship of Consultant to OC San is that of an independent contractor and nothing herein shall be construed as creating an employment or agency relationship.
- 19.2 Consultant shall act independently and not as an officer or employee of OC San. OC San assumes no liability for Consultant's action and performance, nor assumes responsibility for taxes, funds, payments or other commitments, implied or expressed, by or for Consultant.
- 19.3 Consultant shall not be considered an agent of OC San for any purpose whatsoever, nor shall Consultant have the right to, and shall not, commit OC San to any agreement, contract or undertaking. Consultant shall not use OC San's name in its promotional material or for

any advertising or publicity purposes without expressed written consent.

- 19.4 Consultant shall not be entitled to any benefits accorded to those individuals listed on OC San's payroll as regular employees including, without limitation, worker's compensation, disability insurance, vacation, holiday or sick pay. Consultant shall be responsible for providing, at Consultant's expense, disability, workers' compensation or other insurance as well as licenses and permits usual or necessary for conducting the Services hereunder.
- 19.5 Consultant shall be obligated to pay any and all applicable Federal, State and local payroll and other taxes incurred as a result of fees hereunder. Consultant hereby indemnifies OC San for any claims, losses, costs, fees, liabilities, damages or penalties suffered by OC San arising out of Consultant's breach of this provision.
- 19.6 Consultant shall not be eligible to join or participate in any benefit plans offered to those individuals listed on OC San's payroll as regular employees. Consultant shall remain ineligible for such benefits or participation in such benefit plans even if a court later decides that OC San misclassified Consultant for tax purposes.
20. **Licenses, Permits** Consultant represents and warrants to OC San that it has obtained all licenses, permits, qualification and approvals of whatever nature that are legally required to engage in this work. Any and all fees required by Federal, State, County, City and/or municipal laws, codes and/or tariffs that pertain to work performed under the terms of this Agreement will be paid by Consultant.
21. **Consultant's Representations** In the performance of duties under this Agreement, Consultant shall adhere to the highest fiduciary standards, ethical practices and standards of care and competence for their trade/profession. Consultant agrees to comply with all applicable Federal, State and local laws and regulations.
22. **Familiarity with Work** By executing this Agreement, Consultant warrants that: 1) it has investigated the work to be performed; 2) it has investigated the site of the work and is aware of all conditions there; and 3) it understands the facilities, difficulties and restrictions of the work under this Agreement. Should Consultant discover any latent or unknown conditions materially differing from those inherent in the work or as represented by OC San, it shall immediately inform OC San of this and shall not proceed, except at Consultant's risk, until written instructions are received from OC San.
23. **Right to Review Services, Facilities, and Records**
- 23.1 OC San reserves the right to review any portion of the Services performed by Consultant under this Agreement, and Consultant agrees to cooperate to the fullest extent possible.
- 23.2 Consultant shall furnish to OC San such reports, statistical data, and other information pertaining to Consultant's Services as shall be reasonably required by OC San to carry out its rights and responsibilities under its agreements with its bondholders or noteholders and any other agreement relating to the development of the project(s) and in connection with the issuance of its official statements and other prospectuses with respect to the offering, sale, and issuance of its bonds and other obligations.
- 23.3 The right of OC San to review or approve drawings, specifications, procedures, instructions, reports, test results, calculations, schedules, or other data that are developed by Consultant shall not relieve Consultant of any obligation set forth herein.

24. **Force Majeure** Neither party shall be liable for delays caused by accident, flood, acts of God, fire, labor trouble, war, acts of government or any other cause beyond its control, but said party shall use reasonable efforts to minimize the extent of the delay. Work affected by a Force Majeure condition may be rescheduled by mutual consent or may be eliminated from the Agreement.
25. **Severability** If any section, subsection, or provision of this Agreement, or any agreement or instrument contemplated hereby, or the application of such section, subsection, or provision is held invalid, the remainder of this Agreement or instrument in the application of such section, subsection or provision to persons or circumstances other than those to which it is held invalid, shall not be affected thereby, unless the effect of such invalidity shall be to substantially frustrate the expectations of the Parties.
26. **Waiver** The waiver of either party of any breach or violation of, or default under, any provision of this Agreement, shall not be deemed a continuing waiver by such party of any other provision or of any subsequent breach or violation of this Agreement or default thereunder. Any breach by Consultant to which OC San does not object shall not operate as a waiver of OC San's rights to seek remedies available to it for any subsequent breach.
27. **Remedies** In addition to other remedies available in law or equity, if the Consultant fails to make delivery of the goods or Services or repudiates its obligations under this Agreement, or if OC San rejects the goods or Services or revokes acceptance of the goods or Services, OC San may (1) terminate the Agreement; (2) recover whatever amount of the purchase price OC San has paid, and/or (3) "cover" by purchasing, or contracting to purchase, substitute goods or services for those due from Consultant. In the event OC San elects to "cover" as described in (3), OC San shall be entitled to recover from Consultant as damages the difference between the cost of the substitute goods or services and the Agreement price, together with any incidental or consequential damages.
28. **Governing Law** This Agreement shall be governed by and interpreted under the laws of the State of California and the Parties submit to jurisdiction in Orange County, in the event any action is brought in connection with this Agreement or the performance thereof.
29. **Environmental Compliance** Consultant shall, at its own cost and expense, comply with all Federal, State, and local environmental laws, regulations, and policies which apply to the Consultant, its sub-consultants, and the Services, including, but not limited to, all applicable Federal, State, and local air pollution control laws and regulations.
30. **Attorney's Fees** If any action at law or in equity or if any proceeding in the form of an Alternative Dispute Resolution (ADR) is necessary to enforce or interpret the terms of this Agreement, the prevailing party shall be entitled to reasonable attorney's fees, costs and necessary disbursements in addition to any other relief to which it may be entitled.
31. **Dispute Resolution**
- 31.1 In the event of a dispute as to the construction or interpretation of this Agreement, or any rights or obligations hereunder, the Parties shall first attempt, in good faith, to resolve the dispute by mediation. The Parties shall mutually select a mediator to facilitate the resolution of the dispute. If the Parties are unable to agree on a mediator, the mediation shall be conducted in accordance with the Commercial Mediation Rules of the American Arbitration Agreement, through the alternate dispute resolution procedures of Judicial Arbitration through Mediation Services of Orange County ("JAMS"), or any similar organization or entity conducting an alternate dispute resolution process.

- 31.2 In the event the Parties are unable to timely resolve the dispute through mediation, the issues in dispute shall be submitted to arbitration pursuant to California Code of Civil Procedure, Part 3, Title 9, Sections 1280 et seq. For such purpose, an agreed arbitrator shall be selected, or in the absence of agreement, each party shall select an arbitrator, and those two (2) arbitrators shall select a third. Discovery may be conducted in connection with the arbitration proceeding pursuant to California Code of Civil Procedure Section 1283.05. The arbitrator, or three (3) arbitrators acting as a board, shall take such evidence and make such investigation as deemed appropriate and shall render a written decision on the matter in question. The arbitrator shall decide each and every dispute in accordance with the laws of the State of California. The arbitrator's decision and award shall be subject to review for errors of fact or law in the Superior Court for the County of Orange, with a right of appeal from any judgment issued therein.
32. **Damage to OC San's Property** Any OC San property damaged by Consultant will be subject to repair or replacement by Consultant at no cost to OC San.
33. **Contractor Safety Standards and Human Resources Policies** OC San requires Consultant and its subconsultants to follow and ensure their employees follow all Federal, State and local regulations as well as Contractor Safety Standards while working at OC San locations. If during the course of the Agreement it is discovered that Contractor Safety Standards do not comply with Federal, State or local regulations, then the Consultant is required to follow the most stringent regulatory requirement at no additional cost to OC San. Consultant and all of its employees and subconsultants, shall adhere to all applicable Contractor Safety Standards attached hereto in Exhibit "D" and the Human Resources Policies in Exhibit "E".
34. **Freight (F.O.B. Destination)** Consultant assumes full responsibility for all transportation, transportation scheduling, packing, handling, insurance, and other services associated with delivery of all products deemed necessary under this Agreement.
35. **Assignments** Consultant shall not delegate any duties nor assign any rights under this Agreement without the prior written consent of OC San. Any such attempted delegation or assignment shall be void.
36. **Conflict of Interest and Reporting**
- 36.1 Consultant shall at all times avoid conflicts of interest or appearance of conflicts of interest in performance of this Agreement.
- 36.2 Consultant affirms that to the best of its knowledge there exists no actual or potential conflict between Consultant's families, business or financial interest or its Services under this Agreement, and in the event of change in either its private interests or Services under this Agreement, it will raise with OC San any question regarding possible conflict of interest which may arise as a result of such change.
37. **Third Party Rights** Nothing in this Agreement shall be construed to give any rights or benefits to anyone other than OC San and Consultant.
38. **Non-Liability of OC San Officers and Employees** No officer or employee of OC San shall be personally liable to Consultant, or any successor-in-interest, in the event of any default or breach by OC San or for any amount which may become due to Consultant or to its successor, or for breach of any obligation of the terms of this Agreement.

39. **Authority to Execute** The persons executing this Agreement on behalf of the Parties warrant that they are duly authorized to execute this Agreement and that by executing this Agreement, the Parties are formally bound.
40. **Read and Understood** By signing this Agreement, Consultant represents that it has read and understood the terms and conditions of the Agreement.
41. **Entire Agreement** This Agreement constitutes the entire agreement of the Parties and supersedes all prior written or oral and all contemporaneous oral agreements, understandings, and negotiations between the Parties with respect to the subject matter hereof.
42. **Notices** All notices under this Agreement must be in writing. Written notice shall be delivered by personal service or sent by registered or certified mail, postage prepaid, return receipt requested, or by any other overnight delivery service which delivers to the noticed destination and provides proof of delivery to the sender. Any facsimile notice must be followed within three (3) days by written notice. Rejection or other refusal to accept or the inability to deliver because of changed address for which no notice was given as provided hereunder shall be deemed to be receipt of the notice, demand or request sent. All notices shall be effective when first received at the following addresses:

OC San: Jackie Lagade, Principal Buyer  
Orange County Sanitation District  
10844 Ellis Avenue  
Fountain Valley, CA 92708-7018

Consultant: [Contact Name]  
[Contact Title]  
[Company Name]  
[Street Address]  
[City, State, Zip Code]

Each party shall provide the other party written notice of any change in address as soon as practicable.

[Intentionally left blank. Signatures follow on the next page.]



**IN WITNESS WHEREOF**, intending to be legally bound, the Parties hereto have caused this Agreement to be signed by the duly authorized representatives.

**ORANGE COUNTY SANITATION DISTRICT**

Dated: \_\_\_\_\_

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

John B. Withers  
Chair, Board of Directors

Brooke Jones  
Chair, Operations Committee

Dated: \_\_\_\_\_

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

Kelly A. Lore  
Clerk of the Board

Dated: \_\_\_\_\_

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

Ruth Zintzun  
Purchasing & Contracts Manager

**[COMPANY]**

Dated: \_\_\_\_\_

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

\_\_\_\_\_  
Print Name and Title of Officer

CMM



# ADMINISTRATION COMMITTEE

Administration Building  
10844 Ellis Avenue  
Fountain Valley, CA 92708  
(714) 593-7433

## Agenda Report

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**File #:** 2022-2072

**Agenda Date:** 3/9/2022

**Agenda Item No:** 3.

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**FROM:** James D. Herberg, General Manager  
Originator: Kelly A. Lore, Clerk of the Board

**SUBJECT:**

**UPDATE TO RECORDS MANAGEMENT PROGRAM PROCEDURES AND RECORDS RETENTION SCHEDULE RESOLUTION**

**GENERAL MANAGER'S RECOMMENDATION**

RECOMMENDATION: Recommend to the Board of Directors to:

Adopt Resolution No. OC SAN 22-XX entitled: "A Resolution of the Board of Directors of the Orange County Sanitation District Adopting the Records Management Program Procedures and Records Retention Schedule, Authorizing Destruction of Obsolete Records, and Repealing Resolution No. OC SAN 21-08".

**BACKGROUND**

The Orange County Sanitation District's (OC San) Records Management Program is being updated to meet new statutory regulations and agency changes to better serve the operational needs of OC San. General Counsel's Office, departmental subject matter experts, the Clerk of the Board, and Assistant Clerk of the Board have reviewed the minor updates and recommend the proposed changes.

OC San's Records Management Program documents how long various types of information are to be kept, as dictated by the legal, fiscal, operational, and audit needs of OC San. As a public agency, there is an obligation to effectively manage and maintain OC San's information, most of which is classified as public information.

**RELEVANT STANDARDS**

- Maintain and adhere to appropriate internal planning documents: Resolution No. OC SAN 21-08 (Current Records Management Program Procedures and Records Retention Schedule)
- Comply with Government Code §60200 through 60204
- Comply with Government Code §6250 et seq.

**PROBLEM**

There are current legal regulatory requirements that are not reflected in OC San's existing Records Management Program Procedures and Records Retention Schedule.

## **PROPOSED SOLUTION**

Adopt the updated OC San Records Management Program Procedures and updated Records Retention Schedule to reflect the current legal regulatory requirements.

## **TIMING CONCERNS**

Destruction of some records may not be authorized until the updated Records Retention Schedule is approved.

## **RAMIFICATIONS OF NOT TAKING ACTION**

Records will be kept longer than legally required which will impact compliance with the current retention regulations as well as the need and cost associated with additional storage space.

## **PRIOR COMMITTEE/BOARD ACTIONS**

May 2021 - Adopted Resolution No. OC SAN 21-08 Adopting the Records Management Program Procedures and Records Retention Schedule, Authorizing Destruction of Obsolete Records, and Repealing Resolution No. OCSD 20-10.

## **ADDITIONAL INFORMATION**

As dictated by the current legal, audit, business, and operational needs of OC San, changes were made to existing record types, which include the retention length, record descriptions, and legal citations.

## **ATTACHMENT**

*The following attachment(s) may be viewed on-line at the OC San website ([www.ocsan.gov](http://www.ocsan.gov)) with the complete agenda package:*

- Resolution No. OC SAN 22-XX
- Records Management Procedure Manual Redline
- Draft Records Retention Schedule

RESOLUTION NO. OC SAN ~~21-08~~ 22-XX

A RESOLUTION OF THE BOARD OF DIRECTORS OF THE ORANGE COUNTY SANITATION DISTRICT ADOPTING THE RECORDS MANAGEMENT PROGRAM PROCEDURES & RECORDS RETENTION SCHEDULE, AUTHORIZING DESTRUCTION OF OBSOLETE RECORDS, AND REPEALING RESOLUTION NO. ~~OCSD 20-10~~ OC SAN 21-08

WHEREAS, it is necessary to establish a policy to maintain a Records Management Program ("Program") that provides for the identification, access, and protection of all records generated or received by the Orange County Sanitation District; and

WHEREAS, said Program ensures that all the Orange County Sanitation District records are created, received, maintained, and destroyed in a legal and cost-effective manner, in accordance with operating requirements for [the Orange County Sanitation District](#) business and applicable statutes and regulations; and

WHEREAS, the Board of Directors of the Orange County Sanitation District are authorized, by the provisions of California Government Code Sections 60200 through 60204, inclusive to destroy records under certain conditions, and

WHEREAS, it is described and appropriate to authorize the destruction of the records on a routine basis; that have been retained for a defined period of time, that are copies of originals on file with the Orange County Sanitation District, or that have been preserved in conformance with all applicable statutes.

NOW, THEREFORE, the Board of Directors of Orange County Sanitation District, DOES HEREBY RESOLVE, DETERMINE, AND ORDER:

Section 1: Adoption of the Current Records Management Procedures. The Board of Directors of the Orange County Sanitation District hereby adopts the currently established Records Management Procedure Manual.

Section 2: Adoption of Updated Records Retention Schedule. The Board of Directors of the Orange County Sanitation District hereby adopts changes to the Records Retention Schedule, set forth in Appendix "A" incorporated herein by reference.

Section 3: Authorization for Destruction of Records. The destruction of records, papers, and documents is hereby authorized, pursuant to California Government Code Sections 60200 et seq., after such records have been retained for the minimum time set forth in the Records Retention Schedule.

Section 4: Destruction of Records After Preservation. Any record not expressly required by law to be filed and preserved may be destroyed at any time after it is

preserved in conformance with the requirements of California Government Code Section 60203.

Section 5: Destruction of Duplicates. Pursuant to California Government Code Section 60200, any duplicate record, paper, or document (the original or a permanent copy of which is in the files of any office or Department of the Orange County Sanitation District) may be destroyed after confirmation with Records Management that such original or permanent copy remains on file in the Orange County Sanitation District.

Section 6: Retention of Records Not Mentioned. All records, papers, and documents not mentioned in this Resolution shall be retained.

Section 7: Resolution No. ~~OCSD 20-10~~OC SAN 21-08 is hereby repealed.

PASSED AND ADOPTED at a regular meeting of the Board of Directors of the Orange County Sanitation District held ~~May 26, 2021~~February 23, 2022.

~~David John Shawver~~John B. Withers  
Board Chairman

ATTEST:

\_\_\_\_\_  
Kelly A. Lore, MMC  
Clerk of the Board

STATE OF CALIFORNIA )  
                                  )     ss  
COUNTY OF ORANGE  )

I, Kelly A. Lore, Clerk of the Board of Directors of the Orange County Sanitation District, do hereby certify that the foregoing Resolution No. OC SAN 21-08 was passed and adopted at a regular meeting of said Board on the 26th day of May 2021, by the following vote, to wit:

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- AYES:**
- NOES:**
- ABSTENTIONS:**
- ABSENT:**

IN WITNESS WHEREOF, I have hereunto set my hand and affixed the official seal of Orange County Sanitation District this 26th day of May 2021.

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\_\_\_\_\_  
Kelly A. Lore, MMC  
Clerk of the Board of Directors  
Orange County Sanitation District




# 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>
<b>SUBJECT: TABLE OF CONTENTS</b>		Approved by: OC San Board of Directors

**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)


<b>SECTION</b>	<b>TITLE</b>
1.0	RECORDS MANAGEMENT PROGRAM POLICY
2.0	PROGRAM GUIDELINES
3.0	STAFF RESPONSIBILITIES
4.0	RECORDS RETENTION
4.0 Exhibit A	Records Retention Change Form
4.0 Exhibit B	Records Retention Schedule
4.0 Exhibit C	Records Retention Schedule Definitions
5.0	RECORDS <del>DISPOSITION &amp;</del> <del>CONFIDENTIALITY</del> <u>DESTRUCTION</u>
6.0	VITAL RECORDS
7.0	HISTORICAL RECORDS
8.0	RECORDS MANAGEMENT PROGRAM AUDIT & COMPLIANCE REVIEW
9.0	RECORD HOLD AND RELEASE
10.0	PUBLIC RECORDS ACT – RELEASE OF RECORDS



 <b>OC SAN</b> <small>ORANGE COUNTY SANITATION DISTRICT</small>	Orange County Sanitation District	Procedure Number: 00
	<b>RECORDS MANAGEMENT  POLICY &amp; PROCEDURE MANUAL</b>	Effective Date: <u>9/23/2020xx-xx-xxxx</u>
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TO THE PUBLIC

<u>SECTION</u>	<u>TITLE</u>
11.0	ELECTRONIC COMMUNICATIONS POLICY
12.0	ESCROW OF BID DOCUMENTS
<b><u>13.0</u></b>	<b><u>DIGITIZATION OF RECORDS</u></b>

	Orange County Sanitation District	Procedure Number: 1.0
	<b>RECORDS MANAGEMENT POLICY &amp; PROCEDURE MANUAL</b>	Effective Date: <u>9/23/2020xx/xx/xxx</u>
		Supersedes: <u>9/23/2020</u>
<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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<b>SUBJECT: RECORDS MANAGEMENT PROGRAM POLICY</b>		Approved by: OC San Board of Directors

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.


	Orange County Sanitation District  <b>RECORDS MANAGEMENT POLICY &amp; PROCEDURE MANUAL</b>	Procedure Number: 2.0
		Effective Date: <u>9/23/2020xx/xx/xxxx</u>
		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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		Supersedes: <u>23/2020</u>
<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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<b>SUBJECT: STAFF RESPONSIBILITIES</b>		Approved by: OC San Board of Directors

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

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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	Orange County Sanitation District	Procedure Number: 4.0
	<b>RECORDS MANAGEMENT POLICY &amp; PROCEDURE MANUAL</b>	Effective Date: <a href="#">9/23/2020xx-xx-xxxx</a>
		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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		<p><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.</p>
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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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<a href="#">Records Management Specialist Assistant Clerk of the Board</a>	<ul style="list-style-type: none"> <li>Coordinate the periodic update of the Record Retention Schedule and Record Series Definitions. Provide training on RRS use and maintenance.</li> </ul>
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Division Records Coordinator	<ul style="list-style-type: none"> <li>Periodically (but not less than annually) review the RRS associated with records in the Division.</li> <li>Match the RRS against records stored in the office, shop, field, and other storage locations.</li> <li>Mark for deletion any records that are no longer maintained by the Division.</li> <li>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).</li> <li>Using a Record Retention Schedule Change Form (Exhibit A), identify any updates or changes requested and forward to the <a href="#">Records Management Specialist Assistant Clerk of the Board</a> for presentation to the Record Retention Schedule Review Committee.</li> </ul>
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<a href="#">Records Management Specialist Assistant Clerk of the Board</a>	<ul style="list-style-type: none"> <li>Review the Record Retention Schedule Change Form completed by the Division Records Coordinators. Determine in which records series the record titles logically belong.</li> <li>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.</li> </ul>
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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.

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

- 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

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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 eExpired Records, Inactive Records, and hHistorical OC San rRecords 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 Holdaudit.

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


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

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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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.

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~~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.~~

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~~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](mailto: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>
---	--

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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<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.

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		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>
<del>Records Management Specialist</del> <u>Assistant Clerk of the Board</u>	Review how Division records are kept, where they are located, in what format (hardcopy or electronic), and security (who has access).
	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.
	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.

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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>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>

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## 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>




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

## 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>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</del> <u>OC San</u> business.	Personal messages and announcements not related to official <del>Sanitation District</del> <u>OC San</u> business.
Electronic Communication that shows how an <del>Sanitation District</del> <u>OC San</u> policy was created or how a decision was made by <del>Sanitation District</del> <u>OC San</u> staff and/or the <del>Sanitation District</del> <u>OC San</u> 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</del> <u>OC San</u> 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</del> <u>OC San</u> 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>
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STATE OF CALIFORNIA  
COUNTY OF ORANGE  
ORANGE COUNTY SANITATION DISTRICT

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

1. I received notice of a California Public Records Act ("CPRA") request regarding a search of my personal electronic messaging account(s).
2. 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:

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*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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*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:

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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 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>OC SAN</b> <small>ORANGE COUNTY SANITATION DISTRICT</small>	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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### 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> <div style="border: 1px solid black; padding: 5px; text-align: center;"> <b>AFFIX BAR CODE HERE</b> </div>	
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			

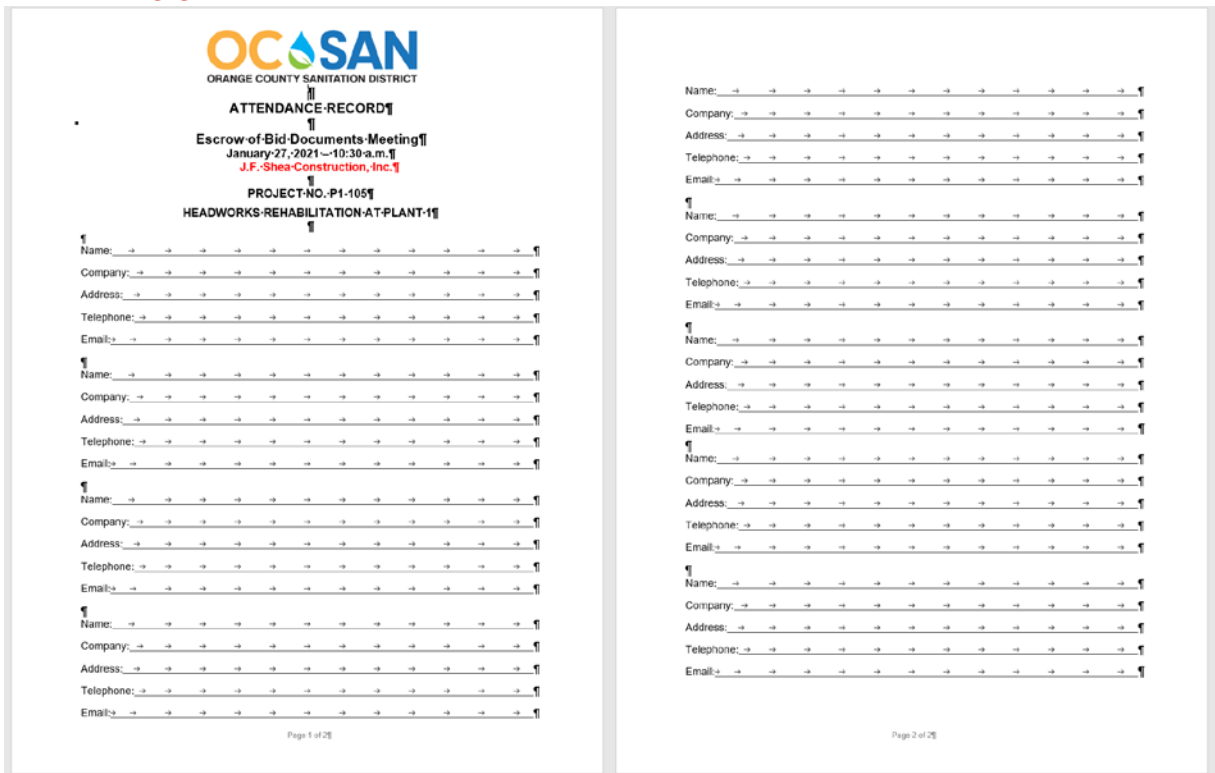
A separate form is required for each Bidder’s Escrowed Bid Documents due to the fact each Bidder’s escrow box is assigned a separate bar

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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



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: → → → → → → → → → → →

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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.

	Orange County Sanitation District	Procedure Number: 13.0
	<b>RECORDS MANAGEMENT POLICY &amp; PROCEDURE MANUAL</b>	Effective Date: xx/xx/xxxx
<b>SUBJECT: DIGITIZATION OF RECORDS</b>		Supersedes:
		Approved by: OC San Board of Directors


**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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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.



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## Districtwide

Retention Number	Record Type	Retention Length (Years Unless Specified)	Special Storage Consideration	Media Type	Retention Citations / Comments
DW001	Published Articles Written/Contribution by OC San Staff	LO			SOS C-24, SOS C-40
DW002	Historical Records: Photos, Slides Used by O&M, Videos, Correspondence	LO	H		<i>Business value for LO retention</i> Need to discuss determination of Historical with management No citations?
DW003	Non-Historical Photos & Videos	NN			This category is very broad. Need to discuss narrowing it. Removing it may also be an option. No citations?



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DW005	<p>Reference Files: Equipment Manuals, Process Workflows, Budget Planning Documents, Training Material, Standby Assignments/Stormwatch</p> <p>The citation for manuals is GC 60201(d)(11) and SOS C-23; retention period of S+2. Depending on what records are in this Type, could also be SOS C-19 with a S+5 retention period if the document is classified as Departmental Policies &amp; Procedures. We may need to reclassify the "process workflows", "budget planning documents", and "standby assignments/stormwatch" if these are documents that relate to a specific project. We may want to break this Type into additional Types for more accurate retention. Needs further discussion</p>	S+5		EL, P	GC §53464-GC §60201(d)(11); SOS C-23, SOS C-19
DW006	<p>Speeches and Non-Marketing Related Presentations &amp; Supporting Documents (Includes PowerPoints) Presentations Not Made at Board/Committee Meetings <i>Incorporates previous DW004</i></p>	CU+2	H		SOS C-24 <i>Some records may be kept for historical value</i>
DW007	<p>Email in Outlook Inbox &amp; Sent Folders <i>This pertains to all email not specifically addressed or related to another Retention Number contained in the whole Records Retention Schedule</i></p>	CU+2			No citations?
DW008	<p>Non-Records in Email Format in Outlook Deleted Folder <i>These records fail to meet the definition of a public record under Government Code §6252(e)</i></p>	90 Days			Ben reviewing bold language in Record Type field No citations?
DW009	<p>Various Internal Meeting Minutes Includes Minutes Not Otherwise Indicated Herein, Including Executive Management Team (EMT) Meeting Minutes, Managers Meeting Minutes, Administrative Support Meeting Minutes <i>EMT Meeting Minutes previously GMO017</i></p>	CU+2			SOS C-19 e24



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## Board Services

Retention Number	Record Type	Retention Length (Years Unless Specified)	Special Storage Consideration	Media Type	Retention Citations / Comments
BSD001	Affidavits of Publications Notices	LO		EL, P	GC §54960.1(c)(1); <b>SOS C-22, SOS C-23</b> <i>Required retention is CU+2; business value for LO retention</i>
BSD002	Board and Committee Meeting Agenda Packets and Meeting-Related Materials: Agenda, Agenda Reports & Attachments, Presentations, GM Monthly Report	LO		EL, P	<del>GC §34090</del> ; <del>SOS C-22</del> , <del>SOS C-42</del>
BSD003	Agreements & Contracts, Political & Outside Jurisdictions/Agencies: Cooperative Agreements, JPAs (Joint Powers Authorities), JFAs (Joint Finance Authorities), Interagency, Reimbursement Agreements	LO		EL, P	GC §60201(d)(1), GC §60201(d)(9)
BSD004	Annexation Files	LO		EL, P	<del>GC §34090</del> , GC §60201(d)(1); SOS C-28
BSD005	Bids - Awarded (Board Reviewed)	LO		EL, P	GC §60201(d)(6); <del>SOS C-27</del> , SOS C-30
BSD006	Bids - <del>Unsuccessful</del> Unaccepted (Board <del>Approved</del> Reviewed) <i>Includes unsuccessful and rejected bids</i>	CU+2		EL, P	<del>GC §34090</del> , <del>GC §60201(d)(6)</del> ; GC §60201(d)(11); SOS C-30



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## Board Services

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BSD007	Board Administration Files: Loyalty Oaths, Election Records, Directors Lists, Contact Information	T+10		EL, P	<del>GC §34090(d)(1)</del> ; PC §801.5 22; SOS C-18; 29 USC §1113
BSD008	Conflict of Interest (FPPC Filings)	T+7		EL, P	GC §81009(e); SOS C-18
BSD009	Purchasing, Contracts & Agreement Files - Capital Improvement Projects (CIP) & Non-CIP - Committee or Board Approved: Includes Authorization Documents; Change Orders; Amendments; Notices; Published Invitation for Bid (IFB) Documents, including Specifications & Drawings, Solicitation Addenda and Bulletins Issued; Notices of Intent to Award; Notices of Award; Notices to Proceed; Notices of Completion; <del>Property &amp; Other Lease Agreements</del>	LO		EL, P	<del>CCP §335, CCP §337, CCP §337.15; GC §4000; H&amp;S §19850; SOS C-22, SOS C-27, SOS C-30</del>
BSD011	Ethics Training: Sexual Harassment Board Only, Ethics Training Board & Employee	EX+5		EL, P	GC §53235.2(b)
BSD012	Formation Files	LO		EL, P	GC §60201(d)(1)
BSD013	Land Records: Easements, Grant Deeds, Quit Claim Deeds, Abandonments, Condemnations, Real Estate Purchase & Sale, Property Agreements, Encroachment Permits, <del>Etc.</del>	LO		EL, P	<del>GC §34090(a)</del> ; GC §60201(d)(8)





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### Board Services

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BSD014	Legal Opinions	LO		EL, P	SOS C-23; GC §6254
BSD015	Litigation Files	CL+6		EL, P	GC §60201(d)(4)
BSD016	Meeting Minutes: Board & Board Committees	LO		EL, P	GC §60201(d)(3)
BSD017	Ordinances	LO		EL, P	GC §60201(d)(2)
BSD018	Recorded Project Documents: Notices of Completion, Easements, Deeds, etc.	LO		EL, P	GC §60201(d)(8); SOS C-26
BSD019	Resolutions	LO		EL, P	GC §34090, GC §60201(d)(2)



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BSD020	Tapes & Digital Recordings (Audio & Video): Board or Committee Meetings	LO		EL	GC §54953.5(b) <i>Minimum retention 30 days or until adoption of the minutes per Brown Act</i>
BSD021	Director Communications: General Board Correspondence	CU+3		EL, P	PC 801.5 22; 29 USC §1113
BSD023	Public Records Act Requests	CL+2		EL, P	GC §60201(d)(5); SOS C-23
BSD024	Grand Jury Reports/Responses	LO		EL, P	GC §60201
BSD025	Records Retention Schedules	LO		EL, P	CCP §343; SOS C-23 <i>Schedules are superseded when updated</i>
BSD026	Records Destruction Records: Approvals, Certificates, Requests	LO		EL, P	SOS C-23



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BSD027	Records Management Annual Audits: Inventory, Storage, Destruction	S+3		EL, P	SOS C-23
BSD028	Public Records Act Requests Log	LO	H	EL, P	Required retention is the same as BSD023 (CL+2); business value in LO retention No citations?



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USC	United States Code	CD	CD
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Special Storage Consideration		FD	Floppy Disk
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## Contracts, Purchasing, and Materials Management

Retention Number	Record Type	Retention Length (Years Unless Specified)	Special Storage Consideration	Media Type	Retention Citations / Comments
CPM001	Purchasing, Contracts & Agreement Files - Capital Improvement Projects (CIP) - Not Committee or Board Approved: Includes Insurance Certificates; Authorization Documents; Change Orders; Amendments; Notices; Pre-Award Bid/Proposal Package; Bid/Proposal Evaluation Materials; Protest Documents; Project Documents; Published Invitation for Bid (IFB) Documents, including Specifications & Drawings, Addenda and Bulletins Issued, Bid Requirements Form, Question & Answer Logs, Outreach Materials, Evaluator Certifications, Responsiveness & Responsibility Review Documents (Safety, Finance, Experience Requirements), Clarification Requests & Responses, and Bid/Proposal Evaluation Memorandum; Notice of Award Recommendations; Protest and Associated Documents; Determination on Protests; Appeals; Determination of Appeals; Preliminary Notices; Stop Notices; Notices of Completion; <b>Property &amp; Other Lease Agreements</b> <i>For Purchasing, Contracts &amp; Agreement Files that are Committee or Board approved, please see BSD009</i>	LO		EL, P	CCP §335, CCP §337, CCP §337.15; GC §4000; H&S §19850; SOS C-22, SOS C-27, SOS C-30



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Retention Number	Record Type	Retention Length (Years Unless Specified)	Special Storage Consideration	Media Type	Retention Citations / Comments
CPM002	Purchasing, Contracts & Agreement Files - Non-CIP Projects - Not Committee or Board Approved: Includes Insurance Certificates; Authorization Documents; Change Orders; Amendments; Notices; Pre-Award Bid/Proposal Packages; Bid/Proposal Evaluation Materials; Protest Documents; Project Documents; Published Invitation for Bid (IFB) Documents, including Specifications & Drawings, Addenda and Bulletins Issued, Bid Requirements Form, Question & Answer Logs, Outreach Materials, Evaluator Certifications, Responsiveness & Responsibility Review Documents (Safety, Finance, Experience Requirements), Clarification Requests & Responses, and Bid/Proposal Evaluation Memorandum; Notice of Award Recommendations; Protest and Associated Documents; Determination on Protests; Appeals; Determination of Appeals; Preliminary Notices; Stop Notices; Notices of Completion; <b>Property &amp; Other Lease Agreements</b> <b>For Purchasing, Contracts &amp; Agreement Files that are Committee or Board approved, please see BSD009</b>	CL+7		EL, P	CCP §335; SOS C-22, SOS C-30
CPM003	Escrow Bid Documents	LF	C, V		CCP §337.15 <i>Unsuccessful Escrow Bid Documents are returned to Contractor after Contract is awarded. The Escrow Bid Documents for the Awarded Contractor are returned at the end of the life of the facility (business preference to retain these documents longer than required by §CCP 337.15, which indicates CL+10). OC San acts as a temporary custodian of the documents, which remain the property of the bidders.</i>



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Retention Number	Record Type	Retention Length (Years Unless Specified)	Special Storage Consideration	Media Type	Retention Citations / Comments
CPM005	Purchase Order & Requisition Files (Including Committee or Board Approved): Open Annual (OA), Open Blanket (OB), Open Purchase (OP), and Open Service (OS)	LO		EL, P	CCP §337; GC §60201(d)(12); SOS C-30
CPM008	Warehouse and Materials Management Records: <del>Sales Orders</del> , Discrepancies, Add To Stores, Receivers, Return To Vendors (RTV), Shipping Records, Inventories, Disposal of Surplus Assets	CL+4		EL, P	CCP §337; <del>GC §34090</del> ; SOS C-29, <b>SOS C-30</b>
CPM009	Procurement Card Documentation Reconciliation, Requisition Credit Card Purchases, Reports, Agreement, Correspondence	CL+1			<b>SOS C-30</b> The retention requirement for these records might be CU+2. Are these records employee held? Where are the original records held?
CPM019	Certificates of Insurance	LO		EL, P	<del>CCP §337.15</del> ; SOS C-24
CPM020	Purchasing & Contracts Support Documents - CIP & Non-CIP - Committee or Board Approved: Includes Pre-Award Bid/Proposal Packages; Bid/Proposal Evaluation Materials; Project Documents; Bid Requirements Forms; Question & Answer Logs; Outreach Materials; Evaluator Certifications; Responsiveness & Responsibility Review Documents (Safety, Finance, Experience Requirements), Clarification Requests and Responses; Bid/Proposal Evaluation Memorandum; Notice of Award Recommendations; Protest and Associated Documents, Determination of Protests; Appeals; Determination of Appeals; Preliminary	LO		EL, P	CCP §337, CCP §337.15; SOS C-22, SOS C-30



## Orange County Sanitation District Records Retention Schedule

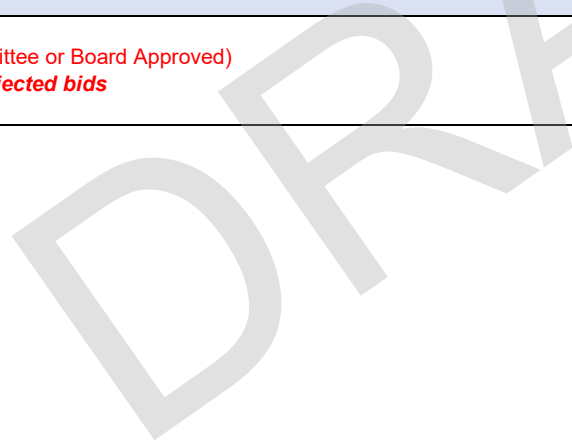
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Retention Number	Record Type	Retention Length (Years Unless Specified)	Special Storage Consideration	Media Type	Retention Citations / Comments
CPM021	Bids - Unaccepted ( <b>NOT</b> Committee or Board Approved) <i>Includes unsuccessful and rejected bids</i>	CU+2		EL, P	GC §60201(d)(11); SOS C-30





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## Engineering

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ENG001	CEQA Documents: Includes Environmental Impact Reports and Addenda, Negative Declarations, Notices of Completion and Determination, Comments on Environmental Documents, Statements of Overriding Considerations, Exemptions, Technical Studies, Initial Studies, Mitigation and Monitoring Reports	LO			14 CCR §15062, 14 CCR §15075, 14 CCR §15094, 14 CCR §15095(c), 14 CCR §15112, 14 CCR §15208; GC §60201(d)(10); SOS C-27
ENG003	City or County Plans: Specific Plan, Master Plan	CU+20			GC §60201(d)(10); SOS C-26, SOS C-27, SOS C-28 <i>OC San is not the custodian of these records; however there is a business value to the retention of these records &amp; 20 years has shown to be appropriate</i>
ENG004	<del>Utility Requests: Received Plans, OC San Response</del> Requests for Underground Utility Information (From City, Utility, Public Agency or Contractor Working On Behalf of Same): Original Inquiry/Plans Received from Utility, OC San Response	CL+2			SOS C-29 More thorough description provided in Record Type so that appropriate citations can be determined
ENG005	General Correspondence: Internal and/or Project-Related Meeting Discussions, Correspondence, Meeting Minutes	CL+10			CCP §337.15
ENG006	Agreements, Annexations, Land Records, Connection Permits, Encroachment Permit Supporting Documentation: Letters, Meeting Minutes	LO			GC §60201(d)(8)





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## Engineering

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ENG007	Project Development: Correspondence, Feasibility Study, Gate Review, Meeting Agendas and Minutes, Project Photos, Handoff Documents, Consultant Monthly Report	CL+10			CCP §337.15
ENG008	Preliminary Design: Correspondence, Design Submittal, Gate Review, Meeting Agendas and Minutes, PDR Documentation, Project Photos, Public Outreach, Consultant Monthly Report	CL+10			CCP §337.15
ENG009	Design: Consultant Monthly Report, Correspondence, Design Submittal, FDS, Gate Review, Meeting Agendas and Minutes, Project Photos, Public Outreach, Handoff Documents, ETAP Documents	CL+10			CCP §337.15
ENG010	Construction and Installation: Consultant Monthly Report, Contract Submittal, Correspondence, Gate Review, Inspection Documentation, Meeting Agendas and Minutes, Project Photos, Public Outreach, Requests and Changes (Bulletin, Contractor Cost Proposal, Delay and Schedule Analysis, Field Change Order, Request for Change, Request for Information, Request for Proposal, Time and Materials Report), Safety Documentation, ETAP Documents	CL+10			CCP §337.15
ENG011	Commissioning: Correspondence, Gate Review, Meeting Agendas and Minutes, Project Photos, Substantial Completion-Beneficial Use, Use Prior to Completion, Substantial Completion, Final Completion, Testing Documentation	CL+10			CCP §337.15
ENG012	Closeout: Correspondence, Gate Review, Meeting Agendas and Minutes, Project Photos, Final Acceptance and Release of Retention, Warranty Documentation	CL+10			CCP §337.15; GC §60201(d)(12)



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## Engineering

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ENG013	Professional Service Agreement: Solicitation (Addendum and Question Answer Document, Award Document, Meeting Agendas and Minutes, Proposal and Evaluation, Protest Document, Request for Proposal, Request for Qualification, Scope of Work, Sole Source, Statement of Qualification and Evaluation), Contract Administration (Agreement Closeout, Amendment and Reallocation, Conformed Agreement Package, Consultant Invoice)	CL+10			CCP §337.15; GC §60201(d)(12)
ENG014	Professional Design Service Agreement: Solicitation (Addendum and Question Answer Document, Award Document, Meeting Agendas and Minutes, Proposal and Evaluation, Protest Document, Request for Proposal, Request for Qualification, Scope of Work, Sole Source, Statement of Qualification and Evaluation), Contract Administration (Agreement Closeout, Amendment and Reallocation, Conformed Agreement Package, Consultant Invoice)	CL+10			CCP §337.15; GC §60201(d)(12)
ENG015	Professional Construction Service Agreement: Solicitation (Addendum and Question Answer Document, Award Document, Meeting Agendas and Minutes, Proposal and Evaluation, Protest Document, Request for Proposal, Request for Qualification, Scope of Work, Sole Source, Statement of Qualification and Evaluation), Contract Administration (Agreement Closeout, Amendment and Reallocation, Conformed Agreement Package, Consultant Invoice)	CL+10			CCP §337.15; GC §60201(d)(12)
ENG016	Construction Agreement: Solicitation (Addendum and Question Answer Document, Award Document, Bid and Evaluation, Invitation for Bid Document, Meeting Agendas and Minutes, Protect Document, Sole Source) Contract Administration (Certified Payroll, Change Order, Claims Documentation, Conformed Contract Package, Contract Closeout, Contractor Progress Payment, Other Agreement, Stop Notice Request-Release)	CL+10			CCP §337.15; GC §60201(d)(12)



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## Engineering

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ENG017	Task Order: Solicitation (Addendum and Question Answer Document, Award Document, Meeting Agendas and Minutes, Proposal and Evaluation, Protest Document, Request for Proposal, Request for Qualification, Scope of Work, Sole Source, Statement of Qualification and Evaluation), Contract Administration (Agreement Closeout, Amendment and Reallocation, Conformed Agreement Package, Consultant Invoice)	CL+10			CCP §337.15; GC §60201(d)(12)
ENG018	Budget Documentation: Budget Table and Schedule Documentation (Construction Schedule Documentation)	CL+10			CCP §337.15
ENG019	CEQA Correspondence, Including Correspondence with Outside Cities/Agencies: Includes Written and Electronic Correspondence <b><i>Incorporates previous ENG002 at the direction of Legal Counsel</i></b>	CL+10			14 CCR §15062, 14 CCR §15075, 14 CCR §15094, 14 CCR §15095(c), 14 CCR §15112, 14 CCR §15208; GC §60201(d)(10); PRC §21167.6; SOS C-27
ENG020	Project-Related Permit Documentation: AQMD, Army Corps of Engineers, CEQA Permits, Certification of Environmental Compliance, Contaminated Soil Manifest, Dewatering Data, Encroachment/Right of Way, Mitigation Measure Monitoring Reporting, Permit for Construction, RWQCB, Storm Water Compliance Reporting, City/County Permits, CalTrans Permits, OSHA Excavation Permits, EPA, CA Dept. of Fish & Game, OCFCD Permit for Construction, Railway Permit for Construction <b>Does this Type include the actual Permit or is it limited to Permit applications &amp; correspondence? GC needs to know so that appropriate Citations can be noted.</b>	CL+5			SOS C-25, SOS C-26
ENG021	Engineering Drawing: Conformed Set Drawings <b>Conformed Set Drawings are superseded by Record Drawings &amp; retained pursuant to ENG031</b>	S			No citations?



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## Engineering

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ENG023	Code and Standards Need to know what Code & Standards we are referring to so that GC can provide appropriate Citations.	S+10			CCP §337.15
ENG024	Design Documentation: Engineering Study and Analysis, Final Planning Study Report, Preliminary Design Report/Technical Memoranda, Engineering Calculations, Geotechnical and Geophysical Reports, Hazardous Materials Report, Hydrogeologic Report, Seismic Report	LF			SOS C-19, SOS C-25, SOS C-26, SOS C-27
ENG025	Construction Specialty: Electrical Test Report, Geotechnical Report, Instrumentation Testing, Materials Testing Report, Mechanical Testing, Other Test Report, Soil Report, Structural Testing, Survey Report, Commissioning Procedure, Inspection Daily Report and Construction Photo	LF			SOS C-19, SOS C-25, SOS C-26, SOS C-27
ENG027	Facility Reports: CIP Annual Report, OC San Master Plan (Generated by Eng. Dept.), Strategic or Facility-Wide Planning Study Report (Seismic, Climate, Capacity, etc.)	LO			SOS C-19, SOS C-25, SOS C-26, SOS C-27
ENG028	Specification Conformed: Final Record of the Precise Details and Description of the Service or Project Once Completed	LO			No citations?
ENG029	Connection Permit: Trunk Sewer Connection Permit	S+2			GC §60201(d)(10); SOS C-29, SOS C-43, SOS C-44



## Orange County Sanitation District Records Retention Schedule

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Special Storage Consideration		FD	Floppy Disk
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## Engineering

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ENG030	Facility Permits: AQMD, Permit to Operate, CA Coastal Commission/Coastal Development, Building Permit, Fire Department Permit	LF+5			SOS C-45
ENG031	Engineering Drawing: Record Drawings (Tunnel Cross-Section, Vault Detail)	LO			SOS C-26, SOS C-44
ENG032	Shop Drawings	LO			SOS C-25
ENG033	CEQA Related Documentation Pertaining to Meeting Agendas and Meeting Minutes	LO			GC §60201(d)(3)



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## Environmental Services

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ESD001	Air Emissions Permitting Files (AQMD, CARB, Other): Final Permit, Testing Reports, Permit Applications, Correspondence	LO			CCP §338(k); <del>SOS e17</del> , SOS C-27
ESD002	Asset Specific Emission Records: Various Equipment and Operational Information, Including Logs <i>Please see OMD014 &amp; OMD016 for retention of some records within ESD002</i>	OB+7			<del>SOS e26</del> SOS C-27
ESD003	Biosolids Management Records: Biosolids Hauling, Use, EMS Activities	LO			40 CFR §122.21, 40 CFR §122.41(j)(2), 40 CFR §503.17; SOS C-47
ESD004	Chain of Custody - Laboratory	CU+7			40 CFR §122.21(j)(4)-(6), 40 CFR §122.41(j)(2), 40 CFR §403.12(o), 40 CFR §503.17(a)(3)(i), (a)(4); SOS C-22
ESD006	Compliance Program Documentation: Storm Water, SSO, Post Construction Mitigation, SSMP (WDR)	LO			40 CFR §122.41, 40 CFR Part 141, 40 CFR §141.33; SOS C-25, SOS C-27, SOS C-45
ESD009	Environmental Audit Records: Conducted By OC San	LO			SOS C-42, SOS C-45, SOS C-46



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## Environmental Services

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ESD010	Environmental Audit Records: Conducted By Outside Parties	LO			SOS e-17, SOS e-27-SOS C-42, SOS C-45, SOS C-46
ESD011	Interagency (Outside) Agreements and Documentation MOU	LO			GC §60201(d)(9)-GC §60201(d)(1); SOS e-24
ESD012	Laboratory Standard Operating Procedures	LO			SOS C-19
ESD013	Laboratory Records: Sample Preparation Records, Raw Data, Data Logs, Data Packets, QA/QC Reports, Final Processed Data, LIMS Reports, Lab Equipment Maintenance and Sterilization	CU+7			SOS e-22, SOS e-33-SOS C-46
ESD014	Non Permittee Files: Inspection Reports Data, Correspondence	CU+6			SOS C-19, SOS C-42
ESD015	OMP Field Datasheets: Field Data and Collection Documentation, Animal Counts, Fish Collection Observations	LO			40 CFR §141.33; SOS C-46



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ESD016	NPDES Permitting Files: Final Permit, Permit Applications, Special Studies & Reports, Correspondence <b>See Special Note in ESD020</b>	LO		EL	40 CFR §122.41(j)(2), 40 CFR §403.12(o); <b>SOS C-46</b>
ESD017	Permittee Files: Discharge Permits and Urban Runoff	EX+6			40 CFR §122.41(j)(2), 40 CFR §403.12(o); <b>SOS C-46</b>
ESD019	Cleanup, Abatement, and Remediation of Underground Storage Tanks	LO			23 CCR §2772; SOS C-33
ESD020	Compliance and Annual Reports: Discharge Monitoring Reports (DMR), Marine Monitoring Annual Report (MMAR), Biosolids Annual Report <b>Special Note: The MMAR contains information from NPDES permits so should be used as a resource to ESD016</b>	LO		P	40 CFR §122.41(j)
ESD021	Non-Hazardous Waste Waste Hauler Manifests	<b>CU+3</b>			SOS C-42
ESD022	Unprocessed Instrumentation Files & Lab Reports	LO	H, V		40 CFR §122.41(j)





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## Financial Management and Administrative Services

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FAD001	Accounting Reports: Quarterly and Monthly Reports	CU+4			SOS A-1, SOS C-30
FAD002	Accounts Payable Files: Vendor and Contractor Invoices, Bills, Statements, Any Non-Discharged Debt	CL+7			GC §60201(d)(7), GC §60201(d)(12); SOS C-29 <i>CL refers to final payment</i> <i>Freeze on all FAD002 records for the timeframe of 1/1/2010 through 12/31/2013.</i> <i>Freeze until 1/1/2048 for the purposes of fulfilling Build America Bonds IRS requirements. OC San issued Build America Bonds in 2010 (outstanding through 2044) for which we are receiving a federal subsidy to offset our interest costs. The IRS guidance found states that all issuers should have records retention policies that maintain bond documents &amp; related records (including documents supporting the disposition of funds) for at least the life of the bonds plus three years (through 2047).</i>
FAD003	Accounts Receivable Files	CL+7			CCP §337; GC §60201(d)(7), GC §60201(d)(12); SOS C-29 <i>CL refers to final payment</i>



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## Financial Management and Administrative Services

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FAD004	Annual Report - Financial	LO	H		SOS C-30
FAD005	Audit Records: Financial Statements, Audit Management Letters, Comprehensive Annual Financial Report (CAFR)	LO	H		SOS C-30
FAD006	Bank Signature Cards	S+7			GC §60201(d)(12)
FAD007	Banking Records: Deposit Receipts, Bank Statements, Checking Account Reconciliation, Cash Transfer Report (LAIF, Wire Transfers, and Intra-bank Transfers), Adjustments - Returned Checks (NSF), ACH Returns, Positive Pay Exceptions	CU+6			SOS C-29, SOS C-30
FAD008	Bonds: Certificates of Participation, Transcripts, Disclosure Reports, Registers, Issue Records, Determination of Allocation	LO			CCP §336(a), CCP §337.5; GC §43900, GC §53921
FAD009	Budgets (Adopted)	LO	H, V during current FY		SOS -29



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FAD010	Budgets vs. Actual: Supporting Documentation Summaries, Worksheets, Goals and Objectives, Milestones	CU+5			GC §34090; SOS C-29
FAD011	Check Records: Cancelled Payroll Checks, Voided Copies For Automatic Deposits, Registers, Requests for Hand Checks & Interim Payroll Checks	CU+7			CCP §337; GC §60201(d)(12); SOS C-29
FAD012	Capital Facility Capacity Charges (CFCC)	LO	H	EL, P	CCP §337; <del>GC §60201(d)(12)</del> ; SOS C-29 <i>Changed to LO as it is beneficial for OC San to maintain copies of permits for fee calculations in the future and historical reference for fees paid for parcels</i>
FAD013	Expense Reports	CU+7			CCP §337; GC §60201(d)(12); SOS A-1
FAD014	Financial Statements	CU+10			<del>SOS e39</del> SOS C-29
FAD015	Financial System: ERP Database, Access Database, Utility Billing <b>Data is interrelated across platforms</b> GC needs to know what records these systems generate/house to determine citations	LO			Citations pending more info on Record Type



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FAD016	Fixed Asset Records	LF			SOS C-29
FAD017	General Ledger	LO			GC §60201(d)(12); SOS C-29
FAD018	Investment Records: Investment Policy, Custodian Bank Transaction Records, Asset Detail, Asset Summary, Yield, Statements, LAIF Withdrawals/Deposits, Portfolio Withdrawals/Deposits, Treasurer's Report, GASB 40 Report, GASB 72 Report	LO			CCP §337; GC §34090, GC §53607; SOS C-30
FAD019	Journal Entries	LO			CCP §337; SOS C-29
FAD020	Local Resources Program Reports (LRP)/Water Certifications <i>GC needs to know what documents fall into this Type to determine citations</i>	LO			40 CFR §141.91
FAD021	OCERS Files: Copies of OCERS Payments, Statements	CL+7			29 CFR §516.6(a)(1); GC §60201(d)(12) <i>CL refers to final payment</i>



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## Financial Management and Administrative Services

Retention Number	Record Type	Retention Length (Years Unless Specified)	Special Storage Consideration	Media Type	Retention Citations / Comments
FAD022	OCERS Retirement Report	LO			29 CFR §516.6(a)(1); GC §60201(d)(12) <i>Business value for LO retention</i>
FAD023	Payroll Records (Generated from Payroll Taxes): Timesheets; Payroll Registers and Reports; Unemployment Claims; Garnishments; Payment of Labor Costs Including Salaries, Wages, Compensation, and Deductions For Employees, Board Members, and Contractors (DE-6 & 941 Forms - Quarterly and Annual Payroll Tax Returns)	T+7			CCP §337; 26 CFR §1.6001-1, 29 CFR §516.5, 29 CFR §516.5(a)-(b), 29 CFR §516.6(a)(1); GC §60201(d)(12); SOS C-30; IRS Reg. §31.6001-1(e)(2); R&TC §19530
FAD024	Petty Cash Records	CU+7			26 CFR §1.6001-1; CCP §337; GC §60201(d)(12); SOS A-1
FAD025	Rate Studies	CU+10			<i>Business value for longer retention</i> No citations?
FAD026	Rebates and Refunds: Sewer Service Fees	CU+7			26 CFR §1.6001-1
FAD027	State Controller's Reports	LO			SOS C-30



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Citation Codes		Retention Codes	
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SOS	Secretary of State		
USC	United States Code		
Special Storage Consideration		Media Types	
C	Confidential	CD	CD
H	Historical	EL	Electronic
V	Vital	FD	Floppy Disk
		P	Paper
		TA	Tapes

## Financial Management and Administrative Services

Retention Number	Record Type	Retention Length (Years Unless Specified)	Special Storage Consideration	Media Type	Retention Citations / Comments
FAD028	Tax Records - Employee & Retirees: W-2's, 1099R, Annual Information Returns for Employees and Retirees	CU+7			29 CFR §31.600-1(d), 29 CFR §31.605-1, 29 CFR §516.5 - 516.6; GC §60201(d)(12); SOS C-30, SOS C-29; USC §436; IRS Reg. §31.6001-1(e)(2); R&TC §19530
FAD029	Tax Records (Generated From A/P & Vendor Files): Vendor	CU+7			No citations?
FAD030	Trial Balance Records	CU+7			<del>GC §60201(d)(12); GC §60201(d)(4); SOS c22</del> SOS C-29
FAD031	Claims (Excluding Workers Comp Claims): Claims Against OC San/OC San Employees (Wrongdoing by OC San/OC San Employees, Project Related Injury), Employment Claims (Wrongful Termination, Harassment, Discrimination)	LO			SOS C-22
FAD032	Redevelopment Agency (RDA) Records: Records Regarding Member Agency RDA Required Payment to OC San	LO			SOS C-29



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H	Historical	TA	Tapes
V	Vital		

## General Manager's Office

Retention Number	Record Type	Retention Length (Years Unless Specified)	Special Storage Consideration	Media Type	Retention Citations / Comments
GMO001	Annual OC San Reports: OC San Strategic Plan	LO	H		No citations?
GMO007	GM Monthly Reports <i>LO in BSD002 as part of Board agenda packet distribution/retention</i>	CU+2			SOS C-19
GMO009	Executive Management Team (EMT) Meeting Files: Agenda, Agenda Report, Handouts	CU+2			SOS A-2
GMO016	Travel Records	CU+7			No citations?



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## Human Resources

Retention Number	Record Type	Retention Length (Years Unless Specified)	Special Storage Consideration	Media Type	Retention Citations / Comments
HRD001	Classification & Compensation: Class & Comp Studies, Class Specifications, Salary Surveys, Salary Schedules, Pay Types, Reclass Requests, Desk Audits	LO			29 CFR §1627.3; <b>GC §60201(d)(12)</b> , GC §12946; SOS C-21
HRD002	Temporary Employees: Hiring Documents, Tracking Spreadsheet, Request Forms	CL+7			CCP §336(a); <b>CCP §337, CCP §343</b> ; 29 CFR §1627.3; SOS C-21
HRD003	Deferred Compensation Records: Participation Agreements	LO			<b>26 CFR §31.6001-1(e)(2)</b> ; 26 CFR §16001-1, 29 CFR §1627.3; SOS C-30
HRD004	<b>District</b> Benefit Contracts: Health, Dental, Vision, Other Benefit Contracts	LO			<b>41 CCR §560</b> ; 28 CCR §1300.85.1; 29 CFR §1627.3(b)(2); 29 USC §1027
HRD005	EEO-4 Reports and Files: Documents Required to Generate EEO-4 Report	CL+3			29 CFR §1602.30, <b>29 CFR §1602.31</b> , <b>29 CFR §1602.32</b>
HRD006	Employee & Labor Relations Files: Memorandums of Understanding (MOU), Arbitration, Grievances, Union Requests, Employee Rights, Appeals, Investigations, Performance Improvement Plans (PIP), Disciplinary Actions and Complaints, Sexual Harassment, Civil Rights	LO			29 CFR §516.5, 29 CFR §1602.31, 29 CFR §1627.3(b)(1)(ii); GC §12946





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## Human Resources

Retention Number	Record Type	Retention Length (Years Unless Specified)	Special Storage Consideration	Media Type	Retention Citations / Comments
HRD007	Employee Benefit Plans and Programs: Health Insurance, Supplemental Life Insurance, Beneficiary Designations, Records, Repayment Agreements, Eligibility Changes, Development Pay, Rideshare	T+7 Retirees: Death+7			29 CFR §1602.30, 29 CFR §1602.32, 29 CFR §1627.3(b)(2); GC §12946, GC §60201(d)(12); LC §1197.5
HRD009	Human Resources/ERP Database: Electronic Records Management - JDE, Cornerstone, Workterra (Data Shared Across These Systems/Feed Into Each Other)	LO			No citations?
HRD010	I-9 Forms & Self-Identification Forms	T+3			8 CFR §1274a.2(b)(2)(i)(A); 8 USC §1324a(b)(3)(B); SOS C-20
HRD011	Medical Files: Fitness for Duty, Leaves of Absence, Interactive Process, Workers Comp <i>Medical Files are excluded from Personnel Files which are retained in HRD013</i>	T+30 Retirees: Death+30			8 CCR §3204(d)(1); 29 CFR 1910.1020; GC §12946
HRD012	Organization Charts	S+2			GC §60201(d)(1)-SOS C-19
HRD013	Personnel Files. Includes Application, Awards, Disciplinary Actions, Certifications, Commendations, Employment Verifications, (pre-2011) Evaluations, Licenses, Status Change Forms, Policy Acknowledgements, Waiver of Responsibility for Voluntary Activities, Training Records, Pay Docs, Emergency Contacts, Change of Address, Outside Employment, Development Pay Forms, Computer Loan Forms, Tuition Reimbursement Info, Specific Rideshare Info, Resignation	T+7	V until separation		8 CCR §3204(d)(1); 29 CFR §1602.31, 29 CFR §1627.3(b)(iii); GC §§12946; <del>29 USC §1413</del>



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HRD014	Recruitment Records: Includes Applications, Resumes, Certifications, and Other Recruitment Related Documents; Advertisements; Job Brochures; Test Data; Rating Sheets; Questions; Eligibility Lists; Electronic/NEOGOV Records <b>Retention begins after hiring decision</b>	CL+4 3			2 CCR-§1101, 8 CCR-§11040; 29 CFR §1602 et seq., 29 CFR §1607.29, 29 CFR §1627.3(a)(b); GC §6250 et seq., 12946, GC §12946 37287.0(c)(2); SOS C-21
HRD015	Training Program Records: Class Attendance Sheets, Schedules, Classes Offered, Curriculum or Syllabus, Training Materials Development (Data Shared Across These Systems/Feed Into Each Other)	T+7			SOS C-21
HRD016	Background Checks: Candidate Background Checks	T+7			SOS C-21
HRD017	Human Resources Programs: Rideshare, Tuition Reimbursement, Computer Loan, Development Pay <b>Need to identify what these documents are; they might be blank forms &amp; system info that supports the programs or policies/procedures. Need to ensure proper citations (retention).</b>	CL+3		EL	GC §12946; SOS C-20 Citations pending description of Record Type
HRD018	District Benefit Plans: Benefits Summary Plan Descriptions (Health, Dental, Vision, Other)	EX+5			SOS C-21
HRD019	OC San U (Formerly Known as BLAST & OCSD U) Development Records: Research Material, Timeline	LO	H	EL	SOS C-28



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## Human Resources

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HRD020	OC San U (Formerly Known as BLAST & OCSD U) Procedures	S+2		EL	SOS C-23
HRD021	OC San U (Formerly Known as BLAST & OCSD U) Professional Development Articles From External Sources	NN		EL	No citations?
HRD022	OC San U (Formerly Known as BLAST & OCSD U) Program Files: Minutes, Marketing Material, Program/Training Evaluations, Quarterly Reports	S+2		EL	SOS C-19
HRD023	OC San U (Formerly Known as BLAST & OCSD U) Working Documents: Member Rosters - Active & Inactive	S		EL	No citations?
HRD024	Workers Compensation Files, Including Claims	LO			8 CCR §14300.4, CCR §14311, 8 CCR §15400.2; LC §110-139.6; SOS C-24



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## Information Technology

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ITD001	Access Authorization Forms: Email Access Requests, Internet Access Requests, Mobile Devices Access	T+3			No citations?
ITD002	Wiring Specs and Test Results - Loop Drawings <b>Active until revised/rescinded/superseded</b>	LF+2			SOS A-1, SOS C-22
ITD003	System and Software Documentation: Network Design, Instruction, Licenses, License Codes, Agreements, Systems List, Permission to Directories, SharePoint Lists, Hardware and Software Documentation, Source Code, IT Manuals	S+2			GC §34090; SOS C-22
ITD004	GIS (Geographic Information System) Database: Layers <b>Data is interrelated across platforms</b>	S			SOS C-22
ITD005	Information/Activity Logs: Internet, Phone, Badge, Visitors	CU+2			SOS C-22
ITD006	IT Help Desk System: Service Tickets, Change Requests and Releases	CL+3			SOS C-22



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### Information Technology

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ITD007	Network Diagrams/System Configurations/Maps/Plans	CU+4			GC §34090; SOS C-22
ITD008	IT Asset Inventory Database: IT Assets, Printers, Hardware, SCCM, Server Lists, Asset Explorer	S+2			GC §34090-SOS C-22
ITD013	System Log (Database): Transaction Logs, Error Logs	S+2			SOS C-22
ITD015	Video Surveillance Files and System Security Database	CU+1			GC §53160, GC §53161 <i>Recordings of routine video surveillance must be retained for at least one (1) year. Recordings of telephone and radio communications must be retained for at least 100 days. In the event that the recordings are evidence in any claim filed or any pending litigation, they shall be preserved until pending litigation is resolved. Notwithstanding the foregoing, if written minutes or an audio recording of the video surveillance is taken, the video surveillance can be destroyed after 90 days. The written minutes and audio recording can be destroyed after two (2) years.</i>



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### Information Technology

Retention Number	Record Type	Retention Length (Years Unless Specified)	Special Storage Consideration	Media Type	Retention Citations / Comments
ITD016	Two-Way Radio Licensing and Information: Walkie Talkies (Industry Term is HT or Handy Talkies), Vehicle Mounted Two-Way Radios, Base Station Radios in Plant No. 1 Control Center & Plant No. 2 Operations Center, and Radio Repeaters Records of Services (Kept in Request to Purchase IT List), FCC License	EX+2			GC §34090 Updated description in Record Type for citations to be provided
ITD018	Virtual Computer Files: Replication for Disaster Recovery Purposes	NN			GC §34090.7; SOS C-22
ITD023	DigSmart/DigAlert Database/Tickets (Formerly Known as USA Tickets)	CU+3			No citations?



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## Operations & Maintenance

Retention Number	Record Type	Retention Length (Years Unless Specified)	Special Storage Consideration	Media Type	Retention Citations / Comments
OMD001	Chemical Inventory Records (OPERATIONS): Delivery, Transfer, Usage, Manifest Worksheet, Inventory Logs	2 CU+3			49 CFR §172.704 (d), 49 CFR §199.117; 49 CFR §172.201; SOS C-33
OMD002	Complaint Files and Problem Reports (OPERATIONS): Related to Organization's Operations - Odor, Noise, Call Center Complaints	CU+2		EL	SOS C-42
OMD004	Flow Records (OPERATIONS)	LO			40 CFR §122.41(j)(2)
OMD005	Logs (OPERATIONS): Control Center Plant Operations	CU+30			40 CFR §122.41(j)(2)
OMD006	Logs (OPERATIONS): Operations Monthly Logs, Inspector Diaries, Control Center Visitor Logs	CU+3			40 CFR §122.41(j)(2)
OMD007	Monthly Reports: Operating and Status Reports, Key Performance Indicator Reports (Generated by 810)	CU+2		EL	No citations?



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OMD008	O&M Policies & Procedures: Guidelines, Checklists, Standard Operating Procedures	S+5		EL	SOS C-19
OMD009	Operating Journals (OPERATIONS): Alarm Summary (EL), Operations Round Sheets (EL, P), Midnight Readings (EL)	CU+2		EL, P	GC §53164 40 CFR §122.41 (j)(2)
OMD010	Operating Records (OPERATIONS): Activated Sludge (AS) Plant Reports (EL, P), Operator Schedules (P), Biosolids Hauling Tickets (P), Grit & Screening Tickets (P)	CU+5		EL, P	40 CFR §122.41 (j)(2)
OMD011	Process Data (OPERATIONS): Monthly Summary of Operations (MSOs) [EL], Treatment Plant Operational Data (TPODs) [EL]	LO		EL	40 CFR §122.41 (j)(2)
OMD014	AQMD: 1-Cengen Emissions Reports, 2-AQMD Round Sheets, 3-Flare Reports <b>Some of these records are key records to be retained for ESD002, please forward to ES if storage becomes burdensome</b>	OB+7		P	CCP §338(k); SOS C-27 Cengen Emissions Reports are used as part of Title V permitting, which is addressed in ESD002. OMD014 needs to match ESD002 for retention as these provide adherence to existing AQMD permit conditions.





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OMD015	Facility Maintenance & Repair (MAINTENANCE): LOTO Audits, Underground Storage Tank Permits, Assessment & Testing Results - Data, Corrective & Preventative Maintenance Records (Job Plans, Work Orders)	LF+2		EL, P	SOS e47 SOS C-42
OMD016	Generator Operation Logs (OPERATIONS): Fixed or Stationary <b>Some of these records are key records to be retained for ESD002, please forward to ES if storage becomes burdensome</b>	OB+7		P	GC §34090 Logs are used as part of AQMD Title V permitting, which is addressed in ESD002. OMD016 needs to match ESD002 for retention.
OMD017	Pressure Vehicle CNG Tank Inspection Certification (FLEET)	LF+2		EL, P	<del>GC §34090</del> ; SOS C-47 DMV & State requirement
OMD018	Vehicle Smog Check Inspection Report (FLEET)	LF+2		EL, P	DMV & State requirement No citations?
OMD019	CHP Commercial Inspection: Bit Inspection (CHP Commercial Vehicle Inspection), CHP Safety Maintenance Inspection	LF+2		P	49 CFR §396.11(c)(2) CHP, DMV & State requirement
OMD020	Certifications: Mobile Crane, Vehicles, Equipment Calibration Certification	LF+2		EL, P	<del>8-CCR §14300.33(a); LC §6429c</del> SOS C-47 DMV & State requirement



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OMD021	Chain of Custody: Source Control, Split Sample <i>Is this in relation to the NPDES permit? GC needs to know in order to provide citations.</i>	CU+5			8 CCR §14300.33(a); SOS e24
OMD022	Collection System Process Data (COLLECTIONS): Pump Station, CRISP <i>GC needs additional information as to what these documents are in order to provide citations. What is CRISP?</i>	LO			Citations pending description of Record Type
OMD023	Inspection Reports & Photos (COLLECTIONS): Manhole	CU+10			SOS C-45
OMD024	Sewer Line Maintenance Files (COLLECTIONS)	CU+10			No citations?
OMD026	Vehicle Records (FLEET): Equipment Files, Maintenance, Registrations, Vehicle Titles ("Pink Slips"), Vehicle Citations <b>Vehicle Titles/Pink Slips are transferred to new owner upon sale of vehicle; all other records are retained until Disposal of Vehicle or Equipment + 2 years</b>	LF+2			CCP §337; 8 CCR § 3203(b)(1); 49 CFR §396.21(b)(1), 49 CFR §396.3(c); <del>GC §34090</del>



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### Public Affairs

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PAO001	Education Curriculum: Sewer Science, Water Festival, Other	S+2			SOS C-24
PAO002	Outreach/Event File: Tour Documentation, RSVP's, Sign-in Sheets, Other Related Information	S+5			SOS C-24
PAO003	Marketing Material: Flyers, General Brochure, Marketing Brochures, Newsletters, Email Blasts, Marketing Related Presentations/PowerPoints	S+7			SOS C-19
PAO006	Press/Media Releases	LO	H		SOS C-40 SOS allows S+2; however, based on business needs, preferred retention is LO
PAO007	Publication Proofs (Ad in Adjudicated/Circulated Newspaper) (Non-Board and/or CPM Related): General Marketing	S+2			SOS C-24



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Retention Number	Record Type	Retention Length (Years Unless Specified)	Special Storage Consideration	Media Type	Retention Citations / Comments
PAO008	Website Content Archiving <i>PageFreezer provides services; Board Services manages</i>	S+2			SOS C-22
PAO009	Employee Events: Agency Awards, Recognitions, Announcements	LO	H		<i>Legal advice is S+2; however, based on business needs, preferred retention is LO</i> No citations?
PAO010	Legislative Files: Letters of Support, Opposition	LO			SOS C-28 <i>Legal advice is S+2; however, based on business needs, preferred retention is LO</i>
PAO011	Social Media Archiving: Facebook, Twitter, YouTube, Instagram <i>PageFreezer provides services; Board Services manages</i>	S+2			SOS C-22
PAO012	Annual Reports: OC San Annual Report, Public Affairs Strategic Plan, Legislative Plan <i>All items taken to the Board for approval (annually, every two years)</i>	LO	H		SOS C-19



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## Risk Management and Safety

Retention Number	Record Type	Retention Length (Years Unless Specified)	Special Storage Consideration	Media Type	Retention Citations / Comments
RMS002	DOT Random Drug & Alcohol Test Records	CU+5	C		49 CFR §199.117; <del>9 CFR §382.401, 29 CFR §1627.3(b)(v)</del> ; GC §12946
RMS003	Emergency Exercises & Drills, After Action Reports	CU+2			29 CFR §1910.119(g), 29 CFR §1910.120(q); SOS C-41
RMS004	Emergency Response: Response & Disaster Recovery Files, Emergency Operations Center Activation Notifications & Records	LO			29 CFR §1910.119(g), 29 CFR §1910.120(q)
RMS006	Industrial Hygiene & Safety Files - Location: Hazard Assessments, Site Assessments, Industrial Hygiene Reports, Surveys, Audits	LF			8 CCR §3204; 29 CFR §1910
RMS007	Medical Files - Occupational: Fit Testing	T+30	C		8 CCR §3204; 29 CFR §1910
RMS008	OSHA Compliance Records: Citations, Appeals Related, Correspondence <b>OSHA 300 &amp; 301 Logs retained in RMS012</b>	LO			29 CFR §1904.4; OMB 1220-0029; SOS A-2



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## Risk Management and Safety

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RMS010	Risk & Safety Committee and Meeting Documents	CU+4			8 CCR §3203 <b>Retention aligns with Voluntary Protection Program (VPP)</b>
RMS012	OSHA Logs: 300 & 301 Logs	CU+7			8 CCR §14300.33(a); 29 CFR §1904.33, 29 CFR §1904.44; LC §6429c
RMS014	Accident & Incident Records	CL+7			CCP §338; CFR §1904.6; SOS C-24
RMS015	Asbestos & Lead Abatement Records	LO			CCR §1529(n)6
RMS016	Hazardous Materials Records: Business Plans, Hazardous Materials Inventory, Disclosures	CU+5			40 CFR §122.21(p), 40 CFR §122.41
RMS017	Calibration Gas Detectors Annual Recertification	CU+5		P	8 CCR §14300.33(a); 29 CFR §1904.33, 29 CFR §1904.44; LC §6429c



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## Risk Management and Safety

Retention Number	Record Type	Retention Length (Years Unless Specified)	Special Storage Consideration	Media Type	Retention Citations / Comments
RMS018	Confined Space Records & Entries	CU+4			8 CCR §5157(e)(6); <del>5157(d)(14)</del> ; 29 CFR 1910.146(e)(6), 40 CFR §122.41(j)(2); GC-§3400; GC §53161; SOS C-42 <b>Retention aligns with VPP</b>
RMS019	Hazardous Waste Records: Manifests, Disposals, Recyclable Non Hazardous Waste Material, Batteries, etc.	LO			22 CCR §66262.40(a), 22 CCR §66264.71(b)(6), 8 CCR §3204(d)(1), 26 CCR §22-64470(a); 40 CFR §122.41(j)(2), 40 CFR §141.33(b); GC §12946; SOS C-33, SOS C-47
RMS020	HazMat Permits, Environmental Health Permits: Bulk Chemicals, Fire, Battery Storage	LO			No citations?
RMS021	Safety Data Sheets (SDS)	LO			8 CCR §5194; 29 CFR §1910
RMS024	Training Records - Safety: Rosters, Syllabus, Schedule, Curriculum Material Only	CU+7			SOS C-21 <i style="color: red;">Applies to paper records</i>
RMS025	Training Database	LO			



## Orange County Sanitation District Records Retention Schedule

### General Retention Schedule Information

- This Records Retention Schedule (RRS) pertains to any and all Official Records of OC San regardless of Media Type and is adopted in compliance with GC §60201 and additional specific citations as noted.
- Public Records Act requests, litigation, audits, claims, and investigations may suspend the stated retention periods and notification of such will be made. As stated in OC San's Records Retention Policy, authorization and proper destruction methods are required prior to destroying all Official Records, regardless of Media Type. When original records have reached their retention length, all copies and duplicates must be destroyed, along with the original, regardless of Media Type.
- Copies/duplicate records shall be determined as "duplicate" or "copy" in conjunction with Records Management. Upon determination by Record Management that a record is a duplicate or copy, OC San may destroy the duplicate record if the original or a permanent photographic record exists in OC San's files (GC §60200).
- Notes, preliminary drafts, and transitory records are not considered Official Records and may be destroyed without complying with OC San's RRS (SOS 2-1030). Such records may be destroyed when no longer needed for OC San business and do not require authorization for destruction.
- Official Records cannot be discarded in trash bins. They must be submitted to Records Management for secure destruction.

Citation Codes		Retention Codes	
CCP	Code of Civil Procedure (CA)	CL	Closed or Completed
CCR	California Code of Regulations	CU	Current Year (Calendar or Fiscal As Appropriate)
CFR	Code of Federal Regulations		
GC	Government Code (California)	EX	Expired or Expiration
H&S	Health & Safety Code	LF	Life of Facility, Equip. or Software
IRS	Internal Revenue Service	LO	Life of Organization or Permanent
LC	Labor Code (CA)	NN	When No Longer Needed
PC	Penal Code (CA)	OB	Obsolete
PRC	Public Resources Code	S	Superseded
OMB	Office of Management & Budget	T	Terminated
R&TC	Revenue & Taxation Code		
SOS	Secretary of State		
USC	United States Code		
		Media Types	
		CD	CD
		EL	Electronic
		FD	Floppy Disk
		P	Paper
		TA	Tapes
Special Storage Consideration			
C	Confidential		
H	Historical		
V	Vital		

## Risk Management and Safety

Retention Number	Record Type	Retention Length (Years Unless Specified)	Special Storage Consideration	Media Type	Retention Citations / Comments
RMS026	Radiation License & Disposal Records	LO			17 CCR 30293
RMS027	Job Site Safety Analysis (JSSA), Job Hazard Analysis (JHA), Hot Work Permits	CU+4			29 CFR §1904.6, 29 CFR §1910.132, 29 CFR §1910.252; OMB 1218-0176 <b>Retention aligns with VPP</b>
RMS028	PPE Assessments	S			29 CFR §1910.132
RMS029	Lock Out Tag Out Audits (LOTO)	4			29 CFR §1910.147(c)(6), 29 CFR §1910.147(c)(7), 29 CFR §1910.147(f)(2) <b>Retention aligns with VPP</b>
RMS030	Industrial Hygiene & Safety Files - Personnel: Industrial Hygiene Reports - Air Sampling, Noise Testing and Workplace Contaminants	T+30			8 CCR §3204 - (d)(1)(B); 29 CFR §1910.1020; <del>GC §60201</del>
RMS032	Vehicle Inspection & Equipment Checks Files: Daily Safety Checks, Pre-Starts, Commercial Vehicle Pre-Starts and Forklift Inspections, Pre-Trip Inspections, CHP Inspections, Daily Vehicle Inspections, Daily Equipment Checks	CU+4			49 CFR §396.11 (c)(2), 49 CFR §396.21(b)(1)





## Orange County Sanitation District Records Retention Schedule

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LC	Labor Code (CA)	NN	When No Longer Needed
PC	Penal Code (CA)	OB	Obsolete
PRC	Public Resources Code	S	Superseded
OMB	Office of Management & Budget	T	Terminated
R&TC	Revenue & Taxation Code		
SOS	Secretary of State	Media Types	
USC	United States Code	CD	CD
		EL	Electronic
Special Storage Consideration		FD	Floppy Disk
C	Confidential	P	Paper
H	Historical	TA	Tapes
V	Vital		

### Risk Management and Safety

Retention Number	Record Type	Retention Length (Years Unless Specified)	Special Storage Consideration	Media Type	Retention Citations / Comments
RMS033	Continuity of Operations Plan (COOP)	S		EL, P	GC §60102(d)(10)

DRAFT



# ADMINISTRATION COMMITTEE

Administration Building  
10844 Ellis Avenue  
Fountain Valley, CA 92708  
(714) 593-7433

## Agenda Report

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**File #:** 2022-2160

**Agenda Date:** 3/9/2022

**Agenda Item No:** 4.

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**FROM:** James D. Herberg, General Manager  
Originator: Lorenzo Tyner, Assistant General Manager

**SUBJECT:**

**REPLACE SERVER AND STORAGE INFRASTRUCTURE FOR PLANT NO. 1 INDUSTRIAL CONTROL SYSTEM**

**GENERAL MANAGER'S RECOMMENDATION**

RECOMMENDATION: Recommend to the Board of Directors to:

- A. Approve a Purchase Order to ePlus Technology, Inc. for the purchase of software, hardware, and services to implement and configure the Nutanix metro clusters for Plant No. 1 Industrial Control System, Specification No. E-2022-1300BD, for a total amount not to exceed \$560,195, plus applicable sales tax and shipping; and
- B. Approve a contingency in the amount of \$56,019 (10%).

**BACKGROUND**

Orange County Sanitation District's (OC San) current server and storage computing infrastructure for the Industrial Control Systems (ICS) network has reached its end of life. Staff has been incrementally replacing server and storage at the two Plants for the ICS network and this is the last of the replacements. Staff is recommending modernizing the remaining antiquated storage and server infrastructure with a Hyper Converged Infrastructure (HCI) solution called Nutanix to replace the server and storage systems in the ICS network to be compatible with the prior replacements.

The Nutanix HCI solution is a merger of computing and storage systems. It provides a simple interface to run workloads, providing a single interface to manage and allocate computer resources. The storage and computer nodes act as one highly reliable pool of resources. Should one node go down, the rest will remain unaffected. This resilience is key to ensuring connectivity and uptime. Nutanix HCI can also be scaled out by adding nodes to match resource demand.

**RELEVANT STANDARDS**

- 24/7/365 treatment plant reliability
- Ensure the public's money is wisely spent
- Maintain a culture of improving efficiency to reduce the cost to provide the current service level or standard
- Protect OC San assets

## **PROBLEM**

The current server and storage infrastructure of the ICS network is hosted on obsolete hardware. The current infrastructure is not reliable, scalable, and does not provide the redundancy or availability for the current server and storage needs. The obsolete hardware is becoming less reliable and replacement parts are not available from the manufacturer. In addition, the current storage solution has been discontinued by the manufacturer and is no longer supported.

## **PROPOSED SOLUTION**

To properly maintain the ICS network, the Information Technology (IT) division and Process Control Integration (PCI) request to purchase the Nutanix HCI solution and related professional services to install and configure the system. The proposed Nutanix HCI system is consistent with existing systems in other areas of the ICS network.

## **TIMING CONCERNS**

Proper maintenance and performance of the ICS network is imperative for the continued support and safety of OC San operations.

## **RAMIFICATIONS OF NOT TAKING ACTION**

A decision not to purchase the Nutanix HCI solution would result in continued inefficiencies, limitations in deploying new technologies, the inability to provide high availability, and a degradation in service as hardware fails.

## **PRIOR COMMITTEE/BOARD ACTIONS**

July 2021 - Board approved a Purchase Order to ePlus Technology Inc. for Specification No. E-2021-1253BD for IT Server Hardware for Outfall Low Flow Pump Station, Contract No. J-117B, for a total amount of \$793,882.96, plus applicable sales tax and freight.

September 2020 - Administration Committee approved a Professional Services Agreement to ePlus Technology Inc. for the procurement of software, hardware, and services to implement and configure the Hyper Converged Infrastructure, Specification No. CS-2020-1141BD, for a total amount not to exceed \$177,950 and approved a contingency in the amount of \$17,795 (10%).

## **ADDITIONAL INFORMATION**

A Notice Inviting Bids was issued on January 18, 2022 via PlanetBids. Bids were due on February 15, 2022. OC San received four (4) bids valid for 180 calendar days from the bid opening date. One bid is noted as non-responsive due to non-notarized Non-Collusion Affidavit Form.

The following is a list of the firms that submitted a bid:

<b>Company Name</b>	<b>Bid</b>	<b>Determination</b>
ePlus Technology, Inc.	\$560,194.41	Responsive
Nth Generation Computing, Inc.	\$669,666.56	Responsive
Mvation Worldwide Inc	\$676,176.86	Responsive
Axelliant LLC	\$677,042.66	Non-Responsive

Based on these results, staff recommends approving a Purchase Order to ePlus Technology. The term of this Purchase Order will begin upon the effective date of the Notice to Proceed.

### **CEQA**

N/A

### **FINANCIAL CONSIDERATIONS**

This request complies with authority levels of OC San's Purchasing Ordinance. This item has been budgeted. (FY2020-21 & 2021-22 Budget, Section 8, Page 49, Information Technology Capital Program (M-MC-IT)).

<b><u>Date of Approval</u></b>	<b><u>Contract Amount</u></b>	<b><u>Contingency</u></b>
03/23/2022	\$560,195	\$56,019

### **ATTACHMENT**

*The following attachment(s) may be viewed on-line at the OC San website ([www.ocsan.gov](http://www.ocsan.gov)) with the complete agenda package:*

N/A



# ADMINISTRATION COMMITTEE

Administration Building  
10844 Ellis Avenue  
Fountain Valley, CA 92708  
(714) 593-7433

## Agenda Report

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**File #:** 2022-2159

**Agenda Date:** 3/9/2022

**Agenda Item No:** 5.

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**FROM:** James D. Herberg, General Manager  
Originator: Lorenzo Tyner, Assistant General Manager

**SUBJECT:**

**FY 2022-23 AND FY 2023-24 ORANGE COUNTY SANITATION DISTRICT BUDGET REVENUES AND RESERVES OVERVIEW**

**GENERAL MANAGER'S RECOMMENDATION**

RECOMMENDATION:

Information Item.

**BACKGROUND**

Staff will provide an informational presentation on the revenues and reserves of the Orange County Sanitation District's Proposed Fiscal Year 2022-23 and Fiscal Year 2023-24 Budget.

The Proposed Budget will be presented for adoption at the June 22, 2022 Board of Directors meeting.

**ATTACHMENT**

*The following attachment(s) may be viewed on-line at the OC San website ([www.ocsan.gov](http://www.ocsan.gov)) with the complete agenda package:*

- FY 2022-23 & FY 2023-24 Budget Revenue Detail
- Reserve Summary - FY 2021-22
- Presentation

**Orange County Sanitation District  
FY 2022-23 and FY 2023-24 Budget Revenue Detail**

**Revenue Summary** (in millions)

Category	2022-23 Proposed	2023-24 Proposed
<b>Revenues:</b>		
Service Fees	306.5	313.0
Permit User Fees	12.8	13.0
Capital Facility Capacity Charge	17.3	18.7
Property Taxes	106.3	109.5
Interest	14.1	13.4
Other Revenue	43.5	35.7
Debt Proceeds	0.0	0.0
<b>Total Revenue</b>	<b>\$500.5</b>	<b>\$503.3</b>

The Orange County Sanitation District (OC San) has a variety of revenue sources available for operating and capital expenses.

The major revenue sources are as follows:

- General Sewer Service Fees
- Industrial Waste Permit User Fees
- Capital Facilities Capacity Charges (CFCC)
- Property Taxes
- Interest Earnings
- Other Miscellaneous Revenue
- Debt Proceeds

	<u><b>2022-23</b></u>	<u><b>2023-24</b></u>
<p><b>General Service Fees –</b> User fees are ongoing fees for service paid by customers connected to the sewer system. A property owner, or user, does not pay user fees until connected to the sewer system and receiving services. Once connected, a user is responsible for his share of the system’s costs, both fixed and variable, in proportion to his demand on the system. These fees are for both Single Family Residences (SFR) and Multiple Family Residences (MFR).</p> <p>FY 2022-23 is the fifth year of the most recent five-year sewer service fee rate schedule approved by the Board. The SFR rate (the underlying basis for all sewer rates) will increase by 1.2 percent (\$4) to \$347 in FY 2022-23. These rates are still well below the average annual sewer rate currently being charged throughout the state.</p>	<b>\$306.5M</b>	<b>\$313.0M</b>

2022-23

2023-24

<p><b>Industrial Waste Permit User Fees –</b> Fees paid by large industrial and commercial properties owners connected to the sewer system. These fees are for the owner’s share of the system’s costs, both fixed and variable, in proportion to his demand on the system.</p> <p>Since the inception of the Permit User Fee program in 1970, users of OC San’s system that discharge high volumes or high strength wastewater are required to obtain a discharge permit and pay for the full cost of service.</p>	<p><b>\$12.8M</b></p>	<p><b>\$13.0M</b></p>
<p><b>Capital Facilities Capacity Charges (CFCC) –</b> Capital Facilities Capacity Charge is a one-time, non-discriminatory charge imposed at the time a building or structure is newly connected to OC San’s system, directly or indirectly, or an existing structure or category of use is expanded or increased. This charge pays for OC San facilities in existence at the time the charge is imposed, or to pay for new facilities to be constructed in the future, that are of benefit to the property being charged.</p>	<p><b>\$17.3M</b></p>	<p><b>\$18.7M</b></p>
<p><b>Property Taxes –</b> The County is permitted by State law (Proposition 13) to levy taxes at 1% of full market value (at time of purchase) and can increase the assessed value no more than 2% per year. OC San receives a share of the basic levy proportionate to what was received in the 1976 to 1978 period less \$3.5 million, the amount that represents the State’s permanent annual diversion from special districts to school districts that began in 1992-93. OC San’s share of this revenue is dedicated for the payment of debt service.</p>	<p><b>\$106.3M</b></p>	<p><b>\$109.5M</b></p>
<p><b>Interest Earnings –</b> Interest earnings are generated from the investment of accumulated reserves consisting of a cash flow/contingency, a capital improvement, a renewal/replacement, and a self-insurance reserve.</p>	<p><b>\$14.1M</b></p>	<p><b>\$13.4M</b></p>
<p><b>Other Revenue –</b> Other revenue includes solids handling and capital assessments from the Irvine Ranch Water District (IRWD); and O&amp;M sewer services provided to IRWD, the Santa Ana Watershed Protection Authority (SAWPA), and the Sunset Beach Sanitary District.</p>	<p><b>\$43.5M</b></p>	<p><b>\$35.7M</b></p>

**2022-23**      **2023-24**

<b>Debt Proceeds –</b> Certificates of Participation (COPs) are OC San’s primary mechanism for financing capital projects. COPs are repayment obligations based on a lease or installment sale agreement. COPs are viewed by the State of California as a share in an installment arrangement where OC San serves as the purchaser. No new debt issuances are projected in the near-term.	<b>\$0.0M</b>	<b>\$0.0M</b>
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**Financing**

If it is necessary that OC San utilize debt financing to meet its total obligations and to meet projected construction schedules, OC San uses long-term borrowing (Certificates of Participation (COP)) for capital improvements that cannot be financed from current revenue. Before any new debt is issued, the impact of debt service payments on total annual fixed costs is analyzed. No new debt issuance is currently being planned.

**The OC San Maintains its AAA Rating**

OC San maintains ratings of “AAA” from Standards and Poor and “AA” from Fitch. A triple A rating is the highest obtainable for any governmental agency. In order to maintain this rating, OC San adheres to its 2021 Debt Policy and coverage ratios requirements. This Board-adopted policy serves as the agency’s guide in the management of existing debt and in the issuance of future debt.

**OC San Has Contractual Covenants**

OC San has contractual covenants within the existing COP agreements which require minimum coverage ratios of 1.25. The minimum coverage ratio is the ratio of net annual revenues available for debt service requirements to total annual debt service requirements for all senior lien COP debt. The coverage ratio for senior lien COP debt was approved at 4.32 for FY 2022-23.



**Orange County Sanitation District  
Reserve Summary - FY 2021-22**

Orange County Sanitation District (OC San) has a Board of Directors Reserve Policy that sets forth seven criteria to be used to determine its reserve level. As part of the OC San financial and operating process, we have developed a Reserve Policy which governs the establishment of our reserve level and the use of those funds. To ensure an adequate and diverse reserve policy, we have established seven different criteria. **These are not seven different reserves, but seven criteria used to set the total reserve level.** Reserves can only be used with the approval of the Board of Directors. Below is a brief summary of the OC San Reserve Criteria.

**Reserve Policy Summary**

**Non-Discretionary**

- 1) Debt Covenants and Other Requirements – Required by OC San bondholders – \$91 million – RESTRICTED**  
This level is set by various bond covenants. As OC San issues debt, it is required to maintain certain levels of reserves held specifically for repayment of that debt and cannot be reduced or used prior to repayment of all outstanding debt issuances.
  - 2) “Dry Period” – Property Tax Payments – 50% of Operating Costs – \$92 million**  
The largest portion of OC San revenues are user fees, approximately \$300 million. These fees are listed on and collected through the County property tax bill. Since we receive payments twice each year, we hold funds in reserve specifically to pay operating expenses pending receipt of those payments.
  - 3) “Dry Period” – Property Tax Payments – 100% of August Debt Service Costs – \$24 million**  
The largest portion of OC San revenues are user fees, approximately \$300 million. These fees are listed on and collected through the County property tax bill. Since we receive payments twice each year, we hold funds in reserve specifically to pay debt service pending the receipt of those payments.
- 

**Discretionary**

- 4) Operating Budget – 10% of the total Operating Budget as a Contingency – \$18 million**  
We hold ten percent of our operating budget as an operating contingency for non-recurring and unanticipated expenditures.
- 5) Capital Improvement Budget – 50% of the average 10-year CIP Program – \$149 million**  
OC San currently has a ten-year, \$2.7 billion Capital Improvement effort. We hold the equivalent of 5% of that total as a contingency specifically related to these Capital Improvement Program efforts.
- 6) Rehabilitation and Refurbishment – \$75 million**  
In 2002, OC San established a reserve level related to rehabilitation efforts at \$50 million based on the rehabilitation or replacement costs at that time. Although the total costs for rehabilitation or replacement has increased substantially since 2002 as a result of the move to Full Secondary Treatment and the Construction of GWRS, this reserve guideline has been increased. It will continue to increase 2% annually.
- 7) Catastrophic loss / Self-insurance – \$100 million**  
OC San is Self-Insured for Catastrophic Loss. \$100 million of OC San’s total reserves are related to holding funds for this category. Although OC San now has more than \$11 billion in asset replacement value and this level has been increased, it is potentially under-funded.

Current 2021-22 Reserve Policy Requirement            \$549 million



*Presented by:*  
*Wally Ritchie,*  
*Controller*  
*Administration*  
*Committee*  
*March 9, 2022*

## Revenues & Reserves FY2022-23 & 2023-24 Budget



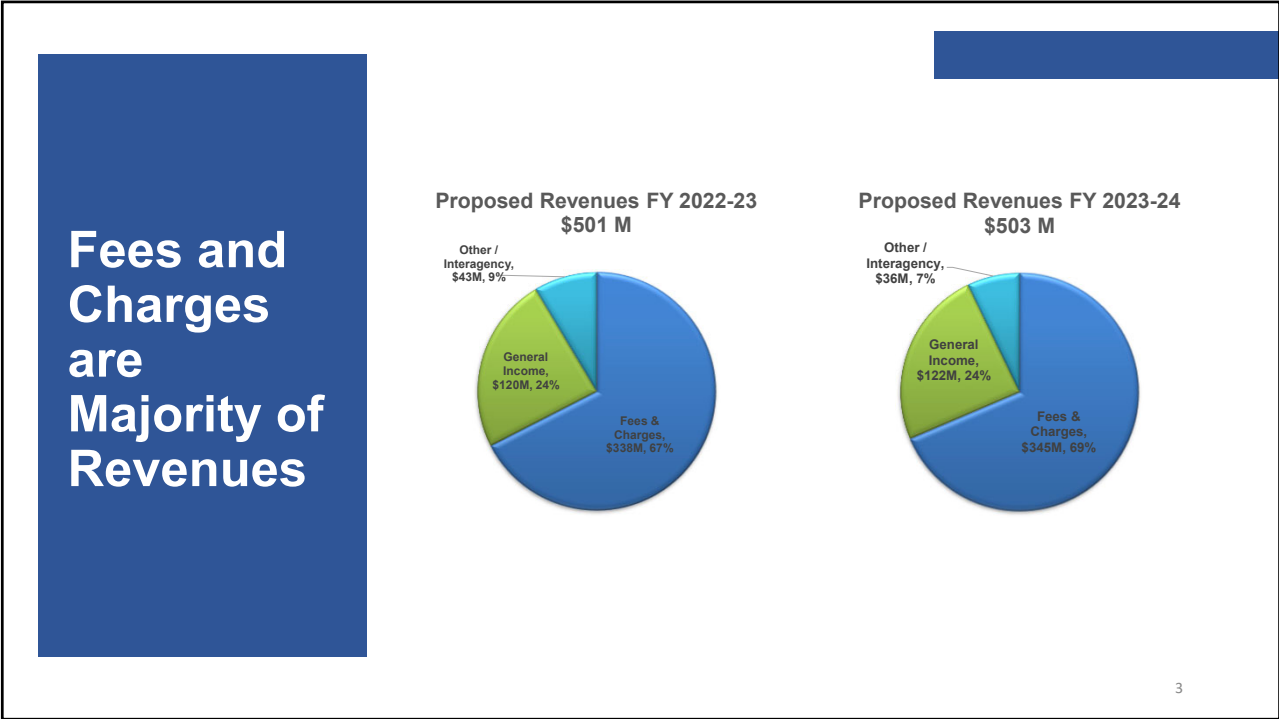
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# Four Major Revenue Categories

Revenues	<u>Estimated FY 21-22</u>	<u>Proposed</u>	
		<u>FY 22-23</u>	<u>FY 23-24</u>
Fees & Charges	\$332 M	\$338 M	\$345 M
General Income	\$117 M	\$120 M	\$122 M
Other / Interagency	\$ 45 M	\$ 43 M	\$ 36 M
Debt Proceeds	\$271 M	\$ 0 M	\$ 0 M
<b>Total Revenues</b>	<b>\$765 M</b>	<b>\$501 M</b>	<b>\$503 M</b>

2

2



Top Ten Industrial Users

Company	Fee	% of Total
House Foods America	\$1,532,692	0.46%
Stremicks Heritage Foods	1,150,290	0.35%
Pulmuone Wildwood, Inc.	651,887	0.20%
Newport Fab, LLC (Jazz Semiconductor)	635,752	0.19%
Ameripecc Inc.	516,918	0.16%
House Foods America Corp. (East)	511,698	0.15%
MCP Foods, Inc.	487,078	0.15%
Nor-Cal Beverage, Inc. (NCB)	417,014	0.15%
Brea Power II, LLC	405,600	0.12%
Nor-Cal Beverage, Inc. (Main)	390,401	0.12%
<b>Top Ten Total Fees &amp; Charges</b>	<b>\$6,699,330</b>	<b>2.02%</b>

5

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General & Other Income

	<b>Proposed</b>	
	<u>FY 22-23</u>	<u>FY 23-24</u>
Property Taxes	\$ 106 M	\$ 109 M
Interest	\$ 14 M	\$ 13 M
<b>Total General Income</b>	<b>\$ 120 M</b>	<b>\$ 122 M</b>
<b>Other / Interagency</b>	<b>\$ 43 M</b>	<b>\$ 36 M</b>

6

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## Debt Proceeds to Support CIP Program

No new money debt issuances are projected in the near term.

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## Reserve Policy Summary for Fiscal Year 2021-22

<b>Non-Discretionary Reserves</b>	<b>Millions</b>
1) Operating Expense – Dry Period	\$ 92
2) Debt Service – Dry Period	\$ 24
3) Debt Service Requirements	<u>\$ 91</u>
<b>Sub-Total</b>	<b><u>\$ 207</u></b>
<b>Discretionary Reserves</b>	
4) Operating Contingencies	\$ 18
5) Capital Improvement Program	\$ 149
6) Catastrophe Funds	\$ 75
7) Replacement/Refurbishment	<u>\$ 100</u>
<b>Sub-Total</b>	<b><u>\$ 342</u></b>
<b>TOTAL</b>	<b>\$549</b>

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## OC San Reserve Criteria Summary

**Discretionary Reserve Criteria**

Operating Contingencies	\$ 18 M
Capital Improvement Program	\$ 149 M
Catastrophe Funds	\$ 100 M
Replacement/Refurbishment	<u>\$ 75 M</u>
<b>Total</b>	<b>\$342 M</b>


  

<b>Total OC San Assets</b>	<b>\$11 B</b>
<b>Percent Coverage</b>	<b>3.1%</b>

9

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## Questions



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10



# ADMINISTRATION COMMITTEE

Administration Building  
10844 Ellis Avenue  
Fountain Valley, CA 92708  
(714) 593-7433

## Agenda Report

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**File #:** 2022-2178

**Agenda Date:** 3/9/2022

**Agenda Item No:** 6.

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**FROM:** James D. Herberg, General Manager  
Originator: Kathy Millea, Director of Engineering

**SUBJECT:**

**STAFFING STRATEGY TO DELIVER CAPITAL IMPROVEMENT PROGRAM**

**GENERAL MANAGER'S RECOMMENDATION**

RECOMMENDATION:

Information Item.

**BACKGROUND**

The Orange County Sanitation District's (OC San) Engineering Department manages the execution of the capital improvement program, as well as many of the more complex repair projects. The department includes 99 full time staff in a variety of engineering, inspection, administrative, and engineering support roles; plus 13 supervisors, four managers, and the Director of Engineering.

OC San anticipates capital improvement program expenditures of approximately \$1.5 billion from July 2022 through June 2027, with annual expenditures doubling between 2021 and 2023. This program will require a temporary increase in the number of engineering and project support professionals over the next five years. Each year, as part of its program management activities, the Engineering Department forecasts staffing levels needed over time to properly control and deliver the program.

Staff will present how estimates are developed for the inspection, engineering, project management, programming, and other project support required for delivering capital projects. The presentation will support a discussion of proposed Supplemental Engineering Services and Programming Services contracts to be presented at the Operations Committee in April 2022.

**RELEVANT STANDARDS**

- Sustain 1, 5, 20-year planning horizons
- Maintain a proactive asset management program

**ATTACHMENT**

*The following attachment(s) may be viewed on-line at the OC San website ([www.ocsan.gov](http://www.ocsan.gov)) with the complete agenda package:*

- Presentation

JM:dm



# Capital Improvement Program Delivery Strategy

Jeff Mohr  
Engineering  
Manager

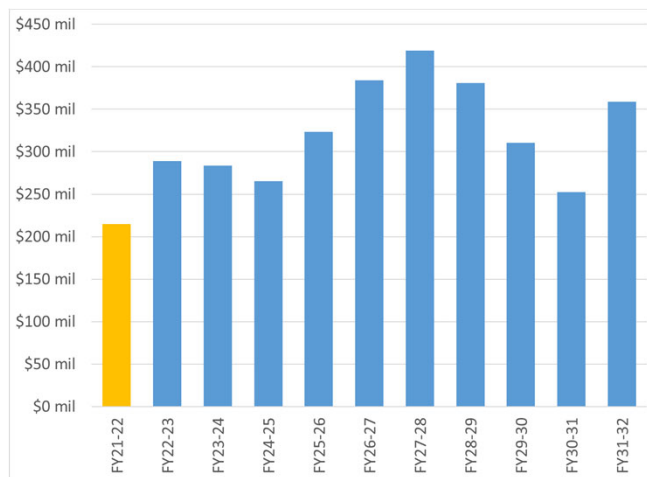
Administration  
Committee  
March 9, 2022



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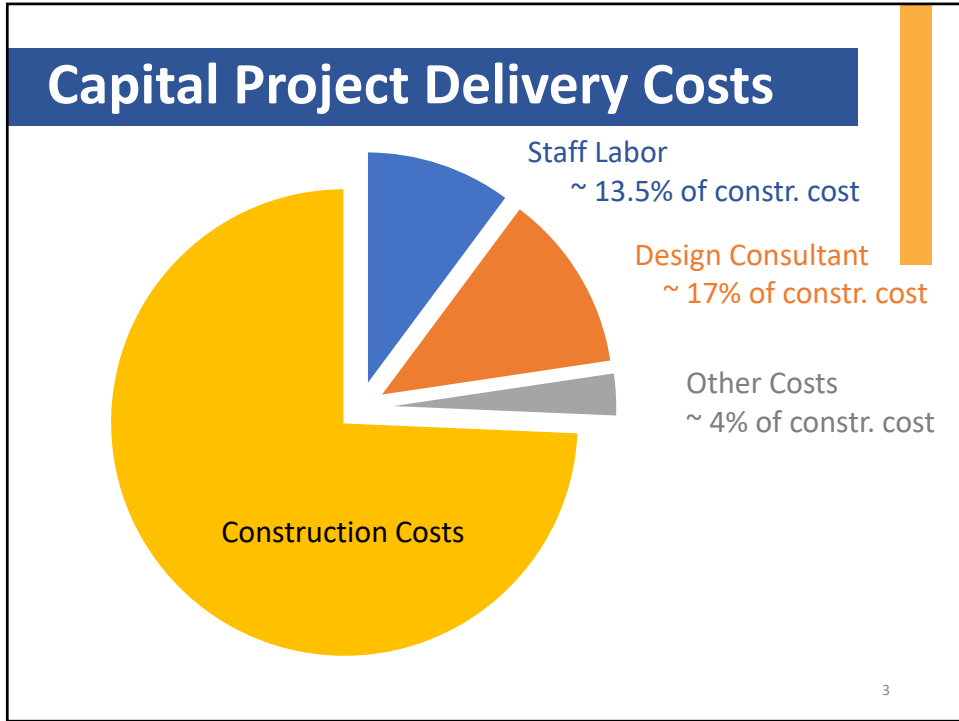
## Forecasted CIP Expenditures

43 active designs - \$100 million design fees  
46 construction contracts - \$700 million

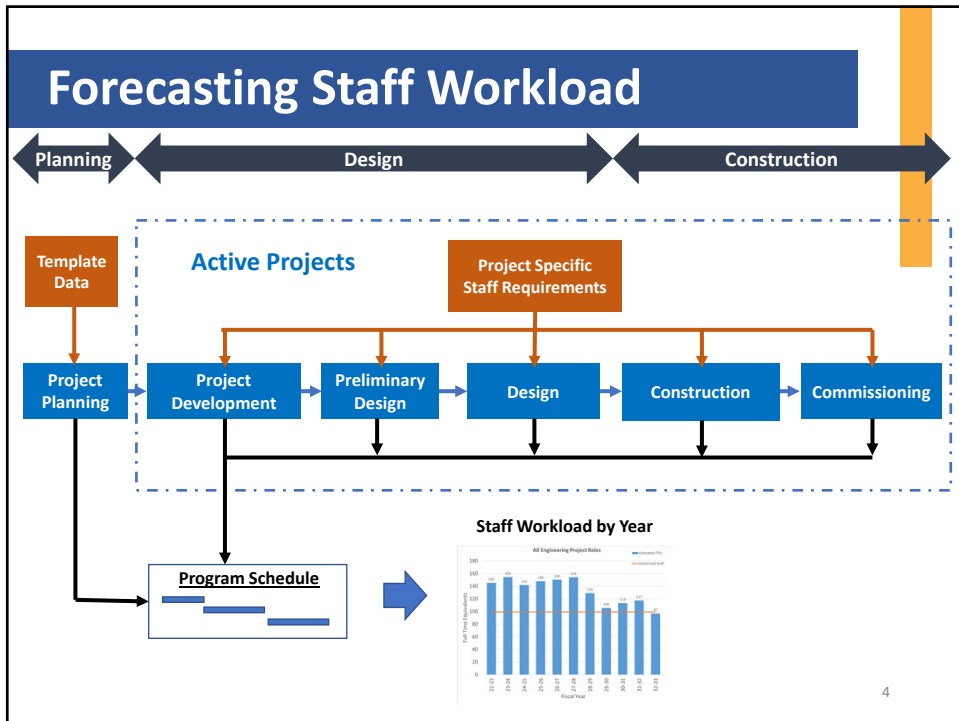


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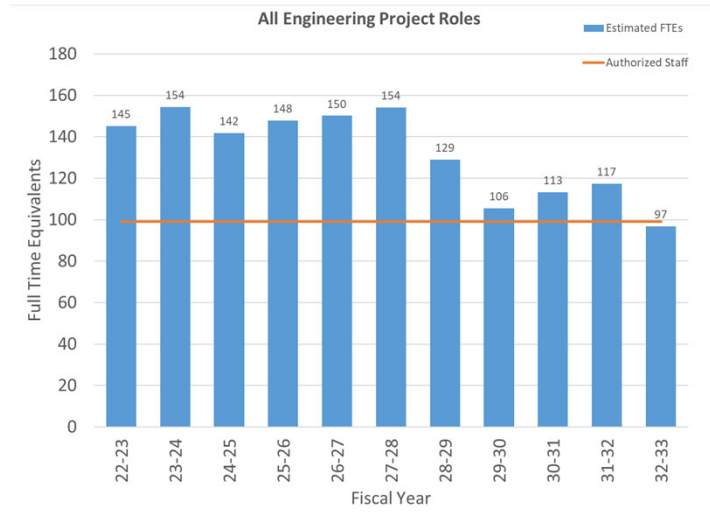


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## Forecasted Engineering Workloads

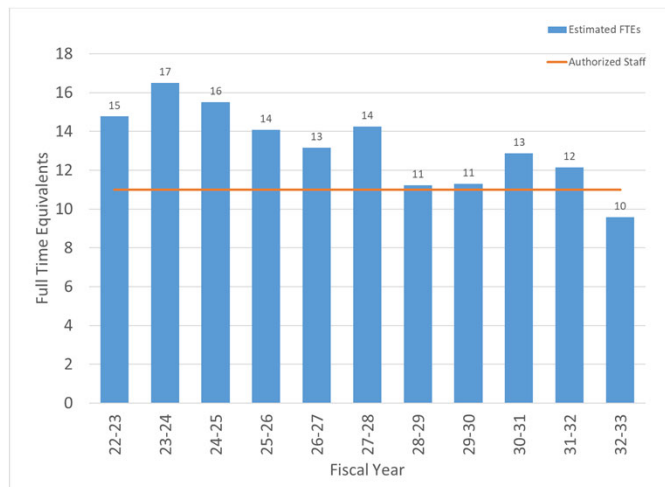


Note: This graph based on on-going budget reviews and is subject to change

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## Programming Workload



Note: This graph based on on-going budget reviews and are subject to change

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## Supplemental Services Contracts

- Surges in project staff workloads
- Technical Expertise
  - Structural
  - Architectural
  - Subject matter experts
- Small or urgent tasks
- 3<sup>rd</sup> Party Reviews
  - Value Engineering
  - Constructability Reviews

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## Next Steps

- Award two Supplemental Engineering Services Agreements
- Award two Professional Programming Services Agreements

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## ORANGE COUNTY SANITATION DISTRICT COMMON ACRONYMS

<b>ACWA</b>	Association of California Water Agencies	<b>LOS</b>	Level Of Service	<b>RFP</b>	Request For Proposal
<b>APWA</b>	American Public Works Association	<b>MGD</b>	Million Gallons Per Day	<b>RWQCB</b>	Regional Water Quality Control Board
<b>AQMD</b>	Air Quality Management District	<b>MOU</b>	Memorandum of Understanding	<b>SARFPA</b>	Santa Ana River Flood Protection Agency
<b>ASCE</b>	American Society of Civil Engineers	<b>NACWA</b>	National Association of Clean Water Agencies	<b>SARI</b>	Santa Ana River Interceptor
<b>BOD</b>	Biochemical Oxygen Demand	<b>NEPA</b>	National Environmental Policy Act	<b>SARWQCB</b>	Santa Ana Regional Water Quality Control Board
<b>CARB</b>	California Air Resources Board	<b>NGOs</b>	Non-Governmental Organizations	<b>SAWPA</b>	Santa Ana Watershed Project Authority
<b>CASA</b>	California Association of Sanitation Agencies	<b>NPDES</b>	National Pollutant Discharge Elimination System	<b>SCADA</b>	Supervisory Control And Data Acquisition
<b>CCTV</b>	Closed Circuit Television	<b>NWRI</b>	National Water Research Institute	<b>SCAP</b>	Southern California Alliance of Publicly Owned Treatment Works
<b>CEQA</b>	California Environmental Quality Act	<b>O &amp; M</b>	Operations & Maintenance	<b>SCAQMD</b>	South Coast Air Quality Management District
<b>CIP</b>	Capital Improvement Program	<b>OCCOG</b>	Orange County Council of Governments	<b>SOCWA</b>	South Orange County Wastewater Authority
<b>CRWQCB</b>	California Regional Water Quality Control Board	<b>OCHCA</b>	Orange County Health Care Agency	<b>SRF</b>	Clean Water State Revolving Fund
<b>CWA</b>	Clean Water Act	<b>OCSD</b>	Orange County Sanitation District	<b>SSMP</b>	Sewer System Management Plan
<b>CWEA</b>	California Water Environment Association	<b>OCWD</b>	Orange County Water District	<b>SSO</b>	Sanitary Sewer Overflow
<b>EIR</b>	Environmental Impact Report	<b>OOBS</b>	Ocean Outfall Booster Station	<b>SWRCB</b>	State Water Resources Control Board
<b>EMT</b>	Executive Management Team	<b>OSHA</b>	Occupational Safety and Health Administration	<b>TDS</b>	Total Dissolved Solids
<b>EPA</b>	US Environmental Protection Agency	<b>PCSA</b>	Professional Consultant/Construction Services Agreement	<b>TMDL</b>	Total Maximum Daily Load
<b>FOG</b>	Fats, Oils, and Grease	<b>PDSA</b>	Professional Design Services Agreement	<b>TSS</b>	Total Suspended Solids
<b>gpd</b>	gallons per day	<b>PFAS</b>	Per- and Polyfluoroalkyl Substances	<b>WDR</b>	Waste Discharge Requirements
<b>GWRS</b>	Groundwater Replenishment System	<b>PFOA</b>	Perfluorooctanoic Acid	<b>WEF</b>	Water Environment Federation
<b>ICS</b>	Incident Command System	<b>PFOS</b>	Perfluorooctanesulfonic Acid	<b>WERF</b>	Water Environment & Reuse Foundation
<b>IERP</b>	Integrated Emergency Response Plan	<b>POTW</b>	Publicly Owned Treatment Works	<b>WIFIA</b>	Water Infrastructure Finance and Innovation Act
<b>JPA</b>	Joint Powers Authority	<b>ppm</b>	parts per million	<b>WIIN</b>	Water Infrastructure Improvements for the Nation Act
<b>LAFCO</b>	Local Agency Formation Commission	<b>PSA</b>	Professional Services Agreement	<b>WRDA</b>	Water Resources Development Act

## ORANGE COUNTY SANITATION DISTRICT GLOSSARY OF TERMS

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**ACTIVATED SLUDGE PROCESS** – A secondary biological wastewater treatment process where bacteria reproduce at a high rate with the introduction of excess air or oxygen and consume dissolved nutrients in the wastewater.

**BENTHOS** – The community of organisms, such as sea stars, worms, and shrimp, which live on, in, or near the seabed, also known as the benthic zone.

**BIOCHEMICAL OXYGEN DEMAND (BOD)** – The amount of oxygen used when organic matter undergoes decomposition by microorganisms. Testing for BOD is done to assess the amount of organic matter in water.

**BIOGAS** – A gas that is produced by the action of anaerobic bacteria on organic waste matter in a digester tank that can be used as a fuel.

**BIOSOLIDS** – Biosolids are nutrient rich organic and highly treated solid materials produced by the wastewater treatment process. This high-quality product can be recycled as a soil amendment on farmland or further processed as an earth-like product for commercial and home gardens to improve and maintain fertile soil and stimulate plant growth.

**CAPITAL IMPROVEMENT PROGRAM (CIP)** – Projects for repair, rehabilitation, and replacement of assets. Also includes treatment improvements, additional capacity, and projects for the support facilities.

**COLIFORM BACTERIA** – A group of bacteria found in the intestines of humans and other animals, but also occasionally found elsewhere, used as indicators of sewage pollution. E. coli are the most common bacteria in wastewater.

**COLLECTIONS SYSTEM** – In wastewater, it is the system of typically underground pipes that receive and convey sanitary wastewater or storm water.

**CERTIFICATE OF PARTICIPATION (COP)** – A type of financing where an investor purchases a share of the lease revenues of a program rather than the bond being secured by those revenues.

**CONTAMINANTS OF POTENTIAL CONCERN (CPC)** – Pharmaceuticals, hormones, and other organic wastewater contaminants.

**DILUTION TO THRESHOLD (D/T)** – The dilution at which the majority of people detect the odor becomes the D/T for that air sample.

**GREENHOUSE GASES (GHG)** – In the order of relative abundance water vapor, carbon dioxide, methane, nitrous oxide, and ozone gases that are considered the cause of global warming (“greenhouse effect”).

**GROUNDWATER REPLENISHMENT SYSTEM (GWRS)** – A joint water reclamation project that proactively responds to Southern California’s current and future water needs. This joint project between the Orange County Water District and OCSD provides 70 million gallons per day of drinking quality water to replenish the local groundwater supply.

**LEVEL OF SERVICE (LOS)** – Goals to support environmental and public expectations for performance.

**N-NITROSODIMETHYLAMINE (NDMA)** – A N-nitrosamine suspected cancer-causing agent. It has been found in the GWRS process and is eliminated using hydrogen peroxide with extra ultra-violet treatment.

**NATIONAL BIOSOLIDS PARTNERSHIP (NBP)** – An alliance of the NACWA and WEF, with advisory support from the EPA. NBP is committed to developing and advancing environmentally sound and sustainable biosolids management practices that go beyond regulatory compliance and promote public participation to enhance the credibility of local agency biosolids programs and improved communications that lead to public acceptance.

**PER- AND POLYFLUOROALKYL SUBSTANCES (PFAS)** – A large group (over 6,000) of human-made compounds that are resistant to heat, water, and oil and used for a variety of applications including firefighting foam, stain and water-resistant clothing, cosmetics, and food packaging. Two PFAS compounds, perfluorooctanesulfonic acid (PFOS) and perfluorooctanoic acid (PFOA) have been the focus of increasing regulatory scrutiny in drinking water and may result in adverse health effects including developmental effects to fetuses during pregnancy, cancer, liver damage, immunosuppression, thyroid effects, and other effects.

**PERFLUOROCTANOIC ACID (PFOA)** – An ingredient for several industrial applications including carpeting, upholstery, apparel, floor wax, textiles, sealants, food packaging, and cookware (Teflon).

**PERFLUOROCTANESULFONIC ACID (PFOS)** – A key ingredient in Scotchgard, a fabric protector made by 3M, and used in numerous stain repellents.

**PLUME** – A visible or measurable concentration of discharge from a stationary source or fixed facility.

**PUBLICLY OWNED TREATMENT WORKS (POTW)** – A municipal wastewater treatment plant.

**SANTA ANA RIVER INTERCEPTOR (SARI) LINE** – A regional brine line designed to convey 30 million gallons per day of non-reclaimable wastewater from the upper Santa Ana River basin to the ocean for disposal, after treatment.

**SANITARY SEWER** – Separate sewer systems specifically for the carrying of domestic and industrial wastewater.

**SOUTH COAST AIR QUALITY MANAGEMENT DISTRICT (SCAQMD)** – Regional regulatory agency that develops plans and regulations designed to achieve public health standards by reducing emissions from business and industry.

**SECONDARY TREATMENT** – Biological wastewater treatment, particularly the activated sludge process, where bacteria and other microorganisms consume dissolved nutrients in wastewater.

**SLUDGE** – Untreated solid material created by the treatment of wastewater.

**TOTAL SUSPENDED SOLIDS (TSS)** – The amount of solids floating and in suspension in wastewater.

## **ORANGE COUNTY SANITATION DISTRICT GLOSSARY OF TERMS**

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**TRICKLING FILTER** – A biological secondary treatment process in which bacteria and other microorganisms, growing as slime on the surface of rocks or plastic media, consume nutrients in wastewater as it trickles over them.

**URBAN RUNOFF** – Water from city streets and domestic properties that carry pollutants into the storm drains, rivers, lakes, and oceans.

**WASTEWATER** – Any water that enters the sanitary sewer.

**WATERSHED** – A land area from which water drains to a particular water body. OCSD's service area is in the Santa Ana River Watershed.