

Exhibit K City of Lompoc Records Retention Schedule

UTILITY DEPARTMENT

Description	Retention Period	Statutory Reference	Remarks
ADMINISTRATIVE RECORDS			
General Correspondence	C+2*	GC 34090	Email messages related to a current project or a policy-making decision should be retained along with related records
Master Plans	P		Historic
Supervisor Files	TER**		**Upon employee termination file to be transferred to HR
Safety Training And Accident Reports; Routine Tailgate Topics	TER** C+4		**Upon employee termination file to be transferred to HR
SUBJECT FILES			
Abandonments	Per State Code		
Employee Files: Drivers License Records; Medical; Certificates; Testing	TER**		**Upon employee termination file to be transferred to HR
Equipment Records	Life of Equip+2		Other than Fleet
Policies, Procedures, Standards	C+2		Department Opinion
Project Files	C+2		Department Opinion (Keep longer if useful)
Resource Plans: Long-term Electric Acquisition Plan, Water Integrated Resource Plan	C+7		
Subject Files (Any)	C+2	GC 34090	
BOARDS/COMMISSIONS			
Utility Commission a) Agenda/Staff Reports b) Minutes of all meetings c) General Correspondence	C+2 P C+2	GC 34090 GC 34090(e) GC 34090	b) Approved minutes sent to webmaster electronically
SPECIALIZED FILES			
Contracts (**All Contracts to be duplicates of City Clerk**)			
Bilateral Commodity and/or related service agreements	TER+7		Duplicate of City Clerk
Electric and Water Meter	TER+7		Duplicate of City Clerk
Renewable Energy Certificate Master Agreement	TER+7		Duplicate of City Clerk
Unaccepted Bids	C+2		Duplicate of City Clerk
Construction			
Acquisitions, Easement, Design, Drawings, Specifications, Photos, Permits, Soil Reports, Correspondence, Quotes, Payments & Schedules	P		Historical

* See Exhibit B – Definitions – for definitions of terms and abbreviations.

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ICOMMM Lateral Work Orders ACP Forms	C+5 C+5		Department Opinion
Work Orders As-Built Maps Valve Cards	P		Department of Transportation
Regulatory Records			
Paradigm Data Sheets Cathodic Work Orders Cathodic Protection with Gas Distribution Map Steel Pipeline Tapping Coupon Records Emergency Response Plan	P P P P TER+5 C+5		Department of Transportation
Permanent Records			
General Information Regulating Specifications & Testing AOC Odorant & Oil Dip	P		
SUB-DEPARTMENT			
Water			
Abandoned Pipe: Work Orders, As-Built Maps	P		Department Opinion
Employee Certifications	C+3**	Per State Requirements	**Transfer to HR upon employee termination
Flow and Discharge Data & Reports	P	Per State Requirements	Stored Electronically
Maintenance Flow Strip charts, Instrument Calibrations, Operations, Maintenance & Laboratory Records	C+4		Current Records are Stored Electronically (Paper Records Previously)
NPDES (National Pollution Discharge Elimination System) – Permits and Reports	P		Department Opinion
Operational Records; Log Books	P		Department Opinion (Historic)
Permits Pressurized Vessels, Air	C+4		
Valve Cards; Valve Cards of Abandoned Valve	P		Stored on GIS

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Water Quality -Water Sources: <ul style="list-style-type: none"> ▪ Testing ▪ Ground Water Elevation ▪ Bacteriologic Analysis ▪ Chemical Analysis ▪ Reservoirs, Wells & Rainfall Gauge Water Maintenance Records Water Discharge Form	C+10	Title 22 CCR 66261.24(a)(7)	State
Wastewater			
Backflow Annual Certifications	C+3		State
Collection Line Map	P		
Discharger permits and permit support documents	Permit expiration or facility closure + 3 years	40CFR	Federal Pretreatment Regulations
Ops Dailies Ops Stand-by/Call Out Time Report	C+2		Department Opinion
Other discharger data and records	C+2	40CFR	Federal Pretreatment Regulations
Sanitary Sewer Overflow (SSO) Reports	C+5		State Water Resources Control Board
Septic & Reclaimed Water Permits, Fees, Billings	C+4		Department Opinion
Electric			
Compliance/Inspection/Locating *Field Switch/Man on Line Logs *Overhead/Underground Compliance Records *Underground Service Alert Notices a) Completed Work Orders	P P C+5		
Electric – Circuit Map, Electric Distribution, Street Light Block, Maps: Electric Distribution, Distribution Layer, Street Light Layer, Hardwire and Coax, Overhead and Underground Facility Layers	C+2		GIS
Engineering Job Orders; Field Orders	P		Historical
Joint Pole Applications	C+2		Department Opinion
Property and Asset Acquisitions, Design, Drawings, Specs, Permits, CIP/Construction	P		

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Reports to Federal Register U.S. Dept of Energy PG&E State Regulatory Agencies (e.g., Public Utilities Commission) California Energy Commission California Air Resource Board	C+2		For reports required on a period basis, retain for two report cycles
Safety/Security *Daily Worksite Safety Tailboard Check List	C+5	OSHA	
Street Lights/Traffic Signal/Fiber	C+5		
Street Lights: Lighting, Program Materials	C+2		
Substation Equipment: Transformers, switches, breakers, capacitors & relays; Specifications; Inspection; Inventory; Replacement; Disposal	Life of Equip +2		
Substation Operations and Maintenance Records	C+5	18 CFR Sections 125.3(23) & 125.3(26)	
Substation Relay and Fuse Curves, Fault Current, Calculations, Supervisory Control, Automation and Distribution Automation and Control Information	C+5		
Switching Orders	C+2		
Voluntary Certification and Verification Reports to certifying and verifying agencies such as The Climate Registry for GHG inventory and for Carbon Neutral Plan (Electric Power Sector) Various Reports from certifying agencies	C+5		
Northern California Power Agency (NCPA)			
Electric Portfolio Models: Electricity Load and Resource Balances, Supply Costs, Transmission Costs, TANC/NCPA Costs, Regulatory Costs	C+5		
Power Supply Invoices, Payment Records	C+20		

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R&D Program PET Projects related documentation	C+6		
Solid Waste			
Landfill Daily Log Operator assignments and Maintenance activities	C+5		
Landfill Reports & Records	P		
Sludge and Biosolids Tonnage	C+2		
Uniform Hazardous Waste Manifest & Reports	P		OMB No. 2050-0039
Conservation			
Program Development	P		Department Opinion
Public Outreach Program marketing materials Customer Workshops	C+6 C+2		Department Opinion
Solar Interconnection Agreements	While Useful to Department		Duplicate permanently with City Clerk
Utility Conservation Rebate Program Applications	C+2	GC 34090	
Water Leak Detection Agreements	C+2		