

**KENTUCKY-AMERICAN WATER COMPANY
CASE NO. 2016-00394
RESPONSES TO COMMISSION STAFF'S
POST-HEARING DATA REQUESTS**

Witness: **Linda C. Bridwell**

1. Provide a copy of all Document Retention Policies and Procedures for KAWC.

Response:

Please refer to the attached American Water Records Retention Policy and Master Retention Schedule.



AMERICAN WATER

Title: **RECORD RETENTION POLICY**
Functional Area: **Law Department**
Policy Number: **AW Policy Template.doc**

SCOPE

This policy applies to any and all records that are created, received, or maintained by employees of American Water Works Company, Inc. and all of its controlled subsidiaries (“American Water” or the “Company”). The policy applies to records of both the regulated and unregulated subsidiaries.

POLICY STATEMENT

Business Objective: This policy establishes American Water’s retention schedule as the sole authority and responsibility for retention and destruction of Company records. The primary objectives of the Policy are to:

- Identify, retain, protect, and properly dispose of all Company Records, including emails;
- Comply with corporate, governmental, and regulatory requirements for record retention, including but not limited to the National Association of Regulatory Utility Commissions (“NARUC”) guidelines;
- Protect confidential and proprietary information by limiting access to such information and preventing its unintentional destruction;
- Identify and protect vital Records essential to the continuity of the Company or that are necessary to identify its assets, obligations or liabilities; and
- Retain Records relevant to a legal action until the Company’s Law Department authorizes their destruction.

Statement: All Company records must be retained and disposed of in accordance with retention periods and guidelines specified in the Company’s record retention schedule and in any related practices that American Water has issued or may issue in the future. Company records must be retained for the time periods specified in the retention schedule and discarded promptly when their retention periods elapse, subject to exceptions and exclusions specified herein.

All Company records must be retained and disposed of in accordance with the following standards:

<Record Retention Policy>
<Law Department>

Sponsor: <Policy Sponsor>

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Board.5-29-09.doc
Date Adopted: <05/29/2009>



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- The Company's record retention schedule specifies how long records are to be kept for legal reasons and to satisfy operational requirements.
- The Company's record retention schedule and practices comply fully with all applicable laws and regulations.
- American Water will retain records that must be kept for pending or ongoing litigation, government investigations (including regulatory and administrative audits), tax audits, or internal audits and internal investigations until those matters are resolved. When circumstances warrant, the Law Department will issue written directives that immediately and formally suspend the destruction of specific records until further notice. Such records must be retained until their destruction is authorized by the Law Department. The Litigation Hold practice establishes the parameters for complying with this requirement.
- Records should be destroyed promptly when the time periods specified in the Company's retention schedule elapse in order to reduce the cost of storing, indexing, and handling the large quantity of records that would otherwise accumulate.
- Company records must be destroyed in a manner that is safe and appropriate to the content of the records and to the media on which the records are made. The Destruction of Company Records Practice establishes the parameters for complying with this requirement.
- Duplicate records, drafts and documents of short-term or transitory value, created, received or maintained by the Company generally have little or no business value and they should be disposed of in accordance with the Duplicate Records, Drafts and Documents of Transitory Value Practice.
- The Company will take all reasonable precautions and prudent actions to identify, retain, and safeguard records that are vital to Company operations.
- Privacy and security of Company records must be appropriately assured.

MONITORING

The Law Department will:

- Periodically review and, as necessary, revise this Policy as well as the associated schedule and practices to meet the Company's business needs, to

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comply with new laws and regulations, to include new Company records, and to eliminate any confusion about the interpretation or implementation of retention periods.

- Ensure the Policy, schedule and practices are published and/or distributed using formats, methods, and technologies appropriate to Company operations.
- Advise the Company about the interpretation and implementation of the Company's record retention policies, procedures, schedule, and guidelines.
- Provide employees with training required to understand and comply with the company's record retention Policy, schedule, and practices.
- Ensure that Company employees are promptly notified about records that must be retained for legal reasons.
- Monitor compliance with the Policy, schedule and practices, and with any directives that temporarily suspend the destruction of records for legal or other reasons.

The Owner of a Record is responsible for adhering to this policy for records in his/her custody or under his/her supervisory control and shall discard records when permitted by the Company's retention schedule, in accordance with the Company's Ownership of Records and Destruction Practices, except where destruction of specific records has been suspended for litigation, government investigation, audits, or other legal reasons, as provided above.

REPORTING/METRICS

The General Counsel, or his or her designee will report to the Board of Directors of American Water Works Service Company, Inc., when necessary, on the effectiveness of this Policy, any policy violations in the prior year and recommended revisions for the upcoming year.

CONSEQUENCE OF NON-COMPLIANCE

Employees who knowingly violate or circumvent this policy may be subject to disciplinary action up to and including termination of employment. Employees who are aware of or suspect any violations of this policy should immediately report such conduct to their supervisors, who will work with the Law Department to determine whether a problem exists and how it can be corrected.



WAIVER

Any deviation or waiver from or exception to this policy requires the prior approval of the General Counsel, or his or her designee. At the request of the operating unit where the records are maintained, the Company may authorize the extension of retention periods when circumstances warrant, including but not limited to:

- Where retention periods for the records are being reconsidered or revised.
- Where the records are needed for completion of audits, quality reviews, or other business operations that would normally have been completed within the designated retention period.
- Where the records are needed for exceptional and demonstrable business circumstances that were not foreseen at the time the retention periods were determined.

If an operating unit or employee disagrees with the prescribed retention period for a specific record series, a request for a revision to the retention schedule should be made to the Law Department. The request should include a brief description of the business operations that the records support and the reason why the prescribed retention period does not satisfy legal or operational requirements. Destruction of the records will be temporarily suspended while the need for a revision is considered.

REFERENCES

Record Retention Schedule

Duplicate Records, Drafts and Documents of Transitory Value Practice

Ownership of Records Practice

Destruction of Records Practice

Litigation Holds Practice

DEFINITIONS

“Company Records” means any and all recorded information that is created, received, or maintained by American Water in the course of Company business and that relate in any way to the Company’s organization, functions, operations, or activities,. This

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definition of Company records encompasses recorded information in all formats and media, including but not necessarily limited to:

- Paper documents, including office records created in connection with Company business
- Emails
- Photographic films and prints, including photographic negatives, motion picture films, and microfilm
- Computer files and databases stored on magnetic or optical media
- Audio recordings, including recordings of phone calls
- Video recordings.

This definition of Company records encompasses notes, working papers, and drafts of documents that are created, received, or maintained by American Water's employees in the course of Company business. This definition of Company records encompasses copies as well as original records. The status of copies, drafts, and documents of transitory value as Company records is addressed in the Duplicate Records, Drafts and Documents of Transitory Value Practice.

Exclusions: The following information-bearing objects are considered non-records and, as such, are specifically excluded from this policy:

- Books, periodicals, catalogs, and other publications or library materials acquired solely for reference purposes.
- Unused or undistributed stocks of Company publications
- Blank business forms
- Unused copies of form letters
- Unsolicited brochures, flyers, advertisements, mass mailings, email messages, or other records that are unrelated to Company business
- Personal papers of American Water employees

"Personal Papers" are defined as information-bearing objects of a private nature that pertain solely to an employee's personal activities and interests and that have no relation to the employee's assigned duties or to American Water's mission, goals, objectives, or business operations. Examples of personal papers include:

- Documents or computer files that were created by an employee before joining the Company and that were not used subsequently for American Water business.
- Documents or computer files relating to professional affiliations.
- Diaries, journals, and calendars that relate exclusively to personal appointments, activities, or other personal matters.
- Notes and correspondence unrelated in any way to Company business.
- Papers or computer files relating to volunteer work or community service that an employee may undertake without Company involvement.
- Family photographs.



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- Diplomas, training certificates, and citations unrelated to Company business.

Personal papers include electronic and photographic records as well as paper documents.

“Operating Unit” means each of the organizational groups within the Company including the regulated operations, the non-regulated operations, and the Corporate/Services group.

“Owner” means the American Water employee or operating unit that has the record in his/her/its custody or under his/her/its supervisory control.

“Record Series” refers to the classification and title of a record or group of records as listed in the Record Retention Schedule.

REVIEW/UPDATE

This Policy will be reviewed at least every three (3) years. American Water intends that its retention schedule be comprehensive and up-to-date. Operating units must notify the Law Department about records that are omitted from the Company’s retention schedule. Until the retention schedule is revised to include such unscheduled records, organizational units will continue to observe their established business practices for retention and destruction of the records.

The Company’s retention schedule will require periodic revisions to add or delete specific record series or to change retention periods. Employees should notify the Law Department when any of the following occurs:

- A new record series is created.
- A record series was overlooked when the Company’s retention schedules were prepared or last revised.
- The Company obtains a record series through a merger or acquisition.
- The Company’s retention schedules do not conclusively identify an existing record series.
- There is a change in the title for an existing record series.
- An existing record series has been divided into multiple series, each having different retention requirements.
- An existing record series has been combined with another record series that has a different retention period.
- A record series listed in the Company’s retention schedules has been discontinued.
- The retention period prescribed for a given record series is not clear.



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- Legal, regulatory or operational developments warrant reconsideration of retention periods.

All revisions to the Company's retention schedules will apply retroactively. If a revision decreases the retention period for a given record series, records that would have been kept under the old retention period should be destroyed at the earliest opportunity in conformity with the new retention rule.

Approved by: American Water Works Service Company, Inc. Board of Directors

Original Adopted: May 29, 2009
Revised Adopted: _____
Date of Last Review: _____
Effective Date: January 1, 2010
Prepared By: Law Department

Disclaimer

American Water reserves the right to change, revise or discontinue this Policy for any reason whatsoever. No employee, manager or other agent of American Water, other than the Service Company Board (and, if applicable, the executive having authority to approve this policy) has the authority to enter into any agreement contrary to this Policy.

This policy is not intended to create any contractual rights or duties and will be applied at the Company's sole discretion.

Employment with the Company is "at-will". That means that either you or the Company can terminate employment at any time, for any reason or no reason at all, with or without cause or notice.

Neither this policy nor any oral statement will create a right of continued employment. Any employment contract must be in writing and must be signed by the President of American Water, or his or her designee.

This Policy supersedes and voids all previous policies and practices, which may be inconsistent in any way with that stated herein.



Records Retention Schedule

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Administration		
<i>Common Records</i>		
E-mail of Extended-term Retention Value	All e-mail messages the content of which is directly related to and of material importance to any category of records appearing in this retention schedule. E-mail messages possessing such value should be maintained as is the documentation to which they relate and retained for the retention period assigned to that record category as specified herein. Employees are individually responsible for taking action to ensure that this occurs	Retain for the period specified herein
<i>Production Application:</i>		
<i>Legal Citations:</i>		
E-mail of Transitory Value	E-mail of short-term retention value as determined by users. This includes any and all e-mail messages the content of which is not required to support the company's position on matters of business importance. Further, such messages are not of material importance to ensure complete documentation of any category of records appearing in this retention schedule. Employees are individually responsible for deleting such e-mail daily	Destroy daily; retain maximum of 90 days
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Standard Operating Procedures	Published and approved documentation of standard operating procedures and instructions prescribing methods to be followed for research, development, testing, processes, and various tasks including job related, etc.	Until Superseded + 1
<i>Production Application:</i> SharePoint		
<i>Legal Citations:</i>		

Common Records Administration

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Organization Charts	These are master copies of official organizational charts of the company, showing its divisions, departments, and other subordinate units, as well as the managers and executives heading them.	Until Superseded + 3 Years
<i>Production Application:</i>		
<i>Legal Citations:</i>		
<i>Facilities</i>		
Certificates of Destruction – Recycling	Certificates of destruction received from shredding companies verifying recycled items were shredded. Certificates are attached to receipts	Current Year + 5
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Facility Equipment Records	Records retained on items of equipment subject to continual maintenance by facilities. The records show scheduled, periodic and preventative maintenance performed, as prescribed by the vendor/supplier. Operating and instruction manuals are also included	Life of Equipment
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Non-Plant Facilities - Construction Documents	Records related to the construction and remodeling of facilities; may include facility plans and drawings, planning studies, parking lot studies, mechanical and electrical sub-system layouts, specifications and architectural drawings	Life of Facility / Until Facility is Sold
<i>Production Application:</i> AutoCAD		
<i>Legal Citations:</i>		

Public Relations / Government Affairs

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Environmental Grant Records - Successful	These records document grants funded by the company for state / community-based environmental projects. The projects are related to watersheds, surface water and / or ground water supplies, and other environmental projects. The records consist of successful grant applications, reviews and approvals, and documentation of grant funding.	Life of Grant +6
<i>Production Application:</i>		
<i>Legal Citations:</i> Maryland: COMAR 26.03.06.12		
Environmental Grant Records - Unsuccessful	These are records documenting unsuccessful grant applications for grants funded by the company for state / community-based environmental projects.	Date of Application +2
<i>Production Application:</i>		
<i>Legal Citations:</i> : Maryland: COMAR 26.03.06.12		
Internal Communications	Materials associated with formal communications to employees. Note: This record series does not include Splash newsletters	Until Superseded + 10
<i>Production Application:</i>		
<i>Legal Citations:</i> NARUC 29; Illinois: 83 Ill. Adm. Code 615 Appendix A(51),(52),(72); New York: 16 NYCRR 733.15(29); Virginia: 20 VAC 5-300-40(29);		
Legislation Reference Materials	Documentation, analysis, and tracking of proposed, pending and final laws, rules and regulations in federal and state legislative bodies which affect the company's operations or business goals	Until Superseded
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Media Clippings	External media articles published about the company deemed to be of historical reference value	Permanent
<i>Production Application:</i>		
<i>Legal Citations:</i>		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Political Action Committee Records	Records related to donations made by state level political action committees to various campaigns	Current Year + 3
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 11 CFR 102.9; 11 CFR 104.14; New Mexico: 17.3.350.11 NMAC;		
Press Kits	These kits are distributed to public news organizations describing the company and its business activities. The records may include copies of press releases, white papers, and other related records	Until Superseded +1
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 18 CFR 125.3(42);		
Splash Newsletters	Newsletters chronicling major events and initiatives in the company, as well as employee news	Permanent
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Talking Points	Documentation of answers to be used by interviewees or for frequently asked questions to ensure consistent answers are provided by the company	Current Year + 5
<i>Production Application:</i>		
<i>Legal Citations:</i>		

Customer Relations*Call Centers - Non-Regulated*

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Client Contract Management Records	Documentation used to manage contracts with clients. The records consist of routine contract-required deliverables, periodic assessments of performance, and other related records	Expiration of Contract + 5
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Client Training – Regulatory Compliance	Records of training in regulatory compliance provided by the company to client personnel	Expiration of Contract + 5
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Customer Activation/Deactivation Records	Records related to entry of records of new customers into the company's systems, as well as the deactivation of former customers	Life of Customer Account + 7
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Customer Billing Records - Contract Operations	Records showing water consumption and other fee for service charges to customers. Also includes credit records and related customer billing information. The data resides in the company's call centers	Current Year + 7
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Customer Complaint Records	Complaints regarding water quality; records include field visit documentation, test results, resolutions and weekly and yearly summaries	Current Year + 5
<i>Production Application:</i>		
<i>Legal Citations:</i>		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Customer Relationship Management (CRM) System	Referred to as the "Current System," this is a customer relationship management system used to manage customer accounts over their active life. The data includes all orders received, annual program of services; prior orders, customer contacts/communications, cancellations, account/payment data, claims data, and other related records	Life of Account + 7
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Customer Service Scripts	Records consisting of scripted information used to execute telemarketing phone calls	Until Superseded + 5
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 16 CFR 310.5; Missouri: 407.1079 R.S.Mo.; West Virginia: W. Va. Code 46A-6F-304;		
Customer Services / Claims Reports	Show any operational data, i.e. costs, etc. The information is generated from the CRM system. Used for forecasting and trend analysis	Current Year + 5
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Customer Services Records	Recorded phone calls, enrollment forms, sales/cancellations, enrollment confirmations, customer correspondence, reconciliation reports, accounting items (deposit slips) and supporting documentation	Life of Account + 7
<i>Production Application:</i>		
<i>Legal Citations:</i>		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Homeowner Services Claim Files	Information on claims related repairs to water lines under protection plans of customers of Homeowner Services. These are repairs on connections to and within the home. Also includes reimbursement claims and copies of invoices along with other supporting documentation	Final Resolution + 7
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Homeowner Services Telemarketer Call Recordings	Voice recordings retained by third-party telemarketing vendor	Current Year + 2
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Telemarketing Reports	Internally produced monitoring reports in which conversations between customer representative and prospective customers are monitored. Reports show analysis of the calls and their results	Current Year + 3
<i>Production Application:</i>		
<i>Legal Citations:</i>		
<i>Call Centers - Regulated</i>		
Business Service Coordinators' Records	Records showing the activities of business service coordinators who resolve state and local operations issues needing immediate resolution across various departments. Issues may pertain to individual customer issues, service orders, and other day-to-day issues	Current Year + 7
<i>Production Application:</i>		
<i>Legal Citations:</i>		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Call Center Call Voice Recordings	Voice recordings of telephone calls with customers. The calls are stored offsite by the vendor for 30 days	30 Days
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Call Center Management Records	Records and data used to managing call traffic and routing and other activities of the call center representatives. Including time and attendance recordkeeping (official records are in JD Edwards), work schedules, and other related records	Current Year + 2
<i>Production Application:</i> Impact 360 System (formerly Blue Pumpkin)		
<i>Legal Citations:</i>		
CMS Annual Reports	Annual benchmarking reports used to measure performance of the call center. The Call Management System (CMS) is used to manage this function and generate the reports, which are used for trend analysis	Current Year + 3
<i>Production Application:</i>		
<i>Legal Citations:</i>		
CMS Daily Reports	Reports used to measure performance of the call center. The Call Management System (CMS) is used to track call data and has real-time and historical reporting functions. Reports are generated by intervals during the day and other time-based periods	Current Year + 2
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Computer System Outage Data	Data received during computer system outages and manually entered into various computer systems. Data is retained to verify information was correctly entered	Current Year
<i>Production Application:</i>		
<i>Legal Citations:</i>		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Consecutive Zero Readings / Estimates	Records generated from monthly readings of meters to ensure accuracy of water usage. Readings of zero serve as a baseline for the validation of the usage and the resulting billings	Current Year + 2
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Credit Refund Batch Records	DCPR sheets that are worked from credit refund batches. Any transfer information or paper issues that are received from customers (i.e. misapplied payments, disputing a bill). Batch reconciliation sheets that are SOX compliant. Also includes credit refund prints of batches (beginning and ending)	Current Year + 1
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Customer Billing Records	Records pertaining to all information necessary to compute bills for residential, commercial, large industrial users; including customer payment documentation, lockbox payments	Current Year + 10
<i>Production Application:</i> ECIS, IBM Baby 36		
<i>Legal Citations:</i> NARUC 50,52,55; Illinois: 220 ILCS 5/5-206; 220 ILCS 5/5-207; 83 Ill. Adm. Code 280.50; 83 Ill. Adm. Code 330.50; 83 Ill. Adm. Code 615 Appendix A(32-34),(37),(38), (40-42); 86 Ill. Adm. Code 510.135; Kentucky: 807 KAR 5:090; Maryland: COMAR 20.70.04.05; COMAR 20.75.04.05; Michigan: Michigan: MCL 205.67; MCL 205.104; MCL 205.104a; Mich. Admin. Code R 205.23; Missouri: 4 CSR 240-13.020; 10 CSR 60-15.010; New Jersey: N.J.A.C. 14:3-6.1; New Mexico: 17.5.410.25 NMAC; 17.12.720.20 NMAC; New York: 16 NYCRR Accounts (460),(461),(463-465),(467),(602),(621),(924); 16 NYCRR 733.15(50-52),(60); 20 NYCRR 47.3; Ohio: OAC Ann. 4901:1-15-14; OAC Ann. 4901:1-15-17; Pennsylvania: 52 Pa. Code 56.202; Tennessee: Tenn. Comp. R. & Regs. R. 1220-4-3-.05; Tenn. Comp. R. & Regs. R. 1220-4-3-.17; Texas: 30 TAC 35.202; 30 TAC 291.89; Virginia: 20 VAC 5-300-40(50),(51),(55),(60);		
Customer Complaints	Complaints regarding water quality; records include field visit documentation, test results, resolutions and weekly and yearly summaries	Current Year + 6
<i>Production Application:</i>		
<i>Legal Citations:</i> NARUC 24; Arizona: A.A.C. R14-2-411; A.A.C. R14-2-610; Illinois: 83 Ill. Adm. Code 600.170; 83 Ill. Adm. Code 615 Appendix A(61); Indiana: 170 IAC 6-1-17; 170 IAC 8.5-2-5; Iowa: 199 IAC 21.4 (476); Kentucky: 807 KAR 5:006; Maryland: COMAR 20.70.04.13; 4 CSR 240-13.040; 4 CSR 240-60.010; 10 CSR 60-3.030; New Jersey: N.J.A.C. 14:3-6.2; New Mexico: 17.9.594.13 NMAC; New York: 16 NYCRR 733.15(24),(25); Ohio: OAC Ann. 4901:1-15-33; Pennsylvania: 25 Pa. Code 109.701; 52 Pa. Code 65.3; Tennessee: Tenn. Comp. R. & Regs. R. 1200-5-1-.17; Tenn. Comp. R. & Regs. R. 1200-5-1-.20; Texas: 30 TAC 291.81; Virginia: 20 VAC 5-300-40(24-26); West Virginia: W. Va. CSR 150-5-4 4.2.1,4.8.1,4.9.2; W. Va. CSR 150-7-4 4.1.d;4.2.a,4.5.b,4.12.a;		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Customer Service Applications	Applications received from customer for initiation of service	Current Year + 2
<i>Production Application:</i>		
<i>Legal Citations:</i> NARUC 45; Illinois: 83 Ill. Adm. Code 615 Appendix A(35); Indiana: 170 IAC 6-1-15; 170 IAC 8.5-2-3; New York: 16 NYCRR 733.15(45); Virginia: 20 VAC 5-300-40(45);		
Daily Billing Packets	Evidence of work that has been processed for a specific day and serves as an integrity report for billing	1 Year
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Daily Work Orders - Duplicate Copies	Copies of field service work orders documenting installations performed for customers. The work orders themselves are duplicate copies, but the supporting documentation consists of materials used (i.e. parts) as well as quality feedback submitted to the call centers by customers	Current Year + 3
<i>Production Application:</i> Advantex		
<i>Legal Citations:</i> NARUC 50; Illinois: 83 Ill. Adm. Code 615 Appendix A(40),(41),(42); New York: 16 NYCRR 733.15(50),(51); Ohio: OAC Ann. 4901:1-15-14; Virginia: 20 VAC 5-300-40(50),(51);		
ECIS - Customer Master Records	Records used to establish and manage customer accounts in the Enterprise Customer Information System (ECIS) through their life cycle. Includes customer master files, deposits to initiate service, meter inventory data (installing, maintaining meters), and other related records	Life of Account + 7
<i>Production Application:</i>		
<i>Legal Citations:</i> NARUC 24,47; Illinois: 220 ILCS 35/6; 83 Ill. Adm. Code 280.70; 83 Ill. Adm. Code 615 Appendix A(36-38),(61); Indiana: 170 IAC 6-1-15; 170 IAC 8.5-2-3; Iowa: 199 IAC 21.4 (476); Kentucky: KRS 96.265; Maryland: COMAR 20.30.01.04; Missouri: 4 CSR 240-10.030 (1-8); 4 CSR 240-13.030; 4 CSR 240-13.040; New Jersey: N.J.A.C. 14:3-6.2; New Mexico: 17.5.410.25 NMAC; New York: 16 NYCRR 14.8; 16 NYCRR 510.1; 16 NYCRR 510.2; 16 NYCRR 733.15(24),(25),(46-49); Ohio: OAC Ann. 4901:1-17-03; OAC Ann. 4901:1-17-07; Pennsylvania: 52 Pa. Code 56.202; Tennessee: Tenn. Comp. R. & Regs. R. 1220-4-3-.15; Texas: 30 TAC 291.84; Virginia: 20 VAC 5-300-40(24-26),(46),(47); West Virginia: W. Va. CSR 150-2-13; W. Va. CSR 150-5-4 4.2.1,4.8.1,4.9.2; W. Va. CSR 150-7-4 4.1.d;4.2.a,4.5.b,4.12.a;		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
ECIS - Customer Transactional Data	Records used to document transactions respecting customer accounts in the Enterprise Customer Information System (ECIS). Includes customer contacts/communications (details of each telephone call; including letters), service/work orders, price history data used to calculate bills, customer billing and collections data, accounts receivable data, credit refunds and adjustments	Current Year + 7
<i>Production Application:</i>		
<i>Legal Citations:</i> NARUC 47; Illinois: 220 ILCS 35/6; 83 Ill. Adm. Code 280.70; 83 Ill. Adm. Code 280.135; 83 Ill. Adm. Code 602.60; 83 Ill. Adm. Code 615 Appendix A(40)-(46); New York: 16 NYCRR 14.3; Virginia: 20 VAC 5-300-40(46),(47);		
Executive Resolution Team Records	Records of investigations conducted by the Executive Resolution Team when a customer reaches or writes to a state president or executive directly; includes investigation records, account records, resolutions, senior management notes and customer correspondence	Final Resolution + 2
<i>Production Application:</i> Complaint Investigation Database		
<i>Legal Citations:</i>		
Liaisons Team Logs	Logs of issues between the customer service center and various state and local operations which are resolved by the liaisons team. Logs show the action taken and ultimate resolution	Current Year + 2
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Medical Certifications	Doctor signed certifications provided by customers stating they have a medical need requiring water service. Records also include verifications of validity	Current Year + 1
<i>Production Application:</i>		
<i>Legal Citations:</i> New Mexico: 17.5.410.25 NMAC;		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Municipality Bills	Records related to the billing and collection of payments for municipalities sewer bills. Payments to municipalities are made on daily or weekly basis. Records include calculations and payment history	Current Year + 7
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Notice Batch Sheets	Notice batches that have been processed and completed	1 Year
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Revenue Refunds (Annual Meter Advance Refunds)	Records documenting refunds to active customers at premises for installation of water meters and to developers for installation of water mains on behalf of the company	Expiration of Contract + 6
<i>Production Application:</i>		
<i>Legal Citations:</i> NARUC 45; New York: 16 NYCRR 733.15(45); Virginia: 20 VAC 5-300-40(45);		
Service Renewal Orders	Orders related to the installation of new lines to existing services due to age or disrepair; this might occur 60 years after initial installation	Current Year + 2
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Sewer Odor Complaints	Complaints from customers or the public concerning odors emanating from the sewer components of the system infrastructure	Current Year + 3
<i>Production Application:</i>		
<i>Legal Citations:</i> Missouri: 4 CSR 240-60.010; Ohio: OAC Ann. 4901:1-15-33; West Virginia: W. Va. CSR 150-5-4 4.2.1,4.8.1,4.9.2;		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Suspect Service Documentation	Documentation related to situations in which service has been disconnected to a home for non-payment, and then a short time later, a new request for service is made under another name. Documents include copies of leases used to verify the existence of a new customer at the residence to establish service or to refuse service due to fraudulent leases	Current Year + 2
<i>Production Application:</i>		
<i>Legal Citations:</i>		
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General		
Customer Feedback / Satisfaction Surveys	Surveys conducted to determine the level of satisfaction with company services, brand identity and company reputation, service quality. Surveys results are tied to the annual incentive plans and shared with regulators	Current Year + 10
<i>Production Application:</i>		
<i>Legal Citations:</i>		
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Customer Inquiries	Records of customer inquires and responses; including correspondence received from customers regarding their bills, statement or adjustment, cold (unsolicited) queries from potential customers, organization or institutions. Billing inquiries may be handled by the account resolution team (ART)	Current Year + 7
<i>Production Application:</i> ORCOM / ECIS		
<i>Legal Citations:</i>		
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Do Not Call (DNC) Lists	Records of existing and potential customers requests to be placed on the internal do not call (DNC) list	Current Year + 10
<i>Production Application:</i>		
<i>Legal Citations:</i> Arizona: A.R.S. 44-1278; New Jersey: N.J.A.C. 13:45D-3.9; N.J.A.C. 13:45D-3.10(a); N.J.A.C. 13:45D-3.10(b),(d);		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Service Termination Records	Records of customer service terminations with and without notice; including evidence of mailing of notices	2 Years
<i>Production Application:</i>		
<i>Legal Citations:</i> NARUC 48; Arizona: A.A.C. R14-2-410; A.A.C. R14-2-609; Illinois: 83 Ill. Adm. Code 280.138; 83 Ill. Adm. Code 615 Appendix A(36-38); Indiana: 170 IAC 6-1-16; 170 IAC 8.5-2-4; Missouri: 4 CSR 240-13.040; 4 CSR 240-13.050; New Mexico: 17.5.410.25 NMAC; New York: 16 NYCRR 733.15(48),(49); Pennsylvania: 52 Pa. Code 56.202; Virginia: 20 VAC 5-300-40(48),(49);		

Environmental

Above Ground Storage Tanks	Records related to the facilities and equipment for the storage of oil and other fuel products in above ground storage tanks; includes design and installation records, modifications, maintenance, inspections and monitoring of the tanks, reports and testing, and records related to their closure or removal from service	Life of Tank + 5
<i>Production Application:</i>		
<i>Legal Citations:</i> Maryland: COMAR 26.10.01.12; Michigan: Mich. Admin. Code R 29.5230; Missouri: 10 CSR 10-2.260; 10 CSR 10-5.220 (3); New Jersey: N.J.A.C. 7:1E-2.15; N.J.A.C. 7:1E-2.16; New Mexico: 20.5.9.921 NMAC; 20.5.4.401 NMAC; 20.5.5.15 NMAC; 20.5.5.17 NMAC; 20.5.5.19 NMAC; 20.5.5.401 NMAC; 20.5.5.501 NMAC; 20.5.5.503 NMAC; 20.5.5.504 NMAC; 20.5.5.9 NMAC; 20.5.6.25 NMAC; 20.5.6.603 NMAC; 20.5.6.604 NMAC; 20.5.6.606 NMAC; 20.5.8.14 NMAC; 20.5.9.911 NMAC; 20.5.9.921 NMAC; 20.5.9.971 NMAC; New York: 6 NYCRR 598.8; 6 NYCRR 598.10; 6 NYCRR 599.11; 6 NYCRR 599.16; 6 NYCRR 613.6; 6 NYCRR 614.12; Pennsylvania: 25 Pa. Code 245.516; 25 Pa. Code 245.552; 25 Pa. Code 245.554; 25 Pa. Code 245.561; 25 Pa. Code 245.615; Texas: 30 TAC 334.127; 30 TAC 334.130; Virginia: 9 VAC 25-91-40; 9 VAC 25-91-120; 9 VAC 25-91-130; 9 VAC 25-91-150; 9 VAC 25-91-200; 9 VAC 25-640-50; 9 VAC 25-640-170; Canada Federal: Storage Tank Systems for Petroleum Products and Allied Petroleum Products Regulations, SOR/2008-197 s. 27,33,37,40,43,44; New Brunswick: Petroleum Product Storage and Handling Regulation, N.B. Reg. 87-97, Part XIV s 234; Yukon Territory: Storage Tank Regulations, Y.O.I.C. 1996/194 s. 11; Storage Tank Regulations, Y.O.I.C. 1996/194 s. 14;		
Certificates of Approval – Site-specific	Certificates are issued by the Ontario Ministry of the Environment. They show legal descriptions of properties, methods of performing the application of the municipal biosolids. The records also include: site volume data; details concerning trucks handling biosolids at the site, and other related information	Expiration + 5
<i>Production Application:</i>		
<i>Legal Citations:</i>		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Certificates of Approval – System-wide	Global (non-site specific) certificates of approval issued by the Ontario Ministry of the Environment. They are annual program reports and contain summaries of work, volumes, soil analysis and testing, and other aspects of biosolids management	Current Year + 10
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Climatology Records	Records showing rainfall and other climate related occurrences that may impact company operations	Current Year + 5
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Consumer Confidence Reports (CCR)	Generated every year showing the analyses, results from particular plants for the entire year, arsenic level, contaminant levels for every water treatment plant	7 Years
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 40 CFR 141.155; Arizona: A.A.C. R18-4-710; California: 22 CCR 64483; 26 CCR 22-64483; Illinois: 35 Ill. Adm. Code 611.885; Indiana: 327 IAC 8-2.1-5; Kentucky: 401 KAR 8:075; Michigan: Mich. Admin. Code R 325.10415; Ohio: OAC Ann. 3745-96-04; Pennsylvania: 52 Pa. Code 56.202; Tennessee: Tenn. Comp. R. & Regs. R. 1220-4-3-.05; Tenn. Comp. R. & Regs. R. 1220-4-3-.17; Texas: 30 TAC 290.46; 30 TAC 290.274;		
Environmental Building Inspections	Inspections and testing and monitoring of buildings for the presence of asbestos, lead-based paint, solvents and air quality	Duration of Ownership
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 29 CFR 1910.1001(j)(2)(ii); California: 8 CCR 5208; Michigan: Mich. Admin. Code R 408.40121; New Jersey: N.J. Stat. 34:5A-12; Canada Federal: Canada Occupational Safety and Health Regulations s 10.19; Quebec: Occupational Health and Safety, O.C. 885-2001, 2001 G.O. 2, 3888, Div. VI s 48; Yukon Territory: Employment Standards Act, R.S.Y. 2002 s.62;		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Environmental Compliance Records	Compliance records relating to warning notices, notices of violations, consent orders, consent decrees, consent final judgments, administrative orders, citizen complaints. Generally includes agency correspondence, correction reports, status and completion reports, monitoring reports related to enforcement actions, agency inspections and audits, self-reporting of issues of concern	Current Year + 10
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 40 CFR 68.200; 40 CFR 122.44; 40 CFR 141.33; 40 CFR 141.405; 40 CFR 372.10(a); 40 CFR 372.10(b),(d); 40 CFR 372.27; Arizona: A.A.C. R18-4-103; California: 22 CCR 64453; 22 CCR 64470; 26 CCR 22-64470; Illinois: 35 Ill. Adm. Code 391.203; 35 Ill. Adm. Code 391.204; 35 Ill. Adm. Code 611.805; 35 Ill. Adm. Code 611.860; 327 IAC 8-2-20; Iowa: Iowa: 567 IAC 42.5 (455B); Kentucky: 401 KAR 5:065; Maryland: COMAR 26.04.01.21; Michigan: Mich. Admin. Code R 323.2190; Mich. Admin. Code R 325.11506; Missouri: 4 CSR 240-60.020; 10 CSR 60-4.055; 10 CSR 60-9.010; New Jersey: N.J.A.C. 7:1E-2.10; Ohio: OAC Ann. 3745-81-33; Pennsylvania: 25 Pa. Code 105.53; 25 Pa. Code 299.112; Tennessee: Tenn. Comp. R. & Regs. R. 1200-5-1-.20; Tenn. Comp. R. & Regs. R. 1200-5-1-.40; Texas: 30 TAC 290.46; Virginia: 4 VAC 50-60-460; 9 VAC 25-31-220; Canada Federal: Canadian Environmental Protection Act, 1999 s. 23; Canadian Environmental Protection Act, 1999 s. 170(7); Canadian Environmental Protection Act, 1999 s. 180(7); Ontario: Ontario Water Resources Act, R.S.O. 1990 s. 94;		
Environmental Compliance Reporting	Records used to report the status of compliance with environmental laws, regulations, and permits to U.S. federal, state, and local environmental regulatory authorities; generally includes correspondence, annual test reports, and Energy Information Administration reports, conservation activity reports, monthly operating reports (MOR), withdrawal reports, NDPES permit reports, water quality reports, chemical reports, right-to-know reports, Safe Drinking Water Act compliance reports, community surveys, hazardous materials, water allocation, diversion reports, treatment plant reports and all supporting documentation	Current Year + 10
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 40 CFR 68.58; 40 CFR 68.79; 40 CFR 70.6; 40 CFR 122.41; 40 CFR 141.603; 40 CFR 403.12; 40 CFR 501.15; 40 CFR 704.11; Arizona: A.R.S. 45-343; A.R.S. 45-566.01; A.R.S. 45-568.01; A.R.S. 45-632; A.R.S. 45-879.01; A.A.C. R18-9-D302; Illinois: 35 Ill. Adm. Code 201.246; 35 Ill. Adm. Code 201.407; 35 Ill. Adm. Code 225.410; 35 Ill. Adm. Code 225.510; 35 Ill. Adm. Code 611.923; Iowa: 567 IAC 42.4 (455B); Iowa: 567 IAC 42.5 (455B); Kentucky: 401 KAR 5:065; 401 KAR 8:020; 401 KAR 8:070; Maryland: COMAR 26.04.01.21; Missouri: 10 CSR 60-9.010; New Jersey: N.J.A.C. 7:1G-5.1; N.J.A.C. 7:1K-3.11; N.J.A.C. 7:1K-4.10; N.J.A.C. 7:14A-6.6; N.J.A.C. 7:11-3.21; N.J.A.C. 7:11-5.17; N.J.A.C. 7:27-22.19; N.J.A.C. 7:31-3.5; New York: 6 NYCRR 750-2.5; 6 NYCRR 750-2.8; Ohio: OAC Ann. 3745-50-48; OAC Ann. 3745-50-58; Pennsylvania: 27 Pa.C.S. 3118; 25 Pa. Code 109.701; 25 Pa. Code 109.1107; 25 Pa. Code 110.401; Tennessee: Tenn. Comp. R. & Regs. R. 1200-5-8-.10; Texas: 30 TAC 290.46; 30 TAC 290.115; Virginia: 4 VAC 50-60-430; 4 VAC 50-60-460; 9 VAC 25-31-190; 9 VAC 25-31-220; 9 VAC 25-32-80; 9 VAC 25-32-440; 9 VAC 25-110-80; 9 VAC 25-151-70; 9 VAC 25-151-80; 9 VAC 25-180-70; 9 VAC 25-196-170; 9 VAC 25-200-50; 9 VAC 25-210-90; 9 VAC 25-220-80; 9 VAC 25-610-130; 9 VAC 25-660-100; 9 VAC 25-670-100; 9 VAC 25-820-70; West Virginia: W. Va. CSR 47-10-5; Canada Federal: Environmental Emergency Regulations, SOR/2003-307 s.6; Ontario: Drinking Water Systems, O. Reg. 170/03 s 13(2);		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Environmental Inspection and Audit Records - Internal	Records of internal audits and inspections of systems, equipment, site assessment testing or other matters related to compliance with environmental policies and procedures	Current Year + 10
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Environmental Inspection Records - Regulatory	Inspections of federal and state environmental regulatory agencies. The inspections may be periodic or ad hoc, and are conducted for the purpose of determining compliance with regulatory requirements	Active + 10
<i>Production Application:</i>		
<i>Legal Citations:</i>		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Environmental Monitoring Records	Records showing data collected from environmental testing and monitoring devices from any pollution source (discharge into water, air, etc.), or the presence of potentially harmful substances in the workplace. Includes logs, measurements, calculations, performance tests, calibration/maintenance records and all strip chart recordings for continuous monitoring instrumentation, emissions monitoring, fugitive emissions and environmental excursion times collected from periodic and continuous monitoring devices and systems covering any permitted pollution source; records of occurrences and duration of any start-up, shutdown or malfunction in the operations of any source, etc., copies of required reports	Current Year + 10

Production Application:

Legal Citations: U.S. Federal: 40 CFR 60.7(b); 40 CFR 60.7(f)(1); 40 CFR 60.7(f)(2); 40 CFR 60.13; 40 CFR 61.13; 40 CFR 61.14; 40 CFR 63.1589; 40 CFR 70.4; 40 CFR 70.6; 40 CFR 122.41; 40 CFR 125.88; 40 CFR 141.601; 40 CFR 141.602; 40 CFR 141.722; 40 CFR 403.12; 40 CFR 501.15; Arizona: A.A.C. R18-9-A206; A.A.C. R18-9-D302; California: 8 CCR 5158; 22 CCR 66270.14; 22 CCR 66270.30; 23 CCR 2550.7; 23 CCR 2591; 27 CCR 20415; Illinois: 35 Ill. Adm. Code 201.263; 35 Ill. Adm. Code 201.301; 35 Ill. Adm. Code 201.407; 35 Ill. Adm. Code 225.410; 35 Ill. Adm. Code 225.510; 35 Ill. Adm. Code 225.550; 35 Ill. Adm. Code 232.450; 35 Ill. Adm. Code 611.921; 35 Ill. Adm. Code 611.922; 35 Ill. Adm. Code 611.1022; Indiana: 327 IAC 5-2-14; Iowa: 567 IAC 42.5 (455B); Kentucky: 401 KAR 5:057; 401 KAR 5:065; Maryland: COMAR 26.08.04.03; Michigan: Mich. Admin. Code R 323.2155; Mich. Admin. Code R 323.2161a; Mich. Admin. Code R 323.2190; Mich. Admin. Code R 323.2310; New Jersey: N.J.A.C. 7:14A-6.6; N.J.A.C. 7:14A-6.6; N.J.A.C. 7:14C-1.4; N.J.A.C. 7:27-16.16; N.J.A.C. 7:27-19.17; N.J.A.C. 7:27-21.7; N.J.A.C. 7:27-22.19; New York: NY CLS ECL 17-0815-a; 6 NYCRR 750-1.12; 6 NYCRR 750-2.5; 6 NYCRR 750-2.8; 16 NYCRR 503.4; Ohio: OAC Ann. 3745-3-03; OAC Ann. 3745-3-06; OAC Ann. 3745-50-48; OAC Ann. 3745-50-58; OAC Ann. 3745-81-23; OAC Ann. 3745-81-24; Pennsylvania: 25 Pa. Code 92.41; Tennessee: Tenn. Comp. R. & Regs. 1200-4-5-.07; Tennessee: Tenn. Comp. R. & Regs. R. 1200-5-1-.38; Tenn. Comp. R. & Regs. R. 1200-5-1-.39; Texas: 30 TAC 290.46; 30 TAC 319.7; Virginia: 4 VAC 50-60-430; 9 VAC 25-31-190; 9 VAC 25-31-840; 9 VAC 25-32-80; 9 VAC 25-110-80; 9 VAC 25-151-70; 9 VAC 25-180-70; 9 VAC 25-196-170; 9 VAC 25-210-90; 9 VAC 25-220-80; 9 VAC 25-610-130; 9 VAC 25-660-100; 9 VAC 25-670-100; 9 VAC 25-790-270; 9 VAC 25-820-70; 12 VAC 5-585-300; 12 VAC 5-585-370; West Virginia: W. Va. CSR 47-10-5; Canada Federal: Canadian Environmental Protection Act, 1999 s. 170(7); Canadian Environmental Protection Act, 1999 s. 180(7); Ontario: Confined Spaces, O. Reg. 632/05 s 21; Quebec: Regulation respecting mandatory reporting of certain emissions of contaminants into the atmosphere, R.Q. c. Q-2, r.3.3 s. 7; New Brunswick: Water Quality Regulation, N.B. Reg. 82-126 s 17; Quebec: Environment Quality Act, R.S.Q. c. Q-2, Ch. I, Div. IV.2 s 31.23; Occupational Health and Safety, O.C. 885-2001, 2001 G.O. 2, 3888, Div. XXVI s 30;

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Environmental Permits	Permits issued by environmental regulatory bodies permitting the discharge of wastes, pollutants or other regulated substances into the environment; may include the permit application, amendments and standard exemptions, calculation data used to prepare levels of emissions allowed for the duration of the permit, working papers, and correspondence. Permits may include NDPES permits, wastewater permits, discharge authorizations	Life of the Facility
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 40 CFR 122.21; 40 CFR 122.41; 40 CFR 125.88; 40 CFR 144.31; 40 CFR 501.15; Arizona: A.A.C. R18-9-A309; California: 22 CCR 66270.10; Illinois: 35 Ill. Adm. Code 225.410; 35 Ill. Adm. Code 225.510; 35 Ill. Adm. Code 702.124; Indiana: 327 IAC 5-2-3; 327 IAC 15-6-12; Kentucky: 401 KAR 5:060; 401 KAR 5:065; Michigan: MCL 324.3303; MCL 324.3308; Mich. Admin. Code R 323.3104; New Jersey: N.J.A.C. 7:14A-6.6; N.J.A.C. 7:13-8.2; N.J.A.C. 7:13-15.1; N.J.A.C. 7:14A-6.6; N.J.A.C. 7:14A-25.6; N.J.A.C. 7:14A-25.8; N.J.A.C. 7:27-8.20; N.J.A.C. 7:27-8.21; New York: NY CLS ECL 17-0815-a; Ohio: OAC Ann. 3745-50-39; OAC Ann. 3745-50-41; OAC Ann. 3745-50-48; OAC Ann. 3745-50-58; Pennsylvania: 25 Pa. Code 94.21; 25 Pa. Code 109.1107; Tennessee: Tenn. Comp. R. & Regs. 1200-4-5-.07; Virginia: 4 VAC 50-60-360; Virginia: 4 VAC 50-60-430; 9 VAC 25-31-100; 9 VAC 25-32-80; 9 VAC 25-201-75; 9 VAC 25-210-90; 9 VAC 25-220-80; 9 VAC 25-610-130; 9 VAC 25-660-100; 9 VAC 25-670-100; 9 VAC 25-820-70; West Virginia: W. Va. Code 36-8-21; W. Va. CSR 47-10-4; W. Va. CSR 47-10-5;		
Environmental Plans and Policies	Documentation of the organization's plans and policies relating to environmental management and compliance; may include manuals, corporate compliance plan, corporate environmental compliance plan, spill prevention and countermeasures plan, hazardous communications, environmental management plans, etc.	Until Superseded + 10
<i>Production Application:</i>		
<i>Legal Citations:</i> Arizona: A.A.C. R18-9-A204; Illinois: 35 Ill. Adm. Code 750.470; Indiana: 327 IAC 5-9-2; 327 IAC 15-6-7; Iowa: 567 IAC 41.2 (455B); Kentucky: 401 KAR 5:037; New Jersey: N.J.A.C. 7:1K-3.11; N.J.A.C. 7:1K-4.8; N.J.A.C. 7:1K-4.10; N.J.A.C. 7:14C-1.6; Tennessee: Tenn. Code Ann. 68-212-304; Tenn. Comp. R. & Regs. R. 1200-5-1-.37; Tenn. Comp. R. & Regs. R. 1200-5-1-.38; Texas: 30 TAC 290.121; 30 TAC 335.474; 30 TAC 335.480; Virginia: 4 VAC 50-60-460; Canada Federal: Environmental Emergency Regulations, SOR/2003-307 s.6; Canadian Environmental Protection Act, 1999 s. 59; Ontario: General - Waste Management, R.R.O. 1990, Reg. 347 s. 85(3); General - Waste Management, R.R.O. 1990, Reg. 347 s. 85(6);		
Environmental Remediation	Records related to environmental/waste clean-up and other remediation projects performed at single or multiple sites; typically includes judgments imposed by regulatory bodies concerning clean-up goals and objectives and targets for meeting them, and records showing analytical laboratory results of environmental monitoring and sampling	Permanent
<i>Production Application:</i>		
<i>Legal Citations:</i>		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Ground Water Monitoring Records	Ground water monitoring records of the analyses, evaluations, discharges. Also include inspection and test records, well registrations, well logs, annual reports, well maintenance and closure records, ground water appropriation permits	Permanent
<i>Production Application:</i>		
<p><i>Legal Citations:</i> NARUC 31; U.S. Federal: 40 CFR 141.601; 40 CFR 141.602; 40 CFR 141.722; Arizona: A.R.S. 45-600; A.R.S. 45-632; California: Cal Wat Code 13263.2; 22 CCR 66270.30; 22 CCR 67450.13; 23 CCR 2550.7; 23 CCR 2591; 27 CCR 20415; 27 CCR 20420; 27 CCR 20425; 27 CCR 21720; Illinois: 35 Ill. Adm. Code 310.634; 35 Ill. Adm. Code 611.921; 35 Ill. Adm. Code 611.922; 35 Ill. Adm. Code 611.1022; 83 Ill. Adm. Code 615 Appendix A(22),(23); Indiana: 327 IAC 5-2.1-7; 327 IAC 5-16-5; 327 IAC 15-6-7.3; 327 IAC 15-11-7; 327 IAC 15-13-22; Iowa: 567 IAC 42.5 (455B); Kentucky: 401 KAR 5:037; 401 KAR 5:057; 401 KAR 5:065; Maryland: COMAR 26.08.04.03; COMAR 26.08.08.03; Michigan: Mich. Admin. Code R 323.2155; Mich. Admin. Code R 323.2161a; Mich. Admin. Code R 323.2190; Mich. Admin. Code R 323.2310; Mich. Admn. Code R 325.1768; Mich. Admin. Code R 325.10719e; Missouri: 10 CSR 20-6.100; New Jersey: N.J. Stat. 58:10-23.11d13; N.J.A.C. 7:14A-6.6; N.J.A.C. 7:14A-6.6; N.J.A.C. 7:14C-1.4; New Mexico: 20.6.2.3107 NMAC; New York: 6 NYCRR 750-1.12; 6 NYCRR 750-2.5; 6 NYCRR 750-2.8; 16 NYCRR 503.4; 16 NYCRR 733.15(31); Ohio: ORC Ann. 1521.05; OAC Ann. 3745-3-03; OAC Ann. 3745-3-06; OAC Ann. 3745-50-48; OAC Ann. 3745-50-58; OAC Ann. 3745-81-23; OAC Ann. 3745-81-24; Pennsylvania: 25 Pa. Code 92.41; 25 Pa. Code 289.268; Tennessee: Tenn. Comp. R. & Regs. 1200-4-5-.07; Tenn. Comp. R. & Regs. R. 1200-5-1-.20; Tenn. Comp. R. & Regs. R. 1200-5-1-.38; Tenn. Comp. R. & Regs. R. 1200-5-1-.39; Texas: 30 TAC 290.46; 30 TAC 319.7; Virginia: 4 VAC 50-60-430; 9 VAC 25-31-190; 9 VAC 25-31-840; 9 VAC 25-32-80; 9 VAC 25-110-80; 9 VAC 25-151-70; 9 VAC 25-180-70; 9 VAC 25-196-170; 9 VAC 25-210-90; 9 VAC 25-220-80; 9 VAC 25-610-130; 9 VAC 25-660-100; 9 VAC 25-670-100; 9 VAC 25-790-270; 9 VAC 25-820-70; 12 VAC 5-585-300; 12 VAC 5-585-370; West Virginia: W. Va. CSR 47-10-5; Quebec: Groundwater Catchment Regulation, R.Q.c. Q-2, r.1.3 s.44; New Brunswick: Water Quality Regulation, N.B. Reg. 82-126 s 17; Water Well Regulation, N.B. Reg. 90-79 s 34; Yukon Territory: Solid Waste Regulations, Y.O.I.C. 2000/11 s. 10;</p>		

Hazardous Superfund Releases	Notifications to EPA of the identity, characteristics, quantity and origin of hazardous chemical release; includes RQ notifications under CERCLA 103	50 Years
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Production Application:

Legal Citations: U.S. Federal: 40 CFR 302.8;

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Hazardous Waste Treatment / Storage / Disposal Records	Records related to company compliance with environmental regulations pertaining to the discharge or other handling and disposal of hazardous wastes. Records may include manifests, inspection logs, test results, waste analysis, disposal passes, dumpster logs, drum and solid waste disposal, waste location records, landfill records, third party agreements, certifications, exceptions granted by regulatory authorities, 8700-12 reporting, empty container shipping records, hazardous materials transportation registration and certifications of registrations and other reports, monitoring and compliance records	Permanent
<i>Production Application:</i>		
<p><i>Legal Citations:</i> NARUC 43; U.S. Federal: 40 CFR 262.20; 40 CFR 262.23; 40 CFR 262.34; 40 CFR 262.40; 40 CFR 268.7; 40 CFR 372.10(a); 40 CFR 372.10(b),(d); 40 CFR 372.27; 49 CFR 107.620; 49 CFR 172.201; 49 CFR 172.205; Arizona: A.A.C. R18-8-262; California: Cal Health & Saf Code 25160.2; Cal Health & Saf Code 25244.21; 13 CCR 1161; 18 CCR 3020; 22 CCR 66262.23; 22 CCR 66262.40; 22 CCR 67100.3; 22 CCR 67450.11; 26 CCR 13-1161; Illinois: 35 Ill. Adm. Code 721.104(e); 35 Ill. Adm. Code 721.132(d); 35 Ill. Adm. Code 722.120; 35 Ill. Adm. Code 722.123; 35 Ill. Adm. Code 722.140; 35 Ill. Adm. Code 728.107; 35 Ill. Adm. Code 808.123; 35 Ill. Adm. Code 809.501; Indiana: 329 IAC 3.1-7-2; 327 IAC 7.1-3-3; Iowa: 567 IAC 149.7 (455B); Kentucky: KRS 224.46-510; 401 KAR 31:010; 401 KAR 32:040; 401 KAR 37:010; Maryland: COMAR 26.13.03.04; COMAR 26.13.03.05; COMAR 26.13.03.06; COMAR 26.27.01.08; Michigan: MCL 324.11135; MCL 324.11138; MCL 324.12103; MCL 324.12111; MCL 333.13726; Mich. Admin. Code R. 299.4114; Mich. Admin. Code R. 299.9304; Mich. Admin. Code R. 299.9306; Mich. Admin. Code R 299.9307; Missouri: 260.380 R.S.Mo.; 10 CSR 25-5.262; New Mexico: 20.7.3.809 NMAC; New York: NY CLS ECL 27-0905; 6 NYCRR 372.2; Ohio: OAC Ann. 3745-27-33; OAC Ann. 3745-51-04; OAC Ann. 3745-51-31; OAC Ann. 3745-52-20; OAC Ann. 3745-52-23; OAC Ann. 3745-52-34; OAC Ann. 3745-52-40; OAC Ann. 3745-270-07; Pennsylvania: 35 P.S. 6018.403; 25 Pa. Code 287.55; Tennessee: Tenn. Code Ann. 68-212-304; Texas: 30 TAC 334.496; 30 TAC 334.497; 30 TAC 335.9; 30 TAC 335.10; 30 TAC 335.13; 30 TAC 335.70; 30 TAC 335.326; 30 TAC 335.329; 30 TAC 335.510; 30 TAC 335.511; 30 TAC 335.513; Virginia: 9 VAC 25-32-550; Canada Federal: Interprovincial Movement of Hazardous Waste Regulations, SOR/2002-301 s. 4(7); Ontario: General - Waste Management, R.R.O. 1990, Reg. 347 s. 16(14)(5); General - Waste Management, R.R.O. 1990, Reg. 347 s. 17.2; General - Waste Management, R.R.O. 1990, Reg. 347 s. 18(6.1); General - Waste Management, R.R.O. 1990, Reg. 347 s.18(8),(9); General - Waste Management, R.R.O. 1990, Reg. 347 s.23(1); General - Waste Management, R.R.O. 1990, Reg. 347 s. 23(6); General - Waste Management, R.R.O. 1990, Reg. 347 s. 25(7),(8); General - Waste Management, R.R.O. 1990, Reg. 347 s.27(5),(6); General - Waste Management, R.R.O. 1990, Reg. 347 s. 84(6); General - Waste Management, R.R.O. 1990, Reg. 347 s. 85(3); General - Waste Management, R.R.O. 1990, Reg. 347 s. 85(6); Quebec: Hazardous Materials, R.Q. c. q-2, r.15.2, Sect. 1 to Schedule, Ch. II s 21; Yukon Territory: Contaminated Sites Regulation, Y.O.I.C. 2002, s.19;</p>		
Instrument Maintenance and Calibration	Records of maintenance and calibration of monitoring devices, stack testing equipment, lab equipment	Until Superseded + 10
<i>Production Application:</i>		
<p><i>Legal Citations:</i> Arizona: A.A.C. R9-14-616; California: 22 CCR 66270.30; Indiana: 327 IAC 15-6-7.3; 327 IAC 15-11-7; Kentucky: 401 KAR 5:065; Maryland: COMAR 26.08.04.03; New Jersey: N.J.A.C. 7:14A-6.6; N.J.A.C. 7:18-5.5; N.J.A.C. 7:27-22.19; N.J.A.C. 8:44-2.8; New York: 6 NYCRR 750-2.5; Ohio: OAC Ann. 3745-50-48; OAC Ann. 3745-50-58; Pennsylvania: 25 Pa. Code 92.41; 25 Pa. Code 252.306; Tennessee: Tenn. Comp. R. & Regs. 1200-4-5-.07; Tenn. Comp. R. & Regs. R. 1220-4-3-.27; Texas: 30 TAC 290.46; 30 TAC 291.89; 30 TAC 319.7; Virginia: 4 VAC 50-60-430; 9 VAC 25-31-190; 9 VAC 25-32-80; 9 VAC 25-110-80; 9 VAC 25-151-70; 9 VAC 25-180-70; 9 VAC 25-196-170; 9 VAC 25-210-90; 9 VAC 25-220-80; 9 VAC 25-610-130; 9 VAC 25-660-100; 9 VAC 25-670-100; 9 VAC 25-790-270; 9 VAC 25-820-70; West Virginia: W. Va. CSR 47-10-5;</p>		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Nuclear Measuring Device Test Records	Records of the performance of and the names of persons performing, testing, installing, servicing and removing from the installation radioactive material and its shielding or containment	3 Years After next leak test or Until sealed source is disposed
<i>Production Application:</i>		
<i>Legal Citations:</i> Illinois: 32 Ill. Adm. Code 330.220;		
PCB Annual Records and Document Log	Annual records including manifests, certificates of disposal, records of inspections/cleanups; annual document log including identification information and manifest numbers	3 Years After facility ceases using or storing PCBs
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Sludge Analyses	Analyses conducted on biosolids sludge waste	Current Year + 5
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 40 CFR 122.41;		
Toxic Chemical Release Reports	Records include toxic chemical release reports, compliance determination, and all supporting documentation	Current Year + 5
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 40 CFR 302.8; 40 CFR 372.10(a); 40 CFR 372.10(b),(d); Canada Federal: Canadian Environmental Protection Act, 1999 s.98(7);		
Underground Injection Wells - Monitoring Records	Monitoring information including calibration and maintenance records, all original strip chart recordings for continuous monitoring instrumentation, copies of all required reports, tracking documents, manifests	Current Year + 3
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 40 CFR 144.28; 40 CFR 144.51; Illinois: 35 Ill. Adm. Code 702.150; 35 Ill. Adm. Code 704.150;		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Underground Injection Wells - Operating Records	Records related to the operation of underground injection wells. Includes the nature and composition of all injected fluids (retention note: for EPA administered programs, the owner or operator shall continue to retain the records on composition of injected fluids after the three year retention period unless he delivers the records to the Regional Administrator or obtains written approval from the Regional Administrator to discard the records)	Life of Well + 3
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 40 CFR 144.28; 40 CFR 144.51; Illinois: 35 Ill. Adm. Code 704.150;		
Underground Storage Tanks	Documentation of underground storage tanks including testing, monitoring, calibration, maintenance and repair, release detection performance claims to calibration and maintenance schedules, operation and inspection records of cathodic protection, evidence of financial assurance mechanisms and sampling results	Permanent
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 40 CFR 280.11; 40 CFR 280.20; 40 CFR 280.31; 40 CFR 280.33; 40 CFR 280.34; 40 CFR 280.45; 40 CFR 281.111; Arizona: A.R.S. 49-1003; A.A.C. R18-12-211; A.A.C. R18-12-220; A.A.C. R18-12-231; A.A.C. R18-12-233; A.A.C. R18-12-234; A.A.C. R18-12-245; A.A.C. R18-12-301; California: Cal Health & Saf Code 25283.5; Cal Health & Saf Code 25292; Cal Health & Saf Code 25293; 18 CCR 1271; 23 CCR 2642; 23 CCR 2649; 23 CCR 2660; 23 CCR 2712; 23 CCR 2715; 23 CCR 2809.1; Illinois: 35 Ill. Adm. Code 732.308; 35 Ill. Adm. Code 734.425; 35 Ill. Adm. Code 732.614; 35 Ill. Adm. Code 734.665; 41 Ill. Adm. Code 170.460; 41 Ill. Adm. Code 170.480; 41 Ill. Adm. Code 170.490; 41 Ill. Adm. Code 170.530; 41 Ill. Adm. Code 170.540; 41 Ill. Adm. Code 170.550; 41 Ill. Adm. Code 170.660; 41 Ill. Adm. Code 170.780; Indiana: Ind. Code Ann. 13-23-12-5; 328 IAC 1-7-1; 329 IAC 9-1-1.1; 329 IAC 9-2-1; 329 IAC 9-3-1; 329 IAC 9-3.1-2; 329 IAC 9-3.1-4; 329 IAC 9-7-6; 329 IAC 9-8-21; 675 IAC 22-2.3-206; Iowa: 567 IAC 135.1 (455B); 567 IAC 135.3 (455B); 567 IAC 135.4 (455B); 567 IAC 135.5 (455B); 567 IAC 135.7 (455B); 567 IAC 135.12 (455B); 567 IAC 136.20 (455B); Kentucky: KRS 224.60-120; Maryland: COMAR 26.10.02.03-6; COMAR 26.10.03.08; COMAR 26.10.03.10; COMAR 26.10.04.01; COMAR 26.10.04.02; COMAR 26.10.04.04; COMAR 26.10.04.05; COMAR 26.10.05.06; COMAR 26.10.07.01; Michigan: Mich. Admin. Code R. 29.2115; Mich. Admin. Code R 29.2117; Mich. Admin. Code R 29.2119; Mich. Admin. Code R 29.2127; Mich. Admin. Code R 29.2168d; Mich. Admin. Code R 29.5230; Missouri: 10 CSR 10-2.260; 10 CSR 10-5.220 (3); 10 CSR 20-10.011; 10 CSR 20-10.020; 10 CSR 20-10.031; 10 CSR 20-10.033; 10 CSR 20-10.034; 10 CSR 20-10.045; 10 CSR 20-11.107; New Jersey: N.J. Stat. 58:10A-27; N.J.A.C. 7:1E-2.16; N.J.A.C. 7:14B-4.1; N.J.A.C. 7:14B-5.2; N.J.A.C. 7:14B-5.4; N.J.A.C. 7:14B-5.6; N.J.A.C. 7:14B-6.7; New Mexico: 20.5.9.921 NMAC; 20.5.14.10 NMAC; 20.5.14.11 NMAC; 20.5.4.400 NMAC; 20.5.5.15 NMAC; 20.5.5.17 NMAC; 20.5.5.19 NMAC; 20.5.5.401 NMAC; 20.5.5.501 NMAC; 20.5.5.503 NMAC; 20.5.5.504 NMAC; 20.5.5.9 NMAC; 20.5.6.606 NMAC; 20.5.9.911 NMAC; 20.5.9.921 NMAC; 20.5.9.971 NMAC; New York: 6 NYCRR 598.8; 6 NYCRR 599.6; 6 NYCRR 599.16; 6 NYCRR 613.4; 6 NYCRR 613.5; Ohio: OAC Ann. 1301:7-9-04; OAC Ann. 1301:7-9-05; OAC Ann. 1301:7-9-06; OAC Ann. 1301:7-9-07; OAC Ann. 1301:7-9-08; OAC Ann. 1301:7-9-16; Pennsylvania: 58 P.S. 456; 25 Pa. Code 245.421; 25 Pa. Code 245.422; 25 Pa. Code 245.432; 25 Pa. Code 245.434; 25 Pa. Code 245.435; 25 Pa. Code 245.441; 25 Pa. Code 245.446; 25 Pa. Code 977.23; Tennessee: Tenn. Comp. R. & Regs. R. 1200-1-15-.01; Tenn. Comp. R. & Regs. R. 1200-1-15-.02; Tenn. Comp. R. & Regs. R. 1200-1-15-.03; Tenn. Comp. R. & Regs. R. 1200-1-15-.04; Tenn. Comp. R. & Regs. R. 1200-1-15-.08; Tenn. Comp. R. & Regs. R. 1200-1-15-.09; Texas: 30 TAC 37.875; 30 TAC 334.8; 30 TAC 334.10; 30 TAC 334.43; 30 TAC 334.45; 30 TAC 334.46; 30 TAC 334.47; 30 TAC 334.48; 30 TAC 334.49; 30 TAC 334.50; 30 TAC 334.51; 30 TAC 334.52; 30 TAC 334.53; 30 TAC 334.54; 30 TAC 334.56; Virginia: 9 VAC 25-580-90; 9 VAC 25-580-100; 9 VAC 25-580-120; 9 VAC 25-580-180; 9 VAC 25-590-40; 9 VAC 25-590-160; Canada Federal: Storage Tank Systems for Petroleum Products and Allied Petroleum Products Regulations, SOR/2008-197 s. 27,33,37,40,43,44; New Brunswick: Petroleum Product Storage and Handling Regulation, N.B. Reg. 87-97, Part XIV s 231,233; Yukon Territory: Storage Tank Regulations, Y.O.I.C. 1996/194 s. 11; Storage Tank Regulations, Y.O.I.C. 1996/194 s. 14;		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Underground Storage Tanks - Closure Records	Underground storage tank permanent closure/change-in-service compliance records, closure site investigations	Permanent
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 40 CFR 280.34; 40 CFR 280.74; California: Cal Health & Saf Code 25293; 22 CCR 67450.13; Illinois: 41 Ill. Adm. Code 170.490; 41 Ill. Adm. Code 170.660; 41 Ill. Adm. Code 170.670; Indiana: 329 IAC 9-6-4; Iowa: 567 IAC 135.4 (455B); 567 IAC 135.15 (455B); Maryland: COMAR 26.10.10.05; Michigan: Mich. Admin. Code R 29.2119; Mich. Admin. Code R 29.2159; Mich. Admin. Code R 29.5229; Missouri: 10 CSR 20-10.034; 10 CSR 20-10.074; New Jersey: N.J.A.C. 7:14B-5.6; N.J.A.C. 7:14B-9.5; New Mexico: 20.5.5.19 NMAC; 20.5.8.14 NMAC; 20.5.8.804 NMAC; New York: 6 NYCRR 598.10; Pennsylvania: 25 Pa. Code 245.435; 25 Pa. Code 245.455; Tennessee: Tenn. Comp. R. & Regs. R. 1200-1-15-.07; Tenn. Comp. R. & Regs. R. 1200-1-15-.09; Texas: 30 TAC 334.54; 30 TAC 334.55; Virginia: 9 VAC 25-580-120; 9 VAC 25-580-350; Canada Federal: Storage Tank Systems for Petroleum Products and Allied Petroleum Products Regulations, SOR/2008-197 s. 44;		

Waste - Non-Hazardous	Records related to company compliance with environmental regulations pertaining to the discharge or other handling and disposal of non-hazardous wastes. The records many consist of service agreements with third parties, reports showing the status of discharge, handling or disposal, landfill records, and other related records	Current Year + 3
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Production Application:

Legal Citations: Illinois: 415 ILCS 5/21; 415 ILCS 5/22.01; 35 Ill. Adm. Code 733.139; Ontario: General - Waste Management, R.R.O. 1990, Reg. 347 s. 16(14)(5); General - Waste Management, R.R.O. 1990, Reg. 347 s. 17.2; General - Waste Management, R.R.O. 1990, Reg. 347 s. 18(6.1); General - Waste Management, R.R.O. 1990, Reg. 347 s.18(8),(9); General - Waste Management, R.R.O. 1990, Reg. 347 s.23(1); General - Waste Management, R.R.O. 1990, Reg. 347 s. 23(6); General - Waste Management, R.R.O. 1990, Reg. 347 s. 25(7),(8); General - Waste Management, R.R.O. 1990, Reg. 347 s.27(5),(6)

Federal Contracts

Annual Capital Plans – By Site	Records consisting of five-year capital plans, which are required by federal contracts. The plans are submitted annually during the life of the contract	Prime Contract Completion + 6
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*Production Application:**Legal Citations:*

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Certified Payrolls – Federal Contracts	Copies of payrolls from construction subcontracts, required by Federal Acquisition Regulations	Prime Contract Completion + 3
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 41 CFR 50-201.501; 48 CFR 4.705-2; 48 CFR 22.404-10; 48 CFR 52.222-4; 48 CFR 52.222-8; 48 CFR 52.222-41;		
Defense Contract Audit Agency Records	Audit reports, questions by the DCAA and company responses	Prime Contract Completion + 6
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Federal Capital Projects – By Site and Project	Capital projects documentation such as permits, correspondence, FRPs, subcontract awards, project tracking and other records documenting federal capital projects managed by the company	Prime Contract Completion + 6
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Federal Contracts – Prime	Copies of prime federal contracts, including supporting cost models	Prime Contract Completion + 6
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 48 CFR 52.214-26; 48 CFR 52.215-2;		
Federal Price Redetermination Records	Proposals and supporting documentation pertaining to redeterminations of pricing for federal contracts	Prime Contract Completion + 6
<i>Production Application:</i>		
<i>Legal Citations:</i>		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Federal RFPs and Company Responses – Awarded	Published solicitations from the U.S. government for which the company submits responding proposals. Also includes technical information developed in support of the proposals	Prime Contract Completion
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Federal RFPs and Company Responses – Not Awarded	Published solicitations from the U.S. government for which the company submits responding proposals. Also includes technical information developed in support of the proposals	Current Year + 3
<i>Production Application:</i>		
<i>Legal Citations:</i>		
G&A Calculation Documentation	Documentation pertaining to calculations of general and administrative expenses allowable under federal contracts	Prime Contract Completion + 6
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Insurance Certificates and Coverage Exemptions – Federal	Certificates from insurance carriers documenting management approval insurance exceptions, or extended insurance that remains in effect following completion of subcontracts	Prime Contract Completion + 6
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 48 CFR 52.228-5;		
Invoices – Federal Contracts	Invoices associated with services or supplies purchased in order to execute federal contract obligations. This retention rule applies to invoices associated with direct costs to the U.S. government. Also includes sales invoices and validation sign-offs	Prime Contract Completion + 6
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 48 CFR 4.705-1; 48 CFR 52.246-2;		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Lease Agreements – Federal	Third party agreements for the use of equipment. Also includes company leases of water tower space to telecommunications companies	Prime Contract Completion + 6
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Military Investment Management Committee Records	Approved project implementation plans, including capital project budget support, and related documentation	Prime Contract Completion + 6
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Monthly Reports – Federal Contracts	Reports documenting performance and other activity related to company obligations under federal contracts	Prime Contract Completion + 6
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Restricted Cash Support Records	Records related to calculation restricted cash under federal contracts	Prime Contract Completion + 6
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Small Business Reporting Records	Reports submitted to the Small Business Administration pertaining to federal contracts	Prime Contract Completion + 6
<i>Production Application:</i>		
<i>Legal Citations:</i>		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Subcontractor Agreements – Federal Contracts	Agreements with service providers or suppliers to perform specified work or provide equipment or supplies in support of federal prime contracts	Prime Contract Completion + 6
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Time Sheets – Federal Contracts	Records of time charged to federal contracts. Used for payroll processing	Prime Contract Completion + 6
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 48 CFR 4.705-2;		
Financial Management		
<i>Accounting - Non-Plant</i>		
1099s	Documentation regarding compensation paid to non-employees; includes reports and forms	Current Year + 7
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 26 CFR 1.6001-1; 26 CFR 31.6001-1; Revenue Procedure 98-25;		
Account Analysis Work Papers	Records used to analyze and support balances of various general ledger accounts	Current Year + 7
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Account Reconciliations	Reconciliations used to ascertain the accuracy of the accounts; may also include supporting documentation	Current Year + 7
<i>Production Application:</i>		
<i>Legal Citations:</i>		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Accounts Payable	Records showing the payment of invoices for goods and services by the company; typically includes voucher registers, vendor statements, vendor invoices, copies of checks, purchase orders, packing slips and other supporting documentation	Current Year + 7
<i>Production Application:</i> Image Now		
<i>Legal Citations:</i> U.S. Federal: 26 CFR 1.6001-1; Revenue Procedure 98-25; 29 CFR 516.6; 48 CFR 4.705-1		
Accounts Receivable	Records used to collect monies owed for goods and services rendered; typically includes copies of invoices and supporting papers serving as evidence of the goods and services rendered	Current Year + 7
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 26 CFR 1.6001-1; Revenue Procedure 98-25; 29 CFR 516.6; 48 CFR 4.705-1		
Bank Statements and Reconciliations	Statements from banks showing transactions against each account, plus reconciliations used to ascertain the accuracy of the account by statement period. Includes cancelled checks drawn on the accounts, investment account statements and other supporting documentation	Current Year + 7
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 26 CFR 1.6001-1; Revenue Procedure 98-25		
Cash Receipts	Records documenting the receipt of monies into company accounts; including balancing reports	Current Year + 7
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 26 CFR 1.6001-1; Revenue Procedure 98-25		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Charitable Contributions	These records document contributions of corporate funds for charitable causes as requested by employees or by the company's management. The records consist of requests for funding, evidence of tax status, reviews and approvals / denials, and documentation related to the disbursement and expenditure of the funds. These records also document information regarding employee contributions to charitable organizations (i.e. to United Way or Water for People).	Current year + 6
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 26 CFR 1.170A-13(a)(1); 26 CFR 1.170A-13(b)(1),(2); 26 CFR 1.170A-13(b)(3); Arizona: A.R.S. 42-1105; California: 18 CCR 1698; 18 CCR 4901; Illinois: 35 ILCS 5/501; 35 ILCS 5/913; 35 ILCS 620/7; Michigan: MCL 205.28; Mich. Admin. Code R 205.4103; Missouri: 144.640 R.S.Mo.; New Jersey: N.J. Stat. 54:10A-5.12; N.J. Stat. 54:10A-5.20; N.J. Stat. 54:10A-14.1; N.J.A.C. 18:2-7.3; New Mexico: N.M. Stat. Ann. 7-1-10; 3.1.5.8 NMAC; 3.1.5.15 NMAC; New York: 20 NYCRR 39.1; Ohio: ORC Ann. 324.05; ORC Ann. 5747.17; Texas: Tex. Tax Code 111.0041; Virginia: 23 VAC 10-20-90; Va. Code Ann. 58.1-102; 20 VAC 5-300-40; West Virginia: W. Va. Code 11-23-19; Germany: Tax Code, Sec. 33; Canada Federal: Income Tax Act s 230; Northwest Territories: Income Tax Act, R.S.N.W.T. 1988, c. I-1, Part II, s 44; Ontario: Corporations Tax Act, 1990, Part VI, s 94(1) and 97; Income Tax Act, 1990 Part III, s 39(1); Corporations Tax Act, 1990, Part VI, s 94(1) and 97; Quebec: Act Respecting the Minister of Revenue, Section 35		
Employee Expense Records	Records generated by employees in order to claim reimbursement for travel and other petty expenses they incur during the course of their work; includes p-card statements, copies of receipts and other supporting documentation	Current Year + 7
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 26 CFR 1.6001-1; Revenue Procedure 98-25		
Escheatable Property Records	Records documenting unclaimed monies or other assets and their disposition, based on the requirements of state escheat laws	Date of Filing + 10
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 26 CFR 1.6001-1; Revenue Procedure 98-25; State Requirements		
General Ledger	General and subsidiary ledgers, journals and books of account documenting the company's assets and liabilities	Current Year + 7
<i>Production Application:</i> JD Edwards		
<i>Legal Citations:</i> U.S. Federal: 26 CFR 1.6001-1; Revenue Procedure 98-25		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Journal Entries	Records showing adjustments to entries in the general ledger and other subsidiary books of account; includes all supporting documentation	Current Year + 7
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 26 CFR 1.6001-1; Revenue Procedure 98-25		
Revenue Backup	Part of journal entries, part of the system that creates revenue entries. It is similar to a subsystem of the accounting system	Current Year + 7
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Trial Balances	Statements of the debit and credit balances of the organization's financial accounts, created for the purpose of ascertaining their equality	Current Year + 7
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 26 CFR 1.6001-1; Revenue Procedure 98-25		
W-9s	IRS tax identification form filled out by vendors/contractors identifying type of organization, identification number and withholding information	Until Superseded
<i>Production Application:</i>		
<i>Legal Citations:</i>		
<i>Audit / SOX</i>		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Audit Reports - Internal	Reports containing findings and recommendations resulting from audits of internal company departments and business units. Also includes post-audit evaluations as to compliance with the audit findings and recommendations	Audit Completion + 7
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 18 CFR 125.3(4)(b); Arizona: A.A.C. R14-2-411; Illinois: 83 Ill. Adm. Code 615 Appendix A(20)(b); Iowa: 199 IAC 18.7(476); Michigan: Mich. Admin. Code R 460.2530(b); Missouri: 4 CSR 240-50.020; New Jersey: N.J.A.C. 14:9-5.1; New Mexico: 17.12.1.9 NMAC; New York: 16 NYCRR 733.15(8)(b); Pennsylvania: 52 Pa. Code 65.4; Virginia: 20 VAC 5-300-40 (8)(b); West Virginia: W. Va. CSR 150-3-2;		
Audit Work Papers - Internal	Work papers and other supporting documentation pertaining to audits of internal company departments and business units	Audit Completion + 7
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 18 CFR 125.3(4)(b); Arizona: A.A.C. R14-2-411; Illinois: 83 Ill. Adm. Code 615 Appendix A(20)(b); Iowa: 199 IAC 18.7(476); Michigan: Mich. Admin. Code R 460.2530(b); Missouri: 4 CSR 240-50.020; New Jersey: N.J.A.C. 14:9-5.1; New Mexico: 17.12.1.9 NMAC; New York: 16 NYCRR 733.15(8)(b); Pennsylvania: 52 Pa. Code 65.4; Virginia: 20 VAC 5-300-40 (8)(b); West Virginia: W. Va. CSR 150-3-2		
Audits - External Public Accounting Firm	These records document audit reports conducted by certified public accounting firms (i.e. Price Waterhouse); also includes supporting documentation	Permanent
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 18 CFR 125.3(4)(a); Arizona: A.A.C. R14-2-411; Illinois: 83 Ill. Adm. Code 615 Appendix A(20)(a); Iowa: 199 IAC 18.7(476); Michigan: Mich. Admin. Code R 460.2530(a); Missouri: 4 CSR 240-50.020; New Jersey: N.J.A.C. 14:9-5.1; New Mexico: 17.12.1.9 NMAC; New York: 16 NYCRR 733.15(8)(a); Pennsylvania: 52 Pa. Code 65.4; Virginia: 20 VAC 5-300-40 (8)(a); West Virginia: W. Va. CSR 150-3-2;		
Government Regulatory Audits	Records generated during company audits conducted by federal and state regulatory bodies including Utilities Commissions, the Department of Labor (DOL), the Office of Federal Contracts Compliance (OFCCP), and other government agencies. The records consist of requests for information, documentation in response to the Audit, submissions by the company in response to the Audit, audit findings, company exceptions or other communications, and resolution of the required actions.	Audit Completion +7
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 18 CFR 125.3(4); Arizona: A.A.C. R14-2-411; Illinois: 83 Ill. Adm. Code 615 Appendix A; (13); 83 Ill. Adm. Code 615 Appendix A(20) [25 YEARS]; Iowa: 199 IAC 18.7(476); Michigan: Mich. Admin. Code R 460.2530; Missouri: 4 CSR 240-50.020; New Jersey: N.J.A.C. 14:9-5.1; New Mexico: 17.12.1.9 NMAC; New York: 16 NYCRR 733.15(8),(9); Pennsylvania: 52 Pa. Code 65.4; Virginia: 20 VAC 5-300-40 (8),(9); West Virginia: W. Va. CSR 150-3-2		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Potential SOX Documentation	Documentation that is maintained in anticipation of use for SOX Testing	Current Year + 1
<i>Production Application:</i>		
<i>Legal Citations:</i>		
SAS-70 Audits	Audit reports prepared by external auditors pertaining to an audit of the company's control objectives and control activities, including controls over information technology and related processes	Audit Completion + 7
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 18 CFR 125.3(4)(a); Arizona: A.A.C. R14-2-411; Illinois: 83 Ill. Adm. Code 615 Appendix A(20)(a); Iowa: 199 IAC 18.7(476); Michigan: Mich. Admin. Code R 460.2530(a); Missouri: 4 CSR 240-50.020; New Jersey: N.J.A.C. 14:9-5.1; New Mexico: 17.12.1.9 NMAC; New York: 16 NYCRR 733.15(8)(a); Pennsylvania: 52 Pa. Code 65.4; Virginia: 20 VAC 5-300-40 (8)(a); West Virginia: W. Va. CSR 150-3-2		
Schedules of Aggregated Deficiency	Planning part of risk assessment consisting of questionnaires on deficiency analysis and also includes conclusions	Current Year + 7
<i>Production Application:</i>		
<i>Legal Citations:</i>		
SOX Internal Control Documentation	Records documenting the internal controls put in place in compliance with the Sarbanes-Oxley Act. The controls are designed to ensure the accuracy of financial and other data concerning operations and performance of company entities.	Current Year + 7
<i>Production Application:</i>		
<i>Legal Citations:</i>		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
SOX Self-Testing Records	Records documenting compliance with the internal controls institutes in conformance with the Sarbanes-Oxley Act. These records are related to self-tests conducted at the department/field level	Current Year + 3
<i>Production Application:</i>		
<i>Legal Citations:</i>		
SOX Testing Documentation	Documentation related to SOX-related testing conducted by internal and external auditors; including process flow charts, remediation trackers, KCOs (risk documents), test scripts and supporting documentation	Current Year + 7
<i>Production Application:</i> SharePoint		
<i>Legal Citations:</i>		
Special Investigations	Internal fact finding investigations conducted by Internal Audit but of a non-audit nature	Final Resolution + 7
<i>Production Application:</i>		
<i>Legal Citations:</i>		
TrendTech (Movaris)	SOX repository for financial controls descriptions, flow charts, 302 certifications completed by senior executives, controls evaluations completed by controls owners and questionnaires	Current Year + 7
<i>Production Application:</i> Movaris		
<i>Legal Citations:</i>		

Finance / Controller

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Bad Debts and Collections	Records related to past-due accounts showing monies owed the company but in arrears by the parties. Records consist of aged receivable reports, correspondence with the accounts and with collection agencies, bankruptcy filings, dunning or past due notices and other records documenting efforts to collect monies owed. Bad debt charge off information is system-entered via Data Center Processing Requests (DCPR). Also includes batch reconciliation sheets that are SOX compliant	Current Year + 7
<i>Production Application:</i> ECIS		
<i>Legal Citations:</i> U.S. Federal: 26 CFR 1.6001-1; Revenue Procedure 98-25		
Bank Account Records	Original bank account set up forms, signature cards, service requests, Certificates of Incumbency, and all supporting documentation	Until Superseded + 7
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Budgets - Departmental	Departmental budgets showing projected / approved expenditures and / or revenue projections by fiscal year.	Current Year + 1
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Budgets - Master Set	Consolidated master set of the organization's budgets, showing proposed / approved expenditure and / or revenue projections from all departmentns or cost centers.	Current Year + 3
<i>Production Application:</i>		
<i>Legal Citations:</i>		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Business Performance Reporting Packages	Records documenting the performance of various departments and business units of the company. The reporting packages show variance of actual results vs. planned and forecasted results and reasons/justification and corrective actions	Current Year + 7
<i>Production Application:</i>		
<i>Legal Citations:</i> NARUC 62;		
Business Plans and Presentations	Plans and presentations to the company's senior management and board of directors concerning strategic and tactical planning and recommended courses of action. Also includes client presentations	Current Year + 7
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Cash Management Records	Records used to manage the organization's cash accounts; generally includes cash analysis reports, cash ledgers/journals, and other related records	Current Year + 7
<i>Production Application:</i> Kyriba System		
<i>Legal Citations:</i> U.S. Federal: Revenue Procedure 98-25;		
Commercial Paper	Documentation related to the buying of commercial paper; include deal information and confirmations	Final Payment + 6
<i>Production Application:</i>		
<i>Legal Citations:</i>		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Consolidated Financial Statements and Subsidiary Financial Statements	Year-end annual statements showing the financial condition of the organization at various intervals and statements prepared by external public accounting firms. The external public accounting firm attest to the fact that the findings were derived in accordance with generally accepted accounting procedures	Permanent
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 26 CFR 1.6001-1; Revenue Procedure 98-25; NARUC 65(a);		
Debt Agreements / Payment Letters	Records containing information about the debt amount, lending terms, maturity and other aspects of a debt agreement	Maturity of Debt + 6
<i>Production Application:</i>		
<i>Legal Citations:</i> NARUC 4;		
Electronic Transfers	Outgoing wires and debit/credit electronic transfers, includes electronic disbursement requests, confirmation reports, and all supporting documentation	Current Year + 7
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Equity Investment Financial Information	Copies of financial statements to aid in analyzing business operations and the company's share of the earnings or loss of equity	Current Year + 10
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Executive Team / Board Reports	Reports to the company's executive team and board of directors of the status of issues related to business/financial planning and performance	Current Year + 7
<i>Production Application:</i>		
<i>Legal Citations:</i>		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Financial Reporting Packages / Financial Analysis	Records consisting of a wide variety of financial reports used to ascertain the financial status of the organization as a whole or specific segments thereof; includes workpapers, economic analyses, variance analyses, forecasts/projections, cash analysis reports, flux analysis - period over period	Current Year + 7
<i>Production Application:</i>		
<i>Legal Citations:</i> NARUC 61(a), 62;		
Fixed Assets	Records used to perform accounting operations relative to fixed or capital assets; includes depreciation schedules and other documentation showing the valuation of the assets over their depreciable life	Permanent
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 26 CFR 1.6001-1; Revenue Procedure 98-25;		
Guarantees	Documentation related to the guarantee of work being completed by the company	Project Completion + 5
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Internally-Generated Transaction Supporting Documents	Records consisting of work orders, purchase orders, bills of lading, invoices, packing slips and other transactions of internal company departments and business units	Current Year + 6
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Investment Reports - Internal	Reports summarizing investor contacts for each weekly reporting period. The reports are submitted to the company's senior management	Current Year + 1
<i>Production Application:</i>		
<i>Legal Citations:</i>		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Investor Communications	Records used to communicate the company's investment strategies to existing and potential investors. Shareholder.com is the vendor that supports this function	Current Year + 1
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Investor Presentations	Presentations made to existing and potential company investors. The presentations are in PowerPoint or other formats	Current Year + 3
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Letters of Credit	Documents from the bank saying if conditions are met then a third party can get money, similar to opening a bank account, if a project needs money but not done, the beneficiary can draw on the line of credit to get money	Expiration + 6
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Loan Agreements	Records used to administer external loan transactions in which the organization is a borrower or intercompany loans; typically includes applications, notes and other loan closing documents, payment/amortization schedules and other supporting documentation	Expiration of Agreement + 6
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Offering Documents	Documentation sent to investors to buy company debt or offering of bonds for sale	Current Year + 7
<i>Production Application:</i>		
<i>Legal Citations:</i>		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Original Actions Files	Files related to approvals to borrow or approval to open a bank account or to lend money. Approvals are received from utility commissions	Until Superseded + 6
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Surety Bonds	Bonds purchased from insurance companies in relation to capital projects	Retirement of Bond + 25
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Third-party Transaction Supporting Documents	Records consisting of work orders, purchase orders, bills of lading, invoices, packing slips and other transactions of third parties related to non-regulated company activities	Current Year + 6
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Treasury Work Station	Company cash records related to disbursements made and collections received. Also recordings of transactions, not copies of checks, specific data that is recorded and used to create journal entries before entering into JD Edwards. Information is backed up on servers	Current Year + 6
<i>Production Application:</i> Treasury Work Station		
<i>Legal Citations:</i>		
Payroll		
Education Assistance Reimbursements	Payroll and tax information related to the educational assistance program; may include requests, approvals, payments, periodic reports to ensure employees are not over the IRS limit and all supporting documentation	Current Year + 7
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 26 CFR 1.6001-1; Revenue Procedure 98-25; 26 CFR 31.6001-5; 29 CFR 1627.3(a)		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Employment Tax Documentation	Payroll and other tax documentation used to account for tax withholdings from employees' pay and/or prepare payroll tax filings for submission to the government; includes state and local payroll reports	Current Year + 7
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 26 CFR 1.6001-1; Revenue Procedure 98-25		
Payroll Deduction Authorizations	Forms signed by employees authorizing the deduction of a portion of their pay for specified purposes. Authorizations may include union dues, charity dues, credit unions, flexible spending accounts, employee stock purchase plan, direct deposit forms	Active + 3
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Payroll Garnishments	Orders from courts or other legal authorities requiring organizations to withhold a portion of the pay of employees for specified purposes	Expiration + 3
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 29 CFR 516.6		
Payroll Records	Payroll records showing the compensation of individual employees. Records typically include employee's name, address, social security number, birth date, occupation, compensation/basis which wages are paid, earnings records, additions to or deductions from employee's wages, total wages paid, dates, wage rate tables, labor distribution, work time schedules	Current Year + 10
<i>Production Application:</i> JD Edwards		
<i>Legal Citations:</i>		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Payroll Registers	Reports generated by the general ledger system showing receipts and disbursements for the organization's payroll accounts by pay period	Current Year + 7
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Time Keeping and Attendance Records	Time cards, attendance records and time control tracking used to record the daily attendance of employees for purposes of payroll administration; may also include vacation requests and tracking	Current Year + 7
<i>Production Application:</i> JD Edwards		
<i>Legal Citations:</i> Federal: 29 CFR 516.6; 29 USCS 1027; California: 8 CCR 11010; 18 CCR 3020; 22 CCR 1085-2; Cal Lab Code 1174; Cal Unemp Ins Code 1085; Georgia: GA. Code Ann. 34-2-11; GA. Code Ann. 34-4-5; Ga. Comp. R. & Regs. r. 300-2-6-.01; Illinois: 820 Ill. Comp. Stat. Ann. 105/8; 56 Ill. Adm. Code 280.140; 56 Ill. Adm. Code 300.630; Indiana: Ind. Code Ann. 22-1-1-15; Maryland: Md. Labor and Employment Code Ann. 3-424; Massachusetts: 455 CMR 2.06; Michigan: MCL 408.479; Minnesota: Minn. Stat. 177.30; Minn. Stat. 268.186; Missouri: 290.520 R.S.Mo.; New Hampshire: RSA 279:27; N.H. Admin. Rules, Lab 803.04; New Jersey: N.J. Stat. 34:11-4.6; N.J.A.C. 12:56-4.1; New York: 12 NYCRR 142-2.6; 20 NYCRR 2380.12; N.Y. Labor Law 195; North Carolina: 13 N.C.A.C. 12.0801; NCGS 95-25.15; Ohio: Ohio Rev. Code Ann. 4111.08; Ohio Rev. Code Ann. 4141.18; Oklahoma: O.A.C. 240:10-5-90; O.A.C. 710:90-1-11; Oregon: ORS 653.045; ORS 656.758; ORS 657.660; Or. Admin. R. 436-070-0040; Or. Admin. R. 839-020-0080; Tennessee: Tenn. Comp. R. & Regs. R. 0560-2-3-.10; Texas: 40 TAC 815.106; Washington: Rev. Code Wash. (ARCW) 49.46.040; WAC 296-17-35201; WAC 296-126-050; WAC 296-126-214; WAC 296-128-010; Wisconsin: Wis. Stat. 104.09; Wis. Adm. Code DWD 270.14; Wis. Adm. Code DWD 272.11; Wis. Adm. Code DWD 274.06;		
W-2s	Records of annual employee income and withholdings	Current Year + 7
<i>Production Application:</i>		
<i>Legal Citations:</i>		
W-4s	Forms filled out by employees for withholding purposes	Active + 6
<i>Production Application:</i>		
<i>Legal Citations:</i>		

Plant Accounting

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Account Reconciliations - Plant	Reconciliations used to ascertain the accuracy of utility plant accounts; may also include supporting documentation	Current Year + 7
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Accounts Payable - Plant	Records showing the payment of invoices for goods and services related to the operation of utility plants by the company; typically includes vendor statements, voucher registers, vendor invoices, copies of checks, purchase orders, packing slips and other supporting documentation	6 Years After Plant is Retired or Sold
<i>Production Application:</i> RVI		
<i>Legal Citations:</i> NARUC 15(a)(1);		
Construction Work in Progress Ledgers	Analysis or cost reports showing quantities of materials used, unit costs, number of man-hours, etc. May include work order sheets, authorization for expenditures for additions to utility plant, detailed estimated costs	6 Years After Plant is Retired or Sold
<i>Production Application:</i>		
<i>Legal Citations:</i> NARUC 31;		
Journal Entries - Plant	Records showing adjustments to plant accounting entries in the general ledger; provides detailed backup to auditors of capital accounts; typically includes workpapers, calculations, and all supporting documentation	Permanent
<i>Production Application:</i> PowerPlant		
<i>Legal Citations:</i>		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Plant Ledgers	Ledgers of utility plant accounts including land and other detailed ledgers showing the cost of utility plant by classes; generally includes depreciation calculations, depreciation analysis studies, and rate cases	6 Years After Plant is Retired or Sold
<i>Production Application:</i>		
<i>Legal Citations:</i> NARUC 30;		
Property Records - Plant	Fixed asset ledger of property in service, invoices used to pay contractors, land documents on land purchases, accepted into rate base and PUC property audits then accepted going forward	Permanent
<i>Production Application:</i> PowerPlant		
<i>Legal Citations:</i>		
Retirement Work in Progress Ledgers	Materials recovered and credits to utility plant accounts for cost of plant retirement	6 Years After Plant is Retired or Sold
<i>Production Application:</i>		
<i>Legal Citations:</i> NARUC 32;		
Tax		
B-Notices	IRS documents used to reconcile discrepancies on 1099s	Current Year + 3
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Daily RIA Updates / Documentation	Records showing all changes in property and general tax laws at the state and county levels throughout the U.S.	Until Superseded + 10
<i>Production Application:</i>		
<i>Legal Citations:</i>		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Divestiture Records - Tax	Records include IES filings and International Financial Reporting for RWE and ETR analysis	Divestiture + 10
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Federal, State and Canadian Income Tax Returns	Records of federal, state and Canadian income tax filings, all supporting documentation and work papers showing the details of all calculations. Also includes supporting schedules, analyses done in preparation of audits, memoranda supporting their position in the audit defense in conversation	Tax Filing + 10
<i>Production Application:</i> PowerTax		
<i>Legal Citations:</i> U.S. Federal: 26 CFR 1.6001-1; 26 CFR 31.6001-1; Revenue Procedure 98-25;		
Franchise Tax Returns	Documentation used to calculate or otherwise support franchise tax liability in jurisdictions where filings are required	Tax Filing + 10
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Gross Receipts Tax Returns	Documentation used to calculate or otherwise support gross receipts tax liability in jurisdictions where filings are required	Tax Filing + 10
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Letter of Tax Rulings	Determinations of tax liability resulting from administrative revenue adjudication	Tax Filing + 10
<i>Production Application:</i>		
<i>Legal Citations:</i>		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Payroll Tax Records	Records documenting the withholding of various taxes from employee payrolls as authorized by deductions. These are 940s either filed with or otherwise subject to audits by revenue authorities	Tax Filing + 10
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Property Renditions	Declarations of assets to state and county revenue authorities; they serve as the basis for personal property tax assessment	Tax Filing + 10
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Property Tax Returns	Copies of tax returns and supporting workpapers for jurisdictions where the company is liable for these taxes	Tax Filing + 10
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Sales and Use Tax Returns	All documentation used to calculate or otherwise support sales and use tax liability in jurisdictions where filings are required; includes licenses for certain business practices	Tax Filing + 10
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Sales Tax Exemption Certificates	Certificates issued by revenue authorities absolving the company from tax liability	Current Year + 10
<i>Production Application:</i>		
<i>Legal Citations:</i>		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
State and Federal Tax Audits	Requests and related correspondence with state and federal tax auditors, state and federal audit results, and resulting actions and decisions	Current Year + 10
<i>Production Application:</i>		
<i>Legal Citations:</i>		
State Annual Revenue Filings	Records of tax filings and all supporting documentation detailing all calculations	Current Year + 10
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Tax Base	Evaluation of the tax base of underlying assets which are the basis for determination of deferred taxes	Current Year + 10
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Tax Exempt Filings	Filings for municipal bonds; includes approval from the state or county for these filings	Current Year + 10
<i>Production Application:</i>		
<i>Legal Citations:</i>		

Health / Safety

Confined Space Permits	Documentation for entry into permit-required confined spaces (does not apply to construction)	Expiration + 1
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 29 CFR 1910.146; California: 8 CCR 5157; Ontario: Confined Spaces, O. Reg. 632/05 s 21;		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Employee Exposure Records	Information documenting the exposure of employees to various hazardous materials, chemicals, lead, asbestos or other substances in the workplace. Generally includes employee health related allegations arising from employment related exposure, medical monitoring records, medical surveillance data, and workplace monitoring records Note: These records may be referred to as Industrial Hygiene records	Life of Corporation
<i>Production Application:</i>		
<i>Legal Citations:</i> NARUC 27; U.S. Federal: 29 CFR 1910.120(f)(8)(i); 29 CFR 1910.1001(m); 29 CFR 1910.1020(d); 29 CFR 1910.1048(o); 29 CFR 1910.1025(n); 29 CFR 1910.1450; California: 8 CCR 3204; 8 CCR 5198; 8 CCR 5208; Indiana: Ind. Code Ann. 22-8-1.1-17.1; 620 IAC 1-1-16; Kentucky: 803 KAR 2:062; Maryland: Md. Labor and Empl Code Ann. 5-701; Michigan: Mich. Admin. Code R 325.3457; Mich. Admin. Code R 325.3458; Mich. Admin. Code R 325.51951; Mich. Admin. Code R 325.51952; Mich. Admin. Code R 325.51953; Mich. Admin. Code R 325.70111; New Mexico: N.M. Stat. Ann. 50-9-11; New York: NY CLS Labor 879; Ohio: OAC Ann. 3701-32-02 Appx 3701 Chapter 9; Pennsylvania: 34 Pa. Code 315.2; Virginia: 16 VAC 25-80-10; Ontario: Occupational Health and Safety Act, R.S.O. 1990, c.O.1 s 26;		
Employee Medical Records	Records documenting the condition/status of employees' health during their tenure with the company. Records typically include employee health status determined by medical personnel, medical and employment questionnaires/histories, results of medical exams and lab tests, medical opinions, diagnoses, descriptions of treatment and prescriptions and employee medical complaints	Duration of Employment + 40
<i>Production Application:</i>		
<i>Legal Citations:</i> NARUC 27; U.S. Federal: 29 CFR 1910.120(f)(8)(l); 29 CFR 1910.1020(d); 29 CFR 1910.1030(h), 29 CFR 1910.1450; California: 8 CCR 3204; Indiana: 620 IAC 1-1-16; Kentucky: 803 KAR 2:320; Michigan: Mich. Admin. Code R 325.3456; Mich. Admin. Code R 325.3458; Mich. Admin. Code R 325.70015; New York: 16 NYCRR 733.15(27),(28); Ohio: OAC Ann. 3701-32-02 Appx 3701 Chapter 9; Virginia: 16 VAC 25-80-10; 20 VAC 5-300-40(27),(28);		
Hot Work Permits	Permits for riveting, welding, flame cutting or other fire or spark-producing operations	Expiration + 1
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 40 CFR 68.85; California: 8 CCR 5189;		
Incident Response and Reporting Records	Records documenting responses to environmental or health and safety incidents or issues, or other reportable incidents	Current Year + 5
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 40 CFR 68.60; 40 CFR 68.81; California: 8 CCR 5189; Canada Federal: Canadian Environmental Protection Act, 1999 s. 203(7);		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Incident Response and Reporting Records - Contract Operations	Records documenting responses to environmental or health and safety incidents or issues, or other client reportable incidents	Life of Contract or 5 Years, whichever is later
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Material Safety Data Sheets	Material safety data sheets (MSDS) showing the presence and use of substances that may be related to employee health and safety	Until Superseded + 30
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 29 CFR 1910.1020(d); 29 CFR 1910.1200; California: Cal Lab Code 6386; 8 CCR 3204; 8 CCR 5194; Illinois: 820 ILCS 255/9; Iowa: 875 IAC 110.1 (88, 89B); Kentucky: 803 KAR 2:320; Maryland: Md. Labor and Empl Code Ann. 5-405; Michigan: MCL 408.1014a; Mich. Admin. Code R 325.3457; Mich. Admin. Code R 325.70109; New Jersey: N.J. Stat. 34:5A-12; N.J.A.C. 7:1E-4.2; N.J.A.C. 8:59-5.1; N.J.A.C. 12:100-7.2; New Mexico: N.M. Stat. Ann. 50-9-5.1; Pennsylvania: 34 Pa. Code 307.10a; Tennessee: Tenn. Code Ann. 50-3-2008; Tenn. Code Ann. 50-3-2015; Tenn. Comp. R. & Regs. R. 0800-1-9-.05; Tenn. Comp. R. & Regs. R. 0800-1-9-.11; Tenn. Comp. R. & Regs. R. 0800-1-9-.12; Texas: Tex. Health & Safety Code 502.005; Tex. Health & Safety Code 502.006; 25 TAC 295.5; Canada Federal: Canada Occupational Safety and Health Regulations s 10.3;		
Noise Exposure Records	Records related to the organization's noise abatement program. May include exposure measurement records, noise reduction initiatives, education and training and related records	Active + 10
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 29 CFR 1910.95; California: 8 CCR 5100; Michigan: Mich. Admin. Code R 325.60125; Canada Federal: Canada Occupational Safety and Health Regulations s 7.3; Quebec: Occupational Health and Safety, O.C. 885-2001, 2001 G.O. 2, 3888, Div. XV s 141;		
Noise Exposure Records – Audiometric Tests	Employee audiometric test results and related records	Duration of Employment
<i>Production Application:</i> ESS Database		
<i>Legal Citations:</i> U.S. Federal: 29 CFR 1910.95; California: 8 CCR 5100; Michigan: Mich. Admin. Code R 325.60125; Yukon Territory: General Safety Regulations, Y.O.I.C. 1986 s38;		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Occupational Injuries and Illnesses Records	Records and reports of accidents and illnesses related to employment in the workplace, OSHA 300 Logs, privacy case lists, annual summaries, OSHA 301 Incident Report forms, sharps injury logs, as required by the U.S. Occupational Safety and Health Administration. Documentation includes employee information, dates of injury or onset or illness, dates unable to work, description of how the injury or illness occurred	Current Year + 10
<i>Production Application:</i>		
<i>Legal Citations:</i> NARUC 65; U.S. Federal: 29 CFR 1904.4; 29 CFR 1904.30; 29 CFR 1904.33; 29 CFR 1904.44; California: 8 CCR 5193; 8 CCR 14300.33; Illinois: 820 ILCS 225/4; 820 ILCS 305/6; 820 ILCS 310/6; 56 Ill. Adm. Code 350.220; 56 Ill. Adm. Code 350.230; 56 Ill. Adm. Code 350.240; 56 Ill. Adm. Code 350.250; 83 Ill. Adm. Code 615 Appendix A(65),(69); Indiana: Ind. Code Ann. 22-3-4-13; Ind. Code Ann. 22-3-7-37; Ind. Code Ann. 22-8-1.1-43.1; Iowa: Iowa Code 86.11; Iowa Code 88.6; Kentucky: KRS 338.161; KRS 342.038; Maryland: Md. Labor and Employment Code Ann. 5-702; Md. Labor and Employment Code Ann. 5-703; COMAR 09.12.21.06; COMAR 09.12.21.10; Michigan: MCL 408.1061; MCL 418.805; Mich. Admin. Code R 325.70015; New Jersey: N.J. Stat. 34:6A-40; New Mexico: 11.5.1.16 NMAC; N.M. Stat. Ann. 50-9-19; New York: NY CLS Work Comp 110; NY CLS Work Comp 131; 16 NYCRR 733.15(65); Ohio: ORC Ann. 4123.28; OAC Ann. 4123-3-03; OAC Ann. 4123-19-03; Pennsylvania: 77 P.S. 995; Tennessee: Tenn. Comp. R. & Regs. R. 0800-1-3-.04 ; Tenn. Comp. R. & Regs. R. 0800-1-3-.06; Texas: Tex. Lab. Code 409.006; 28 TAC 120.1; 28 TAC 120.2; 28 TAC 120.3; 28 TAC 120.4; Virginia: Va. Code Ann. 65.2-900; 20 VAC 5-300-40(65); West Virginia: W. Va. Code 16-36-2; W. Va. Code 21-3A-8; W. Va. CSR 42-15-5; W. Va. CSR 64-82-5; W. Va. CSR 64-82-7; Canada Federal: Canada Labour Code, Occupational Health and Safety Regulations (SOR/86-304), Section 15.6(1); 15.7(1) and 15.11; Canada Labour Standard Regulations s 24(4); Canada Occupational Safety and Health Regulations s 15.7,15.11,16.13; New Brunswick: First Aid Regulation, N.B. Reg. 2004-130 s 7,10;		
Respirator Fit Test Records	Documentation of respirator fit testing and the respirator program	Until Superseded
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 29 CFR 1910.134; 29 CFR 1910.1048(o); California: 8 CCR 5144; Michigan: Mich. Admin. Code R 325.2442a; Ohio: OAC Ann. 4123:1-21-02;		
Safety Equipment Inspections	Documentation and certification records of safety equipment inspections; may include fire fighting equipment, fire extinguishers, safety shower and eye wash, ladders and platforms, emergency communication, etc.	Current Year + 5
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 29 CFR 1910.38; 29 CFR 1910.68; 29 CFR 1910.157; 29 CFR 1910.160; 29 CFR 1910.179; 29 CFR 1910.217; 29 CFR 1910.1200; 40 CFR 68.95; 40 CFR 721.125; California: 8 CCR 6151; 8 CCR 6175; 19 CCR 574.5; 19 CCR 594.5; 19 CCR 904.1; 19 CCR 904.2; Indiana: 675 IAC 18-1.4-22; 675 IAC 22-2.3-15; Michigan: Mich. Admin. Code R 29.1625; Mich. Admin. Code R 408.10911; Ohio: OAC Ann. 1301:7-7-06; OAC Ann. 4123:1-21-02; OAC Ann. 4123:1-21-06; Pennsylvania: 34 Pa. Code 50.55; 34 Pa. Code 50.57; 34 Pa. Code 50.61; 34 Pa. Code 50.62; 34 Pa. Code 50.63; Canada Federal: Canada Occupational Safety and Health Regulations s 17.9; Quebec: Occupational Health and Safety, O.C. 885-2001, 2001 G.O. 2, 3888, Div. VI s 48;		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Safety Inspection Records	Documentation associated with safety inspections at buildings/facilities and jobsites; also includes annual reviews based on the Toxic Catastrophe Prevention Act	Current Year + 10
<i>Production Application:</i>		
<i>Legal Citations:</i> West Virginal: W. Va. CSR 87-1-12; Canada Federal: Canada Occupational Safety and Health Regulations s 10.6;		
Safety Meter Inspection and Calibrations	Calibration and inspection records of different safety meter devices including explosimeters, CO monitors, EO monitors, smoke detectors, etc.	Current Year + 1
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Safety Plans and Procedures	Official copies of safety plans, policies and procedures developed to enhance safety in the workplace and ensure compliance with government safety laws and regulations; may include hazardous communications, emergency response plans, fire evacuation plans, fire prevention plans	Until Superseded + 10
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 29 CFR 1910.38; 29 CFR 1910.39; 20 CFR 1910.1200; 40 CFR 68.39; California: Cal Lab Code 6401.7; 8 CCR 3203; 8 CCR 3220; Illinois: 430 ILCS 45/4; Mich. Admin. Code R 408.10623; Mich. Admin. Code R 408.10624; Mich. Admin. Code R 408.41842; New Jersey: N.J.A.C. 7:1E-4.2; Ohio: OAC Ann. 3745-85-01; Pennsylvania: 25 Pa. Code 109.707; 34 Pa. Code 303.2; 34 Pa. Code 305.2; 34 Pa. Code 305.3; 52 Pa. Code 101.3; Tennessee: Tenn. Comp. R. & Regs. R. 1200-5-1-.34; Canada Federal: Canada Occupational Safety and Health Regulations s 11.12;		
Safety Records	Records documenting the safety condition of field facilities. The records consist of safety committee meeting minutes, near misses and other related records	Current Year + 5
<i>Production Application:</i>		
<i>Legal Citations:</i> California: 8 CCR 3203; Pennsylvania: 34 Pa. Code 129.1005; Tennessee: Tenn. Comp. R. & Regs. R. 0800-2-3-.08; New Brunswick: Occupational Health and Safety Act, S.N.B. 1983, c.O-0.2 s 14; Quebec: Health and Safety Committees, R.Q. c. S-21, r.6.1 Div. V s31;		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Safety Training Records	Documentation of safety training received by employees; typically includes laboratory operations, emergencies, noise, hazardous wastes, bloodborne pathogens, hazardous chemicals, asbestos and hazmat, Hazardous Materials Transportation HAZMAT Training Records	Life of Corporation

Production Application:

Legal Citations: NARUC 27; U.S. Federal: 29 CFR 1910.95; 29 CFR 1910.120 (Appendix E)(9); 29 CFR 1910.217; 29 CFR 1910.1001(m); 29 CFR 1910.1030(h); 49 CFR 172.704; Arizona: A.A.C. R9-14-616; California: 8 CCR 5193; 8 CCR 5208; Iowa: 875 IAC 3.22 (88, 89B); Kentucky: 803 KAR 2:200; Maryland: Md. Labor and Empl Code Ann. 5-503; Michigan: Mich. Admin. Code R 325.52129; Mich. Admin. Code R 325.52133; Mich. Admin. Code R 325.70015; Mich. Admin. Code R 325.70016; Mich. Admin. Code R 408.15119; New Jersey: N.J.A.C. 7:1E-2.12; N.J.A.C. 7:1E-2.15; N.J.A.C. 12:100-7.8; New York: 12 NYCRR 820.4; Pennsylvania: 34 Pa. Code 307.10a; Tennessee: Tenn. Code Ann. 50-3-2008; Tenn. Code Ann. 50-3-2015; Tenn. Comp. R. & Regs. R. 0800-1-9-.05; Tenn. Comp. R. & Regs. R. 0800-1-9-.11; Tenn. Comp. R. & Regs. R. 0800-1-9-.12; Texas: Tex. Health & Safety Code 502.009; 25 TAC 295.7; Canada Federal: Canada Occupational Safety and Health Regulations s 10.15,17.8; Ontario: Confined Spaces, O. Reg. 632/05 s 21;

Human Resources

ADA Compliance Records	Records pertaining to employees with disabilities and their accommodations under the Americans with Disabilities Act	Active + 3
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Production Application:

Legal Citations:

Affirmative Action Plans and Reporting	Plans, policies, reports and various documentation related to the affirmative action and equal employment opportunity programs; may include analysis records of HR activities and developments to demonstrate compliance with affirmative action requirements	Active + 5
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Production Application:

Legal Citations: U.S. Federal: 29 CFR 1607.4; 41 CFR 60-1.12; 41 CFR 60-3.4; Canada Federal: Employment Equity Act s 17; Employment Equity Regulations s 11, 12;

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Applicant Tracking Database	Database used for tracking applicants who have submitted resumes and applications	Current Year + 1
<i>Production Application:</i> People Click		
<i>Legal Citations:</i> U.S. Federal: 29 CFR 1627.3(b)1; 29 CFR 1602.14; 41 CFR 60-1.12;		
EEO-1 Reports	Employer information reports and supporting documentation submitted to the Equal Employment Opportunity Commission	Current Year + 5
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 29 CFR 1602.7; California: 2 CCR 7287.0;		
Employee Development Assessments	Records documenting the assessment of individual employees for the purpose of development planning, succession management, career pathing, etc. Records include test scores, assessment center results, reports, and all supporting documentation	Current Year + 5
<i>Production Application:</i> OCR		
<i>Legal Citations:</i> U.S. Federal: 29 CFR 1602.14		
Employee Information Database	Database tracking employee personal information, employment history, status and payroll information	Duration of Employment + 7
<i>Production Application:</i> JD Edwards		
<i>Legal Citations:</i> U.S. Federal: 29 CFR 1627.3(a); Arizona: A.A.C. R6-3-1702;		
Employee Manuals	Employee manual containing benefits of the corporation, personnel corporate policies and compensation	Until Superseded + 6
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 29 CFR 825.500;		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Employee Opinion Surveys	Surveys summarizing the opinions of employees concerning their views relative to a wide variety of organizational matters; includes records documenting the survey methodologies and individual questionnaires as well as a summary of the findings and management recommendations	Current + 2 Prior Surveys
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Employee Relations Records	Records related to the counseling of employees in work-related, personal, or substance abuse problems; may include employee allegations of misconduct or other employee issues and complaints. Records include, but are not limited to, supervisor's files, Human Resource Manager Files or other files regarding an employee separate and apart from the master set personnel file.	Duration of Employment + 5
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Employee Training Materials	Materials associated with employee training such as videos, manuals, product information, training software, audio tapes, working papers, etc.	Until Superseded
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Employee Training Records	Records documenting in-service training completed by employees, including that provided in-house and by external providers; typically includes attendance records, test scores, evaluations, correspondence and all supporting documentation	Current Year + 5
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 29 CFR 1602.14; 41 CFR 60-1.12; 41 CFR 60-250.80; 41 CFR 60-741.80; Arizona: A.R.S. 49-1083; A.A.C. R18-5-107; Illinois: 35 Ill. Adm. Code 680.807; Iowa: 567 IAC 81.14 (455B, 272C); Michigan: Mich. Admin. Code R 325.11915; Pennsylvania: 25 Pa. Code 252.304; Northwest Territories: Boilers and Pressure Vessels Regulations, N.W.T. Reg. 006-93 s. 53; Ontario: Certification of Drinking Water System Operators and Water Quality Analysts, O. Reg. 128/04 s 29; Drinking Water Testing Services, O. Reg. 248/03 s 13; Yukon Territory: Boilers and Pressure Vessels Act Regulations, Y.O.I.C. 1980_303 Part II s. 17;		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
External Discrimination Claims	Documentation pertaining to employee complaints of discrimination, retaliation, etc., received through external bodies, including but not limited to Equal Employment Opportunity Commission or state agency, including the complaints, responses, supporting documentation, resolutions, opinions, etc.	Final Resolution + 5
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 29 CFR 1602.7; 29 CFR 1602.14; 29 CFR 1602.21; Arizona: A.R.S. 41-1482; California: 2 CCR 7287.0; Iowa: 161 IAC 3.7; Kentucky: KRS 344.250; 104 KAR 1:030; Missouri: 8 CSR 60-3.010; Tennessee: Tenn. Comp. R. & Regs. R. 1500-1-.03; Texas: Tex. Lab. Code 21.301; Canada Federal: Canada Labour Code s 257;		
Family Medical Leave Act Records	Requests of individual employees who have exercised their rights to take extended leave from employment under the U.S. Family Medical Leave Act. Records typically include dates/hours of FMLA leave taken, copies of notices of leave, employer policies, premium payments of employee benefits, medical certifications, records of disputes	Active + 3
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 29 CFR 825.500; New Jersey: N.J.A.C. 4A:6-1.21B; Canada Federal: Canada Labour Standard Regulations s 24(2);		
Human Resources Related Audits	Audits conducted to ensure compliance with employment and labor laws (e.g., FLSA, I-9, compensation, etc.), including supporting documentation and results	Audit Completion + 3
<i>Production Application:</i>		
<i>Legal Citations:</i>		
I-9 Records	Forms documenting eligibility for employment as required by the U. S. Immigration and Naturalization Service	Duration of Employment + 1 or 3 Years From Date of Hire, whichever is later
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 8 CFR 274a.2(b)(2)(A);		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Immigration Records	Records of visa documentation, including but not limited to, visas, applications, supporting documentation, public access files, etc. (excluding I-9s or PERM documentation)	Duration of Employment + 1
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Leave Records - Annual	Records documenting the amount of annual sick and other leave available, requested, and taken for all employees	Duration of Employment + 3
<i>Production Application:</i>		
<i>Legal Citations:</i> California: Cal Lab Code 204.3; Illinois: 56 Ill. Adm. Code 280.140; 56 Ill. Adm. Code 300.520; 56 Ill. Adm. Code 300.630; Michigan: MCL 408.384a; Pennsylvania: 61 Pa. Code 113.8; Canada Federal: Canada Labour Code s 252; Canada Labour Standard Regulations s 24(2); New Brunswick: Employment Standards Act, S.N.B. 1982, c. E-7.2, Part IV s 60; Northwest Territories: Employment Standards Act, S.N.W.T. 2007, c. 13, Part 6 s 50; Labour Standards Act, R.S.N.W.T. 1988, c L-1, Part VI s 46; Ontario: Employment Standards Act, 2000, Part VI, s 15,15.1; Quebec: Registration System or the Keeping of a Register, R.Q. c. N-1.1 s 1; Yukon Territory: Employment Standards Act, R.S.Y. 2002 s.62;		
Performance Appraisal Administration	All documentation associated with the development and administration of the company's performance appraisals; may include surveys, statistical information, evaluation forms, instructions, etc.	Active + 5
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Permanent Residency Records	Records used to prepare and apply for permanent residency application, including recruitment reports, applications, evidence of recruitment responses, etc.	Date of Filing + 5
<i>Production Application:</i>		
<i>Legal Citations:</i>		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Personnel Files – Master Set	Records consisting of the official personnel files for all employees throughout the organization; typically includes applications, resumes, drug/alcohol testing, and other pre-employment documents, personnel status changes, correspondence, compensation, requests for reasonable accommodation, employee ethics training attendance acknowledgements, military leave forms, short term disability forms, disciplinary actions, annual performance reviews and exit interviews	Duration of Employment + 7
<i>Production Application:</i>		
<p><i>Legal Citations:</i> NARUC 27; U.S. Federal: 29 CFR 516.5; 29 CFR 825.500; 29 CFR 1602.14; 29 USCS 1059; 41 CFR 60-1.12; 41 CFR 60-4.3; 41 CFR 60-250.80; 41 CFR 60-741.80; 49 CFR 382.301(d)(2); Arizona: A.A.C. R20-5-1210; California: Cal Gov Code 12946; Cal Lab Code 1197.5; Cal Unemp Ins Code 1085; 8 CCR 11040; 8 CCR 11160; 22 CCR 1085-2; Illinois: 820 ILCS 105/8; 820 ILCS 112/20; 56 Ill. Adm. Code 320.140; 56 Ill. Adm. Code 2520.110; 83 Ill. Adm. Code 615 Appendix A(48),(49),(50); Ind. Code Ann. 22-4-19-6; Ind. Code Ann. 22-9-2-6; 646 IAC 3-10-1; Iowa: 871 IAC 22.1 (96); 875 IAC 216.2 (91D); 875 IAC 216.3 (91D); 875 IAC 216.6 (91D); Kentucky: KRS 341.190; 787 KAR 1:180; 803 KAR 1:066; Maryland: Md. Labor and Employment Code Ann. 3-305; Md. Labor and Employment Code Ann. 8-625; COMAR 09.12.02.02; Michigan: MCL 408.479; Mich. Admin. Code R 408.702; Mich. Admin. Code R 408.9009; Mich. Admin. Code R 421.115; Missouri: 290.520 R.S.Mo.; 8 CSR 60-3.010; New Jersey: N.J.A.C. 7:18-2.10; N.J.A.C. 8:44-2.6; N.J.A.C. 12:16-1.3; N.J.A.C. 12:16-2.1; N.J.A.C. 12:16-2.2; N.J.A.C. 12:56-4.1; New Mexico: 11.3.400.401 NMAC; N.M. Stat. Ann. 51-1-27; New York: NY CLS Labor 575; 12 NYCRR 142-2.6; 16 NYCRR 733.15(27),(28); Ohio: ORC Ann. 4111.08; ORC Ann. 4111.14; ORC Ann. 4141.18; OAC Ann. 4141-23-01; Pennsylvania: 43 P.S. 336.6; 43 P.S. 766; 34 Pa. Code 63.64; 34 Pa. Code 231.31; 61 Pa. Code 113.8; Tennessee: Tenn. Code Ann. 50-7-701; Tenn. Comp. R. & Regs. R. 1500-1-.03; Texas: Tex. Lab. Code 205.024; Tex. Lab. Code 301.081; 40 TAC 815.106; Virginia: Va. Code Ann. 60.2-114; 16 VAC 5-32-10; 20 VAC 5-300-40(27),(28); West Virginia: W. Va. Code 21-1-3; W. Va. Code 21-1B-4; W. Va. Code 21-5-9; W. Va. Code 21-5C-5; W. Va. Code 21A-10-4; W. Va. CSR 42-5-4; W. Va. CSR 42-8-4; W. Va. CSR 42-8-7; W. Va. CSR 42-8-8; W. Va. CSR 83-1-5; Canada Federal: Canada Labour Standard Regulations s 24(1),(2); Employment Equity Act s 17; Employment Equity Regulations s 11, 12; Employment Insurance Act s 87; Employment Insurance Regulations a 19; New Brunswick: Employment Standards Act, S.N.B. 1982, c. E-7.2, Part IV s 60; Northwest Territories: Employment Standards Act, S.N.W.T. 2007, c. 13, Part 6 s 50; Labour Standards Act, R.S.N.W.T. 1988, c L-1, Part VI s 46; Ontario: Employer Health Tax Act, R.S.O. 1990, c. E.11, s 12; Quebec: Non-Remunerated Workers, R.R.Q., 1981 s 4; Registration System or the Keeping of a Register, R.Q. c. N-1.1 s 1; Yukon Territory: Employment Standards Act, R.S.Y. 2002 s.62;</p>		
Position Descriptions / Classifications	Records used to describe all classified positions in the organization. Records define the duties, responsibilities and qualifications of the positions and levels of compensation as reflected on salary scales or wage rate tables. Also includes job analyses showing physical requirements for specific positions	Until Superseded + 3
<i>Production Application:</i>		
<p><i>Legal Citations:</i> U.S. Federal: 29 CFR 516.5; 29 CFR 1620.32; 29 CFR 1627.3(b)1; Illinois: 56 Ill. Adm. Code 2520.110; Maryland: Md. Labor and Employment Code Ann. 3-305; New Jersey: N.J.A.C. 7:1E-4.2; Pennsylvania: 43 P.S. 336.6;</p>		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Recruitment Records	All documentation related to job positions available within the company. Typically includes position approvals, hiring requisitions, position descriptions, job posting records, advertising, applications and resumes, interview notes, testing, reference and background checks, correspondence, drug/alcohol test results of applicants not hired	Current Year + 3
<i>Production Application:</i>		
<i>Legal Citations:</i> NARUC 27; U.S. Federal: 29 CFR 1602.14; 29 CFR 1607.4; 29 CFR 1627.3(b)1; 41 CFR 60-1.12; 41 CFR 60-4.3; 41 CFR 60-250.80; 41 CFR 60-741.80; 48 CFR 52.222-27; California: Cal Gov Code 12946; Illinois: 56 Ill. Adm. Code 2520.110; 83 Ill. Adm. Code 615 Appendix A(48),(49),(50); New York: 16 NYCRR 733.15(27),(28); Virginia: 20 VAC 5-300-40(27),(28);		
Relocation Records	Records relating to the relocation of employees from one community of work to another; may include relocation procedures, authorizations, records documenting expenses associated with the move and reimbursement	Current Year + 6
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 26 CFR 1.446-1; 26 CFR 1.6001-1; 26 CFR 1.6038A-3; Revenue Procedure 98-25; 26 CFR 31.6001-1; 26 CFR 31.6001-5; Iowa: 701 IAC 51.3 (422);		
Self-Identification Forms	Records used to comply with Canadian employment requirements. The records show the hiring status of legally protected groups, including minorities, persons with disabilities, and other protected groups. Note: This record series applies only to Canadian employees	Current Year + 7
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Service Award Records	Information related to employee recognition for years of service; may include correspondence, tracking information, notices to employees, gift selections, etc.	Current Year + 5
<i>Production Application:</i>		
<i>Legal Citations:</i>		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Staffing Headcounts	Internal reports showing new hires and terminations and other staffing issues	Current Year + 3
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Unemployment Compensation	Records related to employer funding of a program for payments to unemployed persons by state governments, unemployment claims and supporting documentation	Current Year + 6
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 26 CFR 31.6001-4; California: Cal Unemp Ins Code 1085; Illinois: 820 ILCS 405/1800; New York: 12 NYCRR 472.2;		
VETS-100 Reporting	Federal Contractor Veteran's Employment report (VETS-100) filed annually by nonexempt federal contractors or subcontractors with contracts or subcontracts for the furnishing of supplies and services or the use of real or personal property for \$25,000 or more. Reports show the number of special disabled veterans, veterans of Vietnam era and other protected veterans who served on active duty in the U.S. military, ground, naval or air service during a war or in a campaign or expedition for which a campaign badge has been authorized, other than special disabled veterans or veterans of the Vietnam era employed by the contractor or subcontractor	Current Year + 3
<i>Production Application:</i>		
<i>Legal Citations:</i>		
<i>Benefits / Compensation</i>		
Annual Incentive Plans (AIP)	Annual plans outlining the bonus structure and pay out on an annual basis. May include award calculation reports, verification calculation reports, overtime adjustment records and all supporting documentation	Current Year + 5
<i>Production Application:</i>		
<i>Legal Citations:</i>		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Benefit Plans	Plans describing the benefits provided to employees under various categories of benefits (i.e., health and dental insurance, pension plans, employee stock ownership, 401K and other saving plans, accidental death and dismemberment, etc.); may include benefit plan summaries required by ERISA and summary plan documents (SPD)	Life of Plan + 6
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 29 CFR 1627.3(b)2; 29 USCS 1027; 29 USCS 1059		
Benefits Center Calls	Documentation related to calls received by the Benefits Centers regarding questions about benefits from employees or retirees; includes birth certificates, tax returns and other supporting documentation	Permanent
<i>Production Application:</i> Clarify		
<i>Legal Citations:</i>		
Discrimination Test Results – Benefits	Testing of the 401k plan against the Internal Revenue Service (IRS) requirements to ensure the plan is applicable to all employees and all salaries	Current Year + 5
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Employee Benefit Files	Records related to employee benefits; typically includes beneficiaries, insurance coverage selected by employees, enrollment forms, payroll deduction authorizations, family status changes, letters, open enrollment materials, hardship withdrawal forms, contribution rate forms, distributions, mortgage loan forms, scholarship programs, matching gifts and savings plans	Duration of Employment / Final Payment of Benefits + 6
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 29 USCS 1027; 29 USCS 1059;		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Equity Pay Studies	Studies conducted to review the pay structure at the company to ensure equity among employees based on job skills, responsibilities	Current Year + 5
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Long-Term Incentive Plans	Incentive plans based on financial indicators with equity, includes executive plans. These plans are renewed every 3 years	Current Year + 5
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Mergers and Acquisitions – Benefit Documents	Benefit documents received from merged or acquired companies	Permanent
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Merit Process (Form 80)	Records related to the process for merit increases for employees based on parameters and performance evaluations applying to all non-union employees; includes signed copies and annual incentive awards	Current Year + 10
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Pension Calculations	Pension calculations for eligible employees and retirees; includes election forms	Permanent
<i>Production Application:</i>		
<i>Legal Citations:</i>		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Pension Monthly Reports	Monthly reports showing retirees actively receiving a pension; listing retirees' demographic information, gross pension, taxes and health and life insurance deductions	Current Year + 5
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Pension Plan Regulatory Compliance Filings	Official copies of Form 5500 that are filed with the federal government under Employees' Retirement Income and Security Act requirements; shows the financial viability of the company's pension plan as well as compliance with regulations authorizing it	Life of Plan + 6
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 29 USCS 1027; 29 USCS 1059;		
Pension Valuation Reports	Reports received from actuaries showing the pension expense and viability for the company	Current Year + 20
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Retirement Committee Records	Records related to the board of directors delegated committee responsible for reviewing investments made with retirement funds in trust accounts. The committee is the trustee for the retirement funds and manages the funds. Also includes records of any retirement appeals made by employees or retirees	Permanent
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Retirement Plan Investment Management Records	Records related to reviews of investment performance of company retirement funds, studies of investment strategies, and other related records	Current Year + 10
<i>Production Application:</i>		
<i>Legal Citations:</i>		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Retirement Trust Statements	Statements showing asset values, investment values, performance management, transactions; also includes 401k performance type reviews and consultant reports. Note: This is not the actuarial report	Current Year + 10
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Salary Surveys	Records related to participation in third party salary surveys or the creation and implementation of their own salary survey	Current Year + 1
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Service Contract Act Records	Wage determinations to ensure that compensation is in accordance with wage requirements of the Service Contract Act	Current Year + 7
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Labor Relations		
Labor / Employment Case Decisions / Judgments	Final decisions or judgments in labor / employee cases	Permanent unless Superseded
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Labor / Employment Cases	Records related to discrimination claims, unfair labor practices, NLRB and other labor-related employee claims	Final Resolution + 10
<i>Production Application:</i>		
<i>Legal Citations:</i>		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Labor Arbitration Cases	Labor disputes that are resolved by arbitration. The records consist of background investigative documents, analysis of the issues, hearing notices, findings and transcripts.	Final Resolution + 10
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Labor Arbitration Final Decisions/Judgments	Final decisions or judgments in Labor Arbitration Cases.	Permanent unless superseded by the union contract
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Union Contracts	Contracts and agreements executed between the organization and the labor unions representing its employees; may include collective bargaining agreements, benefits negotiations, memorandum of understanding and supporting documentation related to negotiations relative to the terms of the contracts or agreements	Current + 4 Prior Versions
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 29 CFR 516.5; 29 CFR 1620.32;		
Union Grievances	Records consisting of formal complaints of unions or their membership relative to alleged violations of the terms of collective bargaining agreements	Final Resolution + 3
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Union Meeting Management Minutes	Minutes of meetings held by union management and attended by company representatives	Current Year + 3
<i>Production Application:</i>		
<i>Legal Citations:</i>		

Business Process / Sub-Process**Record Series Name****Record Series Description****Retention Period****Information Technology**

Record Series Name	Record Series Description	Retention Period
Access Control Logs	Logs of remote access	Current Year + 5

*Production Application:**Legal Citations:*

Backup Schedules	Schedules showing what is being backed up and the backup frequency	Until Superseded + 1
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*Production Application:**Legal Citations:*

Computer System / Network Logs	Logs of system network activity used to track employee network usage, attacks on the network and to identify the systems that were touched and where the attack originated. Logs also include firewall logs, intrusion detection logs and network monitoring logs	45 Days
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*Production Application:**Legal Citations:*

Content Filter Logs	Logs used to monitor Internet usage	60 Days
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*Production Application:**Legal Citations:*

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
ECIS - System Management Data	Records used to manage the Enterprise Customer Information System (ECIS). Includes data logs, journals of system events/changes, data transfer logs, event logs, and other related records	1 Year
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Information Technology Investigations	Documentation of computer investigations as directed by Legal or Human Resources	Final Resolution + 5
<i>Production Application:</i>		
<i>Legal Citations:</i>		
IT Core Infrastructure Records	Infrastructure inventories showing the number of circuits connecting all properties and inventories on various servers within the organization for warranty information	Until Replacement
<i>Production Application:</i>		
<i>Legal Citations:</i>		
IT Development Projects	Project management documentation related to the initial business request for technology, solicitation or development of the technology, implementation and the post-implementation period (warranty period). Includes business case documents, cost justifications, project approval documents, project status updates and all supporting documentation	Project Completion + 5
<i>Production Application:</i>		
<i>Legal Citations:</i>		
IT Systems Documentation	Documentation supporting computer system application including programs, screens, etc. The records consist of the technical manuals for each application	Life of System
<i>Production Application:</i>		
<i>Legal Citations:</i>		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Standard Operating Procedures - IT	Published and approved documentation of standard operating procedures and instructions prescribing methods to be followed for research, development, testing, processes, and various tasks including job related, etc.	Until Superseded + 1
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Telecommunication Network Diagrams	CAD drawings of the complete internal telecommunications fiber and optic cable by location and capacity	Life of System
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Legal		
Acquisition Records	Records related to the acquisition of companies by purchase or merger. Records typically include "due diligence" documents used to analyze the proposed transactions, agreements, closing papers and other supporting documentation	Permanent
<i>Production Application:</i>		
<i>Legal Citations:</i> NARUC 37; Illinois: 83 Ill. Adm. Code 615 Appendix A(29-31); New York: 16 NYCRR 733.15(37); Virginia: 20 VAC 5-300-40(37);		
Acquisitions - Non-consummated	These are records related to the acquisition of companies for which closing did not occur. The records consist of legal, financial, and business analysis of the acquisition prospects, as well as other due diligence documentation.	Active + 5
<i>Production Application:</i>		
<i>Legal Citations:</i>		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Bankruptcy Records	Legal court documents that pertain to each bankruptcy filing for residential and commercial accounts. To include but not limited to actuals, dismissals, discharges and notices	Final Resolution + 7
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Deal Documents - Working Papers	Records consisting of working documents pertaining to both exempt/non-public offerings and tax exempt public offerings	Current Year + 7
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Deal Documents (Final) - Exempt / Non-Public Offerings	Records consisting of financings of the company where purchasers are accredited	Permanent
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Deal Documents (Final) - Tax Exempt Public Offerings	Public offerings that are not registered under the 1933 Securities and Exchange Act	Permanent
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Delegations of Authority	Documents executed by senior executives to empower other company officials to conduct certain specified duties for predefined periods of time	Until Superseded + 3
<i>Production Application:</i>		
<i>Legal Citations:</i>		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Divestiture Records	Records pertaining to business entities which separate from the company. The records document the terms and conditions of the separation and the status of the assets and liabilities at the time of the divestiture	Permanent
<i>Production Application:</i>		
<i>Legal Citations:</i> NARUC 37; Illinois: 83 Ill. Adm. Code 615 Appendix A(29-31); New York: 16 NYCRR 733.15(37); Virginia: 20 VAC 5-300-40(37);		
Farm Property Leases	Lease agreements executed with local farmers who use company land for purposes of agricultural production	Life of Lease + 3
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Initial Public Offerings – Due Diligence Records	Documents created to support the requirements of third parties in the IPO process. The records consist of eight categories of documents: environmental, human resources, corporate, contracts, intellectual property, real property, financial, and miscellaneous. The scope of the due diligence extends to all subsidiaries in each of the eight categories	Current Year + 7
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Intellectual Property Assets - Patents	Records granting monopoly rights to produce and sell products and/or processes for the life of the patent. Records consist of patent applications, registered patents and supporting documentation	Permanent
<i>Production Application:</i>		
<i>Legal Citations:</i>		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Intellectual Property Assets - Trademarks	Records related to the legal management of trademarks (words, symbols, etc., used to distinguish specific company products/services) as intellectual property. Generally includes applications, registration records and supporting documentation	Permanent
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Legal Opinions	Analysis of legal issues and opinions of counsel as to appropriate courses of action from both legal and business perspectives	Resolution of Issues Related to Opinion + 5
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Litigation Cases	Records relating to lawsuits involving the company as a party. The records consist of pretrial discovery documents, briefs, pleadings, motions, orders and transcripts.	Final Resolution + 5
<i>Production Application:</i>		
<i>Legal Citations:</i> Illinois: 83 Ill. Adm. Code 615 Appendix A(71);		
Outside Counsel Files	Records pertaining to the use of counsel in outside law firms for assistance in various legal matters; may include firm materials, surveys, bills, etc.	Active + 5
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Permits	Government issued permits for occupation/use, construction and operation/maintenance of facilities owned or operated by the company	Permanent
<i>Production Application:</i>		
<i>Legal Citations:</i> NARUC 6; Illinois: 35 Ill. Adm. Code 320.204; 35 Ill. Adm. Code 690.205; 83 Ill. Adm. Code 615 Appendix A(7); 83 Ill. Adm. Code 615 Appendix A(8); Indiana: 327 IAC 8-3.5-12; New York: 16 NYCRR 733.15(6); Pennsylvania: 34 Pa. Code 403.42;		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Settlements and Final Judgements of Litigation Cases	Records relating to the final judgments of litigation cases and/or settlement records associated with litigation cases.	Permanent
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Compliance / Regulatory		
Rate Case Documentation	Documentation related to the submission of a rate case application to the appropriate regulatory commission. Documents may include formal applications, exhibits, pre-filing testimonies; responses to data requests and discovery, and any supporting documentation	Active + 20
<i>Production Application:</i>		
<i>Legal Citations:</i> Illinois: 83 Ill. Adm. Code 615 Appendix A(71);		
Regulatory Commissions Orders	Decisions on the rate case and tariff spelling out rates for the various classes of service; includes tariff schedules	Permanent
<i>Production Application:</i>		
<i>Legal Citations:</i> NARUC 5,6,46; California: Cal Pub Util Code 487; Illinois: 220 ILCS 5/9-103; 83 Ill. Adm. Code 255.20; 83 Ill. Adm. Code 615 Appendix A(7),(36); Iowa: 199 IAC 21.2 (476); Kentucky: KRS 278.160; 807 KAR 5:011; Missouri: 4 CSR 240-3.340; New Mexico: N.M. Stat. Ann. 62-8-3; New York: 16 NYCRR 89.1; 16 NYCRR 733.15(5),(6),(46),(47); Ohio: ORC Ann. 4905.30; Tennessee: Tenn. Comp. R. & Regs. R. 1220-4-3-.05; Texas: 30 TAC 291.103; Virginia: 20 VAC 5-300-40(46),(47); West Virginia: W. Va. CSR 150-2-2; W. Va. CSR 150-7-4 4.1.d;4.2.a,4.5.b,4.12.a; Ontario: Small Drinking Water Systems, O. Reg. 319/08 s 10; Germany: Tax Code, Art. 147;		
Regulatory Complaints	Formal complaints regarding service and other issues received from applicable regulatory authorities	Final Resolution + 5
<i>Production Application:</i>		
<i>Legal Citations:</i>		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Regulatory Filings	Reports and formal filings submitted to federal and state regulatory agencies. Records consists of copies of required submissions and schedules, affidavits, petitions, motions, testimonies, interrogatories, orders, lead lag studies (recommended cash working capital requirements), and all supporting documentation	Current Year + 20
<i>Production Application:</i>		
<i>Legal Citations:</i> California: 20 CCR 1.8; 20 CCR 1.13; Iowa: 199 IAC 31.2 (476);		
SEC Filings	Reports of company operations (i.e. 8ks, 10qs, 10ks) submitted to the U.S. Securities and Exchange Commission and maintained on that agency's website. These include filings submitted under both the 1933 and 1934 Securities and Exchange Acts	Current Year + 25
<i>Production Application:</i>		
<i>Legal Citations:</i> NARUC 5; U.S. Federal: 17 CFR 230.402; 17 CFR 230.428; 17 CFR 230.433; 17 CFR 230.471; 17 CFR 232.302; 17 CFR 232.304; 17 CFR 270.8b-11; Illinois: 83 Ill. Adm. Code 615 Appendix A(4); New Mexico: 17.3.610.14 NMAC; New York: 16 NYCRR 733.15(5); Virginia: 20 VAC 5-300-40(5);		
SEC Filings - Supporting Documentation	Supporting documentation used to prepare the various reports submitted to the Securities and Exchange Commission. Records may include financial statement backups for forms 3, 4, and 5, remarks, shareholder listings, vote counts, share counts, inspector of election reports, employee benefit plan information and copy of employee benefit plan annual reports	Permanent
<i>Production Application:</i>		
<i>Legal Citations:</i> NARUC 2; U.S. Federal: 17 CFR 230.428; Illinois: 805 ILCS 5/7.30; 83 Ill. Adm. Code 615 Appendix A(4); Indiana: Ind. Code Ann. 23-1-52-1; Iowa: Iowa Code 491.47; Kentucky: KRS 271B.16-010; Maryland: Md. Corp. & Assoc. Code Add. 2-209; New Jersey: N.J. Stat 14A:5-28; New Mexico: N.M. Stat. Ann. 53-11-31; N.M. Stat. Ann. 53-11-50; New York: NY CLS Bus Corp 624; 16 NYCRR 733.15(2),(3),(5); Ohio: ORC Ann. 1701.37; Tennessee: Tenn. Code Ann. 48-26-101; Tenn. Code Ann. 67-5-1106; Virginia: 20 VAC 5-300-40(5);		
Special Tariff Reports	Reports submitted biannually to state regulatory authorities for customers with incentive rates	Current Year + 5
<i>Production Application:</i>		
<i>Legal Citations:</i>		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
State Regulation Records - Homeowner Services	Records with state regulatory agencies. The records consist of annual or periodic regulatory filings, correspondence with agency officials, and other compliance-related matters	Current Year + 5
<i>Production Application:</i>		
<i>Legal Citations:</i> Illinois: 215 ILCS 152/45; New Mexico: N.M. Stat. Ann. 59A-58-15;		
<i>Contracts</i>		
Contracts and Agreements - General	Contracts and agreements executed between the organization and other parties for a wide variety of business purposes, specifying the terms and conditions and other obligations of the parties; may include supporting documents used to develop the agreements	Expiration of Agreement + 6
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Customer Contracts	Contracts with customers for all lines of business operated by AWE. The contracts show rights and obligations and terms and conditions with customers. May also include customer correspondence and other supporting documentation	Expiration of Contract + 6
<i>Production Application:</i>		
<i>Legal Citations:</i> Indiana: 327 IAC 7.1-3-3;		
Employment Agreements	Contracts and agreements with company employees specifying the terms and conditions of their employment. Also includes severance agreements	Expiration of Contract + 6
<i>Production Application:</i>		
<i>Legal Citations:</i> NARUC 7; California: Cal Lab Code 1197.5; Cal Lab Code 2810; 18 CCR 3020; Illinois: 56 Ill. Adm. Code 240.400; 83 Ill. Adm. Code 615 Appendix A(9); Iowa: Iowa Code 91A.3; Iowa Code 91A.6; New York: 16 NYCRR 733.15(7); Virginia: 20 VAC 5-300-40(7);		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Federal Contracts	Contracts with various agencies and departments of the U.S. government for the leasing and operation and maintenance of water related facilities. These are prime contracts and secondary contracts of prime value	Permanent
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Fire Service Agreements	Agreements entered into with customers (mostly commercial businesses) the supply of water for fire suppression systems at their sites/facilities; including private fire hydrants or sprinkler systems. The agreements specify the terms and conditions of water services to be supplied by the company	Duration of Fire Service + 6
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Homeowner Contractor Service Agreements	Agreements with plumbers for services provided to homeowners under protection plans	Expiration of Agreement + 6
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Main Extension Agreements	Agreements with property developers to extend water service from water mains to developed properties/subdivisions	Expiration of Agreement + 6
<i>Production Application:</i>		
<i>Legal Citations:</i> Illinois: 83 Ill. Adm. Code 615 Appendix A(35); New Jersey: N.J.A.C. 14:3-6.2; New York: 16 NYCRR 733.15(45); Virginia: 20 VAC 5-300-40(45); West Virginia: W. Va. CSR 150-7-5 5.1.d;		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Municipal Shutoff Agreements	Agreements with municipalities which specify the terms and conditions related to interruptions of water services	Expiration of Agreement + 6
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Purchased Water Agreements	Agreements with other utilities to purchase water for company use, resale or distribution. Also includes billing agreements showing meter reading data	Expiration of Agreement + 6
<i>Production Application:</i>		
<i>Legal Citations:</i> NARUC 7; Illinois: 83 Ill. Adm. Code 615 Appendix A(9); New Mexico: 17.12.750.9 NMAC; 17.12.720.21 NMAC; New York: 16 NYCRR 733.15(7); Virginia: 20 VAC 5-300-40(7);		
Service Agreements	Contracts and agreements in which the company agrees to provide services to third parties. Some are design and build agreements for municipal water facilities; others are operation and maintenance agreements. Often there may be a number of subcontracts under the prime contracts. This category includes prime contracts and secondary contracts of prime value	Expiration of Agreement + 25
<i>Production Application:</i>		
<i>Legal Citations:</i> NARUC 7; Illinois: 83 Ill. Adm. Code 615 Appendix A(9); New York: 16 NYCRR 733.15(7); Virginia: 20 VAC 5-300-40(7);		
Severance Agreements	Agreements specifying the terms of employment termination from the company	10 Years
<i>Production Application:</i>		
<i>Legal Citations:</i>		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Subcontractor Management Records	Records used to manage the company's relations with subcontractors. The records consist of copies of contracts, subcontractor performance reports, problem resolutions and other related subcontractor matters	Expiration of Agreement + 6
<i>Production Application:</i>		
<i>Legal Citations:</i> Illinois: 83 Ill. Adm. Code 602.60;		
Vendor Contracts	Contracts with vendors supplying products and services to the company; including contracts with marketing consultants and vendors	Expiration of Contract + 6
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Water Sales Agreements	Sale-for-resale agreements; sales of water to municipalities which do not operate their own treatment plants; rather, they purchase water from the company	Expiration of Agreement + 6
<i>Production Application:</i>		
<i>Legal Citations:</i>		
<i>Corporate</i>		
Annual Meeting Records	Records of the annual meeting of shareholders. May include proxy statements and related materials, meeting agenda, and other records used in planning and conducting the meetings	Current Year + 20
<i>Production Application:</i>		
<i>Legal Citations:</i> NARUC 1; Illinois: 83 Ill. Adm. Code 615 Appendix A(1); Virginia: 20 VAC 5-300-40(1);		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Annual Reports	Annual reports submitted to state regulatory authorities including Secretaries of State and Public Service Commissions	Permanent
<i>Production Application:</i>		
<i>Legal Citations:</i> NARUC 3; U.S. Federal: 17 CFR 232.304; Illinois: 83 Ill. Adm. Code 615 Appendix A(64); Iowa: 199 IAC 23.1 (476); New Mexico: 17.3.610.14 NMAC; New York: NY CLS Tax 211; 16 NYCRR 733.15(2),(3); Ohio: ORC Ann. 5733.03; Virginia: 20 VAC 5-300-40(4);		
Board of Directors Minutes of Meetings	Master set of minutes of meetings of the company's board of directors. Also includes minutes of BOD committees of the parent company and first tier subsidiaries, to include the Service Company, Capital Corp, Laurel Oak Properties Corp., and TWHLL (a limited liability company)	Permanent
<i>Production Application:</i>		
<i>Legal Citations:</i> NARUC 6; Arizona: A.R.S. 10-1601; California: Cal Corp Code 1500; Illinois: 805 ILCS 5/7.75; 83 Ill. Adm. Code 615 Appendix A(5),(6); Indiana: Ind. Code Ann. 23-1-52-1; Iowa: Iowa Code 490.1601; Iowa Code 491.47; Kentucky: KRS 271B.7-080; KRS 271B.16-010; Michigan: MCL 450.1485; Missouri: 351.215 R.S.Mo.; New Jersey: N.J. Stat 14A:5-28; New Mexico: 17.12.720.13 NMAC; 17.3.360.9 NMAC; N.M. Stat. Ann. 53-11-31; N.M. Stat. Ann. 53-11-48; N.M. Stat. Ann. 53-11-50; New York: NY CLS Bus Corp 624; 16 NYCRR 733.15(6); Ohio: ORC Ann. 1701.37; Pennsylvania: 15 Pa.C.S. 1508; Tennessee: Tenn. Code Ann. 48-26-101; Texas: Tex. Bus. Corp. Act art. 2.44; Tex. Business Organizations Code 3.151; Virginia: Va. Code Ann. 13.1-770; 20 VAC 5-300-40(2),(3),(6); West Virginia: W. Va. Code 31D-16-1601; Canada Federal: Canada Business Corporation Act s 20; Income Tax Regulations s 5800; New Brunswick: Companies Act, R.S.N.B. 1973, c. C-13, s 104, 105; Northwest Territories: Business Corporations Act, S.N.W.T. 1996, c. 19, Part IV s 21; Ontario: Business Corporations Act, R.S.O. 1990, c. B.16 Part XI, s 140; Corporations Act, 1990, Part VII, s 299, 300, and 302; Quebec: Companies Act, R.S.Q. c. C-38, Part I, Div. XXVII s 104, 105, 107; Companies Act, R.S.Q. c. C-38, Part II, Div. XIX s 197, 198, 200; Yukon Territory: Business Corporations Act, R.S.Y. 2002, s. 23;		
Corporate Organization Charts	Master copies of the official corporate orgnaization structure.	Until Superseded + 3
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Corporate Policies and Procedures	Master copies of official company policies, directives, procedures and practices	Until Superseded + 10
<i>Production Application:</i>		
<i>Legal Citations:</i>		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Corporate Records	Company's official file of corporate documents, including but not limited to: licenses and qualifications to do business for all jurisdictions, formations and dissolutions, subsidiary stock records, charters and bylaws, articles of incorporation, powers of attorneys, and other records	Permanent
<i>Production Application:</i>		
<i>Legal Citations:</i> NARUC 6; Arizona: A.R.S. 10-120; A.R.S. 10-1601; California: Cal Corp Code 213; Illinois: 83 Ill. Adm. Code 615 Appendix A(7); Iowa: Iowa Code 490.1601; Kentucky: KRS 271B.16-010; New York: 16 NYCRR 733.15(6); Canada Federal: Canada Business Corporation Act s 20; New Brunswick: Companies Act, R.S.N.B. 1973, c. C-13, s 104, 105; Northwest Territories: Business Corporations Act, S.N.W.T. 1996, c. 19, Part IV s 21; Ontario: Business Corporations Act, R.S.O. 1990, c. B.16 Part XI, s 140; Quebec: Companies Act, R.S.Q. c. C-38, Part I, Div. XXVII s 104, 105, 107; Companies Act, R.S.Q. c. C-38, Part II, Div. XIX s 197, 198, 200;		
Ethics Certifications	Annual certifications of company employees that they have read, understand, and are in compliance with the company's Code of Ethics	7 Years
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Ethics Committee Records	Records consisting of reports to the company's Ethics Committee. The reports summarize open and resolved cases, significant alleged violations of policy, and other related matters. Also includes minutes of committee meetings	7 Years
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Ethics Investigations Records	Records related to allegations and investigations pertaining to possible violations of the company's Code of Ethics and resulting investigations	Final Resolution + 5
<i>Production Application:</i> NetWork		
<i>Legal Citations:</i>		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Ethics Policies and Procedures	Records documenting the development of the company's Code of Ethics and related policies and procedures	Until Superseded + 7
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Ethics Training Records	Records documenting training provided to company employees and ethics investigators concerning the Code of Ethics and responsibilities for compliance	7 Years
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Quarterly Board of Directors Meeting Records	Records prepared for uses at the Quarterly Board of Directors Meetings (Board Books)	Current Year +20
<i>Production Application:</i>		
<i>Legal Citations:</i>		
<i>Real Estate</i>		
Eminent Domain Proceedings – Legal Documentation / Valuation Data	Legal and business strategies in formulation of the company's position, legal briefs, discovery documentation, valuation analyses and justification, customer research findings and analysis, communications strategies and tactics	Permanent
<i>Production Application:</i>		
<i>Legal Citations:</i>		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Eminent Domain Proceedings – Supporting Documentation	Supporting documentation pertaining to legal and business strategies in formulation of the company's position, customer research findings and analysis, communications strategies and tactics	Final Resolution + 10
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Permits, Easements or Right-a-Ways	Records related to permits, easements, or right-a-ways obtained from railroads, townships, states or the federal government for projects; includes applications and all supporting documentation	Permanent
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Property Deeds	Deeds to all real property owned by the company. The deeds are recorded at county land offices and serve as evidence of property ownership	Permanent
<i>Production Application:</i>		
<i>Legal Citations:</i> NARUC 6; Illinois: 83 Ill. Adm. Code 615 Appendix A(7); New York: 16 NYCRR 733.15(6);		
Property Sales - Closing Documents	These records provide evidence of the legal and financial aspects of company property (both property the Company has purchased and sold) that has been conveyed to acquiring owners by means of sale.	Permanent
<i>Production Application:</i>		
<i>Legal Citations:</i> Illinois: 83 Ill. Adm. Code 615 Appendix A(68); New Mexico: 17.12.720.18 NMAC; Ohio: OAC Ann. 1301:8-3-04; Pennsylvania: 7 P.S. 6610;		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Rental and Lease Agreements	Records used to manage and administer company owned rental property. The records consist of rental agreements, leases, rent payments, repair and maintenance records, and other related records. This will also include rental or property lease agreements for properties that the Company is renting or leasing from a third party.	Expiration of Agreement + 7
<i>Production Application:</i>		
<i>Legal Citations:</i>		
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Shareholder Relations		
Shareholder Dividend Registers	Registers listing dividends paid to shareholders of company stock	Current Year + 6
<i>Production Application:</i>		
<i>Legal Citations:</i> NARUC 1; U.S. Federal: 26 CFR 1.561-2; Quebec: Companies Act, R.S.Q. c. C-38, Part I, Div. XXVII s 104, 105, 107; Companies Act, R.S.Q. c. C-38, Part II, Div. XIX s 197, 198, 200;		
<hr/>		
Shareholder Proxies	Records related to various issues that are voted upon by the shareholders by proxy, in compliance with regulations pertaining to the administration of proxy votes	Permanent
<i>Production Application:</i>		
<i>Legal Citations:</i> NARUC 2; Illinois: 83 Ill. Adm. Code 615 Appendix A(5),(6); New York: 16 NYCRR 733.15(2),(3); Virginia: 20 VAC 5-300-40(2),(3),(6);		
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Shareholder Records	Records related to annual shareholder meetings, copies of list of shareholders owning stock in the company, and other related records	Permanent
<i>Production Application:</i>		
<i>Legal Citations:</i> NARUC 2; Arizona: A.R.S. 10-1601; Iowa: Iowa Code 491.47; Kentucky: KRS 271B.16-010; Maryland: Md. Corp. & Assoc. Code Add. 2-209; New Jersey: N.J. Stat 14A:5-28; New Mexico: N.M. Stat. Ann. 53-11-31; N.M. Stat. Ann. 53-11-50; New York: NY CLS Bus Corp 624; 16 NYCRR 733.15(2),(3); Ohio: ORC Ann. 1701.37; Tennessee: Tenn. Code Ann. 48-26-101; Tenn. Code Ann. 67-5-1106; Ontario: Corporations Act, 1990, Part VII, s 299, 300, and 302; Quebec: Companies Act, R.S.Q. c. C-38, Part I, Div. XXVII s 104, 105, 107; Companies Act, R.S.Q. c. C-38, Part II, Div. XIX s 197, 198, 200;		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Stock Transfer Records	Records showing the ownership of public companies through stock transactions; includes shareholder registers showing shares of stock owned by individual investors	Current Year + 6
<i>Production Application:</i>		
<i>Legal Citations:</i> NARUC 1; Illinois: 83 Ill. Adm. Code 615 Appendix A(1); New Mexico: N.M. Stat. Ann. 53-11-31; New York: 16 NYCRR 733.15(1); Tex. Business Organizations Code 21.173; Virginia: 20 VAC 5-300-40(1); Canada Federal: Canada Business Corporation Act s 20; New Brunswick: Companies Act, R.S.N.B. 1973, c. C-13, s 104, 105; Northwest Territories: Business Corporations Act, S.N.W.T. 1996, c. 19, Part IV s 21,50; Ontario: Business Corporations Act, R.S.O. 1990, c. B.16 Part XI, s 140,141; Quebec: Companies Act, R.S.Q. c. C-38, Part I, Div. XXVII s 104, 105, 107; Companies Act, R.S.Q. c. C-38, Part II, Div. XIX s 197, 198, 200; Yukon Territory: Business Corporations Act, R.S.Y. 2002, s. 23,50;		

Operations

Boiled Water Orders	Orders requested and issued by state agencies due to actual or potential contaminated water	Current Year + 5
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Carbon / Filter Media Project Records	Records related to carbon and filter media projects performed primarily for municipalities. The documentation demonstrates adherence to relevant standards and includes: contracts, quotations, project costs and timelines, bid sureties, raw materials purchasing, transportation of spent carbon, customs brokerage records, health and safety and environmental documentation	Project Completion + 7
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Comprehensive Planning Studies (CPS)	Studies identifying the needs of the water company or water system; may include population studies, demand studies, hydrologic modeling	Current Study + 20 Years
<i>Production Application:</i>		
<i>Legal Citations:</i>		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Daily Work Orders	Daily work orders for any and all installation, maintenance or other activities involving the system infrastructure. These are maintained on paper as well as digital files	Current Year + 6
<i>Production Application:</i> ORCOM / ECIS, Advantax, PowerPlant, Paper Vision		
<i>Legal Citations:</i> NARUC 26; Illinois: 83 Ill. Adm. Code 615 Appendix A(67); New York: 16 NYCRR 733.15(26); Virginia: 20 VAC 5-300-40(24-26);		
Engineering Plans and Drawings	Engineering records of the physical infrastructure of company operated plants and other facilities. The records consist of approved engineering plans and drawings, technical specifications, design calculations, and other design and build records	Permanent
<i>Production Application:</i> AutoCAD		
<i>Legal Citations:</i> U.S. Federal: 48 CFR 52.236-16; 48 CFR 52.236-21; 48 CFR 552.227-71; Arizona: A.A.C. R18-9-D302; California: 22 CCR 64604; 26 CCR 22-64604; Missouri: 4 CSR 240-60.010; Texas: 30 TAC 290.46; Northwest Territories: Public Water Supply Regulations, R.R.N.W.T. 1990, c. P-23 s.23;		
Engineering Project Files – Construction Phase	Construction phase documents include shop drawings/submittals, equipment components, reviewed and approved drawings, requests for information from contractors, change orders, final notices of completion, inspection reports, quality control and materials testing reports, INTE drawings, final working drawings, as-built drawings, shop drawings, repair and alteration drawings, contract drawings, project specifications, lighting plans, disability access records, maps, photographs and material and soil reports.	Life of Facility / Until Facility is Sold + 6
<i>Production Application:</i>		
<i>Legal Citations:</i> NARUC 35; Arizona: A.R.S. 40-360.30; A.A.C. R18-4-115; A.A.C. R18-9-D302; A.A.C. R18-9-D302; California: 22 CCR 64604; 26 CCR 22-64604; Illinois: 83 Ill. Adm. Code 310.70; 83 Ill. Adm. Code 615 Appendix A(28); Indiana: 327 IAC 8-3.5-12; Maryland: COMAR 20.73.02.10; COMAR 20.73.05.05; COMAR 26.03.12.04; Michigan: Mich. Admin. Code R 323.2190; New Mexico: 17.12.750.9 NMAC; 17.13.950.10 NMAC; 17.3.580.10 NMAC; New York: 16 NYCRR 503.10; 16 NYCRR 733.15(35),(36); Ohio: OAC Ann. 3745-42-11; Pennsylvania: 25 Pa. Code 963.18; 34 Pa. Code 403.42; 34 Pa. Code 403.43; Virginia: 20 VAC 5-300-40(36); West Virginia: W. Va. CSR 47-60-18; Northwest Territories: Public Water Supply Regulations, R.R.N.W.T. 1990, c. P-23 s.23;		
Engineering Project Files – Design Phase	Project files related to engineering projects in the design phase. Records may include engineering reports, engineering plans, design concepts, cost analyses	Project Completion + 20
<i>Production Application:</i> Lotus Notes		
<i>Legal Citations:</i> Illinois: 83 Ill. Adm. Code 310.70; New Mexico: 17.3.580.10 NMAC; New York: 16 NYCRR 733.15(35),(36);		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Engineering Specifications	Documentation includes bidding documents for the construction project, technical specifications and drawings	Permanent
<i>Production Application:</i>		
<i>Legal Citations:</i> Missouri: 4 CSR 240-60.010; Texas: 30 TAC 290.46;		
Engineering Standards	Industry accepted codes, calculation methods, practices, etc. used in the process of engineering	Until Superseded + 10
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Excavation / Restoration Records	Records documenting excavations to customer or public property and restoration of the property back to the condition in which it was found prior water main breaks; includes trenching logs	Current Year + 5
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Fertilizer Product Records	Records showing quarterly analysis of fertilizer products and details of shipment to end users	Current Year + 6
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Field Notes	Observations of the field personnel related to disposal systems for waste water, soil or ground water testing, dig and test pits	Current Year + 10
<i>Production Application:</i>		
<i>Legal Citations:</i>		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Graph Chart Recorders	Charts recording the elevation of the river	10 Years
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Illegal Connections	Records documenting the entry of unwanted water or other substances into the company's infrastructure	Current Year + 10
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Laboratory Annual Certifications	Annual laboratory certifications conducted by state regulatory authorities	Expiration + 5
<i>Production Application:</i>		
<i>Legal Citations:</i> Pennsylvania: 27 Pa.C.S. 4111;		
Laboratory Raw Data	Raw data used to create the final laboratory reports; including test results from instrumentations, calibrations of instruments, other criteria required to confirm results, drinking water samples, bacterial samples, microbiological chemical sampling data and water quality data. Also includes chain of custody forms for the samples	Current Year + 12
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 40 CFR 136.6; 40 CFR Part 136 Appendix A; 40 CFR Part 136 Appendix C; 40 CFR 141.80; 40 CFR 141.91; Arizona: A.A.C. R9-14-615; A.A.C. R18-11-602; California: 22 CCR 64604; 22 CCR 64690.80; 23 CCR 2550.8; 23 CCR 2550.9; 26 CCR 22-64604; Indiana: 327 IAC 8-1-2; 327 IAC 8-2-20; Iowa: 567 IAC 42.5 (455B); 567 IAC 135.19 (455B); Kentucky: 401 KAR 8:020; Maryland: COMAR 26.04.01.21; Missouri: 10 CSR 60-9.010; New Jersey: N.J.A.C. 7:10-8.2; N.J.A.C. 7:18-4.5; Ohio: OAC Ann. 3745-81-33; OAC Ann. 3745-81-80; OAC Ann. 3745-81-90; Pennsylvania: 25 Pa. Code 252.307; 25 Pa. Code 252.402; 25 Pa. Code 252.501; Tennessee: Tenn. Comp. R. & Regs. R. 1200-5-1-.40; Texas: 30 TAC 290.46; Northwest Territories: Public Water Supply Regulations, R.R.N.W.T. 1990, c. P-23 s.23; Quebec: Quality of Drinking Water, R.Q. c. Q-2, r.18.1.1 Ch. III, Div. III s 30;		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Laboratory Test Reports	Test reports showing final laboratory test results; may include analytical reports, chemical analyses from well samples, lead and copper reports and discharge sample reports. Tests may be related to bacteria, organic, volatile organic compounds, plant processes, wet chemistry, metals, ion-exchange. Reports may be from internal and external testing facilities. Reports may be used to report drinking water quality to federal and state regulatory authorities	Current year + 20
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 40 CFR 136.6; 40 CFR Part 136 Appendix A; 40 CFR Part 136 Appendix C; 40 CFR 141.33; 40 CFR 141.80; 40 CFR 141.91; 40 CFR 141.405; Arizona: A.A.C. R9-14-617; A.A.C. R18-4-103; California: 22 CCR 64423.1; 22 CCR 64453; 22 CCR 64470; 22 CCR 64690.80; 26 CCR 22-64423.1; 26 CCR 22-64470; Illinois: 35 Ill. Adm. Code 185.204; 35 Ill. Adm. Code 611.350; 35 Ill. Adm. Code 611.361; 35 Ill. Adm. Code 611.860; 327 IAC 8-2-47; Kentucky: 401 KAR 8:020; 401 KAR 8:150; 401 KAR 8:300; Maryland: COMAR 26.04.01.21; COMAR 26.08.05.07; Michigan: Mich. Admin. Code R 325.11506; Missouri: 4 CSR 240-10.030 (32-43); 10 CSR 60-9.010; New Jersey: N.J.A.C. 7:18-2.13; N.J.A.C. 7:18-4.6; N.J.A.C. 7:18-5.5; N.J.A.C. 7:18-5.6; Ohio: ORC Ann. 6109.12; OAC Ann. 3745-81-80; OAC Ann. 3745-81-90; OAC Ann. 3745-89-04; Pennsylvania: 25 Pa. Code 109.1107; 25 Pa. Code 252.706; 25 Pa. Code 271.103; 25 Pa. Code 271.621; Tennessee: Tenn. Comp. R. & Regs. R. 1200-5-1-.14; Tenn. Comp. R. & Regs. R. 1200-5-1-.15; Tenn. Comp. R. & Regs. R. 1200-5-1-.17; Tenn. Comp. R. & Regs. R. 1200-5-1-.20; Tenn. Comp. R. & Regs. R. 1200-5-1-.33; Texas: 30 TAC 290.44; 30 TAC 290.46; 30 TAC 290.117; Virginia: 9 VAC 25-32-460; 9 VAC 25-790-270; 12 VAC 5-585-300; 12 VAC 5-585-390; Ontario: Drinking Water Systems, O. Reg. 170/03 s 13(1),(2),(3); Drinking Water Testing Services, O. Reg. 248/03 s 13; Small Drinking Water Systems, O. Reg. 319/08 s 10; Small Drinking Water Systems, O. Reg. 319/08 s 22; Yukon Territory: Solid Waste Regulations, Y.O.I.C. 2000/11 s. 10;		
Locate Requests	Notifications received from the one call notification or before you dig systems informing the utility of requests for marking of their lines	Current Year + 5
<i>Production Application:</i>		
<i>Legal Citations:</i> New Mexico: 18.60.5.9 NMAC;		
Main Breaks / Replacement Records	Records documenting breaks to water mains and repairs and replacements to these components of the system infrastructure	Life of Equipment + 10
<i>Production Application:</i>		
<i>Legal Citations:</i> Kentucky: 401 KAR 8:150;		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Manhole Inspection Records	Inspection records of manholes located at wastewater plants	Current Year + 3
<i>Production Application:</i>		
<i>Legal Citations:</i> Ohio: OAC Ann. 4901:1-15-10;		
Meter Card Records	Historical records of each meter installed, relocated, removed or tested	Permanent
<i>Production Application:</i> ORCOM / ECIS		
<i>Legal Citations:</i> NARUC 23,49; Illinois: 83 Ill. Adm. Code 600.150; 83 Ill. Adm. Code 615 Appendix A(59); Indiana: 170 IAC 6-1-4; Iowa: 199 IAC 21.3 (476); Kentucky: 807 KAR 5:006; COMAR 20.70.05.03; COMAR 20.70.05.04; COMAR 20.70.05.05; New Jersey: N.J.A.C. 14:3-4.7; New Mexico: 17.12.750.9 NMAC; 17.13.950.10 NMAC; New York: 16 NYCRR 733.15(23.3); Ohio: OAC Ann. 4901:1-15-19; Pennsylvania: 52 Pa. Code 65.8; Tennessee: Tenn. Comp. R. & Regs. R. 1220-4-3-.05; Tenn. Comp. R. & Regs. R. 1220-4-3-.09; Virginia: 20 VAC 5-300-40(23.3); West Virginia: W. Va. CSR 150-7-6;		
Meter Reading Edits	Meter reads downloaded and reviewed for inconsistencies which may require a re-read. Edits show number of consecutive estimate accounts, accounts with inactive consumption and accounts showing zero usage	Current Year + 3
<i>Production Application:</i>		
<i>Legal Citations:</i> NARUC 48; Illinois: 83 Ill. Adm. Code 615 Appendix A(36-38); New York: 16 NYCRR 733.15(48),(49); Virginia: 20 VAC 5-300-40(48),(49);		
Meter Replacement Records	Records documenting replacement of meters installed or in inventory	Current Year + 10
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Meter Retirements	Records of meter retirements or out of service; includes test and disposal documentation	Retirement of Meter + 3
<i>Production Application:</i>		
<i>Legal Citations:</i> Iowa: 567 IAC 21.6 (476); Maryland: COMAR 20.70.05.04; Tennessee: Tenn. Comp. R. & Regs. R. 1220-4-3-.10;		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Meter Test Records	Records of test performed on meters upon initial receipt, before installation, during service period and retirement	Retirement of Meter + 3
<i>Production Application:</i>		
<i>Legal Citations:</i> NARUC 23; Illinois: 83 Ill. Adm. Code 600.150; 83 Ill. Adm. Code 615 Appendix A(59); Indiana: 170 IAC 6-1-4; 170 IAC 6-1-11; Iowa: 567 IAC 21.6 (476); Kentucky: 807 KAR 5:006; Maryland: COMAR 20.70.06.06; Missouri: 4 CSR 240-10.030 (1-8); New Jersey: N.J.A.C. 14:3-4.5; N.J.A.C. 14:3-4.7; New York: 16 NYCRR 500.1; 16 NYCRR 733.15(23.3); Ohio: OAC Ann. 4901:1-15-19; Pennsylvania: 52 Pa. Code 65.8; Tennessee: Tenn. Comp. R. & Regs. R. 1220-4-3-.05; Tenn. Comp. R. & Regs. R. 1220-4-3-.09; Tenn. Comp. R. & Regs. R. 1220-4-3-.31; Virginia: 20 VAC 5-300-40(23.3); West Virginia: W. Va. CSR 150-7-6;		
Non-Revenue Water	Records used to track the water that is produced and sold; the difference is non-revenue; that is, water for which no revenue was generated	Current Year + 15
<i>Production Application:</i> OPS SQL Software Database		
<i>Legal Citations:</i> New York: 16 NYCRR 503.8; 16 NYCRR Accounts (460),(461),(463-465),(467),(602),(621),(924);		
Operating Data – Contract Facilities	Data showing the operation of client facilities, including water quality monitoring, equipment monitoring; and other continuously tracked and monitored aspects of facility operations. The data is generated by the SCADA system and also includes summaries for management and regulatory reporting	7 Years or Per Contract, whichever is longer
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Operations Production Delivery (OPD) Data	Records consisting of water delivery data (data that flows through the company's systems). The data is used for state reporting and trend analyses purposes. Also includes statistical reports on water sources and usage. The data is extracted from JD Edwards and other sources	Current Year + 15
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 40 CFR 141.175; 40 CFR 141.629; California: 22 CCR 64662; Illinois: 35 Ill. Adm. Code 611.957; 35 Ill. Adm. Code 611.979; Indiana: 327 IAC 8-2.6-4; 327 IAC 8-2.6-5; Maryland: COMAR 26.04.01.27; Ohio: OAC Ann. 3745-81-77; OAC Ann. 3745-81-79; Pennsylvania: 25 Pa. Code 109.701;		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Operator Log Books / Sheets	Manual daily logs completed by operators during their routine inspection of the facility including any wells or equipment; noting chemical analyses, plant operational status, well meter readings, chlorine residuals, equipment alarms, process changes, equipment repairs, lists of chemicals fed into the system, gauge readings and any problems or atypical conditions that may exist. Records are kept in log books at each plant site as well as each operator having their own log book to maintain on a daily basis	Current Year + 10
<i>Production Application:</i> OPS SQL Software Database		
<i>Legal Citations:</i> NARUC 22,23; U.S. Federal: 40 CFR 63.1589; 40 CFR 141.76; 40 CFR 141.175; 40 CFR 141.571; 40 CFR 141.629; Arizona: A.A.C. R18-4-125; California: 22 CCR 64653.5; 22 CCR 64657.20; 22 CCR 64662; 35 Ill. Adm. Code 611.276; 35 Ill. Adm. Code 611.805; 35 Ill. Adm. Code 611.925; 35 Ill. Adm. Code 611.957; 35 Ill. Adm. Code 611.979; 35 Ill. Adm. Code 653.605; 35 Ill. Adm. Code 653.704; 83 Ill. Adm. Code 600.120; 83 Ill. Adm. Code 600.130; 83 Ill. Adm. Code 615 Appendix A(39),(58),(59); Indiana: 327 IAC 8-2.6-2; 327 IAC 8-2.6-4; 327 IAC 8-2.6-5; 327 IAC 8-2.6-6; Iowa: 567 IAC 42.4 (455B); 567 IAC 43.5 (455B); 567 IAC 43.9 (455B); Kentucky: 401 KAR 8:150; 401 KAR 8:162; 401 KAR 8:510; Maryland: COMAR 26.04.01.27; COMAR 26.04.01.05-4; Michigan: MCL 324.3303; Mich. Admin. Code R 325.10504; Mich. Admin. Code R 325.10722; Mich. Admin. Code R 325.11506; Missouri: 10 CSR 60-4.050; 10 CSR 60-4.055; New Jersey: N.J.A.C. 7:10A-1.12; New Mexico: 17.12.750.9 NMAC; 17.13.950.10 NMAC; New York: 16 NYCRR 503.5; 16 NYCRR 733.15(22.4),(23.3); Ohio: OAC Ann. 3745-81-72; OAC Ann. 3745-81-77; OAC Ann. 3745-81-79; OAC Ann. 3745-82-03; Pennsylvania: 25 Pa. Code 109.701; 52 Pa. Code 65.14; Tennessee: Tenn. Comp. R. & Regs. R. 1200-5-1-.20; Tenn. Comp. R. & Regs. R. 1200-5-1-.31; Texas: 30 TAC 290.44; 30 TAC 290.45; 30 TAC 290.46; Virginia: 9 VAC 25-790-270; 20 VAC 5-300-40(22.4),(23.3); West Virginia: W. Va. CSR 33-9-10; W. Va. CSR 150-5-5 5.1.7,5.3.4; W. Va. CSR 150-7-5 5.1.d; Canada Federal: Northwest Territories Waters Regulations, SOR/93-303 s 15; New Brunswick: Water Quality Regulation, N.B. Reg. 82-126 s 17; Northwest Territories: Boilers and Pressure Vessels Regulations, N.W.T. Reg. 006-93 s. 30; Public Water Supply Regulations, R.R.N.W.T. 1990, c. P-23 s.23; Ontario: Certification of Drinking Water System Operators and Water Quality Analysts, O. Reg. 128/04 s 27; Quebec: Quality of Drinking Water, R.Q. c. Q-2, r.18.1.1 Ch. III, Div. I s 22; Yukon Territory: Water Regulation, Y.O.I.C./ 2003/58 s. 14; Boilers and Pressure Vessels Act Regulations, Y.O.I.C. 1980_303 Part III s. 56;		
Plant Equipment Records	Records on items of equipment installed or otherwise used by the company. The records describe the equipment, its technical capabilities and other aspects of its operation, maintenance, use and applicable warranties	Life of Equipment
<i>Production Application:</i>		
<i>Legal Citations:</i> NARUC 22; U.S. Federal: 40 CFR 141.175; California: 8 CCR 5142; 8 CCR 5143; 22 CCR 64662; Illinois: 35 Ill. Adm. Code 653.801; 35 Ill. Adm. Code 653.802; 35 Ill. Adm. Code 653.804; 83 Ill. Adm. Code 615 Appendix A(59); Indiana: 327 IAC 8-10-10; New York: 16 NYCRR 733.15(23.3); Texas: 16 TAC 74.70; Virginia: 20 VAC 5-300-40(23.3); Canada Federal: Canada Occupational Safety and Health Regulations s 5.17, 12.14;		
Plant Maintenance Records - Contract Operations	Records showing plant maintenance activities and upgrades in processing capabilities. The data is required to be reported to the municipalities	Expiration of Contract + 3
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 48 CFR 52.246-4; 48 CFR 52.246-5; 48 CFR 52.246-12; 48 CFR 552.227-71; 48 CFR 5152.245-9001; Arizona: A.A.C. R18-9-D302;		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Plant Maps and Plats	Maps and plats of the company's plants, distribution facilities/lines, and other physical infrastructure	Permanent
<i>Production Application:</i>		
<i>Legal Citations:</i> NARUC 35; Arizona: A.R.S. 45-343; Illinois: 35 Ill. Adm. Code 174.203; 35 Ill. Adm. Code 174.303; 83 Ill. Adm. Code 600.140; 83 Ill. Adm. Code 615 Appendix A(24-27); Indiana: 170 IAC 8.5-2-6; Iowa: 199 IAC 21.4 (476); Kentucky: 401 KAR 8:200; 807 KAR 5:071; Maryland: COMAR 20.70.04.02; COMAR 20.75.04.02; Missouri: 4 CSR 240-60.010; New Jersey: N.J.A.C. 14:3-6.2; New Mexico: 17.12.750.9 NMAC; 17.13.950.10 NMAC; New York: 16 NYCRR 733.15(35),(36); Ohio: OAC Ann. 4901:1-15-14; Pennsylvania: 25 Pa. Code 109.706; 52 Pa. Code 65.4; Tennessee: Tenn. Comp. R. & Regs. R. 1200-5-1-.17; Tenn. Comp. R. & Regs. R. 1220-4-3-.14; Texas: 30 TAC 290.46; 30 TAC 291.81; Virginia: 20 VAC 5-300-40(35); West Virginia: W. Va. CSR 150-5-2 2.1.1, 2.5.1; W. Va. CSR 150-7-2; Quebec: Waterworks and Sewer Services, R.Q. c. Q-2, r.7, Div. II s 11;		
Pumpage Records	Records documenting the amount of water pumped into the system each day. The total includes the quantities of water used in routine system operations as well as treated water. Records are also kept on the amount of water being pumped out by each well in the system. These are maintained daily on paper (facility logs) as well as the OPS SQL software database	Current Year + 15
<i>Production Application:</i> OPS SQL Software Database		
<i>Legal Citations:</i> NARUC 22,23; Illinois: 83 Ill. Adm. Code 600.120; 83 Ill. Adm. Code 615 Appendix A(58); New Jersey: N.J.A.C. 7:10-5.6; New York: 16 NYCRR 733.15(22.4); Ohio: OAC Ann. 4901:1-15-14; Virginia: 20 VAC 5-300-40(22.4); Canada Federal: Northwest Territories Waters Regulations, SOR/93-303 s 15; Yukon Territory: Water Regulation, Y.O.I.C/ 2003/58 s. 14;		
Research Project Documents	Documentation related to various research projects conducted including research on water, wastewater, drinking water, water reuse, water treatment technology, water quality, testing for microbes, corrosion. Documents include progress reports, project data, test results, and all supporting documentation	Project Completion + 3
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Research Reports	Final reports, research papers or journals papers prepared stating final results of research performed. Reports or papers may be published or contained in a database if results are numerous	Current Year + 20
<i>Production Application:</i>		
<i>Legal Citations:</i>		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Sanitary Sewer Backups / Overflows	Records documenting backups or overflows of the sanitary sewer components of the system infrastructure and repairs or other action taken to restore normal operation	Life of Equipment
<i>Production Application:</i>		
<i>Legal Citations:</i> Maryland: COMAR 26.08.10.06;		
Sanitary Sewer Cleaning	Records documenting sewer cleanings utilizing jet roddings and other methods of sewer inspections and maintenance	Current Year + 5
<i>Production Application:</i>		
<i>Legal Citations:</i>		
SCADA Non-Regulatory Historical Data	Records consisting of SCADA data not required to be retained by regulatory authorities but which has long-term value for trend analysis and other operational purposes. The data consists of snapshots captured in fifteen minute time intervals	Current Year + 6
<i>Production Application:</i> SCADA		
<i>Legal Citations:</i>		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
SCADA Production / Operational Data	Records consisting of SCADA data showing the operation of water treatment plants and distribution facilities, including production and distribution of water, water quality, flows, pressures, analytics, production/treatment plant and distribution systems for remote sites	6 Years
<i>Production Application:</i> SCADA		
<i>Legal Citations:</i> NARUC 22,23; U.S. Federal: 40 CFR 141.76; 40 CFR 141.175; 40 CFR 141.571; 40 CFR 141.629; California: 22 CCR 64653.5; 22 CCR 64657.20; 22 CCR 64662; Illinois: 35 Ill. Adm. Code 611.276; 35 Ill. Adm. Code 611.805; 35 Ill. Adm. Code 611.925; 35 Ill. Adm. Code 611.957; 35 Ill. Adm. Code 611.979; 35 Ill. Adm. Code 653.605; 35 Ill. Adm. Code 653.704; 83 Ill. Adm. Code 615 Appendix A(39),(58); Indiana: 170 IAC 6-1-19; 327 IAC 8-2.6-2; 327 IAC 8-2.6-4; 327 IAC 8-2.6-5; 327 IAC 8-2.6-6; Iowa: Iowa Code 21.7 (476); 567 IAC 43.5 (455B); 567 IAC 43.9 (455B); Kentucky: 401 KAR 8:150; 401 KAR 8:162; 401 KAR 8:510; Maryland: COMAR 26.04.01.05-4; COMAR 26.04.01.27; Michigan: MCL 324.3303; Mich. Admin. Code R 325.10504; Mich. Admin. Code R 325.10722; Mich. Admin. Code R 325.11506; Missouri: 4 CSR 240-10.030 (32-43); 10 CSR 60-4.050; 10 CSR 60-4.055; New Jersey: N.J.A.C. 7:10A-1.12; New Mexico: 17.12.750.9 NMAC; 17.13.950.10 NMAC; New York: 16 NYCRR 503.5; 16 NYCRR 733.15(22.4); Ohio: OAC Ann. 3745-81-72; OAC Ann. 3745-81-77; OAC Ann. 3745-81-79; OAC Ann. 3745-82-03; Pennsylvania: 25 Pa. Code 109.701; 52 Pa. Code 65.6; 52 Pa. Code 65.14; Tennessee: Tenn. Comp. R. & Regs. R. 1200-5-1-.20; Tenn. Comp. R. & Regs. R. 1200-5-1-.31; Texas: 30 TAC 217.330; 30 TAC 290.44; 30 TAC 290.45; 30 TAC 290.46; Virginia: 9 VAC 25-790-270; 20 VAC 5-300-40(22.4); West Virginia: W. Va. CSR 33-9-10; W. Va. CSR 150-5-5 5.1.7,5.3.4; W. Va. CSR 150-7-5 5.1.d; Canada Federal: Northwest Territories Waters Regulations, SOR/93-303 s 15; New Brunswick: Water Quality Regulation, N.B. Reg. 82-126 s 17; Ontario: Certification of Drinking Water System Operators and Water Quality Analysts, O. Reg. 128/04 s 27; Quebec: Quality of Drinking Water, R.Q. c. Q-2, r.18.1.1 Ch. III, Div. I s 22; Yukon Territory: Water Regulation, Y.O.I.C/ 2003/58 s. 14;		
SCADA Regulatory Data	Records consisting of SCADA data required to be reported to governmental regulatory authorities. The data consists of snapshots captured in fifteen minute time intervals and includes plant effluent water quality data, turbidity data, chlorine residuals data and any other data for which regulatory reporting is mandated	Current Year + 15
<i>Production Application:</i> SCADA		
<i>Legal Citations:</i> NARUC 22,23,49; U.S. Federal: 40 CFR 141.76; 40 CFR 141.175; 40 CFR 141.560; 40 CFR 141.571; 40 CFR 141.629; Arizona: A.A.C. R18-4-103; California: 22 CCR 64653.5; 22 CCR 64657.20; 22 CCR 64662; Illinois: 35 Ill. Adm. Code 611.276; 35 Ill. Adm. Code 611.805; 35 Ill. Adm. Code 611.925; 35 Ill. Adm. Code 611.956; 35 Ill. Adm. Code 611.957; 35 Ill. Adm. Code 611.979; 35 Ill. Adm. Code 653.605; 35 Ill. Adm. Code 653.704; 35 Ill. Adm. Code 654.402; 83 Ill. Adm. Code 615 Appendix A(39),(58); Indiana: 327 IAC 8-2.6-2; 327 IAC 8-2.6-4; 327 IAC 8-2.6-5; 327 IAC 8-2.6-6; Iowa: 567 IAC 43.5 (455B); 567 IAC 43.9 (455B); 567 IAC 43.10 (455B); Kentucky: 401 KAR 8:020; 401 KAR 8:150; 401 KAR 8:162; 401 KAR 8:510; Maryland: COMAR 26.04.01.05-4; COMAR 26.04.01.27; Michigan: MCL 324.3303; Mich. Admin. Code R 325.10504; Mich. Admin. Code R 325.10722; Mich. Admin. Code R 325.11506; Missouri: 10 CSR 60-4.050; 10 CSR 60-4.055; New Jersey: N.J.A.C. 7:10A-1.12; New Mexico: 17.12.750.9 NMAC; 17.13.950.10 NMAC; New York: 16 NYCRR 503.5; 16 NYCRR 733.15(22.4),(48),(49); Ohio: OAC Ann. 3745-81-72; OAC Ann. 3745-81-75; OAC Ann. 3745-81-77; OAC Ann. 3745-81-79; OAC Ann. 3745-82-03; OAC Ann. 4901:1-15-14; Pennsylvania: 25 Pa. Code 109.701; 52 Pa. Code 65.14; Tennessee: Tenn. Comp. R. & Regs. R. 1200-5-1-.31; Texas: 30 TAC 290.44; 30 TAC 290.45; 30 TAC 290.46; Virginia: 9 VAC 25-790-270; 20 VAC 5-300-40(22.4),(48),(49); West Virginia: W. Va. CSR 33-9-10; W. Va. CSR 150-5-5 5.1.7,5.3.4; W. Va. CSR 150-7-5 5.1.d; Canada Federal: Northwest Territories Waters Regulations, SOR/93-303 s 15; New Brunswick: Water Quality Regulation, N.B. Reg. 82-126 s 17; Ontario: Certification of Drinking Water System Operators and Water Quality Analysts, O. Reg. 128/04 s 27; Quebec: Quality of Drinking Water, R.Q. c. Q-2, r.18.1.1 Ch. III, Div. I s 22; Yukon Territory: Water Regulation, Y.O.I.C/ 2003/58 s. 14;		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Service Interruption Records	Records related to any service interruption/outage that may occur	6 Years
<i>Production Application:</i>		
<i>Legal Citations:</i> NARUC 65; U.S. Federal: 40 CFR 141.33; 40 CFR 141.405; California: 22 CCR 64470; 26 CCR 22-64470; Illinois: 83 Ill. Adm. Code 600.220; 83 Ill. Adm. Code 615 Appendix A(65); Indiana: 170 IAC 6-1-22; 170 IAC 8.5-3-4; Iowa: Iowa Code 21.7 (476); Kentucky: 807 KAR 5:066; 807 KAR 5:071; Maryland: COMAR 20.70.07.04; Missouri: 4 CSR 240-10.030 (1-8); New Jersey: N.J.A.C. 14:3-3.7; New York: 16 NYCRR 503.3; Pennsylvania: 52 Pa. Code 65.5; Texas: 30 TAC 291.90; Virginia: 20 VAC 5-300-40(65); West Virginia: W. Va. CSR 150-5-4 4.2.1,4.8.1,4.9.2; W. Va. CSR 150-7-4 4.1.d;4.2.a,4.5.b,4.12.a;		
Standard Operating Procedures - Laboratories	Standard operating procedures, guidance documents and quality assurance documents outlining the procedures and processes to be used in laboratories	Current Year + 10
<i>Production Application:</i>		
<i>Legal Citations:</i> Arizona: A.A.C. R9-14-615; California: 22 CCR 64813; 22 CCR 64815; Maryland: COMAR 26.08.05.09; Michigan: Mich. Admin. Code R 324.1411; Mich. Admin. Code R 324.1413; New Jersey: N.J.A.C. 7:14C-1.4; N.J.A.C. 7:18-4.5; N.J.A.C. 7:18-5.5; N.J.A.C. 8:44-2.8; Pennsylvania: 25 Pa. Code 252.304; 25 Pa. Code 252.307; 25 Pa. Code 252.401; Ontario: Drinking Water Testing Services, O. Reg. 248/03 s 13;		
Standard Operating Procedures - Operations	Standard operating procedures, guidance documents and quality assurance documents outlining the procedures and processes used by the various operations related departments	Until Superseded + 10
<i>Production Application:</i>		
<i>Legal Citations:</i> Arizona: A.A.C. R18-9-D302; California: Cal Wat Code 13263.2; 22 CCR 64534.8; Kentucky: 401 KAR 8:160; New Jersey: N.J.A.C. 7:10A-1.12; Texas: 30 TAC 217.16; 30 TAC 290.42; 30 TAC 290.46; Virginia: 9 VAC 25-31-800; Ontario: Safe Drinking Water Act, 2002, S.O. 2002, c. 32 Part III s 17;		
System Flushing Records	Records documenting regular and periodic flushing of hydrants and other components of the company's system infrastructure, to include the results of these maintenance routines and any corrective actions taken	Current Year + 10
<i>Production Application:</i>		
<i>Legal Citations:</i> Arizona: A.A.C. R18-4-103; California: 22 CCR 64453; 22 CCR 64604; 26 CCR 22-64604; Illinois: 35 Ill. Adm. Code 611.805; Indiana: 170 IAC 6-1-21; 327 IAC 8-2-20; Missouri: 10 CSR 60-4.055; New York: 16 NYCRR 503.7; Ohio: OAC Ann. 4901:1-15-10; OAC Ann. 4901:1-15-14; Tennessee: Tenn. Comp. R. & Regs. R. 1200-5-1-.17;		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
System Maintenance Records	Records documenting any and all regular and periodic maintenance performed on the company's equipment or other components of the infrastructure	Life of Equipment
<i>Production Application:</i> Jobplus, 7i Datastream		
<i>Legal Citations:</i> Arizona: A.A.C. R18-4-115; A.A.C. R18-9-D302; California: 17 CCR 7605; 22 CCR 64688; Kentucky: 807 KAR 5:071; Maryland: COMAR 20.70.02.04; COMAR 20.75.02.05; Michigan: Mich. Admin. Code R 325.11111; Missouri: 4 CSR 240-10.030 (1-8); 10 CSR 60-11.010; New Jersey: N.J. Stat. 58:10-23.11d13; N.J.A.C. 14:3-6.2; N.J.A.C. 14:9-2.2; New Mexico: 17.13.950.11 NMAC; Ohio: OAC Ann. 3745-7-09; OAC Ann. 3745-81-19; OAC Ann. 4901:1-15-14; Tennessee: Tenn. Comp. R. & Regs. R. 1200-5-1-.17; Tenn. Comp. R. & Regs. R. 1200-5-1-.20; Texas: 30 TAC 290.45; 30 TAC 290.46; Virginia: 9 VAC 25-790-270; 9 VAC 25-790-300; 12 VAC 5-585-300; Ontario: Small Drinking Water Systems, O. Reg. 319/08 s 14,15;		
System Operations Data	Historical data generated from the SCADA system and showing details of system operation, including but not limited to flows, pressure, tank levels, inventory levels, motor run time, etc.	Current Year + 6
<i>Production Application:</i> SCADA		
<i>Legal Citations:</i> NARUC 22,23,49; U.S. Federal: 40 CFR 141.76; 40 CFR 141.175; 40 CFR 141.571; 40 CFR 141.629; California: 22 CCR 64653.5; 22 CCR 64657.20; 22 CCR 64662; Illinois: 35 Ill. Adm. Code 611.276; 35 Ill. Adm. Code 611.805; 35 Ill. Adm. Code 611.925; 35 Ill. Adm. Code 611.957; 35 Ill. Adm. Code 611.979; 35 Ill. Adm. Code 653.605; 35 Ill. Adm. Code 653.704; 83 Ill. Adm. Code 615 Appendix A(39),(58); Indiana: 170 IAC 6-1-19; 327 IAC 8-2.6-2; 327 IAC 8-2.6-4; 327 IAC 8-2.6-5; 327 IAC 8-2.6-6; Iowa: Iowa Code 21.7 (476); 567 IAC 43.5 (455B); 567 IAC 43.9 (455B); Kentucky: 807 KAR 5:066; 401 KAR 8:150; 401 KAR 8:162; 401 KAR 8:510; Maryland: COMAR 20.70.07.03; COMAR 26.04.01.05-4; Michigan: Mich. Admin. Code R 325.10722; Mich. Admin. Code R 325.11506; Missouri: 4 CSR 240-10.030 (32-43); 10 CSR 60-4.050; 10 CSR 60-4.055; New York: 16 NYCRR 733.15(22.4),(48),(49); Ohio: OAC Ann. 3745-81-72; OAC Ann. 3745-81-77; OAC Ann. 3745-81-79; OAC Ann. 3745-82-03; Pennsylvania: 25 Pa. Code 109.701; 52 Pa. Code 65.6; Tennessee: Tenn. Comp. R. & Regs. R. 1200-5-1-.31; Texas: 30 TAC 217.330; Virginia: 20 VAC 5-300-40(22.4),(48),(49); West Virginia: W. Va. CSR 150-5-5 5.1.7,5.3.4; W. Va. CSR 150-7-5 5.1.d;		
Treatment Plants – Operated by AWM	Records related to treatment plants owned by AWWM. Files may include project descriptions and requirements, preliminary drawings, presentation drawings, RFPs (requests for bids), proposal evaluations, INTE drawings, final working drawings, as-built drawings, shop drawings, repair and alteration drawings, contract drawings, project specifications, lighting plans, disability access records, contracts and agreements with architects, engineers, consultants, vendors, contractors, budget records, correspondence, meetings and minutes, reports, maps, photographs and material and soil reports	Permanent
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal; 40 CFR 63.1589; Arizona: A.A.C. R18-9-D302; Illinois: 35 Ill. Adm. Code 360.301; 35 Ill. Adm. Code 360.302; 35 Ill. Adm. Code 360.502; 35 Ill. Adm. Code 360.602; 35 Ill. Adm. Code 360.Appendix C; 35 Ill. Adm. Code 380.904; Ohio: OAC Ann. 3745-42-11; Northwest Territories: Public Water Supply Regulations, R.R.N.W.T. 1990, c. P-23 s.23; Ontario: Ontario Water Resources Act, R.S.O. 1990 s. 53.1(7);		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Treatment Plants – Owned by AWWM	Records related to treatment plants owned by AWWM. Files may include project descriptions and requirements, preliminary drawings, presentation drawings, RFPs (requests for bids), proposal evaluations, INTE drawings, final working drawings, as-built drawings, shop drawings, repair and alteration drawings, contract drawings, project specifications, lighting plans, disability access records, contracts and agreements with architects, engineers, consultants, vendors, contractors, budget records, correspondence, meetings and minutes, reports, maps, photographs and material and soil reports	Permanent
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal; 40 CFR 63.1589; Arizona: A.A.C. R18-9-D302; Ohio: OAC Ann. 3745-42-11; Northwest Territories: Public Water Supply Regulations, R.R.N.W.T. 1990, c. P-23 s.23; Ontario: Ontario Water Resources Act, R.S.O. 1990 s. 53.1(7);		
Valve and Hydrant Records	Records containing listings and descriptions of all valves and hydrants currently in use at the company's field sites, to include type, location, regular and periodic inspection records and other information concerning this equipment and its installation and use	Life of Equipment
<i>Production Application:</i>		
<i>Legal Citations:</i> Illinois: 83 Ill. Adm. Code 600.140; Ohio: OAC Ann. 4901:1-15-10;		
Vibration Analysis Reports	Reports submitted to plant supervisors stating the results of vibration analyses or inspections performed on pumps to test vibration	Current Year + 5
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Water Line Event Reports	Reports submitted to regulatory commissions notifying the commission of events when someone hit their water line	Current Year + 7
<i>Production Application:</i>		
<i>Legal Citations:</i>		

Risk Management

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Business Continuity Plans	Approved, official business continuity plans covering any and all requirements for the continuance of critical business functions in the event of an interruption from any cause	Until Superseded + 10
<i>Production Application:</i>		
<i>Legal Citations:</i> Pennsylvania: 52 Pa. Code 101.3;		
Event Management Process Records	Reports and case files related to the management of events adversely impacting the company from a 60 inch water main break, lost laptops, security incidents, thefts or break-ins. Note: This record series does not include ITS related events	Final Resolution + 10
<i>Production Application:</i>		
<i>Legal Citations:</i> Maryland: COMAR 20.70.08.01; Michigan: MCL 423.509; Missouri: 4 CSR 240-60.040; New Jersey: N.J.A.C. 14:3-6.7; West Virginia: W. Va. CSR 150-5-6; W. Va. CSR 150-7-7;		
Insurance Claims Supplemental Documentation	Documentation supplementing insurance claims information held by insurance carriers; may include internal investigations, employee interviews	Final Resolution + 4
<i>Production Application:</i>		
<i>Legal Citations:</i> NARUC 21; Illinois: 83 Ill. Adm. Code 615 Appendix A(18),(69); New York: 16 NYCRR 733.15(21); Virginia: 20 VAC 5-300-40(20),(21);		
Insurance Policies - Liability	Policies of insurance which provide coverage of a liability nature. The records include policies of financial products, executive risk, casualty and other liability policies	Permanent
<i>Production Application:</i>		
<i>Legal Citations:</i> NARUC 20; Illinois: 83 Ill. Adm. Code 615 Appendix A(18); New York: 16 NYCRR 733.15(19-21); Virginia: 20 VAC 5-300-40(20),(21);		
Insurance Policies - Non-Liability	Property and other non-liability policies or contracts of insurance	Life of Policy + 6
<i>Production Application:</i>		
<i>Legal Citations:</i> NARUC 20; Illinois: 83 Ill. Adm. Code 615 Appendix A(18); New York: 16 NYCRR Accounts (460),(461),(463-465),(467),(602),(621),(924); 16 NYCRR 733.15(19-21); Virginia: 20 VAC 5-300-40(20),(21);		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Workers' Compensation	Records related to compensation to employees for on-the-job accidents; includes workers claims and all supporting documents and required filings	Final Resolution + 30
<i>Production Application:</i>		
<i>Legal Citations:</i> NARUC 21; Kentucky: KRS 342.400; Ohio: ORC Ann. 4123.26; OAC Ann. 4123-3-02; OAC Ann. 4123-3-35; OAC Ann. 4123-17-17; OAC Ann. 4123-19-03; West Virginia: W. Va. CSR 85-3-7; W. Va. CSR 85-9-4; W. Va. CSR 85-18-13; W. Va. CSR 85-18-15; W. Va. CSR 85-18-17; W. Va. CSR 85-20-5; Canada Federal: Canada Labour Standard Regulations s 24(4);		
<i>Security</i>		
Badge Records	Records documenting and tracking badge numbers issued to employees and non-employees	Active + 1
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Security Hotline / Intranet & Corporate Security Investigations	Notifications of security related incidents which may result in a case file and would include records documenting general investigations conducted by the Company's Security Department. The records consist of findings and other documentation of the investigators and records evidencing actions taken, disposition of charges, or other resolutions of matters	Final Resolution +5
<i>Production Application:</i>		
<i>Legal Citations:</i> California: 10 CCR 260.210		
Security System Records	Records related to design of security systems to ensure the protection of the organization's property, people, information and other assets. Typically includes risk analysis records, recommendations for new or upgraded security/protective systems, technical specifications, drawings, etc.	Active + 3
<i>Production Application:</i>		
<i>Legal Citations:</i>		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Security Videos	Videotapes produced from the organization's surveillance cameras	30 days
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Visitor Logs	Daily Logs showing visitors who register to enter the organization's premises for meetings and other business purposes	Current Year + 1
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Sales and Marketing		
Acquisitions Models	Models used to manage the process of acquisition of water/wastewater systems and O&M contracts for municipalities and the military	Until Superseded + 7
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Business Development Proposals	Proposals formally submitted in response to requests for proposals after receiving CDC approval; documentation includes information submitted by engineers, formal bid, proposals and supporting documentation	Current Year + 5
<i>Production Application:</i>		
<i>Legal Citations:</i>		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Business Development Proposals and Bid Files - Homeowner Services	Files on municipal service line protection program bids in which Homeowner Services participate; includes both successful and non-successful bids	Current Year + 10
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Commercial Development Committee Records	Meeting minutes and supporting documentation of the company's Commercial Development Committee (CDC). The records document the decision-making process concerning investments in the development of commercial opportunities. The proposed deals are analyzed by state committees and then by this, the national committee for final review/approval. The four stages are: policy approval, development approval, bid approval, and implementation approval. The deals are about any and all regulated and non-regulated business activities – the company's five lines of business: military, biosolids/residuals, operations and management, and homeowner services and applied water management. The cost, risks and benefits are analyzed, reviewed and approved, modified or rejected	Permanent
<i>Production Application:</i> Lotus Notes		
<i>Legal Citations:</i> Iowa: 199 IAC 40.4 (476);		
Market Development – Partner Relationships	Records related to new business development that is done by methods other than the company's traditional footprint. Examples include alternative relationships with municipalities and other non-traditional business develop methods	Life of Relationship + 10
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Marketing and Advertising Release Forms	Permission forms signed by employees to use their likeness in advertising or marketing pieces	Duration of Use of Corresponding Photography
<i>Production Application:</i>		
<i>Legal Citations:</i>		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Marketing Collateral	Marketing collateral describing products and services offered by the company. Collateral may include advertisements, brochures, bill inserts, program or special announcements, direct mail marketing pieces. Note: A sample copy of each collateral piece should be retained on a permanent, archival basis	Closure of Campaign + 6
<i>Production Application:</i>		
<i>Legal Citations:</i> NARUC 66; Maryland: COMAR 03.06.03.02; New Mexico: 17.3.350.9 NMAC; New York: 16 NYCRR 733.15(66); Virginia: 20 VAC 5-300-40(66);		
Marketing Collateral Development	Records related to the creation of marketing collateral including advertisements, brochures, bill inserts, program or special announcements. Records include final layouts, in-house copy drafts, outside agency cost estimates, estimate approvals, photography, vendor status reports and all supporting documentation	Active + 2
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Planning and Forecasting Guidance	Documentation prescribes the process, methodology and key assumptions required for use in the business planning process	Until Superseded + 5
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Procurement Documents - Successful	Requests for proposals (RFPs) and company responses. Also includes negotiation documents, meeting minutes, memos of understanding and other documents leading up to signed contracts	Expiration of Contract + 10
<i>Production Application:</i>		
<i>Legal Citations:</i>		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Procurement Documents - Unsuccessful	Requests for proposals (RFPs) and company responses. Also includes negotiation documents, meeting minutes, memos of understanding and related documents for unsecured business	Current Year + 3
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Public Internet Site Content	Content of the company's public internet sites, showing data concerning the company's identity, product offerings, investor relations, news releases or employment opportunities, etc.	Until Superseded
<i>Production Application:</i>		
<i>Legal Citations:</i>		
SalesForce.com Data Records	A repository used to track and manage prospective deals that are handled by business development. The data includes new leads, size/value of the opportunity and other descriptive information, customer/account information for new or existing customers, and other opportunity tracking data	Inactive + 5
<i>Production Application:</i> SalesForce.com		
<i>Legal Citations:</i>		
Trade Show Documentation	Documentation on the preparation for national shows; including leads lists, number of booth attendees, activity/event schedules. Note: A sample copy of sample material or templates from trade shows should be retained on a permanent, archival basis	Until Superseded + 5
<i>Production Application:</i>		
<i>Legal Citations:</i>		

Supply Chain

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Chemical Delivery Procedure Records	Records documenting deliveries of chemicals and similar consumables used in the operation of company facilities. Records include checklists used to validate the deliveries in terms of quality, volumes and cost, manifests and other related records	Current Year + 5
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Equipment Leases	Lease agreements and supporting documents for all leased equipment or other property, including master lease agreement, schedules, warranty, maintenance and return agreements	Expiration + 3
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Procurement Analyses Data	Records used to analyze and control company procurement costs. The data is captured and analyzed for spending controls, rate case preparation, and other purposes	Current Year + 5
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Purchase Orders	Documents created for the purpose of procuring goods and services. Purchase orders specify types and quantities of goods and services purchased, together with terms and conditions	Current Year + 7
<i>Production Application:</i>		
<i>Legal Citations:</i> Illinois: 83 Ill. Adm. Code 615 Appendix A(53); 86 Ill. Adm. Code 140.701; Iowa: 701 IAC 11.4 (422,423); 875 IAC 216.5 (91D); 875 IAC 216.6 (91D); Maryland: COMAR 03.06.03.02; Michigan: MCL 205.67; MCL 205.68; MCL 205.104; MCL 205.104a; Mich. Admin. Code R 205.23; Missouri: 12 CSR 10-3.574; New Jersey: N.J. Stat. 54:32B-16; New York: 20 NYCRR 533.2 (a),(b); Ohio: OAC Ann. 5703-9-02; Pennsylvania: 61 Pa. Code 34.2; West Virginia: W. Va. CSR 110-15-14a;		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Purchasing Agreements	Records consisting of contracts and agreements for the procurement of goods and services used by the company	Expiration of Agreement + 6
<i>Production Application:</i> SharePoint, QuickPlace		
<i>Legal Citations:</i> NARUC 40; New York: 16 NYCRR 733.15(40); Virginia: 20 VAC 5-300-40(40),(41);		
Receiving Documents	Records related to the receipt and inspection of goods purchased; typically includes records that document the conditions and quantities of actual goods received, delivery receipts, and packing lists	Current Year + 7
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 29 CFR 516.6;		
Strategic Sourcing Documentation	Records used to plan and execute sourcing of goods and services. The records show sourcing objectives, the competitor suppliers, justification/benefits	Inactive + 1
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Supplier Master Data Request Forms	Records consisting of procurement and supply chain documentation submitted by vendors. Includes W-9s, insurance certificates, supplier diversity certificates and other related records	Current Year + 6
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Utilities / Energy Invoices	Records consisting of invoices for utilities (electricity, water, natural gas) purchased by the company for internal use in operating its own buildings and facilities. This category excludes customer utility invoices	Current Year + 7
<i>Production Application:</i>		
<i>Legal Citations:</i>		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Vendor Files	Records used to manage relationships with vendors including service contractors (i.e. plumbers, sewer line cleaning contractors). Also include attestations received from vendors that the vendors has completed employee background checks to the company's standards	Life of Relationship + 3
<i>Production Application:</i>		
<i>Legal Citations:</i>		
Materials Management		
Asset Maintenance Records	Records of the maintenance performed on assets; including predictive maintenance, preventive maintenance and frequency of maintenance	Life of Asset
<i>Production Application:</i>		
<i>Legal Citations:</i> Kentucky: 807 KAR 5:071; Maryland: COMAR 20.70.02.04; COMAR 20.75.02.05; New Jersey: N.J.A.C. 14:9-2.2; Ohio: OAC Ann. 3745-7-09; OAC Ann. 4901:1-15-14; Tennessee: Tenn. Comp. R. & Regs. R. 1200-5-1-.20; Texas: 30 TAC 290.46; Virginia: 9 VAC 25-790-300; Ontario: Small Drinking Water Systems, O. Reg. 319/08 s 14,15;		
Computerized Maintenance Management System (CMMS)	System used to track the maintenance history of all assets and also contains asset inventories	Life of Asset
<i>Production Application:</i> Computerized Maintenance Management System (CMMS)		
<i>Legal Citations:</i>		
Inventory Reports	Reports showing quantities on hand of various inventory items (i.e. pipe, meters, flanges, chemicals and other items on which inventory is maintained). The data is downloaded from the JD Edwards system and is used to develop inventory turnover reports and otherwise manage the goods on inventory	13 Months
<i>Production Application:</i>		
<i>Legal Citations:</i>		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Property Inventory Records – Fixed Assets	Inventory records of installed equipment and other fixed assets	Life of Asset / Equipment
<i>Production Application:</i> JD Edwards, Jobplus, OPS SQL Software Database		
<i>Legal Citations:</i> NARUC 41,42,44; California: 22 CCR 64688; Illinois: 83 Ill. Adm. Code 615 Appendix A(12),(22),(23),(53-57); 86 Ill. Adm. Code 140.701; New York: 16 NYCRR 733.15(41),(42),(44); Ohio: OAC Ann. 3745-95-06; OAC Ann. 4901:1-15-12; Quebec: Minister of Revenue, R.S.Q. c. M-31, Ch. 1, Div. V s34, 35;		
Property Inventory Records – Turnover Assets	Inventory records of items that are used or consumed, depleted and restocked on a regular basis. Operational examples include: costs of chemicals; chemical inventory on hand, fuel inventory (diesel fuels), Stock E inventories, Stock C inventories, etc.	Current Year + 6
<i>Production Application:</i> JD Edwards, Jobplus, OPS SQL Software Database		
<i>Legal Citations:</i> NARUC 41,42,44; Illinois: 83 Ill. Adm. Code 615 Appendix A(54-57); 86 Ill. Adm. Code 140.701; Iowa: 701 IAC 11.4 (422,423); Maryland: COMAR 03.06.03.02; Michigan: MCL 205.67; MCL 205.68; MCL 205.104; MCL 205.104a; New York: 16 NYCRR 733.15(41),(42),(44); Ohio: OAC Ann. 4901:1-15-12; Virginia: 20 VAC 5-300-40(40-42),(43); Quebec: Minister of Revenue, R.S.Q. c. M-31, Ch. 1, Div. V s34, 35;		
<i>Transportation</i>		
Commercial Drivers Daily Logs	Logs of daily hours of service of each commercial vehicle as required by Department of Transportation	5 Years
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 49 CFR 395.8; Arizona: A.R.S. 23-286; California: 13 CCR 1212; Kentucky: 601 KAR 1:201; 601 KAR 9:135; New Mexico: 18.2.3.14 NMAC; New York: 12 NYCRR 175.4; 20 NYCRR 483.1; 20 NYCRR 483.2; Ohio: OAC Ann. 4901:2-1-03; Texas: 43 TAC 18.32; Canada Federal: Commercial Vehicle Drivers Hours of Service Regulations, SOR 2005-313, s 85; New Brunswick: Carrier Profile and Compliance Regulation, N.B. Reg. 2004-6;		
Commercial Vehicle Inspection Reports	Random vehicle inspections of commercial vehicles performed by performed by Department of Transportation and the Ontario Ministry of Transportation	Current Year + 3
<i>Production Application:</i>		
<i>Legal Citations:</i> Illinois: 86 Ill. Adm. Code 386.132; 92 Ill. Adm. Code 396.2010; New Mexico: 18.3.5.12 NMAC; Tennessee: Tenn. Comp. R. & Regs. 1340-6-1-.27;		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Driver Qualification Files	Documentation on commercially licensed drivers, used for DOT compliance reporting. Records may include employment applications, requests for past employment verifications and replies, driver physical examinations, new hire data sheets, road test records, copies of valid commercial driver's license (CDL) and social security card, motor vehicle reviews - originals and annuals, certificates of record of violations, annual reviews of driving records, pre-employment drug test statements, drug and alcohol inquiries from previous employers, copies of received company drug and alcohol policies, and receipts for federal motor carrier regulation handbooks	Duration of Employment + 3
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 49 CFR 380.511; 49 CFR 382.601; 49 CFR 382.301; 49 CFR 382.401; 49 CFR 391.25; 49 CFR 391.27; 49 CFR 391.31; 49 CFR 391.33; 49 CFR 391.51; 49 CFR 391.53; 49 CFR 396.11; Arizona: A.R.S. 28-5231; A.A.C. R17-5-204; California: 13 CCR 25.15; 13 CCR 1212; Michigan: MCL 480.13; MCL 480.14; Ohio: OAC Ann. 4901:2-5-04; New Brunswick: Carrier Profile and Compliance Regulation, N.B. Reg. 2004-6;		
Drivers Daily Trip Records	Records documenting that the company's fleet vehicles are safe for the trip and road. These are legal documents; driver attestations of vehicle road worthiness	2 Years
<i>Production Application:</i>		
<i>Legal Citations:</i> California: Cal Veh Code 34505.5; New Brunswick: Carrier Profile and Compliance Regulation, N.B. Reg. 2004-6;		
Vehicle (Fleet) Management Records	Records consisting of vehicle orders, maintenance records, fuel receipts, resale documents, titles, registrations, leases and related fleet management documentation	Life of Equipment
<i>Production Application:</i>		
<i>Legal Citations:</i> U.S. Federal: 49 CFR 396.11; California: Cal Veh Code 34505.5; Iowa: Iowa Code 326.19; Kentucky: KRS 131.185; KRS 138.680; 601 KAR 1:201; Maryland: COMAR 03.03.04.04; COMAR 20.95.01.12; Michigan: MCL 479.11; New Mexico: 18.3.7.13 NMAC; New York: 20 NYCRR 491.4; Ohio: ORC Ann. 5728.07; OAC Ann. 4901:2-17-04; Pennsylvania: 61 Pa. Code 313.13; Texas: 43 TAC 18.17; 43 TAC 18.32; West Virginia: W. Va. CSR 110-14a-5; New Brunswick: Carrier Profile and Compliance Regulation, N.B. Reg. 2004-6; Trip Inspection Report and Records Regulation, N.B. Reg. 94-77 s. 8; Quebec: Bills of Lading, R.Q. c. T-12; Quebec: Regulation respecting international highway transportation equipment, R.Q. c. I-1, r.14.001s. 7(2);		
Vehicle Accident Reports	Records used to report accidents involving company owned or leased vehicles. The records consist of investigation reports, photos and other related records	Final Resolution + 3
<i>Production Application:</i>		
<i>Legal Citations:</i>		

Business Process / Sub-Process

Record Series Name	Record Series Description	Retention Period
Vehicle Mileage Reports	Monthly mileage reports submitted by drivers	Current Year + 7

Production Application:

Legal Citations: Kentucky: KRS 138.680; 601 KAR 1:201; 601 KAR 9:135; Maryland: Md. Tax-General Code Ann. 9-209; COMAR 03.03.04.04; Pennsylvania: 75 Pa.C.S. 9610; 61 Pa. Code 313.12; Texas: Tex. Tax Code 162.115(i); Tex. Tax Code 162.216(i); 34 TAC 3.174; 34 TAC 3.340(b)(11); West Virginia: W. Va. CSR 110-14a-5; Quebec: Regulation respecting international highway transportation equipment, R.Q. c. I-1, r.14.001s. 7(2);

**KENTUCKY-AMERICAN WATER COMPANY
CASE NO. 2016-00394
RESPONSES TO COMMISSION STAFF'S
POST-HEARING DATA REQUESTS**

Witness: **Linda C. Bridwell**

2. Provide a detailed explanation and supporting evidence of any financial savings experienced by KAWC as a result of the transition to AMR meters.

Response:

In Case No. 2010-00036, KAW included \$12,253,716 for Labor and Labor Related Expenses including group insurance. There were 152 forecasted employees in that rate case, including 14 meter readers and 2 meter technicians. Looking at Workpaper 3-1 and 3-6 filed in response to the Commission Staff's First Request for Information in that case, those 16 employees represented \$972,974 of the overall Labor and Labor Related Expenses in that case. This does not include any costs for vehicles or equipment.

In Case No. 2012-00520, KAW included \$10,908,996 in Labor and Labor Related Expenses including group insurance. There were 138 forecasted employees of KAW based on reorganization and efficiencies in the operations. There were 9 meter readers and 1 meter technician with three of the meter reader positions scheduled to end during the forecasted period. Again, referring to Workpaper 3-1, those 10 employees represented \$575,756 of the overall Labor and Labor Related Expenses in that case.

In Case No. 2015-00418, KAW included \$10,844,106 in Labor and Labor Related Expenses including group insurance. There were 139 forecasted employees of KAW. There were 5 meter readers and 2 meter technicians. Again, referring to Workpaper 3-1, those 7 employees represented \$476,572 of the overall Labor and Labor Related Expenses in that case.

Since the 2010 rate case, KAW has not laid off any meter readers. The reductions in work force shown above have been handled through attrition, retirements, and expansion of other field service positions as needed. However, KAW customers have clearly experienced the financial savings from the transition to AMR meters.

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Witness: **Kevin N. Rogers**

3. Provide a detailed explanation of benefits KAWC has experienced as a result of the use of AMR meters in its system.

Response:

KAW completed its transition to automatic meter reading (AMR) technology in 2013 which has benefited the customer, the Company, and employees by providing better and more expansive information in a safer manner and at a significantly lower operating cost than was being incurred with the manually read meters. This technology clearly demonstrates a very valuable step forward, benefiting all the stakeholders.

AMR enables the Company to gather much more usage and diagnostic data than was previously available from manually read meters. This capability allows the Company to better profile usage data and patterns to identify potential leaks, reverse flow, magnetic tampering, and battery status as well as register and transmitter issues. This previously unavailable data allows for a monthly diagnostic capability to assess the functionality of the meter and offer better assurance the meter is operating safely and reliably. This new usage profiling also enables better explanations to the customer of unusual usage or patterns and helps their understanding in identifying plumbing or leak issues that could be unnecessarily contributing to their bills. The electronic data gathering is less prone to errors from number transpositions or other mistakes inherent in more manual data capturing methods and therefore reduces the risk for billing errors.

The drive-by technology of AMR provides a safer work environment by reducing the risk of injury to employees. AMR has proven to reduce: the risk of slips, trips, and falls; strains from the repetitive motion of lifting meter lids; and unpredictable encounters with dogs. These risks are inherently greater in the walking required for manually read meters. For rural settings, two meter readers would previously drive the route, stopping at each setting to allow one meter reader to get out of the vehicle to read the meter while the driver remained in the vehicle. With the AMR technology, KAW was able to eliminate the need for the second meter reader and utilize a much safer process for the meter reader. Our meter readers have had no recordable injuries since the conversion to AMR was completed in 2013.

AMR technology provides for very cost effective data gathering as well as increased visibility to real time work progress. The technology has allowed the Company to significantly improve its operating efficiency by reducing the manpower cost of meter reading from 15 people in 2009 to 5 in 2017. Based on 2017 labor expenses, this reduced

manpower avoided an estimated \$767,000 of labor and labor-related costs to our customers. AMR also gives the department supervisors visibility into the progress of work throughout the day. This allows the reassignment of resources to other areas as time becomes available, thereby also increasing productivity and avoiding additional costs to the customer.

Through discussions with personnel responsible for meter reading and meter repair, they have not noticed a specific increase in service orders generated following the transition to AMR. This could be a function of the gradual implementation (from 1998 through 2013) that KAW used to transition to AMR, or any number of other reasons. However, there is no question that the increased information generated gives both KAW and its customers greater confidence in the system operations.

AMR has demonstrated to be a significant step forward benefiting our customers with better, more accurate information, providing the Company with expanded, more meaningful information to better manage work resources throughout the day, assess the safety and reliability of our meters more frequently, and provide a safer work environment for our employees. All these benefits have been gained with an extremely cost effective solution for our customers by avoiding approximately \$767,000 of costs in 2017 alone.

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Witness: Linda C. Bridwell

4. Provide a list of other states and or jurisdictions where KAWC or its parent company, American Water Works Company, Inc. has requested confidential treatment of its Valve Inspection Procedures (as referenced in its Petition for Confidential Treatment filed on May 18, 2017). Provide the results of these requests.

Response:

American Water subsidiaries sought and received confidential protection of the Valve Operation, Inspection and Maintenance Practice in:

New Jersey
New York
Pennsylvania

In addition to the above, in general, American Water and its subsidiaries consider their Practices to be confidential and have sought and received confidential protection of their Practices in:

Illinois
Indiana
Iowa
Kentucky
Maryland
Missouri
Tennessee
Virginia
West Virginia

To our knowledge, confidential protection of American Water Practices has been granted in all states that have requested and filed copies of the Practices.

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Witness: **Linda C. Bridwell**

- 5.** In her testimony at the public hearing on October 31 2017, Linda Bridwell testified that KAWC would be conducting an internal audit regarding compliance with existing regulations. Provide a time frame in which that audit is expected to be completed.

Response:

Subsequent to the public hearing on October 31, 2017, KAW confirmed that two supervisors in the production department started an internal audit regarding compliance with existing PSC and DOW operational regulations. This was started after the notice of deficiency was received from the 2016 PSC Inspection. KAW is utilizing this initial effort to assist in completing a comprehensive internal audit regarding compliance with existing regulations. The comprehensive, internal audit will be completed by the end of 2017.

Because of the identification of the gap in KAW's compliance process, KAW will update the compliance audit annually beginning in 2018.