

Business Practice – Records Management

The purpose of this Business Practice is to ensure that Records of the Y-Squalicum Association are managed in a manner that allows for ease of their archival and retrieval while ensuring they are complete, protected, under configuration control and available upon request. The Association's Records cover a wide range of documents. Our records document the financial, administrative and operational history that support legal and informational requirements of our Association as found in hard copy and or electronic media. All documents are records and have a life cycle from the time of creation to their final disposition. The Association adopts best management practices as defined by the Records Managers Association and or a similar organization.

Records Manager

All records shall be managed by and under the control of the Secretary of the Association as described in this business practice. This includes but not limited to all key governing documents, correspondence, financial information, share/membership certificates, engineering plans, contracts, reports, agendas, meeting minutes of either the Board of Trustees, Committee of the Board and or Ad hoc and Standing Committees, Special Meetings and regulatory submissions required.

Archival and Retrieval

Records of the Association shall be archived in a manner that facilitates their ease of retrieval. Records, either electronic or hard copy, will be archived according to a filing structure, for hard copies, and an electronic directory structure, for electronic media, that consolidates related and or serially generated records. Electronic file names will use a combination of version, date and subject. As required, filing structures may be refined and or reorganized with a notification to the Board.

Final Disposition

All Records have a finite life with some records having specific legal requirements for retention, others retained as a matter of historical significance and others becoming obsolete as newer versions, duplicates, and or as their media changes (hardcopy going to electronic). Records destruction (a file's final disposition) of any type will require the record to be completely destroyed in the presence of the Records Manager and any Board member with a note to file on what was destroyed.

Completeness

Completeness of records is a legal requirement and providing defense in administrative matters to include but not limited to various types of audits, meetings, member lists and continuity of share and their assignments, all manner of inquiries, and actions/decisions/precedence taken by the Association and or its Board of Trustees as well as regulatory submissions such as tax filings, reports, and responses to regulatory

requests and completeness of required governing documents. Operational completeness allows for the accurate physical accounting for distribution lines, tank(s), inventory, water metering information, sampling/reporting and problem investigation/resolution.

As required an audit of completeness of files may be conducted to identify missing files and or a gap in traceability for any matter.

Protection

Records of the Association shall be protected to ensure that they are kept in a safe access controlled environment under the control of the Secretary. No hardcopy files may leave the access controlled environment but a request for copies can be accommodated by any member and or regulatory entity. Electronic files may be released by the Secretary upon request.

Hard Copy records may be duplicated as required and or deemed necessary with a second set held at a separate location to safe guard in the case of fire/flood or some other disaster. Electronic records shall be backed up on a routine basis with the back up copy stored in a separate safe location such as a web based storage location or separate electronic back up device storage at a safe location.

Records of the Association may contain personal and sensitive information that may require limited access to other members and certainly out side entities. Judgment in the release of certain records may require the Secretary to confer with the Board to determine specific information release conditions or limitations.

Requests for and access to records should remain within normal business hours.

Configuration Control

Key documents of the Association such as By Laws, Policies shall be affixed with Document Control Coversheets as well as version identifiers. The Coversheet identifies the document with its own unique creation, review and adoption amplifying information as well as acknowledgement of required annual review by Trustees. This ensures that the most current version of the key governing document is always identified and that there is tractability to previous documents.

Other key documents such as members contact lists, inventory, meeting minutes and summaries, correspondence should always contain the date of creation and or version to ensure the most current is in affect and or referred to.

Engineering Plans typically come with all the configuration control documentation from the original asbuilt engineering drawing with appropriate version control information. In the event a different engineering company or the same company does work on any part of the system the most current asbuilt drawing will be offered to ensure that any and all design changes to the original asbuilt are captured. Also if minor information such as

new line replacement, upgrade to size, composition and functionality of equipment, new flush points, valves, and connections and or any system component are changed, the information should be added as a “Red Pen” note to the most recent Engineering Plan and then incorporated in the next official drawing update.

Records that occur in the public domain such as the Association Website must be reviewed to ensure that they are appropriate for open source posting and that both electronic and hard copy versions are the same.