

**RESOLUTION NO. 2022-2291**

**A RESOLUTION APPROVING REVISION FOR BOARD POLICY F-110 RECORDS  
RETENTION AND ADOPTING A RECORDS RETENTION SCHEDULE AND AUTHORIZING  
DESTRUCTION OF CERTAIN AGENCY RECORDS**

**THE LAS GALLINAS VALLEY SANITARY DISTRICT**

**WHEREAS**, the Board of Directors ("Board") has determined that a comprehensive list of Policies and Procedures for the Board is in the best interest of the District; and

**WHEREAS**, the Board has compiled a comprehensive list of Policies and Procedures to serve as the rules and regulations of the Board; and

**WHEREAS**, the Board did adopt such comprehensive list of Policies and Procedures on July 9, 2009; and

**WHEREAS**, such policies may need to be updated from time to time; and

**WHEREAS**, the maintenance of numerous records is expensive, slows document retrieval, and is not necessary after a certain period of time for the effective and efficient operation of the government of the Las Gallinas Valley Sanitary District; and

**WHEREAS**, Section 60200 of the Government Code of the State of California provides that the legislative body of a Special District may authorize at any time the destruction or disposition of any duplicate record, paper, or document, the original or a permanent photographic record of which is in the files of any officer or department of the Agency; and

**WHEREAS**, Section 60201 of the Government Code of the State of California provides that Agency records which have served their purpose, which are not expressly required by law to be filed and persevered, and which will not adversely affect any interest of the Agency or public may be destroyed; and

**WHEREAS**, the Agency has a procedure to maintain a list of the types of records destroyed or disposed of that reasonably identifies the information contained in the records in each category; and

**WHEREAS**, the Agency previously adopted Board Policy F-110 Records Retention;

**NOW, THEREFORE, THE BOARD OF DIRECTORS OF THE LAS GALLINAS**

**VALLEY SANITARY DISTRICT DOES RESOLVE AS FOLLOWS:**

**Section 1.** Previously approved Board Policy F-110 Records Retention is hereby revoked and declared null and void;

**Section 2.** The Board of Directors finds that the destruction or disposition of the records series that have exceeded the retention periods as set forth in the Records Retention Schedule Exhibit A will not adversely affect any interest of the Agency or the public.

**Section 3.** The records of the Las Gallinas Valley Sanitary District, as set forth in the Records Retention Schedule Exhibit A, attached hereto and incorporated herein by this reference, are hereby authorized to be destroyed as provided by Section 60201 et seq. of the Government Code of the State of California and in accordance with the provision of said schedule in accordance with Agency policies and procedures, and with the approval of the Department Head and General Manager.

**Section 4.** With the consent of the Department Head and General Manager, updates are hereby authorized to be made to the Records Retention Schedule without further action of the Board of Directors.

**Section 5.** The term "records" as used herein shall include documents, instructions, books, microforms, electronic files, magnetic tape, optical media, or papers; as defined by the California Public Records Act.

**Section 6.** This resolution shall become effective immediately upon its passage and adoption.

**NOW THEREFORE**, the Board of Directors of the Las Gallinas Valley Sanitary District approves the following revised policy sections: F-110 Records Retention. The previously approved Board Policy F-110 is hereby revoked and declared null and void.

If any policy or portion of a policy contained within the Policies and Procedures is in conflict with rules, regulations, or legislation having authority over the Las Gallinas Valley Sanitary District, said rules, regulations or legislation shall prevail.

The Policies and Procedures shall remain in effect until amended by at least a majority vote of the Board of Directors.

\* \* \* \* \*

I hereby certify that the forgoing is a full, true, and correct copy of a resolution duly and regularly passed and adopted by the Sanitary Board of the Las Gallinas Valley Sanitary District, Marin County, California, at a meeting thereof held on the 1<sup>st</sup> day of December 2022, by the following vote of the members thereof:

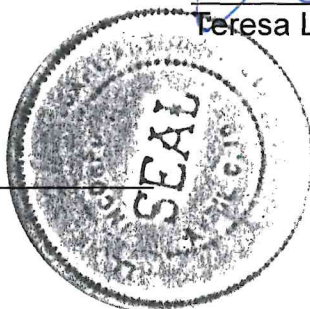
AYES, and in favor thereof Members: *Clark, Ford, Murray and Yezman*  
NOES, Members: *None.*  
ABSENT, Members: *None.*  
ABSTAIN, Members: *None.*

*Teresa Lerch*  
\_\_\_\_\_  
Teresa Lerch, District Secretary

APPROVED:

*Crystal J. Yezman*

\_\_\_\_\_  
Crystal J. Yezman, Vice-President



## HOW TO USE RETENTION SCHEDULES

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A legend explaining the information presented in the retention schedule has been printed on the back of each page for your easy reference; an index to locate records is also provided.

The specified retention period applies regardless of the media of the record: If a record is stored on paper media (hard copies,) and in electronic media as a copy or original, both records should be destroyed (or erased) after the specified period of time has elapsed.

Copies or duplicates of records should never be retained longer than the prescribed period for the original record.

### **STRUCTURE: DISTRICTWIDE, DEPARTMENTS & DIVISIONS**

The District-wide retention schedule includes those records all departments have in common (letters, memorandums, purchase orders, etc.). These records are NOT repeated in the Department retention schedule, unless that department is the Office of Record, and therefore responsible for maintaining the original record for the prescribed length of time.

Each department has a separate retention schedule that describes the records that are unique to their department, or for which they are the Office of Record. Where appropriate, the department retention schedules are organized by Division within that Department. If a record is not listed in your department retention schedule, refer to the District-wide retention schedule. An index will be provided for your reference.

### **BENEFITS**

This retention schedule has been developed by Diane R. Gladwell, MMC, an expert in Municipal Government records, and will provide the District with the following benefits:

- Reduce administrative expenses, expedite procedures
- Free filing cabinet and office space
- Reduce the cost of records storage
- Eliminate duplication of effort within the District
- Find records faster
- Easier purging of file folders
- Determine what media should be used to store records

For questions, please contact the Board Secretary.

### **AUTHORIZATION TO DESTROY RECORDS:**

Destruction of an original record that has exceeded its retention period must be authorized according to District Policies & Procedures prior to destroying it. [Authorization prior to destruction \(or deletion\) is required whether the District's original record or official record is stored in electronic or paper \(hard copy\) format.](#)

- If there is a **minimum** retention ("**Minimum 2 years**"), destruction of the document must be authorized before it is destroyed, as it is an original record.

Copies, drafts, notes and non-records do NOT require authorization, and can be destroyed "When No Longer Required."

- If there is **NOT** a minimum retention ("When No Longer Required"), it does NOT need to be authorized prior to destruction, as it is a preliminary draft / transitory record or a copy.

On every page of the schedules (near the top, just under the column headings) are important instructions, including instructions regarding holds on destroying records. "**Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).**"

## RECORDS RETENTION SCHEDULE: DISTRICT-WIDE STANDARDS

Office of Record (OFR)	Records Series No.	Records Description	Total Retention	Vital?	Media Options	Image: I=Import S=Scan	Destroy Paper after Imaged & QC'd?	Comments / Reference	Legal Mandate
Retentions apply to the department that is NOT the Office of Record (OFR) or the "Lead Department". If you are the OFR, refer to your department retention schedule.									
Retentions imply full file folder + (e.g. last document + 2 years), since destruction is normally performed by file folder.									
HOLDS: Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).									
<b>DISTRICT-WIDE (Used by All Departments)</b>									
Lead Dept.	DW-001	Agreements & Contracts - <b>ADMINISTRATIVE RECORDS</b>  (Correspondence, insurance certificates, project schedules, certified payrolls, RFPs etc. <b>Excludes</b> drafts, notes, and transitory correspondence)	Completion + 10 years		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	Also see Grants. Covers E&O Statute of Limitations; Published Audit Standards=4-7 years; Statute of Limitations: Contracts & Spec's=4 years, Wrongful Death=comp. + 5 years, Developers must retain their records for completion + 10 years; CCP §337 et. seq., GC §60201	None
Lead Dept.	DW-002	Agreements & Contracts: <b>Unsuccessful bids or proposals</b>	Bid Opening +2 years		Mag, Ppr			District records are a minimum of 2 years; Special Districts are required to keep public works unaccepted bids for 2 years; GC §60201(d)(11)	2 years
Lead Dept.	DW-003	Committees or Task Forces: <b>Internal</b> (Employees only - e.g., Management Team meetings, etc.)	2 years		Mag, Ppr			GC §60201	None
	DW-004	Committees, Task Forces, Associations, Commissions, & Boards: <b>External</b> Organizations (e.g. Association of California Water Agencies, etc.)	When No Longer Required		Mag, Ppr			Non-records	None

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<i>Retentions apply to the department that is NOT the Office of Record (OFR) or the "Lead Department". If you are the OFR, refer to your department retention schedule.</i>									
<i>Retentions imply full file folder + (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>									
<b>HOLDS:</b> <i>Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>									
Dept. that Authors Document or Receives the District's Original Document	DW-005	Correspondence - Routine  <b>Content relates in a substantive way to the conduct of the public's business</b>  (e .g. Administrative, Chronological, General Files, Letters, Memorandums, Miscellaneous Press Releases, Public Records Requests Reports, Reading, Working Files, etc. Does NOT include Regulatory Agency Correspondence)	Minimum 2 years		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	GC §60201; City of San Jose v. Superior Court (Smith). S218066. Supreme Court of California, 2017	None

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Office of Record (OFR)	Records Series No.	Records Description	Total Retention	Vital?	Media Options	Image: I=Import S=Scan	Destroy Paper after Imaged & QC'd?	Comments / Reference	Legal Mandate
<i>Retentions apply to the department that is NOT the Office of Record (OFR) or the "Lead Department". If you are the OFR, refer to your department retention schedule.</i>									
<i>Retentions imply full file folder + (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>									
<b>HOLDS:</b> <i>Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>									
Dept. that Authors Document or Receives the District's Original Document	DW-006	<p>Correspondence - <b>TRANSITORY / PRELIMINARY DRAFTS</b>, Interagency and Intraagency Memoranda NOT retained in the ordinary course of business</p> <p><b>Content NOT Substantive</b>, or NOT made or retained for the purpose of preserving the informational content for future reference</p> <p>(e.g. calendars, checklists, e-mail, social media posting, employee directories, flyers, invitations, instant messaging, inventories, logs, mailing lists, meeting room registrations, speaker cards, staff videoconference chats, notes and recordings, supply inventories, staff videoconferences, chats, notes, recordings, telephone messages, text messages, transmittal letters, thank yous, requests from other cities, preliminary notices for construction projects, undeliverable envelopes, visitors logs, voice mails, webpages, etc.)</p>	When No Longer Required		Mag, Ppr			<p>Electronic and paper records are categorized, filed and retained based upon the <b>CONTENT</b> of the record. Records where <b>either the Content relates in a substantive way to the conduct of the public's business</b>, or ARE made or retained for the purpose of preserving the informational content for future reference <b>are saved</b> by placing them in an electronic or paper (project) file folder and retained for the applicable retention period. If not mentioned here, consult District Counsel to determine if a record is considered transitory / preliminary draft. GC §§60201, 6252, 6254(a); 64 Ops. Cal. Atty. Gen. 317 (1981)); City of San Jose v. Superior Court (Smith). S218066. Supreme Court of California, 2017</p>	None

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Office of Record (OFR)	Records Series No.	Records Description	Total Retention	Vital?	Media Options	Image: I=Import S=Scan	Destroy Paper after Imaged & QC'd?	Comments / Reference	Legal Mandate
<i>Retentions apply to the department that is NOT the Office of Record (OFR) or the "Lead Department". If you are the OFR, refer to your department retention schedule.</i>									
<i>Retentions imply full file folder + (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>									
<b>HOLDS:</b> <i>Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>									
Lead Dept. Responsible for Resolution	DW-007	Customer Issues and Concerns (excludes Clean Water Act)	Minimum 2 years	Yes: Before Resolution	Mag, Ppr			District preference; Statute of Limitations for public official misconduct is discovery of offense + 4 years ; State and Fed laws is until final disposition of formal complaint; State requires 2 years after action; EVC § 1045, GC §§12946, 12960, 60201; PC §§801.5, 803(c), VC §2547	None
Lead Dept.	DW-008	Drafts & Notes: Drafts that are revised (retain final version)	When No Longer Required		Mag, Ppr			As long as the drafts and notes are not retained in the "Regular Course of Business". Consult the General Counsel to determine if a record is considered a draft. GC §§60201, 6252, 6254(a)	None
Lead Dept.	DW-009	Grants / FEMA or OES Reimbursement Claims / Reimbursable Claims / Subventions ( <b>SUCCESSFUL</b> Reports, other records required to pass the funding agency's audit, if required)  Applications (successful), program rules, regulations & procedures, reports to grant funding agencies, correspondence, audit records, completion records	After Funding Agency Audit, if required - <b>Minimum 7 years</b>		Mag, Ppr			District Preference; Meets auditing standards; Uniform Admin. Requirements for Grants to Local Governments is 3 years from expenditure report or final payment of grantee or subgrantee; 2 CFR 200.334; 24 CFR 91.105(h), 92.505, 570.490, & 570.502(a); OMB Circular A-110 & A-133; GC §§8546.7, 62001	3 years from expenditure report or final payment of grantee or subgrantee
Lead Dept.	DW-010	Grants: <b>UNSUCCESSFUL</b> (Applications, Correspondence, etc.)	2 years		Mag, Ppr			GC §60201	None
Lead Department	DW-011	Notice of Completion	P		Mag, Mfr, OD, Ppr	S/I	No	District Preference (infrastructure / disaster recovery); CCP § 337 et. seq., GC §60201	None

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<i>Retentions apply to the department that is NOT the Office of Record (OFR) or the "Lead Department". If you are the OFR, refer to your department retention schedule.</i>									
<i>Retentions imply full file folder + (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>									
<b>HOLDS:</b> <i>Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>									
Human Resources	DW-012	Personnel Files - Department-level files. Official personnel files are maintained by Human Resources	Do Not Retain in Department	Before Separation	Mag, Ppr			Ensure records kept in Department files comply with District policy; Originals are maintained by Human Resources. Supervisors notes should be incorporated in the employee's annual performance review; 29 CFR 1602.31 & 1627.3(b)(ii), 8 CCR §3204(d)(1) et seq., GC §§12946, 12960, 60201	None
Human Resources	DW-013	Personnel Folders - Department-level <b>Supervisor's Notes</b> . Personnel files are maintained by Human Resources	1 year (included in annual perf. appraisal)		Mag, Ppr			Preliminary drafts; Ensure records kept in Department files comply with District policy; Originals are maintained by Human Resources. Supervisors notes should be incorporated in the employee's annual performance review; 29 CFR 1602.31 & 1627.3(b)(ii), 8 CCR §3204(d)(1) et seq., GC §§12946, 12960, 60201	None
Lead Dept.	DW-014	Reference Materials: Policies, Procedures, Brochures, Manuals, & Reports: Produced by <b>OTHER</b> Departments	When Superseded		Mag, OD, Mfr, Ppr			Copies; GC §60200	None
Lead Dept.	DW-015	Reference Materials: Policies, Procedures, Brochures, Manuals, & Reports: Produced by <b>OUTSIDE ORGANIZATIONS</b>	When No Longer Required		Mag, Ppr			Non-Records	None
Dept. that <b>Authors</b> Document	DW-016	Reference Materials: Policies, Procedures, Brochures, Manuals, & Reports: Produced by <b>YOUR</b> Department	Minimum of Superseded + 2 years		Mag, Mfr, OD, Ppr	S / I	Yes: When Super-seded	District Secretary maintains Board Policies, Human Resources maintains other Administrative Policies; Documents of historical significance should be retained longer; GC §60201	None



**RECORDS RETENTION SCHEDULE: DISTRICT-WIDE STANDARDS**

Office of Record (OFR)	Records Series No.	Records Description	Total Retention	Vital?	Media Options	Image: I=Import S=Scan	Destroy Paper after Imaged & QC'd?	Comments / Reference	Legal Mandate
<i>Retentions apply to the department that is NOT the Office of Record (OFR) or the "Lead Department". If you are the OFR, refer to your department retention schedule.</i>									
<i>Retentions imply full file folder + (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>									
<b>HOLDS:</b> <i>Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>									
Lead Dept.	DW-017	Reports and Studies - White Papers, Issue Papers, Scientific Studies (other than Annual Reports - e.g. Water Rate Study)	Minimum 2 years		Mag, Ppr			GC §60201	None
Safety & Risk Manage.	DW-018	SDS (Safety Data Sheets) / MSDS (Material Safety Data Sheets)	Superseded		Mag, Mfr, OD, Ppr	S	Yes: After Inactive	Copies; GC §60200	None
Lead Dept.	DW-019	Surveys / Questionnaires (that the District issues).  If a summary of the data is compiled, the survey forms are considered a draft or transitory record, and can be destroyed as drafts (When No Longer Required)	2 years		Mag, Ppr			GC §§60200, 60201	None
Lead Dept.	DW-020	Training - <b>All Course Records</b>  (Attendance Rosters, Outlines and Materials; includes Ethics, Harassment Prevention, Safety training, Tailgates)	5 years		Mag, Mfr, OD, Ppr	S	Yes: When Inactive	District Preference; Ethics & Harassment Prevention Training is 5 years; Statewide guidelines propose 7 years; Calif. Labor Division is required to keep their OSHA records 7 years; EEOC/FLSA/ADEA (Age) requires 3 years for promotion, demotion, transfer, selection, or discharge; State Law requires 2 -3 years for personnel actions; 8 CCR §3203 et seq., 29 CFR 1602.31; LC §6429(c); GC §§12946, 12960, 60201, 53235.2(b); 53237.2(b)	5 years

**RECORDS RETENTION SCHEDULE: ADMINISTRATIVE SERVICES**

Office of Record (OFR)	Records Series No.	Records Description	Total Retention	Vital?	Media Options	Image: I=Import S=Scan	Destroy Paper after Imaged & QC'd?	Comments / Reference	Legal Mandate
<i>If the record is not listed here, refer to the Retention for District-Wide Standards.</i>									
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>									
<b>HOLDS: Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</b>									
<b>ADMINISTRATIVE SERVICES / FINANCE / ACCOUNTING &amp; BUDGETING</b>									
Admin. Services / Finance / Accounting & Budgeting	AS-001	1099's, 1096's	7 years		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	IRS: 4 years after tax is due or paid (longer for auditing & contractor delinquency); Ca. FTB: 3 years; IRS Reg §31.6001-1(e)(2), R&T §19530, GC §60201(d)(12); 29 USC 436	4 years after tax is due or paid
Admin. Services / Finance / Accounting & Budgeting	AS-002	Accounts Payable Source Records & Purchase Orders (All Records and Reports Includes Invoices, Receivers, Packing Slips, Travel Expense Reimbursements, etc.)	7 years	Yes: Until Paid	Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	May contain independent contractor's compensation, expense reimbursement, or District credit card records; Meets municipal government auditing standards; GC §60201(d)(12)	7 years
Admin. Services / Finance / Accounting & Budgeting	AS-003	Accounts Receivable Source Records (All Records and Reports,	7 years	Yes: Until Paid	Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	District Preference; Meets municipal government auditing standards; GC §60201	None
Admin. Services / Finance / Accounting & Budgeting	AS-004	Audit Backup / Audit Work Papers	5 years		Mag, Ppr			District Preference; GC §60201	None
Admin. Services / Finance / Accounting & Budgeting	AS-005	Audited Financial Statements / Annual Comprehensive Financial Report (ACFR)	P		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	District Preference; District Secretary retains original permanently; GC §60201 et seq.	None
Admin. Services / Finance / Accounting & Budgeting	AS-006	Bank Deposits; Cash receipt summary, Electronic Payment Report, Direct Debit Reports, etc. (non-water)	7 years		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	District Preference; Meets municipal government auditing standards; GC §60201	None

**RECORDS RETENTION SCHEDULE: ADMINISTRATIVE SERVICES**

Office of Record (OFR)	Records Series No.	Records Description	Total Retention	Vital?	Media Options	Image: I=Import S=Scan	Destroy Paper after Imaged & QC'd?	Comments / Reference	Legal Mandate
<i>If the record is not listed here, refer to the Retention for District-Wide Standards.</i>									
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>									
<b>HOLDS:</b> <i>Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>									
Admin. Services / Finance / Accounting & Budgeting	AS-007	Bank Reconciliation & Bank Statements (Transaction Statements, Wire Transfers, Check Listing Audit Trail, Deposits, Returned Checks, etc.)	7 years		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	District Preference; Meets municipal government auditing standards; GC §60201	None
Admin. Services / Finance / Accounting & Budgeting	AS-008	Budget Transfer Requests & Journals, Budget Adjustments	7 years	Yes: Current Fiscal Year	Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	District Preference; Administrative Services maintains originals; longer for administrative value; GC §60201 et seq.	None
Admin. Services / Finance / Accounting & Budgeting	AS-009	Budgets - Adopted (Proposed Budget with all Changes)	P	Yes: Current Fiscal Year	Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	Administrative Services is OFR: Must be filed with County Auditor; GC §60200, 53901	None
Admin. Services / Finance / Accounting & Budgeting	AS-010	Check Registers	7 years		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	District Preference; Statute of Limitations is 4 years; Meets municipal government auditing standards; GC §60201, CCP § 337	None
Admin. Services / Finance / Accounting & Budgeting	AS-011	Checks - Canceled (Cashed) or Voided	7 years		Mag, OD, Ppr	S / I	Yes (Bank Portal)	May contain independent contractor's compensation; Statute of Limitations is 4 years; Meets municipal government auditing standards; GC §60201(d)(12), CCP § 337	7 years
Admin. Services / Finance / Accounting & Budgeting	AS-012	Claims / Claim for Damages / Lawsuits / Litigation	Final Settlement + 5 years	Yes: Until Resolution	Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	District Preference; Meets municipal government auditing standards and applicable statute of limitations; CCP §§ 337 et seq.; GC §§ 911.2, 60201 et seq.;	None

**RECORDS RETENTION SCHEDULE: ADMINISTRATIVE SERVICES**

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Admin. Services / Finance / Accounting & Budgeting	AS-013	Depreciation Schedules	P		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	District Preference to facilitate GASB 34; GC §60201	None
Admin. Services / Finance / Accounting & Budgeting	AS-014	Employee reimbursements (e.g. Boot Allowance, etc.)	7 years	Yes: Until Paid	Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	GC §60201(d)(12)	7 years
Admin. Services / Finance / Accounting & Budgeting	AS-015	Escheatment	7 years		Mag, Ppr	S / I	Yes: After QC & OD	District Preference; CCP §340(d); GC §60201	None
Admin. Services / Finance / Accounting & Budgeting	AS-016	Financial Database (QuickBooks / Caselle)	Indefinite - Minimum 7 years		Mag			Data is interrelated; GC §60201	7 years
Admin. Services / Finance / Accounting & Budgeting	AS-017	Financial Reports: Journals, Ledgers, Reconciliations, Registers, Reports, Transaction Histories, Balance Sheets, Budget Adjustments	When No Longer Required		Mag, Ppr			Draft / Preliminary documents (the financial database is the original); GC §60201	None
Admin. Services / Finance / Accounting & Budgeting	AS-018	Fixed Assets - Auction / Disposal / Sales / Surplused	7 years		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	District Preference; Meets municipal government auditing standards; GC §60201	None

**RECORDS RETENTION SCHEDULE: ADMINISTRATIVE SERVICES**

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Admin. Services / Finance / Accounting & Budgeting	AS-019	Fixed Assets - Inventory, Schedule of Infrastructure and Buildings	7 years		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	District Preference; GC §60201	None
Admin. Services / Finance / Accounting & Budgeting	AS-020	Journal Entries	7 years		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	District Preference; Statute of Limitations is 4 years; GC §60201, CCP §337	None
Admin. Services / Finance / Accounting & Budgeting	AS-021	Monthly & Quarterly Billing (for property damage, recycled water billing etc.)	7 years		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	District Preference; Meets municipal government auditing standards; GC §60201	None
Admin. Services / Finance / Accounting & Budgeting	AS-022	Property Tax Assessments / Assessor's Tax Roll / Billing	7 years	Yes	Mag, OD, Mfr, Ppr	S / I	Yes: After QC & OD	District Preference; Meets municipal government auditing standards; GC §60201	None
Admin. Services / Finance / Accounting & Budgeting	AS-023	Reports - State and Federal (State Controllers Report, Financial Transaction Report (FTR), Government Compensation Report, etc.)	7 years		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	District Preference; Meets municipal government auditing standards; GC §60201	None
Admin. Services / Customer Service	AS-024	Sewer Lateral Assistance Program	Fully Paid + 10 years	Yes: Until Paid	Mag, Ppr, Mfr, OD	S / I	Yes: After QC & OD	District Preference (may be placed on property taxes); GC §60201	None

**RECORDS RETENTION SCHEDULE: ADMINISTRATIVE SERVICES**

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<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>									
<b>HOLDS:</b> <i>Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>									
Admin. Services / Finance / Accounting & Budgeting	AS-025	W-9s	Vendor Inactive + 3 years		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	Meets IRS auditing standards; GC §60201	Vendor Inactive + 3 years
<b>ADMINISTRATIVE SERVICES / FINANCE</b>									
Admin. Services / Finance / Admin.	AS-026	Bonds / Certificates of Participation (issued by the District)	Fully Defeased + 10 years	Yes: Until Defeased	Mag, Mfr, OD, Ppr	S / I	No	Statute of Limitations for bonds, mortgages, trust deeds, notes or debentures is 6 years; Bonds issued by local governments are 10 years; There are specific requirements for disposal of unused bonds; CCP §§336 et seq., 337.5(a); GC §43900 et seq.	None
Admin. Services / Finance / Admin.	AS-027	Investment Files - Receipts / Advisor Reports / Trade Tickets / LAIF (Local Agency Investment Fund)	7 years	Yes: Until Paid	Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	District Preference; Meets auditing standards; FTC Reg's rely on "self-enforcement"; GC §§ 60201, 43900	None
Admin. Services / Finance / Admin.	AS-028	Rate Ballots and Mailings - Prop. 218 proceedings / Protest Letters / Prop 218 Ballots	2 years		Mag, Ppr			GC §53753(e)(2)	None
Admin. Services / Finance / Admin.	AS-029	Rate Studies (Rates are adopted by the Board)	7 years		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	District Preference; Meets municipal government auditing standards; GC §60201	None
<b>ADMINISTRATIVE SERVICES / FINANCE / PAYROLL</b>									
Admin. Services / Finance / Payroll	AS-030	CalPERS Reports; Annual Valuation Reports, Actuarial Valuation Reports, Annual Employer Statements	7 years		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	District Preference; GC §60201	None

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<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>									
<b>HOLDS:</b> <i>Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>									
Admin. Services / Finance / Payroll	AS-031	DE-6, DE-7, DE-9 DE-43, W-3, & DE-166, 941 Forms, IRS 5500 Forms (Employee Benefit Plans), PERS / FICA & Medicare Adjustments - Quarterly Payroll Tax Returns / OASDI, Federal Tax Deposits, Adjustments, etc.	7 years		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	District Preference; IRS: 4 yrs after tax is due or paid; Ca. FTB: 3 years; IRS Reg §31.6001-1(e)(2), R&T §19530; 29CFR 516.5 - 516.6, 29USC 436, GC §60201	4 years after tax is due or paid
Admin. Services / Finance / Payroll	AS-032	Deferred Compensation - Employee Statements	When No Longer Required		Mag, Ppr			Non-records; GC §60201	None
Admin. Services / Finance / Payroll	AS-033	Employee Payroll File: Includes deductions, garnishments, W-4s, etc.	Separation + 7 years	Yes: Until Separation	Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	District Preference to match auditing standards; EEOC/FLSA/ADEA (Age) requires 3 years for promotion, demotion, transfer, selection, or discharge; State Law requires 2 -3 years; retirement benefits is 6 years from last action; IRS Regulation 31-6001-1 four years after the due date of such tax for the return period to which the records relate, or the date such tax is paid, whichever is the later. 29 CFR 1602.31 & 1627.3(b)(ii), 8 CCR §3204(d)(1) et seq., GC §§12946, 60201; 29 USC 1113	7 years; W-4s: 4 years after the due date of such tax for the return period to which the records relate, or the date such tax is paid, whichever is the later.
Admin. Services / Finance / Payroll	AS-034	Payroll Reports / Payroll Registers	7 years		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	Draft / Preliminary documents used to reconcile accounts and produce final year-end detail payroll register; GC §60201	7 years

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<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>									
<b>HOLDS:</b> <i>Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>									
Admin. Services / Finance / Payroll	AS-035	PERS Reports (All)	7 years		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	District Preference; PERS is maintains original records; retained to meet auditing standards; GC §60201 et seq.	None
Admin. Services / Finance / Payroll	AS-036	Timesheets / Timecards	7 years		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	District Preference; Meets auditing standards (audit + 4 years); IRS requires 4 years; other State and Federal regulations require 2 years; FTB keeps 3 years; 29 CFR 516.5 & 516.6(a)(1); IRS Reg §31.6001-1(e)(2), R&T §19530; LC § 1174(d); GC §60201	7 years
Admin. Services / Finance / Payroll	AS-037	W-2's	7 years		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	IRS: 4 yrs after tax is due or paid; Ca. FTB: 3 years; IRS Reg §31.6001-1(e)(2), R&T §19530; 29CFR 516.5 - 516.6, 29 USC 436, GC §60201(d)(12)	4 years after tax is due or paid
<b>ADMINISTRATIVE SERVICES / CUSTOMER SERVICE</b>									
Admin. Services / Customer Service	AS-038	ACH (Automated Clearing House / Direct Debit) Reports and Statements	7 years	Yes: Until Paid	Mag, OD, Mfr, Ppr	S / I	Yes: After QC & OD	District Preference; Meets municipal government auditing standards; GC §60201	None
Admin. Services / Customer Service	AS-039	Adjustments to Customer Accounts	7 years	Yes	Mag, OD, Mfr, Ppr	S / I	Yes: After QC & OD	District Preference; Meets municipal government auditing standards; GC §60201	None
Admin. Services / Customer Service	AS-040	Bank Deposits, Cash receipt summary, Electronic Payment Report, Direct Debit Reports, Credit Card Receipts for In-Person Payments, etc.	7 years		Mag, OD, Mfr, Ppr	S / I	Yes: After QC & OD	District Preference; Meets municipal government auditing standards; GC §60201	None



**RECORDS RETENTION SCHEDULE: ADMINISTRATIVE SERVICES**

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<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>									
<b>HOLDS:</b> <i>Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>									
Admin. Services / Customer Service	AS-041	Checks deposited to Bank (District scans them for the Bank, rather than physically taking the checks to the bank to deposit them.)	Follow Bank Instructions	Yes	Mag, OD, Mfr, Ppr	S / I	Yes: After QC & OD	These are bank instruments, and not District records; per bank agreement.	None
Admin. Services / Customer Service	AS-042	Low Income Reduced Rate Applications	After Eligibility Expires	Yes	Mag, Ppr, Mfr, OD	S / I	Yes: After QC & OD	District Preference (applicants must re-apply every 2 years); GC §60201	None
Admin. Services / Customer Service	AS-043	Payment Stubs	After Annual Audit		Ppr			Preliminary draft (some payments do not have stubs with them); GC §60201	None
Admin. Services / Customer Service	AS-044	Returned Checks / Payments not assigned to a collection agency (placed on Property Tax Rolls)	7 years	Yes: Until Paid	Mag, OD, Mfr, Ppr	S / I	Yes: After QC & OD	District Preference; Meets municipal government auditing standards; GC §60201	None
Admin. Services / Customer Service	AS-045	Unpaid Debts (Write-offs)	7 years		Mag, OD, Mfr, Ppr	S / I	Yes: After QC & OD	Debts are considered discharged when written off; negative credit information remains on credit reports for 7 years; GC §60201	None
<b>ADMINISTRATIVE SERVICES / HUMAN RESOURCES</b>									
AS / Human Resources	AS-046	1095-C, 1094-C (Employer-Provided Health Insurance Offer and Coverage & Transmittal Form)	5 years		Mag, OD, Mfr, Ppr	S / I	Yes: After QC & OD	District Preference; Instructions state "Generally, keep copies of information returns you filed with the IRS or have the ability to reconstruct the data for at least 3 years, from the due date of the returns" GC §60201	None
AS / Human Resources	AS-047	Appeals	Final Disposition + 2 years		Mag, OD, Mfr, Ppr	S / I	Yes: After QC & OD	All State and Federal laws require retention until final disposition of case; State requires 2 years after action is taken; GC §§12946, 12960, 60201	None

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<i>If the record is not listed here, refer to the Retention for District-Wide Standards.</i>									
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>									
<b>HOLDS:</b> <i>Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>									
AS / Human Resources	AS-048	Applications for Employment or Resumes: <b>Solicited, but not hired</b>	4 years		Mag, OD, Mfr, Ppr	S / I	Yes: After QC & OD	EEOC / FLSA / ADEA (Age) statute of limitations is 1-3 years; State Law requires 2 years; Reports & Data used to compile EEO reports are required for 3 years; 29 CFR 1602 et seq & 1627.3(a)(5) and (6), 2 CCR 11013(c); 8 CCR §11040.7( c), GC §§12946, 12960, 60201	4 years
AS / Human Resources	AS-049	Applications for Employment or Resumes: <b>Unsolicited (no open position),</b> candidates not hired	When No Longer Required		Mag, Ppr			No positions open; therefore not deemed part of District recruitment practices; considered a transitory record not materially impacting the conduct of the public's business; GC §60201	None
AS / Human Resources	AS-050	Background Files - Hired Employees	Termination + 5 years		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	Retained for administrative value; consistent with job dimensions established by P.O.S.T.; GC §60201	None
AS / Human Resources	AS-051	Benefit Policy Files / Benefit Plans (CalPERs Health, Dental, Life Insurance, etc)	Plan Termination + 6 years	Yes: Before Expiration	Mag, Mfr, OD, Ppr	S/I	Yes: After QC & OD	EEOC / ADEA (Age) requires 1 year after benefit plan termination; Federal law requires 6 years after filing date for retirement; State Law requires 2 years after action; 29 CFR 1627.3(b)(2); 29 USC 1027; 11 CCR 560; 28 CCR 1300.85.1; GC §60201	6 years after filing date
AS / Human Resources	AS-052	Claims & Litigation (Personnel issues only)	Final Disposition + 5 years	Yes: Until Final Disposition	Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	District Preference; Statute of Limitations for most contracts is 4 years; CCP §§ 337 et seq.; GC §§ 945, 60201	None

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<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>									
<b>HOLDS:</b> <i>Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>									
AS / Human Resources	AS-053	Classification / Compensation Studies and Surveys (for employee classifications)	50 years		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	District Preference; Bureau of National Affairs recommends 2 years for all supplementary Personnel records; Wage rate tables are 1 or 2 years; State requires 2 years; 29 CFR 516.6(2), 29 CFR 1602.14, GC §§12946, 12960, 60201	None
AS / Human Resources	AS-054	Classification Specification Working Files (used to develop Master Classifications)	Superseded + 3 years		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	District Preference; Bureau of National Affairs recommends 2 years for all supplementary Personnel records; State requires 2 years; 29 CFR 516.6(2), 29 CFR 1602.14, GC §§12946, 12960, 60201	None
AS / Human Resources	AS-055	COBRA - Employees	Expiration of Eligibility + 2 years		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	Department preference; 29 CFR 1627.3(2); GC §§12946, 12960, 60201	None
AS / Human Resources	AS-056	COBRA - Plan	Plan Termination + 2 years		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	EEOC / ADEA (Age) requires 1 year after benefit plan termination; 29 CFR 1627.3(2); GC §§12946, 12960, 60201	None
AS / Human Resources	AS-057	COVID-19 Notifications to Employees	3 years		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	LC §6409.6(k), GC §60201	3 years
AS / Human Resources	AS-058	Department of Fair Employment & Housing (DFEH or EEOC) Claims that are resolved administratively / Harassment Claims	Final Disposition + 5 years		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	Consistent with other claim retentions (Attorney handles cases that are not resolved administratively); All State and Federal laws require retention until final disposition of formal complaint; State requires 2 years after action is taken; 2 CCR 11013(c); GC §§12946, 12960, 60201	2 years after action is taken

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<b>HOLDS:</b> <i>Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>									
AS / Human Resources	AS-059	Department of Health Services Licenses and Certifications for Employees (Plant Operators, etc.)	Expiration of License or Certification		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	GC §60201	None
AS / Human Resources	AS-060	Disciplinary Investigations: Includes Hearing Notes	Minimum Final Disposition + 3 years		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	EEOC / FLSA / ADEA (Age) requires 3 years for demotions or discharges; State Law requires 2 years; 29 CFR 1627.3(b)(ii), GC §§12946, 12960, 60201	2 years after action is taken
AS / Human Resources	AS-061	DMV Pull Notices	When Superseded or Separated		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	District preference (DMV record that the District considers a non-record used for reference); CHP audits every 2 years; Bureau of National Affairs recommends 2 years for all supplementary Personnel records; GC §60201	None
AS / Human Resources	AS-062	Drug Testing - Negative or Positive Results	5 years		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	D.O.T. Requires 5 years for positive tests, refusals, annual summaries, etc, 1 year for negative tests; EEOC / FLSA / ADEA (Age) requires 3 years physical examinations; State Law requires 2 years; 29 CFR 1627.3(b)(1)(v), GC §§12946, 12960, 60201; 49 CFR 655.71 et seq.; 49 CFR 382.401 et seq	5 years
AS / Human Resources	AS-063	EDD Reports of New Hires (Employment Development Department) - DE34	3 years		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	EEOC / FLSA / ADEA (Age) statute of limitations is 1-3 years; State Law requires 2 years; Reports & Data used to compile EEO reports are required for 3 years; 29 CFR 1602 et seq & 1627.3(a)(5) and (6), 2 CCR 11013(c); 8 CCR §11040.7( c), GC §§12946, 12960, 60201	2 years

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AS / Human Resources	AS-064	FMLA Requests	Minimum 2 years		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	GC §60201	None
AS / Human Resources	AS-065	FPPC 700 Series Forms (Statement of Economic Interests): <b>DESIGNATED EMPLOYEES</b> (specified in the District's Conflict of Interest code)	7 years		Mag, Mfr, OD, Ppr	S / I	Yes: After 2 years	District Secretary maintains records for only Board Members; GC §81009(e)&(g)	7 years
AS / Human Resources	AS-066	Grievances	Final Disposition + 5 years	Yes: Before Disposition	Mag, Mfr, OD, Ppr	S/I	Yes: After QC & OD	District Preference; All State and Federal laws require retention until final disposition of formal complaint; State requires 2 years after action is taken; 29 CFR 1602.31 & 1627.3(b)(1) , GC §§12946, 12960, 60201; LC 1174	2 years after action is taken
AS / Human Resources	AS-067	I-9 (Employment Eligibility Verification)	Separation + 3 years		Mag, Mfr, OD, Ppr	S/I	Yes: After QC & OD	Required for 1 year from termination or 3 years from hiring, whichever is later; EEOC / FLSA / ADEA (Age) requires 3 years for "any other forms of employment inquiry"; State Law requires 2 -3 years; INA 274A(b)(3); INS Rule 274a.1(b)(2); 29 CFR 1627.3(b)(i), GC §§12946, 12960, 60201	1 year from termination or 3 years from hiring, whichever is later
AS / Human Resources	AS-068	Insurance Policies - <b>General Liability, Workers Compensation</b>	P	Yes: Until Expired	Mag, Mfr, OD, Ppr	S / I	Yes: After QC	Department Preference; Covers longest possible statute of limitations; CCP §337 et seq.; 8 CCR §3204(d)(1) et seq., 8 CCR 5144, 8 CCR 15400.2; 29 CFR 1910.1020(d)(1)(i); GC §§ 911.2, 60201	None

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<b>HOLDS:</b> <i>Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>									
AS / Human Resources	AS-069	Insurance Policies - <b>Property, Fire, Theft, etc.</b>	Expiration + 4 years	Yes: Until Expired	Mag, Mfr, OD, Ppr	S / I	Yes: After QC	Department Preference; Covers statute of limitations for contracts; CCP §337 et seq.; GC §60201	None
AS / Human Resources	AS-070	Job Description History File / Board Adopted Classifications	50 years		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	District Preference; Bureau of National Affairs recommends 2 years for all supplementary Personnel records; Wage rate tables are 1 or 2 years; State requires 2 years; 29 CFR 516.6(2), 29 CFR 1602.14, LC §1197.5; GC §§12946, 12960, 60201	None
GM / District Secretary	AS-071	MOUs - Memorandas of Understanding	Superseded + 20 years	Yes	Mag, Mfr, OD, Ppr	S/I	Yes: After QC & OD	District Preference (District Secretary maintains originals); GC §60200	None
AS / Human Resources	AS-072	Personnel Files ( <b>General / Main</b> )  (Includes Application, Awards, DMV Reports, Disciplinary Actions, Certifications, Commendations, Evaluations, Licenses, Personnel Action Forms, Policy acknowledgements, etc. Excludes Medical Records)	Separation + 6 years	Yes: Until Separation	Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	District Preference; Retirement benefits is 6 years from last action; EEOC/FLSA/ADEA (Age) requires 3 years for promotion, demotion, transfer, selection, or discharge; State Law requires 2 -3 years; ; 29 CFR 1602.14; 1602.31 & 1627.3(b)(ii), GC §§12946, 12960, 60201 29 USC 1113; LC §1198.5	Separation + 4 years
AS / Human Resources	AS-073	Personnel Files ( <b>Medical/Confidential Records</b> )	Separation + 30 years	Yes: Until Separation	Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	District Preference; Files maintained separately; Claims can be made for 30 years for toxic substance exposure; 8 CCR §3204(d)(1) et seq., 8 CCR 5144, 8 CCR 15400.2; 29 CFR 1910.1020(d)(1)(i), GC §§12946, 12960, 60201	Separation + 4 years
AS / Human Resources	AS-074	Policies NOT adopted by the Board of Directors (Work Papers / Preliminary Drafts)	When No Longer Required		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	Preliminary Drafts; GC § 60201	None

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<b>HOLDS:</b> <i>Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>									
AS / Human Resources	AS-075	Professional Services (e.g. Temporaries hired through an outside personnel company). Includes resume, background clearances	Completion + 6 years		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	Statute of Limitations for written contracts are four years from the date of breach; District Preference; EEOC/FLSA/ADEA (Age) requires 3 years for promotion, demotion, transfer, selection, or discharge; State Law requires 2 -3 years; retirement benefits is 6 years from last action; 29 CFR 1602.31 & 1627.3(b)(ii), 8 CCR §3204(d)(1) et seq., GC §§12946, 12960, 60201; 29 USC 1113	None
AS / Human Resources	AS-076	Recruitment Files: Brochure, advertisement, unsuccessful applications (with or without interviews), selection materials, interview notes, results, etc.	4 years		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	State Law requires 4 years; 29 CFR 1627.3(b)(i), 29 CFR 1602.14 et seq. 2 CCR 11013(c), GC §§12946, 12960, 60201	4 years
AS / Human Resources	AS-077	Reimbursement Programs (e.g. boots, vision, child care, etc.)	7 years		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	Meets municipal government auditing standards; GC §60201	7 years
AS / Human Resources	AS-078	Retirement Files (Managed by CalPERS)	Separation + 6 years	Yes: Until Separation	Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	District Preference; EEOC/FLSA/ADEA (Age) requires 3 years for promotion, demotion, transfer, selection, or discharge; State Law requires 2 -3 years; retirement benefits is 6 years from last action; 29 CFR 1602.31 & 1627.3(b)(ii), 8 CCR §3204(d)(1) et seq., GC §§12946, 12960, 60201; 29 USC 1113	Separation + 4 years
AS / Human Resources	AS-079	Salary Schedules / Classification / Compensation Schedules	10 years		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	District Preference (District Secretary maintains originals, as they are adopted by Resolution); GC §60201	None

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<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>									
<b>HOLDS:</b> <i>Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>									
AS / Human Resources	AS-080	Unemployment Insurance: Claims	Final Disposition + 2 years		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	All State and Federal laws require retention until final disposition; State requires 2 years after action is taken; GC §§12946, 12960, 60201	2 years after action is taken
AS / Human Resources	AS-081	Union Negotiation Notes	10 years		Mag, Ppr			District Preference (Preliminary drafts used for interpreting the intent or establishing the reason for provisions); GC § 60201	None
AS / Human Resources	AS-082	Workers Compensation Files with Adjustments <b>with</b> Future Care Awards, Permanent Disability Award, Lifetime Medical Awards	Upon Death of Employee + 1 year	Yes: Until Fully Paid	Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	District Preference; Files maintained separately; Claims can be made for 30 years for toxic substance exposure; 8 CCR §3204(d)(1) et seq., 8 CCR 5144, 8 CCR 15400.2; 29 CFR 1910.1020(d)(1)(i), GC §§12946, 12960, 60201	None
AS / Human Resources	AS-083	Workers Compensation Files with Adjustments <b>without</b> Future Care Awards, Permanent Disability Award, Lifetime Awards	Separation + 30 years		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	District Preference; Files maintained separately; Claims can be made for 30 years for toxic substance exposure; 8 CCR §3204(d)(1) et seq., 8 CCR 5144, 8 CCR 15400.2; 29 CFR 1910.1020(d)(1)(i), GC §§12946, 12960, 60201	None
<b>ADMINISTRATIVE SERVICES / INFORMATION TECHNOLOGY</b>									
AS / Information Technology	AS-084	Backups (Computer Backups)	When No Longer Required	Yes	Mag.			Used for Disaster Recovery Purposes Only; Considered a copy and can be destroyed when no longer required; GC §60200 et seq.	None
AS / Information Technology	AS-085	Software Licenses, Warrantees, Installation Media	When No Longer Used		Mag.			District Preference; GC §60201 et seq.	None



**RECORDS RETENTION SCHEDULE: ADMINISTRATIVE SERVICES**

Office of Record (OFR)	Records Series No.	Records Description	Total Retention	Vital?	Media Options	Image: I=Import S=Scan	Destroy Paper after Imaged & QC'd?	Comments / Reference	Legal Mandate
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<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>									
<b>HOLDS:</b> <i>Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>									
AS / Information Technology	AS-086	UNALTERABLE MEDIA / IMMUTABLE MEDIA (Cloud Immutable Backup, WORM / DVD-r / CD-r / Blue Ray-R) or other unalterable media that does not permit additions, deletions, or changes	P		OD			For legal compliance for Trustworthy Electronic Records (when the electronic record serves as the official record); must be stored in a "safe and separate location"; GC 60200, 12168.7, EVC 1550, 2 CCR 22620 et seq..	None
<b>ADMINISTRATIVE SERVICES / SOLID WASTE</b>									
Admin. Services / Solid Waste	AS-087	AB 939 Compliance / SB 1383 Compliance (Organic Waste Collection and Recycling) Tonnage Reports / Weights & Measures / Waste Diversion Reports	10 years		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	District Preference; SB 1383 compliance is required for 5 years; Low-Carbon Fuel Standard regulations credits can be received for 10 years, and are eligible for an extension; 14 CCR § 18995; 2 H&S §39730.7; GC §60201	5 years
Admin. Services / Solid Waste	AS-088	Agreements & Contracts - <b>Franchise Agreement For Curbside Collection, Household Hazardous Waste, Recycling, etc.</b> <b>ADMINISTRATIVE RECORDS</b>  Correspondence, project schedules, etc.	Completion + 5 years		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	District Preference; Most do not have E&O (Statute of Limitations for E&O is 10 years - insurance certificates are filed with agreement); Statute of Limitations: Contracts & Spec's=4 years, Wrongful Death=comp. + 5 years, CCP §§336(a), 337 et. seq., GC §60201	None

**RECORDS RETENTION SCHEDULE: COLLECTION SYSTEM, MAINTENANCE & SAFETY**

Office of Record (OFR)	Records Series No.	Records Description	Total Retention	Vital?	Media Options	Image: I=Import S=Scan	Destroy Paper after Imaged & QC'd?	Comments / Reference	Legal Mandate
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<i>HOLDS: Litigation, complaints, claims, pending public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion)</i>									
<b>COLLECTION SYSTEM</b>									
Collection System	COL-001	Assignment Sheets	5 years		Mag, Ppr, OD	S / I	Yes: After QC & OD	NPDES Permits require work schedules be retained for 5 years; EEOC's basic requirement is 1 year after action; Bureau of National Affairs recommends 2 years for work schedules; 29 CFR 516.6(1), 29 CFR 1602.14, GC § 60201	5 years
Collection System	COL-002	CCTV Collection Line Inspection Tapes / Video Inspections / Video Tapes or Digital Recordings - <b>District Inspections, Customer Videos for either the Lateral Replacement Assistance Program or upon Sale of a Property (Ordinance 180)</b>	5 years		Mag			District Preference; GC §60201 et seq.	None
Collection System	COL-003	Equipment History / Certifications / Repair Orders (Pumps, Pump Stations, Sewer Lift Stations, etc.)	Upon Disposal of Equipment		Mag, Ppr, OD	S / I	Yes: After QC & OD	District Preference; GC §60201 et seq.	None
Collection System	COL-004	Equipment Inspection Records	5 years		Mag, Ppr, OD	S / I	Yes: After QC & OD	District Preference to be consistent with other records; GC §60201	None
Collection System	COL-005	Generator Operation Logs	5 years		Mag, Ppr			AQMD Rule 1470; Form 400-E-13a instructions, GC §60201	5 years
Collection System	COL-006	GIS database	When Superseded	Yes	Mag.			District Preference (Preliminary documents); the Lead Department should print out historical documents prior to replacing the data; GC §60200, 60201 et seq.	None
Lead Dept.	COL-007	Hazardous Waste Manifests	P		Mag, Ppr, OD	S / I	Yes: After QC & OD	District Preference (District has "cradle to grave" liability); 40 CFR 262.40, 8 CCR 3204(d)(1)(A), 22 CCR 66262.40; GC §60201	None

**RECORDS RETENTION SCHEDULE: COLLECTION SYSTEM, MAINTENANCE & SAFETY**

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<i>HOLDS: Litigation, complaints, claims, pending public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion)</i>									
Collection System	COL-008	HHW - Household Hazardous Waste Annual Report	5 years		Mag, Ppr, OD	S / I	Yes: After QC & OD	District Preference (test results for hazardous waste generators are required for 3 years); 40 CFR 262.40, 8 CCR 3204(d)(1)(A), 22 CCR 66262.40	3 years
Collection System	COL-009	HHW - Household Hazardous Waste Disposal Receipts	5 years		Mag, Ppr, OD	S / I	Yes: After QC & OD	District Preference (test results for hazardous waste generators are required for 3 years); 40 CFR 262.40, 8 CCR 3204(d)(1)(A), 22 CCR 66262.40	3 years
Collection System	COL-010	Incident Reports / Service Requests	2 years	Yes: Before Resolution	Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	District preference to cover one complete system cleaning cycle; Statute of Limitations for public official misconduct is discovery of offense + 4 years ; State and Fed laws is until final disposition of formal complaint; State requires 2 years after action; EVC § 1045, GC §§12946, 12960, 60201; PC §§801.5, 803(c), VC §2547	2 years after action
Collection System	COL-011	Maintenance Files: Pump Stations / Wet Wells / Basins	5 years		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	District preference; GC §60201	None
Collection System	COL-012	Operations and Maintenance Manuals	Upon Disposal of Equipment		Mag, Ppr, OD	S / I	Yes: After QC & OD	GC §60201	None

**RECORDS RETENTION SCHEDULE: COLLECTION SYSTEM, MAINTENANCE & SAFETY**

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Collection System OR Plant Operations / Regulatory Compliance ?	COL-013	Sanitary Sewer Overflows (SSOs) / Collection System Spill Reports	5 years		Mag, Ppr, OD	S / I	Yes: After QC & OD	Required for a minimum of 5 years; 40 CFR 122.41(j)(2); SWRCB Order 2006-03; 40 CFR 122.41(j)(2); GC §60201	5 years
Collection System	COL-014	Sewer Connections / Laterals / Permits	P	Yes: Until Completed	Mag, OD, Ppr	S / I	Yes: After QC & OD	District Preference; GC §60201 et seq.	None
Collection System	COL-015	Sewer System Management Plans (SSMP) and Audits; Sanitary Spills Overflow Prevention Plan (SSOPP) and Sanitary Sewer Overflow Response Plan	Superseded + 5 years		Mag, Ppr, OD	S / I	Yes: After QC & OD	District Preference; SSOs are required for a minimum of 5 years; 40 CFR 122.41(j)(2); SWRCB Order 2006-03; 40 CFR 122.41(j)(2); GC §60201	None
Collection System	COL-016	Underground Service Alerts (USAs) / Dig Alerts, Utility Cuts, etc.	3 years		Mag, Ppr, OD	S / I	Yes: After QC & OD	Department Preference (the Regional Notification Center has the obligation to retain the notice for 3 years); GC §§4216.2(d) & 4216.3(d), 60201	None
Collection System	COL-017	Vehicle & Equipment - Maintenance (Collections Only)	Sale of Vehicle or Equipment + 1 year		Mag Ppr			District preference; If a motor carrier, required for 18 months after vehicle is sold; CHP requires life of vehicle; OSHA requires 1 year; 8 CCR § 3203(b)(1); 49 CFR 396.21(b)(1); 49 CFR 396.3(c); CCP §337 et. seq., 13 CCR 1234(f); GC §60201	Life of Vehicle
<b>MAINTENANCE</b>									
Division Providing Service / Work	OPS-018	Work Orders / Service Requests <b>CMMS DATABASE</b> (Computerized Maintenance Management System)	Indefinite		Mag			Data is interrelated; Sewage Sludge is required for 5 years; GC §§4216.2(f) & 4216.3(d); 40 CFR 61.54, 122.41(j)(2), 503.47; GC §60201	5 years (sewage Sludge)

**RECORDS RETENTION SCHEDULE: COLLECTION SYSTEM, MAINTENANCE & SAFETY**

Office of Record (OFR)	Records Series No.	Records Description	Total Retention	Vital?	Media Options	Image: I=Import S=Scan	Destroy Paper after Imaged & QC'd?	Comments / Reference	Legal Mandate
<i>If the record is not listed here, refer to the Retention for District-Wide Standards.</i>									
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>									
<i>HOLDS: Litigation, complaints, claims, pending public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion)</i>									
Division Providing Service / Work	OPS-019	Work Orders / Service Requests - <b>All Information Entered in CMMS Database</b>  (Paper drafts)	When No Longer Required		Mag Ppr			Source Documents / Preliminary documents not retained in the ordinary course of business GC §60201	None
Division Providing Service / Work	OPS-020	Work Orders / Service Requests - <b>NOT entered in CMMS Database</b> (or partial information entered into CMMS Database)  (Division providing service retains originals; Division requesting service is considered a copy)	5 years		Mag Ppr			Sewage Sludge is required for 5 years; GC §§4216.2(f) & 4216.3(d); 40 CFR 61.54, 122.41(j)(2), 503.47; GC §60201	5 years (sewage Sludge)
<b>SAFETY</b>									
Safety	COL-021	Cal-OSHA Inspections & Citations	5 years		Mag, Ppr, OD	S / I	Yes: After QC & OD	District Preference; Calif. Labor Division is required to keep their records 7 years; OSHA requires 5 years; State law requires 2 years; 8 CCR 14300.33(a); 29 CFR 1904.33, 29 CFR 1904.44; GC §60201 et seq.; LC §6429c	5 years
Safety	COL-022	Confined Space Entries / Hot Work Permits & Logs (Permitted entries into confined spaces such as sewers in order to comply with regulations)	2 years		Mag, Ppr, OD	S / I	Yes: After QC & OD	8 CCR 5157(d)(14) & (e)(6); 29 CFR 1910.146(e)(6); GC§60201	2 years
Safety	COL-023	Gas Detectors (Portable)	5 years		Mag, Ppr, OD	S / I	Yes: After QC & OD	District Preference; GC §60200	None
Safety	COL-024	Investigations: Incidents, Unusual Occurrences or Near Misses	5 years		Mag, Ppr, OD	S / I	Yes: After QC & OD	District Preference; GC §60200	None
Safety	COL-025	Lockout-Blockout / Lockout-Tagout	5 years		Mag, Ppr, OD	S / I	Yes: After QC & OD	District Preference; GC §60201 et seq.	None
Safety	COL-026	Safety Committee / Internal Safety Steering Committee / Safety Task Force	5 years		Mag, Ppr, OD	S / I	Yes: After QC & OD	District Preference; GC §60201 et seq.	None

**RECORDS RETENTION SCHEDULE: COLLECTION SYSTEM, MAINTENANCE & SAFETY**

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Safety	COL-027	Safety Data Sheets (SDS) / MSDS Masters (Material Safety Data Sheets) / Chemical Use Report Form (or records of the chemical / substance / agent, where & when it was used)	Superseded + 30 years		Mag, Mfr, OD, Ppr	S	Yes: When Inactive	Previous SDS may be obtained from a service; SDS may be destroyed as long as a record of the chemical / substance / agent, where & when it was used is maintained for 30 years; Applies to qualified employers; Claims can be made for 30 years for toxic substance exposures; 8 CCR 3204(d)(1)(B)(2 and 3), 29 CFR 1910.1020(d)(1)(ii)(B), GC §60201	30 years
Safety	COL-028	Safety Inspections / Correspondence / Logs	5 years		Mag, Ppr, OD	S / I	Yes: After QC & OD	District Preference; GC §60201 et seq.	None
Safety	COL-029	Safety Training File	Separation + 5 years		Mag, Ppr, OD	S / I	Yes: After QC & OD	District Preference; EPA requires 10 years; Statewide guidelines propose 7 years; Calif. Labor Division is required to keep their OSHA records 7 years; EEOC/FLSA/ADEA (Age) requires 3 years for promotion, demotion, transfer, selection, or discharge; State Law requires 2 -3 years; 29 CFR 1627.3(b)(1), 40 CFR 792.195; 8 CCR §3204(d)(1) et seq., GC §§12946, 12960, 60201	5 years

**RECORDS RETENTION SCHEDULE: DISTRICT ENGINEER**

Office of Record (OFR)	Retention No.	Records Description	Total Retention	Vital?	Media Options	Image: I=Import S=Scan	Destroy Paper after Imaged & QC'd?	Comments / Reference	Legal Mandate
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<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>									
<i>HOLDS: Litigation, complaints, claims, pending public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion)</i>									
<b>DISTRICT ENGINEER</b>									
District Engineer	ENG-001	Agreements & Contracts ( <b>ENGINEERING DESIGN OR CONSTRUCTION PROJECTS</b> )	P	Yes: All	Mag, Mfr, OD, Ppr	S	Yes: After QC & OD	Considered fully discharged when no further work is required by the District; Covers E&O Statute of Limitations (insurance certificates are filed with agreement); Statute of Limitations: Contracts & Spec's=4 years, Wrongful Death=comp. + 5 years, Developers=comp. + 10 years; CCP §337 et. seq., GC §60201	None
District Engineer	ENG-002	Bonds: Bid Bonds / Bidders Bonds / Letters of Credit ( <a href="#">for Unsuccessful Bidders</a> )	After Award to Successful Bidder	Yes: Until Project Completed	Mag, OD, Ppr	S / I	Yes: After QC & OD	Financial Instruments submitted with proposals; GC §60201	None
District Engineer	ENG-003	Bonds: Labor & Maintenance Bonds, Performance Bonds	After District Engineer Release	Yes: Until Project Completed	Mag, OD, Ppr	S / I	Yes: After QC & OD	Financial Instrument to guarantee successful project completion; GC §60201	None
District Engineer	ENG-004	Capital Improvement Projects (CIP) <b>Administration File</b> Project Administration, Certified Payrolls, Construction Manager's Logs, Hazardous Materials Plans, Meeting Minutes, Project Schedules, Progress meetings, Real Estate Appraisals, Construction Inspection Logs, Daily Inspections, Daily Logs, Punch Lists, etc.	Completion + 10 years or After Funding Agency Audit, if required, whichever is longer	Yes: Until Completed	Mag, Mfr, OD, Ppr	S/I	Yes: After QC & OD	Some grant funding agencies require audits; Statute of Limitations for Errors & Omissions is 10 years; Published Audit Standards=4-7 years; Statute of Limitations: Contracts & Spec's=4 years, Wrongful Death=comp. + 5 years, Developers=comp. + 10 years; Statewide guidelines propose termination + 5 years; CCP §337 et. seq., GC §60201	None

**RECORDS RETENTION SCHEDULE: DISTRICT ENGINEER**

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<i>HOLDS: Litigation, complaints, claims, pending public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion)</i>									
District Engineer	ENG-005	Capital Improvement Projects (CIP): <b>Permanent File</b>  Specifications & Addenda, Contract Copies, Change Orders, CEQA / Environmental Documents - EIRs, Negative Declarations, Exemptions, Materials Testing Reports, Photos, PHA (Process Hazard Analysis) / Process Safety Information RFIs & Responses, Soil Reports, Studies, Submittals, Successful Proposal, Surveys, etc.	P	Yes: Until Completed	Mag, Mfr, OD, Ppr	S/I	Yes: After QC & OD	District Preference; retained for disaster preparedness purposes; Statewide guidelines propose Permanent for Infrastructure plans; Final environmental determinations are required to be kept a "reasonable period of time"; 14 CCR §15095(c); CCP §337 et. seq., GC §60201	reasonable period of time - CEQA
District Engineer	ENG-006	CEQA / NEPA Documents: <b>Correspondence &amp; Staff Notes</b> (Environmental Determinations: Environmental Impact Reports (EIRs), Negative Declarations, Categorical Exemptions, etc.)	Completion + 30 days		Mag, Ppr, OD	S / I	Yes: After QC & OD	Not all internal communications and notes are required to be saved; "E-mails that do not provide insight into the project or the agency's CEQA compliance with respect to the project — are not within the scope of section 21167.6, subdivision (e) and need not be retained." Golden Door Properties, LLC v. Superior Court of San Diego County (County of San Diego, et al., Real Parties in Interest) (53 Cal.App.5th 733); PRC 21167,6; GC §60201	Completion of CEQA Process
District Engineer	ENG-007	CEQA / NEPA Documents: <b>Prepared by District</b> (Environmental Impact Reports (EIRs), Environmental Assessments, Negative Declarations, etc)	P (Maintained in Project File)	Yes: Until Project Completed	Mag, OD, Ppr	S / I	Yes: After QC & OD	Copies usually filed in Project File (Water Resources is OFR); GC §60201	reasonable period of time - CEQA



**RECORDS RETENTION SCHEDULE: DISTRICT ENGINEER**

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(Other Agencies)	ENG-008	CEQA / NEPA Documents: <b>Prepared by Others</b> (District comments) (Environmental Impact Reports (EIRs), Environmental Assessments, Negative Declarations, etc)	When No Longer Required	Yes: Until Project Completed	Mag, OD, Ppr	S / I	Yes: After QC & OD	Not District Records (the Lead Agency retains the originals).	None
District Engineer	ENG-009	Drawings, Maps, Plans and Record Drawings, Large-Format Drawings, Survey Record Maps, "As-Built"	P	Yes (all)	Mag, Mfr, OD, Ppr	S/I	No (disaster response)	Drafts should be destroyed; GC §60201	None
District Engineer	ENG-010	Preliminary Studies / Project Assessments (Not Acquired or Built)	Minimum 10 years		Mag, OD, Ppr	S / I	Yes: After QC & OD	District Preference; GC §60201	None
District Engineer	ENG-011	Private Development: <b>Administration File</b> Construction Inspections, Construction Bonds, Indemnity Bonds, Photos, Private Lab Verifications, Testing Lab Final Reports	Completion + 10 years	Yes: Until Completed	Mag, Mfr, OD, Ppr	S/I	Yes: After QC & OD	Statute of Limitations for Errors & Omissions is 10 years; Published Audit Standards=4-7 years; Statute of Limitations: Contracts & Spec's=4 years, Wrongful Death=comp. + 5 years, Developers=comp. + 10 years; Statewide guidelines propose termination + 5 years; CCP §337 et. seq., GC §60201	None
District Engineer	ENG-012	Private Development: <b>Permanent File</b> Drainage, Encroachments, Grading Permits & Plans, Rights of Way, Soils Reports, Real Property: Dedications, Easements, Abandonments Record Drawings / As-Built	P	Yes: Until Completed	Mag, Mfr, OD, Ppr	S/I	Yes: After QC & OD	District Preference; retained for disaster preparedness purposes; Statewide guidelines propose Permanent for Infrastructure plans; Final environmental determinations are required to be kept a "reasonable period of time"; 14 CCR §15095(c); CCP §337 et. seq., GC §60201	reasonable period of time - CEQA

**RECORDS RETENTION SCHEDULE: GENERAL MANAGER**

Office of Record (OFR)	Records Series No.	Records Description	Total Retention	Vital?	Media Options	Image: I=Import S=Scan	Destroy Paper after Imaged & QC'd?	Comments / Reference	Legal Mandate
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<b>HOLDS:</b> <i>Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>									
<b>GENERAL MANAGER</b>									
General Manager	GM-001	General Manager's Correspondence	Minimum 2 years		Mag, Ppr, OD	S / I	Yes: After QC & OD	District Preference; GC §60201	None
<b>COMMUNICATIONS &amp; PUBLIC AFFAIRS</b>									
GM / Communic. & Public Affairs	GM-002	Legislative Advocacies, Amicus Briefs, Miscellaneous, etc.	Minimum 2 years		Mag, Ppr			GC §60201	None
GM / Communic. & Public Affairs	GM-003	News Clippings	When No Longer Required		Ppr	S / I	Yes	Non-records	None
GM / Communic. & Public Affairs	GM-004	Newsletters - Customers & Employees	P		Mag, Ppr, OD	S / I	Yes: After QC & OD	District Preference for historical purposes; GC §60201	None
GM / Communic. & Public Affairs	GM-005	Photos & Slides	When No Longer Required		Mag, Ppr			Drafts; final photos may become part of a final document; GC §60201	None
GM / Communic. & Public Affairs	GM-006	Press Releases	Minimum 2 years		Mag, Ppr, OD	S / I	Yes: After QC & OD	GC §60201	None
GM / Communic. & Public Affairs	GM-007	Projects & Outreach / Subject Files (Issues and/or projects will vary over time)	Minimum 2 years	Yes: While Active Issues	Mag, Ppr, OD	S / I	Yes: After QC & OD	GC §60201	None
<b>DISTRICT SECRETARY</b>									

**RECORDS RETENTION SCHEDULE: GENERAL MANAGER**

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<b>HOLDS:</b> <i>Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>									
GM / District Secretary	GM-008	Agenda Packets - District Board of Directors, Subcommittees of the Board (Includes Agenda Staff Reports, Annotated Agendas, etc.)	P	Yes: Before Meeting Date	Mag, Ppr, OD	S / I	Yes: After QC & OD	District Preference; GC §60201	None
GM / District Secretary	GM-009	Agreements & Contracts ( <b>ALL JPAs, MOUs, or If IMAGED</b> ) District Engineer is the Office of Record for all Agreements or Contracts related to Engineering	P	Yes: All	Mag, Ppr, OD	S / I	Yes: After QC & OD	District Preference (for disaster recovery purposes); GC §60201	None
GM / District Secretary	GM-010	Agreements & Contracts ( <b>CONSULTANTS, LEASES, MAINTENANCE, PROFESSIONAL SERVICES, NOT IMAGED</b> ) District Engineer is the Office of Record for all Agreements or Contracts related to Engineering	Completion / Discharge + 10 years	Yes: Before Completion	Mag, Ppr, OD	S / I	Yes: After QC & OD	Considered fully discharged when no further work is required by the District; Covers E&O Statute of Limitations (insurance certificates are filed with agreement); Published Audit Standards=4-7 years; Statute of Limitations: Contracts & Spec's=4 years, Wrongful Death=comp. + 5 years, Developers=comp. + 10 years; CCP §337 et. seq., GC §60201	None
GM / District Secretary	GM-011	Appointments to a Vacancy on the Board of Directors	2 years		Mag, Ppr			District Preference (the proceedings are recorded in the Minutes); GC §60201	None
GM / District Secretary	GM-012	Board of Directors Policies	Minimum of Superseded + 2 years		Mag, Ppr, OD	S / I	Yes: After QC & OD	District Preference; GC §60201	None
GM / District Secretary	GM-013	Chronological History of Board Members	P		Mag, Ppr, OD	S / I	Yes: After QC & OD	Historical Value; GC §60201	None
GM / District Secretary	GM-014	Conflict of Interest Code (Resolution)	P		Mag, Mfr, OD, Ppr	S / I	No	GC §60200	P

**RECORDS RETENTION SCHEDULE: GENERAL MANAGER**

Office of Record (OFR)	Records Series No.	Records Description	Total Retention	Vital?	Media Options	Image: I=Import S=Scan	Destroy Paper after Imaged & QC'd?	Comments / Reference	Legal Mandate
<i>If the record is not listed here, refer to the Retention for District-Wide Standards.</i>									
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>									
<b>HOLDS:</b> <i>Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>									
GM / District Secretary	GM-015	District Formation (incorporation papers), Mergers, Boundary Changes, Organization or Reorganizations of the District Approved by the Board	P		Mag, Ppr, OD	S / I	Yes: After QC & OD	Part of the Agenda Packet, which is maintained permanently; Required for formal changes to the district approved by the Board only; GC §60201(d)(1)	None
GM / District Secretary	GM-016	District Seal	P		Mag, Ppr, OD	S / I	Yes: After QC & OD	District Preference; GC §§60201	None
<b>DISTRICT SECRETARY / ELECTIONS - CONSOLIDATED</b>									
GM / District Secretary	GM-017	Biographies / Resumes: Elected Officials	When No Longer Required		Mag, Ppr			District Preference; GC §60201	None
GM / District Secretary	GM-018	Elections - GENERAL, <b>WORKING</b> or ADMINISTRATION Files (Correspondence, Notices, Postings, County Election Services, etc.)	2 years		Mag, Ppr, OD	S / I	Yes: After QC & OD	Used for a model for the next election, GC §60201	None
GM / District Secretary	GM-019	Elections - Petitions (Initiative, Recall or Referendum)	Results or Final Examination if No Election + 8 months		Ppr			Not accessible to the public; The 8 month retention applies after election results, or final examination if no election. Applies unless a legal/FPPC proceeding. EC §§17200, 17400	Results or Final Examination if No Election + 8 months
<b>(End of Elections Section)</b>									
GM / District Secretary	GM-020	Ethics Training & Harassment Prevention Certificates for Board Members	5 years		Mag, Ppr, OD	S / I	Yes: After QC & OD	GC §§53235.2(b); 53237.2(b)	5 years
GM / District Secretary	GM-021	FPPC 700 Series Forms (Statement of Economic Interests): <b>PUBLIC OFFICIALS</b> (elected & not elected District Board Members)	4 years		Mfr, OD, Ppr	S / I	Yes: After 2 years	Human Resources maintains records for other employees and public officials. District maintains copies only; original statements are filed with the County; GC §81009(f)&(g)	4 years
GM / District Secretary	GM-022	FPPC Form 801 (Gift to Agency Report)	7 years		Mfr, OD, Ppr	S / I	Yes: After 2 years	Must post on website; 2 CCR 18944(c)(3)(G)	7 years

## RECORDS RETENTION SCHEDULE: GENERAL MANAGER

Office of Record (OFR)	Records Series No.	Records Description	Total Retention	Vital?	Media Options	Image: I=Import S=Scan	Destroy Paper after Imaged & QC'd?	Comments / Reference	Legal Mandate
<i>If the record is not listed here, refer to the Retention for District-Wide Standards.</i>									
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>									
<b>HOLDS:</b> <i>Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>									
GM / District Secretary	GM-023	FPPC Form 802 (Tickets Provided by Agency Report)	7 years		Mfr, OD, Ppr	S / I	Yes: After 2 years	Must post on website for 4 years; GC §81009(e)	7 years
GM / District Secretary	GM-024	FPPC Form 806 (Agency Report of Public Official Appointments)	2 years		Mfr, OD, Ppr	S / I	Yes: After 2 years	Must post on website; 2 CCR 18702.5; GC §60201	2 years
GM / District Secretary	GM-025	Historical Records	P		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	District Secretary Determines Historical Significance; GC §60201	None
GM / District Secretary	GM-026	Improvement Districts / Assessment Districts	P	Yes: Before Termination	Mag, Ppr, OD	S / I	Yes: After QC & OD	District Preference (records also maintained by Engineering); GC §60201	None
GM / District Secretary	GM-027	Minutes: District Board of Directors, all Subcommittees and Financing Corporation & Financing Authority	P	Yes (all)	Mag, Ppr, OD	S / I	No	GC §60201(d)(3)	P
GM / District Secretary	GM-028	Ordinances	P	Yes (all)	Mag, Ppr, OD	S / I	No	GC §60201 et. seq.	P
GM / District Secretary	GM-029	Proof of Publication / Affidavits of Posting Notices / Legal Advertising / Notices / Public Hearing Notices	2 years		Mag, Ppr, OD	S / I	Yes: After QC & OD	District Preference; Brown Act challenges must be filed within 30 or 90 days of action; GC §§60201, 54960.1(c)(1)	None
GM / District Secretary	GM-030	Records Retention Schedules / Authorization for Amendments to Retention Schedules	P		Mag, Ppr, OD	S / I	Yes: After QC & OD	District Preference; GC § 60201	Original Reso= P, Updates None
GM / District Secretary	GM-031	Records Destruction Lists / Records Destruction Authorization Forms	10 years		Mag, Ppr, OD	S / I	Yes: After QC & OD	GC §60201(b)(1)(B)	None
GM / District Secretary	GM-032	Resolutions	P	Yes (all)	Mag, Mfr, OD, Ppr	S / I	No	GC §60201 et. seq.	P
GM / District Secretary	GM-033	Statement of Facts / Registry of Public Agencies (Required of all Public Agencies whenever the Chair changes)	1 year		Mag, Ppr, OD	S / I	Yes: After QC & OD	District Preference; GC § 60201	None

**RECORDS RETENTION SCHEDULE: GENERAL MANAGER**

Office of Record (OFR)	Records Series No.	Records Description	Total Retention	Vital?	Media Options	Image: I=Import S=Scan	Destroy Paper after Imaged & QC'd?	Comments / Reference	Legal Mandate
<i>If the record is not listed here, refer to the Retention for District-Wide Standards.</i>									
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>									
<b>HOLDS:</b> <i>Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>									
GM / District Secretary	GM-034	Subject Files	Minimum 2 years	Yes: While Active Issues	Mag, Ppr, OD	S / I	Yes: After QC & OD	GC §60201	None
GM / District Secretary	GM-035	Recordings ( <b>Audio or Video</b> ) District Board meetings	Minimum 4 years		Mag			District Preference; legally required for 30 days (or adoption of the minutes); GC §§54953.5(b), 53161, 60201	Audio=30 days, Video=None

## RECORDS RETENTION SCHEDULE: PLANT OPERATIONS Environmental Services, Laboratory, Pollution Prevention, Regulatory Compliance)

Office of Record (OFR)	Records Series No.	Records Description	Total Retention	Vital?	Media Options	Image: I=Import S=Scan	Destroy Paper after Imaged & QC'd?	Comments / Reference	Legal Mandate
<i>If the record is not listed here, refer to the Retention for District-Wide Standards.</i>									
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>									
<i>HOLDS: Litigation, complaints, claims, pending public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion)</i>									
<b>ENVIRONMENTAL SERVICES (LABORATORY)</b>									
Plant Ops / Environ. Services (Laboratory)	OPS-001	Chemical Hygiene Plans	30 years		Mag, OD, Ppr	S/ I	Yes: After QC & OD	District preference; Claims can be made for 30 years for toxic substance exposure; 8 CCR §3204(d)(1) et seq., 8 CCR 14300.33(a); GC §§12946, 12960, 60201	None
Plant Ops / Environ. Services (Laboratory)	OPS-002	Chemical Inventory	30 years		Mag, OD, Ppr	S/ I	Yes: After QC & OD	District preference; Claims can be made for 30 years for toxic substance exposure; 8 CCR §3204(d)(1) et seq., 8 CCR 14300.33(a); GC §§12946, 12960, 60201	None
Plant Ops / Environ. Services (Laboratory)	OPS-003	Environmental Agencies / Regulatory Agencies	When No Longer Required - <b>Minimum 10 years</b>		Mag, OD, Ppr	S/ I	Yes: After QC & OD	District Preference; GC §60201	None
Plant Ops / Environ. Services (Laboratory)	OPS-004	Equipment Calibration	5 years		Mag, OD, Ppr	S/ I	Yes: After QC & OD	District Preference; Standard for bacteriological and organics testing for potable water; Actual laboratory reports may be kept, or data may be transferred to tabular summaries; State law requires 5 years; 40 CFR 141.33(a) and (b)(1); 22 CCR §64470, GC §60201	None
Lead Dept.	OPS-005	Hazardous Waste Manifests	P	Yes: Before Resolution	Mag, OD, Ppr	S/ I	Yes: After QC & OD	District Preference (District has "cradle to grave" liability); 40 CFR 262.40, 22 CCR 66262.40; GC §60201	None
Plant Ops / Environ. Services (Laboratory)	OPS-006	Laboratory Analysis / Chain of Custody (ALL)	5 years		Mag, OD, Ppr	S/ I	Yes: After QC & OD	District Preference; Standard for bacteriological and organics testing for potable water; Actual laboratory reports may be kept, or data may be transferred to tabular summaries; State law requires 5 years; 40 CFR 141.33(a) and (b)(1); 22 CCR §64470, GC §60201	None

## RECORDS RETENTION SCHEDULE: PLANT OPERATIONS Environmental Services, Laboratory, Pollution Prevention, Regulatory Compliance)

Office of Record (OFR)	Records Series No.	Records Description	Total Retention	Vital?	Media Options	Image: I=Import S=Scan	Destroy Paper after Imaged & QC'd?	Comments / Reference	Legal Mandate
<i>If the record is not listed here, refer to the Retention for District-Wide Standards.</i>									
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>									
<i>HOLDS: Litigation, complaints, claims, pending public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion)</i>									
Plant Ops / Environ. Services (Laboratory)	OPS-007	Laboratory Certification / ELAP	5 years		Mag, OD, Ppr	S / I	Yes: After QC & OD	District Preference; Standard for bacteriological and organics testing for potable water; Actual laboratory reports may be kept, or data may be transferred to tabular summaries; State law requires 5 years; 40 CFR 141.33(a) and (b)(1); 22 CCR §64470, GC §60201	None
Plant Ops / Environ. Services (Laboratory)	OPS-008	Laboratory Log Books, Notebooks, Corrective Action Logs, etc.	5 years		Mag, OD, Ppr	S / I	Yes: After QC & OD	District Preference; Standard for bacteriological and organics testing for potable water; Actual laboratory reports may be kept, or data may be transferred to tabular summaries; State law requires 5 years; 40 CFR 141.33(a) and (b)(1); 22 CCR §64470, GC §60201	None
Plant Ops / Environ. Services (Laboratory)	OPS-009	Laboratory Testing Procedures	Superseded + 5 years		Mag, OD, Ppr	S / I	Yes: After QC & OD	District Preference; Standard for bacteriological and organics testing for potable water; Actual laboratory reports may be kept, or data may be transferred to tabular summaries; State law requires 5 years; 40 CFR 141.33(a) and (b)(1); 22 CCR §64470, GC §60201	None
Plant Ops / Environ. Services (Laboratory)	OPS-010	Manuals - Operation and Maintenance for various equipment	Life of Equipment		Mag, OD, Ppr	S / I	Yes: After QC & OD	Administrative value; GC §60201	None
<b>PLANT OPERATIONS</b>									
Plant Ops / Ops	OPS-011	Biosolids Reports - Monthly, Quarterly, Annual	5 years		Mag, Ppr, OD	S / I	Yes: After QC & OD	Consistent sewage sludge requirements; WC §13263.2(b) et seq.; 40 CFR 122.41(j)(2); GC §60201	5 years



**RECORDS RETENTION SCHEDULE: PLANT OPERATIONS**  
**Environmental Services, Laboratory, Pollution Prevention, Regulatory Compliance)**

Office of Record (OFR)	Records Series No.	Records Description	Total Retention	Vital?	Media Options	Image: I=Import S=Scan	Destroy Paper after Imaged & QC'd?	Comments / Reference	Legal Mandate
<i>If the record is not listed here, refer to the Retention for District-Wide Standards.</i>									
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>									
<i>HOLDS: Litigation, complaints, claims, pending public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion)</i>									
Plant Ops / Ops	OPS-012	Checklists & Daily Plant Reading / Gas Usage / Inspections / Daily Plant Operations Checklists / Reports / Round sheets / Check sheets / Log Books	5 years		Mag, Ppr, OD	S / I	Yes: After QC & OD	District Preference to be consistent with other records; 40 CFR 122.41(j)(2); GC §60201	None
Plant Ops / Ops	OPS-013	Chemical Usage Logs & Reports	5 years		Mag, Ppr, OD	S / I	Yes: After QC & OD	District Preference; GC §60201	None
Plant Ops / Ops	OPS-014	Customer Issues and Concerns	5 years	Yes: Before Resolution	Mag, Ppr, OD	S / I	Yes: After QC & OD	District Preference; Statute of Limitations for public official misconduct is discovery of offense + 4 years ; State and Fed laws is until final disposition of formal complaint; EVC § 1045, GC §§12946, 12960, 60201	None
Plant Ops / Ops	OPS-015	Generator Run-Time Logs / Engine Generator Logs / Generator Operation Logs / Generator Hour Logs	5 years		Mag, Ppr, OD	S / I	Yes: After QC & OD	AQMD Rule 1470; Form 400-E-13a instructions, GC §60201	5 years
Plant Ops / Ops	OPS-016	Log Books / Equipment Hour Readings / Hour Readings with Checklist	5 years		Mag, Ppr, OD	S / I	Yes: After QC & OD	District Preference - NPDES records are required for 3-5 years; 40 CFR §§122.21, 122.41, 122.44; GC §60201	None
Plant Ops / Ops	OPS-017	Logs of Pickups / Weigh Tags for Hauling / Grit Screening ./ Septage Hauling & Discharge Manifests / Reports	5 years		Mag, Ppr, OD	S / I	Yes: After QC & OD	District Preference; 40 CFR 122.41(j)(2); WC §13263.2(b) et seq.; GC §60201	5 years (sewage Sludge)
Plant Ops / Ops	OPS-018	NPDES Monitoring Reports	5 years		Mag, Ppr, OD	S / I	Yes: After QC & OD	District Preference (often, permits are not renewed in a timely manner); Monitoring records required for 3 years; 40 CFR §§122.21, 122.41, 122.44; GC §60201	3 years
Plant Ops / Ops	OPS-019	Operations and Maintenance Manuals	Upon Disposal of Equipment		Mag, Ppr			District Preference; GC §60201	None

## RECORDS RETENTION SCHEDULE: PLANT OPERATIONS Environmental Services, Laboratory, Pollution Prevention, Regulatory Compliance)

Office of Record (OFR)	Records Series No.	Records Description	Total Retention	Vital?	Media Options	Image: I=Import S=Scan	Destroy Paper after Imaged & QC'd?	Comments / Reference	Legal Mandate
<i>If the record is not listed here, refer to the Retention for District-Wide Standards.</i>									
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>									
<i>HOLDS: Litigation, complaints, claims, pending public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion)</i>									
Plant Ops / Ops	OPS-020	Reports, Charts, Flow Charts, Dissolved Oxygen, NPDES Monitoring, Samples, Studies & Testing (Annual / monthly / daily: Biosolids, calibration, compliance, flow data, meter readings, maintenance, odor surveys, tests, totalizer sheets, strip chart recordings - folding, roll, etc.)	5 years		Mag, Ppr, OD	S / I	Yes: After QC & OD	District Preference to be consistent with sewage sludge; 40 CFR 122.41(j)(2); GC §60201	5 years (sewage Sludge)
Plant Ops / Ops	OPS-021	SCADA: Supervisory Control and Data Acquisition	Indefinite		Mag			Data is interrelated; system qualifies as a "trusted system"; GC §§60201, 12168.7	None
Plant Ops / Ops	OPS-022	SOPs - Standard Operating Procedures / Process Control Documents	Superseded + 5 years		Mag, Ppr, OD	S / I	Yes: After QC & OD	District Preference to cover the period of time applicable records are retained; 40 CFR 122.41(j)(2); GC §60201	5 years (sewage Sludge)
Division Providing Service / Work	OPS-023	Work Orders / Service Requests <b>CMMS DATABASE</b> (Computerized Maintenance Management System)	Indefinite		Mag			Data is interrelated; Sewage Sludge is required for 5 years; GC §§4216.2(f) & 4216.3(d); 40 CFR 61.54, 122.41(j)(2), 503.47; GC §60201	5 years (sewage Sludge)
Division Providing Service / Work	OPS-024	Work Orders / Service Requests - <b>All Information Entered in CMMS Database</b>  (Paper drafts)	When No Longer Required		Mag Ppr			Source Documents / Preliminary documents not retained in the ordinary course of business GC §60201	None
Division Providing Service / Work	OPS-025	Work Orders / Service Requests - <b>NOT entered in CMMS Database</b> (or partial information entered into CMMS Database)  (Division providing service retains originals; Division requesting service is considered a copy)	5 years		Mag Ppr			Sewage Sludge is required for 5 years; GC §§4216.2(f) & 4216.3(d); 40 CFR 61.54, 122.41(j)(2), 503.47; GC §60201	5 years (sewage Sludge)

## RECORDS RETENTION SCHEDULE: PLANT OPERATIONS Environmental Services, Laboratory, Pollution Prevention, Regulatory Compliance)

Office of Record (OFR)	Records Series No.	Records Description	Total Retention	Vital?	Media Options	Image: I=Import S=Scan	Destroy Paper after Imaged & QC'd?	Comments / Reference	Legal Mandate
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<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>									
<i>HOLDS: Litigation, complaints, claims, pending public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion)</i>									
Plant Ops / Ops	OPS-026	Work Schedules / Turnover Logs	5 years		Mag, Ppr, OD	S / I	Yes: After QC & OD	NPDES Permits require work schedules be retained for 5 years; EEOC's basic requirement is 1 year after action; Bureau of National Affairs recommends 2 years for work schedules; 0 CFR §§122.21, 122.41, 122.44; 29 CFR 516.6(1), 29 CFR 1602.14, GC § 60201	5 years
<b>POLLUTION PREVENTION / SOURCE CONTROL</b>									
Plant Ops / Pollution Prevention / Source Control	OPS-027	FOG (Fats, Oil and Grease) - Cases / Investigations / Inspections	Resolution + 3 years		Mag, Ppr, OD	S / I	Yes: After QC & OD	District Preference; NPDES Monitoring records required for 3 years; GC §60201	None
Plant Ops / Pollution Prevention / Source Control	OPS-028	FOG (Fats, Oil and Grease) - Program	3 years		Mag, Ppr, OD	S / I	Yes: After QC & OD	District Preference; NPDES Monitoring records required for 3 years; POTW records of monitoring activities and results will be maintained for the longer of five years, the end of related litigation, or a retention period directed by the EPA Director or Regional Administrator. 40 CFR 403.12(o)(2); GC §60201	3 years
Plant Ops / Pollution Prevention / Source Control	OPS-029	Industrial Users: Special Discharge Authorizations, etc. (Temporary Discharges)	3 years		Mag, OD, Ppr	S / I	Yes: After QC & OD	District preference; NPDES Monitoring records required for 3 years; 40 CFR §§122.21, 122.41, 122.44, 40 CFR 792.195; GC §60201	3 years
<b>REGULATORY COMPLIANCE</b>									
Plant Ops / Regulatory Compliance	OPS-017	Air Quality Permits (Generators, etc)	Expiration of Permit + 5 years		Mag Ppr			40 CFR 70.6; GC §60201	Expiration of Permit + 5 years

## RECORDS RETENTION SCHEDULE: PLANT OPERATIONS Environmental Services, Laboratory, Pollution Prevention, Regulatory Compliance)

Office of Record (OFR)	Records Series No.	Records Description	Total Retention	Vital?	Media Options	Image: I=Import S=Scan	Destroy Paper after Imaged & QC'd?	Comments / Reference	Legal Mandate
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<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>									
<i>HOLDS: Litigation, complaints, claims, pending public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>									
Plant Ops / Regulatory Compliance	OPS-039	Correspondence - <b>Regulatory Agencies or Consultant</b>	Minimum 5 years	Yes: While Active Issues	Mag, Ppr, OD	S / I	Yes: After QC & OD	District Preference; Some correspondence from Regulatory Agencies need to be retained for long periods of time; GC §60201	None
Admin. Services / Solid Waste	AS-119	HHW - Household Hazardous Waste Operating Permit	Expiration of Permit + 5 years		Mag, Ppr, OD	S / I	Yes: After QC & OD	District Preference; 14 CCR 18812.4; GC §60201 et seq.	Expiration of Permit + 3 years
Plant Ops / Regulatory Compliance	OPS-026	NPDES Permits / General Orders	Permit Superseded + 3 years		Mag, Ppr, OD	S / I	Yes: After QC & OD	District Preference (often, permits are not renewed in a timely manner); Monitoring records required for 3 years; 40 CFR §§122.21, 122.41, 122.44; GC §60201	Expiration of Permit + 3 years
Plant Ops / Environ. Services (Laboratory)	OPS-005	Plant Operation Permit	Expiration of Permit + 5 years		Mag, Ppr, OD	S / I	Yes: After QC & OD	District Preference; GC §60201	None
Plant Ops / Environ. Services (Laboratory)	OPS-005	Recycled Water Permit	Upon Expiration		Mag, Ppr, OD	S / I	Yes: After QC & OD	District Preference; GC §60201	None
Plant Ops / Regulatory Compliance	OPS-040	Regional Board Pollution Prevention Reports and Audits	Minimum 5 years		Mag, OD, Ppr	S / I	Yes: After QC & OD	District Preference; GC §60201	None

## RECORDS RETENTION SCHEDULE LEGEND

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**OFR (Office of Record):** The department that keeps the original or “record copy.” Usually it is the department that originates the record, unless the item is for a Board of Directors meeting (then it is the Board Secretary.)

**Records Description:** The record series (a group of like records).

**Transitory Records** not retained in the ordinary course of business, that do NOT have substantive content: Preliminary drafts, notes, or interagency or intra-agency memoranda and records having only transitory value. Examples: Telephone messages, meeting room reservation schedules, logs, source records entered into a computer system that qualifies as a “trusted system”, etc.

**Non-Record:** Documents, studies, books and pamphlets produced by outside agencies, preliminary drafts not retained in the ordinary course of business.

**Retention/Disposition:**  
**Active:** How long the file remains in the immediate office area (*guideline*)  
**Inactive:** How long the file is in off-site storage, stored on Optical Disk or Microforms (*guideline*)  
**Total Retention:** The total number of years the record will be retained

For file folders containing documents with different retention timeframes, use the document with the longest retention time.

**P = Permanent**

**Indefinite** = No fixed or specified retention period; used for databases, because the data fields are interrelated.

**Vital?** = Those records that are needed for basic operations in the event of a disaster.

**Media Options** (*guideline*) – the form of the record: Mag = Electronic Computer Magnetic Media (Hard drives, Networks, USB Drives, Cloud, etc.)  
Ppr = Paper  
OD = Optical Disk, CD-r, DVD-r, WORM, or other **media which does not allow changes**

**Scan / Import** (*guideline*): “S” indicates the record should be scanned into the document imaging system;  
“I” indicates the record should be electronically imported into the document imaging system;

**Destroy Paper after Imaged & QC'd / Trustworthy Electronic Record:** “Yes” indicates the electronic record may serve as the OFFICIAL record (and the paper version may be destroyed, or the record may be electronically generated and never exist in paper format;) **IF** the document has been imaged (electronically generated, scanned or imported **and placed on Unalterable Media or Immutable Cloud Media, DVD-R, CD-R, or WORM cation, or microfilmed**) which is stored in a safe & separate location, and both the images and indexing Quality Checked (“QC'd”). The electronic record or image **must contain all significant details from the original and be an adequate substitute for the original document for all purposes**, and other legal mandates apply. Includes all electronic records which are to serve as the Official Record.

### **Legend for legal citations** (§: Section)

CC: Civil Code (CA)  
CFC: California Fire Code  
EVC: Evidence Code (CA)  
FTB: Franchise Tax Board (CA)  
HUD: Housing & Urban Develop. (US)  
PC: Penal Code (CA)  
UFC: Uniform Fire Code  
W&I: Welfare & Institutions Code (CA)

B&P: Business & Professions Code (CA)  
CCP: Code of Civil Procedure (CA)  
CFR: Code of Federal Regulations (US)  
FA: Food & Agriculture Code  
GC: Government Code (CA)  
LC: Labor Code (CA)  
PRC: Public Resources Code  
USC: United States Code (US)

CBC: California Building Code  
CCR: California Code of Regulations (CA)  
EC: Elections Code (CA)  
FC: Family Code (CA)  
H&S: Health & Safety Code (CA)  
Ops. Cal. Atty. Gen.: Attorney General Opinions (CA)  
R&T: Revenue & Taxation Code (CA)  
VC: Vehicle Code (CA)