

HOW TO USE THIS RETENTION SCHEDULE

The specified retention period applies regardless of the media of the record: If a record is stored on paper and a computer file on a hard drive, 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: DISTRICT-WIDE, 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.

DESTROYING RECORDS

Records must be destroyed only in the ordinary course of business in accordance with the District's policies and procedures, and in full compliance with applicable Federal, State and Municipal laws.

For questions, please contact the District Secretary or General Manager's office.

RECORDS RETENTION SCHEDULE LEGEND

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 District Secretary.) "Lead Depart." refers to the division or department that maintains the original of a record where the records series is common to many departments (e.g. correspondence.)

Classification: The method of filing and retrieving records (File Number). This number may be tied into other systems to ensure accuracy.

Records Description / Folder Subject: The record series (a group of like records). "Records" shall include documents, instructions, books, microforms, electronic files, magnetic tape, optical media, or papers; as defined by the California Public Records Act.

Transitory Records not retained in the ordinary course of business: 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.

Retention/Disposition: **Active:** How long the file remains in the immediate office area

Inactive: How long the file is in off-site storage, stored on Optical Disk or Microforms

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: The form of the record

Mag = Computer Magnetic Media (hard drive, disks, tapes, etc.)

Mfr = Microforms (aperture cards, microfilm, microfiche, or jackets)

Ppr = Paper

OD = Optical Disk, CD, DVD or other media which does not allow changes

Scan / Import: "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;

"M" indicates the record should be microfilmed

Destroy Paper after Imaged & QC'd: QC'd=Quality Checked. "Yes" indicates the paper version may be destroyed if the document has been imaged (microfilmed, scanned or imported onto Optical Disk — CD-R, WORM or DVD-R), and then each page Quality Checked ("QC'd").

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)

UBC: Uniform Building Code

USC: United States Code (US)

WC: Water 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)

R&T: Revenue & Taxation Code (CA)

UFC: Uniform Fire Code

VC: Vehicle Code (CA)

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. Atty. Gen.: Attorney General Opinions (CA)

SSR: Secretary of State

Guidelines/REcommendations

UAC: Uniform Administrative Code

UPC: Uniform Plumbing Code

W&I: Welfare & Institutions Code (CA)

DISTRICT-WIDE STANDARDS

RECORDS RETENTION SCHEDULE: DISTRICT-WIDE STANDARDS

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Office of Record	Retention No.	Records Description	Retention Disposition							Comments / Reference
(OFR)			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=import M=Mfr S-Scan	Destroy Paper after Imaged & QC'd?	
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 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.										
Litigation (pending or reasonably anticipated), complaints, claims, Public Records Act Requests, and investigations and audits suspend normal retention periods; retention begins after settlement or completion.										
District Secretary		Accident or Damage Reports (Employees and Vehicles)	Copies When No Longer Required		Copies When No Longer Required	Yes: Until Settled	Mag, Mfr, OD, Ppr			Safety maintains originals of all incident reports, Personnel maintains originals of employee injuries (workers compensation); GC §60200
District Secretary		Accident, Damage, Incident, Event or Injury Reports (Public)	Copies When No Longer Required		Copies When No Longer Required	Yes: Until Settled	Mag, Mfr, OD, Ppr			Safety maintains originals of all incident reports; GC §60200
Finance / Accounts Payable		Accounts Payable (Petty Cash, Invoices, Travel Expense Reimbursements, etc.)	Copies When No Longer Required		Copies When No Longer Required	Yes: Until Settled	Mag, Ppr			Also see Grants, copies; GC §60200
Finance / Accounts Receivable		Accounts Receivable (cash, checks, deposits, billing for property damage, etc.)	Copies When No Longer Required		Copies When No Longer Required	Yes: Until Settled	Mag, Ppr			Financial Services Maintains Originals; GC GC §60200

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Litigation (pending or reasonably anticipated), complaints, claims, Public Records Act Requests, and investigations and audits suspend normal retention periods; retention begins after settlement or completion.										
Lead Dept. Ex. The dept. it pertains to.		Agreements & Contracts – <u>INFRASTRUCTURE</u> – Architectural, Engineering, JPAs, MOUs and MOAs. Agreement or Contract, Insurance Certificates & Notices of Completion. Agreement or Contract includes all contractual obligations (e.g. RFP, Specifications, Successful Proposal / Scope of Work, Certificates of Insurance, and amendments) Examples of Infrastructure: Architects, Treatment Plants, Lines, improvements, Buildings, etc.	Completion	P	P	Yes: Before Completion	Mag, Mfr, OD, Ppr	S	Yes: After Inactive	Department Preference; All Infrastructure, JPAs, & mutual Aid contracts are permanent for emergency preparedness; Statute of Limitations is 4 years; 10 years for Errors & Omissions; CCP §§337, 337.1(a), 337.15, 343; GC §60201 et seq.

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Litigation (pending or reasonably anticipated), complaints, claims, Public Records Act Requests, and investigations and audits suspend normal retention periods; retention begins after settlement or completion.										
Lead Dept. Ex. The dept. it pertains to.		Agreement & Contracts – NON-INFRASTRUCTURE and ADMINISTRATIVE RECORDS – Equipment Purchases, Consulting Services, Leases, Vehicle Purchases, etc. Agreement or Contract includes all contractual obligations (e.g., Insurance Certificates & Notices of Completion, RFP, Specifications, <u>Successful</u> Proposal / Scope of Work and amendments) Examples of Non-Infrastructure: Consultants, Landscaping, Painting, Personnel, Professional Services, Maintenance, etc.	Completion	10 years	Completion + 10 years	Yes: Before Completion	Mag, Mfr, OD, Ppr	S	Yes: After Inactive	Department Preference; Covers E&O Statute of Limitations; Published Audit Standards are 4-7 years; Statute of Limitations: Contracts & Spec's is 4 years, Wrongful Death is comp. + 5 years, Developers are comp. + 10 years; Statewide guidelines propose termination + 5 years; CCP §§336(a), 337 et. seq., GC §60201 et seq.; Contractor has retention requirements in 48 CFR 4.703(a)

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Admin.		Agreements & Contracts: Unsuccessful bids	Bid Opening +2 years		Bid Opening +2 years		Ppr			Special Districts are required to keep public works unaccepted bids for years; GC §60201(d)(11)
Finance		Audits – District	Copies - When No Longer Required		Copies - When No Longer Required		Mag, Ppr			GC §60200
Collections		Backup Tapes / CDs / DVDs	When No Longer Required		When No Longer Required		Mag., Ppr			Used for disaster recovery purposes only; considered a copy and can be destroyed when no longer required; GC §60200
		Bids: See Agreements								
Engineering		Blueprints, Drawings, or Plans (Finals, As Builts)	Copies – When No Longer Required		Copies – When No Longer Required	Yes	Mag, Mfr, OD, Ppr	S / I	Yes: 2 years	Copies; GC §60201 et seq.
N/A		Brochures: see Reference Manuals								
Finance		Budget Reports: see Financial Reports								
GM / District Secretary		Budgets – Finals, Drafts, Reports	Copies – When No Long Required		Copies – When No Longer Required	Yes: Current Fiscal Year	Mag, Mfr, OD, Ppr			Retained permanently as part of the Agenda Packet; GC §§60200, 53901

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Office of Record	Retention No.	Records Description	Retention Disposition							Comments / Reference
(OFR)			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=import M=Mfr S-Scan	Destroy Paper after Imaged & QC'd?	
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 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.										
Litigation (pending or reasonably anticipated), complaints, claims, Public Records Act Requests, and investigations and audits suspend normal retention periods; retention begins after settlement or completion.										
GM / District Secretary or Human Resources		Claims / Litigation	Copies (only) – When No Longer Required (upon settlement)		Copies (only) – When No Longer Required (upon settlement)	Yes: Before Settlement	Mag, Mfr, OD, Ppr	S/I	Yes: after settlement	GC §§34090.7, 34090.6, 60200, 60201 et seq.
GM/ District Secretary		Committees or Task Forces: Internal (e.g. Records Management Committee, etc.)	When No Longer Required		When No Longer Required		Mag, Ppr			GC §60201
GM/ District Secretary		Committees, Task Forces, Associations, Commissions, & Boards: External Organizations (e.g. Association of California Sanitation Agencies, etc.)	When No Longer Required		When No Longer Required		Mag, Ppr			Non-records
Admin.		Contracts: See Agreements								
Lead Dept. Ex. The dept. it pertains to.		Copies or duplicates of any record	When No Longer Required		When No Longer Required		Mag Ppr			GC §60200
Lead Dept. Ex. The dept. it pertains to.		Correspondence – Policy Creation/Modification (documents formation of policies or decisionmaking process.)	Minimum 2 years	Minimum 2 years	Minimum 2 years		Mag, Mfr, OD, Ppr	S/I	Yes: When Superseded	Statewide guidelines propose Superseded + 2 or 5 years; GC §60201

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Office of Record	Retention No.	Records Description	Retention Disposition							Comments / Reference
(OFR)			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=import M=Mfr S-Scan	Destroy Paper after Imaged & QC'd?	
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 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.										
Litigation (pending or reasonably anticipated), complaints, claims, Public Records Act Requests, and investigations and audits suspend normal retention periods; retention begins after settlement or completion.										
Lead Dept. Ex. The dept. it pertains to.		Correspondence – <u>Regulatory Agencies</u>	Minimum 10 years		Minimum 10 years	Yes: While Active Issues	Mag, Mfr, OD, Ppr	S/I	No	District preference; some correspondence from Regulatory Agencies needs to be retained for longer periods of time; GC §60201
Lead Dept. Ex. The dept. it pertains to.		Correspondence – Routine (e.g. Administrative, Chronological, email, General Files, Letters, Memoranda, Miscellaneous Reports, Reading, Working Files, etc. Do NOT include Regulatory Agency Correspondence – see above)	2 years		2 years		Mag, Ppr			GC §60201

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Office of Record	Retention No.	Records Description	Retention Disposition							Comments / Reference
(OFR)			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=import M=Mfr S-Scan	Destroy Paper after Imaged & QC'd?	
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 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.										
Litigation (pending or reasonably anticipated), complaints, claims, Public Records Act Requests, and investigations and audits suspend normal retention periods; retention begins after settlement or completion.										
Lead Dept. Ex. The dept. it pertains to.		Correspondence – Transitory / Preliminary Documents not retained in the ordinary course of business (e.g. calendars, checklists, invitations, logs, mailing lists, notes, supply inventories, telephone messages, transmittal letters, thank yous, meeting room registrations, voice mails, etc.)	When No Longer Required		When No Longer Required		Mag, Ppr			GC§60201, GC§6252
Lead Dept. Ex. The dept. it pertains to.		Equipment Diagrams, Instructions, Manuals, Specific Parts Lists, Specifications and Warranties	Until Disposal of Equipment		Until Disposal of Equipment	Yes	Mag, Mfr, OD, Ppr	S/1	Yes: After Inactive	RFPs, contracts & agreements are maintained for appropriate periods; GC§60201
Lead Dept. Ex. The dept. it pertains to.		Equipment Inventories, Parts On Hand	5 years		5 years		Mag, Ppr			Meets auditing standards; Fixed Asset Inventory is maintained by Financial Services for a longer period; GC §60201 et seq.

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Office of Record	Retention No.	Records Description	Retention Disposition							Comments / Reference
(OFR)			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=import M=Mfr S-Scan	Destroy Paper after Imaged & QC'd?	
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 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.										
Litigation (pending or reasonably anticipated), complaints, claims, Public Records Act Requests, and investigations and audits suspend normal retention periods; retention begins after settlement or completion.										
Lead Dept. Ex. The dept. it pertains to.		Used oil disposal	3 years		3 years		Mag, Ppr			22 CCR 66266.130(c)(5), H&S §25250.18(b), 25250.19(a)(3) et seq.
GM/ District Secretary		Grants: SUCCESSFUL – (all records, including FEMA claims, other records required to pass the funding agency's audit, if required) Applications (successful), grant agreement, program rules, regulations & procedures, reports to grant funding agencies, correspondence, audit records, completion records, independent contractor compensation / expense reimbursement records	2 years	After Funding Agency Audit, if Required – Minimum 7 years	After funding agency audit, if required – Minimum 7 years	Mag, Mfr, OD, Ppr	S/I	Yes: After Inactive		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; 7 CFR 3016.42; 21 CFR 1403.36 & 1403.42(b); 24 CFR 85.42, 91.105(h), 92.505, & 570.502(a&b), 28 CFR 66.42; 29 CFR 97.42; 40 CFR 31.42; 44 CFR 13.42; 45 CFR 92.42; OMB Circular A-133; GC §60201

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Office of Record	Retention No.	Records Description	Retention Disposition							Comments / Reference
(OFR)			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=import M=Mfr S-Scan	Destroy Paper after Imaged & QC'd?	
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 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.										
Litigation (pending or reasonably anticipated), complaints, claims, Public Records Act Requests, and investigations and audits suspend normal retention periods; retention begins after settlement or completion.										
Lead Dept. Ex. The dept. it pertains to.		Grants: UNSUCCESSFUL (Applications, Correspondence, etc.)	2 years		2 years		Mag, Ppr			GC §60201
Lead Dept. Ex. The dept. it pertains to.		Incidents: Violations, Spills, Investigations and Corrective Actions	Last Action + 3 years		Last Action + 3 years	Yes: Before Resolution	Mag, Mfr, OD, Ppr	S/I	Yes: 1 year	Code of Federal Regulations requires 3 years; 40 CFR 122.41(j)(2) & 40 CFR 141.33(b)
Engineering		Master Plans (Water System, Water Availability, Urban Water Master Plan, etc.)	Copies – When No Longer Required		Copies – When No Longer Required	Yes	Mag, Mfr, OD, Ppr	S/I	Yes: After Inactive	Copies: GC §60200

RECORDS RETENTION SCHEDULE: DISTRICT-WIDE STANDARDS

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Office of Record	Retention No.	Records Description	Retention Disposition							Comments / Reference
(OFR)			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=import M=Mfr S-Scan	Destroy Paper after Imaged & QC'd?	
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 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.										
Litigation (pending or reasonably anticipated), complaints, claims, Public Records Act Requests, and investigations and audits suspend normal retention periods; retention begins after settlement or completion.										
Lead Dept. Ex. The dept. it pertains to		Material Safety Data Sheets (MSDS) / Chemical Use Report Forms	When Chemical No Longer Used		30 years		Mag, Mfr, OD, Ppr	S	Yes: After Inactive	District preference; MSDS 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)(i), GC §60200
Lead Dept. Ex. The dept. it pertains to.		Permits	Expiration	P	P		Mag, Mfr, OD, Ppr	S	No	District preference; GC §60200

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Litigation (pending or reasonably anticipated), complaints, claims, Public Records Act Requests, and investigations and audits suspend normal retention periods; retention begins after settlement or completion.										
District Secretary		Personnel Files – Department-level Copies	Separation + 2 years; send to Human Resources upon separation		Separation + 2 years; send to Human Resources upon separation	Before Separation	Mag, Ppr			Ensure records kept in Department files comply with District policy; Originals are maintained by Personnel Supervisors; notes should be maintained in a separate folder and be incorporated in the employee's annual performance review. 29 CFR 1602.31 & 1627.3(b)(1)(ii) 8 CCR §3204(d)(1) et seq., GC §§12946, 60201
Human Resources		Policies & Procedures – See Reference Manuals								
GM/ District Secretary		Press Releases / News Releases	2 years		2 years		Mag, Ppr			Department Preference; GC §60201

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Admin.		Public Records Act Requests – Request <u>and</u> any records subject to request (responsive and withheld, if any)	2 years from date of completed response		2 years from date of completed response		Mag, Ppr			GC §60201(d)(5)
Finance / Purchasing		Purchase Orders, Requisitions	Audit + 4 years		Audit + 4 years		Mag, Ppr			Purchasing maintains originals; Financial records are audited annually; GC §60200; CCP 337
Lead Dept. Ex. The dept. it pertains to.		Reference Materials: Brochures, Manuals, Policies, Procedures & Reports: Produced by YOUR Department	Superseded + 2 years		Superseded + 2 years		Mag, Mfr, OD, Ppr	S/I	Yes: When Superseded	Documents of historical significance should be retained longer; statewide guidelines propose superseded + 2 years; GC §60201
Lead Dept Ex. The dept. it pertains to.		Reference Materials: Brochures, Manuals, Policies, Procedures & Reports: Produced by OTHER Departments	When Superseded		When Superseded		Mag, OD, Mfr, Ppr			Copies; GC §60200
Lead Dept. Ex. The dept. it pertains to.		Reference Materials: Brochures, Manuals, Policies, Procedures & Reports: Produced by OUTSIDE ORGANIZATIONS	When No Longer Required		When No Longer Required		Mag, Ppr			Non-Records

RECORDS RETENTION SCHEDULE: DISTRICT-WIDE STANDARDS

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Lead Dept. Ex. The dept. it pertains to.		Reference or Working Files: See Correspondence								
Lead Dept. Ex. The dept. it pertains to.		Reports and Studies – historically significant (e.g., zoning studies)	10 years	P	P		Mag, Mfr, OD, Ppr	S/I	Yes, after 10 years	Administratively and historically significant, therefore retained permanently; GC §60201
Lead Dept. Ex. The dept. it pertains to.		Reports and Studies – other than historically significant (e.g., white papers, issue papers, scientific studies, annual reports, water rate studies)	10 years		10 years		Mag, Ppr	S	Yes: after 2 years	Information is outdated after 10 years; statewide guidelines propose 2 years; if historically significant, retain permanently; GC §60201
Lead Dept Ex. The dept. it pertains to..		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		2 years		Mag, Ppr			GC §§60200, 60201

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Finance		Time Sheets & Payroll Leave Requests	Copies – When No Longer Required		Copies – When No Longer Required		Ppr			GC §60201
Operations Treatment/ Collections		Work Orders / Maintenance Requests / Service Requests	5 years		5 years		Mag Ppr			District preference; CCP §§ 338 et seq., 340 et seq., 342; GC §§945.6, 60201

FINANCE

RECORDS RETENTION SCHEDULE: FINANCE

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Office of Record	Old Retention	Records Description	Retention Disposition							Comments / Reference
(OFR)			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=import M=Mfr S-Scan	Destroy Paper after Imaged & QC'd?	
<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 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>Litigation (pending or reasonably anticipated), complaints, claims, Public Records Act Requests, and investigations and audits suspend normal retention periods; retention begins after settlement or completion.</i>										
FINANCE / ADMINISTRATION / CONTROLLER / GENERAL LEDGER										
Finance		Audit Work Papers (Drafts)	2 years	5 years	7 years		Mag, Mfr, OD, Ppr	S/I	Yes: After 2 years	Department Preference; SSR propose audit + 4 years; published articles show 3-7 years; GC §60201
Finance		Audited Financial Statements / Comprehensive Annual Financial Report (CAFR) with Audit Management Letters/Opinions	2 years	P	P		Mag, Mfr, OD, Ppr	S/I	Yes: after 1 year	Department Preference for historical purposes; District Secretary retains original permanently; GC §§ 34090.7, 60201 et seq.
Finance		Audits (Projects, Independent Audits)	2 years	P	P		Mag, Mfr, OD, Ppr	S/I	Yes: After 2 years	Department Preference for historical purposes; GC §60201
Finance		Bonds / Certificates of Participation / Transcripts / Disclosure Reports	Cancellation., Redemption or Maturity + 10 years		Cancellation., Redemption or Maturity + 10 years	Yes: Until Maturity	Mag, Mfr, OD, Ppr	S/I	No	Department Preference; 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(a)(1) & (2), 337.5(a); GC §43900 et seq. GC §60201 et seq.
GM / District Secretary		Budgets: Adopted, Budget Hearing, Capital Budget etc.	10 years		10 years	Yes: Current Fiscal Year	Mag, Mfr, OD, Ppr	S/I	Yes: After 1 year	Department Preference; District Secretary maintains originals; longer for administrative value; GC §60200

RECORDS RETENTION SCHEDULE: FINANCE

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Office of Record	Old Retention	Records Description	Retention Disposition							Comments / Reference
(OFR)			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=import M=Mfr S-Scan	Destroy Paper after Imaged & QC'd?	
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<i>Litigation (pending or reasonably anticipated), complaints, claims, Public Records Act Requests, and investigations and audits suspend normal retention periods; retention begins after settlement or completion.</i>										
Finance		Budgets: Preliminary, Development, Drafts, etc.	When No Longer Required		When No Longer Required		Mag, Ppr			Department Preference; District Secretary maintains originals; longer for administrative value; GC §60200
Finance		Chart of Accounts (Print out if a software change is made in order to retain historical account numbers)	2 years	5 years	7 years	Yes	Mag, Mfr, OD, Ppr	S/I	Yes: After 1 year	Department Preference to research Year-end General Ledgers, which are retained permanently; GC §60201
Finance		Depreciation Schedules	2 years	5 years	7 years		Mag, Ppr	S/I	Yes: After Inactive	Department Preference (consistent with audit work papers) Published articles show 7 years after disposal; GC §60201
Finance		Escheat (Unclaimed money / uncashed checks)	5 years		5 years		Mag, Ppr			Department Preference; all tangible property held by government agencies escheats after 3 years; statute of limitations is 1 year for seized property; CCP §§340(d), 1519; GC §30201
Finance		Financial Reports: Journals, Ledgers, Reconciliations, Registers, Reports, Transaction Histories, Balance Sheets, Budget Adjustments (MONTHLY OR PERIODIC) Does NOT include year-end General Ledger.	2 years	5 years	7 years		Mag, Ppr			Department preference (consistent with Audit work papers); Draft / Preliminary documents used to produce final year-end general ledger (financial database is the original); GC §60201

RECORDS RETENTION SCHEDULE: FINANCE

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Office of Record	Old Retention	Records Description	Retention Disposition							Comments / Reference
(OFR)			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=import M=Mfr S-Scan	Destroy Paper after Imaged & QC'd?	
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Finance		Financial System Database	Indefinite		Indefinite		Mag			Data is interrelated; system qualifies as a "trusted system"; GC §§60201, 12168.7
Finance / Admin.		Fixed Assets – Auction / Disposal / Sales / Surplused	2 years	5 years	7 years		Mag, Ppr			Consistent with Accounts Receivable, Statute of limitations is 3 years; statewide guidelines propose 2 – 4 years; published articles show 3 – 6 years; GC §60201, CCP §337
Finance		General Ledger: Final year-end	2 years	5 years	7 years		Mag, Mfr, OD, Ppr	S/I	Yes: After 1 year	Department Preference; Published articles show 3-7 years; GC §60201
Finance		Journal Entries	2 years	5 years	7 years		Mag, Ppr			Department Preference; Statute of Limitations is 4 years; SSR propose Audit + 5 years; Published articles show 6-7 years; GC §60201, CCP §337
Finance		Master Fee Schedule, Connection Fees, Rates & Charges	Copies – When No Longer Required		Copies – When No Longer Required	Yes: Until superseded	Mag, Mfr, OD, Ppr	S/I	Yes: After 1 year	GC §60200
Finance / Admin.		State Controller's Report	2 years	5 years	7 years		Mag, Mfr, OD, Ppr	S/I	Yes: After 1 year	Department Preference; meets auditing standards; GC §60201
District Secretary		Vehicle Titles ("Pink Slips")	Upon Sale or Disposal		Upon Sale or Disposal	Yes	OD, Ppr	S/I	Yes: After 1 year	Given to the new owner upon sale of the vehicle; GC §60201 et seq.

RECORDS RETENTION SCHEDULE: FINANCE

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Office of Record	Old Retention	Records Description	Retention Disposition							Comments / Reference
(OFR)			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=import M=Mfr S-Scan	Destroy Paper after Imaged & QC'd?	
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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>Litigation (pending or reasonably anticipated), complaints, claims, Public Records Act Requests, and investigations and audits suspend normal retention periods; retention begins after settlement or completion.</i>										
FINANCE / ACCOUNTS PAYABLE										
Finance / Accounts Payable		1099's / 1096's issued	2 years	5 years	7 years		Mag, Mfr, OD, Ppr	S/I	Yes: After 1 year	IRS: 4 years after tax is due or paid (longer for auditing & contractor delinquency); Ca. FTB: 3 years; Published articles show permanent; IRS Reg §31.6001-1(e)(2), R&T §19530, GC §60201(d)(12)
Finance / Accounts Payable		Accounts Payable Source Records (includes Invoices, Receivers, Travel Expense Reimbursements, Warrant Requests, etc.)	2 years	5 years	7 years	Yes: Until Paid	Mag, Mfr, OD, Ppr	S/I	Yes: After 1 year	May contain independent contractor's compensation, expense reimbursement, or District credit card records; Meets municipal government auditing standards; Published articles show 3 – y years; GC §60201(d)(12)
Finance / Accounts Payable		Bank Reconciliation & Statements (Transaction Statements, Wire Transfers, Check Listing Audit Trail, Deposits, Returned Checks, Treasury Statements, Trustee & Investment Statements, etc.)	2 years	5 years	7 years		Mag, Mfr, OD, Ppr	S/I	Yes: After 1 year	Department Preference; Meets municipal government auditing standards; Published articles shows 3-7 years; GC §60201, 26 CFR 31.6001-1
Finance / Accounts Payable		Check Registers	2 years	5 years	7 years		Mag, Mfr, OD, Ppr	S/I	Yes: After 1 year	Department Preference; Statute of Limitations is 4 years; Meets municipal government auditing standards; GC §60201, CCP §337

RECORDS RETENTION SCHEDULE: FINANCE

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Office of Record	Old Retention	Records Description	Retention Disposition							Comments / Reference
(OFR)			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=import M=Mfr S-Scan	Destroy Paper after Imaged & QC'd?	
<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 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>Litigation (pending or reasonably anticipated), complaints, claims, Public Records Act Requests, and investigations and audits suspend normal retention periods; retention begins after settlement or completion.</i>										
Finance / Accounts Payable		Checks – Canceled (Cashed) or Voided	2 years	5 years	7 years		Mag, Mfr, OD, Ppr	S/I	Yes: After 1 year	May contain independent contractor's compensation; Statute of Limitations is 4 years; Meets municipal government auditing standards; GC §60201(d)(12, CCP §337

RECORDS RETENTION SCHEDULE: FINANCE

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Office of Record	Old Retention	Records Description	Retention Disposition							Comments / Reference
(OFR)			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=import M=Mfr S-Scan	Destroy Paper after Imaged & QC'd?	
<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 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>Litigation (pending or reasonably anticipated), complaints, claims, Public Records Act Requests, and investigations and audits suspend normal retention periods; retention begins after settlement or completion.</i>										
FINANCE / ACCOUNTS RECEIVABLE										
Finance / Accounts Receivable		Accounts Receivable Source Records (All Records and Reports, including leases and hay sales, invoices to outside entities, damage to public property, etc.)	2 years	5 years	7 years	Yes: Until Paid	Mag, Ppr	S/I	Yes: After 2 years	Department Preference; Meets municipal government auditing standards; Published articles show 3 – 7 years; GC §60201
County		Assessor Property Tax Roll (District Assessments)	2 years	5 years	7 years		Mag, Ppr	S/I	Yes: After 2 years	Department Preference; Meets municipal government auditing standards; The District has a 3-year refund limit policy; GC §60201
Finance / Accounts Receivable		Bank Deposits, Daily Banking Report, Cash Receipt Summary, Electronic Payment Report, Host File Summary Reports, Direct Debit Reports	2 years	5 years	7 years		Mag, Ppr			Department Preference; Meets municipal government auditing standards; Published articles show 3 – 7 years; GC §60201
Finance		Customer Payments and Check Stubs	2 years	5 years	7 years		Mag, Mfr, OD, Ppr	S/I	Yes: After 1 year	Department Preference GC §60201

RECORDS RETENTION SCHEDULE: FINANCE

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Office of Record	Old Retention	Records Description	Retention Disposition							Comments / Reference
(OFR)			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=import M=Mfr S-Scan	Destroy Paper after Imaged & QC'd?	
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FINANCE / PAYROLL										
Finance / Payroll		DE-6, DE-7, DE-9, DE-43, DE-166, W-3, IRS 5500 (Employee Benefit Plans), & 941 Forms – Quarterly Payroll Tax Returns / OASDI, Federal Tax Deposits, Adjustments, etc.	2 years	5 years	7 years		Mag, Ppr			Department Preference; IRS: 4 years after tax is due or paid (longer for auditing & contractor delinquency); Ca. FTB: 3 years; Published articles show 7 years; 26 CFR §31.6001-1(e)(2), 29 CFR 516.5 – 516.6, 29 USC 436, R&T §19530, GC §60201
Finance / Payroll		Deferred Compensation	7 years		7 years		Mag, Ppr			Department preference; GC §60201 et seq.
Finance / Payroll		Garnishments (all records)	2 years	5 years	7 years		Mag, Ppr			Retained to match other auditing periods; GC §60201
Finance / Payroll		Payroll File (taxes and deduction forms, changes, vacation pay-off requests, etc.)	Separation + 7 years		Separation + 7 years		Mag, Ppr			Retained to match other auditing periods, GC §60201
Finance / Payroll		Payroll Reports	2 years	5 years	7 years		Mag, Ppr			Department preference; Draft / Preliminary documents used to produce final year-end general ledger (financial database is the original); GC §60201
Finance / Payroll		PERS Annual Reports	7 years		7 years		Mag, Ppr			PERS is OFR; retained to meet auditing standards; GC §60201 et seq.
Finance / Payroll		Time Slips / Reports	2 years		2 years		Mag, Ppr			Department preference; Draft/Preliminary documents used to produce final year-end general ledger (financial database is the original); GC§60201

RECORDS RETENTION SCHEDULE: FINANCE

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Office of Record	Old Retention	Records Description	Retention Disposition							Comments / Reference
(OFR)			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=import M=Mfr S-Scan	Destroy Paper after Imaged & QC'd?	
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Finance / Payroll		Timesheets / Time Cards / Overtime sheets / Overtime Cards	7 years		7 years		Mag, Ppr			Department Preference to meet auditing standards (audit + 4 years); IRS requires 4 years; CA requires minimum 2 years; FTB keeps 3 years; IRS Reg §31-6001-1(e)(2), R&T §19530; 19 CFR 516.5; GC §60201 et seq.
Finance / Payroll		W-2's	7 years		7 years		Mag, Ppr			IRS: 4 yrs after tax is due or paid; Ca. FTB: 3 years; Articles show 7 years; IRS Reg §31.6001-1(e)(2), R&T §19530; 29 CFR 516.5 – 416.6, 29 USC 436, GC §60201(d)(12)
Finance / Payroll		W-4's	When Superseded + 4 years		When Superseded + 4 years		Mag, Ppr			IRS Reg 31-6001-1 requires 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 later; GC §60201 et seq.; 26 CFR 31.6001-1

HUMAN RESOURCES

RECORDS RETENTION SCHEDULE: HUMAN RESOURCES

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Office of Record	Old Retention	Records Description	Retention Disposition							Comments / Reference
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Litigation (pending or reasonably anticipated), complaints, claims, Public Records Act Requests, and investigations and audits suspend normal retention periods; retention begins after settlement or completion.										
District Secretary		Applications for Employment or Resumes / Recruitment Files: Solicited: Brochure, advertisement, unsuccessful applications (with or without interviews), selection materials, interview notes, results, etc.	Hiring Decision + 3 years		Hiring Decision + 3 years		Mag, Ppr			The District does not use eligibility lists: EEOC / FLSA / ADEA (Age) statute of limitations is 1-3 years; State Law requires 2-3 years; Reports & Data used to compile EEO reports are required for 3 years; 29 CFR 1602 et seq & 1627.3(b)(1), 2 CCR 7287 et seq., 8 CCR §11040.7(c), GC §§12946, 60201
District Secretary		Applications for Employment or Resumes: Unsolicited (no open position), candidates not hired	1 year		1 year		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
Finance		Billing: COBRA and Retiree Medical	Termination of Service + 7 years		Termination of Service + 7 years	Yes: During Service	Mag, OD, Mfr, Pp	S/I	Yes: After 1 year	Retained to cover auditing standards; General rule under ERISA (Employee Retirement Income Security Act) is 7 years; 29 CFR 1627.3(b)(2); 29 USC 1027; GC §60201

RECORDS RETENTION SCHEDULE: HUMAN RESOURCES

Page HR-2

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Human Resources		Classification and Compensation Studies / Surveys	Minimum 3 years		Minimum 3 years		Mag, Ppr			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), 29CFR 1602.14, GC §§12946, 60201
Human Resources		Department of Fair Employment & Housing (DFEH or EEOC) Claims that are resolved administratively	Final Disposition + 5 years		Final Deposition + 5 years		Mag, Ppr			Consistent with other claim retentions (District 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 7287.0, GC §§12946, 60201
Admin.		District CSRMA Policy	P		P		Mag, OD, Mfr, Ppr	S/I	Yes: After 1 year	Department Preference (copies); GC §60200
District Secretary		DMV Pull Notices (retained in binder)	Separation + 1 year		Separation + 1 year		Mag, Ppr			District preference (DMV record that the District considers a non-record used for reference); DMV audits every 2 years; Bureau of National Affairs recommends 2 years for all supplementary Personnel records; GC §60201

RECORDS RETENTION SCHEDULE: HUMAN RESOURCES

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District Secretary		Drug and Alcohol Testing / D.O.T files (ALL files – Random, Post-Accident & Reasonable Suspicion Tests, refusals, annual summaries, etc.)	2 years	3 years	5 years		Ppr			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), 49 CFR 382.401 et seq.; GC §§ 12946, 60201, 49 CFR 653.71 et seq.
Finance		I-9s	Separation + 3 years		Separation + 3 year		Mag, Ppr	S	Yes: After QC & OD	Non-citizens must re-certify periodically; 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; 8 CFR 274a.2; 29 CFR 1627.3(b)(1); GC §§12946, 60201

RECORDS RETENTION SCHEDULE: HUMAN RESOURCES

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<i>Litigation (pending or reasonably anticipated), complaints, claims, Public Records Act Requests, and investigations and audits suspend normal retention periods; retention begins after settlement or completion.</i>										
Finance		Insurance Policy Files (Benefits; CalPERS, Deferred Compensation, Health, Eye, Dental, Life Insurance, Workers Compensation, etc.) Includes Policies	Plan Termination	10 years	Plan Termination + 10 years	Yes: Before Expiration	Mag, Mfr, OD, Ppr	S	No	Department preference to be consistent with District-wide standards; EEOC / ADEA (Age) requires 1 year after benefit plan termination; Federal law requires 6 years after filing date; State Law requires 2 years after action; 29 CFR 1627.3(b)(2); 29 USC 1027; GC §§3409, 12946, 60201
Human Resources		Job Descriptions / Classification Specifications	Superseded + 3 years		Superseded + 3 years	Yes: Before Superseded	Mag, Ppr	S/I	Yes: When superseded	Department 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 et seq & 1627.3(b)(ii), 8 CCR §3204(d)(1) et seq., GC §§12946, 60201; 29 USC 1113

RECORDS RETENTION SCHEDULE: HUMAN RESOURCES

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Litigation (pending or reasonably anticipated), complaints, claims, Public Records Act Requests, and investigations and audits suspend normal retention periods; retention begins after settlement or completion.										
District Secretary		Personnel Files - Employee File (Includes Application, Awards, DMV Reports, Disciplinary Actions, Certifications, Commendations, Employment Verifications, Evaluations, Grievances / Appeals, Licenses, Personnel Action Forms, Policy acknowledgments, Oath of disaster workers; Waiver of responsibility for voluntary activities, etc. – Excludes Medical Records)	Separation + 50 years	Separation + 50 years or termination of benefits, whichever is longer	Separation + 50 years or termination of benefits, whichever is longer	Yes: Until Separation + 1 year	Mag, Mfr, OD, Ppr	S	Yes: After Separation + 1 year	Department 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 §§3105, 12946, 60201; 29 USC 1113
District Secretary		Personnel Files – Medical / Background File (Includes pre-employment physicals, hazmat exposure records, pulmonary tests, vanpool driver Class B medicals, and backgrounds & fingerprint clearances)	Separation + 30 years	Separation + 30 years or termination of benefits, whichever is longer	Separation + 30 years or termination of benefits, whichever is longer	Yes: Until Separation	Mag, Mfr, OD, Ppr	S	Yes: After Separation + 1 year	Files maintained separately; Claims can be made for 30 years for toxic substance exposure; 8 CCR §3204(d)(1) et seq., 29 CFR 1910.1020(d)(1)(i), GC §§12946, 60201

OPERATIONS

RECORDS RETENTION SCHEDULE: OPERATIONS

Page OPs-1

Office of Record	Old Retention	Records Description	Retention Disposition							Comments / Reference
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<i>Litigation (pending or reasonably anticipated), complaints, claims, Public Records Act Requests, and investigations and audits suspend normal retention periods; retention begins after settlement or completion.</i>										
TREATMENT										
Operations / Treatment		Biosolids Reports – Monthly, Quarterly, Annual	5 years		5 years		Mag, Mfr, OD, Ppr	S/I	Yes: After 1 year	Department preference; Consistent sewage sludge requirements; WC §13263.2(b) et seq.; 40 CFR 122.41(j)(2)
Collections		CCTV Collection Line Inspection Tapes / Video Inspections / Video Tapes or Digital Recordings – Regular Inspections	10 years		10 years		Mag, OD			Department Preference (5 year cycles for re-taping); GC §60201 et seq.
Finance		Chemical Usage Reports / Bills of Lading	When No Longer Required		When No Longer Required		Mag, Mfr, OD, Ppr	S/I	Yes: After 1 year	Attached to invoices; GC §60201
Operations / Treatment		Customer Issues and Concerns	5 years		5 years	Yes: Before Resolution	Mag, Ppr			Department 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, 60201; PC §§801.5, 803(c), VC
Operations / Treatment		Daily Plant Operations Checklists / Reports / Round sheets / Check sheets	3 years		3 years		Mag, Ppr			Department preference; GC §60201
District Secretary		Equipment / Vehicle History Files	Disposal of Equipment or Vehicle + 2 years		Disposal of Equipment or Vehicle + 2 years		Mag, Ppr			Department 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 396.3(c);

RECORDS RETENTION SCHEDULE: OPERATIONS

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Office of Record	Old Retention	Records Description	Retention Disposition							Comments / Reference
(OFR)			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=import M=Mfr S-Scan	Destroy Paper after Imaged & QC'd?	
<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 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>Litigation (pending or reasonably anticipated), complaints, claims, Public Records Act Requests, and investigations and audits suspend normal retention periods; retention begins after settlement or completion.</i>										
										CCP §337 et seq.; 3 CCR 1234(f); GC §60201
Operations / Treatment		Equipment Hour Readings / Checklists	3 years		3 years		Mag, Mfr, OD, Ppr	S/I	Yes: 2 years	Department Preference – NPDES records are required for 3-5 years; 40 CFR 122.41(j)(2), 122.44(h)(4)ii
Lead Dept. Ex. The dept. it pertains to.		Generator Operation Logs (for fixed / stationary generators)	2 years		2 years		Mag, Ppr			Required by AQMD; GC §60201
Operations / Treatment		Laboratory Analysis / Chain of Custody (ALL)	2 years	10 years	12 years		Mag, Mfr, OD, Ppr	S/I	Yes: 2 years	EPA / Good Laboratory Practice Standards for studies relating to health effects, environmental effects, and chemical fate tests require 10 years for Lab records, raw data, master schedule sheets, protocols, quality assurance inspections, training, experience, job descriptions, maintenance and calibration records and reports; lead and copper required for 12 years or 2 compliance cycles; 40 CFR 792.195; 40 CFR 141.33(a); 40 CFR 141.91
Collections		NPDES / Waste Discharge Monitoring Reports	2 years	8 years	10 years		Mag, Mfr, OD, Ppr	S/I	Yes: 2 years	Department preference (often, permits are not renewed in a timely manner); Monitoring records required for 3 years; 40 CFR §§122.21, 122.41(j)(2); 40 CFR 141.33(b)

RECORDS RETENTION SCHEDULE: OPERATIONS

Page OPs-3

Office of Record	Old Retention	Records Description	Retention Disposition							Comments / Reference
(OFR)			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=import M=Mfr S-Scan	Destroy Paper after Imaged & QC'd?	
<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 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>Litigation (pending or reasonably anticipated), complaints, claims, Public Records Act Requests, and investigations and audits suspend normal retention periods; retention begins after settlement or completion.</i>										
Lead Dept. Ex. The dept. it pertains to.		Operations and Maintenance Manuals (O&M Manuals)	Upon Disposal of Equipment		Upon Disposal of Equipment		Mag, Ppr			GC §60201
Collections		Pesticide Applications	2 years		2 years		Mag, Ppr			3 CCR 6623(c), 40 CFR 171.11(c)(7)(ii)
Operations / Treatment		Process Control Documents / SOPs – Standard Operating Procedures	Superseded + 5 years		Superseded + 5 years		Mag, Mfr, OD, Ppr	S/I	Yes: After 1 year	Department Preference to cover the period of time applicable records are retained; 40 CFR 122.41(j)(2); WC §13263.2(b) et seq
Operations / Treatment		Reports, Monitoring, Samples, Studies & Testing (Annual / monthly/ daily)	2 years	8 years	10 years		Mag, Mfr, OD, Ppr	S/I	Yes: After 1 year	EPA / Good Laboratory Practice Standards for studies relating to health effects, environmental effects, and chemical fate tests require 10 years for Lab records, raw data, master schedule sheets, protocols, quality assurance inspections, training, experience, job descriptions, maintenance and calibration records and reports; 40 CFR 792.195
Operations / Treatment		SCADA: Supervisory Control and Data Acquisition	Indefinite		Indefinite	Yes	Mag, Mfr, OD, Ppr			Data is interrelated; system qualifies as a "trusted system"; GC §§60201, 12168.7
Finance		Sewage Sludge Handling Logs and Weigh Tickets	5 years		5 years		Mag, Mfr, OD, Ppr	S/I	Yes: After 1 year	5 years for sewage sludge and removal; 3 years for NPDES; 40 CFR 122.41(j)(2); 40 CFR 141.33(b); GC §60200

RECORDS RETENTION SCHEDULE: OPERATIONS

Page OPs-4

Office of Record	Old Retention	Records Description	Retention Disposition							Comments / Reference
(OFR)			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=import M=Mfr S-Scan	Destroy Paper after Imaged & QC'd?	
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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>Litigation (pending or reasonably anticipated), complaints, claims, Public Records Act Requests, and investigations and audits suspend normal retention periods; retention begins after settlement or completion.</i>										
LIVESTOCK										
Jersey Island		Livestock – Individual Records (includes Quarantines, Veterinary Treatment Records, etc.)	Sale / Disposition + 3 years		Sale / Disposition + 3 years	Yes	Mag, Ppr			Records are required for 2 years after the year of the transaction, or 3 years; FA §32003(e), PC §597.1(d); 9 CFR 320.3; GC §60201
Jersey Island		Livestock Database (contains controlled substance inventories, veterinary treatments, etc.)	Indefinite		Indefinite	Yes	Mag			Department Preference; Covers various statutes of limitations; 3 years is required; FA §32003(e), PC §597.1(d); CCP §§336(a), 337 et. seq., GC §60201

ENGINEERING

RECORDS RETENTION SCHEDULE: ENGINEERING

Page E-1

Office of Record	Old Retention	Records Description	Retention Disposition							Comments / Reference
(OFR)			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=important M=Mfr S-Scan	Destroy Paper after Imaged & QC'd?	
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 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.										
Litigation (pending or reasonably anticipated), complaints, claims, Public Records Act Requests, and investigations and audits suspend normal retention periods; retention begins after settlement or completion.										
Operations/ Treatment		CEQA / NEPA Documents: Prepared by District (Environmental Impact Reports (EIRs), Environmental Assessments, Negative Declarations, etc.)	P		P	Yes: Until Project Completed	Mag, Mfr, OD, Ppr	S/I	No	Usually filed in the project file; Final environmental determination are required to be kept a "reasonable period of time"; 14 CCR §15095(c); GC §60201
Operations/ Treatment		CEQA / NEPA Documents: Prepared by Others (District comments) (Environmental Impact Reports (EIRs), Environmental Assessments, Negative Declarations, etc.)	P		P	Yes: Until Project Completed	Mag, Mfr, OD, Ppr	S/I	Yes: 1 year	Department Preference (the lead agency / department retains the original); GC §60200
Collections		Collection System Spill Reports (monthly, inter-office, etc.)	Last Corrective Action + 3 years		Last Corrective Action + 3 years		Mag, Mfr, OD, Ppr	S/I	Yes: After 1 year	3 years is required; 40 CFR 122.41(j)(2)

RECORDS RETENTION SCHEDULE: ENGINEERING

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Office of Record	Old Retention	Records Description	Retention Disposition							Comments / Reference
(OFR)			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=important M=Mfr S-Scan	Destroy Paper after Imaged & QC'd?	
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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>Litigation (pending or reasonably anticipated), complaints, claims, Public Records Act Requests, and investigations and audits suspend normal retention periods; retention begins after settlement or completion.</i>										
Finance		Engineering Project Files / CIP (Capital Improvement Project) Files – Administration File: Project Administration, Performance Bonds/Surety, Project Schedules, Certified Payrolls, Cost of Construction, Logs, Insurance Certificates from Contractors, Correspondence, Advertising, Labor Compliance, Temporary Encroachment Permits, etc.	Upon Completion	10 years or After Funding Agency Audit, if required, whichever is longer	Completion + 10 years or After Funding Agency Audit, if required, whichever is longer	Yes: Until Completed	Mag, Mfr, OD, Ppr	S	Yes: 6 years	Some grant funding agencies require audits; Statute of Limitations for written contracts are four years from the date of breach; statute of limitations for errors and omissions is 10 years; Death during construction is 10 years; published audit standards are 4-7 years; CCP §§337., 337.1(a), 337.15 GC §60200, Contractor has retention requirements in 48 CFR 4.703
Engineering		Engineering Project Files / CIP (Capital Improvement Project) Files – Permanent File: Plans, Specifications, RFIs, Materials Testing Reports, Environmental Documents, Notice of Completion, Regulatory Agency Approvals, Shop Drawings, Soils Reports, Structural Calculations, Surveys, Permanent Encroachment Permits, EIRs, Negative Declarations, Materials Submittals, SAMPs, etc.	Upon Completion	P	P	Yes: Until Completed	Mag, Mfr, OD, Ppr	S/I	Yes: Completion + 10 years	For disaster preparedness purposes, GC §60201 et seq.

RECORDS RETENTION SCHEDULE: ENGINEERING

Office of Record	Old Retention	Records Description	Retention Disposition							Comments / Reference
(OFR)			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=important M=Mfr S-Scan	Destroy Paper after Imaged & QC'd?	
<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 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>Litigation (pending or reasonably anticipated), complaints, claims, Public Records Act Requests, and investigations and audits suspend normal retention periods; retention begins after settlement or completion.</i>										
Engineering		Line Database	Indefinite		Indefinite	Yes	Mag.			Data is interrelated; GC §60200, 60201 et seq.
Engineering		Maps	P		P	Yes	Mag, Mfr, OD, Ppr	S	Yes: 1 year	Department Preference; GC §60201 et seq.
Engineering		Record Drawings ("As Builts"), Blueprints	P		P	Yes	Mag, Mfr, OD, Ppr	S	No	Department Preference; SSR propose 2 years for blueprints and specifications; GC §60201 et seq.
Engineering		Preliminary Studies / Project Assessments / Feasibility Studies	When No Longer Required		When No Longer Required		Mag, Mfr, OD, Ppr	S	Yes: 1 year	GC §60201
Engineering		Sewer Connections / Laterals / Permits	Upon Completion	P	P	Yes: Until Completed	Mag, Mfr, OD, Ppr	S	No	Department Preference; GC §60201 et seq.
Engineering		Tract Files: Send Original Offers of Dedication, Easements and Deeds to the District Secretary	Resolution or Completion + 1 year		Resolution or Completion + 1 year	Yes: Until Completed	Mag, Mfr, OD, Ppr	S	Yes: 1 year	Department preference (Tracts maintained by appropriate County and/or City; original Offers of Dedication, Easements and Deeds to the District Secretary; GC §60201
Engineering		Unauthorized Discharges / Violations	3 years		3 years		Mag, Mfr, OD, Ppr	S/I	Yes: 2 years	NPDES records are required for 3 years; 40 CFR 122.41(j)(2)
Engineering		Underground Service Alerts (USA); Utility Cuts, etc.	3 years		3 years		Mag, Ppr			GC §§4216.2(d) & 4216.3(d), 60201
Engineering		Water Treatment Plant Project Files / CIP (Capital Improvement Project Files)	Upon Completion	P	P	Yes: Until Completed	Mag, Mfr, OD, Ppr	S	Yes: 5 years	For disaster preparedness purposes; GC §60201 et seq.

**GENERAL MANAGER/
DISTRICT SECRETARY**

RECORDS RETENTION SCHEDULE: GENERAL MANAGER and DISTRICT SECRETARY

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Office of Record	Old Retention	Records Description	Retention Disposition							Comments / Reference
(OFR)			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=import M=Mfr S-Scan	Destroy Paper after Imaged & QC'd?	
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<i>Litigation (pending or reasonably anticipated), complaints, claims, Public Records Act Requests, and investigations and audits suspend normal retention periods; retention begins after settlement or completion.</i>										
ADMINISTRATION / GENERAL MANAGER										
GM / District Secretary		Awards	2 years		2 year		Mag, Ppr			Department preference; GC §60201
Collections		NPDES Permits / Waste Discharge Permits	Expiration	P	P	Yes: Until Expiration	Mag, Ppr			Department Preference (permits may not be renewed in a timely manner); Covers various statute of limitations; Monitoring records required for 3 years; 40 CFR §§122.21, 122.41; 122.44; CCP §337 et seq.
GM		Projects, Programs, Subject & Issues / Economic Development (issues and/or projects will vary over time)	When No Longer Required		When No Longer Required	Yes: While Active Issues	Mag, Ppr			GC §60201

RECORDS RETENTION SCHEDULE: GENERAL MANAGER and DISTRICT SECRETARY

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Office of Record	Old Retention	Records Description	Retention Disposition							Comments / Reference
(OFR)			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=import M=Mfr S-Scan	Destroy Paper after Imaged & QC'd?	
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<i>Litigation (pending or reasonably anticipated), complaints, claims, Public Records Act Requests, and investigations and audits suspend normal retention periods; retention begins after settlement or completion.</i>										
DISTRICT SECRETARY										
District Secretary		Affidavits of Postings and Publications	2 years		2 years		Mag, Ppr			Brown Act challenges must be filled within 30 or 90 days of action; statute of limitations on municipal government actions is 3-6 months; CCP §§337 et seq., 349.4, GC §§60201, 54960.1(c)(1)
District Secretary		Agenda Packets – District Board of Directors, Subcommittees of the Board (Includes Agenda Staff Reports, Annotated Agendas, etc.)	P		P	Yes: Before Meeting Date	Mag, Mfr, OD, Ppr	S	Yes: After 2 years	Department preference; minimum 2 years; Brown Act challenges must be filed within 30 or 90 days of action; GC §§60201, 54960.1(c)(1)
GM / District Secretary		Annexations / Detachments	P		P		Mag, Mfr, OD, Ppr	S/I	No	Land records; GC §60201
GM / District Secretary		Annual Report from Bond Counsel	10 years		10 years		Mag, Mfr, OD, Ppr	S/I	Yes: After 1 year	Department preference; GC §60200; CCP §§336 et seq., 337.5(a)
GM / District Secretary		Association Records (external associations – e.g., ACSA, CASA, etc.)	When No Longer Required		When No Longer Required		Mag, Ppr			Non-records; GC §60201 et seq.
GM / District Secretary		Bonds / Certificates of Participation (issued by the District)	Cancellation., Redemption or Maturity + 2 years	8 years	Cancellation., Redemption or Maturity + 10 years	Yes: Until Maturity	Mag, Mfr, OD, Ppr	S/I	No	Statute of Limitations for bonds or coupons is 10 years; There are specific requirements for disposal of unused bonds; CCP 337.5(2); GC §60201
GM / District Secretary		Chron Files: Correspondence	2 years		2 years		Mag, Ppr			Department preference; GC §60201

RECORDS RETENTION SCHEDULE: GENERAL MANAGER and DISTRICT SECRETARY

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Office of Record	Old Retention	Records Description	Retention Disposition							Comments / Reference
(OFR)			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=import M=Mfr S-Scan	Destroy Paper after Imaged & QC'd?	
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Litigation (pending or reasonably anticipated), complaints, claims, Public Records Act Requests, and investigations and audits suspend normal retention periods; retention begins after settlement or completion.										
GM / District Secretary		Claims & Litigation (except Personnel issues)	Final Disposition	5 years	Final Disposition + 5 years	Yes: Until Final Disposition	Mag, Mfr, OD, Ppr	S/M/I	Yes: After Final Disposition	Department Preference; Statute of limitations for most contracts is 4 years; wrongful death for construction is completion + 5 years; CCP §§ 337 et seq.; GC §§ 911.2, 945, 60201 et seq.; PC §832.5(b)
GM / District Secretary		Conflict of Interest Code	P		P		Mag, Mfr, OD, Ppr	S	No	GC §60201
GM / District Secretary		Deeds, Easements, Conveyances, Condemnations and Property records (property acquisition files, including variances, title insurance and orders of condemnations, conservation easements, etc.)	P		P	Yes (all)	Mag, Mfr, OD, Ppr	S	No	Retained for disaster preparedness purposes; GC §60201(d)(i)
GM / District Secretary		District Formation, Mergers, Boundary Changes, Organization or Reorganizations Approved by the Board	P		P		Mag, Ppr			Part of the Agenda Packet, which is maintained permanently; Required for formal changes to the district approved by the Board only; GC §60201
GM / District Secretary		District Seal, Logo	P		P		Mag, Ppr			Department preference; GC §60201
GM / District Secretary		File Indexes, Lists, Locations of Records	Follows Retention of Record		Follows Retention of Record	Yes	Mag, Ppr			Department preference; GC §60201

RECORDS RETENTION SCHEDULE: GENERAL MANAGER and DISTRICT SECRETARY

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Office of Record	Old Retention	Records Description	Retention Disposition							Comments / Reference
(OFR)			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=import M=Mfr S-Scan	Destroy Paper after Imaged & QC'd?	
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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.										
Litigation (pending or reasonably anticipated), complaints, claims, Public Records Act Requests, and investigations and audits suspend normal retention periods; retention begins after settlement or completion.										
GM / District Secretary		FPPC 700 Series Forms (Statement of Economic Interests): DESIGNATED EMPLOYEES (specified in the District's Conflict of Interest code)	7 years		7 years		Mag, Mfr, OD, Ppr	S	Yes	Department preference (originals) are filed with the County); GC §81009(e) & (g), GC §60200
GM / District Secretary		FPPC 700 Series Forms (Statement of Economic Interests): PUBLIC OFFICIALS (elected & not elected. Includes District Board Members, General Manager)	7 years		7 years		Mfr, OD, Ppr	S	After 2 years	Department preference (only required for 4 years); District maintains copies only; original statements are filed with County and FPPC; GC §81009(f)(g); GC §60200
GM / District Secretary		Historical Records	P		P		Mag, Mfr, OD, Ppr	S	No	District Secretary Determines Historical Significance; GC §60201
GM / District Secretary		Legal Opinions	P		P		Mag, Mfr, OD, Ppr	S	No	Department Preference; GC §60201
GM / District Secretary		Minutes: District Board of Directors	2 years	P	P	Yes (all)	Mag, Mfr, OD, Ppr	S	No	GC §60201(d)(3)
GM / District Secretary		Ordinances	2 years	P	P	Yes (all)	Mag, Mfr, OD, Ppr	S	No	GC §60201(d)(2).
Admin		Records Destruction Lists		P	P		Mag, Mfr, OD, Ppr	S	Yes: After 2 years	Department Preference; GC §60201(b)(1)(B)
Admin		Records Retention Schedules	When Superseded	P	P		Mag, Mfr, OD, Ppr	S	Yes: After 2 years	Department Preference; GC §60201(b)(1)(B)
District Secretary		Resolutions	2 years	P	P	Yes (all)	Mag, Mfr, OD, Ppr	S	No	GC §60201 et seq.
GM / District Secretary		Public Records Requests / Subpoenas	2 years		2 years		Mag, Ppr			GC §60201

RECORDS RETENTION SCHEDULE: GENERAL MANAGER and DISTRICT SECRETARY

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Office of Record	Old Retention	Records Description	Retention Disposition							Comments / Reference
(OFR)			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=import M=Mfr S-Scan	Destroy Paper after Imaged & QC'd?	
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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>Litigation (pending or reasonably anticipated), complaints, claims, Public Records Act Requests, and investigations and audits suspend normal retention periods; retention begins after settlement or completion.</i>										
GM / District Secretary		Tapes & Recordings (Audio) District Board meetings	30 days, or After Minutes are Approved, whichever is longer		30 days, or After Minutes are Approved, whichever is longer		Tape (mag), OD			Department Preference; legally required for 30 days (or adoption of the minutes); GC §54953.5(b)

SAFETY

RECORDS RETENTION SCHEDULE: SAFETY

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Office of Record	Old Retention	Records Description	Retention Disposition							Comments / Reference
(OFR)			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=import M=Mfr S-Scan	Destroy Paper after Imaged & QC'd?	
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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>Litigation (pending or reasonably anticipated), complaints, claims, Public Records Act Requests, and investigations and audits suspend normal retention periods; retention begins after settlement or completion.</i>										
Lead Dept.		Calibration Records for Fixed Gas Detectors / Portable Gas Detectors	3 years		3 years		Mag, Ppr			Department Preference; GC §60201
Lead Dept.		Cal-OSHA Inspections & Citations, Log 200, 300, 301, 301A, etc.	7 years		7 years		Ppr			Department Preference; Calif. Labor Division is required to keep their records 7 years; OSHA requires 5 years; State law requires 2 years; 8 CCR 3203(b)(1); 29 CFR 1904.33, 29 CFR 19044.44; GC §60201 et seq.; LC §6429c
Lead Dept.		Investigations: Incidents, Unusual Occurrences of Near Misses	7 years		7 years		Mag, Mfr, OD	S	Yes (after inactive)	Department preference; GC §60200
Lead Dept.		Material Data Safety Sheet (MSDS) Logs (or records of the chemical / substance / agent, where & when it was used)	While chemical is in use	30 years	30 years		Mag, Mfr, Od, Ppr	S	Yes (after inactive)	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)(i), GC §60200
Lead Dept.		Monthly and Quarterly Safety Inspections	5 years		5 years		Mag, Ppr			Department preference; GC §60201 et seq.

RECORDS RETENTION SCHEDULE: SAFETY

Page SFTY-2

Office of Record	Old Retention	Records Description	Retention Disposition							Comments / Reference
(OFR)			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	Vital?	Media Options	Image: I=import M=Mfr S-Scan	Destroy Paper after Imaged & QC'd?	
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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>Litigation (pending or reasonably anticipated), complaints, claims, Public Records Act Requests, and investigations and audits suspend normal retention periods; retention begins after settlement or completion.</i>										
District Secretary		Personnel Files (Training File)	Separation + 10 years		Separation + 10 years	Yes: Until Separation	Mag, Mfr, OD, Ppr	S	Yes: After Separation	Department Preference (placed in Personnel File upon separation); 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)(ii) 8 CCR §3204(d)(1) et seq., GC §§12946
Lead Dept.		Safety Checks / Pre-Stars / Commercial vehicle Prestarts and Forklift Inspections	Minimum 2 years		Minimum 2 years		Mag, Ppr			Department preference; if ia motor carrier, required for 3 and 14 months; 49 CFR 396.11(c)(2); 49 CFR 396.21(b)(1); GC §60201
District Secretary		Workers Compensation / Long Term Disability Files (includes all accident, incident, or injury reports from employees)	Separation + 10 years	30 years or termination of benefits, whichever is longer	Separation + 30 years or termination of benefits, whichever is longer		Mag, Mfr, OD, Ppr	S	Yes; When Inactive	Claims can be made for 30 years for toxic substance exposure; 8 CCR §3204(d)(1) et seq., 29 CFR 1910.1020(d)(1)(i), GC §§12946, 60201