



Orange County Sanitation District Records Retention Schedule

General Retention Schedule Information

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- Official Records cannot be discarded in trash bins. They must be submitted to Records Management for secure destruction.

| Citation Codes | | Retention Codes | |
|-------------------------------|--------------------------------|-----------------|--|
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| CCR | California Code of Regulations | CU | Current Year (Calendar or Fiscal As Appropriate) |
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| PRC | Public Resources Code | S | Superseded |
| OMB | Office of Management & Budget | T | Terminated |
| R&TC | Revenue & Taxation Code | | |
| SOS | Secretary of State | Media Types | |
| USC | United States Code | CD | CD |
| | | EL | Electronic |
| Special Storage Consideration | | FD | Floppy Disk |
| C | Confidential | P | Paper |
| H | Historical | TA | Tapes |
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Districtwide

| Retention Number | Record Type | Retention Length (Years Unless Specified) | Special Storage Consideration | Media Type | Retention Citations / Comments |
|------------------|---|---|-------------------------------|------------|--|
| DW001 | Published Articles Written/Contribution by OC San Staff | LO | | | SOS C-24, SOS C-40 |
| DW002 | Historical Records: Photos, Slides Used by O&M, Videos, Correspondence | LO | H | | <i>Business value for LO retention</i> Need to discuss determination of Historical with management No citations? |
| DW003 | Non-Historical Photos & Videos | NN | | | This category is very broad. Need to discuss narrowing it. Removing it may also be an option. No citations? |



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| DW005 | <p>Reference Files: Equipment Manuals, Process Workflows, Budget Planning Documents, Training Material, Standby Assignments/Stormwatch</p> <p>The citation for manuals is GC 60201(d)(11) and SOS C-23; retention period of S+2. Depending on what records are in this Type, could also be SOS C-19 with a S+5 retention period if the document is classified as Departmental Policies & Procedures. We may need to reclassify the "process workflows", "budget planning documents", and "standby assignments/stormwatch" if these are documents that relate to a specific project. We may want to break this Type into additional Types for more accurate retention. Needs further discussion</p> | S+5 | | EL, P | GC §53464-GC §60201(d)(11); SOS C-23, SOS C-19 |
| DW006 | <p>Speeches and Non-Marketing Related Presentations & Supporting Documents (Includes PowerPoints) Presentations Not Made at Board/Committee Meetings <i>Incorporates previous DW004</i></p> | CU+2 | H | | SOS C-24 <i>Some records may be kept for historical value</i> |
| DW007 | <p>Email in Outlook Inbox & Sent Folders <i>This pertains to all email not specifically addressed or related to another Retention Number contained in the whole Records Retention Schedule</i></p> | CU+2 | | | No citations? |
| DW008 | <p>Non-Records in Email Format in Outlook Deleted Folder <i>These records fail to meet the definition of a public record under Government Code §6252(e)</i></p> | 90 Days | | | Ben reviewing bold language in Record Type field No citations? |
| DW009 | <p>Various Internal Meeting Minutes Includes Minutes Not Otherwise Indicated Herein, Including Executive Management Team (EMT) Meeting Minutes, Managers Meeting Minutes, Administrative Support Meeting Minutes <i>EMT Meeting Minutes previously GMO017</i></p> | CU+2 | | | SOS C-19 e24 |



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Board Services

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|------------------|--|---|-------------------------------|------------|--|
| BSD001 | Affidavits of Publications Notices | LO | | EL, P | GC §54960.1(c)(1); SOS C-22, SOS C-23 <i>Required retention is CU+2; business value for LO retention</i> |
| BSD002 | Board and Committee Meeting Agenda Packets and Meeting-Related Materials: Agenda, Agenda Reports & Attachments, Presentations, GM Monthly Report | LO | | EL, P | GC §34090 ; SOS C-22, SOS C-42 |
| BSD003 | Agreements & Contracts, Political & Outside Jurisdictions/Agencies: Cooperative Agreements, JPAs (Joint Powers Authorities), JFAs (Joint Finance Authorities), Interagency, Reimbursement Agreements | LO | | EL, P | GC §60201(d)(1), GC §60201(d)(9) |
| BSD004 | Annexation Files | LO | | EL, P | GC §34090 , GC §60201(d)(1); SOS C-28 |
| BSD005 | Bids - Awarded (Board Reviewed) | LO | | EL, P | GC §60201(d)(6); SOS C-27 , SOS C-30 |
| BSD006 | Bids - Unsuccessful Unaccepted (Board Approved Reviewed) <i>Includes unsuccessful and rejected bids</i> | CU+2 | | EL, P | GC §34090, GC §60201(d)(6) ; GC §60201(d)(11); SOS C-30 |



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Board Services

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|------------------|--|---|-------------------------------|------------|--|
| BSD007 | Board Administration Files: Loyalty Oaths, Election Records, Directors Lists, Contact Information | T+10 | | EL, P | GC §34090(d)(1) ; PC §801.5 22; SOS C-18; 29 USC §1113 |
| BSD008 | Conflict of Interest (FPPC Filings) | T+7 | | EL, P | GC §81009(e); SOS C-18 |
| BSD009 | Purchasing, Contracts & Agreement Files - Capital Improvement Projects (CIP) & Non-CIP - Committee or Board Approved: Includes Authorization Documents; Change Orders; Amendments; Notices; Published Invitation for Bid (IFB) Documents, including Specifications & Drawings, Solicitation Addenda and Bulletins Issued; Notices of Intent to Award; Notices of Award; Notices to Proceed; Notices of Completion; Property & Other Lease Agreements | LO | | EL, P | CCP §335, CCP §337, CCP §337.15; GC §4000; H&S §19850; SOS C-22, SOS C-27, SOS C-30 |
| BSD011 | Ethics Training: Sexual Harassment Board Only, Ethics Training Board & Employee | EX+5 | | EL, P | GC §53235.2(b) |
| BSD012 | Formation Files | LO | | EL, P | GC §60201(d)(1) |
| BSD013 | Land Records: Easements, Grant Deeds, Quit Claim Deeds, Abandonments, Condemnations, Real Estate Purchase & Sale, Property Agreements, Encroachment Permits, Etc. | LO | | EL, P | GC §34090(a) ; GC §60201(d)(8) |



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| BSD014 | Legal Opinions | LO | | EL, P | SOS C-23; GC §6254 |
| BSD015 | Litigation Files | CL+6 | | EL, P | GC §60201(d)(4) |
| BSD016 | Meeting Minutes: Board & Board Committees | LO | | EL, P | GC §60201(d)(3) |
| BSD017 | Ordinances | LO | | EL, P | GC §60201(d)(2) |
| BSD018 | Recorded Project Documents: Notices of Completion, Easements, Deeds, etc. | LO | | EL, P | GC §60201(d)(8); SOS C-26 |
| BSD019 | Resolutions | LO | | EL, P | GC §34090, GC §60201(d)(2) |



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| BSD020 | Tapes & Digital Recordings (Audio & Video): Board or Committee Meetings | LO | | EL | GC §54953.5(b) <i>Minimum retention 30 days or until adoption of the minutes per Brown Act</i> |
| BSD021 | Director Communications: General Board Correspondence | CU+3 | | EL, P | PC 801.5 22; 29 USC §1113 |
| BSD023 | Public Records Act Requests | CL+2 | | EL, P | GC §60201(d)(5); SOS C-23 |
| BSD024 | Grand Jury Reports/Responses | LO | | EL, P | GC §60201 |
| BSD025 | Records Retention Schedules | LO | | EL, P | CCP §343; SOS C-23 <i>Schedules are superseded when updated</i> |
| BSD026 | Records Destruction Records: Approvals, Certificates, Requests | LO | | EL, P | SOS C-23 |



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| BSD027 | Records Management Annual Audits: Inventory, Storage, Destruction | S+3 | | EL, P | SOS C-23 |
| BSD028 | Public Records Act Requests Log | LO | H | EL, P | Required retention is the same as BSD023 (CL+2); business value in LO retention No citations? |



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Contracts, Purchasing, and Materials Management

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| CPM001 | Purchasing, Contracts & Agreement Files - Capital Improvement Projects (CIP) - Not Committee or Board Approved: Includes Insurance Certificates; Authorization Documents; Change Orders; Amendments; Notices; Pre-Award Bid/Proposal Package; Bid/Proposal Evaluation Materials; Protest Documents; Project Documents; Published Invitation for Bid (IFB) Documents, including Specifications & Drawings, Addenda and Bulletins Issued, Bid Requirements Form, Question & Answer Logs, Outreach Materials, Evaluator Certifications, Responsiveness & Responsibility Review Documents (Safety, Finance, Experience Requirements), Clarification Requests & Responses, and Bid/Proposal Evaluation Memorandum; Notice of Award Recommendations; Protest and Associated Documents; Determination on Protests; Appeals; Determination of Appeals; Preliminary Notices; Stop Notices; Notices of Completion; Property & Other Lease Agreements For Purchasing, Contracts & Agreement Files that are Committee or Board approved, please see BSD009 | LO | | EL, P | CCP §335, CCP §337, CCP §337.15; GC §4000; H&S §19850; SOS C-22, SOS C-27, SOS C-30 |



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Contracts, Purchasing, and Materials Management

| Retention Number | Record Type | Retention Length (Years Unless Specified) | Special Storage Consideration | Media Type | Retention Citations / Comments |
|------------------|---|---|-------------------------------|------------|--|
| CPM002 | Purchasing, Contracts & Agreement Files - Non-CIP Projects - Not Committee or Board Approved: Includes Insurance Certificates; Authorization Documents; Change Orders; Amendments; Notices; Pre-Award Bid/Proposal Packages; Bid/Proposal Evaluation Materials; Protest Documents; Project Documents; Published Invitation for Bid (IFB) Documents, including Specifications & Drawings, Addenda and Bulletins Issued, Bid Requirements Form, Question & Answer Logs, Outreach Materials, Evaluator Certifications, Responsiveness & Responsibility Review Documents (Safety, Finance, Experience Requirements), Clarification Requests & Responses, and Bid/Proposal Evaluation Memorandum; Notice of Award Recommendations; Protest and Associated Documents; Determination on Protests; Appeals; Determination of Appeals; Preliminary Notices; Stop Notices; Notices of Completion; Property & Other Lease Agreements For Purchasing, Contracts & Agreement Files that are Committee or Board approved, please see BSD009 | CL+7 | | EL, P | CCP §335; SOS C-22, SOS C-30 |
| CPM003 | Escrow Bid Documents | LF | C, V | | CCP §337.15 <i>Unsuccessful Escrow Bid Documents are returned to Contractor after Contract is awarded. The Escrow Bid Documents for the Awarded Contractor are returned at the end of the life of the facility (business preference to retain these documents longer than required by §CCP 337.15, which indicates CL+10). OC San acts as a temporary custodian of the documents, which remain the property of the bidders.</i> |



Orange County Sanitation District Records Retention Schedule

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- Notes, preliminary drafts, and transitory records are not considered Official Records and may be destroyed without complying with OC San's RRS (SOS 2-1030). Such records may be destroyed when no longer needed for OC San business and do not require authorization for destruction.
- Official Records cannot be discarded in trash bins. They must be submitted to Records Management for secure destruction.

| Citation Codes | | Retention Codes | |
|-------------------------------|--------------------------------|-----------------|--|
| CCP | Code of Civil Procedure (CA) | CL | Closed or Completed |
| CCR | California Code of Regulations | CU | Current Year (Calendar or Fiscal As Appropriate) |
| CFR | Code of Federal Regulations | | |
| GC | Government Code (California) | EX | Expired or Expiration |
| H&S | Health & Safety Code | LF | Life of Facility, Equip. or Software |
| IRS | Internal Revenue Service | LO | Life of Organization or Permanent |
| LC | Labor Code (CA) | NN | When No Longer Needed |
| PC | Penal Code (CA) | OB | Obsolete |
| PRC | Public Resources Code | S | Superseded |
| OMB | Office of Management & Budget | T | Terminated |
| R&TC | Revenue & Taxation Code | | |
| SOS | Secretary of State | Media Types | |
| USC | United States Code | CD | CD |
| | | EL | Electronic |
| Special Storage Consideration | | FD | Floppy Disk |
| C | Confidential | P | Paper |
| H | Historical | TA | Tapes |
| V | Vital | | |

Contracts, Purchasing, and Materials Management

| Retention Number | Record Type | Retention Length (Years Unless Specified) | Special Storage Consideration | Media Type | Retention Citations / Comments |
|------------------|--|--|-------------------------------|------------|---|
| CPM005 | Purchase Order & Requisition Files (Including Committee or Board Approved): Open Annual (OA), Open Blanket (OB), Open Purchase (OP), and Open Service (OS) | LO | | EL, P | CCP §337; GC §60201(d)(12); SOS C-30 |
| CPM008 | Warehouse and Materials Management Records: Sales Orders , Discrepancies, Add To Stores, Receivers, Return To Vendors (RTV), Shipping Records, Inventories, Disposal of Surplus Assets | CL+4 | | EL, P | CCP §337; GC §34090 ; SOS C-29, SOS C-30 |
| CPM009 | Procurement Card Documentation Reconciliation, Requisition Credit Card Purchases, Reports, Agreement, Correspondence | CL+1 | | | SOS C-30 The retention requirement for these records might be CU+2. Are these records employee held? Where are the original records held? |
| CPM019 | Certificates of Insurance | LO | | EL, P | CCP §337.15 ; SOS C-24 |
| CPM020 | Purchasing & Contracts Support Documents - CIP & Non-CIP - Committee or Board Approved: Includes Pre-Award Bid/Proposal Packages; Bid/Proposal Evaluation Materials; Project Documents; Bid Requirements Forms; Question & Answer Logs; Outreach Materials; Evaluator Certifications; Responsiveness & Responsibility Review Documents (Safety, Finance, Experience Requirements), Clarification Requests and Responses; Bid/Proposal Evaluation Memorandum; Notice of Award Recommendations; Protest and Associated Documents, Determination of Protests; Appeals; Determination of Appeals; Preliminary | LO | | EL, P | CCP §337, CCP §337.15; SOS C-22, SOS C-30 |



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| H&S | Health & Safety Code | LF | Life of Facility, Equip. or Software |
| IRS | Internal Revenue Service | LO | Life of Organization or Permanent |
| LC | Labor Code (CA) | NN | When No Longer Needed |
| PC | Penal Code (CA) | OB | Obsolete |
| PRC | Public Resources Code | S | Superseded |
| OMB | Office of Management & Budget | T | Terminated |
| R&TC | Revenue & Taxation Code | | |
| SOS | Secretary of State | Media Types | |
| USC | United States Code | CD | CD |
| | | EL | Electronic |
| Special Storage Consideration | | FD | Floppy Disk |
| C | Confidential | P | Paper |
| H | Historical | TA | Tapes |
| V | Vital | | |

Contracts, Purchasing, and Materials Management

| Retention Number | Record Type | Retention Length (Years Unless Specified) | Special Storage Consideration | Media Type | Retention Citations / Comments |
|------------------|---|---|-------------------------------|------------|--------------------------------|
| CPM021 | Bids - Unaccepted (NOT Committee or Board Approved) <i>Includes unsuccessful and rejected bids</i> | CU+2 | | EL, P | GC §60201(d)(11); SOS C-30 |



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| IRS | Internal Revenue Service | LO | Life of Organization or Permanent |
| LC | Labor Code (CA) | NN | When No Longer Needed |
| PC | Penal Code (CA) | OB | Obsolete |
| PRC | Public Resources Code | S | Superseded |
| OMB | Office of Management & Budget | T | Terminated |
| R&TC | Revenue & Taxation Code | | |
| SOS | Secretary of State | Media Types | |
| USC | United States Code | CD | CD |
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Engineering

| Retention Number | Record Type | Retention Length (Years Unless Specified) | Special Storage Consideration | Media Type | Retention Citations / Comments |
|------------------|---|---|-------------------------------|------------|---|
| ENG001 | CEQA Documents: Includes Environmental Impact Reports and Addenda, Negative Declarations, Notices of Completion and Determination, Comments on Environmental Documents, Statements of Overriding Considerations, Exemptions, Technical Studies, Initial Studies, Mitigation and Monitoring Reports | LO | | | 14 CCR §15062, 14 CCR §15075, 14 CCR §15094, 14 CCR §15095(c), 14 CCR §15112, 14 CCR §15208; GC §60201(d)(10); SOS C-27 |
| ENG003 | City or County Plans: Specific Plan, Master Plan | CU+20 | | | GC §60201(d)(10); SOS C-26, SOS C-27, SOS C-28 <i>OC San is not the custodian of these records; however there is a business value to the retention of these records & 20 years has shown to be appropriate</i> |
| ENG004 | Utility Requests: Received Plans, OC San Response Requests for Underground Utility Information (From City, Utility, Public Agency or Contractor Working On Behalf of Same): Original Inquiry/Plans Received from Utility, OC San Response | CL+2 | | | SOS C-29 More thorough description provided in Record Type so that appropriate citations can be determined |
| ENG005 | General Correspondence: Internal and/or Project-Related Meeting Discussions, Correspondence, Meeting Minutes | CL+10 | | | CCP §337.15 |
| ENG006 | Agreements, Annexations, Land Records, Connection Permits, Encroachment Permit Supporting Documentation: Letters, Meeting Minutes | LO | | | GC §60201(d)(8) |



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| H&S | Health & Safety Code | LF | Life of Facility, Equip. or Software |
| IRS | Internal Revenue Service | LO | Life of Organization or Permanent |
| LC | Labor Code (CA) | NN | When No Longer Needed |
| PC | Penal Code (CA) | OB | Obsolete |
| PRC | Public Resources Code | S | Superseded |
| OMB | Office of Management & Budget | T | Terminated |
| R&TC | Revenue & Taxation Code | | |
| SOS | Secretary of State | | |
| USC | United States Code | | |
| Media Types | | | |
| | | CD | CD |
| | | EL | Electronic |
| Special Storage Consideration | | | |
| C | Confidential | FD | Floppy Disk |
| H | Historical | P | Paper |
| V | Vital | TA | Tapes |

Engineering

| Retention Number | Record Type | Retention Length (Years Unless Specified) | Special Storage Consideration | Media Type | Retention Citations / Comments |
|------------------|--|--|-------------------------------|------------|--------------------------------|
| ENG007 | Project Development: Correspondence, Feasibility Study, Gate Review, Meeting Agendas and Minutes, Project Photos, Handoff Documents, Consultant Monthly Report | CL+10 | | | CCP §337.15 |
| ENG008 | Preliminary Design: Correspondence, Design Submittal, Gate Review, Meeting Agendas and Minutes, PDR Documentation, Project Photos, Public Outreach, Consultant Monthly Report | CL+10 | | | CCP §337.15 |
| ENG009 | Design: Consultant Monthly Report, Correspondence, Design Submittal, FDS, Gate Review, Meeting Agendas and Minutes, Project Photos, Public Outreach, Handoff Documents, ETAP Documents | CL+10 | | | CCP §337.15 |
| ENG010 | Construction and Installation: Consultant Monthly Report, Contract Submittal, Correspondence, Gate Review, Inspection Documentation, Meeting Agendas and Minutes, Project Photos, Public Outreach, Requests and Changes (Bulletin, Contractor Cost Proposal, Delay and Schedule Analysis, Field Change Order, Request for Change, Request for Information, Request for Proposal, Time and Materials Report), Safety Documentation, ETAP Documents | CL+10 | | | CCP §337.15 |
| ENG011 | Commissioning: Correspondence, Gate Review, Meeting Agendas and Minutes, Project Photos, Substantial Completion-Beneficial Use, Use Prior to Completion, Substantial Completion, Final Completion, Testing Documentation | CL+10 | | | CCP §337.15 |
| ENG012 | Closeout: Correspondence, Gate Review, Meeting Agendas and Minutes, Project Photos, Final Acceptance and Release of Retention, Warranty Documentation | CL+10 | | | CCP §337.15; GC §60201(d)(12) |



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Engineering

| Retention Number | Record Type | Retention Length (Years Unless Specified) | Special Storage Consideration | Media Type | Retention Citations / Comments |
|------------------|---|--|-------------------------------|------------|--------------------------------|
| ENG013 | Professional Service Agreement: Solicitation (Addendum and Question Answer Document, Award Document, Meeting Agendas and Minutes, Proposal and Evaluation, Protest Document, Request for Proposal, Request for Qualification, Scope of Work, Sole Source, Statement of Qualification and Evaluation), Contract Administration (Agreement Closeout, Amendment and Reallocation, Conformed Agreement Package, Consultant Invoice) | CL+10 | | | CCP §337.15; GC §60201(d)(12) |
| ENG014 | Professional Design Service Agreement: Solicitation (Addendum and Question Answer Document, Award Document, Meeting Agendas and Minutes, Proposal and Evaluation, Protest Document, Request for Proposal, Request for Qualification, Scope of Work, Sole Source, Statement of Qualification and Evaluation), Contract Administration (Agreement Closeout, Amendment and Reallocation, Conformed Agreement Package, Consultant Invoice) | CL+10 | | | CCP §337.15; GC §60201(d)(12) |
| ENG015 | Professional Construction Service Agreement: Solicitation (Addendum and Question Answer Document, Award Document, Meeting Agendas and Minutes, Proposal and Evaluation, Protest Document, Request for Proposal, Request for Qualification, Scope of Work, Sole Source, Statement of Qualification and Evaluation), Contract Administration (Agreement Closeout, Amendment and Reallocation, Conformed Agreement Package, Consultant Invoice) | CL+10 | | | CCP §337.15; GC §60201(d)(12) |
| ENG016 | Construction Agreement: Solicitation (Addendum and Question Answer Document, Award Document, Bid and Evaluation, Invitation for Bid Document, Meeting Agendas and Minutes, Protect Document, Sole Source) Contract Administration (Certified Payroll, Change Order, Claims Documentation, Conformed Contract Package, Contract Closeout, Contractor Progress Payment, Other Agreement, Stop Notice Request-Release) | CL+10 | | | CCP §337.15; GC §60201(d)(12) |



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Engineering

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|------------------|--|---|-------------------------------|------------|---|
| ENG017 | Task Order: Solicitation (Addendum and Question Answer Document, Award Document, Meeting Agendas and Minutes, Proposal and Evaluation, Protest Document, Request for Proposal, Request for Qualification, Scope of Work, Sole Source, Statement of Qualification and Evaluation), Contract Administration (Agreement Closeout, Amendment and Reallocation, Conformed Agreement Package, Consultant Invoice) | CL+10 | | | CCP §337.15; GC §60201(d)(12) |
| ENG018 | Budget Documentation: Budget Table and Schedule Documentation (Construction Schedule Documentation) | CL+10 | | | CCP §337.15 |
| ENG019 | CEQA Correspondence, Including Correspondence with Outside Cities/Agencies: Includes Written and Electronic Correspondence <i>Incorporates previous ENG002 at the direction of Legal Counsel</i> | CL+10 | | | 14 CCR §15062, 14 CCR §15075, 14 CCR §15094, 14 CCR §15095(c), 14 CCR §15112, 14 CCR §15208; GC §60201(d)(10); PRC §21167.6; SOS C-27 |
| ENG020 | Project-Related Permit Documentation: AQMD, Army Corps of Engineers, CEQA Permits, Certification of Environmental Compliance, Contaminated Soil Manifest, Dewatering Data, Encroachment/Right of Way, Mitigation Measure Monitoring Reporting, Permit for Construction, RWQCB, Storm Water Compliance Reporting, City/County Permits, CalTrans Permits, OSHA Excavation Permits, EPA, CA Dept. of Fish & Game, OCFCD Permit for Construction, Railway Permit for Construction Does this Type include the actual Permit or is it limited to Permit applications & correspondence? GC needs to know so that appropriate Citations can be noted. | CL+5 | | | SOS C-25, SOS C-26 |
| ENG021 | Engineering Drawing: Conformed Set Drawings Conformed Set Drawings are superseded by Record Drawings & retained pursuant to ENG031 | S | | | No citations? |



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Engineering

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|------------------|---|--|-------------------------------|------------|--|
| ENG023 | Code and Standards <i>Need to know what Code & Standards we are referring to so that GC can provide appropriate Citations.</i> | S+10 | | | CCP §337.15 |
| ENG024 | Design Documentation: Engineering Study and Analysis, Final Planning Study Report, Preliminary Design Report/Technical Memoranda, Engineering Calculations, Geotechnical and Geophysical Reports, Hazardous Materials Report, Hydrogeologic Report, Seismic Report | LF | | | SOS C-19, SOS C-25, SOS C-26, SOS C-27 |
| ENG025 | Construction Specialty: Electrical Test Report, Geotechnical Report, Instrumentation Testing, Materials Testing Report, Mechanical Testing, Other Test Report, Soil Report, Structural Testing, Survey Report, Commissioning Procedure, Inspection Daily Report and Construction Photo | LF | | | SOS C-19, SOS C-25, SOS C-26, SOS C-27 |
| ENG027 | Facility Reports: CIP Annual Report, OC San Master Plan (Generated by Eng. Dept.), Strategic or Facility-Wide Planning Study Report (Seismic, Climate, Capacity, etc.) | LO | | | SOS C-19, SOS C-25, SOS C-26, SOS C-27 |
| ENG028 | Specification Conformed: <i>Final Record of the Precise Details and Description of the Service or Project Once Completed</i> | LO | | | No citations? |
| ENG029 | Connection Permit: Trunk Sewer Connection Permit | S+2 | | | GC §60201(d)(10); SOS C-29, SOS C-43, SOS C-44 |



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| LC | Labor Code (CA) | NN | When No Longer Needed |
| PC | Penal Code (CA) | OB | Obsolete |
| PRC | Public Resources Code | S | Superseded |
| OMB | Office of Management & Budget | T | Terminated |
| R&TC | Revenue & Taxation Code | | |
| SOS | Secretary of State | Media Types | |
| USC | United States Code | CD | CD |
| | | EL | Electronic |
| Special Storage Consideration | | FD | Floppy Disk |
| C | Confidential | P | Paper |
| H | Historical | TA | Tapes |
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Engineering

| Retention Number | Record Type | Retention Length (Years Unless Specified) | Special Storage Consideration | Media Type | Retention Citations / Comments |
|------------------|--|--|-------------------------------|------------|--------------------------------|
| ENG030 | Facility Permits: AQMD, Permit to Operate, CA Coastal Commission/Coastal Development, Building Permit, Fire Department Permit | LF+5 | | | SOS C-45 |
| ENG031 | Engineering Drawing: Record Drawings (Tunnel Cross-Section, Vault Detail) | LO | | | SOS C-26, SOS C-44 |
| ENG032 | Shop Drawings | LO | | | SOS C-25 |
| ENG033 | CEQA Related Documentation Pertaining to Meeting Agendas and Meeting Minutes | LO | | | GC §60201(d)(3) |



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Environmental Services

| Retention Number | Record Type | Retention Length (Years Unless Specified) | Special Storage Consideration | Media Type | Retention Citations / Comments |
|------------------|--|---|-------------------------------|------------|--|
| ESD001 | Air Emissions Permitting Files (AQMD, CARB, Other): Final Permit, Testing Reports, Permit Applications, Correspondence | LO | | | CCP §338(k); SOS C-17 , SOS C-27 |
| ESD002 | Asset Specific Emission Records: Various Equipment and Operational Information, Including Logs Please see OMD014 & OMD016 for retention of some records within ESD002 | OB+7 | | | SOS C-26 SOS C-27 |
| ESD003 | Biosolids Management Records: Biosolids Hauling, Use, EMS Activities | LO | | | 40 CFR §122.21, 40 CFR §122.41(j)(2), 40 CFR §503.17; SOS C-47 |
| ESD004 | Chain of Custody - Laboratory | CU+7 | | | 40 CFR §122.21(j)(4)-(6), 40 CFR §122.41(j)(2), 40 CFR §403.12(o), 40 CFR §503.17(a)(3)(i), (a)(4); SOS C-22 |
| ESD006 | Compliance Program Documentation: Storm Water, SSO, Post Construction Mitigation, SSMP (WDR) | LO | | | 40 CFR §122.41, 40 CFR Part 141, 40 CFR §141.33; SOS C-25, SOS C-27, SOS C-45 |
| ESD009 | Environmental Audit Records: Conducted By OC San | LO | | | SOS C-42, SOS C-45, SOS C-46 |



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Environmental Services

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|------------------|--|---|-------------------------------|------------|---|
| ESD010 | Environmental Audit Records: Conducted By Outside Parties | LO | | | SOS e-17, SOS e-27-SOS C-42, SOS C-45, SOS C-46 |
| ESD011 | Interagency (Outside) Agreements and Documentation MOU | LO | | | GC §60201(d)(9)-GC §60201(d)(1); SOS e-24 |
| ESD012 | Laboratory Standard Operating Procedures | LO | | | SOS C-19 |
| ESD013 | Laboratory Records: Sample Preparation Records, Raw Data, Data Logs, Data Packets, QA/QC Reports, Final Processed Data, LIMS Reports, Lab Equipment Maintenance and Sterilization | CU+7 | | | SOS e-22, SOS e-33-SOS C-46 |
| ESD014 | Non Permittee Files: Inspection Reports Data, Correspondence | CU+6 | | | SOS C-19, SOS C-42 |
| ESD015 | OMP Field Datasheets: Field Data and Collection Documentation, Animal Counts, Fish Collection Observations | LO | | | 40 CFR §141.33; SOS C-46 |



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Environmental Services

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|------------------|--|--|-------------------------------|------------|---|
| ESD016 | NPDES Permitting Files: Final Permit, Permit Applications, Special Studies & Reports, Correspondence See Special Note in ESD020 | LO | | EL | 40 CFR §122.41(j)(2), 40 CFR §403.12(o); SOS C-46 |
| ESD017 | Permittee Files: Discharge Permits and Urban Runoff | EX+6 | | | 40 CFR §122.41(j)(2), 40 CFR §403.12(o); SOS C-46 |
| ESD019 | Cleanup, Abatement, and Remediation of Underground Storage Tanks | LO | | | 23 CCR §2772; SOS C-33 |
| ESD020 | Compliance and Annual Reports: Discharge Monitoring Reports (DMR), Marine Monitoring Annual Report (MMAR), Biosolids Annual Report Special Note: The MMAR contains information from NPDES permits so should be used as a resource to ESD016 | LO | | P | 40 CFR §122.41(j) |
| ESD021 | Non-Hazardous Waste Waste Hauler Manifests | CU+3 | | | SOS C-42 |
| ESD022 | Unprocessed Instrumentation Files & Lab Reports | LO | H, V | | 40 CFR §122.41(j) |



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Financial Management and Administrative Services

| Retention Number | Record Type | Retention Length (Years Unless Specified) | Special Storage Consideration | Media Type | Retention Citations / Comments |
|------------------|---|--|-------------------------------|------------|---|
| FAD001 | Accounting Reports: Quarterly and Monthly Reports | CU+4 | | | SOS A-1, SOS C-30 |
| FAD002 | Accounts Payable Files: Vendor and Contractor Invoices, Bills, Statements, Any Non-Discharged Debt | CL+7 | | | GC §60201(d)(7), GC §60201(d)(12); SOS C-29 <i>CL refers to final payment</i> <i>Freeze on all FAD002 records for the timeframe of 1/1/2010 through 12/31/2013.</i> <i>Freeze until 1/1/2048 for the purposes of fulfilling Build America Bonds IRS requirements. OC San issued Build America Bonds in 2010 (outstanding through 2044) for which we are receiving a federal subsidy to offset our interest costs. The IRS guidance found states that all issuers should have records retention policies that maintain bond documents & related records (including documents supporting the disposition of funds) for at least the life of the bonds plus three years (through 2047).</i> |
| FAD003 | Accounts Receivable Files | CL+7 | | | CCP §337; GC §60201(d)(7), GC §60201(d)(12); SOS C-29 <i>CL refers to final payment</i> |



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Financial Management and Administrative Services

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|------------------|--|--|-------------------------------|------------|---|
| FAD004 | Annual Report - Financial | LO | H | | SOS C-30 |
| FAD005 | Audit Records: Financial Statements, Audit Management Letters, Comprehensive Annual Financial Report (CAFR) | LO | H | | SOS C-30 |
| FAD006 | Bank Signature Cards | S+7 | | | GC §60201(d)(12) |
| FAD007 | Banking Records: Deposit Receipts, Bank Statements, Checking Account Reconciliation, Cash Transfer Report (LAIF, Wire Transfers, and Intra-bank Transfers), Adjustments - Returned Checks (NSF), ACH Returns, Positive Pay Exceptions | CU+6 | | | SOS C-29, SOS C-30 |
| FAD008 | Bonds: Certificates of Participation, Transcripts, Disclosure Reports, Registers, Issue Records, Determination of Allocation | LO | | | CCP §336(a), CCP §337.5; GC §43900, GC §53921 |
| FAD009 | Budgets (Adopted) | LO | H, V during current FY | | SOS -29 |



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Financial Management and Administrative Services

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|------------------|--|---|-------------------------------|------------|---|
| FAD010 | Budgets vs. Actual: Supporting Documentation Summaries, Worksheets, Goals and Objectives, Milestones | CU+5 | | | GC §34090; SOS C-29 |
| FAD011 | Check Records: Cancelled Payroll Checks, Voided Copies For Automatic Deposits, Registers, Requests for Hand Checks & Interim Payroll Checks | CU+7 | | | CCP §337; GC §60201(d)(12); SOS C-29 |
| FAD012 | Capital Facility Capacity Charges (CFCC) | LO | H | EL, P | CCP §337; GC §60201(d)(12) ; SOS C-29 <i>Changed to LO as it is beneficial for OC San to maintain copies of permits for fee calculations in the future and historical reference for fees paid for parcels</i> |
| FAD013 | Expense Reports | CU+7 | | | CCP §337; GC §60201(d)(12); SOS A-1 |
| FAD014 | Financial Statements | CU+10 | | | SOS e39 SOS C-29 |
| FAD015 | Financial System: ERP Database, Access Database, Utility Billing Data is interrelated across platforms GC needs to know what records these systems generate/house to determine citations | LO | | | Citations pending more info on Record Type |



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Financial Management and Administrative Services

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| FAD016 | Fixed Asset Records | LF | | | SOS C-29 |
| FAD017 | General Ledger | LO | | | GC §60201(d)(12); SOS C-29 |
| FAD018 | Investment Records: Investment Policy, Custodian Bank Transaction Records, Asset Detail, Asset Summary, Yield, Statements, LAIF Withdrawals/Deposits, Portfolio Withdrawals/Deposits, Treasurer's Report, GASB 40 Report, GASB 72 Report | LO | | | CCP §337; GC §34090, GC §53607; SOS C-30 |
| FAD019 | Journal Entries | LO | | | CCP §337; SOS C-29 |
| FAD020 | Local Resources Program Reports (LRP)/Water Certifications GC needs to know what documents fall into this Type to determine citations | LO | | | 40 CFR §141.91 |
| FAD021 | OCERS Files: Copies of OCERS Payments, Statements | CL+7 | | | 29 CFR §516.6(a)(1); GC §60201(d)(12) CL refers to final payment |



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Financial Management and Administrative Services

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|------------------|--|---|-------------------------------|------------|--|
| FAD022 | OCERS Retirement Report | LO | | | 29 CFR §516.6(a)(1); GC §60201(d)(12) <i>Business value for LO retention</i> |
| FAD023 | Payroll Records (Generated from Payroll Taxes): Timesheets; Payroll Registers and Reports; Unemployment Claims; Garnishments; Payment of Labor Costs Including Salaries, Wages, Compensation, and Deductions For Employees, Board Members, and Contractors (DE-6 & 941 Forms - Quarterly and Annual Payroll Tax Returns) | T+7 | | | CCP §337; 26 CFR §1.6001-1, 29 CFR §516.5, 29 CFR §516.5(a)-(b), 29 CFR §516.6(a)(1); GC §60201(d)(12); SOS C-30; IRS Reg. §31.6001-1(e)(2); R&TC §19530 |
| FAD024 | Petty Cash Records | CU+7 | | | 26 CFR §1.6001-1; CCP §337; GC §60201(d)(12); SOS A-1 |
| FAD025 | Rate Studies | CU+10 | | | <i>Business value for longer retention</i> No citations? |
| FAD026 | Rebates and Refunds: Sewer Service Fees | CU+7 | | | 26 CFR §1.6001-1 |
| FAD027 | State Controller's Reports | LO | | | SOS C-30 |



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| PRC | Public Resources Code | S | Superseded |
| OMB | Office of Management & Budget | T | Terminated |
| R&TC | Revenue & Taxation Code | | |
| SOS | Secretary of State | Media Types | |
| USC | United States Code | CD | CD |
| | | EL | Electronic |
| Special Storage Consideration | | FD | Floppy Disk |
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Financial Management and Administrative Services

| Retention Number | Record Type | Retention Length (Years Unless Specified) | Special Storage Consideration | Media Type | Retention Citations / Comments |
|------------------|---|--|-------------------------------|------------|--|
| FAD028 | Tax Records - Employee & Retirees: W-2's, 1099R, Annual Information Returns for Employees and Retirees | CU+7 | | | 29 CFR §31.600-1(d), 29 CFR §31.605-1, 29 CFR §516.5 - 516.6; GC §60201(d)(12); SOS C-30, SOS C-29; USC §436; IRS Reg. §31.6001-1(e)(2); R&TC §19530 |
| FAD029 | Tax Records (Generated From A/P & Vendor Files): Vendor | CU+7 | | | No citations? |
| FAD030 | Trial Balance Records | CU+7 | | | GC §60201(d)(12); GC §60201(d)(4); SOS c22 SOS C-29 |
| FAD031 | Claims (Excluding Workers Comp Claims): Claims Against OC San/OC San Employees (Wrongdoing by OC San/OC San Employees, Project Related Injury), Employment Claims (Wrongful Termination, Harassment, Discrimination) | LO | | | SOS C-22 |
| FAD032 | Redevelopment Agency (RDA) Records: Records Regarding Member Agency RDA Required Payment to OC San | LO | | | SOS C-29 |



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| PC | Penal Code (CA) | OB | Obsolete |
| PRC | Public Resources Code | S | Superseded |
| OMB | Office of Management & Budget | T | Terminated |
| R&TC | Revenue & Taxation Code | | |
| SOS | Secretary of State | Media Types | |
| USC | United States Code | CD | CD |
| | | EL | Electronic |
| Special Storage Consideration | | FD | Floppy Disk |
| C | Confidential | P | Paper |
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General Manager's Office

| Retention Number | Record Type | Retention Length (Years Unless Specified) | Special Storage Consideration | Media Type | Retention Citations / Comments |
|------------------|---|--|-------------------------------|------------|--------------------------------|
| GMO001 | Annual OC San Reports: OC San Strategic Plan | LO | H | | No citations? |
| GMO007 | GM Monthly Reports <i>LO in BSD002 as part of Board agenda packet distribution/retention</i> | CU+2 | | | SOS C-19 |
| GMO009 | Executive Management Team (EMT) Meeting Files: Agenda, Agenda Report, Handouts | CU+2 | | | SOS A-2 |
| GMO016 | Travel Records | CU+7 | | | No citations? |



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Human Resources

| Retention Number | Record Type | Retention Length (Years Unless Specified) | Special Storage Consideration | Media Type | Retention Citations / Comments |
|------------------|---|--|-------------------------------|------------|--|
| HRD001 | Classification & Compensation: Class & Comp Studies, Class Specifications, Salary Surveys, Salary Schedules, Pay Types, Reclass Requests, Desk Audits | LO | | | 29 CFR §1627.3; GC §60201(d)(12) , GC §12946; SOS C-21 |
| HRD002 | Temporary Employees: Hiring Documents, Tracking Spreadsheet, Request Forms | CL+7 | | | CCP §336(a); CCP §337, CCP §343 ; 29 CFR §1627.3; SOS C-21 |
| HRD003 | Deferred Compensation Records: Participation Agreements | LO | | | 26 CFR §31.6001-1(e)(2) ; 26 CFR §16001-1, 29 CFR §1627.3; SOS C-30 |
| HRD004 | District Benefit Contracts: Health, Dental, Vision, Other Benefit Contracts | LO | | | 41 CCR §560 ; 28 CCR §1300.85.1; 29 CFR §1627.3(b)(2); 29 USC §1027 |
| HRD005 | EEO-4 Reports and Files: Documents Required to Generate EEO-4 Report | CL+3 | | | 29 CFR §1602.30, 29 CFR §1602.31 , 29 CFR §1602.32 |
| HRD006 | Employee & Labor Relations Files: Memorandums of Understanding (MOU), Arbitration, Grievances, Union Requests, Employee Rights, Appeals, Investigations, Performance Improvement Plans (PIP), Disciplinary Actions and Complaints, Sexual Harassment, Civil Rights | LO | | | 29 CFR §516.5, 29 CFR §1602.31, 29 CFR §1627.3(b)(1)(ii); GC §12946 |



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Human Resources

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|------------------|---|---|-------------------------------|------------|---|
| HRD007 | Employee Benefit Plans and Programs: Health Insurance, Supplemental Life Insurance, Beneficiary Designations, Records, Repayment Agreements, Eligibility Changes, Development Pay, Rideshare | T+7 Retirees: Death+7 | | | 29 CFR §1602.30, 29 CFR §1602.32, 29 CFR §1627.3(b)(2); GC §12946, GC §60201(d)(12); LC §1197.5 |
| HRD009 | Human Resources/ERP Database: Electronic Records Management - JDE, Cornerstone, Workterra (Data Shared Across These Systems/Feed Into Each Other) | LO | | | No citations? |
| HRD010 | I-9 Forms & Self-Identification Forms | T+3 | | | 8 CFR §1274a.2(b)(2)(i)(A); 8 USC §1324a(b)(3)(B); SOS C-20 |
| HRD011 | Medical Files: Fitness for Duty, Leaves of Absence, Interactive Process, Workers Comp <i>Medical Files are excluded from Personnel Files which are retained in HRD013</i> | T+30 Retirees: Death+30 | | | 8 CCR §3204(d)(1); 29 CFR 1910.1020; GC §12946 |
| HRD012 | Organization Charts | S+2 | | | GC §60201(d)(1)-SOS C-19 |
| HRD013 | Personnel Files: Includes Application, Awards, Disciplinary Actions, Certifications, Commendations, Employment Verifications, (pre-2011) Evaluations, Licenses, Status Change Forms, Policy Acknowledgements, Waiver of Responsibility for Voluntary Activities, Training Records, Pay Docs, Emergency Contacts, Change of Address, Outside Employment, Development Pay Forms, Computer Loan Forms, Tuition Reimbursement Info, Specific Rideshare Info, Resignation | T+7 | V until separation | | 8 CCR §3204(d)(1); 29 CFR §1602.31, 29 CFR §1627.3(b)(iii); GC §§12946; 29 USC §1413 |



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Human Resources

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|------------------|--|---|-------------------------------|------------|--|
| HRD014 | Recruitment Records: Includes Applications, Resumes, Certifications, and Other Recruitment Related Documents; Advertisements; Job Brochures; Test Data; Rating Sheets; Questions; Eligibility Lists; Electronic/NEOGOV Records Retention begins after hiring decision | CL+4 3 | | | 2 CCR-§1101, 8 CCR-§11040; 29 CFR §1602 et seq., 29 CFR §1607.29, 29 CFR §1627.3(a)(b); GC §6250 et seq., 12946, GC §12946 37287.0(c)(2); SOS C-21 |
| HRD015 | Training Program Records: Class Attendance Sheets, Schedules, Classes Offered, Curriculum or Syllabus, Training Materials Development (Data Shared Across These Systems/Feed Into Each Other) | T+7 | | | SOS C-21 |
| HRD016 | Background Checks: Candidate Background Checks | T+7 | | | SOS C-21 |
| HRD017 | Human Resources Programs: Rideshare, Tuition Reimbursement, Computer Loan, Development Pay Need to identify what these documents are; they might be blank forms & system info that supports the programs or policies/procedures. Need to ensure proper citations (retention). | CL+3 | | EL | GC §12946; SOS C-20 Citations pending description of Record Type |
| HRD018 | District Benefit Plans: Benefits Summary Plan Descriptions (Health, Dental, Vision, Other) | EX+5 | | | SOS C-21 |
| HRD019 | OC San U (Formerly Known as BLAST & OCSD U) Development Records: Research Material, Timeline | LO | H | EL | SOS C-28 |



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Human Resources

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|------------------|---|---|-------------------------------|------------|---|
| HRD020 | OC San U (Formerly Known as BLAST & OCSD U) Procedures | S+2 | | EL | SOS C-23 |
| HRD021 | OC San U (Formerly Known as BLAST & OCSD U) Professional Development Articles From External Sources | NN | | EL | No citations? |
| HRD022 | OC San U (Formerly Known as BLAST & OCSD U) Program Files: Minutes, Marketing Material, Program/Training Evaluations, Quarterly Reports | S+2 | | EL | SOS C-19 |
| HRD023 | OC San U (Formerly Known as BLAST & OCSD U) Working Documents: Member Rosters - Active & Inactive | S | | EL | No citations? |
| HRD024 | Workers Compensation Files, Including Claims | LO | | | 8 CCR §14300.4, CCR §14311, 8 CCR §15400.2; LC §110-139.6; SOS C-24 |



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Information Technology

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|------------------|---|---|-------------------------------|------------|--------------------------------|
| ITD001 | Access Authorization Forms: Email Access Requests, Internet Access Requests, Mobile Devices Access | T+3 | | | No citations? |
| ITD002 | Wiring Specs and Test Results - Loop Drawings Active until revised/rescinded/superseded | LF+2 | | | SOS A-1, SOS C-22 |
| ITD003 | System and Software Documentation: Network Design, Instruction, Licenses, License Codes, Agreements, Systems List, Permission to Directories, SharePoint Lists, Hardware and Software Documentation, Source Code, IT Manuals | S+2 | | | GC §34090; SOS C-22 |
| ITD004 | GIS (Geographic Information System) Database: Layers Data is interrelated across platforms | S | | | SOS C-22 |
| ITD005 | Information/Activity Logs: Internet, Phone, Badge, Visitors | CU+2 | | | SOS C-22 |
| ITD006 | IT Help Desk System: Service Tickets, Change Requests and Releases | CL+3 | | | SOS C-22 |



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Information Technology

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|------------------|---|---|-------------------------------|------------|---|
| ITD007 | Network Diagrams/System Configurations/Maps/Plans | CU+4 | | | GC §34090; SOS C-22 |
| ITD008 | IT Asset Inventory Database: IT Assets, Printers, Hardware, SCCM, Server Lists, Asset Explorer | S+2 | | | GC §34090-SOS C-22 |
| ITD013 | System Log (Database): Transaction Logs, Error Logs | S+2 | | | SOS C-22 |
| ITD015 | Video Surveillance Files and System Security Database | CU+1 | | | GC §53160, GC §53161 <i>Recordings of routine video surveillance must be retained for at least one (1) year. Recordings of telephone and radio communications must be retained for at least 100 days. In the event that the recordings are evidence in any claim filed or any pending litigation, they shall be preserved until pending litigation is resolved. Notwithstanding the foregoing, if written minutes or an audio recording of the video surveillance is taken, the video surveillance can be destroyed after 90 days. The written minutes and audio recording can be destroyed after two (2) years.</i> |



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| PRC | Public Resources Code | S | Superseded |
| OMB | Office of Management & Budget | T | Terminated |
| R&TC | Revenue & Taxation Code | | |
| SOS | Secretary of State | Media Types | |
| USC | United States Code | CD | CD |
| | | EL | Electronic |
| Special Storage Consideration | | FD | Floppy Disk |
| C | Confidential | P | Paper |
| H | Historical | TA | Tapes |
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Information Technology

| Retention Number | Record Type | Retention Length (Years Unless Specified) | Special Storage Consideration | Media Type | Retention Citations / Comments |
|------------------|---|--|-------------------------------|------------|--|
| ITD016 | Two-Way Radio Licensing and Information: Walkie Talkies (Industry Term is HT or Handy Talkies), Vehicle Mounted Two-Way Radios, Base Station Radios in Plant No. 1 Control Center & Plant No. 2 Operations Center, and Radio Repeaters Records of Services (Kept in Request to Purchase IT List), FCC License | EX+2 | | | GC §34090 Updated description in Record Type for citations to be provided |
| ITD018 | Virtual Computer Files: Replication for Disaster Recovery Purposes | NN | | | GC §34090.7; SOS C-22 |
| ITD023 | DigSmart/DigAlert Database/Tickets (Formerly Known as USA Tickets) | CU+3 | | | No citations? |



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Operations & Maintenance

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|------------------|---|--|-------------------------------|------------|---|
| OMD001 | Chemical Inventory Records (OPERATIONS): Delivery, Transfer, Usage, Manifest Worksheet, Inventory Logs | 2 CU+3 | | | 49 CFR §172.704 (d), 49 CFR §199.117; 49 CFR §172.201; SOS C-33 |
| OMD002 | Complaint Files and Problem Reports (OPERATIONS): Related to Organization's Operations - Odor, Noise, Call Center Complaints | CU+2 | | EL | SOS C-42 |
| OMD004 | Flow Records (OPERATIONS) | LO | | | 40 CFR §122.41(j)(2) |
| OMD005 | Logs (OPERATIONS): Control Center Plant Operations | CU+30 | | | 40 CFR §122.41(j)(2) |
| OMD006 | Logs (OPERATIONS): Operations Monthly Logs, Inspector Diaries, Control Center Visitor Logs | CU+3 | | | 40 CFR §122.41(j)(2) |
| OMD007 | Monthly Reports: Operating and Status Reports, Key Performance Indicator Reports (Generated by 810) | CU+2 | | EL | No citations? |



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Operations & Maintenance

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|------------------|---|--|-------------------------------|------------|---|
| OMD008 | O&M Policies & Procedures: Guidelines, Checklists, Standard Operating Procedures | S+5 | | EL | SOS C-19 |
| OMD009 | Operating Journals (OPERATIONS): Alarm Summary (EL), Operations Round Sheets (EL, P), Midnight Readings (EL) | CU+2 | | EL, P | GC §53164 40 CFR §122.41 (j)(2) |
| OMD010 | Operating Records (OPERATIONS): Activated Sludge (AS) Plant Reports (EL, P), Operator Schedules (P), Biosolids Hauling Tickets (P), Grit & Screening Tickets (P) | CU+5 | | EL, P | 40 CFR §122.41 (j)(2) |
| OMD011 | Process Data (OPERATIONS): Monthly Summary of Operations (MSOs) [EL], Treatment Plant Operational Data (TPODs) [EL] | LO | | EL | 40 CFR §122.41 (j)(2) |
| OMD014 | AQMD: 1-Cengen Emissions Reports, 2-AQMD Round Sheets, 3-Flare Reports Some of these records are key records to be retained for ESD002, please forward to ES if storage becomes burdensome | OB+7 | | P | CCP §338(k); SOS C-27 Cengen Emissions Reports are used as part of Title V permitting, which is addressed in ESD002. OMD014 needs to match ESD002 for retention as these provide adherence to existing AQMD permit conditions. |



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Operations & Maintenance

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|------------------|--|--|-------------------------------|------------|--|
| OMD015 | Facility Maintenance & Repair (MAINTENANCE): LOTO Audits, Underground Storage Tank Permits, Assessment & Testing Results - Data, Corrective & Preventative Maintenance Records (Job Plans, Work Orders) | LF+2 | | EL, P | SOS e47 SOS C-42 |
| OMD016 | Generator Operation Logs (OPERATIONS): Fixed or Stationary Some of these records are key records to be retained for ESD002, please forward to ES if storage becomes burdensome | OB+7 | | P | GC §34090 Logs are used as part of AQMD Title V permitting, which is addressed in ESD002. OMD016 needs to match ESD002 for retention. |
| OMD017 | Pressure Vehicle CNG Tank Inspection Certification (FLEET) | LF+2 | | EL, P | GC §34090 ; SOS C-47 DMV & State requirement |
| OMD018 | Vehicle Smog Check Inspection Report (FLEET) | LF+2 | | EL, P | DMV & State requirement No citations? |
| OMD019 | CHP Commercial Inspection: Bit Inspection (CHP Commercial Vehicle Inspection), CHP Safety Maintenance Inspection | LF+2 | | P | 49 CFR §396.11(c)(2) CHP, DMV & State requirement |
| OMD020 | Certifications: Mobile Crane, Vehicles, Equipment Calibration Certification | LF+2 | | EL, P | 8-CCR §14300.33(a); LC §6429c SOS C-47 DMV & State requirement |



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Operations & Maintenance

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| OMD021 | Chain of Custody: Source Control, Split Sample <i>Is this in relation to the NPDES permit? GC needs to know in order to provide citations.</i> | CU+5 | | | 8-CCR-§14300.33(a); SOS-c24 |
| OMD022 | Collection System Process Data (COLLECTIONS): Pump Station, CRISP <i>GC needs additional information as to what these documents are in order to provide citations. What is CRISP?</i> | LO | | | Citations pending description of Record Type |
| OMD023 | Inspection Reports & Photos (COLLECTIONS): Manhole | CU+10 | | | SOS C-45 |
| OMD024 | Sewer Line Maintenance Files (COLLECTIONS) | CU+10 | | | No citations? |
| OMD026 | Vehicle Records (FLEET): Equipment Files, Maintenance, Registrations, Vehicle Titles ("Pink Slips"), Vehicle Citations Vehicle Titles/Pink Slips are transferred to new owner upon sale of vehicle; all other records are retained until Disposal of Vehicle or Equipment + 2 years | LF+2 | | | CCP §337; 8 CCR § 3203(b)(1); 49 CFR §396.21(b)(1), 49 CFR §396.3(c); GC-§34090 |



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Public Affairs

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|------------------|--|--|-------------------------------|------------|---|
| PAO001 | Education Curriculum: Sewer Science, Water Festival, Other | S+2 | | | SOS C-24 |
| PAO002 | Outreach/Event File: Tour Documentation, RSVP's, Sign-in Sheets, Other Related Information | S+5 | | | SOS C-24 |
| PAO003 | Marketing Material: Flyers, General Brochure, Marketing Brochures, Newsletters, Email Blasts, Marketing Related Presentations/PowerPoints | S+7 | | | SOS C-19 |
| PAO006 | Press/Media Releases | LO | H | | SOS C-40 SOS allows S+2; however, based on business needs, preferred retention is LO |
| PAO007 | Publication Proofs (Ad in Adjudicated/Circulated Newspaper) (Non-Board and/or CPM Related): General Marketing | S+2 | | | SOS C-24 |



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| PAO008 | Website Content Archiving <i>PageFreezer provides services; Board Services manages</i> | S+2 | | | SOS C-22 |
| PAO009 | Employee Events: Agency Awards, Recognitions, Announcements | LO | H | | Legal advice is S+2; however, based on business needs, preferred retention is LO No citations? |
| PAO010 | Legislative Files: Letters of Support, Opposition | LO | | | SOS C-28 Legal advice is S+2; however, based on business needs, preferred retention is LO |
| PAO011 | Social Media Archiving: Facebook, Twitter, YouTube, Instagram <i>PageFreezer provides services; Board Services manages</i> | S+2 | | | SOS C-22 |
| PAO012 | Annual Reports: OC San Annual Report, Public Affairs Strategic Plan, Legislative Plan <i>All items taken to the Board for approval (annually, every two years)</i> | LO | H | | SOS C-19 |



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Risk Management and Safety

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| RMS002 | DOT Random Drug & Alcohol Test Records | CU+5 | C | | 49 CFR §199.117; 9 CFR §382.401, 29 CFR §1627.3(b)(v) ; GC §12946 |
| RMS003 | Emergency Exercises & Drills, After Action Reports | CU+2 | | | 29 CFR §1910.119(g), 29 CFR §1910.120(q); SOS C-41 |
| RMS004 | Emergency Response: Response & Disaster Recovery Files, Emergency Operations Center Activation Notifications & Records | LO | | | 29 CFR §1910.119(g), 29 CFR §1910.120(q) |
| RMS006 | Industrial Hygiene & Safety Files - Location: Hazard Assessments, Site Assessments, Industrial Hygiene Reports, Surveys, Audits | LF | | | 8 CCR §3204; 29 CFR §1910 |
| RMS007 | Medical Files - Occupational: Fit Testing | T+30 | C | | 8 CCR §3204; 29 CFR §1910 |
| RMS008 | OSHA Compliance Records: Citations, Appeals Related, Correspondence OSHA 300 & 301 Logs retained in RMS012 | LO | | | 29 CFR §1904.4; OMB 1220-0029; SOS A-2 |



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| | | EL | Electronic |
| | | FD | Floppy Disk |
| | | P | Paper |
| | | TA | Tapes |
| | | | |
| Special Storage Consideration | | | |
| C | Confidential | | |
| H | Historical | | |
| V | Vital | | |

Risk Management and Safety

| Retention Number | Record Type | Retention Length (Years Unless Specified) | Special Storage Consideration | Media Type | Retention Citations / Comments |
|------------------|--|--|-------------------------------|------------|--|
| RMS010 | Risk & Safety Committee and Meeting Documents | CU+4 | | | 8 CCR §3203 Retention aligns with Voluntary Protection Program (VPP) |
| RMS012 | OSHA Logs: 300 & 301 Logs | CU+7 | | | 8 CCR §14300.33(a); 29 CFR §1904.33, 29 CFR §1904.44; LC §6429c |
| RMS014 | Accident & Incident Records | CL+7 | | | CCP §338; CFR §1904.6; SOS C-24 |
| RMS015 | Asbestos & Lead Abatement Records | LO | | | CCR §1529(n)6 |
| RMS016 | Hazardous Materials Records: Business Plans, Hazardous Materials Inventory, Disclosures | CU+5 | | | 40 CFR §122.21(p), 40 CFR §122.41 |
| RMS017 | Calibration Gas Detectors Annual Recertification | CU+5 | | P | 8 CCR §14300.33(a); 29 CFR §1904.33, 29 CFR §1904.44; LC §6429c |



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Risk Management and Safety

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|------------------|--|--|-------------------------------|------------|---|
| RMS018 | Confined Space Records & Entries | CU+4 | | | 8 CCR §5157(e)(6); 5157(d)(14) ; 29 CFR 1910.146(e)(6), 40 CFR §122.41(j)(2); GC-§3400, GC §53161; SOS C-42 Retention aligns with VPP |
| RMS019 | Hazardous Waste Records: Manifests, Disposals, Recyclable Non Hazardous Waste Material, Batteries, etc. | LO | | | 22 CCR §66262.40(a), 22 CCR §66264.71(b)(6), 8 CCR §3204(d)(1), 26 CCR §22-64470(a); 40 CFR §122.41(j)(2), 40 CFR §141.33(b); GC §12946; SOS C-33, SOS C-47 |
| RMS020 | HazMat Permits, Environmental Health Permits: Bulk Chemicals, Fire, Battery Storage | LO | | | No citations? |
| RMS021 | Safety Data Sheets (SDS) | LO | | | 8 CCR §5194; 29 CFR §1910 |
| RMS024 | Training Records - Safety: Rosters, Syllabus, Schedule, Curriculum Material Only | CU+7 | | | SOS C-21 Applies to paper records |
| RMS025 | Training Database | LO | | | |



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Risk Management and Safety

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|------------------|---|--|-------------------------------|------------|--|
| RMS026 | Radiation License & Disposal Records | LO | | | 17 CCR 30293 |
| RMS027 | Job Site Safety Analysis (JSSA), Job Hazard Analysis (JHA), Hot Work Permits | CU+4 | | | 29 CFR §1904.6, 29 CFR §1910.132, 29 CFR §1910.252; OMB 1218-0176 Retention aligns with VPP |
| RMS028 | PPE Assessments | S | | | 29 CFR §1910.132 |
| RMS029 | Lock Out Tag Out Audits (LOTO) | 4 | | | 29 CFR §1910.147(c)(6), 29 CFR §1910.147(c)(7), 29 CFR §1910.147(f)(2) Retention aligns with VPP |
| RMS030 | Industrial Hygiene & Safety Files - Personnel: Industrial Hygiene Reports - Air Sampling, Noise Testing and Workplace Contaminants | T+30 | | | 8 CCR §3204 - (d)(1)(B); 29 CFR §1910.1020; GC §60201 |
| RMS032 | Vehicle Inspection & Equipment Checks Files: Daily Safety Checks, Pre-Starts, Commercial Vehicle Pre-Starts and Forklift Inspections, Pre-Trip Inspections, CHP Inspections, Daily Vehicle Inspections, Daily Equipment Checks | CU+4 | | | 49 CFR §396.11 (c)(2), 49 CFR §396.21(b)(1) |



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Risk Management and Safety

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|------------------|--------------------------------------|---|-------------------------------|------------|--------------------------------|
| RMS033 | Continuity of Operations Plan (COOP) | S | | EL, P | GC §60102(d)(10) |

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