



Orange County Sanitation District Records Retention Schedule

General Retention Schedule Information

- This Records Retention Schedule (RRS) pertains to any and all Official Records of OC San regardless of Media Type and is adopted in compliance with GC §60201 and additional specific citations as noted.
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Citation Codes		Retention Codes	
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LC	Labor Code (CA)	OB	Obsolete
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PRC	Public Resources Code	T	Terminated
OMB	Office of Management & Budget		
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		

Districtwide

Retention Number	Record Series / 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 <i>Business value for LO retention Incorporates 2018 ESD018</i>
DW002	Historical Records: Photos, Slides Used by O&M, Videos, Correspondence	LO	H		<i>Business value for LO retention. Historical/Non-Historical determination is made by the Department Director or Custodian of Records.</i>
DW003	Non-Historical Photos & Videos	NN			<i>Historical/Non-Historical determination is made by the Department Director or Custodian of Records Incorporates 2018 PAO003</i>
DW005	Reference Files (Not Incorporated in Any Other RRS Record Type): Equipment Manuals Not Included in DW010, Process Workflows, Budget Planning Documents, Training Material, Standby Assignments/Stormwatch, Department/Divison Policies & Procedures (If Not Specified Elsewhere in the RRS)	S+5		EL, P	GC §60201(d)(11); SOS C-23, SOS C-19 <i>Longer retention period required by SOS C-19 applied to all records in this Record Type Incorporates 2018 OMD012</i>
DW006	Speeches and Non-Marketing Related Presentations & Supporting Documents (Includes PowerPoints): Presentations Not Made at Board/Committee Meetings	CU+2	H		SOS C-24 <i>Some records may be kept for historical value Incorporates 2020 DW004, 2018 PAO005, 2018 OMD013 CU = date of presentation</i>
DW007	General Correspondence (Excluding Real Estate/Real Property Matters): Email in Outlook Inbox & Sent Folders, Returned Proposition 218 Notifications (Returned Mail)	CU+2		EL, P	<i>This pertains to all communication not specifically addressed or related to another Retention Number contained in the whole Records Retention Schedule CU = date of communication</i>



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Districtwide

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DW008	Non-Records in Email Format in Outlook Deleted Folder or Microsoft Teams Chat	CU+90 Days		EL, P	<i>These records fail to meet the definition of a public record under Government Code §6252(e) CU = date of communication</i>
DW009	Various Internal Meeting Minutes: Includes Minutes Not Otherwise Indicated Herein, Including Executive Management Team (EMT) Meeting Minutes, Managers Meeting Minutes, Administrative Support Meeting Minutes	CU+2			SOS C-19 <i>EMT Meeting Minutes previously 2020 GMO017 CU = calendar year</i>
DW010	Facility & Collection System Equipment Manuals and Related Reference Files	LO		EL, P	GC §60201(d)(11); SOS C-23, SOS C-19 <i>Separating these records from DW005 as business practice is that they are kept LO</i>
DW011	Purchaser/Card Holder Receipts for Purchases Made Using OC San Procurement Card (Credit Card)	CU + 3		EL, P	SOS C-29, SOS C-30 <i>CU = statement date</i>



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Board Services

Retention Number	Record Series / Record Type	Retention Length (Years Unless Specified)	Special Storage Consideration	Media Type	Retention Citations & Comments
BSD001	Affidavits of Publications Notices	LO		EL, P	<i>GC §54960.1(c)(1); SOS C-22, SOS C-23 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	SOS C-22
BSD003	Agreements & Contracts, Political & Outside Jurisdictions/Agencies: Cooperative Agreements, JPAs (Joint Powers Authorities), JFAs (Joint Finance Authorities), Interagency, Reimbursement Agreements	LO	V	EL, P	GC §60201(d)(1), GC §60201(d)(9)
BSD004	Annexation Files	LO	V	EL, P	GC §60201(d)(1); SOS C-28
BSD005	Bids - Awarded (Board Reviewed)	LO		EL, P	GC §60201(d)(6); SOS C-30
BSD006	Bids - Unaccepted (Board Approved)	CU+2		EL, P	<i>GC §60201(d)(11); SOS C-30 Includes unsuccessful and rejected bids. For rejected bids, includes bid documentation (plans, specs, etc.). CU = calendar year</i>
BSD007	Board Administration Files: Loyalty Oaths, Election Records, Directors Lists, Contact Information	T+10		EL, P	PC §801.5 22; SOS C-18; 29 USC §1113



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Board Services

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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; Purchase Order and Requisition Files	LO	V	EL, P	CCP §337; 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	V	EL, P	GC §60201(d)(1)
BSD013	Land & Real Estate/Real Property Records: Easements (Including Related License Agreements & Other Agreement Types), Grant Deeds, Quit Claim Deeds, Abandonments, Condemnations, Real Estate Purchase & Sale, Property Agreements, Encroachment Permits, Right of Way Agreements	LO	V	EL, P	GC §60201(d)(8) <i>Incorporates 2015 ENG010, 2015 ENG013, 2018 ENG026</i>
BSD014	Legal Opinions	LO		EL, P	SOS C-23; GC §6254
BSD015	Litigation Files	CL+2		EL, P	40 CFR §122.41(j)(2), 40 CFR §403.12(o); SOS C-45 <i>CL = 2 years after case is closed date-of-record</i>



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BSD016	Meeting Minutes: Board & Board Committees	LO	V	EL, P	GC §60201(d)(3)
BSD017	Ordinances	LO	V	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	V	EL, P	GC §60201(d)(2)
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 <i>Incorporates 2015 BSD010 CU = calendar year</i>
BSD023	Public Records Act Requests	CL+2		EL, P	GC §60201(d)(5); SOS C-23



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BSD024	Grand Jury Reports/Responses	LO		EL, P	
BSD025	Records Retention Schedules	LO		EL, P	CCP §343; SOS C-23 <i>Schedules are superseded when updated Incorporates 2018 ITD022</i>
BSD026	Records Destruction Records: Approvals, Certificates, Requests	LO		EL, P	SOS C-23 <i>Incorporates 2018 ITD019</i>
BSD027	Records Management Annual Audits: Inventory, Storage, Destruction	S+3		EL, P	SOS C-23 <i>Incorporates 2018 ITD020</i>
BSD028	Public Records Act Requests Log	LO	H	EL, P	<i>Required retention is the same as BSD023 (CL+2); business value in LO retention; no additional, specific citations</i>
BSD029	OC San Declarations of Emergency Log & Related Back Up Documentation	LO	H	EL	



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BSD030	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>
BSD031	Board Compensation Preparation Documents: Completed Timesheets; Meeting Attendance Documentation Board Payroll Documentation retained in FAD023	7	V	EL, P	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 <i>7 years is triggered from date of payment</i>
BSD032	Delegation of Authority, Especially Related to Declaration of Emergency (Executive Management) & Related Log	LO	V	EL, P	GC §8557(b), GC §8634



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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; Purchase Order and Requisition Files For Purchasing, Contracts & Agreement Files that are Committee or Board approved, please see BSD009	LO		CD, EL, P	CCP §335; GC §4000; H&S §19850; SOS C-22, SOS C-27, SOS C-30 <i>Incorporates 2018 CPM004, 2018 CPM011, 2018 CPM012, 2018 CPM013, 2018 CPM014, 2018 CPM015, 2018 CPM017, 2018 CPM018</i>
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; Purchase Order and Requisition Files For Purchasing, Contracts & Agreement Files that are Committee or Board approved, please see BSD009	CL+7		CD, EL, P	CCP §337; SOS C-22, SOS C-30 <i>Incorporates 2018 CPM004, 2018 CPM011, 2018 CPM012, 2018 CPM013, 2018 CPM014, 2018 CPM016, 2018 CPM017, 2018 CPM018</i>



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

Contracts, Purchasing, and Materials Management

Retention Number	Record Series / Record Type	Retention Length (Years Unless Specified)	Special Storage Consideration	Media Type	Retention Citations & Comments
CPM005	Purchase Order & Requisition Files (Not included in BSD009, CPM001 & CPM002): Open Annual (OA), Open Blanket (OB), Open Purchase (OP), Open Service (OS), Requisitions in JDE,-Procurement Card Purchases	CL+5		EL, P	CCP §337; GC §60201(d)(9) & (10); SOS C-30 <i>Incorporates 2018 CPM006</i>
CPM008	Warehouse and Materials Management Records: Discrepancies, Add To Stores, Receivers, Return To Vendors (RTV), Shipping Records, Inventories, Disposal of Surplus Assets	CL+4		EL	CCP §337; SOS C-29, SOS C-30 <i>Incorporates 2018 CPM007</i>
CPM009	Procurement Card Documentation: Reconciliation (Receipts/Activity in Chase Portal), Reports, Agreements, Correspondence	CU+3		EL, P	SOS C-29, SOS C-30 <i>CU = statement date</i>
CPM019	Certificates of Insurance	LO	H, V	EL, P	SOS C-24 <i>Incorporates 2018 CPM014</i>
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 Notices; Stop Notices	LO	H	EL, P	CCP §337, CCP §337.15; SOS C-22, SOS C-30 <i>Incorporates 2018 CPM004, 2018 CPM010, 2018 CPM011, 2018 CPM012, 2018 CPM013, 2018 CPM014, 2018 CPM015, 2018 CPM016, 2018 CPM017, 2018 CPM018</i>
CPM021	Bids - Unaccepted (NOT Committee or Board Approved)	CU+2		EL, P	GC §60201(d)(11); SOS C-30 <i>Includes unsuccessful and rejected bids CU = calendar year</i>



Orange County Sanitation District Records Retention Schedule

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Engineering

Retention Number	Record Series / Record Type	Retention Length (Years Unless Specified)	Special Storage Consideration	Media Type	Retention Citations / Comments
ENG005	CEQA Documents Prepared for District Purposes: Includes Environmental Impact Report Documents (Draft & Final), Negative Declarations, Notices of Completion and Determination, Comments on Environmental Documents, Statements of Overriding Considerations, Technical Studies, Initial Studies, Mitigation and Monitoring Reports, Environmental Assessments, Notices of Preparation, Mitigated Negative Declarations, Notices of Exemption	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 <i>Incorporates 2018 ENG022</i>
ENG007	Engineering Drawing: Conformed Set Drawings	S	V		SOS C-26, SOS C-44 <i>Conformed Set Drawings are superseded by Record Drawings & retained pursuant to ENG008; if no drawings are issued, the Conformed Set is kept for Life of Organization</i> <i>Incorporates 2018 ENG021</i>
ENG008	Engineering Drawing: Record Drawings	LO	V		SOS C-26, SOS C-44 <i>Incorporates 2018 ENG021, 2020 ENG031</i>
ENG009	Drawings - Shop & Construction Contract Submittals (Permanent Assets)	LO	V		<i>Incorporates 2020 ENG032, 2015 ENG011</i>



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C	Confidential	FD	Floppy Disk
H	Historical	P	Paper
V	Vital	TA	Tapes

Engineering

Retention Number	Record Series / Record Type	Retention Length (Years Unless Specified)	Special Storage Consideration	Media Type	Retention Citations / Comments
ENG012	<p>ENGINEERING PROJECT FILE (TO INCLUDE ALL CAPITAL PROJECT MANAGEMENT LIFE CYCLE PHASES):</p> <p>Project Development: Correspondence, Gate Review, Meeting Agendas & Minutes, Pre-Construction Project Photos, Handoff Documents, Consultant Monthly Report</p> <p>Preliminary Design: Correspondence, Design Submittal, Gate Review, Meeting Agendas & Minutes, Preliminary Design Report Documentation, Public Outreach, Consultant Monthly Report</p> <p>Design: Consultant Monthly Report, Correspondence, Design Submittal, Final Design Submittal, Gate Review, Meeting Agendas & Minutes, Public Outreach, Handoff Documents, ETAP Documents</p> <p>Construction and Installation: Consultant Monthly Report, Construction Contract Submittals (Not Permanent Assets), Correspondence, Gate Review, Construction Inspection Daily Reports & Documentation, Meeting Agendas & Minutes, Public Outreach, Requests & Changes (Bulletin, Contractor Cost Proposal, Delay & Schedule Analysis, Field Change Order, Request for Change, Request for Information, Request for Proposal, Time & Materials Report), Safety Documentation, ETAP Documents, Project Schedule, Construction Photos and Videos (Taken by OC San Staff)</p> <p>Commissioning: Correspondence, Gate Review, Meeting Agendas & Minutes, Substantial Completion-Beneficial Use, Use Prior to Completion, Substantial Completion, Final Completion</p> <p>Closeout: Correspondence, Gate Review, Meeting Agendas & Minutes, Final Acceptance & Release of Retention, Warranty Documentation, As-Builts & Field Markups</p>	CL+10			<p>CCP §337.15 <i>Incorporates 2018 ENG007, 2018 ENG008, 2018 ENG009, 2018 ENG010, 2018 ENG011, 2018 ENG012</i> <i>CL = budget closure date in budget documentation or the date of the Director of Engineering's signature on the Close-Out Form</i></p>
ENG014	<p>City or County Planning Documents Unrelated to a Specific, Current OC San Project or Business Need As Otherwise Defined in Another Retention Number: Specific Plan, Master Plan, CEQA Documents Including Environmental Impact Reports and Addenda, Negative Declarations, Notices of Completion and Determination, Comments on Environmental Documents, Statement of Overriding Considerations, Exemptions, Technical Studies, Mitigation and Monitoring Reports</p>	CU+20			<p>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.</i> <i>Incorporates 2015 ENG004, 2018 ENG001</i> <i>CU = document date</i></p>



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Engineering

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ENG015	Connection Permit: Trunk Sewer Connection Permit	LO	V		GC §60201(d)(10); SOS C-43, SOS C-44 <i>Incorporates 2018 ENG029</i>
ENG017	Collection System Condition Assessment Records: CCTV, Reports	LO	V		
ENG019	Specification Conformed	LO	V		<i>Incorporates 2018 ENG028</i>
ENG020	Requests for Underground Utility Information (From City, Utility, Public Agency or Contractor Working On Behalf of Same): Original Inquiry/Plans Received, OC San Response	CL+2			<i>Incorporates 2018 ENG004</i>
ENG023	Code and Standards: ACI 318 - Building Code Requirements for Structural Concrete; ACI 350 - Code Requirements for Environmental Engineering Concrete Structures; ASCE 7-16 - Minimum Design Loads & Associated Criteria for Buildings & Other Structures; ASCE 41-13 - Seismic Evaluation & Retrofit of Existing Buildings; Greenbook - Standard Specifications for Public Works Construction; NFPA 13 - Standard for Installation of Sprinkler Systems; NFPA 30 - Flammable & Combustible Liquids Code; NFPA 37 - Standard for the Installation & Use of Stationary Combustion Engines & Gas Turbines; NFPA 70 - National Electrical Code; NFPA 72 - National Fire Alarm & Signaling Code; NFPA 101 - Life Safety Code; NFPA 820 - Standard for Fire Protection in Wastewater Treatment & Collection Facilities; NFPA 2001 - Standard on Clean Agent Fire Extinguishing Systems; California Building Codes	S+10			<i>OC San is not the custodian of these records; however there is a business value to the retention of these records.</i>



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Engineering

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ENG024	Final Design Documentation: Engineering Study and Analysis, Feasibility Study, Final Planning Study Report, Preliminary Design Report/Technical Memoranda, Engineering Calculations, Geotechnical and Geophysical Reports, Hazardous Materials Report, Hydrogeologic Report, Project Specific Seismic Report	LF			SOS C-19, SOS C-25, SOS C-26, SOS C-27 <i>Incorporates 2015 ENG016 Engineering Study & Analysis - May Include Reports Such as Soild Hauling Study, CCTV Report, Trunk Sewer Analysis, Structural Analysis, Electrical Report, Manufacturer Report, Design Report, Technical Reports, Flow Report (Gallorage Flow), Odor Control, Air Quality Reports, Title Report, Traffic Study, Dust & Dirt Analysis, Noise Study, Project Report, May Also Include Annual Reports Not Otherwise Addressed in the RRS</i>
ENG025	Construction Specialty: Electrical Test Report, Instrumentation Testing, Materials Testing Report, Mechanical Testing, Other Test Report, Soil Testing, Structural Testing, Survey Report, Commissioning Procedure, Construction Photos and Videos (Taken by Contractor)	LF			SOS C-19, SOS C-25, SOS C-26, SOS C-27
ENG027	Facility Reports: OC San Master Plan (Generated by Eng. Dept.), Strategic or Facility-Wide Planning Study Report (Seismic, Climate, Capacity, etc.), Asset Management Program Plan/Report	LO			40 CFR §122.41(j)(2), 40 CFR §403.12(o); SOS C-45 <i>CU = date of record</i>
ENG030	Facility Permits: Air Quality Management District (AQMD), Permit to Operate, California Coastal Commission/Coastal Development, Building Permit, Fire Department Permit, Army Corps of Engineers, CEQA Permits, Encroachment/Right of Way, Permit for Construction, Regional Water Quality Control Board (RWQCB), City/County Permits, CalTrans Permits, EPA, California Dept. of Fish & Game, Orange County Flood Control District (OCFCD) Permit for Construction, Railway for Construction	LO			SOS C-45



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Engineering

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ENG033	CEQA Related Documentation Pertaining to Meeting Agendas and Meeting Minutes	LO			GC §60201(d)(3)
ENG035	ENGINEERING CONTRACT SUPPORT DOCUMENTATION: Professional Service Agreement: Solicitation (Scope of Work, Sole Source) & Contract Administration (Amendment and Reallocation, Consultant Invoice) Professional Design Service Agreement: Solicitation (Scope of Work, Sole Source) & Contract Administration (Amendment and Reallocation, Consultant Invoice) Professional Construction Service Agreement: Solicitation (Scope of Work, Sole Source) & Contract Administration (Amendment and Reallocation, Conformed Agreement Package) Construction Agreement: Solicitation (Sole Source) & Contract Administration (Certified Payroll, Change Order, Claims Documentation, Contractor Progress Payment) Task Order: Solicitation (Scope of Work, Sole Source) & Contract Administration (Amendment and Reallocation, Consultant Invoice) Bid Package: Published Packet - Specifications, Drawings, Bid Set Drawings	CL+10			CCP §337.15; GC §60201(d)(12) <i>Incorporates 2015 ENG002, 2015 ENG003, 2015 ENG006, 2015 ENG018</i> <i>CL = budget closure date in budget documentation or the date of the Director of Engineer's signature on the Close-Out Form</i>
ENG036	Cost & Schedule Documentation: Budget Documentation, Budget Table and Schedule Documentation, Construction Schedule Documentation	CL+10			CCP §337.15 <i>CL = budget closure date in budget documentation or the date of the Director of Engineer's signature on the Close-Out Form</i>
ENG037	CEQA Correspondence, Including Correspondence with Outside Cities/Agencies: Includes Written and Electronic Correspondence	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 <i>Incorporates 2018 ENG002</i> <i>CL = date of correspondence</i>



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Engineering

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ENG038	Project-Related Permit-Related Back Up Documentation: Certification of Environmental Compliance, Contaminated Soil Manifest, Dewatering Data, Mitigation Measure Monitoring Reporting, Storm Water Compliance Reporting, OSHA Excavation Permits	CL+10			<i>CL = budget closure date in budget documentation or the date of the Director of Engineer's signature on the Close-Out Form</i>
ENG040	Project Close-Out Documentation	LO	V	EL	<i>These records are retained in the Primavera Database and/or SharePoint</i>



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Environmental Services

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ESD001	Air Emissions Permitting Files (AQMD, CARB, Other): Final Permit, Testing Reports, Permit Applications, Correspondence	LO			CCP §338(k); SOS C-27
ESD002	Asset Specific Emission Records: Various Equipment and Operational Information, Including Logs <i>Please see OMD014 & OMD016 for retention of some records within ESD002</i>	OB+7			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	Environmental Audit Records: Conducted By OC San	LO			
ESD005	Environmental Audit Records: Conducted By Outside Parties	LO			SOS C-27
ESD008	Cleanup, Abatement, and Remediation of Underground Storage Tanks <i>Underground Storage Tank Permits, Designated UST Operator Visual Inspector Reports</i>	LO			23 CCR 2772; SOS C-33
ESD009	Non-Hazardous Waste Waste Hauler Manifests	CU+3			SOS C-42 <i>CU = calendar year</i>



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USC	United States Code	CD	CD
Special Storage Consideration		EL	Electronic
C	Confidential	FD	Floppy Disk
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Environmental Services

Retention Number	Record Series / Record Type	Retention Length (Years Unless Specified)	Special Storage Consideration	Media Type	Retention Citations / Comments
ESD011	Interagency (Outside) Agreements and Documentation MOU	LO			GC §60201(d)(9)
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 C-46 <i>CU = calendar year</i>
ESD014	Non Permittee Files: Inspection Reports Data, Correspondence	CU+6			SOS C-19, SOS C-42 <i>CU = calendar year</i>
ESD015	OMP Field Datasheets: Field Data and Collection Documentation, Animal Counts, Fish Collection Observations	LO			40 CFR §141.33; SOS C-46
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	CU+6			40 CFR §122.41(j)(2), 40 CFR §403.12(o); SOS C-45 <i>CU = document date</i>



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Special Storage Consideration			
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Environmental Services

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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)
ESD022	Unprocessed Instrumentation Files & Lab Reports	LO	H, V		40 CFR §122.41(j)
ESD023	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 <i>CU = calendar year</i>
ESD024	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



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Facilities Maintenance

Retention Number	Record Series / Record Type	Retention Length (Years Unless Specified)	Special Storage Consideration	Media Type	Retention Citations / Comments
FAC001	Division Policies & Procedures: Guidelines, Checklists, Standard Operating Procedures	S+5		EL	SOS C-19
FAC002	Facility Maintenance & Repair: LOTO Audits, Underground Storage Tank Permits , Assessment & Testing Results - Data, Corrective & Preventative Maintenance Records (Job Plans, Work Orders)	LF+2		EL, P	SOS C-42
FAC003	Pressure Vehicle CNG Tank Inspection Certification (FLEET)	LF+2		EL, P	40 CFR §122.41(j)(2), 40 CFR §403.12(o); SOS C-45 <i>CU = date of record</i>
FAC004	Vehicle Smog Check Inspection Report (FLEET)	LF+2		EL, P	SOS A-1 <i>DMV & State requirement</i>
FAC005	CHP Commercial Inspection (FLEET): Bit Inspection (CHP Commercial Vehicle Inspection), CHP Safety Maintenance Inspection	LF+2		P	49 CFR §396.11(c)(2) <i>CHP, DMV & State requirement</i>
FAC006	Certifications (FLEET): Mobile Crane, Vehicles, Equipment Calibration Certification	LF+2		EL, P	SOS C-47 <i>DMV & State requirement</i>
FAC007	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	V		CCP §337; 8 CCR § 3203(b)(1); 49 CFR §396.21(b)(1), 49 CFR §396.3(c)



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Financial Management and Administrative Services

Retention Number	Record Series / 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 <i>CU = fiscal year</i>
FAD002	Accounts Payable Files: Vendor and Contractor Invoices, Bills, Statements, Any Non-Discharged Debt	CL+7 CL+4			<p style="color: red; margin: 0;">CCP §337 et seq, GC §60201(d)(7), GC §60201(d)(12); SOS C-29 Freeze on all FAD002 records for the timeframe of 1/1/2010 through 12/31/2013. Freeze until 1/1/2048 2/1/2043 for the purposes of fulfilling Build America Bonds IRS requirements. OC San issued Build America Bonds in 2010 (outstanding through 2044 2/1/2040) 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 2043).</p> <p style="color: red; margin: 0;"><i>CL refers to final payment</i> <i>CL is the completion date of the year-end audit</i></p>
FAD003	Accounts Receivable Files	CL+7 CL+4	V		<p style="color: red; margin: 0;">CCP §337 et seq.; GC §60201(d)(7), GC §60201(d)(12); SOS C-29 <i>CL refers to final payment</i> <i>CL is the completion date of the year-end audit</i></p>



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Financial Management and Administrative Services

Retention Number	Record Series / Record Type	Retention Length (Years Unless Specified)	Special Storage Consideration	Media Type	Retention Citations / Comments
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 IntraBank Transfers), Adjustments - Returned Checks (NSF), ACH Returns, Positive Pay Exceptions	CU+6	V		SOS C-29, SOS C-30 <i>CU = calendar year</i>
FAD008	Bonds: Certificates of Participation, Transcripts, Disclosure Reports, Registers, Issue Records, Determination of Allocation	LO	V		CCP §336(a), CCP §337.5; GC §43900, GC §53921
FAD009	Budgets (Adopted)	LO	H, V during current FY		SOS -29
FAD010	Budgets vs. Actual: Supporting Documentation Summaries, Worksheets, Goals and Objectives, Milestones	CU+5			SOS C-29 <i>CU = fiscal year</i>
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 <i>CU = calendar year</i>



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Financial Management and Administrative Services

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FAD012	Capital Facility Capacity Charges (CFCC)	LO	H	EL, P	CCP §337; 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 CL+4			CCP §337; GC §60201(d)(12); SOS A-1 <i>CU = fiscal year CL is the completion date of the year-end audit</i>
FAD014	Financial Statements	CU+10			40 CFR §122.41(j)(2), 40 CFR §403.12(o); SOS C-45 <i>CU = date of record</i>
FAD015	Financial System: ERP Database (JDE), Access Database, Utility Billing Data is interrelated across platforms <i>The Access Database & Utility Billing is iPACS and all of the information used for billing industrial dischargers. JDE also interfaces with Maximo for warehouse and maintenance.</i>	LO			SOS C-45
FAD016	Fixed Asset Records	LF	V		SOS C-29
FAD017	General Ledger	LO	V		SOS C-29



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FAD018	Investment Records: Investment Policy, Custodian Bank Transaction Records, Asset Detail, Asset Summary, Yield, Statements, LAIF Withdrawals/Deposits, Portfolio Withdrawals/Deposits, Stock Certificates, Treasurer's Report, GASB 40 Report, GASB 72 Report	LO	V		CCP §337; GC §53607; SOS C-30
FAD019	Journal Entries	LO			CCP §337; SOS C-29
FAD021	OCERS Files: Copies of OCERS Payments, Statements	CL+7			29 CFR §516.6(a)(1); GC §60201(d)(12) <i>CL refers to final payment</i>
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) Board Compensation Preparation Documents retained in BSD031	7 T+4	V		CCP §337; 26 CFR §1.6001-1, 29 CFR §516.2 , 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); LC §1174(d), LC §1197.5 ; R&TC §19530 <i>7 years is triggered from date of payment</i>



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Financial Management and Administrative Services

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FAD024	Petty Cash Records	CU+7			26 CFR §1.6001-1; CCP §337; GC §60201(d)(12); SOS A-1 <i>CU = fiscal year</i>
FAD025	Rate Studies	CU+10			SOS C-42 <i>Business value for longer retention</i> <i>CU = fiscal year</i>
FAD026	Rebates and Refunds: Sewer Service Fees	CU+7			26 CFR §1.6001-1 <i>CU = calendar year</i>
FAD027	State Controller's Reports	LO			SOS C-30
FAD028	Tax Records - Employees & Retirees: 1099-R, Annual Information Returns for Employees and Retirees	CU+7			26 CFR §31.6001-1(d), 26 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 <i>CU = calendar year</i>
FAD029	Tax Records (Generated From Accounts Payable & Vendor Files): Vendor	CU+7			SOS C-29 <i>CU = calendar year</i>
FAD030	Trial Balance Records	CU+7			SOS C-29 <i>CU = fiscal year</i>



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Financial Management and Administrative Services

Retention Number	Record Series / Record Type	Retention Length (Years Unless Specified)	Special Storage Consideration	Media Type	Retention Citations / Comments
FAD032	Redevelopment Agency (RDA) Records: Records Regarding Member Agency RDA Required Payment to OC San	LO			SOS C-29
FAD033	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), Loss Run Reports	CL+2			GC §60201(d)(4) <i>Incorporates 2018 BSD022 & 2018 RMS031</i>
FAD034	OC San Insurance Policies: Records Related to Owner Controlled Insurance Programs and Insurance Policies Purchased by OC San, Including Policies and Amendments	LO			SOS C-24
FAD035	W-2's - Employees & Retirees	LO			26 CFR 31.6001.1-1; 29 CFR 516.5-6; SOS C-30; 29 USC 436



Orange County Sanitation District Records Retention Schedule

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SOS	Secretary of State	Media Types	
USC	United States Code	CD	CD
Special Storage Consideration		EL	Electronic
C	Confidential	FD	Floppy Disk
H	Historical	P	Paper
V	Vital	TA	Tapes

General Manager's Office

Retention Number	Record Series / 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		SOS C-26 <i>Business value in longer retention</i>
GMO007	GM Monthly Reports LO in BSD002 as part of Board agenda packet distribution/retention	CU+2			SOS C-19 <i>CU = calendar year</i>
GMO009	Executive Management Team (EMT) Meeting Files: Agenda, Agenda Report, Handouts	CU+2			SOS A-2 <i>CU = calendar year</i>
GMO016	Travel Records	CU+7			SOS C-19 <i>CU = calendar year</i>



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Human Resources

Retention Number	Record Series / 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); 29 CFR §1627.3; SOS C-21
HRD003	Deferred Compensation Records: Participation Agreements	LO			26 CFR §16001-1, 29 CFR §1627.3; SOS C-30
HRD004	District Benefit Contracts: Health, Dental, Vision, Other Benefit Contracts	LO	V		28 CCR §1300.85.1; 29 CFR §1627.3(b)(2); 29 USC §1027
HRD005	General 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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R&TC	Revenue & Taxation Code		
SOS	Secretary of State	CD	CD
USC	United States Code	EL	Electronic
Special Storage Consideration			
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Human Resources

Retention Number	Record Series / Record Type	Retention Length (Years Unless Specified)	Special Storage Consideration	Media Type	Retention Citations / Comments
HRD007	Employee Benefit Plans and Programs: Health Insurance, Supplemental Life Insurance, Beneficiary Designations, Records, Repayment Agreements, Eligibility Changes, Development Pay, Rideshare	T+7	V		29 CFR §1602.30, 29 CFR §1602.32, 29 CFR §1627.3(b)(2); GC §12946, GC §60201(d)(12); LC §1197.5 <i>HRD007 applies to all employees/former employees</i>
HRD009	Human Resources/ERP Database: Electronic Records Management - JDE, Cornerstone, Workterra (Data Shared Across These Systems/Feed Into Each Other)	LO			
HRD010	Employee I-9 Forms & EEOC Data Collection Forms	T+3			8 USC §1324a(b)(3)(B); SOS C-20
HRD011	Medical Files: Fitness for Duty, Leaves of Absence, Interactive Process Medical Files are excluded from Personnel Files which are retained in HRD013 Workers Comp records are retained in HRD024	T+30			8 CCR §3204(d)(1); 29 CFR 1910.1020 <i>HRD011 applies to all employees/former employees</i>
HRD012	Organization Charts	S+2			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, Loyalty Oath, Resignation Excludes Medical Records which are retained in HRD011	T+7	V until separation		8 CCR §3204(d)(1); 29 CFR §1602.31, 29 CFR §1627.3; GC §§12946



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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	CL+4			29 CFR §1602 et seq., 29 CFR §1607.29, 29 CFR §1627.3; GC §6250 et seq., GC §12946 <i>CL = job advertisement close date</i>
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			40 CFR §122.41(j)(2), 40 CFR §403.12(o); SOS C-45 <i>CU = date of record</i>
HRD016	Background Checks: Candidate Background Checks	T+7			SOS C-21
HRD017	Human Resources Programs: Rideshare, Tuition Reimbursement, Computer Loan, Development Pay Program Details, E-forms, Payment Schedules/Tracking Spreadsheets General Program Information Only; Employee Specific Information is Retained in Personnel Files (HRD013)	CL+3		EL	SOS C-20
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	
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	
HRD024	Workers Compensation Files, Including Claims & Loss Run Reports	CL+5		EL	8 CCR §15400.2; 29 CFR 1910.20; SOS C-24 <i>Incorporates 2018 BSD022 & 2018 RMS011</i>
HRD025	Documentation Received/Requests/Correspondence for HR-Non Litigation Related Example: Divorce Related Records released in response to subpoena requests are in other various entries Litigation related documents are retained in BSD015	CL+2		EL, P	



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Information Technology

Retention Number	Record Series / Record Type	Retention Length (Years Unless Specified)	Special Storage Consideration	Media Type	Retention Citations / Comments
ITD001	Access Authorization Forms: Email Access Requests, Internet Access Requests, Mobile Devices Access	T+3			
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	V		SOS C-22 <i>Incorporates 2015 ITD009, 2015 ITD010, 2015 ITD011, 2015 ITD012</i>
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 <i>CU = current date</i>
ITD006	IT Help Desk System: Service Tickets, Change Requests and Releases	CL+3			SOS C-22
ITD007	Network Diagrams/System Configurations/Maps/Plans	S			SOS C-22
ITD008	IT Asset Inventory Database: IT Assets, Printers, Hardware, SCCM, Server Lists, Asset Explorer	S+2			SOS C-22



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Information Technology

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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> Incorporates 2015 ITD014, 2015 ITD017 CU = one year from current date
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			47 CFR §951701 et seq.
ITD018	Virtual Computer Files: Replication for Disaster Recovery Purposes	NN			SOS C-22



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Information Technology

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ITD023	DigSmart/DigAlert Database/Tickets (Formerly Known as USA Tickets)	CU+3			GC §4216.2(f) <i>Business value in retention Was 2015 ENG021 CU = current date</i>
ITD024	Tunnel Cross-Section, Vault Detail, Piping & Instrumentation Diagrams (P&IDs), Single Line Diagrams (SLDs), Instrument Loop Diagrams (ILDs)	S	V	EL, P	SOS C-26, SOS C-44 <i>Tunnel Cross-Section & Vault Detail records are stored in Facility Records (Engineering) and managed by IT Incorporates 2018 ENG021, 2015 ENG008</i>
ITD025	Routine Recordings of Telephone Communications, Including Voicemail Recordings	CU+100 Days			40 CFR §122.41(j)(2), 40 CFR §403.12(o); SOS C-45 <i>CU = date of record</i>



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Operations & Maintenance

Retention Number	Record Series / Record Type	Retention Length (Years Unless Specified)	Special Storage Consideration	Media Type	Retention Citations / Comments
OMD001	Chemical Inventory Records (OPERATIONS): Delivery, Transfer, Usage, Manifest Worksheet, Inventory Logs	CU+3			49 CFR §172.201; SOS C-33 <i>CU = calendar year</i>
OMD002	Complaint Files and Problem Reports (OPERATIONS): Related to Organization's Operations - Odor, Noise, Call Center Complaints	CU+2		EL	SOS C-42 <i>Incorporates 2018 ESD005</i> <i>CU = calendar year</i>
OMD004	Flow Records (OPERATIONS)	LO			40 CFR §122.41(j)(2)
OMD005	Logs (OPERATIONS): Control Center Plant Operations	CU+30-LO			40 CFR §122.41(j)(2); <i>business value in LO retention;</i> <i>no additional, specific citations</i> <i>CU = calendar year</i>
OMD006	Logs (OPERATIONS): Operations Monthly Logs, Inspector Diaries, Control Center Visitor Logs	CU+3			40 CFR §122.41(j)(2) <i>CU = calendar year</i>
OMD007	Monthly Reports: Operating and Status Reports, Key Performance Indicator Reports (Generated by 810)	CU+2		EL	SOS C-19 <i>CU = calendar year</i>
OMD008	O&M Policies & Procedures: Guidelines, Checklists, Standard Operating Procedures	S+5		EL	SOS C-19



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

Operations & Maintenance

Retention Number	Record Series / Record Type	Retention Length (Years Unless Specified)	Special Storage Consideration	Media Type	Retention Citations / Comments
OMD009	Operating Journals (OPERATIONS): Alarm Summary (EL), Operations Round Sheets (EL, P), Midnight Readings (EL)	CU+2		EL, P	40 CFR §122.41(j)(2) <i>CU = calendar year</i>
OMD010	Operating Records (OPERATIONS): Activated Sludge (AS) Plant Reports (EL, P), Operator Schedules (P), Biosolids Hauling Tickets (P), Grit & Screening Tickets (P), Drying Bed Authorization Form	CU+5		EL, P	40 CFR §122.41(j)(2) <i>CU = calendar year</i>
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 <i>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.</i>
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 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 <i>Logs are used as part of AQMD Title V permitting, which is addressed in ESD002. OMD016 needs to match ESD002 for retention.</i>
OMD017	Pressure Vehicle CNG Tank Inspection Certification (FLEET)	LF+2		EL, P	40 CFR §122.41(j)(2), 40 CFR §403.12(e); SOS C-45 <i>CU = date of record</i>



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Operations & Maintenance

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OMD018	Vehicle Smog Check Inspection Report (FLEET)	LF+2		EL, P	SOS A-4 <i>DMV & State requirement</i>
OMD019	GHP Commercial Inspection: Bit Inspection (GHP Commercial Vehicle Inspection), CHP Safety Maintenance Inspection	LF+2		P	49 CFR §396.11(e)(2)- <i>CHP, DMV & State requirement</i>
OMD020	Certifications:- Mobile Crane, Vehicles, Equipment Calibration Certification-	LF+2		EL, P	SOS C-47 <i>DMV & State requirement</i>
OMD022	Collection System Process Data (COLLECTIONS): Pump Station, Control System Historical Data	LO			SOS C-45
OMD023	Inspection Reports & Photos (COLLECTIONS): Manhole	CU+10			SOS C-45 <i>CU = calendar year</i>
OMD024	Sewer Line Maintenance Files (COLLECTIONS)	CU+10			40 CFR Sec. 122.41(j)(2); 40 CFR Sec. 403.12(o); SOS C-45 <i>CU = calendar year</i>
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	V		GCP §337; 8 CCR § 3203(b)(1); 49 CFR- §396.21(b)(1), 49 CFR §396.3©



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SOS	Secretary of State	Media Types	
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Public Affairs

Retention Number	Record Series / Record Type	Retention Length (Years Unless Specified)	Special Storage Consideration	Media Type	Retention Citations / Comments
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, Volunteer Incentive Program (VIP) Points Tracking & Related Backup	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 <i>SOS allows S+2; however, based on business needs, preferred retention is LO</i>
PAO007	Publication Proofs (Ad in Adjudicated/Circulated Newspaper) (Non-Board and/or CPM Related): General Marketing	S+2			SOS C-24
PAO008	Website Content Archiving PageFreezer provides services; Board Services manages	S+2			SOS C-22
PAO009	Employee Events: Agency Awards, Recognitions, Announcements	LO	H		<i>Legal advice is S+2; however, based on business needs, preferred retention is LO</i>



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Public Affairs

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PAO010	Legislative Files: Letters of Support, Opposition	LO			SOS C-28 <i>Legal advice is S+2; however, based on business needs, preferred retention is LO</i>
PAO011	Social Media Archiving: Facebook, Twitter, YouTube, Instagram PageFreezer provides services; Board Services manages	S+2			SOS C-22
PAO012	Annual Reports: OC San Annual Report, Public Affairs Strategic Plan, Legislative Plan All items taken to the Board for approval (annually, every two years)	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; GC §12946 <i>CU = calendar year</i>
RMS003	Emergency Exercises: Planning Documents, Meeting Minutes, After Action Reports	CU+2			29 CFR §1910.119(g); 29 CFR §1910.120(q); SOS C-44-8 CCR §3220; California Fire Code 405.5 <i>CU = calendar year</i>
RMS004	Emergency Response: Response & Disaster Recovery Files, Emergency Operations Center Activation Notifications & Records	LO CU+3			29 CFR §1910.119(g); 29 CFR §1910.120(q); 2 CFR §200.334 <i>Incorporates 2015 RMS005</i> <i>CU = calendar year</i>
RMS006	Industrial Hygiene & Safety: Hazard Assessments, Inspections, Site Characterization Reports, Exposure Monitoring Reports, Noise Assessments, Surveys, Audits, Indoor Air Quality, Mold, Asbestos/Lead Surveys, Abatement Reports	LO			8 CCR §1529(n)6, 8 CCR §3204(d)(1)(B); 29 CFR §1910.1020 <i>Incorporating 2018 RMS030 into RMS006 as Retention Length requested to change from T+30 to LO based on business needs. Incorporating 2015 RMS015 & 2018 RMS030.</i>
RMS007	Occupational Medical Files: Medical Evaluations, Audiometric Test Reports, Pulmonary Function Tests, Respiratory Medical Clearance	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 CU+5			8 CCR §332.4; 8 CCR §14300.33(a); 29 CFR §1904.4; LC §6429c; OMB-1220-0029; SOS A-2 <i>CU = calendar year</i>



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Risk Management and Safety

Retention Number	Record Series / Record Type	Retention Length (Years Unless Specified)	Special Storage Consideration	Media Type	Retention Citations / Comments
RMS010	Safety Committee: Action Items, Agendas, Annual Reports, Meeting Minutes, Presentations	CU+4			8 CCR §3203 Retention aligns with Voluntary Protection Program (VPP) CU = <i>document date calendar year</i>
RMS012	OSHA Logs: 300 & 301 Logs Cal OSHA Logs & Summaries (300/300A); Cal OSHA 301 Incident Reports	CU+7 CU+5			8 CCR §14300.33(a); 29-CFR-§1904.33, 29-CFR-§1904.44 ; LC §6429c CU = <i>calendar year</i>
RMS014	Accident & Accident/Incident Records: Including Near Misses, Observation Reports, Security Reports, Vehicle Accidents	CL+7 CU+5			CCP §338; 8 CCR §14300.33(a); CFR §1904.6; SOS-C-24 CU = <i>calendar year</i>
RMS016	Hazardous Materials Records: Business Plans, Hazardous Materials Inventory, Disclosures	CU+5 CU+4			19 CCR Division 5, Chapter 1 §§5030.1-5030.11; 40-CFR-§122.21(p), 40-CFR-§122.41 CU = <i>document date calendar year</i>
RMS017	Calibration Gas Detectors Annual Recertification Calibration Records: Atmopheric Monitors, Geiger Meters, Noise Instruments, Sampling Pumps	CU+5 CU+4		P	8 CCR §5157(e)(6); 8-CFR-§14300.33(a); 29-CFR-§1904.33, 29-CFR-§1904.44; LC §6429e CU = <i>calendar year</i>
RMS018	Confined Space Records: & Entries Air Log, Entry Permits, Entry Procedure, Job Hazard Analysis (JHA)	CU+4			8 CCR §5157(e)(6); 29-CFR-1910.146(e)(6), 40-CFR-§122.41(j)(2); GC §53161; SOS-C-42 Retention aligns with VPP <i>Incorporates 2018 OMD003</i> CU = <i>document date calendar year</i>



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Risk Management and Safety

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RMS019	Hazardous Waste Records: Biennial Report, Bills of Lading, Exception Report, Waste Analysis, Waste Characterization Test Report, Waste Manifests, Other Determinations Disposals, Recyclable Non-Hazardous Waste-Material, Batteries, etc.	LO CU+4			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 CU = calendar year
RMS020	HazMat Permits, Environmental Health Permits: Bulk Chemicals, Fire, Battery Storage	LO			40 CFR §122.41(j)(2), 40 CFR §403.12(o); SOS C-45 CU = date of record
RMS021	Safety Data Sheets (SDS)	LO			8 CCR §3204(d)(B)(2), 8 CCR §5194; 29-CFR §1910
RMS022	Respiratory Protection: Fit Test Records, Written Program	S			8 CCR §5144(m) Medical Evaluations retained in RMS007
RMS024	Training Records - Safety: Rosters, Syllabus, Schedule, Curriculum Material Only	CU+7			SOS C-21 CU = document date calendar year
RMS025	Training Database (Cornerstone)	LO			Although corresponding records also stored in Cornerstone are retained according to other specific entries, the database doesn't have delete capability
RMS026	Radiation License & Disposal Records Radioactive Devices: Disposal Records, Licenses, Wipe Tests	LO CU+3			17 CCR §30192.1, 17 CCR §30293 CU = calendar year



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Risk Management and Safety

Retention Number	Record Series / Record Type	Retention Length (Years Unless Specified)	Special Storage Consideration	Media Type	Retention Citations / Comments
RMS027	Contractor Safety Orientation (formerly, Job Site Safety Analysis (JSSA)), Hot Work Permits, Job Hazard-Safety Analysis (JHSA), SAFE Bulletins, SafetyGrams	CU+4			29 CFR §1904.6, 29 CFR §1910.132, 29 CFR §1910.252; OMB 12-18-0176 Retention aligns with VPP <i>JSSA renamed Contractor Safety Orientation in 2020</i> <i>CU = document-date calendar year</i>
RMS028	PPE Assessments	S CU+4			8 CCR §3380; 29 CFR §1910.132 <i>CU = calendar year</i>
RMS029	Lock Out Tag Out Audits (LOTO)	CU+4			8 CCR §3314(j), 29 CFR §1910.147(c)(6), 29 CFR §1910.147(c)(7), 29 CFR §1910.147(f)(2) Retention aligns with VPP <i>CU = calendar year</i>
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			8 CCR §3650(t)(7); 49 CFR §396.11(c)(2), 49 CFR §396.21(b)(1) <i>CU = document-date calendar year</i>
RMS033	Continuity of Operations Plan (COOP); Integrated Emergency Response Plan (IERP)	S	V	EL, P	GC §60402(d)(10)
RMS034	Vehicle Entry Logs (Security)	CU+2			SOS-C-22 <i>Excludes entry for Board/Committee meetings and issued parking passes. Information entered in logs includes date, host name, purpose of visit, and vehicle information. Referred to if there is a security related incident.</i> <i>CU = current-date calendar year</i>