



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.
- Public Records Act requests, litigation, audits, claims, and investigations may suspend the stated retention periods and notification of such will be made. As stated in OC San's Records Retention Policy, authorization and proper destruction methods are required prior to destroying all Official Records, regardless of Media Type. When original records have reached their retention length, all copies and duplicates must be destroyed, along with the original, regardless of Media Type.
- Copies/duplicate records shall be determined as "duplicate" or "copy" in conjunction with Records Management. Upon determination by Record Management that a record is a duplicate or copy, OC San may destroy the duplicate record if the original or a permanent photographic record exists in OC San's files (GC §60200).
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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 | |
|--------------------------------------|--------------------------------|-----------------|--------------------------------------|
| CCP | Code of Civil Procedure (CA) | CL | Closed or Completed |
| CCR | California Code of Regulations | CU | Current Year (Defined Where Used) |
| CFR | Code of Federal Regulations | EX | Expired or Expiration |
| GC | Government Code (California) | LF | Life of Facility, Equip. or Software |
| H&S | Health & Safety Code | LO | Life of Organization or Permanent |
| 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| PC | Penal Code (CA) | S | Superseded |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 | Media Types | |
| USC | United States Code | CD | CD |
| | | EL | Electronic |
| Special Storage Consideration | | FD | Floppy Disk |
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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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|------------------|---|--|-------------------------------|------------|---|
| 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 | 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 | 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 | GC §60201(d)(11); SOS C-30 <i>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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Board Services

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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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Board Services

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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> |



Orange County Sanitation District Records Retention Schedule

General Retention Schedule Information

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- Copies/duplicate records shall be determined as "duplicate" or "copy" in conjunction with Records Management. Upon determination by Record Management that a record is a duplicate or copy, OC San may destroy the duplicate record if the original or a permanent photographic record exists in OC San's files (GC §60200).
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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 | |
|--------------------------------------|--------------------------------|-----------------|--------------------------------------|
| CCP | Code of Civil Procedure (CA) | CL | Closed or Completed |
| CCR | California Code of Regulations | CU | Current Year (Defined Where Used) |
| CFR | Code of Federal Regulations | EX | Expired or Expiration |
| GC | Government Code (California) | LF | Life of Facility, Equip. or Software |
| H&S | Health & Safety Code | LO | Life of Organization or Permanent |
| 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 | 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 |

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> |



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

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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| 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 | 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 |

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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| H&S | Health & Safety Code | LO | Life of Organization or Permanent |
| 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 | Media Types | |
| USC | United States Code | CD | CD |
| Special Storage Consideration | | EL | Electronic |
| C | Confidential | FD | Floppy Disk |
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| V | Vital | TA | Tapes |

Engineering

| Retention Number | Record Series / Record Type | Retention Length (Years Unless Specified) | Special Storage Consideration | Media Type | Retention Citations / Comments |
|------------------|--|--|-------------------------------|------------|---|
| 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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| 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 | Media Types | |
| USC | United States Code | CD | CD |
| Special Storage Consideration | | EL | Electronic |
| C | Confidential | FD | Floppy Disk |
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Engineering

| Retention Number | Record Series / Record Type | Retention Length (Years Unless Specified) | Special Storage Consideration | Media Type | Retention Citations / Comments |
|------------------|--|--|-------------------------------|------------|---|
| 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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| 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 |
|------------------|---|--|-------------------------------|------------|---|
| 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> |



Orange County Sanitation District Records Retention Schedule

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| Citation Codes | | Retention Codes | |
|--------------------------------------|--------------------------------|--------------------|--------------------------------------|
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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 | Media Types | |
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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 |
|------------------|--|--|-------------------------------|------------|--|
| 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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| H&S | Health & Safety Code | LO | Life of Organization or Permanent |
| 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 | Media Types | |
| USC | United States Code | CD | CD |
| Special Storage Consideration | | EL | Electronic |
| C | Confidential | FD | Floppy Disk |
| H | Historical | P | Paper |
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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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| 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 | | |
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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 |
|------------------|--|--|-------------------------------|------------|--|
| 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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| OMB | Office of Management & Budget | Media Types | |
| R&TC | Revenue & Taxation Code | | |
| SOS | Secretary of State | CD | CD |
| USC | United States Code | EL | Electronic |
| Special Storage Consideration | | FD | Floppy Disk |
| C | Confidential | P | Paper |
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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 <i>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</i> | 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

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|------------------|---|--|-------------------------------|------------|--|
| 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 | | | CCP §337 et seq, GC §60201(d)(7), GC §60201(d)(12); SOS C-29 <i>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).</i> <i>CL refers to final payment</i> <i>CL is the completion date of the year-end audit</i> |
| FAD003 | Accounts Receivable Files | CL+7 CL+4 | V | | 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> |



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Financial Management and Administrative Services

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|------------------|--|--|-------------------------------|------------|---|
| 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 | 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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Financial Management and Administrative Services

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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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| Citation Codes | | Retention Codes | |
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| GC | Government Code (California) | LF | Life of Facility, Equip. or Software |
| H&S | Health & Safety Code | LO | Life of Organization or Permanent |
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| 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 | 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 |

Financial Management and Administrative Services

| Retention Number | Record Series / Record Type | Retention Length (Years Unless Specified) | Special Storage Consideration | Media Type | Retention Citations / Comments |
|------------------|--|--|-------------------------------|------------|--|
| 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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| LC | Labor Code (CA) | OB | Obsolete |
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| PRC | Public Resources Code | T | Terminated |
| OMB | Office of Management & Budget | | |
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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 |

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 |



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| SOS | Secretary of State | CD | CD |
| USC | United States Code | EL | Electronic |
| Special Storage Consideration | | FD | Floppy Disk |
| C | Confidential | P | Paper |
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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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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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| 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

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|------------------|---|--|-------------------------------|------------|--|
| 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 |



Orange County Sanitation District Records Retention Schedule

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| Citation Codes | | Retention Codes | |
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| PRC | Public Resources Code | T | Terminated |
| OMB | Office of Management & Budget | Media Types | |
| R&TC | Revenue & Taxation Code | | |
| SOS | Secretary of State | CD | CD |
| USC | United States Code | EL | Electronic |
| Special Storage Consideration | | FD | Floppy Disk |
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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 |
|------------------|---|--|-------------------------------|------------|---|
| 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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| 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 |
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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 |
|------------------|---|--|-------------------------------|------------|---|
| ITD023 | DigSmart/DigAlert Database/Tickets (Formerly Known as USA Tickets) | CU+3 | | | GC §4216.2(f) <i>Business value in retention</i> <i>Was 2015 ENG021</i> <i>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</i> <i>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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| | | | |
| | | | |
| Special Storage Consideration | | | |
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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 |
|------------------|--|--|-------------------------------|------------------|--|
| 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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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, 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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- 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 (Defined Where Used) |
| CFR | Code of Federal Regulations | EX | Expired or Expiration |
| GC | Government Code (California) | LF | Life of Facility, Equip. or Software |
| H&S | Health & Safety Code | LO | Life of Organization or Permanent |
| 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 | Media Types | |
| R&TC | Revenue & Taxation Code | | |
| SOS | Secretary of State | CD | CD |
| USC | United States Code | EL | Electronic |
| Special Storage Consideration | | FD | Floppy Disk |
| C | Confidential | P | Paper |
| H | Historical | TA | Tapes |
| V | Vital | | |

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

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|------------------|---|--|-------------------------------|------------|--|
| 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> |