



# Orange County Sanitation District Records Retention Schedule

## General Retention Schedule Information

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Citation Codes		Retention Codes	
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IRC	Internal Revenue Code	OB	Obsolete
IRS	Internal Revenue Service	S	Superseded
LC	Labor Code (CA)	SP	Separated
PC	Penal Code (CA)	T	Terminated
OMB	Office of Management & Budget	<b>Media Types</b>	
R&TC	Revenue & Taxation Code	CD	CD
SOS	Secretary of State	EL	Electronic
USC	United States Code	FD	Floppy Disk
WC	Water Code	P	Paper
<b>Special Storage Consideration</b>		TA	Tapes
C	Confidential		
H	Historical		
V	Vital		

## Districtwide

Retention Number	Record Type	Retention Length (Years Unless Specified)	Special Storage Consideration	Media Type	Retention Citations / Comments
DW001	Published Articles Written/Contribution by OCSD Staff	LO			GC §60201; SOS c24
DW002	Historical Records: Photos, Slides Used by O&M, Videos, Correspondence	LO	H		GC §60201
DW003	Non-Historical Photos & Videos	NN			GC §60201
DW004	Speeches and Presentations: Presentations Not Made at Board/Committee Meetings	NN			GC §60201 Some records may be kept for historical value
DW005	Reference Files: Equipment Manuals	S		EL, P	GC §60201, GC §53161
DW006	Speeches and Non-Marketing Related Presentations & Supporting Documents (Includes PowerPoints)	S+2			GC §60201; SOS c24



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## Board Services

Retention Number	Record Type	Retention Length (Years Unless Specified)	Special Storage Consideration	Media Type	Retention Citations / Comments
BSD001	Affidavits of Publications Notices	LO		EL, P	GC §60201, GC §54960.1(c)(1)
BSD002	Board and Committee Meeting Agenda Packets and Meeting-Related Materials: Agenda, Agenda Reports & Attachments, Presentations, GM Monthly Report	LO		EL, P	GC §34090; SOS c22, SOS c42
BSD003	Agreements & Contracts, Political & Outside Jurisdictions/Agencies: Cooperative Agreements, JPAs (Joint Powers Authorities), JFAs (Joint Finance Authorities), Interagency, Reimbursement Agreements	LO		EL, P	GC §60201, GC §60201(d)(9), GC §60201(d)(1)
BSD004	Annexation Files	LO		EL, P	GC §34090, GC §60201(d)(1); SOS c28
BSD005	Bids - Awarded (Board Reviewed)	LO		EL, P	GC §60201(d)(6); SOS c30, SOS c27
BSD006	Bids - Unsuccessful (Board Reviewed)	2		EL, P	GC §34090, GC §60201(d)(11), GC §60201(d)(6); SOS c30



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BSD007	Board Administration Files: Loyalty Oaths, Election Records, Directors Lists, Contact Information	T+10		EL, P	PC §801.5 22; 29 USC §1113; SOS c18; GC §34090(d)(1)
BSD008	Conflict of Interest (FPPC Filings)	T+7		EL, P	GC §81009(e); SOS c18
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	LO		EL, P	GC §60201; CCP 337; CCP 337.15; SOS c22; SOS c30
BSD011	Ethics Training: Sexual Harassment Board Only, Ethics Training Board & Employee	EX+5		EL, P	GC §53235.2(b)
BSD012	Formation Files	LO		EL, P	GC §60201(d)(1)
BSD013	Land Records: Easements, Grant Deeds, Quit Claim Deeds, Abandonments, Condemnations, Real Estate Purchase & Sale, Property Agreements, Encroachment Permits, Etc.	LO		EL, P	GC §60201(d)(8), GC §34090(a)



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BSD014	Legal Opinions	LO		EL, P	SOS c23
BSD015	Litigation Files	CL+6		EL, P	GC §60201(d)(4)
BSD016	Meeting Minutes: Board & Board Committees	LO		EL, P	GC §60201(d)(3)
BSD017	Ordinances	LO		EL, P	GC §60201(d)(2)
BSD018	Recorded Project Documents: Notices of Completion, Easements, Deeds	LO		EL, P	GC §60201(d)(8); SOS c26
BSD019	Resolutions	LO		EL, P	GC §60201(d)(2), GC §34090



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BSD020	Tapes & Digital Recordings (Audio & Video): Board or Committee Meetings	LO		EL	GC §54953.5(b) Minimum retention 30 days or until adoption of the minutes Per Brown Act
BSD021	Director Communications: General Board Correspondence	3		EL, P	PC 801.5 22; 29 USC §1113
BSD023	Public Record Act Requests	CL+2		EL, P	GC §60201(d)(5); SOS c23
BSD024	Grand Jury Reports/Responses	LO		EL, P	GC §60201
BSD025	Records Retention Schedules	LO		EL, P	CCP §343; SOS c23; -Schedules are superseded when updated.
BSD026	Records Destruction Records: Approvals, Certificates, Requests	LO		EL, P	GC §60201; SOS c23



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BSD027	Records Management Annual Audits: Inventory, Storage, Destruction	S+3		EL, P	GC §60201



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## Contracts, Purchasing, and Materials Management

Retention Number	Record Type	Retention Length (Years Unless Specified)	Special Storage Consideration	Media Type	Retention Citations / Comments
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 <b>For Purchasing, Contracts &amp; Agreement Files that are Committee or Board approved, please see BSD009</b>	LO		EL, P	GC §60201; CCP 337; CCP 337.15; SOS c22; SOS c30
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 <b>For Purchasing, Contracts &amp; Agreement Files that are Committee or Board approved, please see BSD009</b>	CL+7		EL, P	GC §60201; CCP 337; SOS c30



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CPM003	Escrow Bid Documents	LF	C, V		CCP §337.15: 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). OCSD acts as a temporary custodian of the documents, which remain the property of the bidders.
CPM005	Purchase Order & Requisition Files (Including Committee or Board Approved): Open Annual (OA), Open Blanket (OB), Open Purchase (OP), and Open Service (OS)	LO		EL, P	GC §60201(d)(12); CCP §337; SOS c30
CPM008	Warehouse and Materials Management Records: Sales Orders, Discrepancies, Add To Stores, Receivers, Return To Vendors (RTV), Shipping Records, Inventories, Disposal of Surplus Assets	CL+4		EL, P	GC §60201; GC §34090; CCP §337; SOS c29
CPM009	Procurement Card Documentation Reconciliation, Requisition Credit Card Purchases, Reports, Agreement, Correspondence	CL+1			GC §60201





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CPM019	Certificates of Insurance	LO		EL, P	CCP §337.15; SOS c24
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		EL, P	GC §60201; CCP 337; CCP 337.15; SOS c22; SOS c30



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### Engineering

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ENG001	CEQA Documents: Includes Environmental Impact Reports and Addenda, Negative Declarations, Notices of Completion and Determination, Comments on Environmental Documents, Statements of Overriding Considerations, Exemptions, Technical Studies, Initial Studies, Mitigation and Monitoring Reports	LO			14 CCR §15095©, 14 CCR§ 15208, 14 CCR §15075, 15094, 14 CCR §15062, 14 CCR §15112; GC §60201, GC §60201(d)(10); SOS c27
ENG002	CEQA General Correspondence with Outside Cities/Agencies: Includes Written and Electronic Correspondence	25			14 CCR §15095(c), 14 CCR§ 15208, 14 CCR §15075, 15094, 14 CCR §15062, 14 CCR §15112; GC §60201(d)(10); SOS c27
ENG003	City or County Plans: Specific Plan, Master Plan	20			SOS c28, SOS c27, SOS c26, GC §60201(d)(10)
ENG004	Utility Requests: Received Plans, OCSD Response	CL+2			GC §60201; SOS c29
ENG005	General Correspondence: Internal and/or Project-Related Meeting Discussions, Correspondence, Meeting Minutes	CL+10			GC §60201; CCP §337.15
ENG006	Agreements, Annexations, Land Records, Connection Permits, Encroachment Permit Supporting Documentation: Letters, Meeting Minutes	LO			GC §60201(d)(8)



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Special Storage Consideration			
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## Engineering

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



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### Engineering

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



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Special Storage Consideration			
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### Engineering

Retention Number	Record Type	Retention Length (Years Unless Specified)	Special Storage Consideration	Media Type	Retention Citations / Comments
ENG017	Task Order: Solicitation (Addendum and Question Answer Document, Award Document, Meeting Agendas and Minutes, Proposal and Evaluation, Protest Document, Request for Proposal, Request for Qualification, Scope of Work, Sole Source, Statement of Qualification and Evaluation), Contract Administration (Agreement Closeout, Amendment and Reallocation, Conformed Agreement Package, Consultant Invoice)	CL+10			GC §60201(d)(12); CCP §337.15
ENG018	Budget Documentation: Budget Table and Schedule Documentation (Construction Schedule Documentation)	CL+10			GC §60201; CCP §337.15
ENG019	CEQA Correspondence	CL+10			14 CCR §15095, 14 CCR§ 15208, 14 CCR §15075, 15094, 14 CCR §15062, 14 CCR §15112; GC §60201(d)(10); SOS c27
ENG020	Project-Related Permit Documentation: AQMD, Army Corps of Engineers, CEQA Permits, Certification of Environmental Compliance, Contaminated Soil Manifest, Dewatering Data, Encroachment/Right of Way, Mitigation Measure Monitoring Reporting, Permit for Construction, RWQCB, Storm Water Compliance Reporting, City/County Permits, CalTrans Permits, OSHA Excavation Permits, EPA, CA Dept. of Fish & Game, OCFCD Permit for Construction, Railway Permit for Construction	CL+5			GC §60201
ENG021	Engineering Drawing: Conformed Set Drawings <b>Conformed Set Drawings are superseded by Record Drawings &amp; retained pursuant to ENG031</b>	S			GC §60201



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## Engineering

Retention Number	Record Type	Retention Length (Years Unless Specified)	Special Storage Consideration	Media Type	Retention Citations / Comments
ENG023	Code and Standards	S+10			GC §60201; CCP §337.15
ENG024	Design Documentation: Engineering Study and Analysis, Final Planning Study Report, Preliminary Design Report/Technical Memoranda, Engineering Calculations, Geotechnical and Geophysical Reports, Hazardous Materials Report, Hydrogeologic Report, Seismic Report	LF			GC §60201
ENG025	Construction Specialty: Electrical Test Report, Geotechnical Report, Instrumentation Testing, Materials Testing Report, Mechanical Testing, Other Test Report, Soil Report, Structural Testing, Survey Report, Commissioning Procedure, Inspection Daily Report and Construction Photo	LF			GC §60201
ENG027	Facility Reports: CIP Annual Report, OCSD Master Plan (Generated by Eng. Dept.), Strategic or Facility-Wide Planning Study Report (Seismic, Climate, Capacity, etc.)	LO			SOS c27
ENG028	Specification Conformed	LO			GC §60201
ENG029	Connection Permit: Trunk Sewer Connection Permit	S+2			GC §60201; SOS c29, SOS c44



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### Engineering

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ENG030	Facility Permits: AQMD, Permit to Operate, CA Coastal Commission/Coastal Development, Building Permit, Fire Department Permit	LF+5			GC §60201
ENG031	Engineering Drawing: Record Drawings (Tunnel Cross-Section, Vault Detail)	LO			GC §60201
ENG032	Shop Drawings	LO			GC §60201
ENG033	CEQA Related Documentation Pertaining to Meeting Agendas and Meeting Minutes	LO			GC §60201(d)(3)





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## Environmental Services

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ESD001	Air Emmissions Permitting Files (AQMD, CARB, Other): Final Permit, Testing Reports, Permit Applications, Correspondence	LO			CCP §338(k); SOS c27, SOS c17
ESD002	Asset Specific Emission Records: Various Equipment and Operational Information, Including Logs <b>Please see OMD014 &amp; OMD016 for retention of some records within ESD002</b>	OB+7			GC §60201; SOS c26
ESD003	Biosolids Management Records: Biosolids Hauling, Use, EMS Activities	LO			40 CFR §503.17, 40 CFR §122.41(j)(2), 40 CFR §122.21; SOS c47
ESD004	Chain of Custody - Laboratory	7			GC §60201; SOS c22; 40 CFR 403.12(o), 40 CFR 503.17(a)(3)(i), (a)(4), 40 CFR 122.41(j)(2), 122.21(j)(4)-(6)
ESD005	Collection Systems Records: Problem Reports and Customer Complaints	6			GC §60201; SOS c33, SOS c43
ESD006	Compliance Program Documentation: Storm Water, SSO, Post Construction Mitigation, SSMP (WDR)	LO			SOS c25, SOS c27, SOS c45; 40 CFR 141.33, 40 CFR Part 141, 40 CFR 122.41





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## Environmental Services

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ESD009	Environmental Audit Records: Conducted By OCSD	LO			GC §60201
ESD010	Environmental Audit Records: Conducted By Outside Parties	LO			GC §60201; SOS c27; SOS c17
ESD011	Interagency (Outside) Agreements and Documentation MOU	LO			GC §60201; GC §60201(d)(1); SOS c-24
ESD012	Lab SOP's	LO			GC §60201
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	7			GC §60201; SOS c22, SOS c33
ESD014	Non Permittee Files: Inspection Reports Data, Correspondence	6			GC §60201



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## Environmental Services

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ESD015	OMP Field Datasheets: Field Data and Collection Documentation, Animal Counts, Fish Collection Observations	LO			GC §60201; SOS c46; 40 CFR 141.33
ESD016	NPDES Permitting Files: Final Permit, Permit Applications, Special Studies & Reports, Correspondence	LO		EL	40 CFR §122.41(j)(2), 40 CFR §403.12(o)
ESD017	Permittee Files: Discharge Permits and Urban Runoff	EX+6			40 §CFR 122.41(j)(2), §403.12(o)
ESD019	Cleanup, Abatement, and Remediation of Underground Storage Tanks	LO			23 CCR §2772; SOS c33
ESD020	Compliance and Annual Reports: Discharge Monitoring Reports (DMR), Marine Monitoring Annual Report (MMAR), Biosolids Annual Report	LO		P	GC §60201; 40 CFR § 122.41(j)
ESD021	Waste Hauler Manifests	10			40 CFR §403.12(o)(v)(2); SOS c33



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### Environmental Services

Retention Number	Record Type	Retention Length (Years Unless Specified)	Special Storage Consideration	Media Type	Retention Citations / Comments
ESD022	Unprocessed Instrumentation Files & Lab Reports	LO	H, V		GC §60201; 40 CFR § 122.41(j)



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### Financial Management and Administrative Services

Retention Number	Record Type	Retention Length (Years Unless Specified)	Special Storage Consideration	Media Type	Retention Citations / Comments
FAD001	Accounting Reports: Quarterly and Monthly Reports	4			GC §60201; SOS a1
FAD002	Accounts Payable Files: Vendor and Contractor Invoices, Bills, Statements, Any Non-Discharged Debt	CL+7			GC §60201(d)(12); SOS c29; CL refers to final payment Freeze on all FAD002 records for the timeframe of 1/1/2010 through 12/31/2013. Freeze until 1/1/2048 for the purposes of fulfilling Build America Bonds IRS requirements. OCSD issued Build America Bonds in 2010 (outstanding through 2044) for which we are receiving a federal subsidy to offset our interest costs. The IRS guidance found states that all issuers should have records retention policies that maintain bond documents & related records (including documents supporting the disposition of funds) for at least the life of the bonds plus three years (through 2047).
FAD003	Accounts Receivable Files	CL+7			GC §60201(d)(12); CCP §337 et seq.; SOS c29; CL refers to final payment



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### Financial Management and Administrative Services

Retention Number	Record Type	Retention Length (Years Unless Specified)	Special Storage Consideration	Media Type	Retention Citations / Comments
FAD004	Annual Report - Financial	LO	H		GC §60201; SOS c30
FAD005	Audit Records: Financial Statements, Audit Management Letters, Comprehensive Annual Financial Report (CAFR)	LO	H		GC §60201 et seq.; SOS c30
FAD006	Bank Signature Cards	S+5			GC §60201
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	6			GC §60201; SOS c29; SOS c30
FAD008	Bonds: Certificates of Participation, Transcripts, Disclosure Reports, Registers, Issue Records, Determination of Allocation	LO			CCP §336(a), §337.5; GC §43900 et seq.; GC §60201 et seq.
FAD009	Budgets (Adopted)	LO	H, V during current FY		GC §60200; SOS c29



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OMB	Office of Management & Budget	<b>Media Types</b>	
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<b>Special Storage Consideration</b>		TA	Tapes
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## Financial Management and Administrative Services

Retention Number	Record Type	Retention Length (Years Unless Specified)	Special Storage Consideration	Media Type	Retention Citations / Comments
FAD010	Budgets vs. Actual: Supporting Documentation Summaries, Worksheets, Goals and Objectives, Milestones	5			GC §60201; §34090; SOS c29
FAD011	Check Records: Cancelled Payroll Checks, Voided Copies For Automatic Deposits, Registers, Requests for Hand Checks & Interim Payroll Checks	7			GC §60201(d)(12); CCP §337; SOS c29
FAD012	Capital Facility Capacity Charges (CFCC)	LO	H	EL, P	GC §60201(d)(12); CCP §337; SOS c29 Changed to LO as it is beneficial for OCSD to maintain copies of permits for fee calculations in the future and historical reference for fees paid for parcels.
FAD013	Expense Reports	7			GC §60201(d)(12); CCP §337, SOS a1
FAD014	Financial Statements	10			SOS c39
FAD015	Financial System: ERP Database, Access Database, Utility Billing <b>Data is interrelated across platforms</b>	LO			GC §60201



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FAD016	Fixed Asset Records	LF			GC §60201; SOS c29; Life of Asset
FAD017	General Ledger	LO			SOS c29, GC §60201(d)(12)
FAD018	Investment Records: Investment Policy, Custodian Bank Transaction Records, Asset Detail, Asset Summary, Yield, Statements, LAIF Withdrawals/Deposits, Portfolio Withdrawals/Deposits, Treasurer's Report, GASB 40 Report, GASB 72 Report	LO			GC §34090; CCP §337; GC §53607; SOS c30
FAD019	Journal Entries	LO			GC §60201; CCP §337; SOS c29
FAD020	Local Resources Program Reports (LRP)/Water Certifications	LO			GC §60201; 40 CFR 141.91
FAD021	OCERS Files: Copies of OCERS Payments, Statements	CL+7			GC §60201(d)(12); 29 CFR §516.6(a)(1); CL refers to final payment



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FAD022	OCERS Retirement Report	LO			GC §60201(d)(12); 29 CFR §516.6(a)(1); Business Value
FAD023	Payroll Records (Generated from Payroll Taxes): Timesheets; Payroll Registers and Reports; Unemployment Claims; Garnishments; Payment of Labor Costs Including Salaries, Wages, Compensation, and Deductions For Employees, Board Members, and Contractors (DE-6 & 941 Forms - Quarterly and Annual Payroll Tax Returns)	T+7			GC §60201(d)(12); CCP §337; 29 CFR §§516.5, 516.6(a)(1); IRS Reg. §31.6001-1(e)(2); 26 CFR §1.6001-1; R&T §19530; 29 CFR 516.5(a)-(b); SOS c30
FAD024	Petty Cash Records	7			GC §60201(d)(12); CCP §337; SOS a1
FAD025	Rate Studies	10			GC §60201; Business Value
FAD026	Rebates and Refunds: Sewer Service Fees	7			GC §60201
FAD027	State Controller's Reports	LO			GC §60201; SOS c30





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FAD028	Tax Records - Employee & Retirees: W-2's, 1099R, Annual Information Returns for Employees and Retirees	7			29 CFR §516.5; SOS c30; IRS Reg. §31.6001-1(e)(2); R&TC §19530; 29 CFR §516.5 - 516.6; 29 USC §436; GC §60201(d)(12); 29 CFR §31.605-1, §31.600-1(d)
FAD029	Tax Records (Generated From A/P & Vendor Files): Vendor	7			GC §60201
FAD030	Trial Balance Records	7			SOS c22; GC §60201(d)(12); GC §60201(d)(4)
FAD031	Claims (Excluding Workers Comp Claims): Claims Against OCSD/OCSD Employees (Wrongdoing by OCSD/OCSD Employees, Project Related Injury), Employment Claims (Wrongful Termination, Harassment, Discrimination)	LO			GC §60201
FAD032	Redevelopment Agency (RDA) Records: Records Regarding Member Agency RDA Required Payment to OCSD	LO			GC §60201; SOS c29



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### General Manager's Office

Retention Number	Record Type	Retention Length (Years Unless Specified)	Special Storage Consideration	Media Type	Retention Citations / Comments
GMO001	Annual OCSD Reports: OCSD Strategic Plan	LO	H		GC §60201
GMO007	GM Monthly Reports <i>LO in BSD002 as part of Board agenda packet distribution/retention</i>	2			GC §60201
GMO009	Executive Management Team (EMT) Meeting Files: Agenda, Agenda Report, Handouts	2			GC §60201; SOS a2
GMO016	Travel Records	7			GC §60201
GMO017	Executive Management Team (EMT) Meeting Minutes	LO			GC §60201; SOS a2



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## Human Resources

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HRD001	Classification & Compensation: Class & Comp Studies, Class Specifications, Salary Surveys, Salary Schedules, Pay Types, Reclass Requests, Desk Audits	LO			29 CFR §1627.3; GC §12946; GC §60201; SOS c21
HRD002	Temporary Employees: Hiring Documents, Tracking Spreadsheet, Request Forms	CL+7			CCP §§336(a), 337 et seq.; GC §60201; SOS c22, CCP §343
HRD003	Deferred Compensation Records: Participation Agreements	LO			26 CFR §31.6001-1(e)(2); 26 CFR §16001-1; 29 CFR §1627.3; SOS c30
HRD004	District Benefit Contracts: Health, Dental, Vision, Other Benefit Contracts	LO			29 CFR §1627.3(b)(2); -29 USC §1027; 11 CCR §560; 28 CCR §1300.85.1; GC §60201
HRD005	EEO-4 Reports and Files: Documents Required to Generate EEO-4 Report	CL+3			29 CFR §1602.30
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; GC §12946; SOS c20; GC §60201; 29 CFR §1602.31; 29 CFR §1627.3(b)(1)(ii); SOS c20



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## Human Resources

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HRD007	Employee Benefit Plans and Programs: Health Insurance, Supplemental Life Insurance, Beneficiary Designations, Records, Repayment Agreements, Eligibility Changes, Development Pay, Rideshare	T+7 Retirees: Death+7			GC §12946; GC §60201(d)(12); 29 CFR §1627.3(b)(2); 29 CFR §§1602.30, 32; LC §1197.5
HRD009	Human Resources/ERP Database: Electronic Records Management - JDE, Cornerstone, Workterra (Data Shared Across These Systems/Feed Into Each Other)	LO			GC §60201
HRD010	I-9 Forms & Self-Identification Forms	T+3			8 USC §1324a(b)(3)(B); 8 CFR §1274a.2(b)(2)(i)(A)
HRD011	Medical Files: Fitness for Duty, Leaves of Absence, Interactive Process, Workers Comp <b>Medical Files are excluded from Personnel Files which are retained in HRD013</b>	T+30 Retirees: Death+30			8 CCR §3204(d)(1) et seq., GC §§12946, 60201
HRD012	Organization Charts	S+2			GC §60201(d)(1) et seq.
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, Resignation <b>Excludes Medical Records which are retained in HRD011</b>	T+7	V until separation		29 CFR §§1602.31, 1627.3(b)(ii), 8 CCR §3204(d)(1) et seq., GC §§12946, 60201; 29 USC §1113



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## Human Resources

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HRD014	Recruitment Records: Advertisements, Job Brochures, Test Data, Rating Sheets, Questions, Eligibility Lists, Electronic/NEOGOV Records <b>Retention begins after hiring decision</b>	CL+3			29 CFR §1602 et seq. & §1627.3(a)(b), 2 CCR §7287.0(c)(2), 8 CCR §11040, GC §12946; SOS c21
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			GC §60201; SOS c21
HRD016	Background Checks: Candidate Background Checks	T+7			GC §60201; SOS c21
HRD017	Human Resources Programs: Rideshare, Tuition Reimbursement, Computer Loan, Development Pay	CL+3		EL	GC §12946; SOS c20
HRD018	District Benefit Plans: Benefits Summary Plan Descriptions (Health, Dental, Vision, Other)	EX+5			GC §60201; SOS c21



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HRD019	OCSD U (Formerly Known as BLAST) Development Records: Research Material, Timeline	LO	H	EL	GC §60201; SOS c28
HRD020	OCSD U (Formerly Known as BLAST) Procedures	S+2		EL	GC §60201; SOS c23
HRD021	OCSD U (Formerly Known as BLAST) Professional Development Articles From External Sources	NN		EL	GC §60201
HRD022	OCSD U (Formerly Known as BLAST) Program Files: Minutes, Marketing Material, Program/Training Evaluations, Quarterly Reports	S+2		EL	GC §60201; SOS c19
HRD023	OCSD U (Formerly Known as BLAST) Working Documents: Member Rosters - Active & Inactive	S		EL	GC §60201



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### Human Resources

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HRD024	Workers Compensation Files, Including Claims	LO			CCR §14311; §15400.2; LC §110-139.6; SOS c24



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Citation Codes		Retention Codes	
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GC	Government Code (California)	MA	Maturity
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IRC	Internal Revenue Code	OB	Obsolete
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OMB	Office of Management & Budget	<b>Media Types</b>	
R&TC	Revenue & Taxation Code	CD	CD
SOS	Secretary of State	EL	Electronic
USC	United States Code	FD	Floppy Disk
WC	Water Code	P	Paper
<b>Special Storage Consideration</b>		TA	Tapes
C	Confidential		
H	Historical		
V	Vital		

### Information Technology

Retention Number	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			GC §60201
ITD002	Wiring Specs and Test Results - Loop Drawings <b>Active until revised/rescinded/superseded</b>	LF+2			GC §60201; SOS c22; SOS a1
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			SOS c22; GC §60201; GC §34090 et seq.; GC §34090 et seq.
ITD004	GIS (Geographic Information System) Database: Layers <b>Data is interrelated across platforms</b>	S			GC §60200; GC §60201 et seq.
ITD005	Information/Activity Logs: Internet, Phone, Badge, Visitors	2			GC §60201





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ITD006	IT Help Desk System: Service Tickets, Change Requests and Releases	CL+3			GC §60201
ITD007	Network Diagrams/System Configurations/Maps/Plans	4			GC §60201; GC §34090 et seq.; SOS c22
ITD008	IT Asset Inventory Database: IT Assets, Printers, Hardware, SCCM, Server Lists, Asset Explorer	S+2			GC §60201; GC §34090 et seq.
ITD013	System Log (Database): Transaction Logs, Error Logs	S+2			SOS c22



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ITD015	Video Surveillance Files and System Security Database	1			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. GC §§53160, 53161.
ITD016	Two-Way Radio Licensing and Information	EX+2			GC §60201; GC §34090
ITD018	Virtual Computer Files: Replication for Disaster Recovery Purposes	NN			GC §34090.7; SOS c22
ITD023	DigSmart/DigAlert Database/Tickets (Formerly Known as USA Tickets)	3			GC §60201



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### Operations & Maintenance

Retention Number	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	2			GC §60201; 49 CFR 172.704 (d), 49 CFR 199.117; SOS c33
OMD002	Complaint Files and Problem Reports (OPERATIONS): Related to Organization's Operations - Odor, Noise, Call Center Complaints	2		EL	GC §60201; SOS c42
OMD004	Flow Records (OPERATIONS)	LO			GC §60201
OMD005	Logs (OPERATIONS): Control Center Plant Operations	30			GC §60201
OMD006	Logs (OPERATIONS): Operations Monthly Logs, Inspector Diaries, Control Center Visitor Logs	3			GC §60201; 40 CFR 122.41(j)(2)
OMD007	Monthly Reports: Operating and Status Reports	2		EL	GC §60201



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## Operations & Maintenance

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OMD008	O&M Policies & Procedures	S+5		EL	GC §60201; SOS c19
OMD009	Operating Journals (OPERATIONS): Alarm Summary (EL), Operations Round Sheets (EL, P), Midnight Readings (EL)	2		EL, P	GC §60201; GC §53161
OMD010	Operating Records (OPERATIONS): Activated Sludge (AS) Plant Reports (EL, P), Operator Schedules (P), Biosolids Hauling Tickets (P), Grit & Screening Tickets (P)	5		EL, P	GC §60201; 40 CFR 122.41 (j)(2)
OMD011	Process Data (OPERATIONS): Monthly Summary of Operations (MSOs) [EL], Treatment Plant Operational Data (TPODs) [EL]	LO		EL	GC §60201
OMD014	AQMD: 1-Cengen Emissions Reports, 2-AQMD Round Sheets, 3-Flare Reports <b>Some of these records are key records to be retained for ESD002, please forward to ES if storage becomes burdensome</b>	OB+7		P	GC §60201; SOS c27; CCR §556(k); 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
OMD015	Facility Maintenance & Repair (MAINTENANCE)	LF+2		EL, P	GC §60201; SOS c47



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### Operations & Maintenance

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OMD016	Generator Operation Logs (OPERATIONS): Fixed or Stationary <b><i>Some of these records are key records to be retained for ESD002, please forward to ES if storage becomes burdensome</i></b>	OB+7		P	GC §34090; logs are used as part of AQMD Title V permitting, which is addressed in ESD002; OMD016 needs to match ESD002 for retention
OMD017	Pressure Vehicle CNG Tank Inspection Certification (FLEET)	LF+2		EL, P	GC §34090 et. seq.; SOS c47, SOS c47; DMV & State Requirement
OMD018	Vehicle Smog Check Inspection Report (FLEET)	LF+2		EL, P	GC §60201; DMV & State Requirement
OMD019	CHP Commercial Inspection: Bit Inspection (CHP Commercial Vehicle Inspection), CHP Safety Maintenance Inspection	LF+2		P	49 CFR §396.11(c)(2); GC §60201; CHP, DMV & State Requirement
OMD020	Certifications: Mobile Crane, Vehicles	LF+2		EL, P	8 CCR §14300.33(a); GC §60201 et seq.; LC §6429c; DMV & State Requirement
OMD021	Chain of Custody: Source Control, Split Sample	5			8 CCR §14300.33(a); GC §60201 et seq.; SOS c21



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## Operations & Maintenance

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OMD022	Collection System Process Data (COLLECTIONS): Pump Station, CRISP	LO			GC §60201
OMD023	Inspection Reports & Photos (COLLECTIONS): Manhole	10			GC §60201; SOS c45
OMD024	Sewer Line Maintenance Files (COLLECTIONS)	10			GC §60201
OMD026	Vehicle Records (FLEET): Equipment Files, Maintenance, Registrations, Vehicle Titles ("Pink Slips"), Vehicle Citations <b>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</b>	LF+2			8 CCR § 3203(b)(1), 49 CFR §396.21(b)(1), 49 CFR §396.3(c); CCP §337 et seq.; GC §34090



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### Public Affairs

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PAO001	Education Curriculum: Sewer Science, Water Festival, Other	S+2			GC §60201; SOS c24
PAO002	Outreach/Event File: Tour Documentation, RSVP's, Sign-in Sheets, Other Related Information	S+5			GC §60201; SOS c24
PAO003	Marketing Material: Flyers, General Brochure, Marketing Brochures, Newsletters, Email Blasts, Marketing Related Presentations/PowerPoints	S+7			GC §60201; SOS c19
PAO006	Press/Media Releases	LO	H		GC §60201; SOS c40 SOS allows S+2; however, based on business needs, preferred retention is LO
PAO007	Publication Proofs (Non-Board and/or CPM Related): General Marketing	S+2			GC §60201; SOS c24
PAO008	Website Content Archiving <b>PageFreezer provides services; Board Services manages</b>	S+2			GC §60201



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PAO009	Employee Events: Agency Awards, Recognitions, Announcements	LO	H		GC §60201 Legal advice is S+2; however, based on business needs, preferred retention is LO
PAO010	Legislative Files: Letters of Support, Opposition	LO			GC §60201; SOS c28 Legal advice is S+2; however, based on business needs, preferred retention is LO
PAO011	Social Media Archiving: Facebook, Twitter, YouTube, Instagram <b>PageFreezer provides services; Board Services manages</b>	S+2			GC §60201
PAO012	Annual Reports: OCSD Annual Report, Public Affairs Strategic Plan, Legislative Plan <b>All items taken to the Board for approval (annually, every two years)</b>	LO	H		GC §60201





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### Risk Management and Safety

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RMS002	DOT Random Drug & Alcohol Test Records	5	C		29 CFR §1627.3(b)(v); 49 CFR §382.401 et seq.; GC §12946, GC §60201
RMS003	Emergency Exercises & Drills, After Action Reports	NN			GC §60201; 29 CFR 1910.119(g), 29 CFR §1910.120(q)
RMS004	Emergency Response: Response & Disaster Recovery Files, Emergency Operations Center Activation Notifications & Records	LO			GC §60201; 29 CFR 1910.119(g), 29 CFR §1910.120(q)
RMS006	Industrial Hygiene & Safety Files - Location: Hazard Assessments, Site Assessments, Industrial Hygiene Reports, Surveys, Audits	LF			8 CCR §3204; 29 CFR §1910
RMS007	Medical Files - Occupational: Fit Testing	T+30	C		8 CCR §3204; 29 CFR §1910
RMS008	OSHA Compliance Records: Citations, Appeals Related, Correspondence <b>OSHA 300 &amp; 301 Logs retained in RMS012</b>	LO			OMB 1220-0029; 29 CFR §1904.4; SOS a2



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IRC	Internal Revenue Code	OB	Obsolete
IRS	Internal Revenue Service	S	Superseded
LC	Labor Code (CA)	SP	Separated
PC	Penal Code (CA)	T	Terminated
OMB	Office of Management & Budget	<b>Media Types</b>	
R&TC	Revenue & Taxation Code	CD	CD
SOS	Secretary of State	EL	Electronic
USC	United States Code	FD	Floppy Disk
WC	Water Code	P	Paper
<b>Special Storage Consideration</b>		TA	Tapes
C	Confidential		
H	Historical		
V	Vital		

### Risk Management and Safety

Retention Number	Record Type	Retention Length (Years Unless Specified)	Special Storage Consideration	Media Type	Retention Citations / Comments
RMS010	Risk & Safety Committee and Meeting Documents	4			8 CCR §3203 et seq.; GC §60201 et seq. <b>Retention aligns with Voluntary Protection Program (VPP)</b>
RMS012	OSHA Logs: 300 & 301 Logs	7			8 CCR §14300.33(a), 29 CFR §1904.33, 29 CFR §1904.44; GC §60201 et seq.; LC §6429c
RMS014	Accident & Incident Records	CL+7			GC §60201; CCP §338; CFR §1904.6; SOS c24
RMS015	Asbestos & Lead Abatement Records	LO			GC §60201; CCR §1529(n)6
RMS016	Hazardous Materials Records: Business Plans, Hazardous Materials Inventory, Disclosures	5			GC §60201; 40 CFR §122.21(p), 40 CFR §122.41
RMS017	Calibration Gas Detectors Annual Recertification	5		P	8 CCR §14300.33(a), 29 CFR §1904.33, 29 CFR §1904.44; GC §60201 et seq.; LC §6429c



## Orange County Sanitation District Records Retention Schedule

### General Retention Schedule Information

- This Records Retention Schedule pertains to any and all Official Records of the Sanitation District regardless of Media Type.
- 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 the Sanitation District'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 destruction term, all copies and duplicates must be destroyed, along with the original, regardless of Media Type.
- Copies, notes, preliminary drafts, and transitory records are not considered Official Records and can be destroyed when no longer needed for Sanitation District business and do not require prior authorization.
- 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	EX	Expired or Expiration
CFR	Code of Federal Regulations	LF	Life of Facility, Equip. or Software
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## Risk Management and Safety

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RMS018	Confined Space Records & Entries	4			5157(e)(6); 5157(d)(14); 29 CFR 1910.146(e)(6); 40 CFR §122.41(j)(2); GC 3400, 53161; SOS c42 <b>Retention aligns with VPP</b>
RMS019	Hazardous Waste Records: Manifests, Disposals, Recyclable Non Hazardous Waste Material, Batteries, etc.	LO			8 CCR §3204(d)(1) et seq., 40 CFR §122.41(j)(2), 40 CFR §141.33(b), 26 CCR §22-64470(a); GC §12946, §60201; CCR §66262.40(a), §66264.71(b)(6); SOS c47
RMS020	HazMat Permits, Environmental Health Permits: Bulk Chemicals, Fire, Battery Storage	LO			GC §60201
RMS021	Safety Data Sheets (SDS)	LO			8 CCR §5194; 29 CFR §1910
RMS024	Training Records - Safety: Rosters, Syllabus, Schedule, Curriculum Material Only	7			GC §60201; SOS c21; Applies to Paper Records
RMS025	Training Database	LO			GC §60201



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## Risk Management and Safety

Retention Number	Record Type	Retention Length (Years Unless Specified)	Special Storage Consideration	Media Type	Retention Citations / Comments
RMS026	Radiation License & Disposal Records	LO			GC §60201
RMS027	Job Site Safety Analysis (JSSA), Job Hazard Analysis (JHA), Hot Work Permits	4			GC §60201; 29 CFR 1910.252, 29 CFR 1910.132, 29 CFR 1904.6; O.M.B. No. 1218-0176 <b>Retention aligns with VPP</b>
RMS028	PPE Assessments	S			GC §60201; 29 CFR 1910.132
RMS029	Lock Out Tag Out Audits (LOTO)	4			GC §60201; 29 CFR 1910.147 (c)(7), (f)(2), (c)(6) <b>Retention aligns with VPP</b>
RMS030	Industrial Hygiene & Safety Files - Personnel: Industrial Hygiene Reports - Air Sampling, Noise Testing and Workplace Contaminants	T+30			GC §60201; 3204 - (d)(1)(B); 29 CFR 1910.1020
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	4			49 CFR §396.11 (c)(2), 49 CFR §396.21(b)(1); GC §60201