HOW TO USE RETENTION SCHEDULES

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A legend explaining the information presented in the retention schedule has been printed on the back of each page for your easy reference; an index to locate records is also provided.

The specified retention period applies regardless of the media of the record: If a record is stored on paper and a computer file on a hard drive, both records should be destroyed (or erased) after the specified period of time has elapsed.

Copies or duplicates of records should never be retained longer than the prescribed period for the original record.

STRUCTURE: DISTRICTWIDE, DEPARTMENTS & DIVISIONS

The District-wide retention schedule includes those records all departments have in common (letters, memorandums, purchase orders, etc.). These records are NOT repeated in the Department retention schedule, unless that department is the Office of Record, and therefore responsible for maintaining the original record for the prescribed length of time.

Each department has a separate retention schedule that describes the records that are unique to their department, or for which they are the Office of Record. Where appropriate, the department retention schedules are organized by Division within that Department. If a record is not listed in your department retention schedule, refer to the District-wide retention schedule. An index will be provided for your reference.

BENEFITS

This retention schedule has been developed by Diane R. Gladwell, MMC, an expert in Municipal Government records, and will provide the District with the following benefits:

- Reduce administrative expenses, expedite procedures
- Free filing cabinet and office space
- Reduce the cost of records storage
- Eliminate duplication of effort within the District
- Find records faster
- Easier purging of file folders
- Determine what media should be used to store records

For questions, please contact the District Clerk.

AUTHORIZATION TO DESTROY RECORDS:

Destruction of an original record that has exceeded its retention period must be authorized according to District Policies & Procedures prior to destroying it.

- If there is a **minimum** retention ("**Minimum 2 years**"), destruction of the document must be authorized before it is destroyed, as it is an original record.

Copies, drafts, notes and non-records do NOT require authorization, and can be destroyed "When No Longer Required."

- If there is **NOT** a minimum retention ("When No Longer Required"), it does NOT need to be authorized prior to destruction, as it is a preliminary draft / transitory record or a copy.

On every page of the schedules (near the top, just under the column headings) are important instructions, including instructions regarding holds on destroying records. "**Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).**"

RECORDS RETENTION SCHEDULE: DISTRICT-WIDE STANDARDS

Office of Record (OFR)	Retention No.	Records Description	Total Retention	Vital?	Media Options	Image: I=Import M=Mfr S=Scan	Destroy Paper after Imaged & QC'd?	Comments / Reference
Retentions apply to the "Lead Dept"; Use District-Wide together with Department schedules								
Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.								
HOLDS: Litigation, complaints, claims, pending public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or compl								
DISTRICT-WIDE (Used by All Departments)								
Board Admin.	DW-001	Agreements & Contracts - **All Original Contracts or Agreements Signed by General Manager, and / or Approved by the Board of Directors**	Send to Board Admin.	Yes: Before Completion	Mag, OD, Ppr	S / I	Yes: After QC & OD	District preference; Board Administration is Office of Record
Lead Department	DW-002	Agreements & Contracts - ALL: **ADMINISTRATIVE RECORDS, or those NOT Signed by General Manager or Approved by the Board of Directors** (Correspondence, project schedules, copies of invoices, backup, insurance certificates etc.) Also see grant retention, if applicable.C18	Completion + 10 years		Mag, OD, Ppr	S / I	Yes: After QC & OD	Also see Grants. Covers E&O Statute of Limitations (insurance certificates are filed with agreement); Published Audit Standards=4-7 years; Statute of Limitations: Contracts & Spec's=4 years, Wrongful Death=comp. + 5 years, Developers must retain their records for completion + 10 years; CCP §§336(a), 337 et. seq., GC §60201
Lead Department	DW-003	Association Records (external associations - e.g., ACWA, etc.)	When No Longer Required		Mag, Ppr			Non-records; GC §60201 et seq.
Lead Dept.	DW-004	Clippings / Newspaper Clippings	When No Longer Required		Mag, Ppr			Non-records; GC §60201 et seq.
Lead Dept.	DW-005	Committees, Task Forces, Associations, Commissions, & Boards: **External** Organizations (e.g. Association of California Water Agencies, etc.)	When No Longer Required		Mag, Ppr			Non-records
Information Technology	DW-006	Computer Backups	When No Longer Required	Yes	Mag.			Used for Disaster Recovery Purposes Only; Considered a copy and can be destroyed when no longer required; GC §60200 et seq.
	DW-007	Copies or duplicates of any record	Copies - When No Longer Required		Mag, Ppr			GC §60200

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HOLDS: Litigation, complaints, claims, pending public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or compl								
Lead Dept.	DW-008	Correspondence - **Regulatory Agencies**	Minimum 10 years	Yes: While Active Issues	Mag, Ppr			District preference; some correspondence from Regulatory Agencies need to be retained for long periods of time; GC §60201
Dept. that **Authors** Document or Receives the District's Original Document	DW-009	Correspondence - **Routine (Content relates in a substantive way to the conduct of the public's business)** (e .g. Administrative, Chronological, Communications, General Files, Letters, Memorandums, Miscellaneous Reports, Reading Files, Working Files, etc. Does NOT include Regulatory Agency Correspondence)	Minimum 2 years		Mag, Ppr			Department preference; GC §60201
Dept. that **Authors** Document or Receives the District's Original Document	DW-010	Correspondence - **TRANSITORY / PRELIMINARY DRAFTS,** Interagency and Intraagency Memoranda not retained in the ordinary course of business **Content NOT Substantive, or NOT made or retained for the purpose of preserving the informational content for future reference** (e.g. calendars, checklists, e-mail or social media, invitations, instant messaging, logs, mailing lists, meeting room registrations, supply inventories, telephone messages, text messages, transmittal letters, thank yous, requests from other cities, undeliverable envelopes, visitors logs, voice mails, webpages, etc.)	When No Longer Required		Mag, Ppr			Electronic and paper records are filed and retained based upon their **CONTENT.** E-mails, electronic records, or social media postings where either the **Content relates in a substantive way to the conduct of the public's business, or ARE made or retained for the purpose of preserving the informational content for future reference** are saved by printing them out and placing them in a file folder, or saving them electronically. If not mentioned here, consult the Attorney to determine if a record is considered transitory / preliminary draft. GC §§60201, 6252, 6254(a); 64 Ops. Cal. Atty. Gen. 317 (1981)); City of San Jose v. Superior Court (Smith). S218066. Supreme Court of California. 2017

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HOLDS: Litigation, complaints, claims, pending public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or compl								
Lead Dept.	DW-011	Drafts & Notes: Drafts that are revised (retain final version)	When No Longer Required		Mag, Ppr			As long as the drafts and notes are not retained in the "Regular Course of Business". GC §60201, GC §6254
Lead Dept.	DW-012	Grants **(SUCCESSFUL** - all records, including FEMA or OES claims (Federal Emergency Management Agency or Office of Emergency Services Claims)	After Funding Agency Audit, if required - **Minimum 5 years**		Mag, Ppr			District Preference (may include records pertaining to independent contractor's compensation, or expense reimbursement); Meets auditing standards; Uniform Admin. Requirements for Grants to Local Governments is 3 years from expenditure report or final payment of grantee or subgrantee; 2 CFR 200.333; 24 CFR 91.105(h), 92.505, 570.490, & 570.502(a~~&b~~),-29 CFR 97.42; OMB Circular A-110 & A-133; GC §60201; GC §8546.7
Lead Dept.	DW-013	Grants: **UNSUCCESSFUL** (Applications, Correspondence, etc.)	2 years		Mag, Ppr			Department Preference; GC §60201
Human Resources	DW-014	Personnel Files - **Department-level Copies**	Send to Human Resources Upon Separation or Transfer	Before Separation	Mag, Ppr			Ensure records kept in Department files comply with District policy; Originals are maintained by Personnel. Supervisors notes should be maintained in a separate folder and be incorporated in the employee's annual performance review; 29 CFR 1602.31 & 1627.3(b)(ii), 8 CCR §3204(d)(1) et seq., GC §§12946, 60201

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Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.								
HOLDS: Litigation, complaints, claims, pending public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or compl								
Human Resources	DW-015	Personnel Files - Department-level **Supervisor's Notes**	When No Longer Required	Before Separation	Mag, Ppr			Preliminary Drafts; Supervisors notes should maintained in a separate folder and be incorporated in the employee's annual performance review; 29 CFR 1602.31 & 1627.3(b)(ii), 8 CCR §3204(d)(1) et seq., GC §§12946, 60201
Lead Dept.	DW-016	Photographs, Videos (other than Board Meetings)	When No Longer Required		Mag, Ppr			Preliminary drafts (the document that the photograph is used in is the final); GC §60201
Authoring Dept.	DW-017	Reference Materials: Policies, Procedures, Brochures, Manuals, Newsletters, & Reports: Produced by **YOUR** Department	Minimum of Superseded + 2 years		Mag, Ppr			Department Preference; GC §60201
Lead Dept.	DW-018	Reports and Studies - White Papers, Issue Papers, Position Papers, Scientific Studies (other than Annual Reports)	P		Mag, Ppr			Department Preference; GC §60201
Lead Dept.	DW-019	Training: **ALL COURSE RECORDS / SYLLABUS, AND ROSTER OF ATTENDEES** Includes Ethics, Harassment Prevention, Safety Training & Tailgate Training Meetings	5 years		Mag, Ppr			Department preference; Ethics Training is 5 years; Statewide guidelines propose 7 years; Calif. Labor Division is required to keep their OSHA records 7 years; EEOC/FLSA/ADEA (Age) requires 3 years for promotion, demotion, transfer, selection, or discharge; State Law requires 2 -3 years for personnel actions; 8 CCR §3203 et seq., 29 CFR 1602.31; LC §6429(c); GC §§12946, 60201, 53235.2(b), 53237.2(b)
Lead Dept.	DW-020	Unsuccessful Proposals / Unsuccessful Bids Purchasing is the Office of Record for Unsuccessful Bids	1 year		Mag, Ppr			Department preference; GC §60201 et. seq.
Lead Dept.	DW-021	Visitor Logs / Registers	1 year		Mag, Ppr			Department preference; GC §60201 et. seq.

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RECORDS RETENTION SCHEDULE LEGEND

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OFR (Office of Record): The department that keeps the original or "record copy." Usually it is the department that originates the record, unless the item is for a Board of Directors meeting (then it is the Board Secretary.)

Records Description: The record series (a group of like records).

Transitory Records not retained in the ordinary course of business, that do NOT have substantive content: Preliminary drafts, notes, or interagency or intra-agency memoranda and records having only transitory value. Examples: Telephone messages, meeting room reservation schedules, logs, source records entered into a computer system that qualifies as a "trusted system", etc.

Non-Record: Documents, studies, books and pamphlets produced by outside agencies, preliminary drafts not retained in the ordinary course of business.

Retention/Disposition:
Active: How long the file remains in the immediate office area (*guideline*)
Inactive: How long the file is in off-site storage, stored on Optical Disk or Microforms (*guideline*)
Total Retention: The total number of years the record will be retained

For file folders containing documents with different retention timeframes, use the document with the longest retention time.
P = Permanent
Indefinite = No fixed or specified retention period; used for databases, because the data fields are interrelated.

Vital? = Those records that are needed for basic operations in the event of a disaster.

Media Options (*guideline*) – the form of the record:
Mag = Computer Magnetic Media (hard drive, disks, tapes, USB Drives, thumb drives, etc.)
Mfr = Microforms (aperture cards, microfilm, microfiche, or jackets)
Ppr = Paper
OD = Optical Disk, CD-r, DVD-r, WORM, or other **media** which **does not allow changes**

Scan / Import (*guideline*)**:**
"S" indicates the record should be scanned into the document imaging system;
"I" indicates the record should be electronically imported into the document imaging system;
"M" indicates the record should be microfilmed

Destroy Paper after Imaged & QC'd / Trustworthy Electronic Record: "Yes" indicates the paper version may be destroyed **IF** the document has been imaged (electronically generated, scanned or imported **and** placed on **Unalterable Media – DVD-R, CD-R, or WORM, or microfilmed**), and both the images and indexing Quality Checked ("QC'd"). The electronic record or image must contain all significant details from the original and be an adequate substitute for the original document for all purposes, and other legal mandates apply. Includes all electronic records which are to serve as the Official Record.

Legend for legal citations (§: Section)
CC: Civil Code (CA)
CFC: California Fire Code
EVC: Evidence Code (CA)
FTB: Franchise Tax Board (CA)
HUD: Housing & Urban Develop. (US)
PC: Penal Code (CA)
USC: United States Code (US)
B&P: Business & Professions Code (CA)
CCP: Code of Civil Procedure (CA)
CFR: Code of Federal Regulations (US)
FA: Food & Agriculture Code
GC: Government Code (CA)
LC: Labor Code (CA)
R&T: Revenue & Taxation Code (CA)
VC: Vehicle Code (CA)
CBC: California Building Code
CCR: California Code of Regulations (CA)
EC: Elections Code (CA)
FC: Family Code (CA)
H&S: Health & Safety Code (CA)
Ops. Cal. Atty. Gen..: Attorney General Opinions (CA)
UFC: Uniform Fire Code
W&I: Welfare & Institutions Code (CA)

RECORDS RETENTION SCHEDULE: FINANCE

Office of Record (OFR)	Retention No.	Records Description	Total Retention	Vital?	Media Options	Image: I=Import M=Mfr S=Scan	Destroy Paper after Imaged & QC'd?	Comments / Reference
If the record is not listed here, refer to the Retention for District-Wide Standards.								
Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.								
HOLDS: Litigation, complaints, claims, pending public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).								
FINANCE ADMINISTRATION / GENERAL ACCOUNTING								
Finance / General Accounting +21:21C86: 206:236:24 6:23C86:20 6:246:256:2 46:25C86:6 :26	FN-001	Audit Annual Reports / Audited Financial Statements / Comprehensive Annual Financial Report (CAFR) with Audit Management Letters / Audit Reports	P		Mag, OD, Ppr	S/ I	Yes: After QC & OD	Department Preference; GC §60201 et seq.
Finance / General Accounting	FN-002	Audit Work Papers (Finals) Includes Depreciation Schedules	5 years		Mag, Ppr			Department Preference; GC §60201
Finance / General Accounting	FN-003	Audits - Single Audits	5 years		Mag, Ppr			Department Preference; Meets municipal government auditing standards; GC §60201
Finance / General Accounting	FN-004	Bank Statements / Checking Account Reconciliation / Fiscal Agent Statements, Trustee Statements, Investment Account Statements, etc.	5 years		Mag, Ppr			Department Preference; Meets municipal government auditing standards; GC §60201
Finance / General Accounting	FN-005	Bond Registers	Fully Defeased + 10 years	Yes: Until Maturity	Mag, OD, Ppr	S / I	No	Statute of Limitations for bonds, mortgages, trust deeds, notes or debentures is 6 years; Bonds issued by local governments are 10 years; There are specific requirements for disposal of unused bonds; CCP §§336 et seq., 337.5(a); 26 CFR 1.6001-1(e): GC §43900 et seq.
Finance / General Accounting	FN-006	Bonds / Certificates of Participation / Transcripts / Disclosure Reports / Continuing Disclosure Reports	Fully Defeased + 10 years	Yes: Until Maturity	Mag, OD, Ppr	S / I	No	Department Preference; Statute of Limitations for bonds, mortgages, trust deeds, notes or debentures is 6 years; Bonds issued by local governments are 10 years; There are specific requirements for disposal of unused bonds; CCP §§336(a)(1) & (2), 337.5(2); GC §43900 et seq. GC §60201 et seq.
Board Admin.	FN-007	Budgets: Adopted	P	Yes: Current Fiscal Year	Mag, OD, Ppr	S/ I	Yes: After QC & OD	Department preference; GC §60200

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HOLDS: Litigation, complaints, claims, pending public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).								
Local Resources & Finance / General Accounting	FN-008	Budgets: Proposed, Work Papers, Drafts, etc.	When No Longer Required		Mag, Ppr			Department Preference; Preliminary drafts; GC §60200
Finance / General Accounting	FN-009	Budgets: Proposed, Work Papers, Drafts, etc.	5 years		Mag, Ppr			Department Preference; Meets municipal government auditing standards; GC §60201
Finance / General Accounting	FN-010	Equipment Inventory	When No Longer Required		Mag, Ppr			Preliminary drafts (the Financial Database is the original); GC §60200
Finance / General Accounting	FN-011	Financial Reports: Journals, Ledgers, General Ledger, Reconciliations, Registers, Reports, Transaction Histories, Balance Sheets, Budget Adjustments, Billing Registers for New Financial System, Edit Lists, (**MONTHLY OR PERIODIC**) Does NOT include year-end General Ledger.	When No Longer Required		Mag, Ppr			Draft / Preliminary documents used to produce final year-end general ledger (financial database is the original); GC §60201
Finance / General Accounting	FN-012	Financial System **Database** / ERP Database (MOMS)	Indefinite		Mag			Data is interrelated; system qualifies as a "trusted system"; GC §§60201, 12168.7
Finance / General Accounting	FN-013	Fixed Assets Files (Copies of Invoices, etc.)	5 years	Yes: Until Maturity	Mag, OD, Ppr	S / I	No	Department Preference; CCP §§336(a)(1) & (2), 337.5(2); GC §43900 et seq. GC §60201 et seq.
Finance / General Accounting	FN-014	Fund Transfers / Wire Transfers / Adjustments	5 years		Mag, Ppr			Department Preference; Meets municipal government auditing standards; GC §60201
Finance / General Accounting	FN-015	Investment Files	5 years	Yes: Until Maturity	Mag, Ppr			Department Preference; GC §60201
Finance / General Accounting	FN-016	Investments: LAIF (Local Agency Investment Fund, all other types of investments	5 years	Yes: Until Maturity	Mag, Ppr			Department Preference; GC §60201
Finance / General Accounting	FN-017	Journal Vouchers / Journal Entries	5 years		Mag, Ppr			Department Preference; Statute of Limitations is 4 years; GC §60201, CCP §337

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HOLDS: Litigation, complaints, claims, pending public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).								
Finance / General Accounting	FN-018	Organization Charts - In Budgets and CAFRs	P		Mag, OD, Ppr	S/ I	Yes: After QC & OD	GC §60201 et seq.
Finance / General Accounting	FN-019	Rate Studies	10 years		Mag, Ppr			Department Preference (consistent with audit work papers); GC §60201
Finance / General Accounting	FN-020	RFID Applications (Application and Receipt for RFID) / Gate RFID Applications	5 years		Mag, Ppr			Department Preference; Meets municipal government auditing standards; GC §60201
Finance / General Accounting	FN-021	SB 90 / Mandated Cost Reimbursement Claims	5 years	Yes: Until Maturity	Mag, Ppr			Department Preference; GC §60201
Finance / General Accounting	FN-022	State Reports: State Controllers Report / Local Government Compensation Report, Public Self Insurer Report (SIP Report), etc.	5 years		Mag, Ppr			District Preference; Meets auditing standards; GC §60201

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ACCOUNTS PAYABLE & ACCOUNTS RECEIVABLE								
Finance / Accounts Payable & Receivable	FN-023	1099's 1096's, W-9's	7 years		Mag, Ppr			IRS: 4 years after tax is due or paid (longer for auditing & contractor delinquency); Ca. FTB: 3 years; IRS Reg §31.6001-1(e)(2), R&T §19530, GC §60201(d)(12); 29 USC 436
Finance / Accounts Payable & Receivable	FN-024	Accounts Payable Source Records / Invoices & Receivers / Credit Card Statements / Travel Expense Reimbursement Reports / Petty Cash & Reconciliation / Vehicle Mileage Reimbursement / Purchase Orders	7 years	Yes: Until Paid	Mag, OD, Ppr	S/ I	Yes: After QC & OD	May include records pertaining to independent contractor's compensation, or expense reimbursement; Meets municipal government auditing standards; 40 CFR 122.41(j)(2); WC §13263.2(b) et seq.; GC §60201(d)(12)
Finance / Accounts Payable & Receivable	FN-025	Accounts Receivable / Billing / Utility Billing / Water Production Statements	5 years	Yes: Until Paid	Mag, Ppr			Meets municipal government auditing standards; GC §60201
Finance / Accounts Payable & Receivable	FN-026	Check Copies / Cancelled Checks (retained at bank)	7 years		Mag, Ppr			May contain independent contractor's compensation; Statute of Limitations is 4 years; Meets municipal government auditing standards; GC §60201(d)(12), CCP § 337
Secretary of the Board	FN-027	Check Register / Warrant Register	Copies - When No Longer Required		Mag, Ppr			Presented to the Board in the Board Agenda packet; GC §60200
Finance / Accounts Payable & Receivable	FN-028	Checks deposited to Bank	Follow Bank Instructions		Mag, Ppr			These are bank instruments, and not District records; per bank agreement.
UTILITY BILLING								
Finance / Utility Billing	FN-029	Collections / NSF Checks	5 years	Yes: Until Paid	Mag, Ppr			Meets municipal government auditing standards; GC §60201
Finance / Utility Billing	FN-030	Meter Install Card Index	P	Yes: All	Mag, Ppr			Department preference; GC §60201

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Finance / Utility Billing	FN-031	Property Files: **Permanent** (Encroachments that are Permanent Yellow Tract & Lot Form)	P		Mag, OD, Ppr	S / I	Yes: After QC & OD	Department preference; GC §60201
Finance / Utility Billing	FN-032	Property Files: **Proof of Ownership** - Deeds / Easements of Current Owner	When Superseded		Mag, OD, Ppr	S / I	Yes: After QC & OD	Department preference; GC §60201
Finance / Utility Billing	FN-033	Property Files: **Shut-off Notices, Undeliverable Mail**	When No Longer Required		Mag, OD, Ppr	S / I	Yes: After QC & OD	Preliminary drafts; GC §60201
Finance / Utility Billing	FN-034	Property Files: **Temporary** (Temporary Encroachments for construction purposes, etc.)	1 year		Mag, OD, Ppr	S / I	Yes: After QC & OD	Department preference; GC §60201
Finance / Utility Billing	FN-035	Property Files: **Liens & Releases** - Unpaid Water Bills, etc.	Payment / Release + 1 year	Yes: Until Paid	Mag, Ppr			Liens extends to the property for 10 years, unless released or discharged sooner; GC §26908, R&T §§2928, 3105; GC §60201
Finance / Utility Billing	FN-036	Utility Billing **Database** / ERP Database	Indefinite		Mag			Data is interrelated; system qualifies as a "trusted system"; GC §§60201, 12168.7
Finance / Utility Billing	FN-037	Utility Rebates (Low Flow Toilets, etc.)	5 years	Yes: Until Paid	Mag, Ppr			Meets municipal government auditing standards; GC §60201
PAYROLL								
Finance / Payroll	FN-038	Cancelled Payroll Checks	7 years		Mag, Ppr			GC §60201(d)(12), CCP § 337
Finance / Payroll	FN-039	DE-6 & 941 Forms DE-6 & 941 Forms, DE-7, DE-9 DE-43, W-3, & DE-166, IRS 5500 Forms (Employee Benefit Plans) - Quarterly Payroll Tax Returns	5 years		Mag, Ppr			Department Preference; IRS: 4 years after tax is due or paid (longer for auditing & contractor delinquency); Ca. FTB: 3 years; IRS Reg §31.6001-1(e)(2), 26 CFR §1.6001-1, R&T §19530, GC §60201
Finance / Payroll	FN-040	Garnishments	Fully Satisfied or Separated + 2 years		Mag, Ppr			Department preference; GC §60201 et seq.
Finance / Payroll	FN-041	Payroll Checks	7 years		Mag, Ppr			GC §60201(d)(12), CCP § 337

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If the record is not listed here, refer to the Retention for District-Wide Standards.								
Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.								
HOLDS: Litigation, complaints, claims, pending public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).								
Finance / Payroll	FN-042	Payroll Registers / Bi-Weekly Payroll Reports Includes Deferred Compensation Reports, 401A, etc.	7 years		Mag, Ppr			Department preference (Meets Municipal Government auditing Standards); GC §60201(d)(12)
Finance / Payroll	FN-043	Reports: Vacation / Sick Leave Usage	When No Longer Required		Mag, Ppr			Draft / Preliminary documents (financial database is the original); GC §60201
Finance / Payroll	FN-044	Timesheets / Timecards / Timekeeping Database	7 years		Mag, Ppr			GC §60201(d)(12); 29 CFR 516.5 & 516.6(c); IRS Reg §31.6001-1(e)(2), R&T §19530; LC § 1174(d)
Finance / Payroll	FN-045	W-2's	7 years		Mag, OD, Ppr	S/ I	Yes: After QC & OD	Department preference; IRS: 4 yrs after tax is due or paid; Ca. FTB: 3 years; Articles show 7 years; IRS Reg §31.6001-1(e)(2), R&T §19530; 29CFR 516.5 - 516.6, 29USC 436, GC §60201(d)(12)

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RECORDS RETENTION SCHEDULE LEGEND

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OFR (Office of Record): The department that keeps the original or "record copy." Usually it is the department that originates the record, unless the item is for a Board of Directors meeting (then it is the Board Secretary.)

Records Description: The record series (a group of like records).

Transitory Records not retained in the ordinary course of business, that do NOT have substantive content: Preliminary drafts, notes, or interagency or intra-agency memoranda and records having only transitory value. Examples: Telephone messages, meeting room reservation schedules, logs, source records entered into a computer system that qualifies as a "trusted system", etc.

Non-Record: Documents, studies, books and pamphlets produced by outside agencies, preliminary drafts not retained in the ordinary course of business.

Retention/Disposition:
Active: How long the file remains in the immediate office area (*guideline*)
Inactive: How long the file is in off-site storage, stored on Optical Disk or Microforms (*guideline*)
Total Retention: The total number of years the record will be retained

For file folders containing documents with different retention timeframes, use the document with the longest retention time.
P = Permanent
Indefinite = No fixed or specified retention period; used for databases, because the data fields are interrelated.

Vital? = Those records that are needed for basic operations in the event of a disaster.

Media Options (*guideline*) – the form of the record:
Mag = Computer Magnetic Media (hard drive, disks, tapes, USB Drives, thumb drives, etc.)
Mfr = Microforms (aperture cards, microfilm, microfiche, or jackets)
Ppr = Paper
OD = Optical Disk, CD-r, DVD-r, WORM, or other **media** which **does not allow changes**

Scan / Import (*guideline*):
"S" indicates the record should be scanned into the document imaging system;
"I" indicates the record should be electronically imported into the document imaging system;
"M" indicates the record should be microfilmed

Destroy Paper after Imaged & QC'd: "Yes" indicates the paper version may be destroyed **IF** the document has been imaged (electronically generated, scanned or imported **and** placed on **Unalterable Media – DVD-R, CD-R, or WORM, or microfilmed**), and both the images and indexing Quality Checked ("QC'd"). The electronic record or image must contain all significant details from the original and be an adequate substitute for the original document for all purposes, and other legal mandates apply. Includes all electronic records which are to serve as the Official Record.

Legend for legal citations (§: Section)
CC: Civil Code (CA)
CFC: California Fire Code
EVC: Evidence Code (CA)
FTB: Franchise Tax Board (CA)
HUD: Housing & Urban Develop. (US)
PC: Penal Code (CA)
USC: United States Code (US)
B&P: Business & Professions Code (CA)
CCP: Code of Civil Procedure (CA)
CFR: Code of Federal Regulations (US)
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GC: Government Code (CA)
LC: Labor Code (CA)
R&T: Revenue & Taxation Code (CA)
VC: Vehicle Code (CA)
CBC: California Building Code
CCR: California Code of Regulations (CA)
EC: Elections Code (CA)
FC: Family Code (CA)
H&S: Health & Safety Code (CA)
Ops. Cal. Atty. Gen..: Attorney General Opinions (CA)
UFC: Uniform Fire Code
W&I: Welfare & Institutions Code (CA)

RECORDS RETENTION SCHEDULE: HUMAN RESOURCES

Office of Record (OFR)	Retention No.	Records Description	Total Retention	Vital?	Media Options	Image: I=Import M=Mfr S=Scan	Destroy Paper after Imaged & QC'd?	Comments / Reference
If the record is not listed here, refer to the Retention for District-Wide Standards.								
Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.								
HOLDS: Litigation, complaints, claims, pending public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).								
HUMAN RESOURCES								
Human Resources	HR-001	Affirmative Action Complaints - Department of Fair Employment & Housing (DFEH) or Equal Opportunity Commission (EEOC)	Separation + 3 years		Mag, Ppr			Department preference (same as the Personnel File); All State and Federal laws require retention until final disposition of formal complaint; State requires 2 years after action is taken; 2 CCR 11013(c); GC §§12946, 60201
Human Resources	HR-002	Classification and Compensation Studies / Surveys / Salary Surveys	When No Longer Required		Mag, Ppr			Department Preference; GC §60201
Human Resources	HR-003	District Benefit Contracts & Benefit Plans / Insurance Policies (Health, Dental, Deferred Compensation, Pension, etc.)	Plan Termination + 2 years		Mag, Ppr			EEOC / ADEA (Age) requires 1 year after benefit plan termination; State Law requires 2 years after action; 9 CFR 1627.3(b)(2); 29 USC 1027; 11 CCR 560; 28 CCR 1300.85.1; GC §60201
Human Resources	HR-004	DMV Pull Notices	When Superseded, or Upon Separation of Employee		Mag, Ppr			District preference (DMV record that the District considers a non-record used for reference) GC §60201
Human Resources	HR-005	Drug and Alcohol Testing / D.O.T files (ALL Files - Random, Post-Accident & Reasonable Suspicion Tests, refusals, annual summaries, etc.)	5 years		Mag, Ppr			Department preference; D.O.T. Requires 5 years for positive tests, refusals, annual summaries, etc, 1 year for negative tests; EEOC / FLSA / ADEA (Age) requires 3 years physical examinations; State Law requires 2 years; 229 CFR 1627.3(b)(1)(v), GC §§12946, 60201, 49 CFR 655.71 et seq.; 49 CFR 382.401 et seq. 49 CFR 653.71
Human Resources	HR-006	Employment Verifications	When No Longer Required		Mag, Ppr			Not District records; GC §60201
Human Resources	HR-007	I-9s	Separation + 3 years	Yes: Until Separation	Mag, OD, Ppr	S / I	Yes: After QC & OD	Required for 1 year from termination or 3 years from hiring, whichever is later; EEOC / FLSA / ADEA (Age) requires 3 years for "any other forms of employment inquiry"; State Law requires 2 -3 years; 8 CFR 274a.2; 29 CFR 1627.3(b)(1); GC §§12946, 60201

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Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.								
HOLDS: Litigation, complaints, claims, pending public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).								
Human Resources	HR-008	Job Descriptions	Superseded + 3 years	Yes: Before Superseded	Mag, OD, Ppr	S / I	Yes: After QC & OD	Department Preference; GC §60201
Human Resources	HR-009	Labor Relations / Negotiation Binders	10 years		Mag, Ppr			Department Preference; GC §60201 et seq.
Risk Manage.	HR-010	OSHA Log 200, 300, 300A, 301, etc.	5 years		Mag, Ppr			Department Preference; Calif. Labor Division is required to keep their records 7 years; OSHA requires 5 years; State law requires 2 years; ; 8 CCR §3203(b)(1), 29 CFR 1904.33, OMB 1220-0029, 8 CCR 14300.33;GC §60201 et seq.; LC §6429c
Human Resources	HR-011	Personnel Files - **Medical File** (Includes pre-employment physicals, medical leaves, etc.) Respirator Fit Tests, Pulmonary Tests are retained by Safety & Risk Management	Whichever is Longer: Separation + 30 years, or Termination of Benefits + 5 years, or Death of Employee + 5 years	Yes: Until Separation	Mag, OD, Ppr	S / I	Yes: After QC & OD	Department preference; Files maintained separately; Claims can be made for 30 years for toxic substance exposure; 8 CCR §3204(d)(1) et seq., 8 CCR 5144, 8 CCR 15400.2; 29 CFR 1910.1020(d)(1)(i), GC §§12946, 60201; LC §1198.5
Human Resources	HR-012	Personnel Files - **Official Personnel file** (Includes Application, Awards, Benefit Enrollments, Backgrounds, DMV Reports, Disciplinary Actions, Certifications, Commendations, Disaster Service Workers Oaths, Evaluations, Grievances, Licenses, Personnel Action Forms, Policy acknowledgements, Waiver of responsibility for voluntary activities, Supplemental Life Insurance, 1094, 1095 Forms, W-4s, Limited Term Employment Contracts, etc. - **Excludes** Medical Records)	Separation + 6 years	Yes: Until Separation	Mag, OD, Ppr	S / I	Yes: After QC & OD	Department Preference; statute of limitations for retirement benefits is 6 years from last action; EEOC/FLSA/ADEA (Age) requires 3 years for promotion, demotion, transfer, selection, or discharge; State Law requires 2 -3 years; 29 CFR 1602.14, 1602.31 & 1627.3(b)(ii); GC §§12946, 60201; 29 USC 1113; GC §3105; LC §1198.5
Human Resources	HR-013	Recruitment Database (NeoGov)	3 years		Mag, Ppr			Department preference; Per NeoGov Policy; 29 CFR 1627.3(b)(1), 29 CFR 1602.14 et seq.2 CCR 11013(c); GC §§12946, 60201
Human Resources	HR-014	Recruitment Files / Applications for Employment / **Not Solicited / No Open Position**	When No Longer Required		Mag, Ppr			No open position; not part of hiring practices; GC §§12946, 60201

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HOLDS: Litigation, complaints, claims, pending public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).								
Human Resources	HR-015	Recruitment Files / Applications for Employment / : **Solicited (Not Hired)** (Includes Applications (Unsuccessful), Advertisements, Interview Notes, Job Brochures, Test Data, Rating Sheets, Questions, Eligibility Lists, Reference Checks, etc.)	2 years After Hiring Decision		Mag, Ppr			Department preference; EEOC / FLSA / ADEA (Age) requires 1-3 years; State Law requires 2 - 3 years; 29 CFR 1627.3(b)(1), 29 CFR 1602.14 et seq ., 2 CCR 11013(c); GC §§12946, 60201
Human Resources	HR-016	Training Certificates	5 years		Mag, Ppr			Department preference; Ethics Training is 5 years; Statewide guidelines propose 7 years; Calif. Labor Division is required to keep their OSHA records 7 years; EEOC/FLSA/ADEA (Age) requires 3 years for promotion, demotion, transfer, selection, or discharge; State Law requires 2 -3 years for personnel actions; 8 CCR §3203 et seq., 29 CFR 1602.31; LC §6429(c); GC §§12946, 60201, 53235.2(b), 53237.2(b)
Human Resources	HR-017	Training Database (Target Solutions)	Minimum 5 years		Mag, Ppr			Department preference; Ethics Training is 5 years; Statewide guidelines propose 7 years; Calif. Labor Division is required to keep their OSHA records 7 years; EEOC/FLSA/ADEA (Age) requires 3 years for promotion, demotion, transfer, selection, or discharge; State Law requires 2 -3 years for personnel actions; 8 CCR §3203 et seq., 29 CFR 1602.31; LC §6429(c); GC §§12946, 60201, 53235.2(b), 53237.2(b)
Human Resources	HR-018	Training: **ALL Human Resource COURSE RECORDS / SYLLABUS, AND ROSTER OF ATTENDEES** Includes Harassment Prevention, etc.	5 years		Mag, Ppr			Department preference; Ethics Training is 5 years; Statewide guidelines propose 7 years; Calif. Labor Division is required to keep their OSHA records 7 years; EEOC/FLSA/ADEA (Age) requires 3 years for promotion, demotion, transfer, selection, or discharge; State Law requires 2 -3 years for personnel actions; 8 CCR §3203 et seq., 29 CFR 1602.31; LC §6429(c); GC §§12946, 60201, 53235.2(b), 53237.2(b)

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Human Resources	HR-019	Worker's Compensation Claims Files, including SDS / MSDS, Employee's Training Record, etc.	Whichever is Longer: Separation + 30 years, or Termination of Benefits + 5 years, or Death of Employee + 5 years	Yes: Until Separation	Mag, OD, Ppr	S / I	Yes: After QC & OD	Department preference; Claims can be made for 30 years for toxic substance exposure; 8 CCR 10102; 8 CCR 15400.2, 8 CCR 5144, 8 CCR §3204(d)(1) et seq., 29 CFR 1910.1020, GC §§12946, 60201. CCP §337 et seq.

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CCR: California Code of Regulations (CA)
EC: Elections Code (CA)
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UFC: Uniform Fire Code
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RECORDS RETENTION SCHEDULE: POLICE

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HOLDS: Litigation, complaints, claims, pending public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion								
ADMINISTRATION / GATE OPERATIONS								
Police / Training	PD-001	Background Files - **Successful Applicants**	Separation + 5 years	Yes: Until Separation	Mag, Mfr, OD, Ppr	S	Yes: After Separation + 1 year	Department Preference; EEOC/FLSA/ADEA (Age) requires 3 years for promotion, demotion, transfer, selection, or discharge; State Law requires 2 -3 years; 29 CFR 1672.3(b)(i), 29 CFR 1602.14 et seq.; GC §§12946, 60201; 29 USC 1113
Police / Training	PD-002	Background Files - **Unsuccessful Applicants**	3 years		Mag, Ppr			Department Preference; EEOC/FLSA/ADEA (Age) requires 3 years for promotion, demotion, transfer, selection, or discharge; State Law requires 2 -3 years; 29 CFR 1672.3(b)(i), 29 CFR 1602.14 et seq.; GC §§12946, 60201
Police / Admin.	PD-003	Emergency Response Plan / Risk & Resiliency Assessment / Hazard Mitigation Plan	When Superseded **Minimum 2 years**		Mag, OD, Ppr	S / I	Yes: After QC & OD	Confidential; 42 USC 300i-2(d); GC §60201
Police / Admin.	PD-004	Gate Access Control System Database	When No Longer Required		Mag, Ppr			Preliminary drafts; GC §60201 et seq.
Police / Admin.	PD-005	Internal Affairs Investigations / Complaints: **All**	Final Disposition + 5 years		Mag, Ppr			State requires for at least 5 years for civilian complaints; other State & Federal laws require retention until final disposition of formal complaint; State requires 2 years after action is taken; Statute of Limitations is 4 years for misconduct after the discovery of the offense for misconduct in office; EVC §1045, GC §§12946, 60201, PC §§801.5, 803(c), 832.5, VC §2547
Police / Admin.	PD-006	LiveScan Applications / Fingerprint Applications	When No Longer Required		Mag, Ppr			Department Preference; GC§ 60201 et seq.

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Police / Admin.	PD-007	Policies & Procedures / Lexipol / Operation Directives / General Orders (Department Policies and Procedures)	When Superseded		Mag, Mfr, OD, Ppr	S / I	Yes: After superseded	Department Preference; GC § 60201 et seq.
Police / Admin.	PD-008	Press Releases (Law Enforcement)	2 years		Mag, Ppr			GC §60201 et seq.
Police / Admin.	PD-009	Vacation Checks / Patrol Requests	When No Longer Required		Mag, Ppr			GC §60201 et seq.
Human Resources & Police / Admin.	PD-010	Volunteer Files / VIPS (Volunteers in Police Service)	Separation + 5 years	Yes: Until Separation	Mag, Mfr, OD, Ppr	S	Yes: After Separation + 1 year	Department Preference; GC §§12946, 60201; 29 USC 1113
INVESTIGATIONS								
Police / Investig.	PD-011	Detectives Investigation Files and Arrest Files **(Notes)**	When No Longer Required		Ppr, Mag			GC §60201 et seq.
Police / Investig.	PD-012	Detectives Investigation Files and Arrest Files **(Official Reports)**	Transferred into Record's Crime Report Files		Ppr, Mag			Transfer all Official Reports to Records to be placed in the Crime Report Files.
Police / Investig.	PD-013	Registrants: Arson Registrations: **Adults**	P, or Death of Registrant		Mag, Mfr, OD, Ppr	S/I	Yes: After QC & OD	Department preference; Pursuant to PC §457.1 et seq.; required to register for life; If released from CYA, records are destroyed after age 25 or sealing pursuant to W&I §781; GC §60201.7
Police / Investig.	PD-014	Registrants: Arson Registrations: **Juveniles** released from California Youth Authority	Age 25 or Sealing Date + 5 years		Mag, Ppr			Pursuant to PC §457.1 et seq.; If released from CYA, records are destroyed after age 25 or sealing pursuant to W&I §781; GC §60201.7

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RECORDS RETENTION SCHEDULE: POLICE

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Police / Investig.	PD-015	Registrants: Sex Offender Registrations: **Adults**	P, or Death of Registrant		Mag, Mfr, OD, Ppr	S/I	Yes: After QC & OD	Department Preference; After 2021, Offenders can petition Court for removal 10 or 20 years after offense, provided there are no subsequent offenses; Pursuant to PC §290 et seq.
Police / Investig.	PD-016	Registrants: Sex Offender Registrations: **Juveniles**	P or Sealing Date + 5 years (or Court Order), or Death of Registrant		Mag, Ppr			Department Preference; After 2021, Offenders can petition Court for removal 10 or 20 years after offense, provided there are no subsequent offenses; Pursuant to PC §290 et seq.
PATROL								
Police / Patrol	PD-017	Officer Recordings: Body-Worn Cameras – **LOGS of Access or Deletion of Data**	When No Longer Required		Mag,			Department Policy; PC§ 832.18(b)(5)(E); GC §60201.6 et seq.
Police / Patrol	PD-018	Officer Recordings: Body-Worn Cameras - that **ARE evidence, Officer Involved Shootings / Detention or Arrest / Complaints**	Follows retention for Evidence		Mag,			Department Policy; PC§ 832.18(b)(5)(B)&(C); GC §60201.6 et seq.
Police / Patrol	PD-019	Officer Recordings: Body-Worn Cameras - that are **NOT evidence**	When No Longer Required		Mag,			Department Policy; Department preference (law recommends 90 days); PC§ 832.18(b)(5)(A); GC §60201.6 et seq.
Police / Patrol	PD-020	Traffic Control: Radar Calibration Records	Life of the Equipment		Mag, Ppr			Department preference; GC §60201 et seq.
Police / Patrol	PD-021	Traffic Control: Radar Trailer Surveys, etc.	When No Longer Required - **Minimum 2 years**		Mag, Ppr			GC §60201 et seq.

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PROPERTY AND EVIDENCE								
Police / Property & Evidence	PD-022	Crime Report Photos	Follows the Retention of the Evidence		Mag, Mfr, OD, Ppr	S / I	Yes: After 1 year	Department Preference; GC §60201
Police / Property & Evidence	PD-023	Gun and Narcotics Destruction Log (Documents related to)	2 years		Mag, Ppr			Department Preference; GC §60201
Police / Property & Evidence	PD-024	Property & Evidence Database	Indefinite		Mag, Ppr			Department Preference (data is interrelated); GC §60201
Police / Property & Evidence	PD-025	Property & Evidence Logs	2 years		Mag, Ppr			GC §60201
RECORDS								
Police / Records	PD-026	Citation Log Books (#s / ranges) - Parking, Traffic	2 years		Mag, Ppr			GC §60201 et seq.
Police / Records	PD-027	Citations (Parking, Traffic, Marijuana / Cannabis). Includes requests for dismissals, cancellations, and appeals.	2 years		Mag, Ppr			GC §60201 et seq.
Police / Records	PD-028	CRIME REPORTS / SEALED RECORDS: **Sealed Juvenile and Ward Cases** - Except those with Child Abuse or Severe Neglect, (Substantiated), outstanding stolen property, including firearms, or lost firearms	Sealing Date + 5 years (or Court Order)	Yes: Before Disposition	Mag, Mfr, OD, Ppr	S/M/I	Yes: After 1 year	Statute of Limitations runs up to age of majority + 8 years; sealed records for juveniles and wards of the Court must be destroyed 5 years after sealing date; CCP §§340.1, GC §60201; W&I §§389(a), 781(d)
Police / Records	PD-029	CRIME REPORTS: Lost Property: **Firearms** entered into CLETS (if not Permanent Retention)	Until Found or Recovered	Yes	Mag, Mfr, OD, Ppr	S/M/I	Yes: After 1 year	Department Preference to facilitate Three Strikes law and ease of document imaging administration; PC§ 11108.2(b); GC §60201

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HOLDS: Litigation, complaints, claims, pending public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion								
Police / Records	PD-030	CRIME REPORTS: **ALL Capital Crimes, Homicide, Juvenile, Child Abuse (substantiated), Elder Abuse (substantiated), & Sexual Assault (Rape), and those specifically mentioned in the**	P	Yes	Mag, Mfr, OD, Ppr	S/M/I	Yes: After 1 year	Department Preference; DOJ retains CACI (Child Abuse Central Index) information for adults 100 years; Most have no limitations on commencement of action; PC §§ 261, 286, 288, 288a, 288.5, 289, 289.5, and 799; 803(h), 11169 et seq.; 11170(a); WIC 707(b)
Police / Records	PD-031	CRIME REPORTS: Child Abuse or Neglect Investigation Reports - **Unsubstantiated or Inconclusive**	No Further Report on Suspected Abuser + 10 years		Mag, Mfr, OD, Ppr	S/M/I	Yes: After 1 year	PC §§11169(c),11170(a)(3)
Police / Records	PD-032	CRIME REPORTS: **Except those specifically mentioned in the schedule**	10 years	Yes	Mag, Mfr, OD, Ppr	S/M/I	Yes: After 1 year	Department Preference; Provided there are no outstanding warrants, unrecovered identifiable items, criminal deaths, they are not historically significant, and it is not classified under PC §800 & 290; Stat. of Limit. is 2 yrs; Destroy juvenile marijuana after age18; H&S §11361.5, GC §60201, PC §802, PC §§187, 800 et seq.
Police / Records	PD-033	CRIME REPORTS: **Misdemeanor or Infraction - Adult Marijuana / Cannabis** - H&S §11357(b)(c)(d)(e) or H&S §11360(b) (with procedure in H&S §11361.5) - Except those with outstanding stolen property, including firearms, or lost firearms	Conviction or Arrest (If No Conviction) + 2 years	Yes: Before Disposition	Mag, Mfr, OD, Ppr	S/M/I	Yes: After 1 year	(Courts and other Agencies "Shall" destroy); H&S§ 11361.5 et seq.
Police / Records	PD-034	CRIME REPORTS: **Misdemeanor or Infraction - Juvenile Marijuana / Cannabis** - H&S §11357(E) - Except those with outstanding stolen property, including firearms, or lost firearms	2 years or Juvenile 18 years old	Yes: Before Disposition	Mag, Mfr, OD, Ppr	S/M/I	Yes: After 1 year	If no subsequent conviction ("Shall" Destroy); H&S §11361.5

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RECORDS RETENTION SCHEDULE: POLICE

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HOLDS: Litigation, complaints, claims, pending public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion								
Police / Records	PD-035	CRIME REPORTS: **Missing Persons**	10 years	Yes: Before Disposition	Mag, Mfr, OD, Ppr	S/M/I	Yes: After 1 year	Department Preference; GC §60201
Police / Records	PD-036	CRIME REPORTS: **Factually Innocent Petition Accepted Records** Sealed Pending Destruction - Except those with outstanding stolen property, including firearms, or lost firearms	Date of Arrest + 3 years	Yes: Before Disposition	Mag, Mfr, OD, Ppr	S/M/I	Yes: After 1 year	Individual petitions District Attorney; Sheriff concurs that person is factually innocent, then seals record ("Shall" Destroy); GC §60201; PC §851.8(a)
Police / Records	PD-037	CRIME REPORTS: **Misdemeanor or Infraction Marijuana / Cannabis** §11357(de) - **Juvenile on School Grounds during School Hours** (with procedure in H&S §11361.5)	Offender is 18 Years Old	Yes: Before Disposition	Mag, Mfr, OD, Ppr	S/M/I	Yes: After 1 year	(Courts and other Agencies "Shall" destroy); H&S§ 11361.5 et seq., 11357(e)
Police / Records	PD-038	Hearings / Hearing Officer Determinations (Parking, Tows, etc.)	2 years		Mag, Ppr			GC §60201
Police / Records	PD-039	Order after Hearing (Restraining Order, Emergency Protective Orders (EPO), Temporary Restraining Orders (TRO))	Expiration + 2 years		Mag, Mfr, OD, Ppr	S/I	Yes: After QC & OD	GC §60201 et seq.
Police / Records	PD-040	Patrol Ride A-Long Waiver Form	2 years		Mag, Ppr			GC §60201 et seq.
Police / Records	PD-041	RMS **Database**	Indefinite	Yes	Mag			Data Fields / Records are interrelated; GC §60201
Police / Records	PD-042	Subpoenas (Police)	When No Longer Required		Mag, Mfr, OD, Ppr	S/I	Yes: After QC & OD	GC §60201
Police / Records	PD-043	Traffic Collisions / Accident Reports	10 years		Mag, Mfr, OD, Ppr	S/I	Yes: After QC & OD	Department Preference (Fatal collisions are retained by CHP for 5 years); GC §60201
Police / Records	PD-044	Warrants: Served, Recalled, Parking, Traffic - ALL	2 years		Mag, Mfr, OD, Ppr	S/I	Yes: After QC & OD	GC §60201

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TRAINING								
Police / Training	PD-045	Personnel Training File - **Officer Training - BY EMPLOYEE (Includes POST printouts)** Includes Range Qualifications, Retiree Fire Arson Qualifications	Separation + 5 years		Mag, Ppr			Department preference (is placed into the Employee File); OSHA requires safety training 5 years; EEOC/FLSA/ADEA (Age) requires 3 years for promotion, demotion, transfer, selection, or discharge; State Law requires 2 -3 years; 8 CCR §3203 et seq., 29 CFR 1602.31 LC §6429(c); GC §§12946, 60201, 53235.2(b)
Lead Dept.	PD-046	Training - **Department Training Records - COURSE RECORDS** (Attendance Rosters, Outlines and Materials; includes Use of Force training, safety training, etc.)	Minimum 5 years		Mag, Ppr			Rosters are sent to POST; OSHA requires safety training 5 years; EEOC/FLSA/ADEA (Age) requires 3 years for promotion, demotion, transfer, selection, or discharge; State Law requires 2 -3 years; 8 CCR §3203 et seq., 29 CFR 1602.31 , LC §6429(c); GC §§12946, 60201, 53235.2(b)

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RECORDS RETENTION SCHEDULE LEGEND

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OFR (Office of Record): The department that keeps the original or "record copy." Usually it is the department that originates the record, unless the item is for a Board of Directors meeting (then it is the Board Secretary.)

Records Description: The record series (a group of like records).

Transitory Records not retained in the ordinary course of business, that do NOT have substantive content: Preliminary drafts, notes, or interagency or intra-agency memoranda and records having only transitory value. Examples: Telephone messages, meeting room reservation schedules, logs, source records entered into a computer system that qualifies as a "trusted system", etc.

Non-Record: Documents, studies, books and pamphlets produced by outside agencies, preliminary drafts not retained in the ordinary course of business.

Retention/Disposition:
Active: How long the file remains in the immediate office area (*guideline*)
Inactive: How long the file is in off-site storage, stored on Optical Disk or Microforms (*guideline*)
Total Retention: The total number of years the record will be retained

For file folders containing documents with different retention timeframes, use the document with the longest retention time.
P = Permanent
Indefinite = No fixed or specified retention period; used for databases, because the data fields are interrelated.

Vital? = Those records that are needed for basic operations in the event of a disaster.

Media Options (*guideline*) – the form of the record:
Mag = Computer Magnetic Media (hard drive, disks, tapes, USB Drives, thumb drives, etc.)
Mfr = Microforms (aperture cards, microfilm, microfiche, or jackets)
Ppr = Paper
OD = Optical Disk, CD-r, DVD-r, WORM, or other **media** which **does not allow changes**

Scan / Import (*guideline*)**:**
"S" indicates the record should be scanned into the document imaging system;
"I" indicates the record should be electronically imported into the document imaging system;
"M" indicates the record should be microfilmed

Destroy Paper after Imaged & QC'd / Trustworthy Electronic Record: "Yes" indicates the paper version may be destroyed **IF** the document has been imaged (electronically generated, scanned or imported **and** placed on **Unalterable Media – DVD-R, CD-R, or WORM, or microfilmed**), and both the images and indexing Quality Checked ("QC'd"). The electronic record or image must contain all significant details from the original and be an adequate substitute for the original document for all purposes, and other legal mandates apply. Includes all electronic records which are to serve as the Official Record.

Legend for legal citations (§: Section)
CC: Civil Code (CA)
CFC: California Fire Code
EVC: Evidence Code (CA)
FTB: Franchise Tax Board (CA)
HUD: Housing & Urban Develop. (US)
PC: Penal Code (CA)
USC: United States Code (US)
B&P: Business & Professions Code (CA)
CCP: Code of Civil Procedure (CA)
CFR: Code of Federal Regulations (US)
FA: Food & Agriculture Code
GC: Government Code (CA)
LC: Labor Code (CA)
R&T: Revenue & Taxation Code (CA)
VC: Vehicle Code (CA)
CBC: California Building Code
CCR: California Code of Regulations (CA)
EC: Elections Code (CA)
FC: Family Code (CA)
H&S: Health & Safety Code (CA)
Ops. Cal. Atty. Gen..: Attorney General Opinions (CA)
UFC: Uniform Fire Code
W&I: Welfare & Institutions Code (CA)

RECORDS RETENTION SCHEDULE: PUBLIC WORKS
(General Services, Roads, Solid Waste, Wastewater, Water)

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ENGINEERING / CAPITAL PROJECTS								
Secretary of the Board	PW-001	Acquisitions / Sale, Real Property owned by the District Final Deeds, Easements, Right-of-Ways, and Encroachments are retained by Board Administration	P		Mag, OD, Ppr	S/I	Yes: After QC & OD	Department Preference; GC §60201
Public Works / Engineering	PW-002	Capital Improvement Projects (CIP): **Large Format Drawings** Design Drawings (finals), Record Drawings ("As Builts")	P	Yes: Until Completed	Mag, OD, Ppr	S	Yes: After QC & OD	For Disaster Recovery Purposes; Final environmental determinations are required to be kept a "reasonable period of time"; 14 CCR §15095(c); GC §60201 et seq.
Public Works / Engineering	PW-003	Capital Improvement Projects (CIP): **Permanent File** Agreement or Contract, Bid Package (Winning Proposal), Change Orders, Consultant Proposals (Successful), CEQA / NEPA / Environmental, Final As-Built Drawings (Record Drawings), Inspection Reports, Material Testing, Permits (Design, Environmental), Preliminary Design Report, Soils, Geotechnical Reports, Specifications, Submittals, Surveys, etc.	P	Yes: Until Completed	Mag, OD, Ppr	S/I	Yes: After QC & OD	Department preference; retained for disaster preparedness purposes; Statewide guidelines propose Permanent for Infrastructure plans; GC §60201
Public Works / Engineering	PW-004	Capital Improvement Projects (CIP): **Administration - 10 year file** Project Administration, Bid Summary, Bonds, Certified Payroll, Grant Documents, Errors & Omissions, Insurance Certificates, Notifications, Progress Payments, Punch Lists, Videos Post-Construction & Pre-Construction, Bid Bonds (returned), Bond Copies of Drawings, Consultant Proposals (Unsuccessful), Correspondence (Transitory / Preliminary Drafts), Engineer's Estimates, Memoranda, NPDES, Permits (Construction & Street Opening), etc.	**Completion + 10 years** or After Funding Agency Audit, if required, whichever is longer	Yes: Until Completed	Mag, Ppr			Some grant funding agencies require audits; Statute of Limitations for Errors & Omissions is 10 years; Published Audit Standards=4-7 years; Statute of Limitations: Contracts & Spec's=4 years, Wrongful Death=comp. + 5 years, Developers=comp. + 10 years; Statewide guidelines propose termination + 5 years; CCP §337 et. seq., GC §60201

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RECORDS RETENTION SCHEDULE: PUBLIC WORKS
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Public Works / Engineering	PW-005	Deeds, Easements, Right of Ways, Encroachment Permits, Real Property - District-Owned Real Property	P		Mag, OD, Ppr	S	No	GC §60201
Public Works / Engineering	PW-006	Permits: Logging / Heavy Load Permits	Expiration + 2 years		Mag, OD, Ppr	S/I	Yes: After QC & OD	Department Preference; GC §60201
Public Works / Engineering	PW-007	Traffic Speed Surveys / Stop Sign Warrants	10 years		Mag Ppr			Department preference (required every 5 years, but can be extended to 7 or 10 years); GC §60201
GENERAL SERVICES (Maintenance)								
Public Works / General Services	PW-008	Aboveground Storage Tank (Agency Owned) **Maintenance, Repairs**	7 years		Mag, OD, Ppr	S	Yes: After QC & OD	Department Preference to be consistent with Underground Storage Tanks (Tier II tanks are required to have an integrity test every 20 years); GC §60201
Public Works / General Services	PW-009	AQCB Permits and Monitoring	5 years		Mag, Ppr			Department Preference; 40 CFR 70.6; GC §60201
Lead Dept.	PW-010	Confined Space Entries / Hot Work Permits (Permitted entries into confined spaces such as sewers and storm drains in order to comply with regulations)	2 years		Mag, Ppr			8 CCR 5157(d)(14) & (e)(6); 29 CFR 1910.146(e)(6) GC §60201
Lead Dept.	PW-011	Daily Safety Checks / Pre-Starts / Commercial Vehicle Prestarts and Forklift Inspections	1 year		Mag, Ppr			Department preference; Not a Motor Carrier; GC §60201
Public Works / General Services	PW-012	Generator Operation Logs (ALL Generators)	5 years		Mag, Ppr			AQMD Rule 1470; Form 400–E–13a instructions, GC §60201
Public Works / General Services	PW-013	Hazardous Materials Manifests / Asbestos Manifests	P	Yes	Mag, OD, Ppr	S / I	Yes: After QC & OD	Department preference (District has "cradle to grave" liability); only 3 years is mandated; 22 CCR 66262.40; GC §60201
Public Works / General Services	PW-014	Manuals: Operations & Maintenance / Project Manuals (O&M Manuals)	Disposal of Equipment	Yes: Until Superseded	Mag, Ppr			Maintain copies as long as the infrastructure is in the field; GC §60201

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Lead Dept.	PW-015	SDS / MSDS **Masters** (Safety Data Sheets / Material Safety Data Sheets) / Chemical Use Report Form (or records of the chemical / substance / agent, where & when it was used) Provided by On-line Subscription	Superseded + 30 years		Mag, OD, Ppr	S	Yes: After QC'd & OD	Provided by on-line service; Previous MSDS may be obtained from a service; MSDS may be destroyed as long as a record of the chemical / substance / agent, where & when it was used is maintained for 30 years; Applies to qualified employers; Claims can be made for 30 years for toxic substance exposures; 8 CCR 3204(d)(1)(B)(2 and 3), 29 CFR 910.1020(d)(1)(ii)(B), GC §60201
Public Works / General Services	PW-016	Solid Waste Transfer Station / Tonnage Reports	10 years		Mag, Ppr			Department Preference for compliance with AB 939; GC § 60201
Lead Dept.	PW-017	Two-Way Radio Licensing and Information	Expiration + 2 years	Yes: Until Expired	Mag, OD, Ppr	S	Yes: After QC'd & OD	Covers statute of limitations for written contracts (4 years); Statewide guidelines propose Permanent; CCP § 337 et. Seq.; GC § 60201
Public Works / General Services	PW-018	Underground Service Alerts (USA's)	3 years		Mag, Ppr			Department Preference (required for 3 years); the warrantee period for work done is usually 5 years, the Statute of Limitations for some work may be up to 10 years; CCP §337 et seq., GC §§4216.2(f) & 4216.3(d), 60201
Public Works / General Services	PW-019	Underground Storage Tanks **Location, Soil Remediation, Monitoring Well Records**	P		Mag, OD, Ppr	S	Yes: After QC & OD	Department Preference (required for the life of the tank); 23 CCR 2712(b), H&S §25284.4(i); GC §60201 et. seq.
Public Works / General Services	PW-020	Vehicle & Equipment Maintenance History	Disposal + 1 year		Mag, OD, Ppr	S	Yes: After QC'd & OD	8 CCR § 3203(b)(1); 49 CFR 396.21(b)(1); 49 CFR 396.3(c); CCP §337 et. seq., 13 CCR 1234(f); GC §60201
Public Works / General Services	PW-021	Vehicles Bit Inspection (CHP Commercial Vehicle Inspection)	3 months		Mag, Ppr			Required for 3 months from the date of the Report; 49 CFR 396.11(c)(2); GC §60201
Division Providing Service / Work	PW-022	Work Orders / Service Requests / Investigations **CMMS DATABASE** (Computerized Maintenance Management System)	Indefinite		Mag			Data is interrelated; GC §60201

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HOLDS: Litigation, complaints, claims, pending public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).								
Division Providing Service / Work	PW-023	Work Orders / Service Requests / Investigations - **All Information Entered in CMMS Database**	When No Longer Required		Mag Ppr			Preliminary drafts (the database is the original); GC §60201
Division Providing Service / Work	PW-024	Work Orders / Service Requests / Investigations - **NOT entered in CMMS Database** (or partial information entered into CMMS Database) (Division providing service retains originals; Division requesting service is considered a copy)	5 years		Mag Ppr			Department Preference; CCP §§340 et seq., 342, GC §60201
ROADS								
Public Works / Roads	PW-025	Daily Safety Checks / Pre-Starts / Commercial Vehicle Prestarts and Forklift Inspections	3 years		Mag, Ppr			Department preference; If a motor carrier, required for 3 and 14 months; 13 CCR 1234(e); 49 CFR 396.11(c)(2); 49 CFR 396.21(b)(1); GC §60201
Public Works / Roads	PW-026	Generator Operation Logs (ALL Generators)	5 years		Mag, Ppr			AQMD Rule 1470; Form 400–E–13a instructions, GC §60201
Public Works / Roads	PW-027	Manuals: Operations & Maintenance / Project Manuals (O&M Manuals)	Disposal of Equipment	Yes: Until Superseded	Mag, Ppr			Maintain copies as long as the infrastructure is in the field; GC §60201
Lead Dept.	PW-028	SDS / MSDS **Masters** (Safety Data Sheets / Material Safety Data Sheets) / Chemical Use Report Form (or records of the chemical / substance / agent, where & when it was used) Provided by On-line Subscription	Superseded + 30 years		Mag, OD, Ppr	S	Yes: After QC'd & OD	Provided by on-line service; Previous MSDS may be obtained from a service; MSDS may be destroyed as long as a record of the chemical / substance / agent, where & when it was used is maintained for 30 years; Applies to qualified employers; Claims can be made for 30 years for toxic substance exposures; 8 CCR 3204(d)(1)(B)(2 and 3), 29 CFR 910.1020(d)(1)(ii)(B), GC §60201
Public Works / Roads	PW-029	Temporary Encroachments / Traffic Barriers	2 years		Mag, Ppr			Department preference; GC §60201
Public Works / Roads	PW-030	Traffic Counts	10 years		Mag Ppr			Department preference; GC §60201

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Public Works / Roads	PW-031	Underground Service Alerts (USA's)	3 years		Mag, Ppr			Department Preference (required for 3 years); the warrantee period for work done is usually 5 years, the Statute of Limitations for some work may be up to 10 years; CCP §337 et seq., GC §§4216.2(f) & 4216.3(d), 60201
Division Providing Service / Work	PW-032	Work Orders / Service Requests / Investigations **CMMS DATABASE** (Computerized Maintenance Management System)	Indefinite		Mag			Data is interrelated; GC §60201
Division Providing Service / Work	PW-033	Work Orders / Service Requests / Investigations - **All Information Entered in CMMS Database**	When No Longer Required		Mag Ppr			Preliminary drafts (the database is the original); GC §60201
Division Providing Service / Work	PW-034	Work Orders / Service Requests / Investigations - **NOT entered in CMMS Database** (or partial information entered into CMMS Database) (Division providing service retains originals; Division requesting service is considered a copy)	5 years		Mag Ppr			Department Preference; CCP §§340 et seq., 342, GC §60201
SOLID WASTE								
Public Works / Solid Waste	PW-035	Solid Waste Transfer Station / Tonnage Reports	10 years		Mag, Ppr			Department Preference for compliance with AB 939; GC § 60201
WASTEWATER								
Public Works / Wastewater	PW-036	CCTV Videos of Sewer Lines	10 years		Mag, Ppr			Department preference; GC §60201
Lead Dept.	PW-037	Confined Space Entries / Hot Work Permits	3 years		Mag, Ppr			Department preference (Policy #6); CCR 5157(d)(14) & (e)(6); 29 CFR 1910.146(e)(6) GC §60201
Public Works / Wastewater	PW-038	Dailies / Plant Diaries / Meters, etc.	5 years		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	Department preference; GC §60201
Public Works / Wastewater	PW-039	FOG (Fats, Oil & Grease) Inspections / Pretreatment Annual & Quarterly Reports	3 years		Mag, Ppr			Department preference; Monitoring records required for 3 years; 40 CFR §§122.21, 122.41; 40 CFR 403.12

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Public Works / Wastewater	PW-040	Lab Reports & Chains of Custody: / Sampling - **Wastewater**	5 years		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	Department preference; GC §60201
Public Works / Wastewater	PW-041	NPDES Monitoring for Wastewater Treatment Plant	3 years		Mag, Mfr, OD, Ppr	S	No	Monitoring records required for 3 years; 40 CFR §§122.21, 122.41; 122.44; GC §60201 et. seq.
Public Works / Wastewater	PW-042	NPDES Permits for Wastewater Treatment Plant	Superseded + 3 years		Mag, Mfr, OD, Ppr	S	No	Department Preference; Monitoring records required for 3 years; 40 CFR §§122.21, 122.41; 122.44; GC §60201 et. seq.
Lead Dept.	PW-043	Regulatory Reports	Minimum 10 years		Mag, Ppr			Department preference; GC §60201
Public Works / Wastewater	PW-044	Respirator Inventory & Maintenance / SCBA (Self Contained Breathing Apparatus)	2 years		Mag, Ppr			Department preference; GC §60201
Public Works / Wastewater	PW-045	Sanitary Spills and Overflows (SSOs)	5 years		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	Required for a minimum of 5 years; 40 CFR 122.41(j)(2); SWRCB Order 2006-03; 40 CFR 122.41(j)(2); GC §60201
Public Works / Wastewater	PW-046	Sanitary Survey of Sewer System	3 years		Mag, OD, Ppr	S	Yes: After 1 year	Department preference (performed every 3 years); GC §60201
Public Works / Wastewater	PW-047	SCADA Alarm & Status Printouts / Charts - Wastewater	When No Longer Required		Mag, Ppr			Database is original, printouts are drafts / copies. Data is interrelated; system qualifies as a "trusted system"; GC §§60200, 12168.7
Public Works / Wastewater	PW-048	SCADA Database (Supervisory Control and Data Acquisition) - Wastewater	Indefinite	Yes	Mag, Ppr			Department preference; Data is interrelated; system qualifies as a "trusted system"; GC §§60201, 12168.7
Lead Dept.	PW-049	SDS / MSDS **Masters** (Safety Data Sheets / Material Safety Data Sheets) / Chemical Use Report Form (or records of the chemical / substance / agent, where & when it was used) Provided by On-line Subscription	Superseded + 30 years		Mag, OD, Ppr	S	Yes: After QC'd & OD	Provided by on-line service; Previous MSDS may be obtained from a service; MSDS may be destroyed as long as a record of the chemical / substance / agent, where & when it was used is maintained for 30 years; Applies to qualified employers; Claims can be made for 30 years for toxic substance exposures; 8 CCR 3204(d)(1)(B)(2 and 3), 29 CFR 910.1020(d)(1)(ii)(B), GC §60201

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RECORDS RETENTION SCHEDULE: PUBLIC WORKS
(General Services, Roads, Solid Waste, Wastewater, Water)

Office of Record (OFR)	Retention No.	Records Description	Total Retention	Vital?	Media Options	Image: I=Import M=Mfr S=Scan	Destroy Paper after Imaged & QC'd?	Comments / Reference
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Public Works / Wastewater	PW-050	Sewage Sludge Handling Logs and Weigh Tickets (Blockages)	5 years		Mag, OD, Ppr	S	Yes: After 1 year	Code of Federal Regulations requires 5 years; 40 CFR 503.17; 40 CFR 122.41(j)(2); GC §60201
Public Works / Wastewater	PW-051	Sewer System Management Plans (SSMP) and Audits / Sanitary Spills Overflow Prevention Plan (SSOPP) and Sanitary Sewer Overflow Response Plan	Superseded + 5 years		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	Department preference; SSOs are required for a minimum of 5 years; 40 CFR 122.41(j)(2); SWRCB Order 2006-03; GC §60201
Lead Dept.	PW-052	Underground Service Alerts (USA's)	3 years		Mag, Ppr			Required for 3 years; GC §§4216.2(f) & 4216.3(d); GC §60201
Division Providing Service / Work	PW-053	Work Orders / Service Requests - **CRM / CMMS DATABASE** (Computerized Maintenance Management System)	Indefinite		Mag			Data is interrelated; GC §60201
Division Providing Service / Work	PW-054	Work Orders / Service Requests - **All Information Entered in CRM / CMMS Database** (Paper drafts)	When No Longer Required		Mag Ppr			Preliminary drafts (the database is the original); GC §60201
Division Providing Service / Work	PW-055	Work Orders / Service Requests / "Dailies"- **NOT entered in CRM / CMMS Database** (or partial information entered into CMMS Database) (Division providing service retains originals; Division requesting service is considered a copy)	5 years		Mag Ppr			District Preference; CCP §§338 et seq., 340 et seq., 342, GC §, GC §60201
WATER (Potable Water)								
Public Works / Water	PW-056	Backflow Testing / Cross Connection	5 years		Mag, Ppr			Department Preference; Meets California Department of Health requirements; GC §60201; 17 CCR 7605(f); GC §60201
Public Works / Water	PW-057	Calibration Records - Water Distribution	5 years		Mag, Ppr			Department preference; GC §60201
Public Works / Water	PW-058	Confined Space Entries / Hot Work Permits (Permitted entries into confined spaces such as sewers and storm drains in order to comply with regulations)	2 years		Mag, Ppr			8 CCR 5157(d)(14) & (e)(6); 29 CFR 1910.146(e)(6) GC §60201

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Public Works / Water	PW-059	Daily Safety Checks / Pre-Starts / Commercial Vehicle Prestarts and Forklift Inspections	3 years		Mag, Ppr			Department preference; If a motor carrier, required for 3 and 14 months; 13 CCR 1234(e); 49 CFR 396.11(c)(2); 49 CFR 396.21(b)(1); GC §60201
Public Works / Water	PW-060	Diaries, Daily Diaries **(NOT Wells)**	10 years		Mag, Ppr			Department preference; GC §60201
Public Works / Water	PW-061	Diaries, Daily Diaries **(Wells ONLY)**	P		Mag, Ppr			Department preference; GC §60201
Public Works / Water	PW-062	Flow Meter Reading	5 years		Mag, Ppr			Department preference; GC §60201
Public Works / Water	PW-063	Incidents / Unauthorized Discharges: Pipeline Breaks, Spills, Investigations and Corrective Actions, Notice to Comply	Last Action + 5 years	Yes: Before Resolution	Mag, Ppr			Department Preference; Code of Federal Regulations requires 3 years; 40 CFR 122.41(j)(2) & 40 CFR 141.33(b)(2); 22 CCR §64470
Public Works / Water	PW-064	Lab Reports & Chains of Custody: **Bacteriological and Organics**	Minimum 5 years		Mag, Mfr, OD, Ppr	S / I	Yes - After QC & OD	Department Preference; 40 CFR 141.33(a) and (b)(1); 22 CCR §64470
Public Works / Water	PW-065	Lab Reports & Chains of Custody: **Chemical** (Includes Chlorine Residuals)	Minimum 10 years		Mag, Mfr, OD, Ppr	S / I	Yes - After QC & OD	Department preference; State law requires 12 years, Federal 10 years; 40 CFR 141.33(a); 22 CCR §64692
Public Works / Water	PW-066	Lab Reports & Chains of Custody: **Lead & Copper**	Minimum 12 years		Mag, Mfr, OD, Ppr	S / I	Yes - After QC & OD	Required for 12 years or 2 compliance cycles; 22 CCR 64400.25; 22 CCR §64470, 40 CFR 141.33(a); 40 CFR 141.91
Public Works / Water	PW-067	Manuals: Operations & Maintenance / Project Manuals (O&M Manuals)	Disposal of Equipment	Yes: Until Superseded	Mag, Ppr			Maintain copies as long as the infrastructure is in the field; GC §60201
Public Works / Water	PW-068	Operating Permits (RQCB, RWQCB, Title 22, etc.)	P		Mag, Ppr			Department Preference; GC §60201
Public Works / Water	PW-069	Regulatory Agency Reports / Compliance Reports **FOR WATER QUALITY / PUBLIC HEALTH - Annual, Monthly and Quarterly Reports**	10 years		Mag, OD, Ppr	S	Yes: After QC & OD	Department preference; Hazmat discharge records are required for 3-5 years; 40 CFR 122.411(j)(2)
Public Works / Water	PW-070	Sanitary Surveys of Drinking Water Systems	10 years		Mag, Ppr			22 CCR §64470; 40 CFR 141.33(c); GC §60201

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Public Works / Water	PW-071	SCADA Alarm & Status Printouts / Charts - Water	When No Longer Required		Mag, Ppr			Database is original, printouts are drafts / copies. Data is interrelated; system qualifies as a "trusted system"; GC §§60200, 12168.7
Public Works / Water	PW-072	SCADA Database (Supervisory Control and Data Acquisition) - Water	Indefinite	Yes	Mag, Ppr			Department preference; Data is interrelated; system qualifies as a "trusted system"; GC §§60201, 12168.7
Lead Dept.	PW-073	SDS / MSDS **Masters** (Safety Data Sheets / Material Safety Data Sheets) / Chemical Use Report Form (or records of the chemical / substance / agent, where & when it was used) Provided by On-line Subscription	Superseded + 30 years		Mag, OD, Ppr	S	Yes: After QC'd & OD	Provided by on-line service; Previous MSDS may be obtained from a service; MSDS may be destroyed as long as a record of the chemical / substance / agent, where & when it was used is maintained for 30 years; Applies to qualified employers; Claims can be made for 30 years for toxic substance exposures; 8 CCR 3204(d)(1)(B)(2 and 3), 29 CFR 910.1020(d)(1)(ii)(B), GC §60201
Public Works / Water	PW-074	Tank Maintenance / Water Storage Tanks / Reservoir Maintenance Reports (includes dive and tank inspection reports, other inspection reports, etc.)	P		Mag, OD, Ppr	S	Yes: After QC'd & OD	Some inspection and maintenance is in CMMS Database; GC §60201
Lead Dept.	PW-075	Two-Way Radio Licensing and Information	Expiration + 2 years	Yes: Until Expired	Mag, OD, Ppr	S	Yes: After QC'd & OD	Covers statute of limitations for written contracts (4 years); Statewide guidelines propose Permanent; CCP § 337 et. Seq.; GC § 60201
Public Works / Water	PW-076	UCMR Analytical Reports / Unregulated Drinking Water Contaminant Monitoring Reports to EPA	10 years		Mag			Department preference (2 compliance cycles); GC §§60201
Public Works / Water	PW-077	Unauthorized Discharges: Pipeline Breaks, Spills, Investigations and Corrective Actions, Notice to Comply - **ALL**	Last Action + 5 years		Mag, Ppr			Department Preference; Code of Federal Regulations requires 3 years; 40 CFR 122.41(j)(2) & 40 CFR 141.33(b)(2); 22 CCR §64470
Public Works / Water	PW-078	Underground Service Alerts (USA's)	3 years		Mag, Ppr			Department Preference (required for 3 years); the warrantee period for work done is usually 5 years, the Statute of Limitations for some work may be up to 10 years; CCP §337 et seq., GC §§4216.2(f) & 4216.3(d), 60201

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RECORDS RETENTION SCHEDULE: PUBLIC WORKS
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Public Works / Water	PW-079	Well Groundwater Quality Data	P		Mag, OD, Ppr	S / I	Yes: After QC & OD	Department preference (these are drafts - the final original is the Lab Report); GC §60201
Public Works / Water	PW-080	Wells, Well History, Well Water Quality Reports (Includes abandoned or destroyed wells)	P		Mag, OD, Ppr	S	Yes: After QC & OD	Department preference; GC §60201
Division Providing Service / Work	PW-081	Work Orders / Service Requests / Investigations **CMMS DATABASE** (Computerized Maintenance Management System)	Indefinite		Mag			Data is interrelated; GC §60201
Division Providing Service / Work	PW-082	Work Orders / Service Requests / Investigations - **All Information Entered in CMMS Database**	When No Longer Required		Mag Ppr			Preliminary drafts (the database is the original); GC §60201
Division Providing Service / Work	PW-083	Work Orders / Service Requests / Investigations - **NOT entered in CMMS Database** (or partial information entered into CMMS Database) (Division providing service retains originals; Division requesting service is considered a copy)	5 years		Mag Ppr			Department Preference; CCP §§340 et seq., 342, GC §60201

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RECORDS RETENTION SCHEDULE LEGEND

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OFR (Office of Record): The department that keeps the original or "record copy." Usually it is the department that originates the record, unless the item is for a Board of Directors meeting (then it is the Board Secretary.)

Records Description: The record series (a group of like records).

Transitory Records not retained in the ordinary course of business, that do NOT have substantive content: Preliminary drafts, notes, or interagency or intra-agency memoranda and records having only transitory value. Examples: Telephone messages, meeting room reservation schedules, logs, source records entered into a computer system that qualifies as a "trusted system", etc.

Non-Record: Documents, studies, books and pamphlets produced by outside agencies, preliminary drafts not retained in the ordinary course of business.

Retention/Disposition:
Active: How long the file remains in the immediate office area (*guideline*)
Inactive: How long the file is in off-site storage, stored on Optical Disk or Microforms (*guideline*)
Total Retention: The total number of years the record will be retained

For file folders containing documents with different retention timeframes, use the document with the longest retention time.
P = Permanent
Indefinite = No fixed or specified retention period; used for databases, because the data fields are interrelated.

Vital? = Those records that are needed for basic operations in the event of a disaster.

Media Options (*guideline*) – the form of the record:
Mag = Computer Magnetic Media (hard drive, disks, tapes, USB Drives, thumb drives, etc.)
Mfr = Microforms (aperture cards, microfilm, microfiche, or jackets)
Ppr = Paper
OD = Optical Disk, CD-r, DVD-r, WORM, or other **media** which **does not allow changes**

Scan / Import (*guideline*):
"S" indicates the record should be scanned into the document imaging system;
"I" indicates the record should be electronically imported into the document imaging system;
"M" indicates the record should be microfilmed

Destroy Paper after Imaged & QC'd / Trustworthy Electronic Record: "Yes" indicates the paper version may be destroyed **IF** the document has been imaged (electronically generated, scanned or imported **and** placed on **Unalterable Media – DVD-R, CD-R, or WORM, or microfilmed**), and both the images and indexing Quality Checked ("QC'd"). The electronic record or image must contain all significant details from the original and be an adequate substitute for the original document for all purposes, and other legal mandates apply. Includes all electronic records which are to serve as the Official Record.

Legend for legal citations (§: Section)
CC: Civil Code (CA)
CFC: California Fire Code
EVC: Evidence Code (CA)
FTB: Franchise Tax Board (CA)
HUD: Housing & Urban Develop. (US)
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USC: United States Code (US)
B&P: Business & Professions Code (CA)
CCP: Code of Civil Procedure (CA)
CFR: Code of Federal Regulations (US)
FA: Food & Agriculture Code
GC: Government Code (CA)
LC: Labor Code (CA)
R&T: Revenue & Taxation Code (CA)
VC: Vehicle Code (CA)
CBC: California Building Code
CCR: California Code of Regulations (CA)
EC: Elections Code (CA)
FC: Family Code (CA)
H&S: Health & Safety Code (CA)
Ops. Cal. Atty. Gen..: Attorney General Opinions (CA)
UFC: Uniform Fire Code
W&I: Welfare & Institutions Code (CA)

RECORDS RETENTION SCHEDULE: RISK MANAGEMENT

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RISK MANAGEMENT								
Risk Manage.	RM-001	Claims - Public Injury, Property Damage	Final Resolution + 5 years	Yes: Until Resolution	Mag, Ppr			Department Preference; Covers various statute of limitations; CCP §§ 337 et seq.; GC §§ 911.2, 60201(d)(4)
Risk Manage.	RM-002	Emergency Exercises / Drills / After Action Reports (Annual)	5 years		Mag, Ppr			Department Preference; GC §60201
Risk Manage.	RM-003	Illness and Injury Prevention Program	Minimum of Superseded + 5 years		Mag, Ppr			Department preference; GC §60201
Risk Manage.	RM-004	Insurance Policies - **General Liability, etc.**	P	Yes	Mag, OD, Ppr	S / I	Yes: After QC & OD	Department Preference; Covers various statute of limitations; CCP §§ 337 et seq.; GC §§ 911.2, 60201(d)(4)
Risk Manage.	RM-005	Insurance Policies - **Property, Fire, Theft, etc.**	Expiration + 2 years	Yes: Until Expired	Mag, OD, Ppr	S / I	Yes: After QC & OD	Department Preference; GC §60201
Risk Manage.	RM-006	Insurance Policies - **Workers Compensation Insurance Policy / Plan**	Policy Termination + 10 years	Yes: Before Expiration	Mag, OD, Ppr	S / I	Yes: After QC & OD	Department preference to be consistent with District-wide standards; EEOC / ADEA (Age) requires 1 year after benefit plan termination; State Law requires 2 years after action; 29 CFR 1627.3(b)(2); GC §§12946, 60201
Risk Manage.	RM-007	Loss Runs - State Fund, Workers Compensation, etc.	5 years		Mag, Ppr			Department Preference (actuary wants 10 years of data); GC §60201 et seq.
Risk Manage.	RM-008	OSHA Inspections & Citations	5 years		Mag, Ppr			Department Preference; Calif. Labor Division is required to keep their records 7 years; OSHA requires 5 years; State law requires 2 years; 8 CCR 14300.33(a); 29 CFR 1904.33, 29 CFR 1904.44; GC §60201 et seq.; LC §6429c

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RECORDS RETENTION SCHEDULE: SECRETARY OF THE BOARD

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SECRETARY OF THE BOARD								
Sec. of the Board	SEC-001	Agendas, Agenda Packets, Agenda Staff Reports - District Board of Directors and Committees (C16)	P	Yes: Before Meeting Date	Mag, OD, Ppr	S / I	Yes: After QC & OD	Department preference; GC §60201
Sec. of the Board	SEC-002	Agreements & Contracts - **ALL Approved by the Board of Directors, and / or General Manager** Agreement or Contract, Insurance Certificates & Notices of Completion. Agreement or Contract includes all contractual obligations, Certificates of Insurance, and amendments License Agreements, Leases, Water Rights, MOUs, Public Works Contracts, Purchasing Contracts, etc.	Completion + 10 years	Yes: Before Completion	Mag, OD, Ppr	S / I	Yes: After QC & OD	Department Preference; Statute of Limitations is 4 years; 10 years for Errors & Omissions; CCP §§337. 337.1(a), 337.15, 343; GC §60201 et seq.
Sec. of the Board	SEC-003	Agreements & Contracts: Political & Outside Jurisdictions Conjunctive Agreements, Cooperative Agreements, JPAs (Joint Powers Authorities), Water Supply Agreements	P	Yes: Before Superseded	Mag, OD, Ppr	S / I	Yes: After QC & OD	Copies; §60200 et seq.
Sec. of the Board	SEC-004	Applications to Boards, Commissions or Committees	1 year		Mag, Ppr			Department preference; GC §60201
Sec. of the Board	SEC-005	Board of Directors Appointments / Resignations (Correspondence)	2 years		Mag, Ppr			Department preference; GC §60201
Sec. of the Board	SEC-006	Director's Handbook (Compilation of Approved Policies)	When Superseded		Mag, Ppr			Copies or Drafts (the finals are in the Agenda Packets and Minutes); GC §60201
Sec. of the Board	SEC-007	District Formation Records, Acquisition of other Districts	P		Mag, OD, Ppr	S / I	Yes: After QC & OD	Department preference (historical purposes); GC §60201
Sec. of the Board	SEC-008	Elections: Correspondence, Notifications & Publications, Certificate of Election, etc.	2 years		Mag, Ppr			Department preference (historical purposes); GC §60201
Sec. of the Board	SEC-009	Ethics Training Certificates	5 years		Mag, Ppr			GC §53235.2(b)

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Sec. of the Board	SEC-010	FPPC 700 Series Forms (Statement of Economic Interests): **DESIGNATED EMPLOYEES & CONSULTANTS** (specified in the District's Conflict of Interest code)	7 years		Mag, Ppr			District maintains original statements; GC §81009(e)&(g)
Sec. of the Board	SEC-011	FPPC 700 Series Forms (Statement of Economic Interests): **PUBLIC OFFICIALS** (elected & not elected. Includes District Board Members, General Manager)	7 years		Mag, Ppr			Department preference (only required for 4 years); GC §81009(f)&(g)
Sec. of the Board	SEC-012	FPPC Form 801 (Gift to Agency Report)	7 years		Mag, Ppr			Must post on website; GC §81009(e)
Sec. of the Board	SEC-013	FPPC Form 802 (Tickets Provided by Agency Report)	7 years		Mag, Ppr			Must post on website for 4 years; GC §81009€
Sec. of the Board	SEC-014	FPPC Form 803 (Behested Payment Report)	7 years		Mag, Ppr			GC §81009e
Sec. of the Board	SEC-015	FPPC Form 804 (Agenda Report of New Positions)	P		Mag, Ppr			FPPC Regulation 18734(c); GC §81009e; GC §60201
Sec. of the Board	SEC-016	FPPC Form 805 (Agency Report of Consultants)	P		Mag, Ppr			FPPC Regulation 18734(c); GC §81009e; GC §60201
Sec. of the Board	SEC-017	FPPC Form 806 (Agency Report of Public Official Appointments)	7 years		Mag, Ppr			Must post on website; 2 CCR 18702.5; GC §60201, 81009e
Sec. of the Board	SEC-018	FPPC Lobbyist Authorization / Reporting - FPPC Form 635 / 602	5 years		Mag, Ppr			2 CCR 18615(d); GC §60201
Sec. of the Board	SEC-019	Historical Records	P		Mag, OD, Ppr	S / I	No	District Secretary Determines Historical Significance; GC §60201
Sec. of the Board	SEC-020	Lawsuits / Litigation - Where General Counsel is the Lead	Final Resolution + 5 years	Yes: Until Resolution	Mag, Ppr			Department Preference; Covers various statute of limitations; CCP §§ 337 et seq.; GC §§ 911.2; 60201(d)(4)

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RECORDS RETENTION SCHEDULE: SECRETARY OF THE BOARD

Office of Record (OFR)	Retention No.	Records Description	Total Retention	Vital?	Media Options	Image: I=Import M=Mfr S=Scan	Destroy Paper after Imaged & QC'd?	Comments / Reference
If the record is not listed here, refer of the Retention for District-Wide Standards.								
Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.								
HOLDS: Litigation, complaints, claims, pending public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completio								
Sec. of the Board	SEC-021	Legal Invoices / Attorney's Invoices (Confidential - only summary sent to Finance)	7 years	Yes: Until Paid	Mag, OD, Ppr	S/ I	Yes: After QC & OD	May include records pertaining to independent contractor's compensation, or expense reimbursement; Meets municipal government auditing standards; 40 CFR 122.41(j)(2); WC §13263.2(b) et seq.; GC §60201(d)(12)
Sec. of the Board	SEC-022	Minutes: District Board of Directors and Committees (Administration, Communications, Finance, Infrastructure, Liaison, Public Safety Committees)	P	Yes (all)	Mag, OD, Ppr	S / I	No	GC §60201(d)(3)
Sec. of the Board	SEC-023	Notices: Affidavits of Postings and Publications	2 years		Mag, Ppr			Brown Act challenges must be filed within 30 or 90 days of action; GC §§60201, 54960.1(c)(1)
Sec. of the Board	SEC-024	Oaths of Office	Term of Office + 4 years		Mag, OD, Ppr	S / I	Yes: After QC & OD	Department Preference; GC §60201
Sec. of the Board	SEC-025	Ordinances	P	Yes (all)	Mag, OD, Ppr	S / I	No	GC §60201 et. seq.
Sec. of the Board	SEC-026	Public Records Act Requests	2 years		Mag, Ppr			Department Preference; GC §60201
Sec. of the Board	SEC-027	Recordings **Video and/or Audio** District Board meetings	Minimum 1 year		Mag			District Preference; Legally required for 90 days for Video, 30 days for audio; GC §§54953.5(b), 53161, 60201 et seq.
Sec. of the Board	SEC-028	Records Destruction Authorization Forms and Lists	P		Mag, OD, Ppr	S / I	Yes: After QC & OD	Department Preference; GC §60201
Sec. of the Board	SEC-029	Records Management: Index to Inactive Records / Records Stored in Records Center / Inventory of Records in Records Center	Indefinite		Mag, Ppr			Department Preference; GC §60201
Sec. of the Board	SEC-030	Records Retention Schedules; Approvals to Update Records Retention Schedules	2 years		Mag, OD, Ppr	S / I	Yes: After QC & OD	Department Preference; GC §60201
Sec. of the Board	SEC-031	Requests for Certified Payroll Copies	2 years		Mag, Ppr			GC §60201(d)(5)

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RECORDS RETENTION SCHEDULE: SECRETARY OF THE BOARD

Office of Record (OFR)	Retention No.	Records Description	Total Retention	Vital?	Media Options	Image: I=Import M=Mfr S=Scan	Destroy Paper after Imaged & QC'd?	Comments / Reference
If the record is not listed here, refer of the Retention for District-Wide Standards.								
Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.								
HOLDS: Litigation, complaints, claims, pending public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completio								
Sec. of the Board	SEC-032	Resolutions	P	Yes (all)	Mag, OD, Ppr	S / I	No	GC §60201 et. seq.
Sec. of the Board	SEC-033	Secretary of State Statement of Facts	1 year		Mag, Ppr			Department preference; GC §60201 et. seq.
Sec. of the Board	SEC-034	Vehicle Titles ("Pink Slips")	Upon Sale of the Vehicle	Yes	Mag, Ppr			Given to the new owner upon sale of the vehicle; GC §60201 et seq.

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RECORDS RETENTION SCHEDULE: GENERAL MANAGER

Office of Record (OFR)	Retention No.	Records Description	Total Retention	Vital?	Media Options	Image: I=Import M=Mfr S=Scan	Destroy Paper after Imaged & QC'd?	Comments / Reference
If the record is not listed here, refer to the Retention for District-Wide Standards.								
Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.								
HOLDS: Litigation, complaints, claims, pending public records act requests, audits, and/or investigations suspend normal retention periods (retention resumes after settlement or completi								
GENERAL MANAGER								
General Manager's Office	GMO-001	Administrative Citations, Hearings, Hearing Officer Decisions	Minimum 2 years		Mag, OD, Ppr	S/I	Yes: After QC & OD	Department preference; GC §60201
General Manager's Office	GMO-002	Projects & Issues - Records with Substantive Content (Issues and/or projects will vary over time)	Minimum 2 years		Mag, OD, Ppr	S/I	Yes: After QC & OD	Department preference; GC §60201

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Adopted:

RECORDS RETENTION SCHEDULE LEGEND

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OFR (Office of Record): The department that keeps the original or "record copy." Usually it is the department that originates the record, unless the item is for a Board of Directors meeting (then it is the Board Secretary.)

Records Description: The record series (a group of like records).

Transitory Records not retained in the ordinary course of business, that do NOT have substantive content: Preliminary drafts, notes, or interagency or intra-agency memoranda and records having only transitory value. Examples: Telephone messages, meeting room reservation schedules, logs, source records entered into a computer system that qualifies as a "trusted system", etc.

Non-Record: Documents, studies, books and pamphlets produced by outside agencies, preliminary drafts not retained in the ordinary course of business.

Retention/Disposition:
Active: How long the file remains in the immediate office area (*guideline*)
Inactive: How long the file is in off-site storage, stored on Optical Disk or Microforms (*guideline*)
Total Retention: The total number of years the record will be retained

For file folders containing documents with different retention timeframes, use the document with the longest retention time.
P = Permanent
Indefinite = No fixed or specified retention period; used for databases, because the data fields are interrelated.

Vital? = Those records that are needed for basic operations in the event of a disaster.

Media Options (*guideline*) – the form of the record:
Mag = Computer Magnetic Media (hard drive, disks, tapes, USB Drives, thumb drives, etc.)
Mfr = Microforms (aperture cards, microfilm, microfiche, or jackets)
Ppr = Paper
OD = Optical Disk, CD-r, DVD-r, WORM, or other **media** which **does not allow changes**

Scan / Import (*guideline*)**:**
"S" indicates the record should be scanned into the document imaging system;
"I" indicates the record should be electronically imported into the document imaging system;
"M" indicates the record should be microfilmed

Destroy Paper after Imaged & QC'd / Trustworthy Electronic Record: "Yes" indicates the paper version may be destroyed **IF** the document has been imaged (electronically generated, scanned or imported **and** placed on **Unalterable Media – DVD-R, CD-R, or WORM, or microfilmed**), and both the images and indexing Quality Checked ("QC'd"). The electronic record or image must contain all significant details from the original and be an adequate substitute for the original document for all purposes, and other legal mandates apply. Includes all electronic records which are to serve as the Official Record.

Legend for legal citations (§: Section)
CC: Civil Code (CA)
CFC: California Fire Code
EVC: Evidence Code (CA)
FTB: Franchise Tax Board (CA)
HUD: Housing & Urban Develop. (US)
PC: Penal Code (CA)
USC: United States Code (US)
B&P: Business & Professions Code (CA)
CCP: Code of Civil Procedure (CA)
CFR: Code of Federal Regulations (US)
FA: Food & Agriculture Code
GC: Government Code (CA)
LC: Labor Code (CA)
R&T: Revenue & Taxation Code (CA)
VC: Vehicle Code (CA)
CBC: California Building Code
CCR: California Code of Regulations (CA)
EC: Elections Code (CA)
FC: Family Code (CA)
H&S: Health & Safety Code (CA)
Ops. Cal. Atty. Gen..: Attorney General Opinions (CA)
UFC: Uniform Fire Code
W&I: Welfare & Institutions Code (CA)

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FIN – Finance
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Work Orders / Service Requests / Investigations - NOT entered in CMMS Database (or partial information) PW-4
Work Orders / Service Requests / Investigations - NOT entered in CMMS Database (or partial information) PW-5
Work Orders / Service Requests / Investigations - NOT entered in CMMS Database (or partial information) PW-7
Work Orders / Service Requests / Investigations - NOT entered in CMMS Database (or partial information) PW-10
Workers Compensation Claim Files, Including all Employee Accidents HR-3
Working Files DW-2
X
Y
Yellow Tract & Lot Form FIN-5
Z

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RECORDS DESTRUCTION POLICIES & PROCEDURES
Version 1.0

The purpose of the records management program is to apply efficient and economical methods to the creation, utilization, maintenance, retention, preservation and disposal of all District records.

The program will provide the District with the following benefits:

- Reduce administrative expenses, expedite procedures
- Free filing cabinet and office space
- Reduce the cost of records storage
- Eliminate duplication of effort within the District
- Find records faster

ISO 15489, the International Standard for Records Management, requires control measures such as ..."authorized destruction and security should be implemented to prevent unauthorized access, destruction, alteration or removal of records." It also requires that, "removal of records from operational systems should be applied to records on a systematic and routine basis, in the course of normal business activity."

Disposal of records is encouraged after the record has met or exceeded its retention period no matter what media is used to store the record (paper, computer disks, etc).

If any record contains personal information, the District must take reasonable steps to destroy the record by shredding, erasing, or otherwise modifying the personal information to make it unreadable or undecipherable. The District can use any means to obliterate the personal information.

Personal information may include, but is not limited to, name, signature, social security number, physical characteristics, address, telephone number, passport number, driver's license or state identification number, insurance policy number, education, employment, employment history, bank account number, credit card number, debit card number, any financial information.

The District's preferred disposal method is shredding.

Only the original, or "record copy" (residing in the Office of Record for that record) should be retained for the full retention period. Duplicate "convenience" copies of a record should be destroyed as soon as their current administrative purpose has been served ("When No Longer Required"), which in all cases should be less than the retention period for the "record copy." Refer to the records retention schedule index to locate the retention period for the record copies.

Copies, drafts and non-records may be destroyed at any time without authorizations being obtained.

All <u>original</u> records must obtain appropriate authorizations prior to records being destroyed using the Records Destruction Authorization form.

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PROCEDURES

All original records must obtain appropriate authorizations prior to records being destroyed.

Copies and drafts may be destroyed at any time without authorizations being obtained.

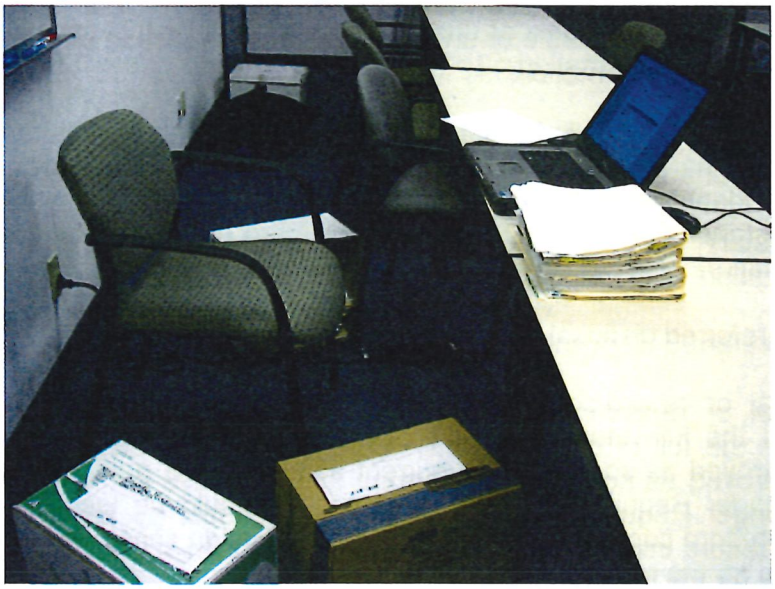
STEP 1. DETERMINE WHAT YOU ARE GOING TO DO WITH EACH FILE:

Look at your retention schedule list to determine who keeps the original record, and if it has exceeded its retention period.

Separate File Folders / Contents that Contain Different Retention Periods: (Some folders to be kept, some folders to be destroyed). Move or transfer the file folders to different boxes first (a box to be destroyed, a box to be kept, etc.)

Choices (see next page for procedures for each):

A. Not Yours – belongs to a different department
B. Copies, drafts, notes and "non-records[1]
C. Originals to Keep
D. Originals to Destroy (they've exceeded their retention period)



Use the **retention schedule** as a guide for transferring or destroying records.

- Retention is applied at the *file folder level*, based upon the *last* document date in the folder. (i.e., you do not have to pull individual documents from a folder, unless you choose to do so because the folder is too fat.)

[1] Non-Record: Records from other agencies, magazines, books and pamphlets printed by outside agencies, and physical artifacts (plaques, pictures, trophies), etc.

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- Use the Index to help you locate your records. (Do "Finds" through the electronic files, located in the *Records Retention* folder on the shared hard drive)

- Read the Retention schedule "How to", the "Legend" and the sentences at the top of each page for more policy information regarding the use of retention schedules.

- When **calculating** retention, **add a year** (e.g. 10+1), which ensures all documents in the folder have exceeded their retention period. Example:

    - Unsuccessful Bids: Opened 3/2016
        - Retention: Bid Opening + 2 years
        - Destruction year: 2019 (2017, 2018, 2019)

STEP 2. SEPARATE AND PREPARE

A: Not Yours. If the box / file is not under your Department's jurisdiction -- and you think it may have original records in it, please write on it (with a felt tip marker) what Department you think it should go to and place it aside. This includes original records which now belong to another department (e.g. insurance policies are now handled by Finance, so Finance is responsible for all the old records, also.)

B: Copies, drafts, notes and "non-records[2]" may be destroyed at any time without authorizations being obtained. If they contain any private data (home address, phone numbers, social security numbers, financial data, etc.) they must be shredded.

Non-private copies, drafts, notes and "non-records" may be placed in a recycling bin, or in a box near the recycling bin.

Private (contains home address, phone numbers, social security numbers, financial data, etc.) copies, drafts, notes and "non-records" must be shredded. Place in the Shredding bin.

C: Originals to Keep: Those that have NOT exceeded their retention period.

Leave in File Drawer? (do nothing)

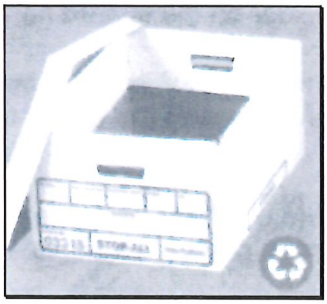
Boxes (Inactive)?

Always enter every box and it's contents on the **Records Inventory** form so everyone can find the record in future years.

Use only **standardized storage boxes (15" x 12" x 10")**. While larger storage boxes hold more, they are very heavy and difficult to move!

[2] Non-Record: Records from other agencies, magazines, books and pamphlets printed by outside agencies, and physical artifacts (plaques, pictures, trophies), etc.

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STEP 2. Use only **standardized storage boxes** (15" x 12" x 10").

A. Place only those records that have the **same destruction date** (by record series, if possible) within each box. You may choose to **combine 2 years** of destruction together, if a full box for one year is not practical.

B. Pack the records **loosely**. Do not overstuff the box. This will allow room for any *interfiles* (information added to a box or file that is added after the box or file has been transferred offsite) that may be necessary at a later date.

C. Do not place Pendaflex Folders in the box. Remove files from all Pendaflex files; re-folder them in manila folders (hand-written labels are fine, if you desire.)

D. 3-ring binders may be placed **sideways** (laying down) in the box, or remove the documents from the binders and place them in a pocket file folder or other clasp.



E. Do not use rubber bands. They fall apart quickly and "glue" paper together.

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STEP 3. Enter the contents of the box into the Records Inventory for your department. The inventory can be in Excel (a sample format is provided,) or in Word.

A. The inventory should be at the level of detail future employees would need to locate the records they need.

Examples:

Accounts Payable, FY 15-16, A – S

Personnel Files: Gladwell, Diane
Personnel Files: Jones-Turner, Denise

(Some files are indexed at a more detailed level so they can be found)

B. After all the contents of the box have been entered, print out the detailed contents / file folder listing of that box, and place it on top of the records in the box.

STEP 4. **Label the Box (<u>Permanent, or Not Ready to Destroy</u>).** All boxes that are not to be immediately destroyed must have a Box Label (you do not make a Records Destruction Form until the records have exceeded their retention period and are ready to be destroyed.)





For records stored at District facilities, use the box label form we have provided; use the Department abbreviation in front of the consecutive box number; do not re-use any number. You may copy & paste information from your inventory form, if you have one.

<u>Box Number Labeling Standards</u>

Engineering ..... ENG
Finance / Accounts Payable & Accounts Receivable ..... AP-AR
Finance / General Accounting ..... FIN
Finance / Payroll ..... PAY
Finance / Utility Billing ..... UB
General Manager ..... GM

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General Services ..... GS
Human Resources ..... HR
Police ..... PD
Public Works Administration ..... PW
Risk Management ..... RM
Roads ..... RDS
Secretary of the Board ..... SEC
Solid Waste ..... SW
Wastewater ..... WW
Water ..... WTR

To add new abbreviations, contact the Secretary of the Board.

A. Handwrite the label, or if you are using a computer and printer, copy & paste the last label, so you always have a blank

B. Create your label, using the next box number.

- Do not reuse any #s! Box # example: CC-148
  - List each file folder,
    - Descriptions should start with the applicable **records series** from the retention schedule
    - the first and last date in the folder
    - List the retention period
- At the Bottom of the label, enter the Destruction year(s) or Permanent

C. Print or Handwrite **3 (three)** labels

D. Paste Labels onto the box (top and 2 ends of box)

- Cut the label so it fits on the end of the box, but does not interfere with the handles.
- Tape or glue the label to the top and 2 ends of the box
  - If more than 1 page, staple across the top (3 staples,) tape the top of all the forms to the box, then just the bottom label to the box, leaving the top page so you can lift it up.

D. Set the boxes in an area clearly marked with the signs (e.g. "Transfer...."

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ORIGINAL RECORDS READY TO DESTROY NOW?

STEP 5. Records that have already exceeded their retention period are listed on the "**Records Destruction Form**".

A. Copy & paste ("Save As") the last form, so you always have a blank

B. Number your box with a red felt marker. "D" box numbers – each "D" (Destroy) box should have its own unique number.

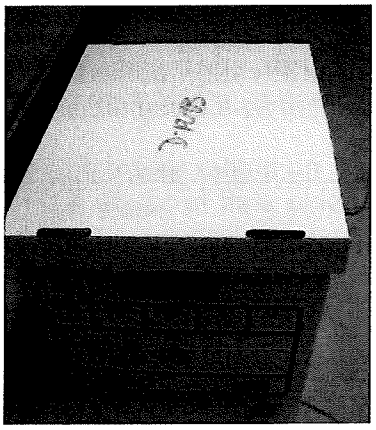
e.g. "D-ENG-001"

C. Fill out the Form with the records descriptions and years. You may also staple a list of the records to the form

In general, to be listed at the "Records Series" level of detail, the records must be all the same type of record, with a very low probability that any record or file could be subject to a claim, litigation, audit, or investigation.

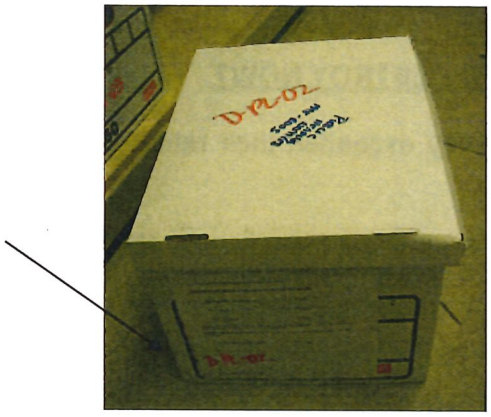
D. Print forms on white paper and route for approval.

- Either
  - Write in red felt marker the box number (e.g., "**D-ENG-001**"), OR



  - Tape one copy of the approval form on one end of the box (tuck under the lid) – or you can just write a box number in red felt marker on the box (e.g. "**D-ENG-001**").

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- Every box must be able to be correlated back to the destruction approval form in the event someone wants to look inside the box, and to ensure the correct boxes are destroyed after the approval has been received.

- Sign one copy, **route the form for approval (signatures.)**

E. Perform Destruction (<u>After authorization has been received</u>)

If Shredding is required, coordinate the date and timing with the Secretary of the Board and/or other departments to save money.

F. **Complete the Certification** portion of the Records Destruction Form. If the destruction is performed by a commercial vendor, ask them for their certificate.

<u>All boxes must have labels, no matter where they are.</u> This allows for searches through the electronic labels to enable staff to locate the file quickly, and fully comply with the Public Records Act and litigation / discovery requests.

<u>All Forms are located on the Shared Drive or Intranet.</u>

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Date: _____ Department: _____

Form RM-1: RECORDS DESTRUCTION AUTHORIZATION FORM

The records listed below (or on the attached list) are **scheduled to be destroyed**, as indicated on the Records Retention Schedule.

The records are not the subject of any claim, litigation, investigation, or audit.

(List records here, or attach a list)

File #	Records Description	From (Start Date)	To (End Date)	Box #	Retention #	Retention Period

Check one option for destruction:

☐ Shredding is Required (Records contain private information) OR

☐ Recycle (Records do NOT contain private information)

Employee Preparing Records:_____ Date:_____

DOCUMENTS HAVE BEEN REVIEWED AND APPROVED FOR DESTRUCTION

_____ _____
Department Head / Division Manager Date

_____ _____
Secretary of the Board Date

_____ _____
General Manager Date

Return this form to the originating department following approval (they coordinate the shredder arrangements)

(Complete after destruction has been performed, if done by employees. If destruction is performed by a commercial vendor, have them provide you with a certificate.)

I HEREBY CERTIFY that the items listed above have been destroyed in accordance with District policies and procedures:

_____ _____
Employee Performing Destruction Date

Return this form to the Secretary of the Board department after completed

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Date: _____ Department: _____

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