



MEMORANDUM

TO: SLDMWA Finance & Administration Committee, Board of Directors

FROM: Frances Mizuno, Assistant Executive Director

DATE: December 12, 2019

RE: Adoption of Revised Records Retention Schedule

BACKGROUND

In 2011, the Authority adopted Resolution No. 2011-350, which memorialized and formally adopted a Destruction of Records Policy. Since that time, changes in law and practice have necessitated an update to that policy. The Authority selected Gladwell Governmental Services, Inc. (GGS), an expert in public agency records, to develop a comprehensive records retention schedule for the Authority. This program was necessary to ensure retention periods reflected changes in law, reduce current and future records storage costs, eliminate duplication of effort, increase efficiency, and take advantage of current technology.

Authority staff worked GGS to update and improve the Records Retention Schedules for each department. The adoption of these retention schedules will result in efficiency gains and cost savings.

ISSUE FOR DECISION

Whether the Finance & Administration Committee should recommend to the Board of Directors, and the Board of Directors should rescind Resolution No. 2011-350 and adopt the updated Records Retention Schedule as set forth as Exhibit A of the attached resolution.

OPTIONS AND RECOMMENDATION

We recommend the adoption of the attached resolution and Records Retention Schedule.

ANALYSIS

The development of the records retention schedules are driven by many factors, including:

- Many departments are filing and storing copies of the same records
- Authority produces and manages many permanent records

- Escalating records storage expenses
- Technology advancements
- Changes in law, pertaining to special Agency records

The proposed retention schedules for the Authority were written interactively with all units participating. They provide clear, specific records descriptions and retention periods, and apply current law and technology to the management of the Authority's records. By identifying which unit is responsible for maintaining the original record, and by establishing clear retention periods for different categories of records, the Authority will realize significant savings in labor costs, storage costs, free filing cabinet and office space, and realize operational efficiencies.

The appropriate staff, managers, and General Counsel have reviewed and approved all proposed retention schedules.

It is standard business practice for California local governments to authorize the routine destruction of records that have exceeded their adopted retention period, upon the request of the managers and with the consent in writing of the managers and General Counsel, which is provided in Section 3 of the resolution.

It is also standard business practice for California local governments to authorize updates to the schedule without further action of the Board of Directors, which is provided in Section 4. Consent for these updates require the consent of the managers, Executive Director, and General Counsel.

IMPLICATIONS

The Authority will realize significant savings both in labor and storage expenses; including the avoidance of future storage and/or construction costs.

SAN LUIS & DELTA-MENDOTA WATER AUTHORITY

RESOLUTION NO. 2019-

**RESOLUTION ADOPTING A RECORDS RETENTION SCHEDULE, AUTHORIZING
DESTRUCTION OF CERTAIN AGENCY RECORDS, AND RESCINDING
RESOLUTION NO. 2011-350**

WHEREAS, the Board of Directors of the San Luis & Delta-Mendota Water Authority (the “Board” and the “Water Authority,” respectively), pursuant to the Water Authority’s procedures and the California Government Code, from time to time, may adopt policy for the administration of the Water Authority.

WHEREAS, the maintenance of numerous records is expensive, slows document retrieval, and is not necessary after a certain period of time for the effective and efficient operation of the government of the Water Authority; and

WHEREAS, Section 60200 of the Government Code of the State of California provides that the legislative body of a Special District may authorize at any time the destruction or disposition of any duplicate record, paper, or document, the original or a permanent photographic record of which is in the files of any officer or department of the agency; and

WHEREAS, Section 60201 of the Government Code of the State of California provides that agency records which have served their purpose, which are not expressly required by law to be filed and preserved, and which will not adversely affect any interest of the agency or public may be destroyed; and

WHEREAS, on or about November 10th, 2011, the Board adopted Resolution No. 2011-350, which memorialized and formally adopted a destruction of records policy;

WHEREAS, the Water Authority has reviewed that policy and updated the procedure for maintaining a list of the types of records destroyed or disposed of that reasonably identifies the information contained in the records in each category;

WHEREAS, the Board, by adoption of this Resolution, desires to rescind Resolution No. 2011-350 and memorialize a new records retention schedule of the Water Authority concerning the timing for destruction of Water Authority records.

NOW, THEREFORE, BE IT RESOLVED, AS FOLLOWS, THAT:

Section 1. The facts stated in the recitals above are true and correct, and the Board so finds and determines.

Section 2. Resolution No. 2011-350 is hereby rescinded.

Section 3. The Board finds that the destruction or disposition of the records series that have exceeded the retention periods as set forth in the Records Retention Schedule Exhibit A will not adversely affect any interest of the Water Authority or the public.

Section 4. The records of the Water Authority, as set forth in the Records Retention Schedule Exhibit A, attached hereto and incorporated herein by this reference, are hereby authorized to be destroyed as provided by Section 60201 et seq. of the Government Code of the State of California and in accordance with the provision of said schedule in accordance with Water Authority policies and procedures, and with the approval of the relevant Department Head and General Counsel.

Section 5. With the consent of the relevant Department Head, Executive Director, and General Counsel, updates are hereby authorized to be made to the Records Retention Schedule without further action by the Board.

Section 6. The term “records” as used herein shall include documents, instructions, books, microforms, electronic files, magnetic tape, optical media, or papers, as defined by the California Public Records Act.

Section 7. This resolution shall become effective immediately and shall remain in effect unless superseded by the requirements of statutes adopted following the effective date hereof or by further action of the Board.

PASSED, APPROVED AND ADOPTED this 12th day of December, 2019, by the Board of Directors of the San Luis & Delta-Mendota Water Authority.

Cannon Michael, Chairman
San Luis & Delta-Mendota Water Authority

Attest:

Federico Barajas, Secretary

I hereby certify that the foregoing Resolution No. 2019- was duly and regularly adopted by the Board of Directors of the San Luis & Delta-Mendota Water Authority at the meeting thereof held on the 12th day of December, 2019.

Federico Barajas, Secretary

Office of Record	Retention No.	Records Description	Total Retention	Vital?	Media Options	Image: I=Import M=Mfr S=Scan	Destroy Paper after Imaged & QC'd?	Comments / Reference
(OFR)								
<i>Retentions apply to the department that is NOT the Office of Record (OFR), or the "Lead Department". If you are the OFR, refer to your department retention schedule.</i>								
<i>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.</i>								
<i>Litigation, complaints, claims, audits, pending public records act requests, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>								
AGENCY-WIDE								
Lead Dept.	AW-001	Agreements & Contracts: ADMINISTRATIVE FILES (Correspondence, Project Administration, Project Schedules, Logs, RFP, etc.)	Completion + 10 years	Yes: Before Completion	Mag, Mfr, OD, Ppr	S/I	Yes: Upon Completion	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=comp. + 10 years; Statewide guidelines propose termination + 5 years; CCP §337 et. seq., GC §60201
Lead Dept.	AW-002	Committees Internal - Attended by employees: All Records (e.g. Scholarship Committee, Employee Engagement Committee, etc.)	When No Longer Required		Mag, Ppr			GC §60201
	AW-003	Copies or duplicates of any record	Copies - When No Longer Required		Mag Ppr			GC §60200

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Dept. that Authors Document or Receives the Agency's Original Document	AW-004	<p>Correspondence - ROUTINE (If Content relates in a substantive way to the conduct of the public's business)</p> <p>(e.g. Letters, Memorandums, Administrative, Chronological, General Files, Reading File, Working Files, etc.)</p> <p>Examples of substantive content: Concerns or complaints from the public, substantive changes in a project that are not documented in another document, etc.</p>	2 years		Mag, Ppr			GC §60201

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Dept. that Authors Document or Receives the Agency's Original Document	AW-005	<p>Correspondence - TRANSITORY / PRELIMINARY DRAFTS, Interagency and Intraagency Memoranda not retained in the ordinary course of business</p> <p>Content NOT Substantive, or NOT made or retained for the purpose of preserving the informational content for future reference</p> <p>(e.g. calendars, checklists, e-mail or social media posting, invitations, instant messaging, logs, mailing lists, meeting room registrations, supply inventories, telephone messages, text messages, transmittal letters, thank yous, requests from other agencies, undeliverable envelopes, visitors logs / sign-in sheets, voice mails, webpages, etc.)</p>	When No Longer Required		Mag, Ppr			<p>Electronic and paper records are categorized, filed and retained based upon the CONTENT of the record. Records 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 placing them in an electronic or paper (project) file folder and retained for the applicable retention period. If not mentioned here, consult Agency Counsel 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</p>
Lead Dept.	AW-006	Drafts & Notes: Drafts that are revised (retain final version)	When No Longer Required		Mag, Ppr			<p>As long as the drafts and notes are not retained in the "Regular Course of Business". Consult the Attorney to determine if a record is considered a draft. GC §§60201, 6252, 6254(a)</p>

RECORDS RETENTION SCHEDULE: AGENCY-WIDE STANDARDS

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<i>Litigation, complaints, claims, audits, pending public records act requests, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>								
Lead Dept.	AW-007	Grants (SUCCESSFUL - all records)	After Funding Agency Audit, if required - 5 years , unless Grant Conditions requires longer retention		Mag, Ppr			Agency 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; 221 CFR 1403.36 & 1403.42(b); 24 CFR 85.42, 91.105(h), 92.505, 570.490, & 570.502(a&b), 28 CFR 66.42; 29 CFR 97.42; 40 CFR 31.42; 44 CFR 13.42; 45 CFR 92.42; OMB Circular A-110 & A-133; GC §60201
Lead Dept.	AW-008	Grants: UNSUCCESSFUL (Applications, Correspondence, etc.)	2 years		Mag, Ppr			Department Preference; GC §60201
Lead Dept.	AW-009	Legal Opinions	When No Longer Required		Mag, Ppr			Department Preference; GC §60201
Human Resources	AW-010	Personnel Files	Do Not Retain in Department		Mag, Ppr			Preliminary drafts; Notes maintained in a separate folder to be incorporated into performance evaluation, or to document progressive discipline; GC §60201 et seq.

RECORDS RETENTION SCHEDULE: AGENCY-WIDE STANDARDS

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<i>Retentions apply to the department that is NOT the Office of Record (OFR), or the "Lead Department". If you are the OFR, refer to your department retention schedule.</i>								
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Lead Dept.	AW-011	Policies, Procedures, Brochures, Flyers, Manuals, Newsletters, etc: Produced by YOUR Department	2 years		Mag, Ppr			Statewide guidelines propose superseded + 2 or 5 years; GC §60201
Lead Dept.	AW-012	Reports and Studies (Historically significant)	P		Mag, Mfr, OD, Ppr	S/I	Yes: After 10 years	Administratively and Historically significant, therefore retained permanently; GC §60201
Lead Dept.	AW-013	Reports and Studies (other than Historically significant reports - e.g. Annual Reports)	10 years		Mag, Ppr			Information is outdated after 10 years; statewide guidelines propose 2 years; If historically significant, retain permanently; GC §60201

RECORDS RETENTION SCHEDULE: EXECUTIVE DIRECTOR & CHIEF OPERATING OFFICER

Office of Record	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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<i>If the record is not listed here, refer to the Retention for Agency-Wide Standards.</i>								
<i>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.</i>								
<i>Litigation, complaints, claims, audits, pending public records act requests, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>								
EXECUTIVE DIRECTOR & CHIEF OPERATING OFFICER								
Executive Director & COO	ED-001	Press Releases	Minimum 2 years		Mag, Mfr, OD, Ppr	S/I	Yes: After QC & OD	Department preference; GC §60201
Executive Director & COO	ED-002	Projects & Issues (Issues and/or projects will vary over time)	When No Longer Required		Mag, Mfr, OD, Ppr	S/I	Yes: After QC & OD	GC §60201
Executive Director & COO	ED-003	Water Transfers	5 years		Mag, Mfr, OD, Ppr	S/I	Yes: After QC & OD	Department preference; GC §60201

RECORDS RETENTION SCHEDULE: FINANCE

Office of Record	Retention No.	Records Description						Comments / Reference
(OFR)			Total Retention	Vital?	Media Options	Image: I=Import M=Mfr S=Scan	Destroy Paper after Imaged & QC'd?	
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GENERAL ACCOUNTING								
Finance / General Accounting	FIN-001	Financial System Database (Great Plains)	Indefinite		Mag			Data is interrelated; system qualifies as a "trusted system"; GC §§60201, 12168.7
Finance / General Accounting	FIN-002	Audited Financial Statements / Audit Reports	P		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	Department Preference; GC §60201
Finance / General Accounting	FIN-003	Bonds / Debt / Transcripts / Disclosure Reports / Lines of Credit / Promissory Notes / Commercial Paper	Fully Defeased or Matured + Refundings +10 years	Yes: Until Maturity	Mag, Mfr, 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., 60201
Finance / General Accounting	FIN-004	Budgets: Adopted	P	Yes: Current Fiscal Year	Mag, Ppr			Department Preference; GC §60201
Finance / General Accounting	FIN-005	Budgets: Development, Drafts, etc.	When No Longer Required		Mag, Ppr			Drafts; GC §60200
Finance / General Accounting	FIN-006	Cost Sharing / Allocations	P		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	Department preference (Agreement is retained permanently by the Clerk to the Board); GC §60201
Finance / General Accounting	FIN-007	Investment Pools / LAIF	5 years		Mag, Ppr			Department Preference (meets municipal government auditing standards); GC §60201
Finance / General Accounting	FIN-008	Journal Entries / Journal Vouchers / Audit Work Papers	5 years		Mag, Ppr			Department Preference; Meets municipal government auditing standards; GC §60201

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Finance / General Accounting	FIN-009	Lobbyist Authorization / Reporting (FPPC Form 635 / 602)	5 years		Mag, Ppr			2 CCR 18615(d), GC §81009(e)&(g)
Finance / General Accounting	FIN-010	State Reports: State Controller's Report	5 years		Mag, Ppr			Agency preference; Filed with the State; GC §60201
Finance / General Accounting	FIN-011	USBR Reimbursements / Emergency Repairs	15 years		Mag, Mfr, OD, Ppr	S	Yes: After QC & OD	Department Preference; GC §60201
OPERATIONAL ACCOUNTING								
Finance / Operational Accounting	FIN-012	1099's, 1096's	7 years		Mag, Mfr, OD, Ppr	S/I	Yes: After QC & OD	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), R&T §19530, GC §60201(d)(12); 29 USC 436
Finance / Operational Accounting	FIN-013	Accounts Payable / Invoices with Purchase Orders & Backup - ALL vendors: Employee Reimbursement / Travel Expense Reimbursement / Travel Approval / Conference Approvals	7 years	Yes: Until Paid	Mag, Mfr, OD, Ppr	S/I	Yes: After QC & OD	May contain independent contractor's compensation, expense reimbursement, or Agency credit card records; Meets municipal government auditing standards; 40 CFR 122.41(j)(2); WC §13263.2(b) et seq.; GC §60201(d)(12)
Finance / Operational Accounting	FIN-014	Accounts Payable Reports: Check Register, Distribution, etc.	5 years		Mag, Ppr			Department Preference (reports can not be re-created from Finance System Database; meets municipal government auditing standards); GC §60201
Finance / Operational Accounting	FIN-015	Accounts Receivable / Revenue / Invoices / Billing / Tax Revenue / Damage Invoices, etc.	5 years		Mag, Ppr			Agency preference (meets municipal government auditing standards); GC §60201

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Finance / Operational Accounting	FIN-016	Bank Statements / Checking Account Reconciliation / Bank Reconciliation / Fiscal Agent Statements / Trust Statements / Petty Cash Reconciliation (Transaction Statements, Wire Transfers, Check Listing Audit Trail, Deposits, Treasury Statements, Trustee & Investment Statements, etc.)	5 years		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	Agency Preference (may include records pertaining to independent contractor's compensation, or expense reimbursement); Meets auditing standards; GC §60201
Finance / Operational Accounting	FIN-017	Checks deposited to Bank (Agency scans them for the Bank, rather than physically taking the checks to the bank to deposit them.)	Follow Bank Instructions		Mag, Ppr			These are bank instruments, and not Agency records; per bank agreement.
Finance / Operational Accounting	FIN-018	Checks Issued by the Agency (cashed - maintained by the 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
Finance / Operational Accounting	FIN-019	Daily Cash / Receipts / Petty Cash Slips	5 years		Mag, Ppr			Agency preference (meets municipal government auditing standards); GC §60201
Finance / Operational Accounting	FIN-020	Deposits / Deposit Slips	5 years		Mag, Ppr			Agency preference (meets municipal government auditing standards); GC §60201
Finance / Operational Accounting	FIN-021	Financial Reports: General Ledger, Journals, Ledgers, Reconciliations, Registers, Reports, Transaction Histories, Balance Sheets, Batch Proofs, Trial Balance, etc.	5 years		Mag, Ppr			Department Preference (reports can not be re-created from Finance System Database; meets municipal government auditing standards); GC §60201
Finance / Operational Accounting	FIN-022	Fixed Asset Retirements - Auction / Disposal / Sales / Surplused	5 years		Mag, Ppr			Department preference; GC §60201, CCP §337
Finance / Payroll	FIN-023	Fund Accounting / Cash Allocations / Interfund Billing	7 years		Mag, Ppr			GC §60201(d)(12)

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Finance / Operational Accounting	FIN-024	Returned Checks (NSF, etc.)	5 years	Yes: Until Paid	Mag, Ppr			Meets municipal government auditing standards; Statewide guidelines propose audit + 4 years; GC §60201
Finance / Operational Accounting	FIN-025	Tax Returns (Sales Tax, etc.)	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 / Operational Accounting	FIN-026	W-9's	No Longer Doing Business + 5 years		Mag, Mfr, OD, Ppr	S/I	Yes: After QC & OD	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), R&T §19530, GC §60201(d)(12); 29 USC 436
PAYROLL								
Finance / Operational Accounting	FIN-027	ACH Auto Pay Authorizations / Direct Payment Authorizations	5 years		Mag, Ppr			Agency preference (meets municipal government auditing standards); GC §60201
Finance / Payroll	FIN-028	Auto Pay Authorizations / Direct Payment Authorizations (Employee Payroll)	7 years		Mag, Ppr			Agency preference (meets municipal government auditing standards); GC §60201
Finance / Payroll	FIN-029	DE-6, DE-43, W-3, & DE-166, & 941 Forms - Quarterly Payroll Tax Returns (Federal and State) IRS 5500 Forms (Employee Benefit Plans), PERS / FICA & Medicare Adjustments - OASDI, Federal Tax Deposits, Adjustments, etc.	7 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	FIN-030	Deferred Compensation Quarterly Reports / 457 Quarterly Statements	7 years		Mag, Ppr			Department preference; GC §60201

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Finance / Payroll	FIN-031	Garnishments, Child Support, Court Orders regarding Employee Wages	Completion + 7 years		Mag, Ppr			GC §60201(d)(12)
Finance / Payroll	FIN-032	Payroll Checks (cancelled)	7 years		Mag, Mfr, OD, Ppr	S/I	Yes: After QC & OD	GC §60201(d)(12)
Finance / Payroll	FIN-033	Payroll Registers / Payroll Reports / Distribution / Withholding Control & Distribution Report	7 years		Mag, Ppr			GC §60201(d)(12)
Finance / Payroll	FIN-034	Pension Contribution Reports / 401K	7 years		Mag, Ppr			Department preference; GC §60201
Finance / Payroll	FIN-035	Timesheets	7 years		Mag, Mfr, OD, Ppr	S/I	Yes: After QC & OD	Department Preference to meet auditing standards; IRS Reg §31.6001-1(e)(2), R&T §19530; LC § 1174(d); 29 CFR 516.5 & 516.6(c); GC §60201 et seq.
Finance / Payroll	FIN-036	Unemployment Claims	Final Disposition + 7 years		Mag, Ppr			Department preference; GC §§12946, 60201
Finance / Payroll	FIN-037	W-2's	7 years		Mag, Mfr, 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)

RECORDS RETENTION SCHEDULE: GENERAL COUNSEL

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GENERAL COUNSEL								
General Counsel	GC-001	Advice Files	When No Longer Required		Mag, Ppr			GC §60201
General Counsel	GC-002	Lawsuits / Litigation	Final Resolution + 5 years	Yes: Until Resolution	Mag, Mfr, OD, Ppr	S	Yes: After QC & OD	Department Preference; Covers various statute of limitations; CCP §§ 337 et seq.; GC §§ 911.2, 60201, 60201.6; PC §832.5
General Counsel	GC-003	Subpoenas or Summons	2 years		Mag, Ppr			GC §60201

RECORDS RETENTION SCHEDULE: HUMAN RESOURCES

Office of Record	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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<i>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.</i>								
<i>Litigation, complaints, claims, audits, pending public records act requests, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>								
HUMAN RESOURCES								
Human Resources	HR-001	Affirmative Action Complaints - Department of Fair Employment & Housing (DFEH) or Equal Opportunity Commission (EEOC)	Final Disposition + 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; GC §§12946, 60201
Human Resources	HR-002	Affirmative Action: EEO-4 Reports and records required to generate EEO-4 report	3 years		Mag, Ppr			29 CFR 1602.30
Human Resources	HR-003	Benefit Plans - Employee Benefit Policies (Benefits: Health, Eye, Dental, Life Insurance, Long Term Disability, State Disability, Unemployment Insurance, etc)	Plan Termination + 6 years	Yes: Before Expiration	Mag, Mfr, OD, Ppr	S	No	Department preference to be consistent with Agency-wide standards; EEOC / ADEA (Age) requires 1 year after benefit plan termination; Federal law requires 6 years after filing date; State Law requires 2 years after action; 29 CFR 1627.3(b)(2); 29 USC 1027; GC §§12946, 60201
General Counsel	HR-004	Claims / Liability	Final Resolution + 5 years	Yes: Until Resolution	Mag, Mfr, OD, Ppr	S	Yes: After QC & OD	Department Preference; Covers various statute of limitations; CCP §§ 337 et seq.; GC §§ 911.2, 60201, 60201.6; PC §832.5
Human Resources	HR-005	DMV Pull Notices	When Superseded or Separation + 6 years		Mag, Ppr			Agency preference (DMV record that the Agency considers a non-record used for reference); DMV audits every 2 years; Bureau of National Affairs recommends 2 years for all supplementary Personnel records; GC §60201
Human Resources	HR-006	Drug & Alcohol Test Results (ALL)	5 years		Mag Ppr			Agency preference; D.O.T. Requires 5 years for positive tests; EEOC/FLSA/ADEA (Age) requires 3 years physical examinations; State Law requires 2 years; 29 CFR 1627.3(b)(v), GC §§12946, 60201, 49 CFR 655.71 et seq.; 49 CFR 382.401 et seq.

RECORDS RETENTION SCHEDULE: HUMAN RESOURCES

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Human Resources	HR-007	Employee Investigations & Complaints	Separation + 3 years		Mag, Ppr			Department preference; EEOC / FLSA / ADEA (Age) statute of limitations is 1-3 years; State Law requires 2 years; Reports & Data used to compile EEO reports are required for 3 years; 29 CFR 1602 et seq & 1627.3(a)(5) and (6), 2 CCR 11013(c) 8 CCR §11040.7(c), GC §§12946, 60201
Human Resources	HR-008	Grievances	Separation + 3 years		Mag, Ppr			Department preference; EEOC / FLSA / ADEA (Age) statute of limitations is 1-3 years; State Law requires 2 years; Reports & Data used to compile EEO reports are required for 3 years; 29 CFR 1602 et seq & 1627.3(a)(5) and (6), 2 CCR 11013(c) 8 CCR §11040.7(c), GC §§12946, 60201
Human Resources	HR-009	Human Resources Database	Indefinite		Mag, Ppr			Department preference (data is inter-related); GC §60201 et seq.
Human Resources	HR-010	I-9s	Separation + 3 years	Yes: Until Separation	Mag, Mfr, OD, Ppr	S	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; INA 274A(b)(3); INS Rule 274a.1(b)(2); 8 CFR 274a.2; 29 CFR 1627.3(b)(i); GC §§12946, 34090
Human Resources	HR-011	Insurance Policies (Agency-owned)	P		Mag, Mfr, OD, Ppr	S	Yes: After QC & OD	Department Preference; GC §§ 911.2, 60201
Human Resources	HR-012	Job Descriptions, Classification and Compensation Studies / Surveys	Superseded + 3 years		Mag, Ppr			Department Preference; GC §60201
Human Resources	HR-013	Legal Advice (Employment Related)	When No Longer Required		Mag, Ppr			Department preference; GC §§12946, 60201
Human Resources	HR-014	Litigation - Employee-related	Resolution + 5 years		Mag, Mfr, OD, Ppr	S	Yes: After QC & OD	Department Preference; GC §§ 911.2, 60201

RECORDS RETENTION SCHEDULE: HUMAN RESOURCES

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<i>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.</i>								
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Human Resources	HR-015	OSHA Log 300, 300 A, 301, 301A, etc.	5 years		Ppr			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-016	Personnel Files - General File (Includes Application, Awards, Backgrounds, Disciplinary Actions, Certifications, Commendations, Ethics Training Certificates, Harassment Training Certificates, Evaluations, Licenses, Personnel Action Forms, Policy acknowledgements, etc. - Excludes Medical Records)	Separation + 6 years	Yes: Until Separation	Mag, Mfr, OD, Ppr	S	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; GC §53235.2(b)
Human Resources	HR-017	Personnel Files - Medical File / FMLA / Disability (Includes pre-employment physicals, Hearing tests, Respirator Fit Tests, Medical Leaves, etc.)	Separation + 30 years	Yes: Until Separation	Mag, Mfr, OD, Ppr	S	Yes: After QC & OD	Department preference; Files maintained separately; Claims can be made for 30 years for toxic substance exposure; W-4s: IRS Regulation 31-6001-1 four years after the due date of such tax for the return period to which the records relate, or the date such tax is paid, whichever is the later. 26 CFR 31.6001-1; 8 CCR §3204(d)(1) et seq., 8 CCR 5144, 29 CFR 1910.1020(d)(1)(i), 29 USC 1113; GC §§12946, 60201
Human Resources	HR-018	Personnel Rules & Regulations, including employee handbook	Superseded + 3 years		Mag, Ppr			Department Preference; GC § 60201
Human Resources	HR-019	Recruitment Files: Brochure, advertisement, unsuccessful applications (with or without interviews), selection materials, interview notes, results, etc.	3 years		Mag, Ppr			Department preference; EEOC / FLSA / ADEA (Age) requires 1-3 years; State Law requires 2 - 3 years; 29 CFR 1627.3(b)(i), 29 CFR 1602.14 et seq; 2 CCR 11013(c) GC §§12946, 60201
Human Resources	HR-020	Salary Surveys / Compensation Studies	3 years		Mag, Ppr			Agency preference; GC §60201

RECORDS RETENTION SCHEDULE: HUMAN RESOURCES

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<i>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.</i>								
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Human Resources	HR-021	Training - ALL HUMAN RESOURCE COURSE RECORDS (Attendance Rosters, Outlines and Materials; includes Harassment Prevention and other Training)	Minimum 5 years		Mag, Mfr, OD, Ppr	S	Yes: After QC & OD	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,
Human Resources	HR-022	Vehicle Titles ("Pink Slips")	Upon Sale		Ppr			Department Preference; GC §60201
Human Resources	HR-023	Verification of Employment	When No Longer Required		Mag, Ppr			Department Preference; GC §60201
Human Resources	HR-024	Workers Compensation Files	Separation + 30 years		Mag, Mfr, OD, Ppr	S	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 §3204(d)(1) et seq., 29 CFR 1910.1020, GC §§12946, 60201, CCP §337 et seq.

RECORDS RETENTION SCHEDULE: INFORMATION SYSTEMS & ASSET MANAGER

Office of Record	Retention No.	Records Description						Comments / Reference
(OFR)			Total Retention	Vital?	Media Options	Image: I=Import M=Mfr S=Scan	Destroy Paper after Imaged & QC'd?	
<i>If the record is not listed here, refer to the Retention for Agency-Wide Standards.</i>								
<i>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.</i>								
<i>Litigation, complaints, claims, audits, pending public records act requests, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>								
ASSET MANAGER / PURCHASING								
Information Systems / Asset Manager	AM-001	Asset Inventory	Indefinite	Yes	Mag			Department preference; GC §60201 et seq.
Information Systems / Asset Manager	AM-002	Bid Packets (Purchase Orders filed with Accounts Payable)	5 years	Yes: Until Paid	Mag, Mfr, OD, Ppr	S/I	Yes: After QC & OD	Department preference; Meets municipal government auditing standards; GC §60201
Information Systems / Asset Manager	AM-003	Warehouse Inventory	When Superseded		Mag			Department preference; GC §60201
INFORMATION SYSTEMS								
Information Systems	IS-001	Backups (Computer)	When No Longer Required	Yes	Mag. (Disk)			Stored On-site and Off-site. Used for Disaster Recovery Purposes Only; Considered a copy and can be destroyed when no longer required; GC §60200 et seq.
Information Systems	IS-002	Network Configuration Maps & Plans	When No Longer Required	Yes	Mag. (Disk)			Department preference; GC §60201 et seq.

RECORDS RETENTION SCHEDULE: OPERATIONS & MAINTENANCE

Office of Record	Retention No.	Records Description						Comments / Reference
(OFR)			Total Retention	Vital?	Media Options	Image: I=Import M=Mfr S=Scan	Destroy Paper after Imaged & QC'd?	
OPERATIONS								
Operations & Maint. / Ops	OPS-001	Air Quality Permits / ACMD Permits	Expiration + 5 years		Mag, Mfr, OD, Ppr	S	Yes - After QC & OD	40 CFR 70.6; GC §60201
Operations & Maint. / Ops	OPS-002	Backflow Test Results / Backflow Assembly Test Reports	3 years		Mag, Ppr			Department preference; 17 CCR 7605(f); GC §60201
Operations & Maint. / Ops	OPS-003	Chains of Custody / Water Sampling: Bacteriological & Organics	5 years		Mag, OD, Ppr	S / I	Yes: 2 years	Department preference (5 years is required); 40 CFR 141.33(a); 22 CCR §64470
Operations & Maint. / Ops	OPS-004	Chains of Custody / Water Sampling: Chemical, Disinfection By-Products, Trihalomethanes	10 years		Mag, OD, Ppr	S / I	Yes: 2 years	Department preference (10 years is required); 40 CFR 141.33(a); 22 CCR §64470
Operations & Maint. / Ops	OPS-005	Chains of Custody / Water Sampling: Lead & Copper	12 years		Mag, OD, Ppr	S / I	Yes: 2 years	Lead and Copper are required for 12 years or 2 compliance cycles (some compliance cycles are nine years); 22 CCR 64400.25; 22 CCR §64470, 40 CFR 141.33(a); 40 CFR 141.91
Operations & Maint. / Ops	OPS-006	Confined Space Entries	2 years		Mag, Ppr			8 CCR 5157(d)(14) & (e)(6); 29 CFR 1910.146(e)(6); GC §60200
Operations & Maint. / Ops	OPS-007	Daily Operator's Log Books / Daily Reads / Daily Sheets	P	Yes	Mag, Mfr, OD, Ppr	S	Yes - After QC & OD	Department preference; GC §60201
Operations & Maint. / Ops	OPS-008	Emergency Exercises / Drills / After Action Reports	Minimum 5 years		Mag, Ppr			Department Preference; GC §60201
Operations & Maint. / Ops	OPS-009	Log Book (Pump Houses)	P	Yes	Mag Ppr			Department Preference; GC §60201

RECORDS RETENTION SCHEDULE: OPERATIONS & MAINTENANCE

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Operations & Maint. / Ops	OPS-010	Operations & Maintenance Manuals (O&M Manuals)	Life of Facility or Equipment	Yes	Mag, Ppr			Department Preference; GC §60201 et. seq.
Operations & Maint. / Ops	OPS-011	Sanitary Surveys - Inspections by Division of Drinking Water	P		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	22 CCR §64470; 40 CFR 141.33(c)
Operations & Maint. / Ops	OPS-012	SCADA Database (Supervisory Control and Data Acquisition)	Indefinite	Yes	Mag			Data Fields / Records are interrelated; GC §60201
Operations & Maint. / Ops	OPS-013	SCADA Database (Water) (Supervisory Control and Data Acquisition)	Indefinite	Yes	Mag			Data is interrelated, GC §60201
Operations & Maint. / Ops	OPS-014	Standard Operating Procedures / SOPs	Superseded + 5 years		Mag, Mfr, OD, Ppr	S / I	No	Department preference; GC §60201
Operations & Maint. / Ops	OPS-015	Water Meter Testing Records	Until Meter Abandoned or Removed		Mag, Ppr			Department preference; GC §60201
Operations & Maint. / Ops	OPS-016	Water Production Reports (to SWRCB & DWR)	5 years		Mag, Ppr			Department Preference; Meets California Department of Health requirements (3 years); GC §60201
CIVIL MAINTENANCE								
Operations & Maint. / Civil Maint.	OPS-017	Aboveground Storage Tanks (Diesel, Gas) Inspections, Maintenance, Repairs	20 years, or When Superseded, Whichever is longer		Mag, Mfr, OD, Ppr	S	Yes: After QC & OD	Department Preference (Tier II tanks are required to have an integrity test every 20 years); GC §60201
Operations & Maint. / Civil Maint.	OPS-018	BIT Inspection & Audits (Biennial Inspection of Terminals) / DOT Program / CHP Inspections	2 years		Mag, Ppr			Department Preference (CHP audits every 25 months); GC §60201

RECORDS RETENTION SCHEDULE: OPERATIONS & MAINTENANCE

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Operations & Maint. / Civil Maint.	OPS-019	Daily Trip Sheets	5 years		Mag, Ppr			Department preference (for USBR); GC §60201
Operations & Maint. / Civil Maint.	OPS-020	Daily Vehicle Inspections / Pre-Trip Inspections / Vehicle Safety Checks / Daily Equipment Checks	1 year		Ppr			Agency preference (only 90 days is required); 13 CCR 1234(e); GC §60201
Operations & Maint. / Civil Maint.	OPS-021	Vehicle & Equipment Maintenance (Includes Cranes)	Sale or Disposal + 1 year		Mag, Mfr, OD, Ppr	S	Yes: After 3 months	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
Operations & Maint. / Civil Maint.	OPS-022	Videos - Security Videos	When No Longer Required		OD			Department preference; GC §60201
Division Providing Service / Work	OPS-023	Work Orders / Service Requests CMMS DATABASE (Computerized Maintenance Management System)	Indefinite		Mag			Data is interrelated; GC §60201
Division Providing Service / Work	OPS-024	Work Orders / Service Requests - 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	OPS-025	Work Orders / Service Requests - NOT entered in CMMS Database (or partial information entered into CMMS Database) (Division providing service retains originals; Division requesting service is considered a copy)	P		Mag Ppr			Agency Preference; CCP §§340 et seq., 342, GC §§945.6, GC §60201
PLANT MAINTENANCE								

RECORDS RETENTION SCHEDULE: OPERATIONS & MAINTENANCE

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<i>Litigation, complaints, claims, audits, pending public records act requests, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>								
Operations & Maint. / Plant Maint.	OPS-026	Operations & Maintenance Manuals / O & M Manuals	Disposal of Equipment		Mag, Mfr, OD, Ppr	S / I	No	Department preference; GC §60201
Operations & Maint. / Plant Maint.	OPS-027	Performance Logs	5 years		Mag, Ppr			Department Preference; Meets California Department of Health requirements (3 years); GC §60201
Operations & Maint. / Plant Maint.	OPS-028	Used Oil Disposal	3 years		Mag, Ppr			22 CCR 66266.130(c)(5), H&S §25250.18(b), 25250.19(a)(3) et seq.
Division Providing Service / Work	OPS-029	Work Orders / Service Requests CMMS DATABASE (Computerized Maintenance Management System)	Indefinite		Mag			Data is interrelated; GC §60201
Division Providing Service / Work	OPS-030	Work Orders / Service Requests - 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	OPS-031	Work Orders / Service Requests - NOT entered in CMMS Database (or partial information entered into CMMS Database) (Division providing service retains originals; Division requesting service is considered a copy)	P		Mag Ppr			Agency Preference; CCP §§340 et seq., 342, GC §§945.6, GC §60201

RECORDS RETENTION SCHEDULE: PLANNING & ENGINEERING

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PLANNING & ENGINEERING								
Planning & Engineering	ENG-001	Aboveground Water Storage Tanks	20 years, or When Superseded, Whichever is longer		Mag, Mfr, OD, Ppr	S	Yes: After QC & OD	Department Preference (Tier II tanks are required to have an integrity test every 20 years); GC §60201
Planning & Engineering	ENG-002	Access Permits / Licenses - Reclamation / Year Permits (for Repairs)	2 years	Yes: Until Paid	Mag, Mfr, OD, Ppr		Yes: After QC & OD	Department Preference; GC §60201
Planning & Engineering	ENG-003	Canal Inspection Reports (performed on an As-Needed basis)	P		Mag, Ppr			Department preference; GC §60201
Planning & Engineering	ENG-004	CEQA Determinations & Notices: Environmental Impact Reports (EIRs), Categorical Exemptions, Negative Declarations, etc. (California Environmental Quality Act)	P		Mag, Mfr, OD, Ppr	S/I	Yes: After QC & OD	Department preference; Final environmental determinations are required to be kept a "reasonable period of time"; 14 CCR §15095(c); GC §60201 et seq.
Planning & Engineering	ENG-005	Correspondence - Regulatory Agencies (If content relates in a substantive way to the conduct of the public's business)	Minimum 10 years	Yes: While Active Issues	Mag, Mfr, OD, Ppr	S / I	Yes - After QC & OD	Department Preference; Some correspondence from Regulatory Agencies need to be retained for long periods of time; GC §60201
Planning & Engineering	ENG-006	Engineering Project Files / CIP (Capital Improvement Project) Files - Unsuccessful Bids or Proposals, Bidders List - General Funded projects See Grant retention on Agency-wide schedule if funded by outside agencies.	2 years, or After Funding Agency Audit, if required, whichever is longer		Mag, Ppr			Department preference; if there is grant funding, follow the requirements of the grant funding agreement; GC §60201 et seq.

RECORDS RETENTION SCHEDULE: PLANNING & ENGINEERING

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Planning & Engineering	ENG-007	Engineering Project Files / CIP (Capital Improvement Project) Files / Work Orders / Repair Plans - Administration File: Project Administration, Advertising, Certified Payrolls, Complaints (project-related), Insurance Certificates from Contractors, Labor Compliance, Logs, Meeting Minutes, Pre-construction meetings, Performance Bonds/Surety, Project Security files, Project Schedules, Real Estate Appraisals, Stop Work Notices, Temporary Permits, etc.	Completion + 10 years or After Funding Agency Audit, if required, whichever is longer	Yes: Until Completed	Mag, Mfr, OD, Ppr			Department preference; Statute of Limitations for written contracts are four years from the date of breach; errors and omissions is 10 years; Death during construction is 10 years; CCP §§337., 337.1(a), 337.15 GC §60201, Contractor has retention requirements in 48 CFR 4.703
Planning & Engineering	ENG-008	Engineering Project Files / CIP (Capital Improvement Project) Files / Work Orders / Repair Plans - Permanent File - Large Format Drawings Design Drawings (finals), Record Drawings ("As Builts", or "As-Currents")	P	Yes	Mag, Mfr, OD, Ppr	S	No	For Disaster Recovery Purposes; GC §60201 et seq.

RECORDS RETENTION SCHEDULE: PLANNING & ENGINEERING

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Planning & Engineering	ENG-009	Engineering Project Files / CIP (Capital Improvement Project) Files / Work Orders / Repair Plans - Permanent File: Specifications, RFIs/RFPs, Change Orders, Calculations, Contract Documents (originals), Construction Photos, Correspondence, Cost of Construction, Fee & Deposit Reimbursements, Close-Out/Acceptance, Drillers Logs, Field Inspection Reports / Inspection Diaries, Materials Testing Reports, Bills of Material / Substitutions, Environmental Documents, Notice of Completion, Regulatory Agency Approvals, Shop Drawings, Soils Reports, Structural Calculations, Surveys, Permanent Encroachment Permits, Submittals, Materials Submittals, SAMPs, SWPPP, Variances, etc.	P	Yes: Until Completed	Mag, Mfr, OD, Ppr	S	No	For disaster preparedness purposes; Send all original Deeds, Easements and Rights of Way to Clerk to the Board; GC §60201 et seq.
Planning & Engineering	ENG-010	Engineering Studies and Reports / Feasibility Studies / Corrosion Studies and Reports / Subsidence, etc.	P		Mag, Mfr, OD, Ppr	S	No	Agency Preference; GC §60201
Planning & Engineering	ENG-011	Generator Operation Logs (for ALL Generators)	5 years		Mag, Ppr			Department preference (only 3 years is required for Fixed / Stationary Generators; 5 years for Portable / Emergency Generators); AQMD Rule 1470; Form 400-E-13a instructions, GC §60201
Planning & Engineering	ENG-012	Geographic Information System (GIS)	Indefinite	Yes	Mag			Data is interrelated; GC §60200, 60201 et seq.

RECORDS RETENTION SCHEDULE: PLANNING & ENGINEERING

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<i>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.</i>								
<i>Litigation, complaints, claims, audits, pending public records act requests, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>								
Planning & Engineering	ENG-013	Groundwater Monitoring Reports	P		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	Department Preference; GC §60201
Planning & Engineering	ENG-014	Inspections - Diving Videos, Inspection Videos, Regulatory Agencies, USBR	Minimum 10 years	Yes: While Active Issues	Mag, Mfr, OD, Ppr	S / I	Yes - After QC & OD	Department Preference; GC §60201
Planning & Engineering	ENG-015	Models, Calculations, Projections	P		Mag, Mfr, OD, Ppr	S	Yes: After QC & OD	Department Preference; GC §60201
Planning & Engineering	ENG-016	Piezometer Readings	P		Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	Department preference; GC §60201
Planning & Engineering	ENG-017	Project Studies, Plans, Reports	P		Mag, Mfr, OD, Ppr	S	Yes: After QC & OD	Department Preference; GC §60201
Planning & Engineering	ENG-018	Transformer Service & Testing	5 years		Mag, Ppr			Department preference (consistent with AQMD requirements); GC §60201
Planning & Engineering	ENG-019	Underground Service Alerts (USAs)	3 years		Mag, Ppr			GC §§4216.2(d) & 4216.3(d), 60201
Planning & Engineering	ENG-020	Video Inspections / Condition Assessments - Capital Improvement Projects or Acceptance of Private Development Infrastructure Only	5 years		Mag, OD			Department Preference; GC §60201 et seq.

RECORDS RETENTION SCHEDULE: SAFETY

Office of Record	Retention No.	Records Description	Total Retention	Vital?	Media Options	Image: I=Import M=Mfr S=Scan	Destroy Paper after Imaged & QC'd?	Comments / Reference
(OFR)								
<i>If the record is not listed here, refer to the Retention for Agency-Wide Standards.</i>								
<i>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.</i>								
<i>Litigation, complaints, claims, audits, pending public records act requests, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>								
SAFETY								
Safety	SAF-001	Accident / Incident / Damage Reports: Auto Accidents, Third Party, etc. (Excludes Chemical / Toxic Exposures)	2 years		Mag, Mfr, OD, Ppr	S	Yes: After QC & OD	Department preference; GC §§12946, 60201, CCP §337 et seq.
Safety	SAF-002	Emergency Response / Hazardous Material Business Plans / Risk Management Program (RMPs) / Process Safety Managements (PSMs) - Facilities with chemicals (Chlorine, ammonia, etc.)	When Superseded or Delisted		Mag, Ppr			GC §60201
Safety	SAF-003	Hazardous Materials Business Plan	When Superseded		Mag, Ppr			GC §60201 et seq.
Safety	SAF-004	Hazardous Materials Spills / Chemical Spills	30 years	Yes: After 3 months	Mag, OD, Ppr	S	Yes: After QC & OD	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; 8 CCR 3204(d)(1)(B)(2 and 3), 29 CFR 1910.1020(d)(1)(ii)(B); GC §60201 et seq.
Safety	SAF-005	Noise Exposure Measurements: Areas / Facilities / Equipment	P		Mag, OD, Ppr	S	Yes: After QC & OD	Department preference (only 2 years is required); 8 CCR 5100(d)(1); GC §60201 et seq.
Safety	SAF-006	OSHA Inspections & Citations, Forms, loss analysis reports, safety reports, actuarial studies	5 years		Ppr			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
Safety	SAF-007	Safety Committee / Safety Steering Committee Agendas & Minutes	5 years		Mag, Ppr			Department preference; GC §60201 et seq.

RECORDS RETENTION SCHEDULE: SAFETY

Office of Record	Retention No.	Records Description						Comments / Reference
(OFR)			Total Retention	Vital?	Media Options	Image: I=Import M=Mfr S=Scan	Destroy Paper after Imaged & QC'd?	
<i>If the record is not listed here, refer to the Retention for Agency-Wide Standards.</i>								
<i>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.</i>								
<i>Litigation, complaints, claims, audits, pending public records act requests, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>								
Safety	SAF-008	Safety Data Sheets (SDS) / Material Safety Data Sheet (MSDS) / Chemical Use Report Form (or records of the chemical / substance / agent, where & when it was used)	30 years	Yes: After 3 months	Mag, OD, Ppr	S	Yes: After QC & OD	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; 8 CCR 3204(d)(1)(B)(2 and 3), 29 CFR 1910.1020(d)(1)(ii)(B); GC §60201 et seq.
Safety	SAF-009	Safety Investigations	5 years		Ppr			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
Safety	SAF-010	Site Inspection Forms	5 years		Mag, OD, Ppr	S	Yes: After QC & OD	Department preference; GC §60201 et seq.
Safety s	SAF-011	Training - ALL SAFETY COURSE RECORDS (Attendance Rosters, Outlines and Materials; includes Safety Training and Tailgates)	Minimum 5 years		Mag, Mfr, OD, Ppr	S	Yes: After QC & OD	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,

RECORDS RETENTION SCHEDULE: EXECUTIVE SECRETARY / SECRETARY OF THE BOARD

Office of Record	Retention No.	Records Description	Total Retention	Vital?	Media Options	Image: I=Import M=Mfr S=Scan	Destroy Paper after Imaged & QC'd?	Comments / Reference
(OFR)								
<i>If the record is not listed here, refer to the Retention for Agency-Wide Standards.</i>								
<i>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.</i>								
<i>Litigation, complaints, claims, audits, pending public records act requests, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>								
SECRETARY OF THE BOARD								
Secretary of the Board	COB-001	Agenda Packets / Agenda Staff Reports - Board of Directors, ALL Committees / Subcommittees of the Board	P	Yes: Before Meeting Date	Mag, Mfr, OD, Ppr	S	Yes: After QC & OD	Department preference; GC §60201
Secretary of the Board	COB-002	Agreements - Member Agencies	P		Mag, Ppr			Department preference; GC §60201
Secretary of the Board	COB-003	Agreements & Contracts - ALL Agreement or Contract, Amendments, Scope of Work	P	Yes: Before Completion	Mag, Mfr, OD, Ppr	S / I	Yes: After QC & OD	Department Preference; All infrastructure, JPAs, & Mutual Aid contracts are permanent for emergency preparedness;
Secretary of the Board	COB-004	Conflict of Interest Code (Adopted by Resolution)	P	Yes (all)	Mag, Mfr, OD, Ppr	S	No	Department preference; GC §60201
Secretary of the Board	COB-005	FPPC 700 Series Forms (Statement of Economic Interests): DESIGNATED EMPLOYEES & CONSULTANTS (specified in the Agency's	7 years		Mag, Mfr, OD, Ppr	S	Yes: After 2 years	Agencymaintains original statements; GC §81009(e)(g)
Secretary of the Board	COB-006	FPPC 700 Series Forms (Statement of Economic Interests): Filed pursuant to Government Code 87200 PUBLIC OFFICIALS who manage Public	7 years		Mfr, OD, Ppr	S	Yes: After 2 years	Department preference; Agencymaintains copies only are required for 4 years, GC §81009(f)(g)
Secretary of the Board	COB-007	Historical Records - Articles of Incorporation, etc.	P		Mag, Mfr, OD, Ppr	S	Yes: After QC & OD	Secretary determines Historical Significance; GC §60201
Secretary of the Board	COB-008	Lobbyist Authorization, Registration and Reporting (FPPC Form 602 / 635)	7 years		Mag, Mfr, OD, Ppr	S	Yes: After QC & OD	2 CCR 18615(d); GC §81009(e) and (g)
Secretary of the Board	COB-009	Minutes: Board of Directors, ALL Committees / Subcommittees of the Board	P	Yes (all)	Mag, Mfr, OD, Ppr	S	Yes: After QC & OD	GC §60201(d)(3)
Secretary of the Board	COB-010	Public Records Requests	2 years		Mag, Ppr			GC §60201 et. seq.

**RECORDS RETENTION SCHEDULE: EXECUTIVE SECRETARY /
SECRETARY OF THE BOARD**

Office of Record	Retention No.	Records Description	Total Retention	Vital?	Media Options	Image: I=Import M=Mfr S=Scan	Destroy Paper after Imaged & QC'd?	Comments / Reference
(OFR)								
<i>If the record is not listed here, refer to the Retention for Agency-Wide Standards.</i>								
<i>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.</i>								
<i>Litigation, complaints, claims, audits, pending public records act requests, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>								
Secretary of the Board	COB-011	Recordings (Audio) Board meetings	After Minutes are Approved		Mag			Department Preference; legally required for 30 days (or adoption of the minutes); GC §54953.5(b)
Secretary of the Board	COB-012	Records Destruction Authorization Forms / Certificates of Records Destruction / Authorization to Destroy Paper to Rely on the Image as the	P		Mag, Mfr, OD, Ppr	S	Yes: After QC & OD	Department preference; GC §60201 et. seq.
Secretary of the Board	COB-013	Records Retention Schedules - Authorization for Amendments to Retention Schedules	P		Mag, Mfr, OD, Ppr	S	Yes: After QC & OD	GC §60201 et. seq.
Secretary of the Board	COB-014	Resolutions	P	Yes (all)	Mag, Mfr, OD, Ppr	S	No	GC §60201 et. seq.
Secretary of the Board	COB-015	Secretary of State Statement of Facts	2 years		Mag, Ppr			Department Preference; GC §60201
Secretary of the Board	COB-016	Subject Files / Central Files	Minimum 2 years		Mag, Mfr, OD, Ppr	S	Yes: After QC & OD	Department preference; GC §60201

RECORDS RETENTION SCHEDULE: WATER POLICY

Office of Record	Retention No.	Records Description	Total Retention	Vital?	Media Options	Image: I=Import M=Mfr S=Scan	Destroy Paper after Imaged & QC'd?	Comments / Reference
(OFR)								
<i>If the record is not listed here, refer to the Retention for Agency-Wide Standards.</i>								
<i>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.</i>								
<i>Litigation, complaints, claims, audits, pending public records act requests, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>								
CIVIL ENGINEERING, SCIENCE, WATER RESOURCES								
Water Policy	WP-001	Chains of Custody / Tabular Summaries - Groundwater Quality	P		Mag, Mfr, OD, Ppr	S / I	Yes - After 3 months	Department Preference (No legal mandate applies); GC §60201
Water Policy	WP-002	Grants (SUCCESSFUL - all records)	After Funding Agency Audit, if required - 5 years , unless Grant Conditions requires longer retention		Mag, Ppr			Agency 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; 21 CFR 1403.36 & 1403.42(b); 24 CFR 85.42, 91.105(h), 92.505, 570.490, & 570.502(a&b), 28 CFR 66.42; 29 CFR 97.42; 40 CFR 31.42; 44 CFR 13.42; 45 CFR 92.42; OMB Circular A-110 & A-133; GC §60201
Water Policy	WP-003	Grants: UNSUCCESSFUL (Applications, Correspondence, etc.)	2 years		Mag, Ppr			Department Preference; GC §60201
Water Policy	WP-004	Groundwater Elevations / Subsidence	P		Mag, Mfr, OD, Ppr	S	Yes: After QC & OD	Department preference; GC §60201
Water Policy	WP-005	Groundwater Transfers - Sustainable Groundwater Management Act (SGMA)	P		Mag, Mfr, OD, Ppr	S	Yes: After QC & OD	Department preference; GC §60201
Water Policy	WP-006	Groundwater Transfers - Sustainable Groundwater Management Act (SGMA)	P		Mag, Mfr, OD, Ppr	S	Yes: After QC & OD	Department preference; GC §60201
Water Policy	WP-007	Integrated Regional Water Management Plan (IRWM)	P		Mag, Mfr, OD, Ppr	S	Yes: After QC & OD	Department preference; GC §60201
Water Policy	WP-008	Legislation (Proposed): County, State or Federal Governments	When No Longer Required		Mag, Ppr			GC §60201

RECORDS RETENTION SCHEDULE: WATER POLICY

Office of Record	Retention No.	Records Description	Total Retention	Vital?	Media Options	Image: I=Import M=Mfr S=Scan	Destroy Paper after Imaged & QC'd?	Comments / Reference
(OFR)								
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<i>Litigation, complaints, claims, audits, pending public records act requests, and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>								
Water Policy	WP-009	Models, Calculations, Projections	P		Mag, Mfr, OD, Per	S	Yes: After QC & OD	Department Preference; GC §60201
Water Policy	WP-010	Presentations, PowerPoints, Public Education Presentations, etc.	When No Longer Required		Ppr			GC §60201
Water Policy	WP-011	Public Affairs	When No Longer Required		Ppr			GC §60201
Water Policy	WP-012	Scientific Studies, Plans, Reports (Final, Prepared for or by the Agency)	P		Mag, Mfr, OD, Per	S	Yes: After QC & OD	Department Preference; GC §60201
Water Policy	WP-013	Studies and Reports - Groundwater (Final, Prepared for or by the Agency)	P		Mag, Mfr, OD, Per	S	Yes: After QC & OD	Department preference; GC §60201
Water Policy	WP-014	Water Accounting (USBR Agreement)	P		Mag, Mfr, OD, Per	S	Yes: After QC & OD	Department preference; GC §60201
Water Policy	WP-015	Wells	P		Mag, Mfr, OD, Per	S	Yes: After QC & OD	Department preference; GC §60201

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 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)