



Midpeninsula Regional
Open Space District

R-20-06
Meeting 20-06
March 11, 2020

AGENDA ITEM 5

AGENDA ITEM

Adoption of a Records Retention Schedule

GENERAL MANAGER'S RECOMMENDATION *dlw*

Adopt a resolution approving the records retention schedule and authorizing destruction of certain records consistent with California law.

SUMMARY

In order to update processes consistent with California law, adopt new best management practices, and prepare for relocation of the administrative office, the Midpeninsula Regional Open Space District (District) is undertaking a comprehensive records management project. The first step is to update and improve the records retention schedules for the District and each internal department. The adoption of these retention schedules (Attachment 1, Exhibit A) will result in efficiency gains and cost savings while still meeting the District's legal requirements. Additionally, staff will use the updated retention schedules to review archives stored at the administrative and field offices to determine which may be legally disposed of and/or digitized in order to reduce the number of paper files stored, maintained, and/or moved to the new administrative office. This work will also facilitate the proper organization, filing, and storage of key documents to expedite retrieval, and assist the District in preparing for the creation of a safe and secure archival system that is backed up to prevent the potential loss of important files, including paper documents.

DISCUSSION

The District selected Gladwell Governmental Services, Inc. (GGS), an expert in special district records, to develop an updated and comprehensive records retention schedule for the District. Government agencies in California, including local agencies such as the District, are required to maintain a records retention schedule that defines how long records (e.g. files, data, documents) must be kept and provides disposal guidelines for how these records should be discarded. Records retention schedules are periodically updated to reflect changes in state law and incorporate best management practices that reduce duplication of effort, increase efficiency, utilize new technologies, and reduce direct and indirect records retention costs.

Based on GGS's knowledge and experience in government agency records, the destruction of records that have exhausted their retention period, according to the records retention schedule, will not adversely affect District interests or the public.

Updates to a records retention schedule are made with the following factors in mind:

- Changes in law pertaining to local agency records;
- Scale of production and management of permanent records;
- Propensity of storing duplicate copies across various departments and platforms;
- Ongoing escalation of records storage expenses; and
- Technological advancements.

The retention schedules for the District were written interactively with all departments participating. The retention schedules provide clear, specific records descriptions and retention periods, and apply current law and technology to the management of District records. By identifying which department or division is responsible for maintaining the original record, and by establishing clear retention periods for different categories of records, the District will realize significant savings in labor and storage costs, reduce the amount of physical space required for storage and filing of paper documents, and realize operational efficiencies.

The General Counsel and department managers reviewed and approved all retention schedules to ensure vital and important historic documents are maintained. For example, digitizing certain records will allow for electronic access to District records without the need for duplication of documents. On the other hand, various historic documents will be maintained in the original form to preserve their unique historical value.

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 staff and with the written consent of the appropriate department manager, District Clerk, and General Counsel, which is provided for in the Resolution (Attachment 1).

FISCAL IMPACT

The proposed records retention schedule will result in savings both in labor and storage expenses for the District.

BOARD COMMITTEE REVIEW

This item was not previously reviewed by a Board Committee.

PUBLIC NOTICE

Public notice was provided as required by the Brown Act.

CEQA COMPLIANCE

This item is not a project subject to the California Environmental Quality Act.

NEXT STEPS

Following adoption of the records retention schedule, District staff will review District documents and identify those that should be retained, digitized, or destroyed. Additionally, as part of the next phase of the Records Management Project, staff is working to select an option for

an electronic document management system (EDMS) to act as a document repository, and solicit proposals to recommend a digitization expert to assist with scanning permanent documents for input into the EDMS. Staff will return to the Board with a recommendation for these aspects of the project after soliciting proposals for this work.

Attachment:

1. Resolution Adopting a Records Retention Schedule and Authorizing Destruction of Certain District Records (includes the Retention Schedule as Exhibit A)

Responsible Department Head:

Ana M. Ruiz, General Manager

Prepared by:

Jennifer Woodworth, District Clerk/Assistant to the General Manager

Loana Lumina-Hsu, Administrative Assistant

Staff contract:

Jennifer Woodworth, District Clerk/Assistant to the General Manager

RESOLUTION NO. 20-XX

**RESOLUTION OF THE BOARD OF DIRECTORS OF THE
MIDPENINSULA REGIONAL OPEN SPACE DISTRICT
ADOPTING A RECORDS RETENTION SCHEDULE AND
AUTHORIZING DESTRUCTION OF CERTAIN DISTRICT
RECORDS AND RESCINDING RESOLUTION 06-09**

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 Midpeninsula Regional Open Space District (District); and

WHEREAS, the term “record” as used herein refers to documents, instructions, books, microforms, electronic files, magnetic tape, optical media, or papers, and any other record consisting of a “writing” as defined by the California Public Records Act (Cal. Gov’t Code section 6254 *et seq.*); and

WHEREAS, Section 5557.1 of the California Public Resources Code provides that the Board may authorize at any time the destruction or disposition of any duplicate record, paper or document, the original or a permanent photographic reproduction of which is in the files of the District; and

WHEREAS, Section 5557.2 of the California Public Resources Code and Section 60200 *et seq.* of the California Government Code provide that Board may, by resolution, adopt a record retention schedule that classifies the district’s records by category, and that establishes a standard protocol for destruction or disposition of records which have served their purpose, which are not expressly required by law to be filed and preserved, the destruction of which will not adversely affect any interest of the district or the public; and

WHEREAS, the Board desires to authorize destruction of certain categories of records and will maintain a list of the types of records destroyed or disposed of that reasonably identifies the information contained in the records in each category; and

WHEREAS, on March 8, 2006 the Board previously adopted a records retention policy as set forth in Resolution No. 06-09.

NOW THEREFORE, the Board of Directors of the Midpeninsula Regional Open Space District does resolve as follows:

SECTION 1. Resolution No. 06-09 is hereby rescinded.

SECTION 2. The Board of Directors finds that the destruction or disposition of the records series that have exceeded the retention periods as set forth in the Records Retention Schedule, attached hereto and incorporated herein by this reference as Exhibit A, will not adversely affect any interest of the District or the public.

SECTION 3. Certain records of the Midpeninsula Regional Open Space District, as set forth in the Records Retention Schedule, are hereby authorized to be destroyed as provided by applicable law and in accordance with the provision of said schedule, and with the approval of

the General Manager, with concurrence of the General Counsel and the District Clerk.

SECTION 4. The General Manager, with the concurrence of the General Counsel and the District Clerk, is authorized to make minor non-substantive revisions to the Records Retention Schedule including revisions to department names and updates to descriptions and comments regarding specific categories of records; provided however that substantive revisions, including changes to retention periods or adding new categories of records, must be approved by the Board.

SECTION 5. This resolution shall become effective immediately upon its adoption.

* * * * *

PASSED AND ADOPTED by the Board of Directors of the Midpeninsula Regional Open Space District on _____, 2020, at a regular meeting thereof, by the following vote:

AYES:
NOES:
ABSTAIN:
ABSENT:

ATTEST:

APPROVED:

Secretary
Board of Directors

President
Board of Directors

APPROVED AS TO FORM:

General Counsel

I, the District Clerk of the Midpeninsula Regional Open Space District, hereby certify that the above is a true and correct copy of a resolution duly adopted by the Board of Directors of the Midpeninsula Regional Open Space District by the above vote at a meeting thereof duly held and called on the above day.

District Clerk

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 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 District Board meeting (then it is the Secretary of the District.)

Records Series Title: Description of the record series (a group of like records).

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

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.

Retention/Disposition:

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 drives, tapes, USB Drives, thumb drives, etc.)
OD = Optical Disk, CD-r, DVD-r, WORM, or other **media** which **does not allow changes**
Ppr = Paper

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;

Destroy Paper after Imaged & QC’d: “Yes” indicates the electronic record may serve as the OFFICIAL record (and 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)

WC: Water Code

B&P: Business & Professions Code (CA)

CCP: Code of Civil Procedure (CA)

CFR: Code of Federal Regulations (US)

FA: Food & Agriculture Code (CA)

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: DISTRICT-WIDE STANDARDS

Office of Record	Retention No.	Records Description						Comments / Reference
(OFR)			Total Retention	Vital?	Media Options	Image: I=Import S=Scan	Destroy Paper after Imaged & QC'd?	
<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>								
DISTRICT-WIDE								
Lead Dept.	DW-001	Agreements & Contracts: (Agreement or Contract, Correspondence, Project Administration, Project Schedules, Logs, etc.) Includes JPAs, Memoranda of Understanding, Partnership Agreements	Completion + 10 years	Yes: Before Completion	Mag, OD, Ppr	S/I	Yes: After QC & OD	Covers E&O Statute of Limitations Statute of Limitations: Contracts & Spec's=4 years, Wrongful Death=comp. + 5 years, CCP §337 et. seq., GC §60201
Lead Dept.	DW-002	Amendments to Use & Management Plans	P		Mag, OD, Ppr	S/I	Yes: After QC & OD	Department preference; GC §60201 et seq.
Lead Dept.	DW-003	CEQA Determinations, Technical Reports & Studies, Mitigation Monitoring Reporting Program: Draft and Final Environmental Impact Reports (EIRs), Categorical Exemptions, Negative Declarations, etc. (California Environmental Quality Act)	P		Mag, 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.
Lead Dept.	DW-004	CEQA Notices, Proof of Mailings, Meeting Notices	2 years		Mag, OD, Ppr	S/I	Yes: After QC & OD	GC §60201 et seq.
Lead Dept.	DW-005	Coordination Teams - Attended by employees: All Records (e.g. Wildfire Coordination Team, etc.)	When No Longer Required		Mag, Ppr			GC §60201

RECORDS RETENTION SCHEDULE: DISTRICT-WIDE STANDARDS

Office of Record	Retention No.	Records Description	Total Retention	Vital?	Media Options	Image: I=Import 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>								
Dept. that Authors Document	DW-006	Copies or duplicates of any record	Copies - When No Longer Required		Mag Ppr			GC §60200
Dept. that Authors Document or Receives the District's Original Document	DW-007	Correspondence - ROUTINE (Content relates in a substantive way to the conduct of the public's business) (e.g. Letters, Memorandums, Administrative, Chronological, General Files, Public Comment, Reading File, Working Files, etc.)	2 years		Mag, Ppr			GC §60201

RECORDS RETENTION SCHEDULE: DISTRICT-WIDE STANDARDS

Office of Record	Retention No.	Records Description	Total Retention	Vital?	Media Options	Image: I=Import 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>								
Dept. that Authors Document or Receives the District's Original Document	DW-008	<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 notes, meeting room registrations, supply inventories, telephone messages, text messages, transmittal letters, thank yous, requests from other agencies, undeliverable envelopes, employment verification, 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 General 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>

RECORDS RETENTION SCHEDULE: DISTRICT-WIDE STANDARDS

Office of Record	Retention No.	Records Description	Total Retention	Vital?	Media Options	Image: I=Import 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>								
Lead Dept.	DW-009	Drafts & Notes: Drafts that are revised (retain final version) Content NOT Substantive, or NOT made or retained for the purpose of preserving the informational content for future reference (e.g. Budget development drafts and documents, monthly and quarterly budget reports, presentations, slides, talking points, news clippings, etc.)	When No Longer Required		Mag, Ppr			As long as the drafts and notes are not retained in the "Regular Course of Business". Consult the General Counsel and/or District Clerk to determine if the document is considered a draft. GC §§60201, 6252, 6254(a)
Lead Dept.	DW-010	Hazardous Materials Disposal Manifests	P		Mag, OD, Ppr	S/i	Yes: After QC & OD	Department preference (City has "cradle to grave" liability); only 3 years is mandated; 22 CCR 66262.40; GC §60201 et. seq.
Lead Dept.	DW-011	Meeting Notices / Public Meeting Notices / Proof of Mailings	2 years		Mag, Ppr			GC §60201
Lead Dept.	DW-012	Monitoring Required by Grants, Agreements, Environmental Requirements, EIRS, CEQA	P		Mag, Ppr			Department preference; GC §60201
Lead Dept.	DW-013	On-Call Qualified List / Rate Sheets for Qualified Contractors / Vendors	Expiration of Qualified List + 2 years	Yes: Before Completion	Mag, OD, Ppr	S/I	Yes: After QC & OD	Department preference; GC §60201
Lead Dept.	DW-014	Policies, Procedures, Manuals, etc: Produced by YOUR Department	Superseded + 2 years		Mag, Ppr			Department preference; GC §60201

RECORDS RETENTION SCHEDULE: DISTRICT-WIDE STANDARDS

Office of Record	Retention No.	Records Description	Total Retention	Vital?	Media Options	Image: I=Import 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>								
Lead Dept.	DW-015	Reports and Studies (Historically significant)	P		Mag, OD, Ppr	S/I	Yes: After QC & OD	Administratively and Historically significant, therefore retained permanently; GC §60201
Lead Dept.	DW-016	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
Lead Dept.	DW-017	Training - COURSE Records - Information Technology, Records, etc. (Other Than Human Resource, Safety or Ranger Training Records) (Attendance Rosters, Outlines and Materials; includes Harassment Prevention and other Training)	Minimum 7 years		Mag, OD, Ppr	S/I	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
Lead Dept.	DW-018	Request for Solicitation / Procurement Packages: RFP, RFQ, Bids (Quotes, Proposals), Source Selection, Bid Evaluations Except Capital Projects	2 years	Yes: Before Completion	Mag, OD, Ppr	S/I	Yes: After QC & OD	Department preference (standard business practice); GC §60201

RECORDS RETENTION SCHEDULE: BUDGET & ANALYSIS

Office of Record	Retention No.	Records Description	Total Retention	Vital?	Media Options	Image: I=Import S=Scan	Destroy Paper after Imaged & QC'd?	Comments / Reference
(OFR)								
<i>If the record is not listed here, refer to the Retention for District-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>								
BUDGET & ANALYSIS								
Finance / Accounting	B&A-001	Financial System Database / Budget Database (New World)	Indefinite		Mag			Data is interrelated; system qualifies as a "trusted system"; GC §§60201, 12168.7
Budget & Analysis	B&A-002	Budgets: Adopted	P	Yes: Current Fiscal Year	Mag, OD, Ppr	S / I	Yes - After QC & OD	Department Preference; GC §60201

RECORDS RETENTION SCHEDULE: DISTRICT CLERK

Office of Record	Retention No.	Records Description	Total Retention	Vital?	Media Options	Image: I=Import S=Scan	Destroy Paper after Imaged & QC'd?	Comments / Reference
(OFR)								
<i>If the record is not listed here, refer to the Retention for District-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>								
DISTRICT CLERK								
District Clerk	DC-001	Affidavit of Mailing / Proof of Publication	2 years		Mag, Ppr			Department preference; GC §60201
District Clerk	DC-002	Agenda Packets / Agenda Staff Reports - Board of Directors, ALL Committees / Subcommittees of the Board Planning & Natural Resources Committee, Legislative, Funding and Public Affairs Committee, Real Property Committee, Bond Oversight Committee, MROSD Financing Authority, Board Appointee Evaluation Committee	P	Yes: Before Meeting Date	Mag, OD, Ppr	S / I	Yes: After QC & OD	Department preference; GC §60201
District Clerk	DC-003	Conflict of Interest Code (Adopted by Resolution)	P	Yes (all)	Mag, OD, Ppr	S / I	Yes: After QC & OD	Department preference; GC §60201
District Clerk	DC-004	Elections - Campaign Filings (FPPC 400 Series Forms - 460, 470, 496, 497, etc., & Form 501): UNSUCCESSFUL CANDIDATES	5 years		Mag, Mfr, OD, Ppr	S	Yes: After 2 years	Paper must be retained for at least 2 years; GC §81009(c)&(g)
District Clerk	DC-005	Elections - Campaign Filings (FPPC 400 Series Forms - 460, 470, 496, 497, etc., & Form 501): SUCCESSFUL CANDIDATES (Elected Officials)	P		Mag, Mfr, OD, Ppr	S	Yes: After 2 years	Paper must be retained for at least 2 years; GC §81009(b)&(g)
District Clerk	DC-006	Elections - Campaign Filings (FPPC 400 Series Forms): THOSE NOT REQUIRED TO FILE ORIGINAL WITH DISTRICT CLERK (copies)	4 years		Mag, Ppr			Paper must be retained for at least 2 years; GC §81009(f)&(g)
District Clerk	DC-007	Elections - Campaign Filings (FPPC 400 Series Forms): OTHER COMMITTEES (PACS - not candidate-controlled)	7 years		Mag, Ppr			Paper must be retained for at least 2 years; GC §81009(c)&(g)

RECORDS RETENTION SCHEDULE: DISTRICT CLERK

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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>								
District Clerk	DC-008	Elections - Candidate File: Nomination Papers, Candidate Statement Forms, etc. - SUCCESSFUL CANDIDATES	Term of Office + 4 years		Mag, Ppr			Department Preference; Statewide guidelines proposes 4 years for successful candidates, 2 years for unsuccessful; CA law states term of office and 4 years after the expiration of term and does not delineate between the two; EC §17100
District Clerk	DC-009	Elections - Candidate File: Nomination Papers, Candidate Statement Forms, etc. - UNSUCCESSFUL CANDIDATES	Election + 4 years		Mag, Ppr			Statewide guidelines proposes 4 years for successful candidates, 2 years for unsuccessful; CA law states term of office and 4 years after the expiration of term and does not delineate between the two; EC §17100
District Clerk	DC-010	Elections - GENERAL, WORKING or ADMINISTRATION Files (Correspondence, Applications to fill a Vacancy on the Board of Directors, County Election Services, Candidate Statements to be printed in the Sample Ballot, Notices, Postings, etc.)	Minimum 2 years		Mag, Ppr			GC §34090
District Clerk	DC-011	Elections - HISTORICAL (Sample ballot, copies of resolutions, final results)	P		Mag, Mfr, OD, Ppr	S	No	Retained for Historical Value, GC §34090
District Clerk	DC-012	Elections - Petitions (Initiative, Recall or Referendum)	Results + 8 months, or Final Examination + 1 year after petition examination if petition is insufficient		Ppr			Not accessible to the public; The 8 month retention applies after election results, or final examination if no election, unless there is a legal or FPPC proceeding. EC §§17200(b)(3), 17400

RECORDS RETENTION SCHEDULE: DISTRICT CLERK

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District Clerk	DC-013	FPPC 700 Series Forms (Statement of Economic Interests): DESIGNATED EMPLOYEES & CONSULTANTS (specified in the District's Conflict of Interest code)	7 years		Mag, OD, Ppr	S	Yes: After 2 years	District maintains original statements; GC §81009(e)&(g)
District Clerk	DC-014	FPPC 700 Series Forms (Statement of Economic Interests): Filed pursuant to Government Code 87200 PUBLIC OFFICIALS who manage Public Investments (elected & not elected. Includes Board Members, Executive Director, Finance Director)	7 years		Mfr, OD, Ppr	S	Yes: After 2 years	Department preference; District maintains copies only are required for 4 years, GC §81009(f)&(g)
District Clerk	DC-015	FPPC Form 801 (Gift to Agency Report)	7 years		Mag, Ppr	S / I	Yes: After 2 years	Must post on website; GC §81009(e)
District Clerk	DC-016	FPPC Form 802 (Event Ticket / Pass Distributions Agency Report)	7 years		Mag, Ppr	S / I	Yes: After 2 years	Should post on website for 4 years; GC §81009(e)
District Clerk	DC-017	FPPC Form 803 (Behested Payment Report)	7 years		Mag, Ppr	S / I	Yes: After 2 years	GC §81009(e)
District Clerk	DC-018	FPPC Form 804 (Agency Report of New Positions)	P		Mag, Mfr, OD, Ppr	S / I	Yes: After 2 years	FPPC Regulation 18734(c); GC §81009e
District Clerk	DC-019	FPPC Form 805 (Agency Report of Consultants)	P		Mag, Mfr, OD, Ppr	S / I	Yes: After 2 years	FPPC Regulation 18734(c); GC §81009e
District Clerk	DC-020	FPPC Form 806 (Agency Report of Public Official Appointments)	7 years		Mag, Ppr	S / I	Yes: After 2 years	Must post on website; 2 CCR 18705.5; 2 CCR 18702.5(b)(3); GC §60201; GC §81009(e)
District Clerk	DC-021	Historical Records - Articles of Incorporation, etc.	P		Mag, OD, Ppr	S	Yes: After QC & OD	Clerk determines Historical Significance; GC §60201

RECORDS RETENTION SCHEDULE: DISTRICT CLERK

Office of Record	Retention No.	Records Description						Comments / Reference
(OFR)			Total Retention	Vital?	Media Options	Image: I=Import S=Scan	Destroy Paper after Imaged & QC'd?	
<i>If the record is not listed here, refer to the Retention for District-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>								
District Clerk	DC-022	Minutes: Board of Directors, ALL Committees / Subcommittees of the Board Planning & Natural Resources Committee, Legislative, Funding and Public Affairs Committee, Real Property Committee, Bond Oversight Committee, MROSD Financing Authority, Board Appointee Evaluation Committee, Action Plan and Budget Committee	P	Yes (all)	Mag, OD, Ppr	S	Yes: After QC & OD	GC §60201(d)(3)
District Clerk	DC-023	Ordinances & Resolutions	P	Yes (all)	Mag, OD, Ppr	S	No	GC §60201 et. seq.
District Clerk	DC-024	Policies or Procedures: Administrative Policies, Board Policies District-Wide Policies	Superseded + 2 years		Mag, Ppr			Statewide guidelines propose superseded + 2 or 5 years; GC §60201
District Clerk	DC-025	Public Records Requests	2 years		Mag, Ppr			GC §60201
District Clerk	DC-026	Recordings (Audio) Board meetings	2 years		Mag			Department Preference; legally required for 30 days (or adoption of the minutes); GC §54953.5(b)
District Clerk	DC-027	Records Destruction Authorization Forms / Certificates of Records Destruction / Authorization to Destroy Paper to Rely on the Image as the Original	P		Mag, OD, Ppr	S	Yes: After QC & OD	Department preference; GC §60201 et. seq.
District Clerk	DC-028	Records Retention Schedules - Authorization for Amendments to Retention Schedules	P		Mag, OD, Ppr	S	Yes: After QC & OD	GC §60201 et. seq.
District Clerk	DC-029	Secretary of State Statement of Facts	2 years		Mag, Ppr			Department Preference; GC §60201
District Clerk	DC-030	Subject Files / Central Files	Minimum 2 years		Mag, OD, Ppr	S	Yes: After QC & OD	Department preference; GC §60201

RECORDS RETENTION SCHEDULE: ENGINEERING & CONSTRUCTION

Office of Record	Retention No.	Records Description						Comments / Reference
(OFR)			Total Retention	Vital?	Media Options	Image: I=Import S=Scan	Destroy Paper after Imaged & QC'd?	
<i>If the record is not listed here, refer to the Retention for District-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>								
ENGINEERING & CONSTRUCTION								
Engineering & Construction	ENG-001	Construction Standards Authored by the District	P		Mag, OD, Ppr	S	Yes: After QC & OD	Department Preference; GC §60201
Engineering & Construction	ENG-002	Contractor's Access Permits (for Repairs - access to private property)	Expiration + 2 years	Yes: Until Paid	Mag, OD, Ppr		Yes: After QC & OD	Department Preference; GC §60201
Engineering & Construction	ENG-003	Engineering Project Files / CIP (Capital Improvement Project) Files - Procurement Package, Unsuccessful Bids or Proposals, Bidders List, Procurement Package, Bid Summary	5 years		Mag, Ppr			Department preference; if there is grant funding, follow the requirements of the grant funding agreement; GC §60201 et seq.
Engineering & Construction	ENG-004	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, Punch List, Real Estate Appraisals, RFIs (Construction Related Information), Stop Work Notices, Temporary Permits, etc.	Completion + 10 years or After Funding Agency Audit, if required, whichever is longer	Yes: Until Completed	Mag, OD, Ppr	S / I	Yes - After QC & OD	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

RECORDS RETENTION SCHEDULE: ENGINEERING & CONSTRUCTION

Office of Record	Retention No.	Records Description	Total Retention	Vital?	Media Options	Image: I=Import S=Scan	Destroy Paper after Imaged & QC'd?	Comments / Reference
(OFR)								
<i>If the record is not listed here, refer to the Retention for District-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>								
Engineering & Construction	ENG-005	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, OD, Ppr	S / I	Yes - After QC & OD	For Disaster Recovery Purposes; GC §60201 et seq.
Engineering & Construction	ENG-006	Engineering Project Files / CIP (Capital Improvement Project) Files / Work Orders / Repair Plans - Permanent File: Specifications / RFPs, Change Orders, Building Permits, 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, Notice of Completion, Regulatory Agency Approvals, Shop Drawings, Soils Reports, Structural Calculations, Surveys, Permanent Encroachment Permits, Submittals, Materials Submittals, SAMPPs, SWPPP, Variances, etc.	P	Yes: Until Completed	Mag, OD, Ppr	S / I	Yes - After QC & OD	For disaster preparedness purposes; Send all original Deeds, Easements and Rights of Way to the District Clerk; GC §60201 et seq.
Engineering & Construction	ENG-007	Engineering Studies and Reports / Feasibility Studies	P		Mag, OD, Ppr	S / I	Yes - After QC & OD	District Preference; GC §60201
Engineering & Construction	ENG-008	Hydrology Models, Calculations, Projections	P		Mag, OD, Ppr	S	Yes: After QC & OD	Department Preference; GC §60201

RECORDS RETENTION SCHEDULE: ENGINEERING & CONSTRUCTION

Office of Record	Retention No.	Records Description	Total Retention	Vital?	Media Options	Image: I=Import S=Scan	Destroy Paper after Imaged & QC'd?	Comments / Reference
(OFR)								
<i>If the record is not listed here, refer to the Retention for District-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>								
Engineering & Construction	ENG-009	Underground Service Alerts (USAs)	3 years		Mag, Ppr			GC §§4216.2(f) & 4216.3(d), 60201

RECORDS RETENTION SCHEDULE: FINANCE

Office of Record	Retention No.	Records Description	Total Retention	Vital?	Media Options	Image: I=Import S=Scan	Destroy Paper after Imaged & QC'd?	Comments / Reference
(OFR)								
<i>If the record is not listed here, refer to the Retention for District-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>								
FINANCE / ACCOUNTING								
Finance / Accounting	FIN-001	Financial System Database (New World)	Indefinite		Mag			Data is interrelated; system qualifies as a "trusted system"; GC §§60201, 12168.7
Finance / Accounting	FIN-002	1099's, 1096's	7 years		Mag, 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 / Accounting	FIN-003	Accounts Payable / Invoices with Purchase Orders & Backup - ALL vendors: Employee Reimbursement / Travel Expense Reimbursement / Travel Approval / Conference Approvals	7 years	Yes: Until Paid	Mag, OD, Ppr	S/I	Yes: After QC & OD	May contain independent contractor's compensation, expense reimbursement, or District 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 / Accounting	FIN-004	Accounts Payable Reports: Check Register, Distribution, etc.	When No Longer Required		Mag, Ppr			Department Preference (reports can not be re-created from Finance System Database; meets municipal government auditing standards); GC §60201
Finance / Payroll	FIN-005	ACH Auto Pay Authorizations for Vendors / Direct Payment Authorizations for Vendors	Minimum 2 years		Mag, Ppr			District preference; GC §60201
Finance / Accounting	FIN-006	Audited Financial Statements / Audit Reports / CAFR (Consolidated Annual Financial Reports)	P		Mag, 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 S=Scan	Destroy Paper after Imaged & QC'd?	
<i>If the record is not listed here, refer to the Retention for District-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>								
Finance / Accounting	FIN-007	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.)	7 years		Mag, OD, Ppr	S / I	Yes: After QC & OD	District Preference (may include records pertaining to independent contractor's compensation, or expense reimbursement); Meets auditing standards; GC §60201
Finance / Accounting	FIN-008	Bonds / Debt / Transcripts / Disclosure Reports / Lines of Credit / Promissory Notes / Commercial Paper	Fully Defeased or Matured + Refundings +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., 60201
Finance / Accounting	FIN-009	Cell Phone Tower Maintenance	Demolition of Tower + 2 years		Mag, OD, Ppr	S/i	Yes: After QC & OD	Department Preference; GC §60201 et. seq.
Finance / Accounting	FIN-010	Checks Issued by the District (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 / Accounting	FIN-011	Daily Cash / Receipts / Petty Cash Slips	7 years		Mag, Ppr			District preference (meets municipal government auditing standards); GC §60201
Finance / Accounting	FIN-012	Deposits / Deposit Slips	7 years		Mag, Ppr			District preference (meets municipal government auditing standards); GC §60201

RECORDS RETENTION SCHEDULE: FINANCE

Office of Record	Retention No.	Records Description	Total Retention	Vital?	Media Options	Image: I=Import S=Scan	Destroy Paper after Imaged & QC'd?	Comments / Reference
(OFR)								
<i>If the record is not listed here, refer to the Retention for District-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>								
Finance / Accounting	FIN-013	Financial Reports: General Ledger, Journals, Ledgers, Reconciliations, Registers, Reports, Transaction Histories, Balance Sheets, Batch Proofs, Trial Balance, etc.	When No Longer Required		Mag, OD, Ppr	S/I	Yes: After QC & OD	Department Preference (reports can not be re-created from Finance System Database; meets municipal government auditing standards); GC §60201
Finance / Accounting	FIN-014	Fixed Asset Retirements - Auction / Disposal / Sales / Surplused	7 years		Mag, Ppr			Department preference; GC §60201, CCP §337
Finance / Accounting	FIN-015	Fund Accounting / Interfund Billing or Transfers	7 years		Mag, Ppr			GC §60201
Finance / Accounting	FIN-016	Investment Pools / LAIF	7 years		Mag, Ppr			Department Preference (meets municipal government auditing standards); GC §60201
Finance / Accounting	FIN-017	Journal Entries / Journal Vouchers / Audit Work Papers	7 years		Mag, Ppr			Department Preference; Meets municipal government auditing standards; GC §60201
Finance / Accounting	FIN-018	Postcards / Green Bond Sales	30 years		Mag, OD, Ppr	S/I	Yes: After QC & OD	Department preference to match the length of the bond; GC §60201
Finance / Accounting	FIN-019	Property Maintenance Contracts	Demolition of Building + 2 years		Mag, OD, Ppr	S/i	Yes: After QC & OD	Department Preference; GC §60201 et. seq.
Finance / Accounting	FIN-020	Returned Checks (NSF, etc.)	7 years	Yes: Until Paid	Mag, Ppr			Meets municipal government auditing standards; Statewide guidelines propose audit + 4 years; GC §60201
Finance / Accounting	FIN-021	Revenue from Property Taxes / Assessments / Rents	7 years		Mag, Ppr			District preference (meets municipal government auditing standards); GC §60201
Finance / Accounting	FIN-022	State Reports: State Controller's Report	7 years		Mag, Ppr			District preference; Filed with the State; GC §60201

RECORDS RETENTION SCHEDULE: FINANCE

Office of Record	Retention No.	Records Description	Total Retention	Vital?	Media Options	Image: I=Import S=Scan	Destroy Paper after Imaged & QC'd?	Comments / Reference
(OFR)								
<i>If the record is not listed here, refer to the Retention for District-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>								
Finance / Accounting	FIN-023	Tax Returns (Sales Tax, 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 / Accounting	FIN-024	W-9's	P		Mag, OD, Ppr	S/I	Yes: After QC & OD	District 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 / Payroll	FIN-025	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-026	Deferred Compensation Quarterly Reports / 457 Quarterly Statements	7 years		Mag, Ppr			Department preference; GC §60201
Finance / Payroll	FIN-027	Payroll Checks (cancelled)	7 years		Mag, OD, Ppr	S/I	Yes: After QC & OD	GC §60201(d)(12)
Finance / Payroll	FIN-028	Payroll Registers / Payroll Reports / Distribution / Withholding Control & Distribution Report	P		Mag, OD, Ppr	S/I	Yes: After QC & OD	Department preference; GC §60201(d)(12)
Finance / Payroll	FIN-029	Pension Contribution Reports / CalPERS	7 years		Mag, OD, Ppr	S/I	Yes: After QC & OD	Department preference; GC §60201

RECORDS RETENTION SCHEDULE: FINANCE

Office of Record	Retention No.	Records Description	Total Retention	Vital?	Media Options	Image: I=Import S=Scan	Destroy Paper after Imaged & QC'd?	Comments / Reference
(OFR)								
<i>If the record is not listed here, refer to the Retention for District-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>								
Finance / Payroll	FIN-030	Timesheets	7 years		Mag, 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-031	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)
PROCUREMENT & CONTRACTS (See District-Wide Schedule for all other Records)								
Finance / Procurement & Contracts	FIN-032	Bid Solicitation Tool / Bid Sync	Indefinite		Mag			Data is interrelated; GC §§60201

**RECORDS RETENTION SCHEDULE: GENERAL COUNSEL / LEGAL,
RISK MANAGEMENT**

Office of Record	Retention No.	Records Description	Total Retention	Vital?	Media Options	Image: I=Import S=Scan	Destroy Paper after Imaged & QC'd?	Comments / Reference
(OFR)								
<i>If the record is not listed here, refer to the Retention for District-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>								
GENERAL COUNSEL / LEGAL								
General Counsel / Legal	GC-001	Advice Files including memos to Staff and Board	When No Longer Required		Mag, Ppr			GC §60201
General Counsel / Legal	GC-002	Employee Investigations when Not Retained by Human Resources Department (due to involvement of Human Resources personnel)	Separation + 6 years	Yes: Until Separation	Mag, OD, Ppr	S/I	Yes: After QC & OD	Department Preference (matches the length of time that Human Resources retains their Personnel File); 29 CFR 1602.14; 1602.31 & 1627.3(b)(ii); GC §§12946, 60201; 29 USC 1113; GC §3105; GC §53235.2(b)
General Counsel / Legal	GC-003	Lawsuits / Litigation - Final Settlement	P	Yes: Until Resolution	Mag, 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 / Legal	GC-004	Lawsuits / Litigation - Real Property Rights	P	Yes: Until Resolution	Mag, OD, Ppr	S	Yes: After QC & OD	Department Preference; Covers various statute of limitations; CCP §§ 337 et seq.; GC §§ 911.2, 60201, 60201.6
General Counsel / Legal	GC-005	Lawsuits / Litigation (Excludes Final Settlement)	Final Resolution + 5 years	Yes: Until Resolution	Mag, 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 / Legal	GC-006	Memos and Analysis of Real Property Rights	P	Yes: Until Resolution	Mag, 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 / Legal	GC-007	Notices: Beneficiary to Trustee / Trusts / Probate / Distributions	P	Yes: Until Resolution	Mag, OD, Ppr	S	Yes: After QC & OD	Department Preference; Covers various statute of limitations; CCP §§ 337 et seq.; GC §§ 911.2, 60201, 60201.6
General Counsel / Legal	GC-008	Subpoenas or Summons / Pitchess Motions	2 years		Mag, Ppr			GC §60201
GENERAL COUNSEL / RISK MANAGEMENT								

RECORDS RETENTION SCHEDULE: GENERAL COUNSEL / LEGAL, RISK MANAGEMENT

Office of Record	Retention No.	Records Description						Comments / Reference
(OFR)			Total Retention	Vital?	Media Options	Image: I=Import S=Scan	Destroy Paper after Imaged & QC'd?	
<i>If the record is not listed here, refer to the Retention for District-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>								
General Counsel / Risk Management	GC-009	Claims, Liability including 1st & 3rd party claims, invoices, Insurance payments, Accident/Incident Reports, etc.	Final Resolution + 5 years	Yes: Until Resolution	Mag, OD, Ppr	S	Yes: After QC & OD	Department Preference; Covers various statute of limitations; CCP §§ 337 et seq.; GC §§ 911.2, 60201, 60201.6
General Counsel / Risk Management	GC-010	Insurance Certificates (for consultant, contractor, agreements / contracts and Permits)	P	Yes: Before Completion	Mag, OD, Ppr	S/I	Yes: After 2 years	Covers E&O Statute of Limitations (insurance certificates are filed with agreement); Statute of Limitations: Contracts & Spec's=4 years, Wrongful Death=comp. + 5 years, Developers=comp. + 10 years; CCP §337 et. seq., GC §60201
General Counsel / Risk Management	GC-011	Insurance Policies (District's Evidence of Coverage & Insurance Premiums/Invoices)	P		Mag, OD, Ppr	S/I	Yes: After QC & OD	Department Preference; GC §§ 911.2, 60201
General Counsel / Risk Management	GC-012	Pollution Coverage Applications	6 years		Mag, OD, Ppr	S/I	Yes: After QC & OD	Department Preference; GC §§ 911.2, 60201
General Counsel / Risk Management	GC-013	Underwriting Reports	5 years		Mag, OD, Ppr	S/I	Yes: After QC & OD	District preference (meets municipal government auditing standards); GC §60201

RECORDS RETENTION SCHEDULE: GENERAL MANAGER

Office of Record	Retention No.	Records Description	Total Retention	Vital?	Media Options	Image: I=Import S=Scan	Destroy Paper after Imaged & QC'd?	Comments / Reference
(OFR)								
<i>If the record is not listed here, refer to the Retention for District-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>								
GENERAL MANAGER								
General Manager	GM-001	Projects & Issues (Issues and/or projects will vary over time)	Completion + 10 years		Mag, OD, Ppr	S/I	Yes: After QC & OD	Department preference; GC §60201

RECORDS RETENTION SCHEDULE: GRANTS

Office of Record	Retention No.	Records Description	Total Retention	Vital?	Media Options	Image: I=Import 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>								
GRANTS								
Grants	GR-001	Grants Management Database	Indefinite		Mag, OD, Ppr	S/I	Yes: After QC & OD	Department Preference; GC §60201
Grants	GR-002	Grants (SUCCESSFUL - all records)	After Funding Agency Audit, if required - 5 years, unless Grant Conditions requires longer retention		Mag, OD, Ppr	S/I	Yes: After QC & OD	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; 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
Grants	GR-003	Grants: UNSUCCESSFUL (Applications, Correspondence, etc.)	2 years		Mag, Ppr			Department Preference; GC §60201

RECORDS RETENTION SCHEDULE: HUMAN RESOURCES

Office of Record	Retention No.	Records Description						Comments / Reference
(OFR)			Total Retention	Vital?	Media Options	Image: I=Import S=Scan	Destroy Paper after Imaged & QC'd?	
<i>If the record is not listed here, refer to the Retention for District-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>								
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; 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, 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; 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
Human Resources	HR-004	Classification Studies / Salary Surveys	Superseded + 3 years		Mag, Ppr			Department Preference; GC §60201
Human Resources	HR-005	Classifications / Job Descriptions	Superseded + 3 years		Mag, Ppr			Department Preference; GC §60201
Human Resources	HR-006	DMV Pull Notices	When Superseded or Separation + 6 years		Mag, Ppr			District preference (DMV record that the District 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-007	Drug & Alcohol Test Results (ALL)	5 years		Mag Ppr			District 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

Office of Record	Retention No.	Records Description						Comments / Reference
(OFR)			Total Retention	Vital?	Media Options	Image: I=Import S=Scan	Destroy Paper after Imaged & QC'd?	
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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	HR-008	Employee Investigations & Complaints (Not Conflicting with Human Resource Personnel)	Separation + 3 years		Mag, OD, Ppr	S/I	Yes: After QC & OD	If the investigation or complaint involves Human Resource Personnel, General Counsel is the Office of Record; 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, 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; 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	Labor Relations - 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-012	Labor Relations / Negotiations / Office Supervisory and Management Correspondence (OSM)	10 years		Mag, Ppr			GC §60201
Human Resources	HR-013	Litigation - Employee-related	Resolution + 5 years		Mag, OD, Ppr	S/I	Yes: After QC & OD	Department Preference; GC §§ 911.2, 60201

RECORDS RETENTION SCHEDULE: HUMAN RESOURCES

Office of Record	Retention No.	Records Description						Comments / Reference
(OFR)			Total Retention	Vital?	Media Options	Image: I=Import S=Scan	Destroy Paper after Imaged & QC'd?	
<i>If the record is not listed here, refer to the Retention for District-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>								
Human Resources	HR-014	MOUs / Memoranda of Understanding (Employee Groups)	P	Yes: Current Version	Mag, OD, Ppr	S/I	Yes: After QC & OD	Department Preference; GC § 60201
Human Resources	HR-015	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
Human Resources	HR-016	OSHA Log 300, 300 A, 301, 301A, etc. / Cal OSHA Logs	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-017	Personnel Files - FMLA / Disability File	Separation + 3 years	Yes: Until Separation	Mag, OD, Ppr	S/I	Yes: After QC & OD	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-018	Personnel Files - General File (Includes Application, Awards, Backgrounds, Disciplinary Actions, Certifications, Commendations, Direct Deposit Authorization Forms, Garnishments, Child Support, Court Orders regarding Employee Wages, Evaluations, Personnel Action Forms, Policy acknowledgements, Unemployment Claims, 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; GC §53235.2(b)

RECORDS RETENTION SCHEDULE: HUMAN RESOURCES

Office of Record	Retention No.	Records Description	Total Retention	Vital?	Media Options	Image: I=Import S=Scan	Destroy Paper after Imaged & QC'd?	Comments / Reference
(OFR)								
<i>If the record is not listed here, refer to the Retention for District-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>								
Human Resources	HR-019	Personnel Files - Medical File (Includes pre-employment physicals, Hearing tests, Respirator Fit Tests, Medical Leaves, etc.)	Separation + 30 years, or Termination of Benefits, Whichever is Longer	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; 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-020	Personnel Files - Training File Documentation of completion of employment-related training, including Harassment Training Certificates, etc.	Separation + 6 years	Yes: Until Separation	Mag, OD, Ppr	S/I	Yes: After QC & OD	Department preference; 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; 29 CFR 1627.3(b)(ii), 8 CCR §3204(d)(1) et seq., GC §§12946, 60201
Human Resources	HR-021	Personnel Rules & Regulations, including employee handbook	P		Mag, OD, Ppr	S/I	Yes: After QC & OD	Department Preference; GC § 60201
Human Resources	HR-022	Ranger Background 2nd Phase (Psychological, LiveScan)	Separation + 5 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; GC §53235.2(b)
Human Resources	HR-023	Recruitment Files: Brochure, advertisement, unsuccessful applications (with or without interviews), selection materials, interview notes, results, etc.	5 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

RECORDS RETENTION SCHEDULE: HUMAN RESOURCES

Office of Record	Retention No.	Records Description						Comments / Reference
(OFR)			Total Retention	Vital?	Media Options	Image: I=Import S=Scan	Destroy Paper after Imaged & QC'd?	
<i>If the record is not listed here, refer to the Retention for District-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>								
Human Resources	HR-024	Safety Committee / Safety Steering Committee Agendas & Minutes	5 years		Mag, Ppr			Department preference; GC §60201 et seq.
Human Resources	HR-025	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
Human Resources	HR-026	Training - ALL HUMAN RESOURCE or SAFETY COURSE RECORDS (Attendance Rosters, Outlines and Materials; includes Harassment Prevention and other Training)	Minimum 7 years		Mag, OD, Ppr	S/I	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-028	Workers Compensation Files	Separation + 30 years, or Termination of Benefits, Whichever is Longer		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 §3204(d)(1) et seq., 29 CFR 1910.1020, GC §§12946, 60201, CCP §337 et seq.

RECORDS RETENTION SCHEDULE: INFORMATION SYSTEMS & TECHNOLOGY

Office of Record	Retention No.	Records Description	Total Retention	Vital?	Media Options	Image: I=Import S=Scan	Destroy Paper after Imaged & QC'd?	Comments / Reference
(OFR)								
<i>If the record is not listed here, refer to the Retention for District-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>								
INFORMATION SYSTEMS & TECHNOLOGY								
Information Systems & Technology	IST-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 & Technology	IST-002	Geographic Information System (GIS)	Indefinite	Yes	Mag			Data is interrelated; GC §60200, 60201 et seq.
Information Systems & Technology	IST-003	Network Configuration Maps & Plans	When No Longer Required	Yes	Mag. (Disk)			Department preference; GC §60201 et seq.
Information Systems & Technology	IST-004	Official Records kept on Unalterable Media such as WORM / DVD-r / CD-r / Blue Ray-R that does not permit additions, deletions, or changes	P	Yes	OD			For legal compliance for Trustworthy Electronic Records (when the electronic record serves as the official record); GC §34090 et seq., 12168.7, EVC 1550, 2 CCR 22620 et seq

RECORDS RETENTION SCHEDULE: LAND & FACILITIES

Office of Record	Retention No.	Records Description						Comments / Reference
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<i>If the record is not listed here, refer to the Retention for District-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>								
LAND & FACILITIES								
Land & Facilities	L&F-001	Aboveground Storage Tanks (Diesel, Gas) Inspections, Maintenance, Repairs	20 years, or When Superseded, Whichever is longer		Mag, OD, Ppr	S/i	Yes: After QC & OD	Department Preference; GC §60201
Land & Facilities	L&F-002	Agriculture or Grazing License Agreements / Leases	Termination + 2 years		Mag, OD, Ppr	S/i	Yes: After QC & OD	Department Preference; GC §60201 et. seq.
Land & Facilities	L&F-003	Air Quality Permits / ACMD Permits	Expiration + 5 years		Mag, OD, Ppr	S/i	Yes: After QC & OD	40 CFR 70.6; GC §60201
Land & Facilities	L&F-004	BIT Inspection & Audits (Biennial Inspection of Terminals) / DOT Program / CHP Inspections	2 years		Mag, Ppr			Department Preference (CHP audits every 25 months); GC §60201
Land & Facilities	L&F-005	Cell Phone Tower Agreements	Termination of Lease + 2 years		Mag, OD, Ppr	S/i	Yes: After QC & OD	Department Preference; GC §60201 et. seq.
Land & Facilities	L&F-006	Daily Vehicle Inspections / Pre-Trip Inspections / Vehicle Safety Checks / Daily Equipment Checks	1 year		Ppr			District preference (only 90 days is required); 13 CCR 1234(e); GC §60201
Land & Facilities	L&F-007	Generator Operation Logs & Inspections	5 years		Ppr			Form 400-E-13a instructions, GC §60201
Land & Facilities	L&F-008	Operations & Maintenance Manuals (O&M Manuals)	Life of Facility or Equipment		Mag, Ppr			Department Preference; GC §60201 et. seq.
Land & Facilities	L&F-009	Preserve Inspections / Annual Preserve Inspections	5 years		Mag, Ppr			Department preference; GC §60201
Land & Facilities	L&F-010	Property Management / Tenant / Original Leases	Termination with Tenant + 2 years		Mag, OD, Ppr	S/i	Yes: After QC & OD	Department Preference; GC §60201 et. seq.

RECORDS RETENTION SCHEDULE: LAND & FACILITIES

Office of Record	Retention No.	Records Description	Total Retention	Vital?	Media Options	Image: I=Import 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>								
Land & Facilities	L&F-011	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/i	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.
Finance / Accounting	L&F-012	Security Deposits	Expiration + 2 years		Mag, Ppr			District preference; GC §60201
Land & Facilities	L&F-013	Underground Storage Tanks – UST – Repairs, Lining, Upgrades, Location of Tank	P		Mag, Ppr			23 CCR 2712(b); H&S §25284.4(i); GC §60201
Land & Facilities	L&F-014	Underground Storage Tanks – UST Monitoring and Maintenance, Release Detection Systems, Cathodic Protection Maintenance Records	7 years		Mag, Ppr			Monitoring and Maintenance records are required on site for 3 years, 6 ½ years for cathodic protection maintenance, 5 years for calibration & maintenance of release detection systems; 23 CCR 2712(b); H&S §25284.4(i); GC §60201
Land & Facilities	L&F-015	Used Oil Disposal	3 years		Mag, Ppr			22 CCR 66266.130(c)(5), H&S §25250.18(b), 25250.19(a)(3) et seq.
Land & Facilities	L&F-016	Vehicle & Equipment Maintenance (Includes Cranes)	Sale or Disposal + 1 year		Mag, OD, Ppr	S/i	Yes: After QC & 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
Land & Facilities	L&F-017	Vehicle Titles ("Pink Slips")	Upon Sale		Ppr			Department Preference; GC §60201
Land & Facilities	L&F-018	Water (Potable): Customer Concerns / Customer Complaints: Odor / Taste / Visual Complaints (Correspondence)	Close + 5 years		Mag, Ppr			5 years is required in State and Federal law for any complaints; 40 CFR 122.41(j)(2) & 40 CFR 141.33(b); 22 CCR 64453(a)

RECORDS RETENTION SCHEDULE: LAND & FACILITIES

Office of Record	Retention No.	Records Description						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>								
Land & Facilities	L&F-019	Water (Potable): Lab Reports & Chains of Custody / Tabular Summaries: ALL	12 years		Mag, Mfr, OD, Ppr	S / I	Yes - After 3 months	Department Preference; Law requires for 12 years or 2 compliance cycles (18 years); Actual laboratory reports may be kept, or data may be transferred to tabular summaries; 22 CCR 64400.25; 22 CCR §64470, 40 CFR 141.33(a); 40 CFR 141.91
Land & Facilities	L&F-020	Work Orders / Service Requests / Accidents / Incidents / Vehicle Maintenance - All Information Entered in CMMS Database	When No Longer Required		Mag Ppr			Preliminary drafts (the database is the original); GC §60201
Land & Facilities	L&F-021	Work Orders / Service Requests / Accidents / Incidents / Vehicle Maintenance - 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			District Preference (covers all Potable Water requirements); CCP §§340 et seq., 342, GC §§945.6, GC §60201
Land & Facilities	L&F-022	Work Orders / Service Requests / Accidents / Incidents / Vehicle Maintenance CMMS DATABASE (Computerized Maintenance Management System)	Indefinite		Mag			Data is interrelated; GC §60201

RECORDS RETENTION SCHEDULE: NATURAL RESOURCES

Office of Record	Retention No.	Records Description						Comments / Reference
(OFR)			Total Retention	Vital?	Media Options	Image: I=Import S=Scan	Destroy Paper after Imaged & QC'd?	
<i>If the record is not listed here, refer to the Retention for District-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>								
NATURAL RESOURCES (See District-Wide for Monitoring and other Documents)								
Natural Resources	NR-001	Correspondence - Regulatory Agencies	Minimum 15 years	Yes: While Active Issues	Mag, OD, Ppr	S / I	Yes - After QC & OD	Department Preference; Some correspondence from Regulatory Agencies needs to be retained for long periods of time; GC §60201
Natural Resources	NR-002	Project Studies & Reports, Scientific Studies, etc.	P		Mag, OD, Ppr	S/I	Yes: After QC & OD	Department preference; GC §60201 et seq.

RECORDS RETENTION SCHEDULE: PLANNING

Office of Record	Retention No.	Records Description	Total Retention	Vital?	Media Options	Image: I=Import S=Scan	Destroy Paper after Imaged & QC'd?	Comments / Reference
(OFR)								
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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								
Finance	PL-001	Invoices (used to ensure proper reconciliation / accounting)	Copies - When No Longer Required		Mag, Ppr			Copies (Finance maintains originals); GC §60200
Planning	PL-002	Master Plans, Site Plans, Preserve Plans	P		Mag, OD, Ppr	S / I	Yes: After QC & OD	Department Preference; GC §60201
District Clerk	PL-003	Preserve & Use Management History - Compilation of Board Staff Reports and Plans by Preserve	Copies - When No Longer Required		Mag, OD, Ppr	S / I	Yes: After QC & OD	Copies (District Clerk maintains originals); GC §60200
Planning	PL-004	Public Access Working Group Agenda Packets and Minutes / Citizen Advisory Groups	P		Mag, OD, Ppr	S / I	Yes: After QC & OD	Department Preference; GC §60201
Planning	PL-005	Site & Project History / Permits (Land Use Permits, Planning Permits, Encroachment Permits, Caltrans Permits, County Permits, Water Tanks, etc) - Records with Significant Content	P		Mag, OD, Ppr	S / I	Yes: After QC & OD	Department Preference; GC §60201

RECORDS RETENTION SCHEDULE: PUBLIC AFFAIRS

Office of Record	Retention No.	Records Description	Total Retention	Vital?	Media Options	Image: I=Import S=Scan	Destroy Paper after Imaged & QC'd?	Comments / Reference
(OFR)								
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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>								
PUBLIC AFFAIRS								
Public Affairs	PA-001	Annual District Report - POST-Digital	P		Mag, OD, Ppr	S/I	Yes: After QC & OD	Department preference for historical purposes; GC §60201
Public Affairs	PA-002	Annual District Report - PRE-Digital	P		Mag, OD, Ppr	S/I	No	Department preference for historical purposes; GC §60201
Public Affairs	PA-003	Historical Records - Significant Historical Value (Opening of Trails, Founders Day, etc.) - POST-Digital	P		Mag, OD, Ppr	S/I	Yes: After QC & OD	Department preference; GC §60201
Public Affairs	PA-004	Historical Records - Significant Historical Value (Opening of Trails, Founders Day, etc.) - PRE-Digital	P		Mag, OD, Ppr	S/I	No	Department preference; GC §60201
Public Affairs	PA-005	Information Campaigns / Fact Sheets/ Flyers (Stay on Trails, Mountain Lion Information, etc.)	When No Longer Required		Mag, Ppr			Department preference; GC §60201
Public Affairs	PA-006	Legislation - Support or Oppose	5 years		Mag, Ppr			Department preference; GC §60201
Public Affairs	PA-007	Lobbyist Authorization / Reporting (FPPC Form 635 / 602)	5 years		Mag, Ppr			2 CCR 18615(d), GC §81009(e)&(g)
Public Affairs	PA-008	Newsletters Produced by the District - POST-Digital	P		Mag, OD, Ppr	S/I	Yes: After QC & OD	GC §60201
Public Affairs	PA-009	Newsletters Produced by the District - PRE-Digital	P		Mag, OD, Ppr	S/I	No	GC §60201
Public Affairs	PA-010	Permission for Use - Volunteer or Public Submitted Photo	P		Mag, OD, Ppr	S/I	Yes: After QC & OD	Department preference; GC §60201
Public Affairs	PA-011	Photos, Videos & Slides	When No Longer Required		Mag, Ppr			Drafts; final photos may become part of a final document; GC §60201
Public Affairs	PA-012	Preserve Maps, Brochures - PRE-Digital	P		Mag, OD, Ppr	S/I	No	Department preference for historical purposes; GC §60201

RECORDS RETENTION SCHEDULE: PUBLIC AFFAIRS

Office of Record	Retention No.	Records Description	Total Retention	Vital?	Media Options	Image: I=Import S=Scan	Destroy Paper after Imaged & QC'd?	Comments / Reference
(OFR)								
<i>If the record is not listed here, refer to the Retention for District-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>								
Public Affairs	PA-013	Preserve Maps, Brochures - POST-Digital	P		Mag, OD, Ppr	S/I	Yes: After QC & OD	Department preference for historical purposes; GC §60201
Public Affairs	PA-014	Public Relations / Press Releases	When No Longer Required		Mag			GC §60201
Lead Dept.	PA-015	Reports and Studies - White Papers, Issue Papers, Scientific Studies (other than Annual Reports)	When No Longer Required		Mag, Ppr			Official record reside in Lead Department (that authored the Report or Study); GC §60201
Public Affairs	PA-016	Special Projects & Fact Sheets (Issues and/or projects will vary over time)	When No Longer Required		Mag, Ppr			GC §60201

RECORDS RETENTION SCHEDULE: REAL PROPERTY

Office of Record	Retention No.	Records Description	Total Retention	Vital?	Media Options	Image: I=Import 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>								
REAL PROPERTY								
Real Property	RP-001	Maps – Historic County maps, US Patent maps, historic USGS maps	P		Mag, OD, Ppr	S/I	Yes: After QC & OD	Department preference; GC §60201
Real Property & General Counsel	RP-002	Neighbor Issues / Encroachments including Legal / Advice Memos	P		Mag, OD, Ppr	S/I	Yes: After QC & OD	Department preference; GC §60201
District Clerk	RP-003	Preliminary Use & Management Plan (PUMP)	P		Mag, Ppr			Department preference (copies - the District Clerk Maintains originals); GC §60200
Real Property	RP-004	Real Property - Purchased Property Board Reports, Easements, Escrow Closing Documents, Final Title, , Land Divisions/Lot Line Adjustments, Policy Exceptions, Title Exceptions, Title Insurance, Purchase & Sale Agreements, Photos, Maps, Resolutions, etc.	P		Mag, OD, Ppr	S/I	Yes: After QC & OD	Department preference; GC §60201
Real Property	RP-005	Real Property - Research Properties	P		Mag, OD, Ppr	S/I	Yes: After QC & OD	Department preference; GC §60201
Real Property	RP-006	Real Property Appraisal Reports: NOT Purchased	P		Mag, Ppr			Department preference (not accessible to the public until close of escrow); USPAP (Uniform Standards of Professional Appraisal Practice) ethical standards require appraisers to retain records for at least 5 years, or final disposition + 2 years, if used in a judicial proceeding; GC §60201
Real Property	RP-007	Real Property Appraisal Reports: Purchased Property, Funded Loans	P		Mag, OD, Ppr	S/I	Yes: After QC & OD	Not accessible to the public until purchase has been completed; meets grant auditing requirements; 2 CFR 200.333; 24 CFR 85.42 & 91.105(h), & 570.502(b); 29 CFR 97.42, GC §60201

RECORDS RETENTION SCHEDULE: REAL PROPERTY

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Real Property	RP-008	Real Property Database (Access Db)	Indefinite		Mag			Data is interrelated; system qualifies as a "trusted system"; GC §§60201, 12168.7

RECORDS RETENTION SCHEDULE: VISITOR SERVICES

Office of Record	Retention No.	Records Description	Total Retention	Vital?	Media Options	Image: I=Import S=Scan	Destroy Paper after Imaged & QC'd?	Comments / Reference
(OFR)								
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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>								
VISITOR SERVICES / PUBLIC SAFETY								
Visitor Services	VS-001	Access Databases: Permits, Citations / Incidents, Radar Readings	Indefinite		Mag			Data is interrelated; GC §§60201, 12168.7
Visitor Services	VS-002	Citations, Notices, Warnings / Data Ticket: All, including Parking, Marijuana / Cannabis Citations	2 years		Mag, Ppr			Department Preference; GC §60201
Visitor Services	VS-003	Complaints Regarding Peace Officers generated from a Civilian	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 after the discovery of the offense for misconduct in office; PC 832.5, EVC § 1045(b)(1), GC §§12946, 60201; VC §2547
Visitor Services	VS-004	Court Juvenile Contact Reports	2 years		Mag, Ppr			Department Preference; GC §60201
Visitor Services	VS-005	Court Trial Notices	When No Longer Required		Mag, Ppr			Court Records (Not a District Record)
Visitor Services	VS-006	District Attorney Prosecution and Discovery Requests	2 years		Mag, Ppr			GC §60201
Visitor Services/ Human Resources	VS-007	Emergency Preparedness Response and Recovery Plans	Superseded + 2 years	Yes	Mag, Ppr			Department Preference; GC §60201

RECORDS RETENTION SCHEDULE: VISITOR SERVICES

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(OFR)			Total Retention	Vital?	Media Options	Image: I=Import S=Scan	Destroy Paper after Imaged & QC'd?	
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Visitor Services	VS-008	Evidence, Property, Photographs & Film: Crime Scenes	When No Longer Required - Minimum Expiration of Appeals Period or Statute of Limitations for Crime		Mag, Ppr, OD	S/I	Yes: After QC & OD	See appropriate Crime Report; Statute of Limitations is 1 year for property seized by officers; CCP §340(4); GC §60201
Visitor Services	VS-009	Incident Reports / Crime Reports of Arrests: Sealed Cases (e.g. Juveniles) (T.N.G. Order)	Per Court Order (Subject 26 years old / Sealing Date + 5 years)	Yes	Mag, OD, Ppr	S / I	Yes: After QC & OD	Statute of Limitations runs up to age of majority + 8 years; Sealing for Juveniles and Wards of the Court retained for 5 years; CCP §§340.1, GC §60201; GC §68152(g)(1), W&I §781(d)
Visitor Services	VS-010	Incident Reports / Crime Reports: Capital Crimes, or Without Statute of Limitations: Arson (All) Child Abuse – Unsolved Elder Abuse – Unsolved Falsification of Public Records Homicide / Murder Kidnapping Misuse of Public Funds Treason	P	Yes: Before Disposition	Mag, OD, Ppr	S / I	Yes: After QC & OD	Department Preference; Most have no limitations on commencement of action; PC §§ 261, 286, 288, 288a, 288.5, 289, 289.5, and 799; GC § 60201 et seq.

RECORDS RETENTION SCHEDULE: VISITOR SERVICES

Office of Record	Retention No.	Records Description	Total Retention	Vital?	Media Options	Image: I=Import S=Scan	Destroy Paper after Imaged & QC'd?	Comments / Reference
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Visitor Services	VS-011	Incident Reports / Crime Reports: Felonies that are NOT Capital Crimes, or Without Statute of Limitations: - ALL except those otherwise specifically mentioned in this retention schedule (see Comments for exceptions)	10 years or upon DOJ Notification	Yes	Mag, OD, Ppr	S / I	Yes: After QC & OD	Department Preference; Provided there are no outstanding warrants, unrecovered weapons, criminal deaths, they are not historically significant, no property related to the report is outstanding in the DOJ or NCIC databases, and it is not classified under PC §§799, 800, 290, 457.1 and H&S §§11590 registrant; Stat. of Limit. is 2 yrs; Destroy juvenile marijuana after age18; H&S §11361.5, GC §60201, PC §802, PC §§187, 800 et seq.
Visitor Services	VS-012	Internal Affairs Investigations - Individual Rangers / Complaints Against Peace Officers	Final Disposition + 5 years		Mag, Ppr			State requires for at least 5 years for civilian's 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 after the discovery of the offense for misconduct in office; PC 832.5. EVC § 1045(b)(1), GC §§12946, 60201; VC §2547
Visitor Services	VS-013	List of Ranger Equipment Issued (Badge, Body Armor, Radios, etc.)	Separation + 6 years	Yes: Until Separation	Mag, OD, Ppr	S/I	Yes: After QC & OD	Department Preference; GC § 60201 et seq.
Visitor Services	VS-014	Patrol Logs / Incidents / Documentation of Rounds Made	2 years		Mag, OD, Ppr	S/I	Yes: After QC & OD	Department Preference; GC §60201
Visitor Services	VS-015	Patrol Schedules	2 years		Mag, OD, Ppr	S/I	Yes: After QC & OD	Department Preference; GC §60201
Visitor Services	VS-016	Radar Readings	2 years		Mag, OD, Ppr	S/I	Yes: After QC & OD	Department Preference; GC §60201
Visitor Services	VS-017	Ride-Along Waivers	5 years		Mag, OD, Ppr	S/I	Yes: After QC & OD	Department Preference; GC §60201

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Visitor Services	VS-018	Training - Ranger Field Safety Course Records Attendance Rosters, Outlines and Materials; includes safety training. Certificates are maintained in the employee's Training File	5 years		Mag, Ppr, OD	S/I	Yes: After QC & OD	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; 29 CFR 1627.3(b)(ii), 8 CCR §3204(d)(1) et seq., GC §§12946, 60201
Visitor Services	VS-019	Training Files - Rangers / Sworn, Unsworn, Reserves Certificate copies, qualification scores, mandatory training records, POST Training	Separation + 5 years		Mag, Ppr, OD	S/I	Yes: After QC & OD	Department Preference; GC §60201
VISITOR SERVICES / VOLUNTEER PROGRAMS								
Visitor Services	VS-020	Daniels Nature Center Guestbook / Visitor's Log	2 years		Mag, Ppr			Department Preference; GC §60201
Visitor Services	VS-021	Online Volunteer Forms (Interest Forms, Volunteer Service Hours Reports, Participant Feedback) / WuFoo Database (Sign-ups, Permits, Waivers)	Indefinite		Mag			Data is interrelated; GC §§60201, 12168.7
Visitor Services	VS-022	Public Activity and Event Sign-in and Release of Liability / Photo Release	7 years		Mag, Ppr			Department Preference; GC §60201
Visitor Services	VS-023	Training Sign-in Sheets / Enrichment Rosters(may include waivers)	5 years		Mag, Ppr			Department Preference; GC §60201
VISITOR SERVICES / VOLUNTEERS								
Visitor Services	VS-024	Volunteer Applications	3 years		Mag, Ppr			Department preference (Courts treat volunteers as employees); EEOC/FLSA/ADEA (Age) requires 3 years for promotion, demotion, transfer, selection, or discharge; 29 CFR 1602.31 & 1627.3(b)(1)(i)&(ii), GC §§12946, 60201

RECORDS RETENTION SCHEDULE: VISITOR SERVICES

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Visitor Services	VS-025	Volunteer Training Records	5 years		Mag, Ppr			Department Preference; GC §60201
Visitor Services	VS-026	Volunteers / Docents - Agreement and Release of Liability Forms, Child Abuse Prevention (CAP) form, Emergency Contacts, Documentation of LiveScan Clearance	Inactive / Separation + 3 years		Mag, Ppr			Department preference (Courts treat volunteers as employees); EEOC/FLSA/ADEA (Age) requires 3 years for promotion, demotion, transfer, selection, or discharge; 29 CFR 1602.31 & 1627.3(b)(1)(i)&(ii), GC §§12946, 60201