

Santa Clara Valley Open Space Authority
RECORDS RETENTION SCHEDULE

ID # BRD-033
 Rev 01
 Date 04/14/2016
 Reso 16-18

			RETENTION PERIODS			FORMAT	VITAL	Location of Original	Location of Duplicate	DoR	REMARKS
			Active	Inactive	Total						
		Copies, Duplicates, Drafts for which a department is not the department or office of record (DoR).	DR	N/A	DR	E, HC	0			All	Duplicates and copies distributed to various departments for informational purposes and preliminary drafts, notes or interagency or intra-agency memoranda that are not retained by the public agency in the ordinary course of business may be destroyed by the departments when they are no longer useful for reference.
100	-00	ADMINISTRATION									Notes
101	-00	OFFICE GENERAL MANAGEMENT									
101	-01	General Information	2	0	2	HC	0			ADM	Documents not listed in the records retention schedule and considered routine in nature.
101	-02	Correspondence	C	2	C+2	HC	0			ADM	Letter, Memos, Faxes, General/Public, Reports, Subject Files
101	-03	Policies/Procedures	C	2	C+2	E, HC	0			ADM	Procedures in support of policies (not officially approved)
101	-04	Documents or publications of historical or archival value to the Authority in the opinion of the Board of Directors or the General Manager.	2	P	P	E, HC	VITAL			ADM	
101	-05	Email pertaining directly to business	2	0	2	E	0			ADM	
101	-06	Staff, Board and Committee Directories	C			E, HC				ADM	
101	-07	Forms (incomplete)	C	0	C	E, HC	0			ADM	Forms used for business processes, form index
101	-08	Work plans	C	2	2	HC	0			ADM	
101	-09	Public Records Request	C	2	2	HC	0			ADM	
102	-00	LEGISLATIVE/LEGAL									
102	-01	Legislative/Legal General Information	2	0	2	E, HC	0			ADM	Documents not listed in the records retention schedule and considered routine in nature.
102	-02	Agenda packets from Board meetings	P	P	P	E, HC	VITAL			ADM	Agenda, reports, supporting documentation
102	-03	Legal notices and publications	C	4	4	HC	0			Various	Includes public notices, legal publications
102	-04	Oaths of Office									Elected Officials
102	-05	Original Minutes	P	P	P	E, HC	VITAL			ADM	Final minutes approved by the governing Board
102	-06	Recording of meeting minutes	C	2	2	E				ADM	Audio or video -- when used for minute preparation
102	-07	Resolutions & Ordinances	P	P	P	E, HC	VITAL			ADM	Governing body approved.
102	-08	Ballots	C	1	C+1	HC	0			A	Property related fees (Assessment Ballot proceeding)
102	-09	Documents relating to ballot measures - Historical	P	P	P	E, HC	VITAL			ADM	Containing historical value
102	-10	Documents relating to ballot measures - non-historical	C	2	2	HC	0			ADM	Duplicate documents, notes, unsuccessful bids
102	-11	Fair Political Practices Commission (FPPC) -- Conflict of Interest Forms and Info/Form 700 -- Elected officials	C	7	T+7	HC	0			ADM	Annual filing, elected officials
102	-12	Fair Political Practices Commission (FPPC) -- Ethics Training	C	5	C+5	HC	0			ADM	Certificates of completion, policies, training documents for AB1234.
102	-13	Applications to Board and CAC -- Not selected	2	0	2	HC	0			ADM	selected (includes CAC)

Legend
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102	-14	Applications to Board and CAC -- Selected	C	5	C+5	HC	0			ADM	Not selected (includes CAC)
102	-15	Contracts & Agreements (excluding capital improvement)	T	5	T+5	HC	0			Various	Includes leases, equipment, services, or supplies; mitigation agreements
102	-16	Joint Powers Agreement	C	P	P	HC	VITAL			ADM	Any Joint Powers Agreements approved by the Board (currently with SDRMA for W/C)
102	-17	Contracts & Agreements (including capital improvement)	p	P	P	HC	0			Various	Construction, development
102	-18	20% Funding Applications -- Not Approved	C	2	2	HC				PLN	
102	-19	20% Funding Applications -- Approved	C	2	2	HC	0			PLN	
102	-20	20% Funding Agreements -- Approved	P	P	P	E, HC	VITAL			PLN	Applications, reports, contracts, supporting documents
102	-21	Litigation files	C	7	C+7	HC	0			LGL	
102	-23	Engineer's Reports for Assessment Districts	C	P	P	E, HC	VITAL			ADM	Annual report prepared for reinstatement of assessment districts
102	-24	Grand Jury Reports		2	8	10	HC	0		ADM	Includes responses
102	-25	Conflict of Interest Bi-ennial Filing	C	2	2	E, HC	0			ADM	
103	-00	SAFETY									
103	-01	Safety General Information	2	0	2	E, HC	0			ADM	Documents not listed in the records retention schedule and considered routine in nature.
103	-02	Safety Training Records	C	2	C+2	HC	0			ADM	Certificates of completion, attendance rosters
103	-03	Ergonomic Evaluation and Job Analysis	C	7	C+7	HC	0			ADM	
103	-04	Training Materials	C	2	C+2	HC	0			ADM	
103	-05	Permits for Use	C	2	C+2	HC	0			ADM	
103	-06	Apparatus/Vehicle Records, Inventory, Equipment and Supplies	C	2	C+2	HC	0			ADM	Repair and maintenance records
103	-07	Emergency Management Plan	C	2	C+2	E, HC	0			ADM	
104	-00	RISK MANAGEMENT									
104	-01	Risk Management General Information	2	0	2	HC	0			ADM	Documents not listed in the records retention schedule and considered routine in nature.
104	-02	Permits for Use	C	2	C+2	HC	0			ADM	Completed permits for use of OSA lands
104	-03	Bonds, Insurance Certificates for Liability, Property, Crime, Worker's Comp	2	P	P	HC	VITAL			ADM	Bonds and insurance policies insuring Authority property and other assets
104	-04	Incident Reports	C	7	C+7	HC	0			ADM	Theft, arson, vandalism, property damage or similar occurrence
104	-05	Insurance, Certificates	C	P	P	HC	0			ADM	Insurance certificates filed separately from contracts, includes insurance filed by licensees
104	-06	Insurance, Workers Compensation	C	P	P	HC	VITAL			ADM	Policy and other supporting documentation
104	-08	Property damage claims	C	5	C+5	HC	0			ADM	Includes claim reports, employee reports, photos
104	-09	Risk Management Reports	C	5	C+5	HC	VITAL			ADM	CalOSHA Forms; Loss Analysis Report; Safety Reports
105	-00	RECORDS MANAGEMENT									Notes
105	-01	Records Management General Information	2	0	2	HC	0			Various	Documents not listed in the records retention schedule and considered routine in nature.
105	-02	Records of Destruction	2	P	P	HC	0			Various	Record Destruction Requests and Proof of Destruction
105	-03	Records Retention Schedules	C	4	C+4	E, HC	VITAL			ADM	Procedures in support of policies (not officially approved)

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106	-00	INFORMATION SYSTEMS								Notes
106	-01	2	0	2	E, HC	0			ADM	
106	-02	C	0	C+2	E	0			ADM	Website, current, Analysis reports
106	-03	C	2	C+2	E HC	VITAL			ADM	Letter, Memos, Faxes, General/Public, Reports, Subject Files
106	-04	C	0	C	E	VITAL			ADM	Procedures in support of policies (not officially approved)
106	-05	C	0	C	E	0			ADM	Procedures in support of policies (not officially approved)
200	-00	PLANNING AND DEVELOPMENT								Notes
201	-01	2	0	2	HC	0			PLN	Documents not listed in the records retention schedule and considered routine in nature.
201	-02	C	2	C+2	E, HC	0			PLN	
201	-03	P	P	P	E, HC	VITAL			PLN	
201	-04	C	1	C+1	E, HC	0			PLN	
201	-05	C	5	C+5	HC	0			PLN	Refer to grant application
201	-06	C	2	C+2	HC	0			PLN	
201	-07	AU	5	AU+5	HC	VITAL			Various	Call for proposals from vendors
201	-08	AU	2	AU+2	HC	VITAL			Various	
201	-09	P	P	P	HC	VITAL			PLN	
202	-00	ACQUISITIONS								Notes
202	-01	P	P	P	E, HC	Vital	HC:HS or E:CS	E:CS	PLN	Includes deeds, grant deeds, deeds of trust and assignment of rents, quitclaim deeds, deed restrictions, subordination agreements, promissory notes secured by property, easements, covenant of easement, public access easements. Recorded documents are also duplicated at the County Recorder office.
202	-02	P	P	P	E, HC	Vital	HC:HS or E:CS	E:CS	PLN	Correspondence with landowner related to project goals, tax and legal matters, notifications, approvals, enforcement, and other key matters the organization determines essential to the defense of the transaction.
202	-03	P	P	P	E, HC	Vital	HC:HS or E:CS	E:CS	PLN	Baseline documentation reports for conservation easements.
202	-04	P	P	P	E, HC	Vital	HC:HS or E:CS	E:CS	PLN	Title insurance policies or evidence of title investigation.
202	-05	P	P	P	E, HC	Vital	HC:HS or E:CS	E:CS	PLN	Recorded surveys are also duplicated at the County Recorder office.
202	-06	P	P	P	E, HC	Vital	HC:HS or E:CS	E:CS	PLN	Full appraisals (or summary appraisals if full appraisals are not available) used to substantiate the purchase price or used by the landowner to substantiate the tax deduction.
202	-07	P	P	P	E, HC	Vital	HC:HS or E:CS	E:CS	PLN	for projects where the landowner claimed a federal tax deduction (the organizations "original" can be a copy of the landowner's signed original).

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202	-08	Conservation Easement Monitoring Reports	P	P	P	E, HC	Vital	HC:HS or E:CS	E:CS	PLN	
202	-09	Fee Property Inspection Records	P	P	P	E, HC	Vital	HC:HS or E:CS	E:CS	PLN	Fee property inspection records essential to the stewardship and defense of the property
202	-10	Contracts and Leases Relative to Land Management Activities	T	5	T+5	E, HC	0	HC:HS or E:CS	E:CS	PLN	Contracts and leases relative to long-term land management activities (original retained for only as long as it and applicable statute of limitations is in effect)
300	-00	COMMUNITY PROGRAMS									Notes
301	-01	Interpretive and Public General Information	2	0	2	E, HC	0			PUB	Documents not listed in the records retention schedule and considered routine in nature.
301	-02	Public Art	C	0	0	HC	0			ADM	public art displays on Authority property
301	-03	Brochures, publications, newsletters, bulletins, fliers	C	2	2	E, HC	0			PUB	If historical value, archive permanently
301	-04	Media relations	C	2	2	E, HC	0			PUB	press releases, newspaper articles, radio ads, message boards, presentations, clippings
302	-00	INTERPRETIVE PROGRAMS									
302	-01	Interpretive program materials	C	2	2	E, HC	0			INT	Documents not listed in the records retention schedule and considered routine in nature.
302	-02	Interpretive program descriptions	C	2	2	E, HC	1			INT	
302	-03	Interpretive program general information	C	2	2	E, HC	2			INT	
303	-00	VOLUNTEER PROGRAMS									
303	-01	Volunteer Liability Forms/Sign In Sheets, Completed	C	P	P	HC	0			Various	Completed waiver of liability forms, Volunteer sign in sheets with liability statements
303	-02	Volunteer Program Materials	C	2	2	E, HC	0			Various	Training, manuals, informational material
400	-00	ACCOUNTING & FINANCE									Notes
401	-01	General Information	2	0	2	E, HC	0			ACC	Documents not listed in the records retention schedule and considered routine in nature.
401	-02	Accounting/Cash Reconciliation, Accounts Payable, Accounts Receivable, Bank Statements, Expense Reports, Deposit and Receipt Records, Monthly Financial Statements, Purchase Orders, Purchase Requisitions, Invoices, Warrants, General Ledger and computer accounting records	AU	5	AU+5	E, HC	VITAL			ACC	Current documents are vital records
401	-03	Journal Entries	AU	7	AU+7	E, HC	VITAL			ACC	Account postings with supporting documents
401	-04	1099's	AU	5	AU+5	E, HC	VITAL			ACC	
401	-05	Cancelled Checks	AU	5	AU+5	E, HC	VITAL			ACC	Includes payroll, canceled & voided
401	-06	Investment Records	C	P	P	E, HC	VITAL			ACC	Summary of transactions, inventory and earnings reports
401	-07	Audit -- Independent Annual Audit	AU	5	5	E, HC	VITAL			ACC	Independent auditor analysis
401	-08	Budget -- Approved by Board	C	P	P	E, HC	VITAL			ACC	Annual operating budget approved by governing body
401	-09	Budget Adjustments	AU	5	AU+5	E, HC	VITAL			ACC	Account transfers, appropriation and transfer of funds, creation and modification of account categories, mid-year review reports.
401	-10	Budget -- Internal Operating Budget	C	2	2	E, HC	0			ACC	Departmental reference

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401	-11	IRS Related documents	AU	10	AU+10	E, HC	VITAL			ACC	
401	-12	Non-discharged debts	C	7	C+7	E, HC	VITAL			ACC	
401	-13	Assessment Districts	C	P	P	E, HC	VITAL			ACC	Collection information, account statement, staff reports, compliance documentation
401	-14	Donations	2	3	5	E, HC	0			ACC	Gifs and donations
401	-15	Payroll Records	4	0	4	E, HC	VITAL			ACC	Employee information, payroll register, position, individual wage records, time and ay workweek begins, regular hourly rate, hours worked, overtime earnings, straight time earnings, deductions from or additions to wages, wages paid each pay period, payment dates and periods, piece rates
401	-16	Employee Wage Records	3	P	P	E, HC	VITAL			ACC	Time sheets, wage rate calculations, shift schedules, individual employee hours and days, piece rates
500	-00	PERSONNEL/HUMAN RESOURCES									Notes
501	-01	Personne/HR General Information	2	0	2	E, HC	0			ADM	Documents not listed in the records retention schedule and considered routine in nature.
501	-02	Employment Contracts	3	0	3	HC	VITAL			ADM	Employee contracts
501	-03	Volunteer Interest Forms/Application	2	0	2	HC	0			Various	Applications, Interest Forms, interview forms
501	-04	Board member Files	C	P	P	E, HC	0			ADM	Retain for historical value; includes general info, dates served, W-4
501	-05	Employee Health Records (Confidential)	T	5	T+5	HC	VITAL			ADM	First aid records of job injuries causing loss of work time; drug and alcohol test records, medical and health benefit information
501	-06	Chemical safety and toxic exposure records	T	30	T+30	HC	VITAL			ADM	Chemical safety records and toxic exposure records must be kept for duration of employment plus 30 years.
501	-07	Employee Personnel Files	P	P	P	E, HC	VITAL			ADM	Includes offer letter, salary history, training certificates, merit awards, evaluations, discipline, may include other personnel related info. Latest information suggests keeping records permanently (5/6/2009)
501	-08	Federal I-9 -- Employment Eligibility Verification	3	0	T+3	HC	VITAL			ADM	Keep at least 3 years or 1 year after termination, whichever is longest.
501	-09	Recruitment, Hiring and Job Placement Records	2	0	2	HC	0			ADM	Applications, resumes, logs, exam materials, exam answer sheets, announcements, bulletins, eligibility, electronic database
501	-10	Training Records	C	2	C+2	HC	0			ADM	Employee & Volunteer Training Records
501	-11	Job Descriptions	C	2	C+2	E, HC	VITAL			ADM	Current documents are vital records
501	-12	Classifications & Surveys	C	2	C+2	E, HC	0			ADM	Classification and wage studies
502	-00	BENEFITS									
502	-01	Employee Health Benefits Plan Data	C	6	C+6	HC	VITAL			ADM	Summary Plan Descriptions and other health benefit plan documentation
502	-02	Retirement Plan Information	C	P	P	HC	VITAL			ADM	PERS, Social Security, SSI, ICMA, etc., Employee records, plan documents, contracts, etc.
503	-00	WORKER'S COMPENSATION									
503	-01	Employee Files (Confidential File)	C	P	P	HC	VITAL			ADM	Claim Files, Reports, Incidents (working files) originals filed with Administrator
503	-02	Forms and Handouts	C	2	C+2	HC	0			ADM	
503	-03	Reports	2	P	P	HC	0			ADM	Includes utilization and state reporting

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503	-04	Administrator Correspondence	2	3	5	HC	0			ADM	
503	-05	Personal Physician Form	C	P	P	HC	VITAL			ADM	
600	-00	OPERATIONS									Notes
601	-01	Operations General Information	2	0	2	HC	0			OPS	Documents not listed in the records retention schedule and considered routine in nature.
601	-02	Inventory, Equipment, Parts & Supplies	C	2	C+2	HC	0			OPS	
601	-03	Licenses & Permits	C	2	C+2	HC	VITAL			OPS	
601	-04	Maintenance Operations	C	2	C+2	HC	0			OPS	Related requests for service and work orders
601	-05	Vehicle Ownership & Title	C	C	C	HC	VITAL			ADM	
601	-06	Building & Facilities Maintenance	C	2	C+2	HC	0			OPS	

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