



Monterey County Board of Supervisors

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1st Floor
Salinas, CA 93901
831.755.5066

Board Order

Resolution No.: 16-270

Upon motion of Supervisor Phillips, seconded by Supervisor Salinas and carried by those members present, the Board of Supervisors hereby:

Adopted Resolution No.: 16-270 to:

- a. Approve the Records Retention Schedule for the Resource Management Agency - Public Works & Facilities for the storage and/or destruction of County records as set forth by Federal and State laws, county codes and policies; and
- b. Authorize the Deputy Director of Public Works & Facilities or designee to destroy or cause the destruction of County records in accordance with the approved Records Retention Schedule for the Resource Management Agency - Public Works & Facilities.

PASSED AND ADOPTED on this 4th day of October 2016, by the following vote, to wit:

AYES: Supervisors Armenta, Phillips, Salinas, Parker and Potter

NOES: None

ABSENT: None

I, Gail T. Borkowski, Clerk of the Board of Supervisors of the County of Monterey, State of California, hereby certify that the foregoing is a true copy of an original order of said Board of Supervisors duly made and entered in the minutes thereof of Minute Book 79 for the meeting on October 4, 2016.

Dated: October 18, 2016
File ID: RES 16-055

Gail T. Borkowski, Clerk of the Board of Supervisors
County of Monterey, State of California

By

Deputy

**Before the Board of Supervisors in and for the
County of Monterey, State of California**

Resolution No. 16-270

Adopt Resolution approving the Records)
Retention Schedule for the Resource)
Management Agency – Public Works &)
Facilities for storage and/or destruction of)
County records as set forth by federal and state)
laws, county codes, and policies; and Authorize)
the Deputy Director of Public)
Works & Facilities or designee to destroy or)
cause the destruction of County records in)
accordance with the approved Records)
Retention Schedule for the Resource)
Management Agency - Public Works &)
Facilities.....)

RECITALS

WHEREAS, the Records Retention Schedule for the Resource Management Agency – Public Works & Facilities (RMA-PW) (hereafter “Schedule”), attached hereto as Exhibit A and incorporated herein by reference, sets forth retention periods for the records of RMA-PW;

WHEREAS, California Government Code Section 26201 provides that the Board of Supervisors may authorize at any time the destruction or disposition of any duplicate record, paper, or document, the original or permanent photographic reproduction of which is in the files of any officer or department of the County;

WHEREAS, California Government Code Section 26202 provides that the Board of Supervisors may authorize the destruction or disposition of any record, paper, or document which is more than two (2) years old and which was prepared or received in any manner other than pursuant to a state statute or county charter;

WHEREAS, California Government Code Section 26202 provides that the Board of Supervisors may authorize the destruction or disposition of any record, paper or document which is more than two (2) years old, which was prepared or received pursuant to state statute or county charter, and which is not expressly required by law to be filed and preserved if the board determines by four-fifths (4/5) vote that the retention of any such record, paper or document is no longer necessary or required for county purposes. Such records, papers or documents need not be photographed, reproduced or microfilmed prior to destruction and no copy thereof need be retained;

WHEREAS, California Government Code Section 26205 provides that the Board of Supervisors may authorize the destruction of any record, paper, or document that is not expressly required

by law to be filed and preserved if all of the following conditions are complied with

- a. The record, paper, or document is photographed, micro-photographed, reproduced by electronically recorded video images on magnetic surfaces, recorded in the electronic data processing system, recorded on optical disk, or reproduced on film or any other medium that is a trusted system and that does not permit additions, deletions, or changes to the original document and is produced in compliance with Section 12168.7 for recording of permanent records or nonpermanent records.
- b. The device used to reproduce the record, paper, or document on film, optical disk, or any other medium is one that accurately reproduces the original thereof in all details and which does not permit additions, deletions, or changes to the original document images.
- c. The photographs, microphotographs, electronically recorded video images on magnetic surfaces, records in the electronic data processing system, records recorded on optical disk, or other reproductions on film or any other medium are placed in conveniently accessible files and provision is made for preserving, examining, and using the files;

WHEREAS, California Government Code Section 26205.1 provides that the Board of Supervisors may adopt a resolution authorizing a county officer having custody of non-judicial public records, documents, instruments, books, and papers to destroy such records if the records prepared or received other than pursuant to a state statute or county charter and are not expressly required by law to be filed and preserved;

WHEREAS, Monterey County Board of Supervisors approved and adopted the County of Monterey Records Management Policy on July 1, 2014 which included the Countywide Cross Departmental Records Retention Schedule;

WHEREAS, the Schedule incorporates herein by this reference said cross departmental records retention schedule as may be amended from time to time;

WHEREAS, the retention periods set forth in the Schedule meet or exceed the retention periods required by state law;

WHEREAS, the Schedule is beneficial and serves the public welfare because it establishes uniform standards for management of records; saves office and storage space by allowing the destructions of records that are no longer necessary or required for County purposes; and protects and preserves records of legal, historical, research, and informational value for future reference; and

WHEREAS, the Board of Supervisors finds that RMA-PW records whose destruction is hereby authorized are records that meet one (1) or more of the following criteria: are duplicates of original records kept by other agencies; are not records prepared or received pursuant to state law; are records for which any statutorily-required minimum retention period has been satisfied; are records not expressly required by law to be filed and preserved by RMA-PW; or are records that, if prepared or received pursuant to a state statute, are not expressly required by law to be filed and preserved and will no longer be necessary or required for County purposes

after the retention period prescribed in the Schedule.

DECISION

NOW, THEREFORE, BE IT RESOLVED THAT, the Board of Supervisors of the County of Monterey does hereby:

1. Approve the Records Retention Schedule for the Resource Management Agency – Public Works & Facilities for the storage and/or destruction of County records as set forth by federal and state laws, county codes, and policies which is attached hereto as Exhibit A and incorporated herein by this reference.

2. Authorize the Deputy Director of Public Works & Facilities or designee to destroy or cause the destruction of County records in accordance with the approved Records Retention Schedule for the Resource Management Agency – Public Works & Facilities.

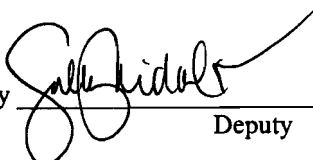
PASSED AND ADOPTED upon motion of Supervisor Phillips, seconded by Supervisor Salinas carried this 4th day of October 2016, by the following vote, to wit:

AYES: Supervisors Armenta, Phillips, Salinas, Parker and Potter
NOES: None
ABSENT: None

I, Gail T. Borkowski, Clerk of the Board of Supervisors of the County of Monterey, State of California, hereby certify that the foregoing is a true copy of an original order of said Board of Supervisors duly made and entered in the minutes thereof of Minute Book 79 for the meeting on October 4, 2016.

Dated: October 18, 2016
File Number: RES 16-055

Gail T. Borkowski, Clerk of the Board of Supervisors
County of Monterey, State of California

By  _____
Deputy

**Monterey County Resource Management Agency - Public Works & Facilities
Records Retention Schedule - Approved September 27, 2016**

Exhibit A

ITEM NO.	TITLE & RECORD DESCRIPTION	RETENTION PERIODS			RECORD DETAIL			DIVISION	REMARKS	CITATION
		OFFICE	RC	TOTAL	FORMAT	VITAL	ARCHIVE			
	COPIES or DUPLICATES of documents for which a department is not the office of record.	DR		DR					It is the policy of the County of Monterey that copies distributed to various departments for informational purposes and 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.	GC 26201 (copies); BOS File ID 14-653 No. 12, 07-01-2014
PWG100	GENERAL ADMINISTRATION									
PWG101	OFFICE MANAGEMENT & REFERENCE									
101.01	Correspondence - Chronological Files	CY	2	CY+2	HC			Various	Routine correspondence received by or sent by divisions; may include letters, memos, and notes.	GC 26202
101.02	Training Materials	CY	2	CCR+2	E HC			Various	Includes reference materials: such as Help aids, Tutorials, and Software and Hardware Training Manuals.	GC 26202
101.03	Staff Meeting Notes	DR		DR	E HC			Various	Notes not retained in the ordinary course of business.	GC 26202
101.04	Work Plans	CY	2	CY+2	E HC			Various		GC 26202
101.05	Departmental Analysis & Reports	CY	2	CY+2	E HC			Ad	Includes reorganization and transformation info, department and division mission statements, visions, drivers, initiatives, etc.	GC 26202
101.06	Press Releases	CY	2	CY+2	E			Ad		GC 26202
101.07	General Subject Files	CY	2	CY+2	HC			Various	Internal working files.	GC 26202
101.08	Customer Service Response Management	CY	2	CY+2	D E HC			Various	Customer service requests/complaints that specify a need of service on County-maintained roads or facilities. If tied to litigation, retain until resolved.	GC 26202
101.09	Professional Associations	CY	2	CY+2	HC			Ad	(American Public Works Association; County Engineers Association of California).	GC 26202
101.10	Publications from other agencies & vendors	D/R		D/R	HC			Various	Not in County's control; includes magazines, catalogs, brochures; meeting notices (not a public record if not related to ongoing course of business).	GC 26202
101.11	Telephone and visitor logs	CY	2	CY+2	HC			Various	Formal logs, registers, notes documenting incoming/outgoing telephone calls and visitor access.	GC 26202
101.12	Monterey County Code	P		P	E HC	yes		Ad	Updated periodically by other departments; Keep until superseded.	GC 26202
101.13	Policies / Procedures	P	(Duration of policy / procedure +2 years)	P	E HC		yes	Various	Records that document and support the implementation of a particular policy or program.	
PWG 102	FORMS & PUBLICATIONS									
102.01	General Information	2		2	HC			Various		GC 26202
102.02	Blank Forms	CY	2	CY+2	E HC			Various	Templates/forms are considered preliminary drafts exempt from disclosure; keep until superseded.	GC 26202

ITEM NO.	TITLE & RECORD DESCRIPTION	RETENTION PERIODS			RECORD DETAIL			DIVISION	REMARKS	CITATION
		OFFICE	RC	TOTAL	FORMAT	VITAL	ARCHIVE			
102.03	Document Templates	CY		CY	E			Various	Templates are considered preliminary drafts exempt from disclosure; keep until superseded.	GC 26202
PWG 103	RECORDS MANAGEMENT									
103.01	General Information	2	--	2	HC			Various		GC 26202
103.02	Certificate of Destruction / Certificate of Disposition	2	2	CCR+2	HC	yes	yes	Ad	Authorization to destroy obsolete records, Authorization to destroy unrecoverable damaged records.	GC 26202
103.03	Retention Schedules	CY	2	CCR+2	E HC	yes		Ad	Closed/completed/replaced +2 years.	GC 26202
103.04	Records Management Policies/Procedures	CY	P	CCR+2	E HC	yes	yes	Ad	Records that document and support implementation of records retention schedule.	GC 26202
103.05	Unified Functional Filing System Index	CY	2	CCR+2	E			Various	Keep +2 years after superseded.	GC 26202
103.06	Inventory, Records	CY	2	CCR+2	E	yes		Various	Inventory of records holdings & locations; keep +2 years after superseded.	GC 26202
103.07	Public Records Request	CY	1	CY+1	E HC			Ad	Includes request, correspondence and copies of records provided.	MCMC 2.69.010
PWG104	PRINTING/POSTAGE									
104.01	General Information	2		2	HC			Various		GC 26202
104.02	Printing/Reproduction	2		2	HC			Various	Includes templates of documents sent to printers for reproduction; such as forms and business cards.	GC 26202
104.03	Postal/Mailing; returned mail	CY	2	CY+2	HC			FAC	Includes reports and records related to postage and courier service allocated to county departments; returned mail.	GC 26202
PWG105	FAIR POLITICAL PRACTICES COMMISSION									
105.01	General Information	2	--	2	E			Ad	Conflict of Interest Code staff reports.	GC 26202
105.02	Blank Forms	CY		CY	E			Ad		GC 26202
105.03	Manuals and Publications	CY		CY	E			Ad		GC 26202
105.04	Administration	CY		CY	E			Ad	Fair Practices Political Commission opinions.	GC 26202
105.05	Statement of Economic Interest (Form 700) Designated Employees and Consultants	CY	7	CY+7	D E HC			Ad	Board and Commission members, designated employee and consultant Form 700 and staff reports on Conflict of Interest Code.	GC 81009(e)
PWG106	FIXED ASSETS									
106.01	General Information	2	--	2	HC			Ad		GC 26202
106.02	Inventory, Furnishings, Equipment (not computers)	CY	5	CY +5	D E	yes		Ad	Inventory of departmental plant furnishings and equipment. Does not include capital assets and vehicles.	GC 26202
106.03	Surplus Property Disposal	Au	5	Au+5	D E			Ad		GC 26202
106.04	Vehicle Ownership & Title	CY	8	CY	D E	yes		Ad		GC 26202
106.05	Vehicle Assignment	CY	2	CY+2	HC			Ad	Log books, request forms.	GC 26202
106.06	Van Pool Program	CY		CY	HC	yes		Ad FAC	Includes van pool applications; invoices; logs.	GC 26202
PWG107	BUDGETING									
107.01	General Information	2	--	2	HC			FF	Division Recommended Budgets; budget augmentation reports.	GC 26202
107.02	Adopted Budget	CY	P	P	D E HC	yes		FF	Adopted budget.	GC 26201 (copies)

ITEM NO.	TITLE & RECORD DESCRIPTION	RETENTION PERIODS			RECORD DETAIL			DIVISION	REMARKS	CITATION	
		OFFICE	RC	TOTAL	FORMAT	VITAL	ARCHIVE				
PWCD200	COMMUNITY DEVELOPMENT										
PWCD201	DEVELOPMENT ADMINISTRATION										
201	.01	General Information	2		2	HC			CD		GC 26202
201	.02	Correspondence	CY								
201	.03	Customer Service Response Management	CY+1		CY+1	D E HC			CD	Customer service requests/complaints that specify a need of service on County-maintained roads or facilities. If tied to litigation, retain until resolved.	
201	.04	Reference publications- regulatory plans	CY	3	CY+3	D E HC	yes		BS CD PL	Master Plans, General Plans & Elements to General Plan, Area Plans, Local Coastal Plans, Land Use Plans, Zoning Ordinance, Zoning Maps, Zoning Text Amendments, Plans, Drawings, Exhibits, and Photos.	GC 26201 (copies)
201	.05	Development Standards	CY	P	P	HC			CD		GC 26202
201	.06	Development Bonds	CY	10	CY+10	HC	yes		CD	A development bond is what a developer posts to insure that required public improvements (roads, curbs, gutters, sidewalks, schools, etc) are built. BONDS INSURING REAL PROPERTY MUST BE RETAINED PERMANENTLY.	GC 66499; CCP 337.15
201	.07	Security Bonds	CY	2	CY+2	HC	yes		CD	Documentation created/received in connection with performance of work/services for parcel maps & subdivision work.	GC 66499; CCP 337.15
201	.08	Development Conditions & Development Agreement Supporting Materials	CY	P	P	E HC	yes		CD	Mitigation measures; filed with case files. Supporting documents for development agreement filed here; sign development agreement.	GC 66499; CCP 337.15
201	.09	Maps & Plats	2	P	P	D E HC	yes		CD	Engineering & field notes & profiles; cross-section of roads, streets, right of way maps, bridges; annexations, deannexation parks, tracts, block, storm drains maps, water easement maps, etc.	H&S 19850
201	.10	Development Impact Fees	CY	P	P	D			BS CD PL		GC 26201
PWG202	APPLICATION REVIEWS										
202	.01	Correspondence	5 years following completion	5	10 years following completion	E HC	yes	10 years following completion	BS CD PL	Includes correspondence to/from applicant and other approving agencies.	GC 26202
202	.02	Development applications	5 years following completion	5	10 years following completion	E HC	yes	10 years following completion	BS CD PL	May include development applications for minor subdivisions; subdivisions; lot-line adjustments and other developments; plans, maps, easements, right-of-way, dedications, grading, drainage, sewer profiles and drawings; construction plans, conditions of approval and agreements.	GC 26201; GC 26202
202	.03	Studies, Special Projects & Areas	5 years following completion	5	10 years following completion	E HC	yes	10 years following completion	BS CD PL	Engineering, noise, traffic impact studies, circulation.	GC 26202

ITEM NO.	TITLE & RECORD DESCRIPTION	RETENTION PERIODS			RECORD DETAIL			DIVISION	REMARKS	CITATION
		OFFICE	RC	TOTAL	FORMAT	VITAL	ARCHIVE			
PWCD203	PERMITS									
203.01	Correspondence/invoicing	CY	2	CY+2	D E HC	yes		CD	Includes correspondence to/from applicant and other agencies; permit fee invoices; receipts for payment; keep until permit finalized or application closed.	GC 26202
203.02	Permit Applications	CY	2	CY+2	D HC			CD	Includes applications submitted, but not completed.	GC 26202
203.03	Encroachment Permits	CY	P	P	D E HC	yes	yes	CD	Encroachment permits, street opening permits, driveway permits.	MCMC 14.04; GC 26202
203.04	Special Event Permits	CY	2	CY+2	HC			CD	Temporary permits for road closures during event	MCMC 14.04; GC 26202
203.05	Sewer Connection Permits	CY	P	P	HC	yes	yes	CD	Permits to connect to County Sanitation Districts.	GC 26202
203.06	Transportation Permits	CY	2	CY+2	E HC	yes		CD	Includes permits for oversize loads.	GC 26202
203.07	Street Naming and Numbering	2	P	P	E HC M	yes	yes	CD	Requests for existing or new address verification.	GC 26202
PWCD204	ROAD NAMING									
204.01	General Information/Procedures	CY	2	CY+2	D HC			CD	Keep until superseded.	GC 26202
204.02	Applications	CY	P	P	E HC	yes	yes	CD	Includes applications; supporting/nonsupporting correspondence; legal notices; maps, photographs; fees collected.	GC 26202
PWCD205	COUNTY EASEMENTS, DEEDS									
205.01	Easements/Deeds granted to County	CY	P	P	E HC M	yes	yes	CD		GC 26202
205.02	Maps, photographs, legal descriptions	CY	P	P	E HC M	yes	yes	CD		GC 26202
PWCD206	MAPPING									
206.01	General Information	2	--	2	HC			CD		GC 26202
206.02	GIS System	CY		CY	D			CD		GC 26202
206.03	Aerial Photos	CY		CY+10	D E HC			CD	Kept in flat files.	GC 26202
206.04	Maps	CY	P	P	E HC M	yes	yes	CD	Includes maps of records, archival maps.	GC 26202
206.05	Surveyor Field Notes	CY	P	P	E HC M	yes	yes	CD		GC 26202
PWT300	TRAFFIC/ENGINEERING & MAINTENANCE									
PWT301	TRAFFIC GENERAL									
301.01	General Information	2	--	2	E HC			TE		GC 26202
301.02	Policies and Procedures	CY	P	P	E HC M	yes	yes	TE	Includes guidelines, procedures, specifications and standards.	GC 26202
301.03	Customer Service Response Management	CY+1		CY+1	D E HC			TE	Customer service requests/complaints that specify a need of service on County-maintained roads or facilities. If tied to litigation, retain until resolved.	
301.04	Committees	CY	2	CY+2	D HC			TE	Includes agendas, reports, audio recordings used in creation of minutes.	GC 26601; GC 26202
301.05	Traffic Ordinances	CY	2	CY+2	E HC M	yes	yes	TE	Traffic ordinances relative to streets (e.g. weight maximum; speed limits; parking) keep until superseded.	GC 26201; MCMC Title 12
301.06	Transportation Master Plans	CY	2	CY+2	E HC			TE	Copies from other agencies (non records) used for reference.	GC 26201

ITEM NO.	TITLE & RECORD DESCRIPTION	RETENTION PERIODS			RECORD DETAIL			DIVISION	REMARKS	CITATION
		OFFICE	RC	TOTAL	FORMAT	VITAL	ARCHIVE			
301.07	Purchasing Records	Au	5	Au +5	E HC			TE	Successful Request For Proposals; Service/Vendor Agreements.	GC 26202
301.08	Solicitation Records	CY	2	CY+2	E HC			TE	Unsuccessful Request For Proposals.	GC 26202
PWT302	TRAFFIC OPERATIONS									
302.01	Abandonment/Vacations	2	P	P	HC			TE	Supporting documentation and includes temporary construction easements.	GC 26202
302.02	Intersection Records	CY +2	5	CY+7	D E HC			TE	Includes correspondence, volume counts; field recordings and photos; contracts with vendors.	GC 26202
302.03	Collision Data	CY	2	CY+2	D			TE	Collision database and related information.	GC 26202
302.04	Inventory, Traffic Control Device	CY	2	CY+2	D HC			TE	Flashers, signage, signals, striping; work orders.	GC 26202
302.05	Traffic Studies	CY	10	CY+10	E HC			TE	Includes analyses and surveys that are studies.	GC 26202
302.06	Speed Limits	CY	2	CY+2	E HC			TE	Engineering & Traffic Surveys.	GC 26202
302.07	Traffic Count - Traffic Data	CY	7	7	E HC			TE	Evaluation of traffic volume, Counts for Avg. Daily Time/Segments, turning movements, bike and pedestrian, Level of Service Calculations, queuing, speed data, collision data, historical trends, origin destination.	GC 26202
302.08	Truck Routes & Oversized Vehicles	CY	2	CY+2	HC			TE		GC 26202
302.09	Traffic Signs	CY	2	CY+2	E HC			TE	Log books, index register cards, inventory.	GC 26202
302.10	Traffic Signals	CY	2	CY+2	D HC	yes		TE	Logs, drawings, wiring diagrams, codes, circuits, installation records, testing & maintenance, traffic signal system, fiber optic comms, timing plans, special event timing, signals, lighted crosswalk warning, flashing beacons, dynamic message signs, signals for other jurisdictions.	GC 26202
302.11	Traffic Stripes and Markings	CY	2	CY+2	D HC	yes		TE		GC 26202
302.12	Temporary Traffic Control	CY	2	CY+2	D HC	yes		TE		GC 26202
302.13	Traffic Calming	CY	2	CY+2	D HC	yes		TE		
PWT303	TRAFFIC MAINTENANCE									
303.01	Maintenance/Operations	CY	2	CY+2	D	yes		TE	Work orders, inspection, repairs, cleaning, reports, striping, traffic signal maintenance and timing.	GC 26202
303.02	Inspection	CY	2	CY+2	D HC			TE	Includes intersection, sidewalks, bridges and overpasses - keep for the life of structure.	GC 26202
303.03	Field Books	2	P	P	E HC M	yes	yes	TE	Maintenance journals, notes, work orders, photos.	GC 26202
303.04	Improvement Records	2	P	P	E HC M	yes	yes	TE	Includes, as-built plans, construction drawings, design records, traffic maps and plans.	GC 26202
PWFAC 400	FACILITIES									
PWFAC 401	FACILITIES GENERAL									
401.01	General Information	2	--	2	E HC			FAC	Includes general correspondence.	GC 26202
401.02	Policies and Procedures	CY	P	P	E HC M	yes	yes	FAC	Includes guidelines, procedures, specifications and standards.	GC 26202
401.03	Customer Service Response Management	CY	2	CY+2	D E HC			FAC	Customer service requests/complaints that specify a need of service on County-maintained facilities & grounds. If tied to litigation, retain until resolved.	GC 26205.1; GC 26205.5

ITEM NO.	TITLE & RECORD DESCRIPTION	RETENTION PERIODS			RECORD DETAIL			DIVISION	REMARKS	CITATION
		OFFICE	RC	TOTAL	FORMAT	VITAL	ARCHIVE			
401.04	Assessment Reports	CY	P	P	D E HC			FAC	Usage, feasibility studies; ADA and other regulatory studies; space management.	GC 26202
401.05	Hazardous Materials Reports	CY+2	28	30	D E HC	yes		FAC	Includes material safety data sheets (MSDS) for each chemical on file retained until superseded or two (2) years after chemical disposed/consumed & chemical inventories retained thirty (30) years.	29 CFR 1910.1200(g); 29 CFR 1910.1020(d) (1)(ii)(B)
401.06	Hazardous Materials Disposal Reports	CY	3	CY+3	D E HC	yes		FAC	Records of disposal of hazardous materials; disposal manifests; Biennial and Exception reports.	40 CFR 262.40(a): 3 years or until signed copy is received from designated facility receiving waste.
401.07	Hazardous Materials Abatement and Remediation	10	P	P	E HC	yes		FAC	Includes abatement and remediation project; superfund projects; retain ten (10) years after completion of project; evaluate for permanent preservation for fifty (50) years.	42 USC 9603 (d)(2)
401.08	Naming (Assets)	CY	P	P	E HC	yes	yes	FAC	Includes application and Board resolution.	GC 26202
PWFAC402	UTILITIES									
402.01	General Information	2	-	2	HC			FAC		GC 26202
402.02	Facilities	CY	2	CY+2	E HC			FAC	If County-owned.	GC 26202
402.03	Gas & Electric Rates	CY	2	CY+2	HC			FAC		GC 26202
402.04	Underground	2	P	P	HC	yes		FAC		GC 26202
402.05	Water Utilities	2	P	P	HC	yes		FAC		GC 26202
402.06	Energy Efficiency and Usage Reports	CY+2	2	5	E HC			FAC		
PWFAC403	FACILITIES MAINTENANCE									
403.01	General Information	2	--	2	HC			FAC		GC 26202
403.02	Reports; Journals; Work Orders	CY	2	CY+2	HC			FAC	Daily activity reports, service work orders; field and journal notes; routine inspection reports.	GC 26202
403.03	Inspection Records - Major Mechanical	CY	T	CY+T	HC	yes		FAC	Reports relating to major systems; such as elevators, boilers, HVAC; maintain CY for life of equipment/system until replaced or terminated.	GC 26202
403.04	Inspection - Insurance reports	CY	3	CY+3	E HC	yes		FAC	Inspections of condition of property, safety audit reports (dam, boilers, etc.) and other inspection reports.	GC 26202
403.05	Inspection Records - Environmental Workplace	CY+1	29	30	E HC	yes		FAC	Includes analysis of environmental issues (air quality, noise, etc.) in County-owned facilities.	29 CFR 1910.1020(d) (1)(ii)(B)

ITEM NO.	TITLE & RECORD DESCRIPTION	RETENTION PERIODS			RECORD DETAIL			DIVISION	REMARKS	CITATION
		OFFICE	RC	TOTAL	FORMAT	VITAL	ARCHIVE			
403.06	Environmental Inspections and reporting	CY	P	P T	D E HC	yes		FAC	Asbestos Inspection & Abatement; mgmt plans; Asbestos Hazardous Emergency Response Act (AHERA) reports/plans; Lead paint; Underground storage tank; soil investigation/test records; retain 3 years after disposition of facility.	GC 26202
403.07	Safety Inspection reports	CY	5	CY+5	HC			FAC	Includes fire extinguisher inspection tags, insurance and fire safety inspections reports; operating permits.	
403.08	Operation & Maintenance Manuals & Drawings	CY	T	CY+T	E HC	yes		FAC	Includes manuals/drawings to mechanical systems in County-owned/leased facilities including security, fire, water detection alarm systems; Heating, Ventilation, Air Conditioning (HVAC) water/sewer system; electrical and similar mechanical systems; disaster warning systems; elevators, sump pumps, power generators, boilers; etc. Includes drawings, diagrams, schematics and supporting documentation; lay-outs, designs, plans, patterns, configurations, etc.	GC 26202
403.09	Fuel/oil storage/usage reports	CY	2	CY+2	E HC			FAC	Includes usage, pump/tank audits.	GC 26202
403.10	Inventory - consumable tools, equipment	CY	2	CY+2	E HC			FAC	Includes stores reports: parts, equipment, tools.	GC 26202
403.11	Maintenance Reports/Schedules	CY	LOE	LOE+1	E HC			FAC	Logs maintenance on equipment and vehicles; maintain life of equipment.	GC 26202
PWFAC404	CUSTODIAL & GROUNDS MANAGEMENT									
404.01	General Information	2		2	HC			FAC		GC 26202
404.02	Custodial & landscaping services	CY	2	CY+2	HC	yes		FAC	Includes service agreements; schedules.	GC 26202
404.03	Reports; Journals; Work Orders	CY	2	CY+2					Daily activity reports, service work orders; field and journal notes; routine inspection reports.	GC 26202
404.04	Inventory - consumable tools, equipment	CY	2	CY+2	HC	yes		FAC		GC 26202
404.05	Pest Control records	CY	5	CY+5	HC	yes		FAC	Includes herbicide and pesticide usage; schedules, locations.	GC 26202
PWFAC405	REAL PROPERTY									
405.01	General Information	2		2	HC			FAC		GC 26202
405.02	Inventory of Real Property	CY	P	P	E HC	yes	yes	FAC	Includes list of real property location and assessment of facility.	GC 26205.1; GC 26205.5
405.03	Acquisition / Disposition of Property	CY	P	P	E HC	yes	yes	FAC	Supporting documents for conveyance of real property; Deeds, promissory notes; easements; restrictive covenants, deeds of trust. Retain for ten (10) years after disposition of land.	GC 6254(h)
405.04	Appraisals; Title Reports	CY	2	CY+2	HC	yes		FAC	Exempt from disclosure until final acquisition obtained.	GC 26202
405.05	Property taxes	CY	2	CY+2	HC			FAC		GC 26202
405.06	Maps, Boundary	CY	P	P	E HC	yes		FAC	Recorded maps, surveys, monuments, includes neighborhood association boundaries.	GC 26202
405.07	Lot Splits and Lot Mergers	CY	P	P	E HC	yes		FAC		GC 26202
405.08	Abandonment	2	P	P	E HC	yes		FAC	Buildings, Condemnation, Demolition.	GC 26202

ITEM NO.	TITLE & RECORD DESCRIPTION	RETENTION PERIODS			RECORD DETAIL			DIVISION	REMARKS	CITATION
		OFFICE	RC	TOTAL	FORMAT	VITAL	ARCHIVE			
405.09	Relocation Files	CY	2	CY+2	HC			FAC		GC 26202
405.10	Lease (real property)	C	10	C+10	E HC	yes		FAC		CCP 337.15(a)
PWFAC406	PARKING LOTS									
406.01	General Information	2	--	2	HC			FAC		GC 26202
406.02	Lots	CY	2	CY+2	E HC			FAC		GC 26202
406.03	Regulations	CY	2	CY+2	E HC			FAC		GC 26202
406.04	Parking permits	CY T	3	CY+5 T	E HC			FAC	Includes permanent and temporary parking applications & issuance documentation for permanent and temporary employees, elected officials; retain three (3) years after termination. Retain temporary permit for three (3) years then DR.	GC 26202
PWFAC407	SECURITY									
407.01	General Information	CY	2	CY+2	E HC			FAC	Includes general procedures.	GC 26202
407.02	Authorization Employee & Public Access	CY T	5	CY+5 T	E HC	yes		FAC	Includes ID Badge applications & issuance documentation for permanent and temporary employees, consultants; retain six (6) years after termination. Retain visitor logs for three (3) years then DR.	GC 26202
407.03	Security Incidents and Investigations	CY	5	CY+5	E HC	yes		FAC	Includes vandalism reports; weapons confiscation logs; retain for six (6) years after investigation completed.	GC 26202
407.04	Security Monitoring - routine	CY		CY	E HC	yes		FAC	Includes intrusion alarm reports and security patrol logs; retain until determined no security incident has occurred.	GC 26202
407.05	Security audit reports	CY+1		CY+1	E HC			FAC	Until completion of next ensuing security audit.	GC 26202
407.06	Keys to facilities	CY T	5	CY+5 T	E HC	yes		FAC	Includes applications and signed forms for Employee and Public issuance of keys to facilities; retain for six (6) years after termination.	GC 26202
407.07	Lock replacements	CY+1		CY+1	E HC	yes		FAC	Records of service requests to replace/rekey locks for county-owned and leased facilities.	GC 26202
407.08	Vehicles - Employee Assigned, Van Pool, Court Bus	CY	2	CY+2	E HC	yes		FAC	Includes employee applications, use data sheets & logs for department-owned vehicles and vehicles used for Employee Van Pools.	GC 26202
PWFAC408	FACILITIES REPAIRS-PROJECTS									
408.01	Project Records	CY	5	CY+5 P	E HC	yes	maybe	FAC	Design & construction repair projects include as-built drawings; copies of construction contracts and supporting documentation; project bonds. Retain six (6) years after replacement, demolition, or transfer of improvement to another entity; evaluate for continuing legal, administrative and historical value.	GC 26202
408.02	Warranties	CY	2	CY+2	HC			FAC	This includes any warranties issued to the County to cover services, purchases, and or work performed for the County (e.g. roof warranty, appliance warranties).	GC 26202

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408 .03	Insurance Certificates/Surety Bonds for agreements that do not have a permanent retention period	CY	5	CY+5 P	E HC			FAC	Insurance certificates & Surety Bonds filed separately from agreements filed with Contracts Purchasing that do not have a permanent retention period. Retention period for insurance certificates coincides with retention for agreements.	GC 26202
PWFAC409	EMERGENCY/DISASTER RESPONSE/RECOVERY									
409 .01	Emergency contact information	CY	2	CY+2	E HC	yes		FAC	Frequent updates; confidential informational.	GC 26202
409 .02	Emergency Preparedness Planning	CY	2	CCR+2	E HC	yes		FAC	Includes records of training, preparedness procedures, drills; destroy as updated.	GC 26202
409 .03	Emergency Response/Recovery	Au	7	AU+7	E HC	yes		FAC	Retain for seven (7) years after audit/resolved; recovery then destroy.	GC 26202
PWFAC410	COURIER/MAIL SERVICE									
410 .01	General Information	CY	2	CY+2	E HC			FAC	Includes general procedures; routes; schedules.	GC 26202
410 .02	Inventory - consumable tools, equipment	CY	2	CY+2	HC	yes		FAC		GC 26202
PWCP500	CAPITAL PROJECTS									
PWCP501	PREDEVELOPMENT									
501 .01	General Information	Au	6	Au+6	E HC			CP		GC 26202
501 .02	Feasibility Studies, Appraisals, Right-of-Way Acquisition	Au	6	Au+6	E HC			CP	Includes related consultant agreements, reports and submittals.	GC 26202
501 .03	Preliminary Engineering	Au	6	Au+6	E HC			CP		GC 26202
501 .04	Environmental Impact studies and reports	Au	6	Au+6	E HC			CP	Includes initial studies, mitigated negative declarations, draft and final environmental impact reports and final determinations under CA Environ. Quality Act and National Environ. Protection Act.	GC 26202
PWCP502	GRANTS									
502 .01	Federal and State Grants and Assistance	Au	6	Au+6	E HC			CP	Refer to grant application close-out procedure.	GC 26202
502 .02	Grants from other sources	Au	6	Au+6	E HC			CP	Refer to grant application close-out procedure.	GC 26202
502 .03	Unfunded grant applications	CY+2	3	CY +3	E			CP		GC 26202
PWCP503	ENGINEERING DESIGN									
503 .01	Specification Standards	CY								GC 26202
503 .02	Engineering Design, Drawings, Traffic Control Plans	Au	P	P	E HC			CP	Includes street design (e.g. Signs, striping).	GC 26202
503 .03	Plans and Specifications	Au	6	Au+6	E HC			CP	Includes engineering designs, plans and specifications.	GC 26202
503 .04	Advertisement, Bid Documents	Au	6	Au+6	E HC			CP	Includes documents related to bid of project, advertisement and award of contract.	GC 26202
PWCP504	CONSTRUCTION									
504 .01	Construction contracts	Au	6	Au+6	E HC			CP	Includes contracts awarded for construction of project.	GC 26202
504 .02	Construction logs, change orders	Au	6	Au+6	E HC			CP		GC 26202
504 .03	Contractor submittals	Au	6	Au+6	E HC			CP		GC 26202
504 .04	As-Built Specification & Drawings	Au	P	P	E HC			CP		GC 26202

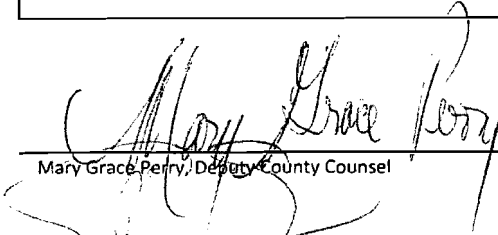
ITEM NO.	TITLE & RECORD DESCRIPTION	RETENTION PERIODS			RECORD DETAIL			DIVISION	REMARKS	CITATION
		OFFICE	RC	TOTAL	FORMAT	VITAL	ARCHIVE			
504 .05	Materials/Product/Core samples	Au	P	P				CP	Maintain based upon life of sample/product.	GC 26202
PWCP505	PROJECT CLOSEOUT									
505 .01	Construction Tracking	CY	10	CY+10		yes		CP	Construction Management held + ten (10) years after notice of completion filed.	GC 26202
505 .02	Audit Reports and Backup	2	3	5	HC	yes		CP	Audit; Single audit maintained by Auditor-Controller.	GC 26202
505 .03	Notice of Completion	CY	P	P	HC	yes		CP	Original recorded with County Recorder.	GC 26202
505 .04	Facility Systems/Equipment	CY	P	P	HC	yes		CP FAC	Installed equipment/system manuals; specifications; Transfer to FAC upon completion.	GC 26202
PWRBM600	ROAD & BRIDGE MAINTENANCE									
PWRBM601	GENERAL									
601 .01	General Information	2	--	2	E HC			RBM RDM	Includes general correspondence.	GC 26202
601 .02	Policies and Procedures	CY	P	P	E H C M	yes	yes	RBM	Includes guidelines, procedures, specifications and standards.	GC 26202
601 .03	Customer Service Response Management	CY +1	3	5	D E HC			RBM RDM	Customer service requests/complaints that specify a need of service on County-maintained facilities & grounds. If tied to litigation, retain until resolved.	GC 26205.1; GC 26205.5
601 .04	Adopt a Road Program	CY +1	3	5	D E HC			RBM RDM		GC 26202
601 .05	Regulatory Reports	CY	P	P	HC	yes		RBM RDM		GC 26202
601 .06	Permits	CY	P	P	HC	yes		RBM RDM		GC 26202
601 .07	Inventory - Maintained Roads and Bridges	CY	P	P	E H C M	yes	yes	RBM RDM TM		GC 26202
601 .08	Inventory - Nonmaintained private roads	CY	P	P	E H C M	yes	yes	RBM RDM		GC 26202
601 .09	Inventory - Guardrails	CY	P	P	E H C M	yes	yes	RBM RDM TM		GC 26202
601 .10	Inventory - Signs	CY	P	P	E H C M	yes	yes	RBM RDM TM		GC 26202
601 .11	Inventory - culverts/drainage systems	CY	P	P	E H C M	yes	yes	RBM RDM		GC 26202
601 .12	Inventory - Trees Maintained	CY	P	P	E H C M	yes	yes	RBM RDM		GC 26202
PWRBM602	ROAD MAINTENANCE									
602 .01	General Information	2	--	2	HC			RBM RDM		GC 26202
602 .02	Reports; Journals; Work Orders	CY	2	CY+2				RBM RDM	Daily activity reports, service work orders; field and journal notes; routine inspection reports.	GC 26202
602 .03	Hazardous Materials Storage/Handling/Inspection	CY+2	28	30	D E HC	yes		RBM RDM	Includes Material Safety Data Sheets (MSDS) for each chemical on file retained until superseded or two (2) years after chemical disposed/consumed & chemical inventories retained thirty (30) years; above ground storage tanks, inspection records, permits.	29 CFR 1910.1200(g); 29 CFR 1910.1020(d)(1)(ii)(B)

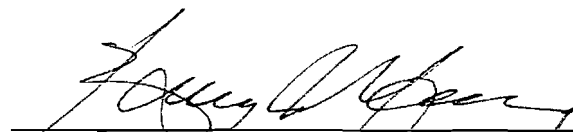
ITEM NO.	TITLE & RECORD DESCRIPTION	RETENTION PERIODS			RECORD DETAIL			DIVISION	REMARKS	CITATION
		OFFICE	RC	TOTAL	FORMAT	VITAL	ARCHIVE			
602.04	Operation & Maintenance Manuals & Drawings	CY	T	CY+T	E HC	yes		RBM RDM	Includes manuals/drawings to equipment; sewer system; electrical and similar mechanical systems; disaster warning systems; sump pumps, power generators, etc. Includes drawings, diagrams, schematics and supporting documentation; lay-outs, designs, plans, patterns, configurations, etc.	GC 26202
602.05	Fuel/oil storage/usage reports	CY	2	CY+2	E HC			RBM RDM	Includes routine operation and maintenance Underground storage tanks records; fuel storage and usage.	GC 26202
602.06	Inventory - consumable tools, equipment	CY	2	CY+2	E HC			RBM RDM	Includes stores reports: parts, equipment, tools.	GC 26202
PWRBM603	DRAINAGE SYSTEM MAINTENANCE									
603.01	General Information re Policies & Procedures	2	P	P	HC			RBM RDM	Policies & Procedures records that document and support the implementation of a particular policy or program. Permanent (duration of Policy/Procedure +2 years).	GC 26202
603.02	Flood Control	CY	P	P	HC	yes		RBM	Drainage, flood zones, dams, lakes, creeks.	GC 26202
603.03	Flood Control Insurance Programs, Policies, Reports	CY	P	P	HC			RBM	Includes policies, rules, programs; records that document and support the implementation of a particular policy or program. Permrent (duration of Policy/Procedure +2 years).	GC 26202
603.04	Drainage Maps	CY	P	P	HC	yes		RBM RDM	Line location, easements.	GC 26202
603.05	Drainage Complaints	2	--	2	E HC			RBM		GC 26202
603.06	Inventory, Equipment	CY	2	CY+2	E HC	yes		RBM		GC 26202
603.07	Locations	CY	P	P	E HC	yes		RBM	Mains, valves, hydrants, wells.	GC 26202
603.08	Maintenance & Operations	CY	2	CY+2	D			RBM RDM	Work orders, inspection, repairs, cleaning, reports.	GC 26202
603.09	Permits: NPDES	CY	P	P	HC	yes		RBM	National Pollutant Discharge Elimination System (Storm water permits).	GC 26202
603.10	Permits: California Regional Water Quality Control Board	CY	P	P	HC	yes		RBM	BiIge water discharges, Areas of Special Biological Significance (ASBS).	GC 26202
603.11	Surveyor Field Notes	CY	P	P	HC			RBM	Notes preparatory to maps of water installation.	40 CFR 141.33
603.12	Surveys, Water Systems Sanitary	CY	10	CY+10	HC			RBM	Statistics, reports, correspondence.	40 CFR 141.33
603.13	General Information	2	--	2	E HC			RBM RDM		
PWRBM604	BRIDGE MAINTENANCE									
604.01	General Information	2	--	2	E HC			RBM	Includes general correspondence.	GC 26202
604.02	Policies and Procedures	CY	P	P	E HC M	yes	yes	RBM	Includes guidelnes, procedures, specifications and standards.	GC 26202
604.03	Customer Service Response Management	CY+1	3	5	D E HC			RBM RDM	Customer service requests/complaints that specify a need of service on County-maintained facilities & grounds. If tied to litigation, retain until resolved.	GC 26205.1; GC 26205.5

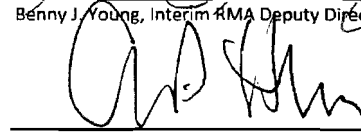
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		OFFICE	RC	TOTAL	FORMAT	VITAL	ARCHIVE			
604.04	Reports; Journals; Work Orders	CY	2	CY+2	D E HC			RBM RDM	Daily activity reports, service work orders; field and journal notes; routine inspection reports.	GC 26202
604.05	Inspection Reports	CY+2	P	P	D E HC			RBM	Routine inspections by staff and Caltrans.	GC 26202
PWRBM605	EMERGENCY/STORM RESPONSE									
605.01	General Information	CY	2	CY+2	HC			Various		GC 26202
605.02	State & Federal Disaster Response	CY	2	CY+2	HC			RBM		GC 26202
605.03	Local Emergencies and Disasters	CY	2	CY+2	HC			RBM RDM		GC 26202
605.04	Emergency / Disaster Planning	CY	2	CY+2	E HC			RBM	Emergency Preparedness plan, emergency communication, earthquake awareness, emergency management exercises and training.	GC 26202
605.05	Emergency Operations Center	CY	2	CY+2	E HC			RBM		GC 26202
605.06	Flood Control	CY	2	CY+2	E HC			RBM RDM	Storm Drain systems; Road Closure plans.	GC 26202
PWSA-L700	SERVICE AREAS - LANDFILLS									
PWC-L701	COUNTY SERVICE AREAS									
701.01	General Information	CY	2	CY+2	HC			SD		
701.02	Authority of use and fees	CY	P	P	E HC			SD	Resolution; ordinance creating service area; annexations or changes in boundaries; maps.	GC 26202
701.03	Customer Service Response Management	CY +1	3	5	D E HC			RBM RDM	Customer service requests/complaints that specify a need of service on County-maintained facilities & grounds. If tied to litigation, retain until resolved.	GC 26205.1; GC 26205.5
701.04	Reports							SD		
PWC-L702	LANDFILLS									
702.01	General Information	CY	2	CY+2	HC			SD		
702.02	Collections/Landfill	CY	2	CY+2	HC			SD	Daily records, usage, grease traps.	GC 34090
702.03	Regulations	CY	2	CY+2	HC			SD	Includes legislation on these topics.	GC 34090
702.04	Studies and Tonnage Reports	CY	2	CY+2	HC			SD		GC 34090
702.05	Reports: Regulatory	CY	P	P	HC	yes		SD		
PWCSD800	COUNTY SANITATION DISTRICTS									
PWCSD801	SANITATION DISTRICTS									
801.01	General Information	2	--	2	HC			SD	Includes general correspondance.	GC 34090
801.02	History, Sanitation	2	P	P	HC			SD	Where County-owned.	GC 34090
801.03	Maintenance and Operations	CY	2	CY+2	HC			SD	Includes work orders, inspections, repairs, reports, backflow. includes recycling inspections & audits.	GC 34090
801.04	Maps, Septic Tank	CY	P	P	HC	yes		SD	Location maps.	GC 34090
801.05	Sewer Pumping Stations	CY	2	CY+2	HC			SD		GC 34090
801.06	Sewer and Sewage	CY	2	CY+2	HC			SD	Sewer connections, sewer condition assessment surveys.	GC 34090
801.07	Sewer Condition Assessment Surveys / Videos	CY	2	CY+2	HC			SD		
801.08	Rates and Services	CY	2	CY+2	HC			SD		GC 34090

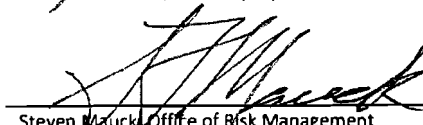
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Key to Abbreviations: Au: Audit; CCR: Closed/Completed/Replaced; CY: Current Year; D: Database; DR: Destroy when no longer relevant; E: Electronic/Image; EoL: End of Life; HC: Hard Copy; LOE: Life of Equipment; M: Microfiche/Film; MP: Materials/Products samples; P: Permanent; RC: Retention Center; T: Upon Termination; DIVISIONS: (Ad: Administration; AS: Architectural Services; BS: Building Services; CD: Community Development; CP: Capital Projects; FAC: Facilities; PL: Planning; RBM: Road/Bridge Maintenance; RDM: Road District Maintenance; RP: Real Property; SD: Special Districts; TE: Traffic Engineering; TM: Traffic Maintenance)										

The "COUNTY OF MONTEREY, CALIFORNIA, BOARD OF SUPERVISORS POLICY – COUNTY RECORDS MANAGEMENT POLICY" which includes "EXHIBIT A – CROSS DEPARTMENTAL RECORDS RETENTION SCHEDULE" approved and adopted on July 1, 2014, as may be amended from time to time, is incorporated into this "Records Retention Schedule" by this reference. As required under Section D.8. Records Retention Schedules -- departmental schedules of the "COUNTY RECORDS MANAGEMENT POLICY", the undersigned department representatives have reviewed and approved this "Records Retention Schedule" as of the last date opposite their respective signatures below.


 Mary Grace Perry, Deputy County Counsel
 9-21-2016
 Date



 Benny J. Young, Interim RMA Deputy Director of Public Works & Facilities
 9/21/16
 Date


 Carl P. Holm, RMA Director
 9/21/2016
 Date


 Steven Mauck, Office of Risk Management
 9/27/16
 Date


 Jayanti Addleman, County Archives Manager
 9/28/2016
 Date


 Michael Miller, Office of Auditor- Controller
 9/27/2016
 Date


 Eric A. Chatham, Acting Director, Information Technology Department
 9/28/16
 Date