



Monterey County Water Resources Agency

Board Order

168 West Alisal Street,
1st Floor
Salinas, CA 93901
831.755.5066

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

- a. Approved the Records Retention Schedule ("Agency Schedule") for the Monterey County Water Resources Agency ("Agency") for the storage and destruction of Agency records as set forth by federal and state laws, and codes and policies of the County of Monterey;
- b. Adopted the County of Monterey Records Retention Policy; and,
- c. Authorized the General Manager of the Agency or designee to destroy or cause the destruction of Agency records in accordance with the approved Agency Schedule.

PASSED AND ADOPTED on this 30th day of August 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 August 30, 2016.

Dated: September 16, 2016
File ID: WRAG 16-044

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

By  Deputy

**Before the Monterey County Water Resources Agency Board of Supervisors
County of Monterey, State of California**

Resolution No. 16-299

Resolution of the Monterey County Water Resources Agency Board
of Supervisors:

- a. Approving the Records Retention Schedule ("Agency)
Schedule") for the Monterey County Water Resources)
Agency ("Agency") for the storage and destruction of)
Agency records as set forth by federal and state laws, and)
codes and policies of the County of Monterey;)
- b. Adopting the County of Monterey Records Retention)
Policy; and,)
- c. Authorizing the General Manager of the Agency or)
designee to destroy or cause the destruction of Agency)
records in accordance with the approved Agency Schedule.)

WHEREAS, the Agency Schedule, for the Agency attached hereto as Exhibit A and incorporated herein by reference, sets forth retention periods for the records of the Agency;

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 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 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 a cross-departmental Schedule;

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

WHEREAS, the Agency 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 destruction of records that are no longer necessary or required for Agency purposes; and protects and preserves records of legal, historical, research, and informational value for future reference; and

WHEREAS, the Board of Supervisors finds that the Agency records whose destruction is hereby authorized are records that meet one 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 the Agency; 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 Agency purposes after the retention period prescribed in the Agency Schedule.

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

- a. Approve the Records Retention Schedule ("Agency Schedule") for the Monterey County Water Resources Agency ("Agency") for the storage and destruction of Agency records as set forth by federal and state laws, and codes and policies of the County of Monterey;
- b. Adopt the County of Monterey Records Retention Policy; and,
- c. Authorize the General Manager of the Agency or designee to destroy or cause the destruction of Agency records in accordance with the approved Agency Schedule.

PASSED AND ADOPTED upon motion of Supervisor Phillips, seconded by Supervisor Salinas carried this 30th day of August 2016, by the following vote, to wit:

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

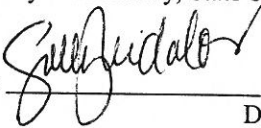
NOES: None

ABSENT: None

I, Gail T. Borkowski, Clerk of the Board of Supervisors of the Monterey County Water Resources Agency, 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 August 30, 2016.

Dated: November 16, 2016
File Number: WRAG 16-044

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

By: 

Deputy

**MONTEREY COUNTY WATER RESOURCES AGENCY
RETENTION SCHEDULE – 2016**

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. Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Legend for legal citations: §: Section; B&P: Business & Professions Code (CA); CBC: California building Code; CC: Civil Code (CA); CCP: Code of Civil Procedure (CA); CCR: California Code of Regulations (CA); CFC: California Fire Code; CFR: Code of Federal Regulations (US); EC: Elections Code (CA); EVC: Evidence Code (CA); FA: Food & Agriculture Code; FC: Family Code (CA); FTB: Franchise Tax board (CA) GC: Government Code (CA); H&S: Health and Safety Code (CA); HUD: Housing & Urban Develop. (US); LC: Labor Code (CA); Ops. Atty. Gen: Attorney General Opinions (CA); PC: Penal Code; (CA); R&T: Revenue & Taxation Code (CA); UAC: Uniform Administrative Code; UBC: Uniform Building Code; UFC: Uniform Fire Code; UPC: Uniform Plumbing Code; USC: United States Code (US); VC: Vehicle Code (CA); W&I: Welfare & Institutions Code (CA); WC: Water Code (CA).

Office of Record	Retention No.	Records Description	Retention Period	Vital/Non-Vital?	Security Class	Comments/ Legal Reference
General Manager		Calendars/Daytimers	When no longer required	Non-vital	Public	Unit preference; GC §60201
General Manager		GM Projects/Subject Files	When no longer required	Non-vital	May Contain Confidential & Public	Unit preference; GC §60201
General Manager		Agency Formation Records	Permanent		Public	Historical Purposes; GC §60201
General Manager		Projects & Issues Notes/Working Files (Issues /projects will vary over time)	When no longer required	Vital-while active issues	Public	GC §60201; GC §60203
General Manager		Agency Strategic Plan; Strategic Implementation Plan	5 years	Non-Vital	Public	GC§60201 et seq.
Board Clerk		Agendas, Agenda Packets - Board of Directors, Sub-committees of the Board.	Permanent	Vital - for meeting	Public	GS §60200
Board Clerk		Notice of Determination and Exemption—CEQA	Permanent	Vital – for projects	Public	PRC §21108
Board Clerk		Minutes: Board of Directors	Permanent	Vital	Public	GC §60201 et seq.
Board Clerk		Closed Session Agenda/Minutes	2 years	Vital - for meeting	Public	GC §60201
Board Clerk		Tapes & Recordings (audio) Agency Board Meetings	Meeting CDs: 30 days, or after minutes are approved, whichever is longer; MP3 files retained permanently		Public	Agency Preference; legally required for 30 days (or adoption of the minutes) GC §54953.5(b)
Board Clerk		Proposed Advisory Boards/Commissions/Committees; Applications to Serve, Appointed	Duration of Office plus 4 years	Non-vital	Public	GC§60201; PC §§801.5, 803c
Board Clerk		Advisory Boards/Commissions/Committees; Applications to Serve, Not Appointed	2 years	Non-vital	Public	Unit preference; GC §60201
Board Clerk		Notices: Affidavits of Postings and Publications	2 years		Public	Brown Act challenges must be filed w/in 30 or 90 days of action; GC §60201, 54960.1(c)(1)
Board Clerk		Resolutions	Permanent	Vital (all)	Public	GC§60201 et seq.
Board Clerk		Ordinances	Permanent	Vital (all)	Public	GC§60201 et seq.
Board Clerk		Prop. 218 Ballots or Protest Letters	2 years		Public	Dept. (most; if uncontested EC§§17302, 17306; CA Constitution Art. XIII

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Board Clerk	Correspondence – Board Members (includes responses)	When no longer required – minimum 4 years	Non-Vital	Public	Dept. Preference to match terms of office; GC §60201
Board Clerk	FPPC 700 Series Forms (Statement of Economic Interests) Originals	7 years at Clerk to the Board's Office		Public	GC §81009(e)(g)
Board Clerk	BOD Expense Reimbursements, Travel & Conference	1 year	Non-Vital	Public	Dept. Preference (copies) GC §60200 (Originals held by General Accounting for 10 years GC §81009(e)(g)
Board Clerk	Economic Interest Statements-Form 700 – copies of stmts.	4 years – backup to Monterey County Clerk of the Board records		Public	
Board Clerk	Association Records (external association i.e. ACWA, etc.)	When no longer needed			Non-records; GC §60201 et seq.
Board Clerk	Committees-Subcommittees of the Board	Permanent	Vital-before meeting date	Public	Dept. Preference; GC §60201
WRA Human Resources	Vacancy Folder/Recruitment File: Solicited: Advertising Plan, Brochure, advertisement, unsuccessful applications, selection materials, interview notes, results, printouts of Intranet Postings etc.	Expiration + 5 years	Non-vital	Public	Dept. preference; EEOC/FLSA/ADEA (Age) statute of limitations is 1-3 years; State Law required 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 7285 et seq., 8 CCR §11040.7(c), GC §§12946, 60201
WRA Human Resources	I-9's	Separation + 3 years	Non-vital	Confidential	Dept. preference; EEOC/FLSA/ADEA (Age) statute of limitations is 1-3 years; State Law required 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 7285 et seq., 8 CCR §11040.7(c), GC §§12946, 60201
WRA Human Resources	Personnel Files-Department Level Copies	Send to Human Resources upon separation	Vital -before separation	Confidential	Originals maintained by Personnel GC §60201; 29 CFR 1602.31 & 1627.3(b)(ii), 8CCR §3204(d)(1) et seq., GC §§12935, 60201
WRA Human Resources	Personnel Files-Supervisor's Notes	When no longer required	Vital - before separation	Confidential	Supervisor's notes should be maintained in separate folder and be incorporated in the employee's annual performance review; 29 CFR 1602.31 & 1627.3(b)(ii), 8 CCR §3204(d)(1) et seq., GC §§ 12946, 60201
WRA Human Resources/Safety/ Risk Mgmt.	Accident or Damage Reports	Copies-When no longer required	Vital - Until Settled	Confidential as to personal or medical information	Field Services maintains originals of all incident reports, Personnel maintains originals of employee injuries (workers compensation); GC §60200

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WRA Human Resources/Safety/Risk Mgmt.	Accident/Incident/Injury Reports Agency vehicle or Public	2 years	Vital	Public	Agency preference to be consistent with OSHA requirements; 8 CCR 14300.33(a); GC §§12946, 6020	
WRA Human Resources/Safety/Risk Mgmt.	Claims/Litigation	Copies-When no longer required	Vital - Before Settlement	Confidential as to personal or medical information	GC §60200, 60201 et seq.	
WRA Human Resources/Safety/Risk Mgmt.	Claims – all	When no longer required-minimum resolution + 5 years	Vital until resolution	Public	Agency preference; Covers various statute of limitations; CCP §§337 et seq.; GC §§911.2, 945, 60201, 60201.6; PC §832.5	
WRA Human Resources/Safety/Risk Mgmt.	Workers' Compensation Documentation	5 years – Required confidential destruction	Vital - Until Settled	Confidential	Official records maintained by CAO Risk Management Div. for 5 years following end of the year to which they relate. 29 CFR 1952.4, 20 CFR 1904.6	
WRA Human Resources/Safety/Risk Mgmt.	Workers' Compensation/Disability Claims/Employee Injury Reports/Supervisors Report/DWC1 – Confidential as to personal or medical information	Separation + 30 years	Non-Vital	Confidential	Claims can be made for 30 years for toxic substance exposure; Claims are required for 5 years after the end of compensation, or injury, whichever is longer; the Workers Compensation Appeals board may destroy their records after 5 years; 8 CCR §3204(d)(1) et seq., 8 CCR 10102, 10755, 10758, 15400.2; GC §§12946, 60201	
WRA Human Resources/Safety/Risk Mgmt.	Workers' Compensation/Monthly Reports from Third Party Administrator	10 years	Vital until paid.	Confidential as to personal or medical information	Agency preference to be consistent with Accounts Payable retention; Meets municipal government auditing standards; Published articles show 3-7 years; GC §60201(d)(12)	
WRA Human Resources/Safety/Risk Mgmt.	Cal-OSHA Log 200, 300, 300A, 301, etc.	7 years	Non-Vital	Public	Agency preference; Calif. Labor Div. is required to keep their records 7 years; OSHA requires 5 years; State law requires 2 years; 8CCR 14300.33(a); 20 CFR 1904.33; 29 CFR 1904.44; GC§60201 et seq.; LC §6429c	
WRA Human Resources/Safety/Risk Mgmt.	Drug & Alcohol Testing/DOT files-Random Drug Testing Program Records	5 years	Non-Vital	Confidential	DOT requires 5 years for positive tests, refusal, annual summaries, etc. 1 year for negative tests; GC§60201	
WRA Human Resources/Safety/Risk Mgmt.	In-house Training-(Attendance Rosters, outlines & materials) Safety Training, Safety Meetings etc.	Minimum 3 years	Non-Vital	Public	Statewide guidelines propose 7 years; Calif. Labor Div. 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; 20 CFR 1627.3(b)(ii), 8 CCR§3204(d)(1) et seq., GC§§12946, 60201	

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WRA Human Resources/Risk Management	Property Damage File (someone damages Agency Property)	Final disposition plus 4 years	Vital	Public	Agency preference to meet auditing standards (some are uncollectible); GC §60201
Budget	Budgets-Finals, Drafts, Reports, Worksheets	Copies-when no longer required	Vital - current fiscal year	Public	GC §§60200, 53901
Budget	Budgets; Development, Drafts, etc.	When no longer required			Dept. Preference; Agency maintains originals; longer for administrative value; GC §60200
Budget	Budgets: Adopted, Budget Hearing, etc.	Permanent	Vital - current fiscal year	Public	Dept. Preference; Agency maintains originals; longer for administrative value; GC §60200
Budget	Ad-hoc/Specialized Reports	10 years	Non-Vital	Public	Unit preference; GC §60201
Budget	Affidavits & Monitoring Data from Sources/units	10 years	Non-vital	Public	Unit preference; meets municipal government auditing standards; GC §60201
Budget	Budget Amendments/Supplemental Budget Information	10 years	Non-Vital	Public	Unit preference; meets municipal government auditing standards; GC §60201
Budget	Appropriation Requests, Budget Modifications	10 years	Non-Vital	Public	Unit preference; meets municipal government auditing standards; GC §60201
Budget	Budget Request Submittals & Details from Units	10 years	Non-Vital	Public	Unit preference; meets municipal government auditing standards; GC §60201
Budget	Preliminary Budget	When no longer required	Vital	Public	Unit preference; meets municipal government auditing standards; GC §60201
Finance/Acct.	Payroll Reports, timesheets,	7 years			Agency preference to meet auditing standards; GC §60201 et seq.
Finance/Acct.	Retiree File	7 years	Non-Vital	Public	Dept. Preference; 7 years is required for employee expense reimbursement; IRS: 4 years after tax is due or paid, CA.FTB: 3 years; IRS reg. §31.6001-1e(2), R&T §19530, GC §60201 (d) (12)
Finance/Acct.	Travel Reimbursement Files	7 years	Non-Vital	Public	7 years is required for employee expense reimbursement; IRS: 4 years after tax is due or paid, CA.FTB: 3 years; IRS reg. §31.6001-1e(2), R&T §19530, GC §60201 (d) (12)
Finance/Acct.	Bank Deposits	7 years	Non-Vital	Public	Dept. Preference; Published articles show e-7 years; GC §60201, 26 CFR 1.6001-1
Finance/Acct.	Bank statements and reconciliations	7 years	Non-Vital	Public	Dept. Preference; Published articles show e-7 years; GC §60201, 26 CFR 1.6001-1

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Finance/Acct.	Cash receipt reports, cash received reports, cashiers summary & backup	7 years	Non-Vital	Public	Dept. Preference; meets municipal government auditing standards; Published articles show 3-7 years; GC §60201
Finance/Acct.	Cash receipts and receipt books	7 years	Non-Vital	Public	Dept. Preference; meets municipal government auditing standards; Published articles show 3-7 years; GC §60201
Finance/Acct.	Wire Transfers (Bank detail)	7 years	Non-Vital	May contain confidential and Public	Dept. Preference; meets municipal government auditing standards; Published articles show 3-7 years; GC §60201
Finance/Acct.	Invoices/receivables	Payment or completion of contract + 7 years	Non-Vital	Public	Dept. Preference for auditing purposes; meets municipal government auditing standards; GC §60201
Finance/Acct.	Adjusting Entries	Permanent	Non-Vital	Public	Dept. Preference; Meets municipal gov't. auditing standards; GC §60201
Finance/Acct.	Audit work papers (Finals)	5 years	Non-Vital		Department Preference; GC §60201
Finance/Acct.	Audited Financial Statements/Comprehensive Annual Financial Report w/Audit Mgmt. Letters/Audit Reports	Permanent	Non-Vital	Public	Dept. Preference for historical purposes; Agency retains originals permanently; GC §60201 et seq.
Finance/Acct.	Audits-Operational (internal audits)	7 years	Non-Vital	Public	Department Preference; GC §60201
Finance/Acct.	Vehicle Titles (pink slips)	Upon sale of vehicle	Vital	Public	Given to the new owner upon the sale of the vehicle GC §60201 et seq.
Finance/Acct.	Bank Statements/Checking Account Reconciliation	7 years	Non-Vital	Public	Agency preference (may include records pertaining to independent contractor's compensation, or expense reimbursement); Meets municipal gov't. auditing standards; GC §60201
Finance/Acct.	Chart of Accounts	Permanent	Vital	Public	Department Preference to research year-end general ledgers, which are retained permanently; GC §60200
Finance/Acct.	Balance Sheets	2 years	Non-Vital	Public	Dept. Preference – may be referenced in annual audit; draft/preliminary documents used to produce final year-end general ledger (financial database is the original); GC §60201
Finance/Acct.	Financial Reports: Journals, Ledgers, Reconciliations, Registers, Reports, Transactions Histories, Balance Sheets, Budget Adjustments. Does not include Year-end General ledger	When no longer required	Vital until no longer needed	Public	Draft/Preliminary documents used to produce final year-end general ledger (financial database is the original); GC §60201
Finance/Acct.	Year-end audit work papers	10 years	Non-Vital	Public	Dept. Preference; 7 years is recommended by PCAOB for companies regulated by the SEC (traded over the stock exchange), GC §60201

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Finance/Acct.	Internal audits/spot audits	10 years	Non-Vital	Public	Dept. Preference; 7 years is recommended by PCAOB for companies regulated by the SEC (traded over the stock exchange), GC §60201
Finance/Acct.	Journal entries, logs and batch reports	10 years	Non-Vital	Public	Dept. Preference; may relate to compensation or expense reimbursement; published articles show 6-7 years; GC §60201
Finance/Acct.	Reconciliations	10 years	Non-Vital	Public	Dept. Preference; 7 years is recommended by PCAOB for companies regulated by the SEC (traded over the stock exchange), GC §60201
Finance/Acct.	State Controller's report	10 years	Non-Vital	Public	Dept. Preference; GC §60201
Finance/Acct.	Financial System Database	Indefinite	Non-Vital	May contain confidential and public	Data is interrelated; system qualifies as a "trusted system"; GC §§60201, 12168.7
Finance/Acct.	General Ledger: Final year-end	When no longer required – minimum 7 years	Non-Vital	Public	Dept. Preference; Published articles show 3-7 years; GC §60201
Finance/Acct.	Depreciation Schedules	Permanent	Non-Vital	Public	Dept. Preference for GASB 34; published articles show 7 years after disposal; GC §60201
Finance/Acct.	Inventory/Inventory Reports	5 years	Non-Vital	Public	Dept. Preference; GC §60200
Finance/Acct.	Inventory-physical inventory, worksheets (fixed assets)	5 years	Non-Vital	Public	Dept. Preference; GC §60200
Finance/Acct.	Fixed Assets-disposal/sales/surplused	5 years	Non-Vital	Public	Consistent w/accounts Receivable; Statute of limitations is 3 years; statewide guidelines propose 2-4 years; published articles show 3-6 years; GC§60201, CCP§337
Finance/Acct.	Fixed Assets- inventory, schedule of infrastructure and buildings	Permanent	Non-Vital	Public	Dept. Preference to comply with GASB 34; GC §60201
Finance/Acct.	Organization Charts – in Budgets and CAFRs	Permanent	Non-vital	Public	GC §60201 et seq.
Finance/Acct.	Petty Cash Reconciliation	7 years	Non-Vital	Public	Agency Preference; Meets auditing standards; GC §60201
Finance/Acct.	Check Registers	Copies-when no longer needed	Non-Vital	Public	Copies; GC §60200

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Finance/Acct.	Accounts Payable Records (includes invoices, receivers, travel expense reimbursements, etc.	7 years	Vital	Public	May contain independent contractor's compensation, expense reimbursement, or Agency credit card records; meets municipal government auditing standards; 40 CFR 122.41(j)(2); WC §13263.2(b) et seq.; GC §60201(d)(12)	
Finance/Acct.	Invoice/Purchase Order/Receiver/bills of lading/copy of check-includes petty cash – excludes contract attorney's invoices.	10 years	Vital	Public	Agency preference for grant/cost reimbursement purposes; May contain independent contractor's compensation, expense reimbursement, or Agency credit card records; meets municipal government auditing standards; published articles show 3-7 years; GC §60201(d)(12)	
Finance/Acct.	Reports: accounts payable	10 years	Vital	Public	Agency preference for grant/cost reimbursement purposes; May contain independent contractor's compensation, expense reimbursement, or Agency credit card records; meets municipal government auditing standards; published articles show 3-7 years; GC §60201(d)(12)	
Finance/Acct.	Grant Agreements; post termination conditions of grants	Permanent/ Indefinite	Vital	Public	Conditions of transactions (i.e., grants) made to, or made by, the Agency with conditions that survive termination of the contract with an open or indefinite time period.	
Finance/Acct. Legal	Contract Attorney Invoices – detail backup. (To the extent the contract revisions were made by an attorney in the course of advising the Agency, they are privileged and confidential. Also, contract reviews/revisions for contracts that are in the process of being negotiated.)	10 years	Vital until paid	May contain public and confidential	Consistent with General Accounting/accounts payable retention; Agency preference for grant/cost reimbursement purposes; may contain independent contractor's compensation, expense reimbursement or Agency credit cards records; Meets municipal government auditing standards; published articles show 3-7 years; GC §60201(d)(12)	
Finance/Acct.	Reports: accounts payable	10 years	Vital	Public	Agency preference for grant/cost reimbursement purposes; May contain independent contractor's compensation, expense reimbursement, or Agency credit card records; meets municipal government auditing standards; published articles show 3-7 years; GC §60201(d)(12)	

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Finance/Acct.	Grant Agreements; post termination conditions of grants	Permanent/ Indefinite	Vital	Public	Conditions of transactions (i.e., grants) made to, or made by, the Agency with conditions that survive termination of the contract with an open or indefinite time period.
Finance/Acct. Legal	Contract Attorney Invoices – detail backup. (To the extent the contract revisions were made by an attorney in the course of advising the Agency, they are privileged and confidential. Also, contract reviews/revisions for contracts that are in the process of being negotiated.)	10 years	Vital until paid	May contain public and confidential	Consistent with General Accounting/accounts payable retention; Agency preference for grant/cost reimbursement purposes; may contain independent contractor's compensation, expense reimbursement or Agency credit cards records; Meets municipal government auditing standards; published articles show 3-7 years; GC §60201(d)(12)
Finance/Accounting /Treasury	Commercial Paper/Letters of Credit/Lines of Credit	Cancellation, Redemption or maturity + 10 years	Vital until maturity	May contain confidential and public	Dept. Preference; Statute of Limitations for bonds, mortgages, trust deeds, notes or debentures is 6 years; Bonds issued by local governments are 10 years; there are specific requirements for disposal of unused bonds; CCP §§336(a)(1)&(2), 337.5(2); GC §43900 et seq., GC §60201 et seq.
Finance/Accounting /Treasury	Escheated Bearer Bonds	10 years	Non-Vital	May contain confidential and public	Dept. Preference; All tangible property held by government agencies escheats after 3 years with notice publication; State of Limitations is 1 year for seized property; Meets auditing requirements; CCP §§340(4), 1519; GC §60201
Dept. that authors document or receives the Agency's original document	Correspondence-Routine (Administrative, Chrono., Communications, General Files, Letters, Memos, Misc. reports, working files, etc. Does not include regulator Agency correspondence.	Minimum 2 years	Non-Vital	Public	Dept. Preference; GC§60201
Dept. that authors document or receives the Agency's original document	Correspondence-transitory/preliminary drafts, interagency and intra-agency memoranda not retained in the ordinary course of business	When no longer needed	Non-Vital	Public	Emails that have a material impact on business are saved by printing them out and placing them in a file folder, or saving them electronically; GC§§60201, 6252, 56254(a)
Lead Dept.	Drafts & Notes: drafts that are revised (retain final version)	When no longer needed	Non-Vital	Public	As long as the drafts and notes are not retained in the "Regular Course of Business". GC§60201, GC§6254

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Lead Dept.	Correspondence-Regulatory Agencies	Minimum 10 years	Vital	Public	Agency preference; some correspondence from Reg. Agencies need to be retained for long periods of time; GC §60201
Lead Dept.	Grants (successful-all records, including FEMA claims	After Funding Agency audit, if required- Minimum 5 years	Non-Vital	Public	Agency preference (may include records pertaining to independent contractors 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; 21 CFR 85, 42, 91.105(h), 92.505, & 570.502(b), 28 CFR 66.42; 29 CFR 97.42; 40 CFR 31.42; 44 CFR 13.42; 45 CFR 92.42; OMB Circular A-133; GC §60201
Lead Dept.	Grants (unsuccessful (applications, correspondence, etc.)	When no longer needed	Non-Vital	Public	GC §60201
Claims & Grants Reimbursement	Claims to Dept. of Water Resources	10 years	Non-Vital	Public	Dept. Preference; GC §60200
Claims & Grants Reimbursement	Audits Administration	Completion of Audits + 5 years	Non-Vital	Public	Dept. Preference; GC §60201
Claims & Grants Reimbursement	Debt Proceeds Binders	Life of Bond issue + 10 years	Vital until maturity	Public	Dept. Preference; State of Limitations for bonds, mortgages, trust deeds, notes or debentures is 6 years; Bonds issued by local governments are 10 years; There are specific requirements for disposal of unused bonds; CCP §§336(a)(1)&(2), 337.5(2); GC §43900 et seq. GC §60201 et seq.
Claims & Grants Reimbursement	Grant/claim Binder: work papers & binders for cost sharing, claims reimbursement, Grant audits (copies of documents compiled to facilitate audits and claim reimbursements)	After Funding Agency Audit, if required, Min. completion + 10 years	Non-vital	Public	Agency Preference (older files may contain orig. checks or invoices; they must be at least 7 years old to comply w/State law; Meets auditing standards; Uniform Admin. Requirements for Grants to Local Governments is 3 years from expenditure report or final payments of grantee or sub-grantee; 21 CFR 1403.36 & 1403.42 (b) 24 CFR 5.8.42, 91.105(h), 92.505, & 570.502(b), 28 CFR 66.42; 29 CFR 97.42; OMB Circular A-133; GC §60201

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Claims & Grants Reimbursement	Transaction Listing (to submit a claim)	After Funding Agency Audit, if required, Min. completion + 10 years	Non-vital	Public	Agency Preference (older files may contain orig. checks or invoices; they must be at least 7 years old to comply w/State law; Meets auditing standards; Uniform Admin. Requirements for Grants to Local Governments is 3 years from expenditure report or final payments of grantee or sub-grantee; 21 CFR 1403.36 & 1403.42 (b) 24 CFR 5.8.42, 91.105(h), 92.505, & 570.502(b), 28 CFR 66.42; 29 CFR 97.42; OMB Circular A-133; GC §60201 GC §60201
Lead Dept.	Photographs	When no longer needed	Non-Vital	Public	GC §60201
Lead Dept.	Reports and Studies – White Papers, Issue Papers, Position Papers, Scientific Studies (other than annual reports)	Minimum 2 years	Non-Vital	Public	GC §60201
Lead Dept.	Agreements & Contracts- Infrastructure-Architectural, Engineering, JPAs, MOUs and MOAs Agreement or Contract, Insurance Certificates & Notices of Completion, Agreement or Contract includes all contractual obligations (e.g. RFP, Specifications, Successful Proposal/Scope of Work, Certificates of Insurance and Amendments	Permanent	Vital-before completion	Public	Dept. Preference; all infrastructure, JPAs & Mutual Aid contracts are permanent for emergency preparedness; Statute of Limitations is 4 years; 10 years for errors & Omissions; CCP §§337.337.1(a), 337.15, 343; GC §60201 et seq.
Lead Dept.	Agreements & Contracts-Non- Infrastructure-(e.g. consultants, painting, maintenance, franchise agreements, etc.) Equipment purchases, consulting services, leases, vehicle purchases, etc. Agreement or Contract, Insurance Certificates & Notices of Completion, Agreement or Contract includes all contractual obligations (e.g. RFP, Specifications, Successful Proposal/Scope of Work, Certificate of Insurance & Amendments	10 years	Vital-before completion	Public	Dept. Preference; covers E&O statute of limitations; Published Audit Standards=4-7 years; Statute of Limitations; Contracts & Spec's-4 years, Wrongful Death-comp.+5 years, Developers=comp.+10 years; Statewide guidelines propose termination + 5 years; CCP §§336(a), 337 et seq., GC §60201 et seq

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Lead Dept.	Agreements & Contracts-All: Administrative Records: Correspondence, project schedules, certified payrolls, etc.	Completion + 10 years	Vital-before completion	Public	Dept. Preference; covers E&O statute of limitations; Published Audit Standards=4-7 years; Statute of Limitations; Contracts & Spec's-4 years, Wrongful Death-comp.+5 years, Developers=comp.+10 years; Statewide guidelines propose termination + 5 years; CCP §§336(a), 337 et seq., GC §60201 et seq.
Lead Dept.	Agreements & Contracts-Leases (Plant & Equipment & Renewed annually)	5 years	Vital – before completion	Public	Dept. Preference; E&O does not apply; Published Audit Standards=4-7 years; Statute of Limitations; Contracts & Spec's-4 years, Statewide guidelines propose termination + 5 years; CCP §§336(a), 337 et seq., GC §60201 et seq.
Lead Dept.	Agreements & Contracts/Unsuccessful bids	Bid opening + 2 years	Non-Vital	Public	Special Districts are required to keep public works unaccepted bids for 2 years GC §60201(d)(11)
Lead Dept.	Committee or Task Forces: Internal	When no longer needed	Non-Vital	Public	GC §60201
Lead Dept.	Committee or Task Forces: External (e.g. Assn. of Calif. Water Agencies, etc.)	When no longer needed	Non-Vital	Public	Non-Records
Lead Dept.	Displays & Exhibits	When no longer needed	Non-Vital	Public	Non-Records; GC §60201 et seq
Real Estate Services	Real Estate Appraisals – not purchased property	5 years	Non-Vital	Public	Dept. preference; USPAP (Uniform Standards of Professional Appraisal Practice) ethical standards required appraisers to retain records for at least 5 years, or final disposition + 2 years, if used in a judicial proceeding; GC §60201
Real Estate Services	Real Estate Appraisals – purchased property	Disposal of property	Non-Vital	Public	Dept. preference; USPAP (Uniform Standards of Professional Appraisal Practice) ethical standards required appraisers to retain records for at least 5 years, or final disposition + 2 years, if used in a judicial proceeding; GC §60201
Real Estate Services	Right of Way Plats & Legal Descriptions: documents to develop final recorded documents (work-ups)	Permanent	Non-Vital	Public	Dept. Preference; Real Estate Services is Office of Record for Final recorded doc.; GC §60201
Real Estate Services	Right of Way Project Files: Correspondence, fish mapping, Parcel maps, Tract Maps, Deeds, etc.	Permanent	Vital	Public	For disaster preparedness purposes; GC §60201 et seq.
Real Estate Services	Leases – non residential	Expiration of lease + 5 years	Non-Vital	Public	Meets auditing standards; Statute of Limitations for written contracts are four years from the date of breach (errors & omissions does not apply) CCP §§337., 337.1(a), 337.15; GC §60201 et seq.

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Real Estate Services	Real Estate Acquisition Files – by facility: includes easements, deed outs, rights of way, vacations/abandonments, title reports, preliminary title reports, title insurance, etc.	Permanent	Non-Vital	Public	Dept. Preference-purge drafts and transitory records; GC §60201
Real Estate Services	Right of entry permits	Expiration + 5 years	Non-Vital	Public	Meets auditing standards; Statute of Limitations for written contracts are four years from the date of breach (errors & omissions does not apply); CCP §§337., 337.1(a), 337.15; GC §60201 et seq.
Real Estate Services	Temporary Encroachment Permits	Expiration + 5 years	Non-Vital	Public	Meets auditing standards; Statute of Limitations for written contracts are four years from the date of breach (errors & omissions does not apply); CCP §§337., 337.1(a), 337.15; GC §60201 et seq.
Real Estate Services	Annexations/Boundary Changes, Index, Maps, Documents	Permanent	Vital	Public	GC §60201 et seq.
Legal	Legal Counsel - Informal Advice	When no longer required	Non-vital	Confidential	Some material may be required for reference, depending upon subject; GC §60201
Legal	Lawsuits/Litigation – Case File, Excluding Settlement Agreement	When no longer required – minimum 5 years	Vital until resolution	Confidential	Dept. Preference (Copies); Covers various statute of limitations; meets municipal government auditing standards; CCP §§337 et seq.; GC §§911.2, 945, 60201 et seq.; PC §832.5
Legal	Lawsuits/Litigation – Settlement Agreement	Permanent	Vital	Confidential	Dept. Preference; CCP §§337 et seq.; GC §§911.2, 945, 60201 et seq.; PC §832.5
Legal	Legal Opinions	Permanent	Vital	Confidential	Dept. Preference; GC §60201
Legal	Major Contract Reviews (key provisions)	When no longer needed-minimum 5 years	Vital	Confidential	Dept. Preference; for key provisions of significant contracts (drafts not concerning key provisions are destroyed in the ordinary course of business); meets municipal government auditing standards; CCP §§337 et seq.; GC §§911.2, 945, 60201 et seq.; PC §832.5
Information Technology	Backup tapes/disks-Daily	2 months	Vital	May contain Confidential and Public	Used for Disaster Recovery Purposes Only; considered a copy and can be destroyed when no longer required; retention based on administrative value; recycle tapes; GC §60200 et seq.
Information Technology	Backup tapes/disks-Weekly	When no longer needed	Vital	May contain Confidential and Public	Used for Disaster Recovery Purposes Only; considered a copy and can be destroyed when no longer required; GC §60200 et seq.

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Information Technology	Backup tapes/disks-Monthly	When no longer needed	Vital	May contain Confidential and Public	Used for Disaster Recovery Purposes Only; considered a copy and can be destroyed when no longer required; GC §60200 et seq.
Information Technology	Geographic Information System (GIS)	Indefinite	Non-Vital	May contain Confidential and Public	Agency preference; (historical data) GC §60201, GIS data showing the locations of critical infrastructure (pipelines, pipeline appurtenances and wells) are confidential
Information Technology	Requests for GIS Map Outputs/Creation	When no longer needed	Non-Vital	Public	Agency preference; GC §60201
Information Technology	Network Configuration Maps & Plans	When no longer needed	Non-Vital	Public	Preliminary documents not retained in the ordinary course of business; GC §60201 et seq.
Information Technology	Software Licenses, Warrantees, Installation Media	When no longer needed	Non-Vital	Public	Agency preference; GC §60201 et seq.
Information Technology	Access/User Privileges	When no longer needed	Non-Vital	Public	Data is interrelated; GC §60201
Information Technology	Asset Mgmt/Telecommunications Tracking	When no longer needed	Non-Vital	public	Data is interrelated; GC §60201
Information Technology	Hardware Tracking	When no longer needed	Non-Vital	Public	GC§60201
Information Technology	Software Tracking	When no longer needed	Non-Vital	Public	Data is interrelated; GC§60201
Information Technology	Software Documentation & user Training	When superseded	Non-vital	Public	Dept. Preference; GC §60201
Water Quality	NPDES Monitoring Reports	3 years	Public	Public	Dept. Preference; Monitoring records required for 3 years; 40 CFR §§122.21, 122.41; CCP §337 et seq.; GC §60201
Water Quality	NPDES Permits	Expiration + 3 years	Public	Public	Dept. Preference; Monitoring records required for 3 years; 40 CFR §§122.21, 122.41; CCP §337 et seq.; GC §60201
Water Quality	Reports to the State (Water Quality)	10 years	Public	Public	Meets Calif. Dept. of Health requirements; GC §60201
Water Quality	Water Quality Reports/Studies/Investigations/Recommendations/Plans	10 years	Non-Vital	Public	Dept. Preference; ; GC §60201

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Water Quality	Comments & reviews of proposed rule changes/proposed changes in regulations	When no longer required – minimum 10 years	Non-Vital	Public	Dept. Preference; ; GC §60201
Water Quality	Compliance Reports	5 years	Non-vital	Public	Dept. Preference; lab reports may be destroyed if data is transferred to a “tabular summary” meeting legal requirements; 40 CFR 141.339a); 40 DFR 141.91; 22 CCR 64453(b) et seq.; 22 CCR §64692
Water Quality	Corrective Action Reports	5 years	Non-Vital	Public	Dept. Preference; lab reports may be destroyed if data is transferred to a “tabular summary” meeting legal requirements; 40 CFR 141.339a); 40 DFR 141.91; 22 CCR 64453(b) et seq.; 22 CCR §64692
Water Quality	Surface Water Quality Improvement Program TMDLS (Total Min. Daily Loads)	When no longer required-Min. 10 years	Non-Vital	Public	Dept. Preference; Code of Federal Regulations requires 3 years for NPDES Permittees; 40 CFR 122.41(j)(2)
Water Quality	Water Sampling (TMDLS)	10 years	Non-Vital	Public	Dept. Preference; Code of Federal Regulations requires 3 years for NPDES Permittees; 40 CFR 122.41(j)(2)
Water Quality	Lab tests conducted by WQ contractors- compliance reports/certificate of analysis	10 years	Non-Vital	Public	Consistent with requirements for Chemical reports & sampling for drinking water (no lead or copper); lab reports may be destroyed if data is transferred to a “tabular summary” meeting legal requirements; 40 CFR 141.33(a); GC §0201
Water Quality	Models/testing	when no longer required	Non-Vital	Public	Dept. Preference; GC §60200
Water Quality	Reports/plans to ensure water quality compliance	when no longer required	Non-Vital	Public	Chemical reports & sampling for drinking water (no lead or copper); lab reports may be destroyed if data is transferred to a “tabular summary” meeting legal requirements; 40 CFR 141.33(a); GC §0201
Water Quality	Requests from regulatory agencies	when no longer required	Non-Vital	Public	Dept. Preference; GC §60200
Water Quality	Source water quality policies/guidelines/reports/studies/investigations/recommendations/plans	when no longer required-minimum 10 years	Non-Vital	Public	Dept. Preference; may be sent to the library; GC § 60200
Water Conservation	Water Conservation Programs (includes Water Conservation Certifications)	When no longer required – min 10 years	non –vital	Public	Dept. Preference; GC §60201

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Water Conservation	Water conservation outreach material	when no longer required-minimum 10 years	Non-Vital	Public	Dept. preference; GC §60201
GEMS	GEMS Database	Indefinite	Non-Vital	Public	Data is interrelated; system qualifies as a "trusted system"; GC §60201, 12168.7
GEMS	Groundwater Extraction Summary Reports –confidential as to the personal information and well usage data	Permanent	Non-Vital	May contain confidential information	Dept. Preference; GC §60201
GEMS	Groundwater Extraction Forms (raw data received from growers & purveyors)	3 years	Non-Vital	Confidential	Dept./ Preference; GC §60201
Wells	Wells: Well Owner contact information-confidential as to the personal information and well usage data	Permanent	Non-Vital	May contain confidential information	Dept. Preference; GC §60201
Wells	Meter file: calibration tests, meter tests, installation – includes TAR-test as received, and FAT – final accuracy tests	Life of the meter	Non-Vital	Public	Dept. Preference; GC §60201
Wells	Monthly report of outstanding projects	When no longer required	Non-vital	Public	Transitory records that do not have a material impact on the conduct of the public's business, GC §60201, GC §6252
Wells	Wells File: all records	Permanent	Non-Vital	Confidential	Dept. Preference; meets auditing standards for municipal governments; GC §60201
Wells	Well Permit Files: abandoned, artesian, bedrock, construction, destruction, exploratory boring, groundwater multiples, incomplete, monitoring, registration, surface water-includes all documents, including DWR form 188 & Photos, dry wells, DWIDs-Stormwater infiltration devices, monitoring well construction projects & permits, etc.	Permanent	Vital	Confidential	Dept. Preference; GC §60201
Wells	APN maps with historical wells	when no longer required	Non-Vital	Public	Now in GIS; §GC 60201
Wells	Correspondence/Memorandums relating to wells	Permanent	Non-Vital	Public	Dept. Preference; GC §60201
Wells	Videos – water wells, repairs, tanks, reservoirs	Permanent	Non vital	Public	Dept. Preference; GC §60201

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Wells	Well production reports – to State DHS & DWR	5 years	Non-vital	Public	Dept. Preference; meets Calif. Dept. of Health requirements (3 years); GC §60201
Wells	Wells, Depth to water measurements, sounding, compiled reports	Permanent	Non-vital	Public	Dept. Preference; GC §60201
Wells	Well Permit Violations/Notice of Violation/Corrective Actions	Permanent	Non-Vital	Public	Dept. Preference; GC §60201
Wells	Well research/well search/well data requests	When no longer required- minimum 1 year	Non-Vital	Confidential	Dept. Preference; GC §60201
Wells	Well Tracking Spreadsheets/databases (various)	Indefinite	Non-Vital	Public	Data is interrelated; GC §60201
Hydro Plant	Electric Power/Energy Master Plan (spreadsheet)	10 years	Non-Vital	Public	Dept. Preference; (revised every year–5 or 12 year forecasts); GC §60201
Hydro Plant	Electric Power Budget Forecasts	when no longer needed	Non-Vital	Public	Dept. Preference; GC §60200
Hydro Plant	Electric Power Usage Data Tracking Spreadsheet	Indefinite	Vital	Public	Dept. Preference; GC §60201
Hydro Plant	SCADA data pulls	Indefinite	Non-Vital	Public	Dept. Preference; (used for trending, water balances, etc.-Water Measurement uses for billing purposes); GC §60201
WRM Planning	Correspondence with Regulatory Agencies	When no longer needed-Min. 10 years	Vital while active issues	Public	Agency preference; some correspondence from Regulatory Agencies need to be retained for long periods of time; GC §60201
WRM Planning	Water Master Plans	10 years	Vital	Public	Dept. Preference (updated every 5 years); GC §60201 et seq.
WRM Planning	Water Supply Assessments	Permanent	Vital	Public	Dept. Preference; GC §60201 et seq.
WRM Planning	CEQA/NEPA Documents (Pursued & not Pursued); Final Environmental Documents; includes Draft Environmental documents that become part of the Final document, initial Determination memos may be CONFIDENTIAL; Public Records include: Categorical Exemption, Notice of Exemption, Notice of Intent, Final Neg. Dec., final Mitigated Neg. Decl., Findings, Notice of Determination, Notice of Completion, Public Noticing, Notice of Preparation, Public comments, MMRP(Mitigation	Permanent	Non-Vital	May Contain confidential and public	Send a copy of CEQA documents to the Library; Dept. Preference; Final environmental documents are required to be kept a "reasonable period of time" (life of the project and MMRP requirements); 14 Cal Code Regulations §15095(c); GC §60201

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		Monitoring & Reporting Program	Permanent	Non-Vital	Public	Agency Preference; Final environmental documents are required to be kept a "reasonable period of time" (life of the project and MMRP requirements); 14 Cal Code Regulations §15095(c); GC §60201
WRM Planning		CEQA/NEPA Compliance reports/MMRP Compliance Monitoring & Reporting Program. Includes CEQA Project Files: Implementation Compliance	Permanent	Non-Vital	Public	Agency Preference; Final environmental documents are required to be kept a "reasonable period of time" (life of the project and MMRP requirements); 14 Cal Code Regulations §15095(c); GC §60201
WRM Planning		Environmental Studies, Data and Reports e.g. Fish Evaluations, etc. Not EIRs, or other regulatory permits	Permanent-Send to Library	Non-Vital	Public	Agency Preference; Some reports from Regulatory Agencies need to be retained for long periods of time; GC §60201
WRM Planning		Ecological/Biological Field Notes and Data Sheets	Permanent	Non-Vital	May contain confidential and public	Dept. Preference; GC §60201
WRM Planning		Ecological/Biological Information Collection (Drivebys)	When no longer required – Min. 10 years	Non-Vital	Public	Agency Preference; Final environmental documents are required to be kept a "reasonable period of time"; 14 Cal Code Regulations §15095(c); GC §60201
WRM Planning		Ecological/Biological Project Files: includes biodiversity monitoring, water quality reports, revegetation, etc.	Completion + 10 years or after funding agency audit, if required, whichever is longer	Non-Vital	Public	Dept. Preference; all deliverables are given to project owner; Final environmental documents are required to be kept a "reasonable period of time"; 14 Cal Code Regulations §15095(c); GC §60201
WRM Planning		Water Conservation Certification	Permanent	Non-vital	Public	Dept. Preference; meets municipal government auditing requirements; GC §60201
Engineering		CCTV Inspection Tapes/Video Inspections/Video Tapes or Digital Reporting – on-going condition assessment	10 years		Public	Dept. 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
Engineering		CCTV Inspection Tapes/Video Inspections/Video Tapes or Digital Recording Post Construction	Permanent	Non-Vital	Public	Dept. 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
Engineering		CEQA/NEPA documents: prepared by others for non-agency projects – WRA comments, EIRs, EAs, Neg. Decs., etc.	When no longer needed	Yes: until project completed	Public	Non-records; GC §60201
Engineering		CEQA/NEPA documents: prepared by others for Agency projects –(EIRs, EAs, Neg. Decs. Etc.)	Permanent	Yes: until project completed	Public	Usually filed in Project File;; GC §60201
Engineering		Connection Permits/Repair Permits	Permanent	Vital	Public	Dept. Preference; GC §60201 et seq.

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Engineering		Job Files/Engineering Project Files/CIP (Capital Improvement Project) Files-Permanent Files-Large Format Drawings Design drawings (finals), Record Drawings ("as built")	Permanent	Vital-until completed	Public	For Disaster Recovery Purposes; Final environmental determinations are required to be kept "a reasonable period of time", 14 CCR §15095(c); GC §60201 et seq.
Engineering		Job Files/Engineering Project Files/CIP (Capital Improvement Project) Files-Permanent File: Capacity Fee Charges, construction Photos, Correspondence, Close-out/Acceptance, Deeds, Easements, Encroachment Permits, Field Inspection Reports, Bills of Material/Substitutions environmental Documents, Soils Reports, Structural Calculations, Surveys, Submittals, Materials Submittals, SAMPs, SWPPP, Variances, etc.	Permanent	Vital-until completed	Public	For Disaster Recovery Purposes; GC §60201 et seq.
Engineering		Private Development Files-Administration File: Project Administration, complaints (project related), Fee & Deposit Reimbursements, Insurance Certificates, Performance Bonds/Surety, permit Authorizations, Project Schedules, etc.	10 years or after Funding Agency Audit, if required, whichever is longer	Vital-until completed	Public	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
Engineering		Private Development Files-Permanent File-Large Format Drawings Design drawings (finals), Record Drawings ("as-built")Project	Permanent	Vital-until completed	Public	For Disaster Recovery Purposes; Final environmental determinations are required to be kept "a reasonable period of time", 14 CCR §15095(c); GC §60201 et seq.
Engineering		Private Development Files-Permanent File: Specifications, RFIs/RFPs, Capacity Fee Calculation, Change Orders, Construction Photos, Correspondence, Closeout/Acceptance, Deeds, Easements, Encroachment Permits, Field Inspection Reports, materials	Permanent	Vital-until completed	Public	For disaster Preparedness Purposes; GC §60201 et seq.

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		testing reports, Bills of Material/Substitutions Environmental documents, notice of Completion, Regulatory Agency Approvals, Right of Way, Shop Drawings, Soils reports, Structural Calculations, Surveys Submittals, materials Submittals, SAMPs, SWPPP, Variances, etc.						
Engineering		Special Purpose Maps/Tracts with Survey notes	Permanent		Vital	Public	Dept. Preference; GC §60201 et seq.	
Engineering		Subdivisions/Tract Files (contains drawing of Agency easements)	Permanent		Vital	Public	Dept. Preference; (Tracts maintained by appropriate County and/or City); GC §60201	
O&M Dam Safety		Dam Inspections	Life of Facility plus 10 years	Non-Vital		Public	Dept. Preference; GC §60201	
O&M Dam Safety		Dam Surveillance Reports/annual Surveillance Reports	Life of Facility plus 10 years	Vital		Public	Dept. Preference; All original s are sent to the Library, and maintained there; GC §60201	
O&M Dam Safety		DSOD Dam Safety Inspections	Life of Facility plus 10 years	Vital		Public	Dept. Preference; GC §60201	
O&M Dam Safety		Engineering Change Notice (ECN) regarding Dams and Facilities	Life of Facility plus 10 years	Non-Vital		Public	Dept. Preference; Becomes an Engineering Work Request (EWR); covers E&O Statute of Limitations; Public Audit Standards=4-7 years; Statute of Limitations; Contracts & Spec's=4 years, Wrongful Death=Comp. + 5 years, Developers must retain their records for completion + 10 years; CCP §§336(a), 337 et seq., GC §60201	
O&M Dam Safety		Events, Analysis & Recommendation Files	5 years	Non-Vital		Public	Dept. Preference; GC §60201	
O&M Dam Safety		FERC Inspections	Life of Facility plus 10 years	Vital		Public	Dept. Preference; GC §60201	
O&M Dam Safety		Geoscience Reports, memos, Maps	Life of Facility plus 10 years	Vital		Public	Dept. Preference; GC §60201	
O&M Dam Safety		Informal advice	when no longer required	Non-Vital		Public	Dept. Preference; GC §60201	
O&M Dam Safety		Instrumentation Readings; Compression Joints, Landslides, Fault Crossings, etc.	when no longer required-Min 10 years	Non-Vital		Public	Dept. Preference; GC §60201	
O&M Dam Safety		Instrumentation Readings; Dams	Life of Facility plus 10 years	Vital		Public	Dept. Preference; GC §60201	
O&M		Issue/Problem Analysis &	when no longer	Non-Vital		Public	Dept. Preference; GC §60201	

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Dam Safety	Recommendations	required-Min 10 years	Vital	Public	Dept. Preference; GC §60201
O&M Dam Safety	Piezometer Readings: Dams (water level, pressure of dams, etc.)	Life of Facility plus 10 years	Vital	Public	Dept. Preference; GC §60201
O&M Dam Safety	Landslide and Fault Creep Monitoring-includes annual reports	Life of Facility plus 10 years	Non-Vital	Public	Dept. Preference; GC §60201
O&M Dam Safety	Weir Readings	Life of Facility plus 10 years	Non-Vital	Public	Dept. Preference; GC §60201
O&M	Watershed Planning Projects – Administrative file: Project schedules, cost of construction , logs, insurance certificates from contractors, correspondence, etc.	Completion + 10 years	Vital until completed	Public	Statute of Limitations for written contracts are 4 years from date of breach; errors and omissions is 10 years; Death during construction is 10 years; CCP §§337., 337.1(a), 337.15 GC §60200, Contractor has retention requirements in 48 CF 4.703
O&M	Watershed Planning Projects – Permanent file: Final reports, recommendations, studies and technical reports	Permanent	Vital until completed	Public	Final reports and studies go to the Library; for disaster preparedness purposes; GC §60201 et seq.
O&M	Annual Stream Maintenance Program/Notice of Proposed Work	Permanent	Vital	Public	Dept. Preference; Forward to Library; GC §60201 et seq.
O&M	Stream Maintenance Program Annual Report	10 years	Non-vital	Public	Dept. Preference; GC §60201
O&M	Storm Drain Inspections, Schedules & Tracking	3 years	Non-vital	Public	Dept. Preference; Code of Federal Regulations requires 3 years for NPDES Permittees; 40 CFR 122.41(j)(2)
O&M	Vegetation Mgmt.: Best Mgmt. Practices Checklist/BMP checklist	3 years	Non-Vital	Public	Dept. Preference; registered fumigation/pesticide companies are required to retain logs and other records for 3 years; MPDES records are required for 3 years; 40 CFR 122.41(j)(2); 40 CFR 141.33(b); 22 CCR 64453(b)(2) et seq. 8 CCR §3204(d)(1) et seq., 15 CCR 1970; GC §60201
O&M	Vegetation Mgmt.: Channel Maintenance Contract Admin.	Completion + 10 years or after funding agency audit, if required, whichever is longer	Vital until complete	Public	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

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O&M	Weed & brush abatement, verification of work	2 years	Non-Vital	Public	Covers various statute of limitations; CCP §337 et seq., GC §60201
O&M	Vegetation Mgmt.: Chemical use Recommendation Sheet (employee's certification of what was used and how)	3 years	Non-vital	Public	Dept. Preference; registered fumigation/pesticide companies are required to retain logs and other records for 3 years; 8 CCR §3204(d)(1) et seq.; 15 CCR 1970; GC §60201
O&M	Vegetation Mgmt.: Dailies and backups (Labor Codes, etc.)	After funding agency audit, if required, minimum 10 years	non-vital	Public	Agency preference for grant reimbursement purposes, Meets auditing standards; Uniform Admin. Requirements for Grants to Local Governments is 3 years from expenditure report or final payment of grantee or sub-grantee; 21 CFR 1403.36 & 1403.42(b); 24 CFR 85.42, 91.105(h), 92.505, & 570.502(b), 28 CFR 66.42; 29 CFR 97.42; 40 CFR 31.42; 44 CFR 13.42; 45 CFR 92.42; OMB Circular A-133
O&M	Vector Control/Pesticide Records (usage records filed with County Agriculture Commissioner)	3 years	Non-vital	Public	Dept. Preference; pesticide companies are required to retain logs and other records for 3 years; 8 CCR §3204(d)(1) et seq., 15 CCR 1970; GC §60201
O&M	Equipment Repair Orders (Pumps, Pump Stations, Well Logs, etc.)	Life of equipment	Non-Vital	Public	Dept. Preference; GC §60201
O&M	Vehicle & Equipment folders; includes Maintenance history, inspections, etc.	Disposal of vehicle or equipment + 2 years	Non-vital	Public	dept. Preference to cover all statute of limitations; If a motor carrier, required for 18 months after vehicle is sold; Covers all statute of limitations; CHP requires life of vehicle; OSHA requires 1 years, 8 CCR §3203(b)(1); 40 CFR 396.21(b)(1); 49 CFR 396.3(c); CCP §337 et seq.; GC §60201
O&M	Manuals: Operations & maintenance/Project Manuals	when no longer required	Vital-until superseded	Public	Copies; GC §60201
O&M	Manuals: Operations & maintenance/O&M Manuals	Disposal of equipment	Vital-until superseded	Public	Dept. Preference; GC §60201
O&M	Water pressure Charts	5 years	Non-vital	Public	Dept. Preference; GC §60201 et seq.
O&M Docks	Boat dock database	Indefinite	Non-Vital	Public	Data is interrelated; GC §60201
O&M Docks	Dock owner applications	7 years	Non-vital	May contain confidential information	Meets auditing standards; GC §60201
O&M Docks	Correspondence, appeals etc. (letters to and from customers)	7 years	Non-vital	Public	Dept. Preference; GC §60201

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O&M Docks	Check images	7 years	Non-Vital	May contain confidential information	Dept. Preference; Meets municipal government auditing standards; Published articles show 3-7 years; GC §60201
O&M Docks	Returned Checks (NSF, etc.)	7 years	Non-Vital	May contain confidential information	Meets municipal government auditing standards; Statewide guidelines propose audit + 4 years; GC §60201
Development Review	Floodzone calls database	Indefinite	Non-Vital	Public	Data is interrelated; GC §60201
Development Review	Project Files (Review and Comment)	When no longer required	Non-Vital	Public	Preliminary drafts or copies; GC §60201, GC §6252
Development Review	New Development: comments/review of new development proposals	Permanent	Non-vital	Public	GC §60200, 60201 et seq.
Development Review	County submittal database	Indefinite	Non-vital	Public	Data is interrelated; GC §60201
Development Review	County submittal packages	Permanent	Non-vital	Public	Dept. preference; GC §60201
Records & Library	Administrative Bulletins	Minimum of superseded + 2 years	Non-Vital	Public	Documents of historical significance should be retained longer; GC§60201
Records & Library	Records Management & Library Databases	Indefinite	Vital	May Contain Confidential and Public	Data is interrelated; system qualifies as a "trusted system"; GC §60201, 12168.7
Records & Library	File Index Master/Coding Master Book	Permanent	Vital	Public	Dept. Preference; GC §60201
Records & Library	Photographic Management: Indexing and Database	Indefinite	Non-Vital	public	Data is interrelated; system qualifies as a "trusted system"; GC §60201, 12168.7
Records & Library	Library Collection; Agency records; includes among other things: Annual Reports, Engineering Reports, Environmental Impact Reports/Statements, Master Plans; the originating unit is the office of records for the content but Library is responsible for maintaining a usable copy.	Permanent	Non-vital	Public	Agency preference; GC §60201
Records & Library	Library Collection: non-records: books and pamphlets printed by outside agencies, newsletters, magazines, etc.	When no longer required	Non-vital	Public	Non-records
Records Management	Records Retention Schedules	Permanent		Public	Department Preference; GC§60201(b)(1)(B)

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		Records Destruction Lists	5 years	Non-Vital	Public	Department Preference; GC §60201(b)(1)(B)
Records Management		Records Destruction Affidavits, Certificate of destruction, backup	Permanent	Non-Vital	Public	Dept. Preference; GC §60201
Records Management		Historical Records	Permanent		Public	Agency determines historical significance; GC §60201
Records Management		Ordinances	Permanent	Vital	Public	GC §60201
Records Management		Subpoena for Records tracking files and log of litigation holds	When no longer Required-minimum 4 years after close of litigation	Non-Vital	Confidential	Dept. Preference; county counsel maintains original with litigation; GC §60200, 60201
Equipment Management		Accident tracking spreadsheet	Indefinite	Non-Vital	Public	Dept. Preference; Vehicles are replaced at least every 12 years; GC §60201
Equipment Management		CHP Time Reporting for Commercial Drivers (Title 13)	2 years	Non-Vital	Public	Agency preference; CHP audits every 2 years; GC §60201
Equipment Management		Driver Proficiency, road Test Score Sheets	Separation + 2 years	Non-Vital	Public	Agency preference; CHP audits every 2 years; GC §60201
Equipment Management		Employees and Key cards authorized to dispense fuel	Removal of authorization + 1 year	Non-Vital	Public	Dept. Preference; GC §60201
Equipment Management		Fuel Management System/Fuel Tracking System	Indefinite	Non-Vital	Public	Data is interrelated; GC §60201
Equipment Management		Permits/Car Wash, etc.	Expiration + 2 years	Non-Vital	Public	Dept. Preference; GC §60201
Equipment Management		Safety checks/Pre-Starts/Condition report for "pool vehicles"/Commercial vehicle pre-starts and forklift inspections	14 months	Non-Vital	Public	Dept. Preference; if a motor carrier, required for 3 and 14 months; 49 CFR 396.111(c)(2); 49 CFR 396.21(b)(9); GC §60201
Equipment Management		Vehicle & Equipment Folders: includes Maintenance History, Inspections, work orders, etc.	Disposal of equipment or vehicle plus 4 years	Non-Vital	Public	Agency preference to cover the statute of limitations for written contracts (4 years); if a motor carrier, required for 18 months after vehicle is sold; CYP requires life of vehicle; OSHA requires 1 year; 8 CCR §3203(b)(1); 49 CFR 396.21(b)(1); 49 CFR 396.3(c); CCP §337 et seq., GC §60200, 60201
Facilities Mgmt.		Equipment History Files: service, operations manuals, certificates, permits, support information	2 years	Non-vital	Public	Dept. Preference; GC §60201

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Facilities Mgmt.	Move Spreadsheet (employees)	when no longer required	Non-Vital	Public	GC §60201
Facilities Mgmt.	Space Plans/Floor Plans/Space allocation forms	when no longer required	Non-Vital	Public	GC §60201
Facilities Mgmt.	use of Agency facilities (external, after hours)	when no longer required	Non-Vital	Public	GC §60201
Outside Organization that Produced the Reference Material	Documents owned/produced by external organizations i.e. published reference works, standards, regulations, brochures, meeting agendas & minutes of external committees, task forces, associations, external associations e.g. ACWA, etc., commissions, boards e.g. RWQCB, manuals, reports, FPCC Form 700s, County Base Map, County Assessor's final official tax roll, etc.	When no longer required	Non-Vital	May contain confidential or public records, or content held in copyright by author/publisher	Non-records, no requirements
All	Copies or duplicates of any original Agency records: Includes any copy held by a department other than the department of records. i.e.: "Board agenda packet" held by any unit other than Clerk of the Board.	Copies – when no longer required. Not to be retained for longer than the copy of records	Vital	May contain confidential or public records – as per original records	GC §60200
Lead Dept. (the Dept. that produces the draft or note)	Preliminary drafts of any Agency record (retain final version) & temporary correspondence not retained in the ordinary course of business.	When no longer needed	Vital	May contain confidential or public records – as per original records	As long as the drafts & notes are not retained in the "regular Course of Business". GC §60200, GC §6254
Lead Dept. (the Dept. managing the Capital Project	Capital Projects - Project Mgmt. - Non Permanent: Work Plans, Budget-Finance, Schedule, Project Scope, Correspondence, Outreach, Project Logs. If funded by a Grant: Copies of purchase orders & invoices (vital until completed)	Completion + 10 years or after funding agency audit, if required, whichever is longer	Vital	Public	Dept. 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
Lead Dept.: the Dept. managing the Capital Project	Capital Projects – Project Mgmt.- Permanent	Permanent	Vital	Public	Dept. 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

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Lead Dept.: the Dept. managing the Capital Project	Capital Projects – Planning – Non-Permanent: Correspondence, meeting minutes, consultants/contractors, alternatives – tech memos, cost estimates if funded by a grant: copies of purchase orders (vital until completed)	Completion + 10 years or after funding agency audit, if required, whichever is longer	Vital until completed	Public	Dept. 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	
Lead Dept.: the Dept. managing the Capital Project	Capital Projects – Planning-Permanent	Permanent	Vital	Public	Dept. Preference; Final environmental documents are required to be kept a “reasonable period of time”; 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	
Lead Dept.: the Dept. managing the Capital Project	Capital Projects – Design- Non-Permanent: Correspondence, meeting minutes, consultants, data collection (project info, traffic data, field investigations & prep., Maint. Work Orders) if funded by a grant: copies of purchase orders & invoices (vital until completed)	Completion + 10 years or after funding agency audit, if required, whichever is longer	Vital	Public	Dept. Preference; Statute of Limitations for written contracts are four years from the date of breach; errors and omissions is 10 years; CCP §§337., 337.1(a), 337.15 GC §60201	
Lead Dept.: the Dept. managing the Capital Project	Capital Projects – Design – Permanent: Photos – design phase, design analysis & calculations, design criteria, design tech memos, lesson learned data collection (engineering data, survey data, right of way data only) engineer’s report, environmental site assessment) (vital until completed)	Permanent	Vital	Public	Dept. Preference; Statute of Limitations for written contracts are four years from the date of breach; errors and omissions is 10 years; CCP §§337., 337.1(a), 337.15 GC §60201	
Lead Dept.: the Dept. managing the Capital Project	Capital Projects – Real estate – non permanent Correspondence – vital until completed	Completion + 10 years or after funding agency audit, if required, whichever is longer	Vital	Public	Dept. Preference; Statute of Limitations for written contracts are four years from the date of breach; errors and omissions is 10 years; CCP §§337., 337.1(a), 337.15 GC §60201	
Lead Dept.: the Dept. managing the Capital Project	Capital Projects – real estate – Permanent: Haz Mat, Haz Mat Investigation files, rights of way, hazardous substance liability assessment (HSLA) (vital until completed)	Permanent	Vital	Public	Dept. Preference; Statute of Limitations for written contracts are four years from the date of breach; errors and omissions is 10 years; CCP §§337., 337.1(a), 337.15 GC §60201	

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Lead Dept.: the Dept. managing the Capital Project	Capital Projects – Construction – non permanent: Correspondence, meeting minutes, consultant agreement, construction work plan, RFIs, transmittals if funded by a grant: copies of purchase orders & invoices (vital until complete)	Completion + 10 years or after funding agency audit, if required, whichever is longer	Vital	Public	Dept. Preference; Statute of Limitations for written contracts are four years from the date of breach; errors and omissions is 10 years; CCP §§337., 337.1(a), 337.15 GC §60201
Lead Dept.: the Dept. managing the Capital Project	Capital Projects – Construction-Permanent	Permanent	Vital	Public	Dept. Preference; Statute of Limitations for written contracts are four years from the date of breach; errors and omissions is 10 years; CCP §§337., 337.1(a), 337.15 GC §60201
Lead Dept.: the Dept. managing the Capital Project	Capital Projects – Board Items – non-permanent: CEO reports, non-agenda board items (vital until completed)	Completion + 10 years or after funding agency audit, if required, whichever is longer	Vital	Public	Dept. Preference; Statute of Limitations for written contracts are four years from the date of breach; errors and omissions is 10 years; CCP §§337., 337.1(a), 337.15 GC §60201
Lead Dept. (the Dept. managing the Capital Project	Capital Projects – Board Items – permanent: Planning board items, design board items, construction Board items (vital until completed)	Permanent	Vital	Public	Dept. Preference; Statute of Limitations for written contracts are four years from the date of breach; errors and omissions is 10 years; CCP §§337., 337.1(a), 337.15 GC §60201
Lead Dept. (the Dept. managing the Capital Project	Capital Projects – Permits-Non-Permanent: Correspondence, expired permits, ordinances (Vital until completed)	Completion + 10 years or after funding agency audit, if required, whichever is longer	Vital	Public	Dept. Preference; Statute of Limitations for written contracts are four years from the date of breach; errors and omissions is 10 years; CCP §§337., 337.1(a), 337.15 GC §60201
Lead Dept.: the Dept. managing the capital project)	Capital Projects – Permits – Permanent: Final Permits-vital until completed	Permanent	Vital	Public	Dept. Preference; Statute of Limitations for written contracts are four years from the date of breach; errors and omissions is 10 years; CCP §§337., 337.1(a), 337.15 GC §60201
Lead Dept.: the Dept. that stores the material	Chemical/hazardous Materials inventories (sealed & active)	30 years	Non-vital	Public	Agency Preference; Claims can be made for 30 years for toxic substance exposure; 8 CCR §3204(d)(1) et seq., 8 CCR 14300.33(a); GC §§23946, 60201
Lead Dept.: the Dept. that staffs the subcommittee	Commissions & Committees – Ad Hoc Board Subcommittees comprised solely of board members: Agenda packets, Minutes, etc.)	2 years	Non-Vital	Public	Agency Preference; all recommendations must come to the full board for action, and actions are recorded in the Board's agenda packet and minutes; GC §60201
Lead Dept.: the Dept. that coordinates the meeting	Committees or task forces; internal	2 years	Non-Vital	Public	Agency Preference; GC §60201

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Lead Dept.: the Dept. responsible for managing the terms & conditions of the contract	Contracts/Agreements – ALL INFRASTRUCTURE: includes workplan, FRPs/RFOs, statement of qualifications, specifications, successful bids/proposals/scope of work, amendments, change orders, insurance certificates, notice of completions. Examples of infrastructure: architects, dams, buildings, bridges, construction, demolitions, pipelines, reservoirs, sewers, utilities, water retailer, treated water, etc. (vital until completed)	Permanent	Vital	Public	All infrastructure improvements are permanent. Statute of Limitations for written contracts are four years from the date of breach; errors and omissions is 10 years CCP §§337., 337.1(a), 337.15, 343 GC §60201, Contractor has retention requirements in 48 CFR 4.703
Lead Dept.: the Dept. responsible for managing the terms & conditions of the contract	Contracts/Agreements – ALL NON-INFRASTRUCTURE: includes workplan, FRPs/RFOs, statement of qualifications, specifications, successful bids/proposals/scope of work, amendments, change orders, insurance certificates, notice of completions. Examples of non-infrastructure: Consultants, construction administration, leases, professional services, reimbursement agreements, environmental services, reroofing, water management, water supply, etc. (vital until completed)	Completion + 10 years	Vital	Public	Statute of Limitations for written contracts are four years from the date of breach; errors and omissions is 10 years CCP §§337., 337.1(a), 337.15, 343 GC §60201, Contractor has retention requirements in 48 CFR 4.703
Lead Dept.: the Dept. that manages the contract/project	Contracts/agreements – negotiation interviews, scoring & ranking: bid evaluations, bid rating comments, evaluations, performance assessments	4 years	Non-Vital	May contain confidential and public	May not be accessible to the public-Agency preference (may have grant funding and therefore an audit requirement); Uniform Admin Requirements for Grants to Local Governments is 3 years from expenditure report or final payment of grantee or sub-grantee; 21 CFS 1403.36 & 1403.42(b); 24 CFR85.42, 91.105(h), 92.505, & 570.502(b), 28 CFR 66.42; 29 CFR 97.42; 40 CFR 31.42; 44 CFR 13.42; 45 CFR 92.42; OBMB Circular A-133; GC §60201

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Lead Dept.: the Dept. that manages the affected project	Correspondence – regulatory agencies or regional boards/agencies – vital while active issues	When no longer required – minimum 10 years	Vital	Public	Agency preference; some correspondence from regulatory agencies need to be retained for long periods of time; GC §60201
Lead Dept. the Dept. that produced the correspondence	Correspondence – routine: Administrative, chronological, general files, letters, memorandums, misc. reports, reading, working files, does NOT include regulatory agency correspondence	2 years	Non-Vital	Public	Agency preference; CG §60201
Lead Dept.: the Dept. that is the office of record for the records placed in the EMS	Electronic Document Management Systems:	Indefinite	Non-vital	Public	Data is interrelated; system qualifies as a “trusted system”; GC §60201, 12168.7
Lead Dept.: the Dept. that uses the equipment	Equipment diagrams, instructions, manuals, specifications and warranties;	Upon disposal of the equipment or project	Vital	public	RFPs, contracts & agreements are that maintained for appropriate periods; GC §60201
Lead Dept.: the Dept. that uses the equipment	Equipment operations/maintenance manuals	Upon disposal of the equipment or project	Non-vital	Public	Agency preference; GC §60201
Lead Dept.: the Dept. that uses the equipment	Equipment inventories, parts lists	5 years	Non-Vital	Public	Meets auditing standards; fixed asset inventory is maintained by financial services for a longer period; GC §60201 et seq.
Lead Dept.: the Dept. that is responsible for resolving the event	Events: unanticipated events i.e. disruptions/potential violations/spills (vital before resolution	last action plus 5 years	Vital	Public	5 years is required for any water quality or outage complaints; Code of Federal Regulations requires 3 years; 40 CFR 122.41(j)(2) & 40 CFR 141.33(b); 22 CCR 54453(a); GC §60201
Lead Dept.: the Dept. that develops & updates the GIS layer	GIS Database/data/layers(both agency-wide and specialized	When superseded	Vital	May contain confidential and public	Dept. Preference (preliminary documents); the lead dept. should print out historical documents (or save source data), prior to replacing the data, if they require the data or output; GC §60200, 60201 et seq. GIS data showing the locations of critical infrastructure (such as pipelines, pipeline appurtenances, and wells) are confidential
Lead Dept.: the Dept. that develops & updates the GSI layer	GIS vertical/specialized application software and documentation	When superseded	Vital	Public	If a business unit wants to develop a specialized application, they are responsible for producing and retaining it; GC §60201

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Lead Dept.: the Dept. that manages the project that is funded by the Grant or reimbursable project	Grants/reimbursable projects: successful: including FEMA claims, except for water use efficiency grants	after funding agency audit, if required – minimum 10 years	Non-Vital	Public	Agency preference; (may include records pertaining to independent contractor's compensation or expense reimbursement); Meets auditing standards; uniform admin. Requirements for grants to local governments is 3 years from expenditure report or final payment of grantee or sub-grantee; 21 CFR 1403.36 & 1403.36 & 1403.42(b); 24 CFR 85.42, 91.105(h), 92.505, & 570.502(b), 28 CFR 66.42; 29 CFR 97.42; 40 CFR 31.42; 44 CFR 13.42; 45 CFR 92.42; OMB Circular A-133; GC §60201
Lead Dept.: the Dept. that manages the project that is funded by the Grant or reimbursable project	Grants/Reimbursable projects; unsuccessful: applications, correspondence etc.	When no longer required – minimum 2 years	Non-vital	Public	Agency preference; GC §60201
Lead Dept.: the Dept. that uses the material	Hazardous material manifests/inventories/tracking/disposal	30 years	Non-Vital	Public	Agency Preference; Claims can be made for 30 years for toxic substance exposure; State law requires 12 years, Federal 10 years for all chemical analysis 40 CFR 141.33(a); 22 CCR §64692; 8 CCR §3204(d)(1) et seq.
Lead Dept.: the Dept. that manages the project	Hazardous materials tests & remediation projects (asbestos abatement etc.	permanent	Non-Vital	Public	Agency preference GC §60201
Lead Dept.: the Dept. that determines the record is historical	Historical records	permanent	Non-Vital	Public	Records management assist dept. in determining the historical significance of record GC §60201
Lead Dept.: the Dept. that manages the contract	Insurance Certificates	Completion plus 10 years	Non-Vital	Public	Agency preference; Covers E&O Statute of Limitations; Published Audit Standards=4-7 years; Statute of limitations; contracts & specs=4 years, wrongful death=comp. + 5 years CCP §§3336(a), 337 et seq. GC §60201
Lead Dept.: the Dept. that is responsible for resolving the incident	Incidents: violations, spills, investigations and corrective actions (vital before resolution)	last action + 3 years	Vital	Public	Code of Federal Regulations. Requires 3 years; 40 CFR 122.41(j)(2) & 40 CFR 141.33(b).

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Lead Dept.: the Dept. that inputs the data	Inventory database	Indefinite	Non-Vital	public	Data is interrelated; GC §60201
Lead Dept.: the Dept. that posts or publishes the notice	Legal Notices and forms/affidavits of postings and publications	2 years	Non-vital	Public	Agency preference; Brown Act challenges must be filed within 30 or 90 days of action; GC §60201, 54960.1©(1)
Lead Dept.: the Dept. that negotiates the Permission to Pass	Permission to Pass: agreements to allow other agencies to pass on Agency property	Expiration + 4 years	Non-Vital	Public	Statute of limitation of contracts is 4 years CCP§337 et seq., GC §60201
Lead Dept.: the Dept. that produced the plan or study	Plans & Feasibility studies not presented to the BOD	when no longer required – minimum 10 years	Non-Vital	Public	Agency preference' GC §60201
Lead Dept.: the Dept. that Manages the project/goods purchased	Purchase orders/purchase requests/standing orders ADMINISTRATIVE RECORDS: correspondence, insurance certificates, progress/project monitoring, project schedules, etc.; excludes drafts, notes and transitory correspondence	After funding agency audit, if required, minimum completion + 10 years	Non-vital	Public	Also see grants, Covers E&O Statute of Limitations; Published Audit Standards = 4-7 years; ; Statute of limitations; contracts & specs=4 years, wrongful death=comp. + 5 years Developers must retain their records for completion + 10 years; CCP §§3336(a), 337 et seq. GC §60201
Lead Dept.: the Dept. that produced the records	Records Management: records transfer requests	Permanent	Non-Vital	Public	Maintained in Depts. for research; GC §60200, 60201
Lead Dept.: the Dept. that produced the reference material	Reference materials: standard operating procedures (SOP's) best management practices (BMPs), brochures, manuals, procedures & reports.	Minimum of superseded plus 2 years	Non-vital	Public	Documents of historical significance should be retained longer and sent to the library, GC §60201
Lead Dept.: the Dept. that manages the affected project	Regulatory agency correspondence, reports from regulatory agencies (vital until maturity)	when no longer required – minimum 10 years	Vital	Public	Agency preference, some reports from regulatory agencies need to be retained for longer periods of time; GC§60201
Lead Dept.: the Dept. that manages the affected project	Regulatory Permits & Documents: Agreements, settlements, legal orders, consent decrees, memoranda of agreement, memorandum of understanding, underground storage tank permits, take permits etc.	Permanent	Non-Vital	Public	Agency Preference; GC§60201
Lead Dept.: the Dept. that issues the survey or questionnaires	surveys/questionnaires that the Agency issues	when no longer required	non-Vital	May contain confidential and Public	GC §60201

**MONTEREY COUNTY WATER RESOURCES AGENCY
RETENTION SCHEDULE – 2016**

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. Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).
 Legend for legal citations: §: Section; B&P: Business & Professions Code (CA); CBC: California building Code; CC: Civil Code (CA); CCP: Code of Civil Procedure (CA); CCR: California Code of Regulations (CA); CFC: California Fire Code; CFR: Code of Federal Regulations (US); EC: Elections Code (CA); EVC: Evidence Code (CA); FA: Food & Agriculture Code (CA); FC: Family Code (CA); FTB: Franchise Tax board (CA); GC: Government Code (CA); H&S: Health and Safety Code (CA); HUD: Housing & Urban Develop. (US); LC: labor Code (CA); Ops. Att'y. Gen: Attorney General Opinions (CA); PC: Penal Code; (CA); R&T: Revenue & Taxation Code (CA); UAC: Uniform Administrative Code; UBC: Uniform Building Code; UFC: Uniform Fire Code; UPC: Uniform Plumbing Code; USC: United States Code (US); VC: Vehicle Code (CA); W&I: Welfare & Institutions Code (CA); WC: Water Code (CA).

Lead Dept.: the Dept. that conducts the training	training: non-safety (operational) in-house or external (attendance rosters, outlines and materials) i.e. computer applications, conferences, etc.	3 years	Non-Vital	Public	Agency Preference; EEOC/FLSA/ADEA (age) requires 3 years for promotion, demotion, transfer, selection, or discharge; state law required 203 years; 29 CFR 1623.3(b)(ii), 8 CCR §3204(d)(1) et seq.; GC §§12946, 60201
Lead Dept.: the Dept. that conducts the training	Training – safety-in-house or external: course records: attendance rosters, outlines and materials. Includes tailgate and brown bag trainings; aerial lifts, bloodborne pathogens, commercial drivers, confined space entry, CPR, cranes, elevator lift, forklift, lead, vehicle operator, etc.	7 years	Non-Vital	Public	Statewide guidelines proposes 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; 29 CFR 1627.3(b)(ii), 8 CCR §3204(d)(1) et seq., GC §§12946, 60201
Lead Dept.: the Dept. supervises the employee	training-safety-in-house or external: employee certifications/employees records: aerial lifts, bloodborne pathogens, commercial drivers, confined space entry, CPR, Cranes, Elevator Lift, Forklift, Lead, vehicle operator, etc.	Separation + 30 years	Non-Vital	Public	Agency Preference filed by Classification and includes certifications, licenses, etc. Older files are organized by employee. Claims can be made for 30 years for toxic substance exposure; 8 CCR §3204(d)(1) et seq.; 8 CCR 14300.33(a); GC §§12946, 60201
Lead Dept.: the Dept. that manages the RFP & Selection	Unsuccessful bids & Proposals, bid responses for contracts, agreements, purchase orders, standing orders	Bid opening + 4 years	Non-Vital	Public	Agency Preference for grant reimbursement purposes; special districts are required to keep public works unaccepted bids for 2 years; GC §60201(d)(11)
Lead Dept.	Correspondence – inter-departmental	2 years	Non-Vital	Public	Agency preference; GC §60201
Lead Dept.	Photographic libraries	Permanent	Non-Vital	Public	Agency preference; when transferred to records mgmt., records Management becomes office of record. GC §60201
Lead Dept.: the Dept. that receives the award	Awards from outside agencies or other third parties	When no longer required	Non-Vital	Public	Dept. Preference; GC §60201