

**MONTEREY COUNTY WATER RESOURCES AGENCY
BOARD OF DIRECTORS
PERSONNEL AND ADMINISTRATION COMMITTEE**

COMMITTEE MEMBERS

Mark Gonzalez, Chair

David Hart
Richard Ortiz

TIME: **8:30 a.m.**
DATE: **Friday, September 11, 2015**
PLACE: **Monterey County Water Resources Agency
Board Room
893 Blanco Circle
Salinas, CA 93901
(831) 755-4860**

A G E N D A

- 1. Call to Order**
- 2. Public Comment**
(Limited to three (3) minutes per speaker on matters within the jurisdiction of the Agency not listed on this agenda. The public will have the opportunity to ask questions and make statements on agenda items as the Committee considers them.)
- 3. Approve the Minutes of the Personnel and Administration Committee meeting held on August 14, 2015**
The Committee will consider approval of the Minutes of the above-mentioned meeting.
- 4. Consider receiving an update on Personnel and Administration activities.**
Wini Chambliss, Administrative Services Assistant, will provide an update on personnel and administrative issues.
- 5. Consider receiving an update on activities at the Lakes.**
Brent Buche, Deputy General Manager, will provide a verbal report of lake issues.
- 6. Consider receiving an update on Real Property issues.**
Brent Buche, Deputy General Manager, will provide a verbal report of real property issues.

- 7. Consider receiving an update on construction of the Elvee Drive Bridge Project by the City of Salinas that spans over the Reclamation Ditch.**
Manuel Quesada, Senior Water Resources Engineer, will provide information regarding this item.
- 8. Consider receiving and recommending approval, and recommending that the Monterey County Water Resources Agency Board of Supervisors adopt a resolution to: a) Approve the Records Retention Schedule (hereafter “Schedule”) for the Monterey County Water Resources Agency (hereafter “WRA”) for the storage and/or destruction of WRA records in compliance with federal and state laws, county codes and policies; and, b) Authorize the General Manager or designee to destroy or cause the destruction of WRA records in accordance with the approved Schedule for the WRA.**
Wini Chambliss, Administrative Services Assistant, will provide information regarding this item.
- 9. Set next meeting date and discuss future agenda items.**
The Committee will discuss and determine details for its next meeting.
- 10. Adjournment**

**MONTEREY COUNTY WATER RESOURCES AGENCY
BOARD OF DIRECTORS
PERSONNEL AND ADMINISTRATION COMMITTEE**

COMMITTEE MEMBERS

Mark Gonzalez, Chair
Richard Ortiz

David Hart

TIME: 8:30 a.m.
DATE: Friday, August 14, 2015
PLACE: Monterey County Water Resources Agency
893 Blanco Circle
Salinas, CA 93901
(831) 755-4860

MINUTES

1. Call Meeting to Order @ 8:35 a.m. by Committee Chair Mark Gonzalez
Members Present: Richard Ortiz, David Hart, Mark Gonzalez
Members Absent: None

A quorum was established.

2. Public Comment
None
3. Approve the Minutes of the Personnel and Administration Committee meetings held on September 12, 2014 and April 10, 2015.

Committee Action:

Motion and Second by Directors David Hart and Richard Ortiz to approve the Minutes of the Personnel and Administration Committee meetings held on September 12, 2014 and April 10, 2015.

Motion carried unanimously by those members present.

4. Consider receiving an update on Personnel and Administration activities.
Wini Chambliss, Administrative Services Assistant, provided an update on personnel and administrative issues.

Committee Action:

1. Motion and Second by Directors Richard Ortiz and David Hart to recommend to the full Board that once the Agency has moved to the new facility at Schilling Place, the Monterey County Water Resources Agency Committee meetings will be held at that facility and not at the Government Center on Alisal St., Salinas.

Motion carried unanimously by those members present.

2. Motion and Second by Directors Richard Ortiz and David Hart to receive the update on Personnel and Administration activities.

Motion carried unanimously by those members present.

5. Consider receiving an update on activities at the Lakes.
Brent Buche, Deputy General Manager, provided a verbal report of lake issues. Issues included cattle leases, Eyraud easement, Tri-Counties lease proposal, Heritage Ranch Owners Association lease renewal, Oak Shores Log Boom easement and the Dietel settlement.

Committee Action:

Motion and Second by Directors David Hart and Richard Ortiz to receive the lake update.

Motion carried unanimously by those members present.

6. Consider receiving an update on Real Property issues.
Brent Buche, Deputy General Manager, provided a verbal report of real property issues. Issues reported on included the Jarvis Lateral and the Bryant Canyon Channel.

Committee Action:

Motion and Second by Directors David Hart and Richard Ortiz to receive the real property update.

Motion carried unanimously by those members present.

7. Consider receiving an update on construction of the Elvee Drive Bridge Project by the City of Salinas that spans over the Reclamation Ditch.
Manuel Quezada, Senior Water Resources Engineer, provided an update for this project.

Committee Action:

Motion and Second by Directors David Hart and Richard Ortiz to receive the update on construction of the Elvee Drive Bridge Project by the City of Salinas that spans over the Reclamation Ditch.

Motion carried unanimously by those members present.

8. Set next meeting date and discuss future Agenda
The next meeting is scheduled for September 11, 2015 at 8:30 a.m. Issues to discuss will be Schilling Place and the Eyraud easement.

9. Adjournment

The meeting adjourned at 9:40 a.m.

Submitted by: Alice Henault

Approved on:

**MONTEREY COUNTY WATER RESOURCES AGENCY
BOARD OF DIRECTORS – PERSONNEL AND ADMINISTRATION COMMITTEE**

MEETING DATE:	September 11, 2015	AGENDA ITEM:	
AGENDA TITLE:	Consider receiving an update on Personnel and Administration activities.		
Consent ()		Action ()	
Information (X)			
SUBMITTED BY:	Wini Chambliss	PREPARED BY:	Wini Chambliss
PHONE:	(831) 755-4896	PHONE:	(831) 755-4896
DEADLINE FOR BOARD ACTION:		September 11, 2015	

RECOMMENDED BOARD ACTION:

Receive an update on personnel and administrative activities.

PRIOR RELEVANT BOARD ACTION:

None.

DISCUSSION/ANALYSIS:

PERSONNEL

Unless specific requests are made, Central Human Resources regularly posts recruitments through Neogov as well as the following community organizations: NAACP, LULAC, Monterey County Commission on the Status of Women, American Civil Liberties Union, Japanese American Citizens League, Chinese Association of Salinas, Chinese American Citizens Alliance, Filipino Women’s Club of Salinas and the Filipino Community – Salinas Valley.

Recruitments

Associate Water Resources Hydrologist

24 applications were received and screened, with 12 applicants successfully emerging from the screening process. The top five candidates will be interviewed on September 18, 2015.

Water Resources Technician

This is an active recruitment that closes on Friday, September 18, 2015 @ 11:59 PM.

Office Assistant III

This recruitment will begin very soon. In response to the emergency situation that took place at the Social Security Administration building, EMT determined it imperative to have consistent coverage at the front desk. The two Staff members currently sharing front desk responsibilities will serve as back-up to the Office Assistant III when hired.

Temporary Workers

In preparation for the impending El Niño storm, the Operations and Maintenance division seeks to hire five laborers to assist the Crew with preparations for and during possible flooding events. Additionally, the Resources Planning and Management Division plans to hire an Engineering Aide III to assist with the ALERT program.

ADMINISTRATION

Safety

Further in response to the emergency situation at the Social Security Administration building, the following has occurred:

1. Signage is in place directing all visitors to the reception desk.
2. All visitors meeting with Agency Staff must sign in at the front desk.
3. The reception area has been re-aligned to better monitor visitors.
4. Agency Staff are required to wear identification badges that are being made in-house.
5. Surveillance cameras are being re-activated.
6. Scheduling of regular Emergency Evacuation Drills.

**MONTEREY COUNTY WATER RESOURCES AGENCY
BOARD OF DIRECTORS – PERSONNEL AND ADMINISTRATION COMMITTEE**

MEETING DATE:	September 11, 2015	AGENDA ITEM:	
AGENDA TITLE:	Consider receiving an update on construction of the Elvee Drive Bridge Project by the City of Salinas that spans over the Reclamation Ditch		
Consent () Action () Information (X)			
SUBMITTED BY:	Manuel Quezada	PREPARED BY:	Manuel Quezada
PHONE:	(831) 755-4874	PHONE:	(831) 755-4860
DEADLINE FOR BOARD ACTION:	September 28, 2015		

RECOMMENDED BOARD ACTION:

Receive an update on construction of the Work Street Bridge located over the Reclamation Ditch by the City of Salinas.

PRIOR RELEVANT BOARD ACTION:

On April 28, 2014, the Board of Directors approved a Grant of Bridge/Road Easement to the City of Salinas for the Elvee Drive Bridge Project, and a temporary construction Easement.

DISCUSSION/ANALYSIS:

The City of Salinas has been working on the permits and design of the Elvee Drive Bridge for a number of years. They were scheduled to break ground by the end of August 2015.

**MONTEREY COUNTY WATER RESOURCES AGENCY
BOARD OF DIRECTORS – PERSONNEL AND ADMINISTRATION COMMITTEE**

MEETING DATE:	September 11, 2015	AGENDA ITEM:	
AGENDA TITLE:	Consider approving and recommending that the Monterey County Water Resources Agency Board of Supervisors adopt a resolution to: a) Approve the Records Retention Schedule (hereafter “Schedule”) for the Monterey County Water Resources Agency (hereafter “WRA”) for the storage and/or destruction of WRA records in compliance with federal and state laws, county codes and policies; and, b) Authorize the General Manager or designee to destroy or cause the destruction of WRA records in accordance with the approved Schedule for the WRA.		
Consent (X)		Action ()	
Information ()			
SUBMITTED BY:	Brent Buche	PREPARED BY:	Winifred Chambliss
PHONE:	(831) 755-4860	PHONE:	(831) 755-4860
DEADLINE FOR BOARD ACTION:		September 28, 2015	

RECOMMENDED BOARD ACTION:

Approve and recommend that the WRA Board of Supervisors adopt a resolution to: a) Approve the Schedule for the WRA for the storage and/or destruction of WRA records in compliance with federal and state laws, county codes and policies; and, b) Authorize the General Manager or designee to destroy or cause the destruction of WRA records in accordance with the approved Schedule for the WRA.

SUMMARY/DISCUSSION:

On July 1, 2014, the Monterey County Board of Supervisors adopted a County-wide Records Management Policy. Approval of the attached Schedule for the WRA will provide for authorized preservation of records and the prompt destruction of files once the designated retention period has expired.

The WRA produces both electronic and hard copy documents for Agency business related to administrative services; water resources planning and management; facilities operations and maintenance; and, financial planning and accounting. Adoption of this resolution will result in the timely scanning, shredding and recycling of these materials, resulting in reduced storage costs and improved efficiency in the management of WRA records, as well as simplifying the Public Records Request process.

The WRA has created a Schedule to address the retention and destruction of Agency-specific files. Other general records will be retained in accordance with the County-wide Schedule. The proposed Schedule outlines retention periods for maintaining WRA documents prior to destruction or transfer to the Records Retention Center, as well as retention periods for documents preserved in electronic format. Some documents will be maintained permanently. The proposed WRA Schedule reflects the provisions of state and federal laws, as well as county

codes and policies. Because Government Code Section 26200 et seq. requires that the Board of Supervisors authorize the destruction or disposition of records, approval of the proposed Schedule is recommended.

OTHER AGENCY INVOLVEMENT:

County Counsel will review the WRA Schedule for legality.

FINANCING:

There is no anticipated impact to the FY 2015-16 Adopted Budget. Future impacts may be realized in the form of cost savings for document storage and retrieval.

FINANCIAL IMPACT:	YES ()	NO (X)
FUNDING SOURCE:	N/A	
COMMITTEE REVIEW AND RECOMMENDATION:		
ATTACHMENTS:	1. Board Order 2. MCWRA Records Retention Schedule 3. Draft Resolution	
APPROVED:	<hr/> General Manager Date	



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

BOARD ORDER No. _____

APPROVE AND RECOMMEND THAT THE MONTEREY COUNTY)
WATER RESOURCES AGENCY BOARD OF SUPERVISORS ADOPT)
A RESOLUTION TO: A) APPROVE THE RECORDS RETENTION)
SCHEDULE FOR THE MONTEREY COUNTY WATER RESOURCES)
AGENCY FOR THE STORAGE AND/OR DESTRUCTION OF AGENCY)
RECORDS IN COMPLIANCE WITH FEDERAL AND STATE LAWS,)
COUNTY CODES AND POLICIES; AND, B) AUTHORIZE THE GENERAL)
MANAGER OR DESIGNEE TO DESTROY OR CAUSE THE DESTRUCTION)
OF AGENCY RECORDS IN ACCORDANCE WITH THE APPROVED)
RECORDS RETENTION SCHEDULE FOR THE MONTEREY COUNTY)
WATER RESOURCES AGENCY)

Upon motion of Director _____, seconded by Director _____, and carried by those members present, the Board of Directors hereby:

1. Approves and recommends that the Monterey County Water Resources Agency Board of Supervisors adopts a resolution to: a) Approve the Records Retention Schedule for the Monterey County Water Resources Agency for the storage and/or destruction of Agency records in compliance with federal and state laws, county codes and policies; and,
2. Authorizes the General Manager or designee to destroy or cause the destruction of Agency records in accordance with the approved Records Retention Schedule for the Monterey County Water Resources Agency.

PASSED AND ADOPTED on this 28th day of September 2015, by the following vote, to-wit:

AYES:

NOES:

ABSENT:

BY: Claude Hoover, Chair
Board of Directors

ATTEST: David E. Chardavoyne
General Manager

**MONTEREY COUNTY WATER RESOURCES AGENCY
RETENTION SCHEDULE – 2015**

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

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 (Issues and/or projects will vary over time)	When no longer required	Vital-while active issues	Public	GC §60201
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		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	30 days, or after minutes are approved, whichever is longer		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
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

MONTEREY COUNTY WATER RESOURCES AGENCY
RETENTION SCHEDULE – 2015

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Office of Record	Retention No.	Records Description	Retention Period	Vital/Non-Vital?	Security Class	Comments/ Legal Reference
Board Clerk		FPPC 700 Series Forms (Statement of Economic Interests) Originals	7 years		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)
Board Clerk		Economic Interest Statements-Form 700 –copies of stmts. Forwarded to Fair Political Practices Commission	4 years		Public	GC §81009(e)(g)
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	2 years	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

MONTEREY COUNTY WATER RESOURCES AGENCY
RETENTION SCHEDULE – 2015

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Office of Record	Retention No.	Records Description	Retention Period	Vital/Non-Vital?	Security Class	Comments/ Legal Reference
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

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Office of Record	Retention No.	Records Description	Retention Period	Vital/Non-Vital?	Security Class	Comments/ Legal Reference
						1627.3(b)(ii), 8 CCR§3204(d)(1) et seq., GC§§12946, 60201
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)

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RETENTION SCHEDULE – 2015

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Office of Record	Retention No.	Records Description	Retention Period	Vital/Non-Vital?	Security Class	Comments/ Legal Reference
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
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,	When no longer	Vital until	Public	Draft/Preliminary documents used to produce

MONTEREY COUNTY WATER RESOURCES AGENCY
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Office of Record	Retention No.	Records Description	Retention Period	Vital/Non-Vital?	Security Class	Comments/ Legal Reference
		Reconciliations, Registers, Reports, Transactions Histories, Balance Sheets, Budget Adjustments. Does not include Year-end General ledger	required	no longer needed		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
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; Statue 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	Permanent	Non-vital	Public	GC §60201 et seq.

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		CAFRs				
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
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. 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.

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Office of Record	Retention No.	Records Description	Retention Period	Vital/Non-Vital?	Security Class	Comments/ Legal Reference
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 intraagency 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
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		Claims to Dept. of Water Resources	10 years	Non-Vital	Public	Dept. Preference; GC §60200

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Reimbursement						
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: workpapers & 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 subgrantee; 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
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 subgrantee; 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
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,	Permanent	Vital-before completion	Public	Dept. Preference; all infrastructure, JPAs & Mutual Aid contracts are permanent for

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		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				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
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	Non-Vital	Public	GC §60201

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			needed			
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.
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; Statue 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; Statue of Limitations

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						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.
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

MONTEREY COUNTY WATER RESOURCES AGENCY
RETENTION SCHEDULE – 2015

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Office of Record	Retention No.	Records Description	Retention Period	Vital/Non-Vital?	Security Class	Comments/ Legal Reference
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	Indefinite	Non-Vital	Public	Data is interrelated; GC §60201
Information Technology		Asset Mgmt/Telecommunications Tracking	Indefinite	Non-Vital	public	Data is interrelated; GC §60201
Information Technology		Hardware Tracking	Indefinite	Non-Vital	Public	GC§60201
Information Technology		Software Tracking	Indefinite	Non-Vital	Public	Data is interrelated; GC§60201
Information Technology		Standard Operating Procedures (SOPs)	10 years	Non-Vital	Public	40 CFR 792.195
Information Technology		Contracts/Agreements-Software packages (consultants to customize software) includes RFPs/RFQs, Statement of Qualifications, successful proposal, bid rating and evaluations, contract initiation request, performance assessments/reports	After Funding Agency Audit, if required Minimum Completion plus 10 years	Non-vital	Public	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 must retain their records for completion + 10 years; CCP §§336(a), 337 et seq., GC§60201
Information Technology		Software Documentation & user Training	When superseded	Non-vital	Public	Dept. Preference; GC §60201
Water Quality		Water Quality Reports/Consumer Confidence Report	Permanent		Public	Dept. Preference; State law requires 12 years, Federal 10 years; 40 CFR 141.33(a)
Water Quality		Wastewater Reports & Sampling/Reclamation/Wastewater Treatment Plant	5 years		Public	122 CCR 64453(b) et seq.; 40 CFR 141.33(a)
Water Quality		NPDES Monitoring Reports	3 years		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	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	Meets Calif. Dept. of Health requirements; GC

MONTEREY COUNTY WATER RESOURCES AGENCY
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Office of Record	Retention No.	Records Description	Retention Period	Vital/Non-Vital?	Security Class	Comments/ Legal Reference
						§60201
Water Quality		Water Quality Reports/Studies/Investigations/Recommendations/Plans	10 years	Non-Vital	Public	Dept. Preference; ; GC §60201
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

MONTEREY COUNTY WATER RESOURCES AGENCY
RETENTION SCHEDULE – 2015

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Water Conservation		Agriculture Irrigation Scheduling	4 years	Non-Vital	Public	Agency preference; GC §60201 et seq.
Water Conservation		Mobile Water Analysis (irrigation & testing pumps, evaluation of irrigation system)	8 years	Non-Vital	Public	Dept. Preference (exceeds bacteriological test results for drinking water;); 40 CFR 141.33(a)
Water Conservation		Unmetered Pump Tests	10 years	Non-Vital	Public	Dept. Preference (exceeds bacteriological test results for drinking water;); 40 CFR 141.33(a)
Water Conservation		Water Conservation Programs (includes Water Conservation Certifications)	When no longer required – min 10 years	non –vital	Public	Dept. Preference; GC §60201
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 Reports – confidential as to the personal information and well usage data	Permanent	Non-Vital	May contain confidential information	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	Destruction of well plus 5 years	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,	Permanent	Vital	Confidential	Dept. Preference; GC §60201

MONTEREY COUNTY WATER RESOURCES AGENCY
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Office of Record	Retention No.	Records Description	Retention Period	Vital/Non-Vital?	Security Class	Comments/ Legal Reference
		monitoring, registration, surface water- includes all documents, including DWR form 188 & Photos, dry wells, DWIDs-Stormwater infiltration devices, monitoring well construction projects & permits, etc.				
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
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

MONTEREY COUNTY WATER RESOURCES AGENCY
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						§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 Monitoring & Reporting Program)	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
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

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						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; Statue 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 – (agency 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.
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,	Permanent	Vital-until completed	Public	For Disaster Recovery Purposes; GC §60201 et seq.

MONTEREY COUNTY WATER RESOURCES AGENCY
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		SWPPP, Variances, etc.				
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-builts”)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 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.	Permanent	Vital-until completed	Public	For disaster Preparedness Purposes; GC §60201 et seq.
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 Inspections	Life of Facility plus 10	Non-Vital	Public	Dept. Preference; GC §60201

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Dam Safety			years			
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 Dam Safety		Issue/Problem Analysis & Recommendations	when no longer required-Min 10 years	Non-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,	Completion + 10 years	Vital until completed	Public	Statute of Limitations for written contracts are 4 years from date of breach; errors and omissions is

MONTEREY COUNTY WATER RESOURCES AGENCY
RETENTION SCHEDULE – 2015

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Office of Record	Retention No.	Records Description	Retention Period	Vital/Non-Vital?	Security Class	Comments/ Legal Reference
		cost of construction , logs, insurance certificates from contractors, correspondence, etc.				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
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 subgrantee; 21 CFR

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						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
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		Project Files (Review and Comment)	When no longer	Non-Vital	Public	Preliminary drafts or copies; GC §60201, GC

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Review			required			§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)
Records Management		Records Destruction Lists	5 years	Non-Vital	Public	Department Preference; GC§60201(b)(1)(B)
Records		Records Destruction Affidavits,	Permanent	Non-Vital	Public	Dept. Preference; GC §60201

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Management		Certificate of destruction, backup				
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 396.11©(2); 49 CFR 396.21(b)91); 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 years; 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
Facilities Mgmt.		Move Spreadsheet (employees)	when no longer	Non-Vital	Public	GC §60201

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			required			
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, FPPC 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 Projects – Project Mgmt.- Permanent	Permanent	Vital	Public	Dept. Preference; Statute of Limitations for written contracts are four years from the date of

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Capital Project						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 – 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	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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			longer			
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
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		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

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material						§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
Lead Dept.: the Dept. responsible for managing the terms & conditions of the contract		Contracts/Agreements – ALL INFRASTRUCTURE: includes workplan, FRPs/RFQs, 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/RFQs, 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		Contracts/agreements – negotiation	4 years	Non-Vital	May contain	May not be accessible to the public-Agency

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Office of Record	Retention No.	Records Description	Retention Period	Vital/Non-Vital?	Security Class	Comments/ Legal Reference
Dept. that manages the contract/project		interviews, scoring & ranking; bid evaluations, bid rating commends, evaluations, performance assessments			confidential and public	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 subgrantee; 21 CF\$ 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 CRF 92.42; OBMB Circular A-133; GC §60201
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		GIS Database/data/layers(both agency-wide and specialized)	When superseded	Vital	May contain confidential and	Dept. Preference (preliminary documents); the lead dept. should print out historical documents

MONTEREY COUNTY WATER RESOURCES AGENCY
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& updates the GIS layer					public	(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
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 subgrantee; 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

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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; Statue 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).
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; ; Statue 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 (SOPs) best management practices (BMPs), brochures, manuals, procedures &	Minimum of superseded plus 2 years	Non-vital	Public	Documents of historical significance should be retained longer and sent to the library, GC §60201

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		reports.				
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
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)

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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