



**FINAL
MPWMD RESOLUTION NO 2019-01**

**A RESOLUTION ADOPTING A RECORDS RETENTION SCHEDULE
AND AUTHORIZING DESTRUCTION OF CERTAIN DISTRICT RECORDS**

WHEREAS, the State of California and the Federal Government have specified time periods in which public records are required to be retained; and

WHEREAS, it is necessary for the efficient operation of the Monterey Peninsula Water Management District (District) to follow a procedure for the retention of certain vital District documents and other records; and

WHEREAS, the maintenance of numerous records is expensive, slows document retrieval, and is not necessary after a certain period of time for the effective and efficient operation of the government of the District; and

WHEREAS, the systematic destruction of records that are no longer required expedites the filing and retrieval of documents needed for current operations, is cost-effective, and reduces an agency's potential liability regarding destruction of records; and

WHEREAS, Section 60200 of the California Government Code provides that the legislative body of a special district may authorize at any time the destruction or disposition of any duplicate record, paper, or document, the original or a permanent photographic record of which is in the files of any officer or department of the District; and

WHEREAS, Section 60201 of the California Government Code provides that District records which have served their purpose, which are not expressly required by law to be filed and preserved, and which will not adversely affect any interest of the District or public may be destroyed where the District, by resolution, adopts a record retention schedule that complies with guidelines provided by the Secretary of State pursuant to Section 12236, that classifies all of the District's records by category, and that establishes a standard protocol for destruction or disposition of records;

WHEREAS, In 1992, the Board of Directors approved Resolution 1992-13 establishing a policy for document retention, and specified documents that should be retained permanently. The resolution authorized the General Manager or designee to establish other classes of records and designate retention and disposition for the same.

WHEREAS, In November 2005, the General Manager expanded the list of classes of records to be retained and established retention periods. In 2006 the General Manager instituted a policy for retention of email.

WHEREAS, District staff, in conjunction with Gladwell Governmental Services, Inc. and District Counsel has prepared the District's Records Management and Records Retention Schedule that classifies records by category and establishes a standard protocol for disposition; and

WHEREAS, this action does not constitute a "Project" as that term is defined under the California Environmental Quality Act (CEQA) Guideline Section 15378, as it is an organizational or administrative activity that will not result in direct or indirect physical changes in the environment.

NOW, THEREFORE, THE BOARD OF DIRECTORS OF THE MONTEREY PENINSULA WATER MANAGEMENT DISTRICT DOES RESOLVE AS FOLLOWS:

Section 1. The District Board of Directors hereby approves the Records Retention Schedule **Attachment 1**, attached hereto and incorporated herein by this reference.

Section 2. The records of the District, as set forth in the Records Retention Schedule (**Attachment 1**) are hereby authorized to be destroyed as provided by Section 60201 et seq. of the California Government Code, and in accordance with the provision of said schedule in accordance with District policies and procedures, without further action by the District Board of Directors.

Section 3. With the consent of the District Counsel and General Manager, updates are hereby authorized to be made to the Records Retention Schedule and implementing policies without further action by the Board of Directors of the Monterey Peninsula Water Management District.

Section 4. The term "records" as used herein shall include documents, instructions, books, microforms, electronic files, magnetic tape, optical media, or papers; as defined by the California Public Records Act.

Section 5. The California attorney general further defines a record as any writing or recording of an event or information which is kept in the custody of a public officer, either because a law requires it to be kept or because it is necessary or convenient to the discharge of the public officer's duties and was made or retained for the purpose of preserving its informational content for future reference.

Section 6. This resolution shall become effective immediately upon its passage and adoption.

On a motion of Director Byrne and second by Director Adams the foregoing resolution is duly adopted this 18th day of March 2019 by the following vote.


AYES: Directors Byrne, Adams, Edwards, Evans, Hoffmann, Riley and Potter

NOES: None

ABSENT: None

I David J. Stoldt, Secretary to the Board of Directors of the Monterey Peninsula Water Management District, do hereby certify that the foregoing Resolution No. 2019-01 was duly adopted on the 18th day of March, 2019.

Witness my hand and seal of the Board of Directors this 21st day of March, 2019.



David J. Stoldt, Secretary to the Board of Directors

MPWMD Records Retention Schedule

March 18, 2019

Record Series #	Record Series	Description or Example of Record	Minimum Retention Period <i>Retention begins date record created or received unless otherwise noted.</i>	Office of Record	Legal Authority
ADM	ADMINISTRATIVE				
ADM-001	Calendar & Scheduling Records	Appointment books, work schedules, planners, daily assignment sheets, shift schedules. Records kept that document and facilitate the routine planning and scheduling of meetings, appointments, daily tasks, work assignments, shift assignments, vacation and/or day off schedules. May include, but is not limited to weekly schedule sheets, work schedules, appointment logs, and work assignment memos.	Destroy when no longer needed.	Staff maintain their personal calendars/ WDD/ASD/ GM maintain shared calendars.	GC 60201 ;
ADM-002	Correspondence - General	May include but is not limited to incoming and outgoing letters, email, memoranda, notes, acknowledgements, notices or requests not otherwise specifically covered by the retention schedule. Pertains only to official records necessary or convenient to the discharge of the public officer's duties, made or retained in the ordinary course of business for the purpose of preserving its informational content for future reference.	2 years	Lead Staff	Agency preference GC 60201
ADM-003	Correspondence - Regulatory	Records that document a decision from a regulatory agency, municipality, or public agency - or to an agency by the district. This includes significant requests or inquiries. For routine requests/inquiries refer to ADM-004.	10 years May require longer retention if related to a project/category with specific retention requirements.	Lead Staff	Agency preference GC 60201
ADM-004	Preliminary Drafts/ Disposable Items	Items that need not be retained for any period: preliminary drafts, notes, interagency or intra-agency memoranda not retained in the ordinary course of business. Electronic communications that are transitory messages that do not set policy, establish guidelines, document District	No retention required. Destroy when no longer needed.	All	GC 60201 GC 6254

Record Series #	Record Series	Description or Example of Record	Minimum Retention Period <i>Retention begins date record created or received unless otherwise noted.</i>	Office of Record	Legal Authority
		business, certify a transaction or act as a receipt. Communications that address routine business, announce non-policy matters, distribute workflow or set calendars. Personal information unrelated to District business.			
ADM-005	Forms	Administrative – blank forms - all divisions	Until superseded or no longer in use.	All	GC 60201
BRD	BOARD/COMMITTEES				
BRD-001	Legislative Bodies – A/V Recordings	Audio and video recordings of Board of Directors or committee meetings	Permanent	ASD	Agency preference GC 60201 GC 54953.5 (b) – Brown Act
BRD-002	Legislative Bodies – Closed Session	Closed Session agendas, documents presented to legislative body	2 years	GM	Agency preference GC 60201
BRD-003	Legislative Bodies – Meeting Materials	Final agendas, cancellation notices, staff notes, documentation received, created and/or submitted to the Board of Directors or committees.	Permanent	ASD	Agency preference GC 60201
BRD-004	Legislative Bodies – Meeting Minutes	Final meeting minutes	Permanent	ASD	GC 60201(d)(3)
BRD-005	Non-Legislative Bodies-A/V Recordings	Audio and Video Recordings of committee meetings.	Permanent	ASD	Agency Preference GC 60201 GC 54953.5(b) – Brown Act
BRD-006	Non-Legislative Bodies – Meeting Materials	Final agendas, cancellation notices, staff notes, documentation received, created and/or submitted to committees established by the Board of Directors but designated as not meeting the definition of a legislative body.	Permanent	ASD	Agency preference GC 60201
BRD-007	Non-Legislative Bodies - Minutes	Final meeting minutes	Permanent	ASD	Agency preference GC 60201
BRD-008	Video of Other Events/Meetings	Recordings, Video – Other events – recordings of other than public meetings; considered duplicate records if another	Minimum 90 days after event is recorded.	ASD	GC 53161

Record Series #	Record Series	Description or Example of Record	Minimum Retention Period <i>Retention begins date record created or received unless otherwise noted.</i>	Office of Record	Legal Authority
		record of the same event is kept (i.e., written minutes or audio recording)			
CEQ	CEQA/NEPA				
CEQ-001	CEQA/NEPA District responsible agency under CEQA or cooperating on NEPA process	Notice of exemptions, negative declaration, notice of completion, notice of determination, draft and final environmental impact report, appendices, comments, statements of overriding considerations, mitigation monitoring plan. Studies or other documents relied upon in any environmental document prepared for the project and either made available to the public during the public review period or included in the respondent public agency's files on the project, and all internal agency communications including staff notes and memoranda related to the project or to compliance with CEQA.	CEQA/NEPA process complete + 10 years then review for retention every 5 years.	Lead Staff	Agency Preference GC 60201 14 CCR 15095(c)
CEQ-002	CEQA/NEPA Prepared by Others for Non-District Projects	Includes EIRs, Environmental Assessments	1 year, review annually for retention – destroy when no longer needed.	ASD	Agency Preference GC 60201
CEQ-003	CEQA/NEPA Comments prepared for Non-District Projects	Comments submitted by staff on non-District projects.	Submitted + 5 years	Lead Staff	Agency Preference GC 60201
CEQ-004	CEQA/NEPA Compliance – includes projects for which the District has oversight.	Mitigation Monitoring – Includes reports to regulating agencies	Permanent	Lead Staff	Agency Preference GC 60201 14 CCR 15095(c)
ELE	ELECTIONS				
ELE-001	Administrative Documents	Required submittals to Elections Dept. and Responses	7 years	GM/ASD	Agency preference; GC 60201 GC 81009(c)
ELE-002	Ballots/Protest Letters – Prop. 218 (Assessment Districts)	Protests/Ballots – property related fees (assessment ballot proceeding)	2 years	GM/ASD	GC 53753(e)(2)
ELE-003	Certificate of Election	Certificates of elections	Permanent	GM/ASD	Agency preference GC 60201

Record Series #	Record Series	Description or Example of Record	Minimum Retention Period <i>Retention begins date record created or received unless otherwise noted.</i>	Office of Record	Legal Authority
ELE-004	Oaths of Office	Elected and public officials – board members	Year terminated + 6 years	GM/GM	29 USC 1113
ELE-005	Petitions	Submitted to legislative body	1 year	GM/ASD	GC 50115 ;
ELE-006	Petitions Signed – Initiative/Recall/Referendum	Not a public record – documents resulting in an election – retention is from election certification	8 months	GM/ASD	EC 17200(b)(3) , 17400
FIN	FINANCE				
FIN-001	Accounts Payable	Journals, statements, asset inventories, account postings with supporting documents, vouchers, invoices and back-up documents, purchase orders, petty cash, postage, check requests, issued checks, register approved by legislative body (copy is normally retained as part of agenda packet information), and other accounts payable related items.	Audit complete + 5 years	ASD	Agency preference GC 60201 CCP 337
FIN-002	Accounts Payable	Payments to vendors, other district payments. Includes check copies, canceled or voided checks, electronic versions of checks	Audit complete + 5 years	ASD	Agency preference GC 60201 ; CCP 337
FIN-003	Accounts Receivable	Receipts for deposited checks, coins, currency; checks received, reports, investments, receipt books, receipts, cash register tapes, payments for fees, returned checks, invoices, and other accounts receivable items.	Audit complete + 5 years	ASD	Agency preference GC 60201 CCP 337 , 343 .
FIN-004	Annual Financial Report	Includes unaudited financial statement, independent auditor analysis, State Controller annual reports, Local Government Compensation Reports	Audit complete + 7 years	ASD	GC 60201
FIN-005	Bank Account Reconciliations	Bank statements, bank reconciliations	Audit complete + 5 years	ASD	Agency preference GC 60201
FIN-006	Bonds	Authorization/public hearing records/prospectus/proposals/certificates/notices (transcripts)/registers/statements/warrant certificates/interest coupons. Pertains to issued/paid/cancelled bonds.	Cancellation, redemption, or maturity + 10 years	ASD	CCP 336 , 337.5 GC 53921 , 60201 26 CFR 1.6001-1(e)
FIN-007	Budget, Annual	Annual operating budget approved by the board of directors	Permanent	ASD	Agency preference for historical reference GC 60201

Record Series #	Record Series	Description or Example of Record	Minimum Retention Period <i>Retention begins date record created or received unless otherwise noted.</i>	Office of Record	Legal Authority
FIN-008	Comprehensive Annual Financial Reports (CAFR)/ Annual Audits	Audited financial statements, independent auditor analysis.	Permanent	ASD	Agency preference for historical reference GC 60201 CCP 337
FIN-009	Deferred Compensation Reports	Pension/retirement funds	Audit complete + 5 years	ASD	Agency preference 29 CFR 516.5 , GC 60201
FIN-010	Expense Reimbursements/ Credit Cards	Relates to expense reimbursement to district officers or employees, or to the use of district paid credit cards, or any travel compensation mechanism. Includes credit card bills or statements, and other records related to the use of district-paid credit cards.	Audit complete + 7 years	ASD	Agency preference GC 60201(d)(12)
FIN-011	General Ledgers	All annual financial summaries, journal reports, general ledger reports, and other general ledger related reports	Audit complete + 5 years	ASD	Agency preference GC 60201
FIN-012	Investment Reports, Transactions	Summary of transactions, inventory and earnings report, and certificates of deposit	Audit complete + 5 years	ASD	Agency preference GC 60201 CCP 337 ;
FIN-013	Payroll – Federal/State Reports	Annual W-2s, W-4s, Form 1099s, etc.; quarterly and year-end reports, and any other Federal/State payroll related records.	Year filed + 7 years	ASD	GC 60201(d)(12) 29 USC 436 26 CFR 31.6001.1-4 26 CFR 31.6001-1(e) 29 CFR 516.5 – 516.6
FIN-014	Payroll Records	Records that specify the amount of compensation paid to district employees or officers or to independent contractors providing personal or professional services to the district. Includes time cards/sheets, check copies, canceled or voided checks, electronic versions of checks.	Audit complete + 7 years	ASD	Agency preference GC 60201(d)(12)
FIN-015	Unemployment Insurance Records	Records relating to unemployment insurance – claims, payments, correspondence, etc.	Audit complete + 5 years	HR	Agency preference; GC 60201
FIN-016	Wage Garnishment	Wage or salary garnishment	Garnishment satisfied, than retain until audit complete + 7 years	ASD	Agency preference GC 60201(d)(12)

Record Series #	Record Series	Description or Example of Record	Minimum Retention Period <i>Retention begins date record created or received unless otherwise noted.</i>	Office of Record	Legal Authority
FIN-017	Water Supply Charge	Water supply charge related records including appeal forms and response.	7 years	ASD	Agency preference GC 60201
FPC	FPPC				
FPC-001	Conflict of Interest Code	Conflict of Interest Code – required under Political Reform Act; must be reviewed every even-numbered year and amended if necessary	Upon approval by Board of Supervisors, destroy previous version.	GM	Agency preference GC 60201
FPC-002	Lobbying or Lobbyist Forms (FPPC forms)	FPPC Form 602 – Lobbying Firm Activity Authorization; FPPC Form 635 – Report of Lobbyist Employer and Reports of Lobbying Coalition – forms used when employing or contracting with a lobbying firm	Year filed + 5 years	ASD	2 CCR 18615(d) , GC 81009 (g)
FPC-003	Statement of Economic Interest (SEI) – Form 700 (Copies)	Maintain copies. Original statements forwarded to County of Monterey.	Year filed + 4 years (can image after 2 years)	ASD	GC 81009 (f) & (g)
HRS	HUMAN RESOURCES				
HRS-001	DMV Driver's Records Reports (DMV Pull-Notice System)	Motor vehicle pulls – personnel record – not a public record. Received for employment verification or other reasons.	Superseded or Employee Terminated	HR	Agency preference GC 60201
HRS-002	Employee Benefit Plans	Benefit plans (include “cafeteria” and other plans), health insurance programs; COBRA, (health, vision, dental, deferred compensation, etc.), PERS - Retirement plan	Termination of plan + 6 years	HR	Agency preference GC 60201 29 CFR 1627.3(b)(2)
HRS-003	Employee Handbook/ Personnel Rules	Including employee handbooks, employee manuals, and other policies/procedures	Superseded + 10 years	HR	Agency preference GC 60201 CFR 1627.3(a)
HRS-004	Employee, Medical and Exposure Records (Toxic Substances or Harmful Physical Agents). Permanent and Temporary Employees	Medical records are part of personnel file – not a public record. Includes medical records made or maintained by a physician, nurse, or other health care personnel, or technician pertaining to employees exposed to toxic substances or harmful physical agents.	Employment terminated + 30 years	HR	Agency preference GC 60201 29 CFR 1910.1020 8 CCR 3204 (d)(1)(A)(B) 8 CCR 5144
HRS-005	Employee Personnel Files Permanent & Temporary Employees	Includes original agreements/contracts for at-will employees or temporary employees. May also include arbitration, grievances, union requests, sexual harassment and Civil	Employment terminated + 30 years	HR	Agency preference; GC 60201 29 CFR 1602.31 & 1627.3(b)(ii)

Record Series #	Record Series	Description or Example of Record	Minimum Retention Period <i>Retention begins date record created or received unless otherwise noted.</i>	Office of Record	Legal Authority
		Rights, complaints, disciplinary actions, release authorizations, certifications, commendations, employment verifications, reassignments, outside employment, evaluations, grievances, I-9's, licenses, personnel action forms, policy acknowledgements, waiver of responsibility for voluntary activities, terminations, oaths of office, pre-employee medicals, fingerprints, identification cards (IDs) etc. Other records (not payroll) containing name, address, date of birth, occupation, etc., including records relating to hiring, promotion, demotion, transfer, layoff and training records. Records, reports showing compliance with federal equal employment requirements (EEO-4 reports, etc.). Records of FMLA leave taken, notices, communications relating to taking leave.			GC 12946 , 60201 ; 29 USC 113 29 CFR 1627.3 29 CFR 825.500 GC 12946 GC 60201(d)(12) CCP 337 , 343
HRS-006	Employee Recruitment	Ethnicity disclosures, examination materials, examination answer sheets, job bulletins	2 years	HR	GC 12946 , 60201 29 CFR 1602 et seq. 29 CFR 1627.3
HRS-007	Employment Applications – Not Hired	Applications submitted for existing or anticipated job openings, including any records pertaining to failure or refusal to hire applicant	2 years	HR	GC 12946 , 60201 29 CFR 1627.3(b)(1)(i)
HRS-008	Ethics Training Records	Certificates of completion must show dates that district officials satisfied the training requirements and the entity that provided the training	Employment terminated + 30 years	GM	Agency preference GC 53235.2
HRS-009	Job Descriptions	Descriptions of duties, qualifications, responsibilities for each position/classification/job title	Superseded + 3 years	HR	Agency preference GC 60201 29 CFR 1627.3
HRS-010	Labor Agreements	Labor agreements, contracts and MOU's	Permanent	HR	Agency preference GC 60201(d)(12) CCP 337

Record Series #	Record Series	Description or Example of Record	Minimum Retention Period <i>Retention begins date record created or received unless otherwise noted.</i>	Office of Record	Legal Authority
HRS-011	Labor Negotiations	Notes, notebooks, correspondence. (These are confidential documents)	Date Contract, Agreement or MOU Signed + 5 years	HR/ Negotiating Team	Agency preference GC 60201
HRS-012	OSHA (Accident/Illness Reports)	Personnel – employee exposure records and employee medical records Not a public record	Employment terminated + 30 years	HR	Agency preference GC 60201 29 CFR 1910.1020 8 CCR 3204 (d)(1)(A)(B) 8 CCR 5144
HRS-013	OSHA Log 200 reports	OSHA Log 200 , supplementary record, annual summary (federal and state – California – OSHA); OSHA 300 Log, privacy case list, annual summary, OSHA 301 incident report forms	5 years	??	29 CFR 1904.2 – 1904.6 8 CCR 14300.33(a) ;
HRS-014	PERS - Reports	PERS Retirement reports required to be filed with PERS.	Date filed + 7 years	HR	Agency preference GC 12946 ; 60201 ;
HRS-015	Salary/Compensation Studies, Surveys	Surveys of other agencies regarding wages, salaries and other compensation benefits	Superseded + 2 years	HR	GC 12946 , 60201
HRS-016	Sexual Harassment Prevention Training	Certificates of completion must show dates that district officials satisfied the training requirements and the entity that provided the training;	Employment terminated + 30 years	HR	Agency preference GC 53237.2(b)
HRS-017	Unemployment Insurance Records	Records relating to unemployment insurance – claims, payments, correspondence, etc.	4 years	HR	Agency preference; GC 60201
HRS-018	Workers' Compensation Files	Work injury claims (including denied claims), claim files, reports, etc. Does not include first aid records of one-time treatment made on site by a non-physician or observation of minor scratches, cuts, burns, splinters, etc., which do not involve medical treatment, loss of consciousness, restriction of work or motion, or transfer to another job	Termination + 30 years	HR	Agency preference 8 CCR 10102 GC 60201 29 CFR 1910.1020 8 CCR 3204 (d)(1)(A)(B) 8 CCR 5144
ITC	INFORMATION TECHNOLOGY				
ITC - 001	Back up tapes/Disks – Daily, Weekly	Retained for disaster recovery	3 months	IT	Agency preference GC 60200

Record Series #	Record Series	Description or Example of Record	Minimum Retention Period <i>Retention begins date record created or received unless otherwise noted.</i>	Office of Record	Legal Authority
ITC-002	Geographic Information Systems	Data sets	Destroy when no longer needed.	IT	Agency preference GC 60200 and 60201
ITC-003	Software licenses, warrantees, installation media		Destroy when no longer needed.	ASD	Agency preference GC 60201
LEG	LEGAL				
LEG-001	Decennial Census Redistricting Process	Final report, records documenting the process, submittal to DOJ and response.	Permanent	GM/ASD	GC 60201 (d)(1)
LEG-002	District Formation Records	Relates to formation, change of organization, or reorganization of the district	Permanent	ASD	GC 60201 (d)(1)
LEG-003	Legal Notices/ Affidavits of publication	Proof of publication of notices	2 years or longer if required by project/contract.	ASD/Lead Staff	Agency preference GC 60201 GC 54960.1(c)(1)
LEG-004	Legal Opinions	Confidential – not for public disclosure (attorney-client privilege)	Superseded	GM/Lead Staff	Agency preference GC 60201
LEG-005	Litigation - MPWMD	Briefs, motions, decisions or other Court filings	Following settlement or final decision, retain permanently	ASD	Agency preference GC 60201
LEG-006	Litigation – MPWMD Not a Party to Case		2 years - review with Counsel prior to destruction.	ASD	Agency preference GC 60201
LGS	LEGISLATION				
LGS-001	Affecting formation, boundaries, organization or reorganization of MPWMD	Copies of legislation – draft and final	Permanent	ASD	GC 60201 (d)(1)
LGS-002	Political Support/Opposition, Requests and Responses	Related to legislation affecting the District or otherwise significant	2 years	ASD	Agency preference GC 60201
LPS	LICENSES/PERMITS				
LPS-001	Applications submitted by MPWMD	Unsuccessful applications for licenses and permits required by federal, state and local agencies	Notified + 2 years; thereafter, can review annually and destroy when no longer needed.	Lead Staff	Agency preference GC 60201
LPS-002	Issued to MPWMD	Project, operations, and maintenance permits issued by federal, state and local agencies to MPWMD, includes the successful application.	Expiration of permit + 5 years; thereafter, can review annually and destroy when no longer needed.	Lead Staff	Agency preference GC 60201

Record Series #	Record Series	Description or Example of Record	Minimum Retention Period <i>Retention begins date record created or received unless otherwise noted.</i>	Office of Record	Legal Authority
LPS-003	Issued by MPWMD – pertains to real property	(A) Related to water permits/water distribution system permits and exemptions. May include water permits, water use permits, deed restrictions, consumption records, variances, appeals, rebates, inspections, landscape plans, public notices, agreements, and findings. (B) Related to wells on a property and existence of water distribution system. Includes applications, permits, well completion reports, well registrations, meter inspections and records that document a decision or unusual circumstance related to the property or history of the property. (C) River-work permits	Permanent	DM/WRes/ Engineering	Agency preference GC 60201
LPS-004	Received from Other Entities and retained/monitored by MPWMD	Includes records related to wells and well production such as well production data, annual well reporting documents and well location maps.	Permanent	WRes.	Agency preference; GC 60201
LPS-005	Water Rights - MPWMD	Permits and correspondence from/to regulatory agencies re MPWMD water rights.	Permanent	Lead Staff	Agency Preference; GC 60201
LPS-006	Water Rights – other than MPWMD	Permits and correspondence from regulatory agencies re water rights for projects/property not owned/operated by MPWMD.	Permanent	Lead Staff	Agency Preference GC 60201
MAP	MAPS				
MAP-001	Maps	Recorded maps, surveys, monuments. Engineering & profiles; cross-section of roads, streets, bridges, right-of-way; may include annexations, parks, tracts, block storm drains, water easements, bench marks, trees, grading, landfill, fire hydrants, base maps, etc.; topographic, geologic, wildlife, watershed, riparian corridor, property boundaries, water lines, remote sensing surveys, voter districts, and District boundary	Permanent for District owned projects or when District is charged with oversight. All others 5 years; thereafter, destroy when no longer needed.	Lead Staff/Dept	Agency Preference GC 60201

Record Series #	Record Series	Description or Example of Record	Minimum Retention Period <i>Retention begins date record created or received unless otherwise noted.</i>	Office of Record	Legal Authority
PHO	PHOTOS/VIDEO				
PHO-001	Photographs/Video	Photographs and video documenting projects and environmental conditions	Destroy when no longer needed	Lead Staff	Agency Preference GC 60201
PHO-002	Routine Surveillance Video Monitoring	Routine daily recordings of surveillance video monitoring	Videos – 1 year; If recordings relate to a claim or pending litigation, they must be preserved until the matter is resolved. If another record of the video recording is kept (written minutes or audio recording), video needs to be kept for only 90 days after the recorded event	IT	GC 53160 , 531g61
PRM	PROJECT MANAGEMENT				
PRM-001	Bids, RFQs, RFPs - Successful	May include, but is not limited to: requests for proposals (RFP), requests for qualifications (RFQ), bid exemption documents, bid and quote lists, notices of bid opening and award, comparison summaries, spreadsheets, tabulation worksheets, bid advertising records, tally sheets, bid specifications, bid award letter and other related correspondence or records	Retained as with corresponding contract/agreement.	Lead Staff/ ASD	Agency Preference GC 60201
PRM-002	Bids, RFQs, RFPs - Unsuccessful	Bid received from contractor and subsequent correspondence	2 years	Lead Staff	GC 60201 (d)(11)
PRM-003	Budget	Budget developed for a project or completion of a contract	Destroy when no longer needed	Lead Staff	Agency preference GC 60200
PRM-004	Contract/Agreement Infrastructure -	Contracts/agreements, insurance certificates, notices of completion. Includes all contractual obligations, specifications, scope of work. Also correspondence.	Termination/completion + 10 years. Retention could be longer if required by the government agency/NGO that funds or oversees project.	Lead Staff/ ASD	Agency Preference GC 60201 CCP 337.15 ;
PRM-005	Contract/Agreement Non Infrastructure – (Equipment purchases, leases, vehicle purchases, etc.)	Agreement or Contract	Destroy when equipment no longer owned or operational. Retention could be longer if required by the government	Lead Staff/ASD	Agency Preference GC 60201 CCP 337 , 337.2 , 343

Record Series #	Record Series	Description or Example of Record	Minimum Retention Period <i>Retention begins date record created or received unless otherwise noted.</i>	Office of Record	Legal Authority
			agency/NGO that funds or oversees project.		
PRM-006	Contract/Agreement Services	Agreement and insurance certificates for services such as consulting, maintenance, painting.	Termination/completion + 10 years. Retention could be longer if required by the government agency/NGO that funds or oversees project.	Lead Staff/ASD	Agency Preference GC 60201 CCP 337.15 ;
PRM-007	Field books/Data files	Biologic, physical, operational and chemical data gathered from within Water Management District boundaries.	Permanent	Lead Staff/Dept.	Agency preference GC 60201
PRM-008	Grants – Funded by MPWMD	Successful applications, supporting documents, correspondence.	Audit complete following final distribution + 5 years.	Lead Staff/ASD	Agency Preference GC 60201
PRM-009	Grants – Successful State or Federally Funded	Grant documents and all supporting documents: applications, reports, contracts, project files, proposals, statements, sub-recipient dockets, environmental review, inventory, consolidated plan, etc.	Completion of activity funded by grant + 5 years, or longer if specified in grant closeout procedure – refer to grant application. Thereafter, review every 2 years – destroy when no longer needed.	Lead Staff/ASD	Agency Preference GC 60201 24 CFR 570.502 2 CFR 200.333
PRM-010	Grants – Successful – Issued by NGOs	Grant documents and all supporting documents: applications, reports, contracts, project files, proposals, statements, sub-recipient dockets, environmental review, inventory, consolidated plan, etc.	Completion of activity funded by grant + 5 years, or longer if specified in grant closeout procedure – refer to grant application. Thereafter, review every 2 years – destroy when no longer needed.	Lead Staff/ASD	Agency Preference 24 CFR 570.502 2 CFR 200.333 GC 60201
PRM-011	Grants – Unsuccessful	Applications not entitled. Includes NGO's, State and Federal, and grant programs sponsored by MPWMD.	Notification + 2 years	Lead Staff	Agency Preference GC 60201
PRM-012	Infrastructure Development/District Owned Facilities	Records on design, construction, conversion or modification of District owned facilities, structures and systems.	Completion of work or until facility no longer owned or operated by the District + 1 year. Retain for whichever is the longest period.	Lead Staff	Agency Preference GC 60201 CC 337.15
PRM-013	Infrastructure – Facilities Associated with District Management or Oversight	As-built plans, photos, compliance reports, technical analysis, operation and maintenance related documentation	Management or oversight by District ends + 1 year.	Lead Staff	Agency Preference GC 60201

Record Series #	Record Series	Description or Example of Record	Minimum Retention Period <i>Retention begins date record created or received unless otherwise noted.</i>	Office of Record	Legal Authority
PBO	PUBLIC OUTREACH				
PBO-001	Annual Report of District	Annual report as required by MPWMD enabling legislation.	Permanent	ASD	Agency preference GC 60201
PBO-002	Brochures/Publications developed by District	Brochures and publications developed by the District to provide information to the public on District projects, programs or regulations.	5 years; thereafter, review annually and destroy when no longer needed.	Lead Staff	Agency Preference GC 60201
PBO-003	Newsletter, District	Newsletters published by the District.	5 years; thereafter, review annually and destroy when no longer needed.	Lead Staff/ ASD	Agency Preference GC 60201
PBO-004	Press Releases	Related to district actions/activities	5 years	Lead Staff	Agency Preference GC 60201
PRA	PUBLIC RECORDS ACT				
PRA-001	Requests/Response	Requests from the public to inspect or copy public documents. Response, including records provided.	Final response + 2 years. (If records are requested in conjunction with a lawsuit, dispose of when issue is settled.)	Lead Staff	GC 60201 (d)(5)
RPO	FIXED ASSETS OWNED BY MPWMD				
RPO-001	Real Property	Title, purchase agreement, deeds and promissory notes	Permanent	ASD	GC 60201 (d)
INV-002	Machinery, vehicles, equipment, furnishings	The inventory reflects purchase date, cost, account number	Audit complete + 5 years	ASD	Agency Preference GC 60201 ;
INV-003	Fixed Assets – Surplus Property/Disposed	Auction; disposal – listing of property; sealed bid sales of equipment	Audit complete + 5 years	ASD	Agency Preference GC 60201 CCP 337
RPO-004	Maintenance Records/Logs		Disposal of asset + 1 year	ASD	Agency Preference GC 60201
RIM	RECORDS MANAGEMENT				
RIM-001	Incoming Mail Folders	ASD maintains pdfs of incoming mail in u/canonscan/mail. Excludes Record Series ADM-004.	Assign retention to each record, review annually and dispose of expired records.	ASD	Agency Preference GC 60201
RIM-002	Outgoing Mail Folders	ASD maintains pdfs of outgoing mail	Assign retention to each record, review annually and dispose of expired records.	ASD	Agency Preference GC 60201

Record Series #	Record Series	Description or Example of Record	Minimum Retention Period <i>Retention begins date record created or received unless otherwise noted.</i>	Office of Record	Legal Authority
RIM-003	List of mail received/sent	ASD maintains a list of incoming and outgoing correspondence	Destroy when no longer needed	ASD	Agency Preference GC 60201
RIM-004	Records Management Disposition/ Destruction Certification	Documentation of final disposition/destruction of records	Permanent	ASD	Agency Preference GC 60201
RIM-005	Records Retention Schedule	A list of records produced or maintained by an agency and the actions taken with regard to those records.	Permanent	GM/ASD	Agency Preference GC 60201
REG	REGULATIONS - MPWMD				
REG-001	MPWMD Rules & Regulations Document	MPWMD Rules and Regulations Document – updated when ordinances are adopted by the Board of Directors.	Permanent retention of PDF of each update.	ASD	Agency Preference GC 60201
REG-002	Ordinances	Adopted by the Board of Directors	Permanent - An ordinance that has been repealed or is otherwise invalid or unenforceable may be destroyed or disposed of five years after it was repealed or became invalid or unenforceable.	ASD	GC 60201(C)(2)
REG-003	Policies, Administrative	All policies, procedures, and/or directives rendered by the district or Board not assigned a resolution or ordinance number	Superseded + 2 years	Lead Staff	Agency Preference GC 60201 ,
REG-004	Resolutions	Adopted by the Board of Directors	Permanent	ASD	GC 60201 (C)(2)
RSK	RISK MANAGEMENT				
RSK-001	Accidents/Damage to District Property	Risk management administration	Audit complete + 5 years	ASD	Agency preference GC 60201
RSK-002	Bonds, Surety	Documentation created and/or received in connection with the performance of work/services for the district	Work complete + 5 years	ASD	Agency preference GC 60201 CCP 337
RSK-003	Bonds – Employee (Fidelity Bonds)	Form of insurance that covers employer (district) for losses resulting from fraudulent acts of specified employees	Superseded + 2 years	ASD	Agency preference GC 60201
RSK-004	District Insurance Policies,	May include liability, property, auto, use of facilities, Workers Comp.	Superseded + 2 years	ASD	Agency preference GC 60201

Record Series #	Record Series	Description or Example of Record	Minimum Retention Period <i>Retention begins date record created or received unless otherwise noted.</i>	Office of Record	Legal Authority
REP	STUDIES/REPORTS				
REP-001	Studies or Reports	Final reports related to agency projects or programs prepared in compliance with law, ordinance, resolution, permits or by agreement. This includes biologic, physical, operational and chemical studies; technical reports and memorandums undertaken by the District to achieve its objectives.	Permanent	Lead Staff/ ASD	Agency preference GC 60201

		Abbreviations	
	ASD Administrative Services Division	IT Information Technology	Lead Staff Person responsible for completion of project
	GM General Manager Division	DM Demand Management Division	
	HR Human Resources	CY Current Year	
		Legal Code Abbreviations	
	CCP Code of Civil Procedure (California)	GC Government Code (California)	EC Elections Code (California)
	CCR California Code of Regulations	CFR Code of Federal Regulations	

Office of Record - The organization or administrative unit that is responsible for maintaining the official or "record" copy of a particular type of record.

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