

COUNTY OF SONOMA
REQUEST FOR APPROVAL OF RECORDS RETENTION SCHEDULE

The Board of Supervisors is requested to approve the attached records retention schedule(s); approval constitutes continuing authority for the proper disposal of the records listed.		
DEPARTMENT: Sonoma County Water Agency	DIVISION: All	
SECTION:	SCHEDULE NO: SCWA Records Retention Schedule 2 SCWA Common Accounting and Administrative Retention Schedule 9	
1. COUNTY RECORDS MANAGEMENT REVIEW		
The Records Manager of the County of Sonoma has reviewed the attached schedule(s) for compliance with countywide standards and policies and conformance with accepted records management practices.		
<div style="display: flex; justify-content: space-between; align-items: flex-end;"><div style="text-align: center;"><u><i>Jonathan Kajeckas</i></u> <small>SIGNATURE Jonathan Kajeckas (Mar 5, 2025 16:42 PST)</small></div><div style="text-align: center;">Records Manager <small>TITLE</small></div><div style="text-align: center;">03/05/2025 <small>DATE</small></div></div> <div style="margin-top: 5px;"><small>PRINT/TYPED NAME</small> Jonathan Kajeckas</div>		
2. DEPARTMENTAL REVIEW		
I have reviewed the attached records retention schedule(s) which has/have been prepared after careful examination of all records with regard to operating, administrative, legal, fiscal, or historical value, as well as to application of appropriate county, state and federal rules, ordinances, regulations and/or statutes governing records retention.		
<div style="display: flex; justify-content: space-between; align-items: flex-end;"><div style="text-align: center;"><u><i>Grant Davis</i></u> <small>DEPARTMENT HEAD SIGNATURE Grant Davis (Mar 7, 2025 15:23 PST)</small></div><div style="text-align: center;">Water Agency General Manager <small>TITLE</small></div><div style="text-align: center;">03/07/2025 <small>DATE</small></div></div> <div style="margin-top: 5px;"><small>PRINT/TYPED NAME</small> Grant Davis</div>		
3. COUNTY COUNSEL REVIEW		
As County Counsel, I have reviewed the retention periods assigned to records on the attached schedule(s). I hereby certify that I am the lawful head, or that I am authorized to act for the head, of the Office of County Counsel in matters pertaining to records disposal.		
<div style="display: flex; justify-content: space-between; align-items: flex-end;"><div style="text-align: center;"><u><i>Robert Pittman</i></u> <small>SIGNATURE</small></div><div style="text-align: center;">County Counsel <small>TITLE</small></div><div style="text-align: center;">03/05/2025 <small>DATE</small></div></div> <div style="margin-top: 5px;"><small>PRINT/TYPED NAME</small> Robert Pittman</div>		
4. AUDITOR-CONTROLLER/TREASURER-TAX COLLECTOR REVIEW		
As County Auditor-Controller/Treasurer-Tax Collector, I have reviewed the retention periods assigned to records on the attached schedule(s) to determine their conformance with audit requirements.		
<div style="display: flex; justify-content: space-between; align-items: flex-end;"><div style="text-align: center;"><u><i>Erick Roeser</i></u> <small>SIGNATURE</small></div><div style="text-align: center;">Auditor-Controller-Treasurer- Tax-Collector <small>TITLE</small></div><div style="text-align: center;">03/07/2025 <small>DATE</small></div></div> <div style="margin-top: 5px;"><small>PRINT/TYPED NAME</small> Erick Roeser</div>		
5. ARCHIVAL REVIEW		
As Chairperson of the Sonoma County Historical Records Commission, I have reviewed the schedule(s) and have identified those items, which, in my judgment, have archival, historical or research value.		
<div style="display: flex; justify-content: space-between; align-items: flex-end;"><div style="text-align: center;"><u><i>Robert Chase</i></u> <small>SIGNATURE Robert Chase (Mar 17, 2025 21:39 PDT)</small></div><div style="text-align: center;">Chair, Historical Records Commission <small>TITLE</small></div><div style="text-align: center;">03/17/2025 <small>DATE</small></div></div> <div style="margin-top: 5px;"><small>PRINT/TYPED NAME</small> Robert Chase</div>		
6. BOARD OF SUPERVISORS APPROVAL		
THE ATTACHED RECORDS RETENTION SCHEDULE(S) IS/ARE APPROVED PER		
RESOLUTION NUMBER: _____ DATE: _____		

Records Retention Schedule for Sonoma County Water Agency

Division	Item #	Title	Description	Conf	Vital	Arch	Retention	Remarks
Administration - Finance	WAAC-050	Bonds - Statements and Certificates	Statements of account and destruction for each bond fund. Backup for payment received by paying agent. Includes: Payments to bond and coupon holders and balances for each bank account.				After Completion + 10 Years	If Agency no longer wants to retain records, they should be sent to the County Archives for permanent retention.
Administration	WAAD-020	Advisory Committees - Major	Operating files of the flood zone committees, water advisory committee (WAC), and technical advisory committee (TAC). Typical documents include: Minutes, committee resolutions, appointments and rosters.			A	Permanent	
Administration	WAAD-033	Associations & Committees Outside of WAC/TAC Advisory Committees	Records involving various associations/committees that Sonoma Water is actively involved in. Typical documents include: Minutes, committee resolutions, appointments and rosters.				Note	Keep for duration of current GM's tenure. Review every 5 Years.
Administration	WAAD-190	Hearings	Records of hearings in which the Agency participates. Excludes hearings on water rights, master water supply contract, and those held before the board of directors. Typical documents include: Transcripts.				Calendar Year + 5 Years	For hearings on water rights see Water Rights SCWA (WWAD-370). For hearings on the master water supply contract see Contracts - Master Water Supply (WAAD-120).

Records Retention Schedule for Sonoma County Water Agency

Division	Item #	Title	Description	Conf	Vital	Arch	Retention	Remarks
Administration	WAAD-034	Agency Formation & Operational Governance	MOU's and agreements which allow SCWA to operate as a water transmission / sanitation district facility. Typical documents include: Transfer of Ownership, duties outlined by Board of Supervisors.		V	A	Permanent	
Administration	WAAD-040	Benefit Assessments - Changes	<p>Property assessments for voter-approved flood control work. Used to correct property tax assessments. Includes: data binders with name, address, APN, use code, runoff factor, acres, charge.</p> <p>Destroy records 8 Years after payment. Revenue and taxation code 5097(2) allows refunds to be filed within 4 Years after payment is made.</p>				After Completion + 8 Years	
Administration	WAAD-950	Public Records Act (PRA) Requests	<p>Requests for Department writings containing information relating to the conduct of the public's business prepared, owned, used, or retained by the department regardless of physical form or characteristics. Associated with the California Public Records Act (CPRA). Includes initial requests and responses that document providing responsive records or the absence of responsive records.</p> <p>Official copy kept by the Agency. Destroy when obsolete; not to exceed 4 Years after the close of the calendar year.</p>				Calendar Year + 4 Years	

Records Retention Schedule for Sonoma County Water Agency

Division	Item #	Title	Description	Conf	Vital	Arch	Retention	Remarks
Administration - Finance	WAAC-160	Sewer Bill Assistance Program	Files associated with the Sewer Bill Assistance Program initiated in 2023. Typical documents include: Applications, supporting documents, correspondence, fiscal histories, and transaction receipts.				Calendar Year + 5 Years	
Administration - Grants & Funded Projects	WAAD-270	Matching Funds	Documentation of the Agency's participation in the 25% matching funds projects for the repair of property damage caused by a significant event. Includes: Procedures, project information.				Obsolete	
Administration - Public Communications	WAAD-330	Publications	Original water education and public affairs publications created by the Agency. Typical documents include: Pamphlets, newsletters and booklets.			A	After Close/Completion + 5 Years	
Operations & Maintenance - Field Operations	WAAD-030	Aqueduct Operations & Maintenance	Maintenance records for aqueducts including safety inspections, repairs. Typical documents include: Assessments, demand targets, potable water discharge/spills/violations, and inspection reports.		V		Permanent	
Operations & Maintenance - Field Operations	WAAD-035	Flood Control / Dam Maintenance	Maintenance records for dams managed by Agency (Piner, Brush Creek, Matanzas Creek, Santa Rosa Creek, etc.) Flood control facility construction, Central Sonoma Watershed Project. Typical documents include: Dam safety inspections, Dam repairs, flood control construction & design documents, historic flood maintenance records.		V		Permanent	

Records Retention Schedule for Sonoma County Water Agency

Division	Item #	Title	Description	Conf	Vital	Arch	Retention	Remarks
Operations & Maintenance - Field Operations	WAOS-250	Stream Maintenance	Stream maintenance program (SMP) records. Typical documents include: Environmental impact reports (EIR); SMP manual; SMP Permits from California Department of Fish & Wildlife (CDFW), waterboards, National Marine Fisheries Service (NMFS), US Fish & Wildlife Service (USFWS), & US Army Corps of Engineers (USACE); SMP annual reports; SMP annual notifications (work plans); SMP annual sediment disposal & sampling plans; SMP mitigation credit bill of sales; SMP annual public notice of planned projects (newspaper ads); Watershed Partnership Program; SMP consultant agreements (horizon); SMP annual fish & wildlife reports; decision-making correspondence with SMP regulating Agencies.		V	A	Permanent	
Operations & Maintenance - Field Operations	WAOF-040	Creek Inventory	Inventory of area creeks with tracking information such as: percent of canopy cover, height of vegetation, species of fish, ownership/easements, sediment removal, maintenance records, information on related municipalities. Typical documents include: Maps, GIS layers, tracking records, surveys.				Permanent	Records are constantly updated, and the prior information is maintained as reference. Records held in GIS database.
Operations & Maintenance - Field Operations	WAEN-020	Creek Studies	Hydrologic, hydraulic, and structural studies completed for creeks in the county. Used as a basis for construction projects, reviews, and studies by Agency and private engineers. Typical documents include: Calculations, notes, and designs, feasibility studies, test results.		V		Permanent	

Records Retention Schedule for Sonoma County Water Agency

Division	Item #	Title	Description	Conf	Vital	Arch	Retention	Remarks
Operations & Maintenance - Field Operations	WAOS-170	Stream Flows - Compilations	Continuous records for stream flows in the Russian River system. Typical documents include: Data sheets and midnight reports which consist of flow reports, reservoir reports and pump hour reports ("SCADA": supervisory control and data acquisition).			A	Permanent	If Agency no longer wants to retain records, they should be sent to County Archives for permanent retention.
Environmental Resources	WAAD-220	Stream Flow Licenses and Permits -	Permits or violations governing stream flow work related to storm water and discharges (As described under Ordinance 1108) and work along rivers and streams (Ordinance 3836r). Typical documents include: Permit, notice of violation, correspondence, maps and photos.				After Event + 10 Years	
Administration - Finance	WAAC-370	Prop 218 Protest Ballots	Records associated with protesting the proposed rate changes for services. Typical documents include: Public hearing notices, written protests.				Calendar Year + 2 Years	
Administration	WAAD-380	Flood Control Zone Files	Historical information on creation of flood control zones. Typical documents include: Background information used to establish the zones, determination and assessment of flood zones, legal descriptions, maps, etc.			A	Permanent	If Agency no longer wants to retain records, they should be sent to County Archives for permanent retention.
Operations & Maintenance - Field Operations	WAOF-050	Diaries	Daily diary (known as red diaries) of work completed by the flood control section. Typical documents include: Operator, area, work done. Also known as standard daily journal.				Permanent	

Records Retention Schedule for Sonoma County Water Agency

Division	Item #	Title	Description	Conf	Vital	Arch	Retention	Remarks
Engineering & Resource Planning	WAAD-130	Drainage Investigations	Investigations of drainage problems caused by the actions of persons or entities. Typical documents include: Drainage problem report, calculations, correspondence, maps and photos.				After Close/Completion + 10 Years	Destroy records 10 Years after the close of the investigation. Drainage investigations resulting in the issuance of a permit are moved to licenses and permits-1108 (WAAD-220).
Engineering & Resource Planning	WAEB-010	Drainage Review Referrals	Requests from County Departments and outside Agencies for the Water Agency to review drainage in subdivisions or proposed projects. Also known as tentative maps. Typical documents include: Referral request form or letter, map.				Calendar Year + 3 Years	As referrals become official projects, the records are held under series WAEB-030, drainage review projects.
Engineering & Resource Planning	WAEB-020	Drainage Reviews For City Master Plans	Background material used for the drainage element of outside City's master plans created by the Agency. Typical documents include: Calculations, maps, correspondence.				Until Superseded or Obsolete	Outside Agency master plans are held as reference material under CAAR.
Engineering & Resource Planning	WAEB-030	Drainage Reviews - Projects	Drainage reviews for major and minor subdivisions, assessment districts, mobile home parks, or other developed industrial projects such as apartments, condominiums, and commercial sites. Typical documents include: Project reviews, hydrology maps, hydrology reports, improvement plans, survey reports, planning dept documents, hydraulic calculations, correspondence, etc.			A	Permanent	If Agency no longer wishes to maintain records, send to the County Archives for permanent retention.

Records Retention Schedule for Sonoma County Water Agency

Division	Item #	Title	Description	Conf	Vital	Arch	Retention	Remarks
Engineering & Resource Planning	WAEB-034	Drainage Review Referrals - Not Executed	Any drainage review projects that are not in conformance with the flood maintenance design manual and/or have been inactive for 3 Years. Typical documents include: Referral request form or letter, map.				Calendar Year + 5 Years	
Environmental Resources	WAER-020	Environmental Documents - (Not Construction)	Environmental documents not related to construction projects. Typical documents include: Environmental impact report (EIR's), initial studies, archeological studies, mitigation monitoring plans, negative declaration, preparation, & determination, comment letters, & transportation of public hearings.	C			Permanent	
Environmental Resources	WAER-070	California Environmental Quality Act (CEQA) Exemptions	Signed draft and final: exemptions, initial studies, environmental impact report, negative declaration, mitigated negative declaration; final mitigation monitoring reporting program plans and reports, notices of completion and determination, comments, statements of overriding considerations.				Permanent	
Environmental Resources	WAER-075	California Environmental Quality Act (CEQA) Administrative Record	Emails, texts, attachments, internal Agency communication related to compliance with the California Environmental Quality Act (CEQA).				Permanent	
Environmental Resources	WAER-085	Cultural, Historical, and Tribal Cultural Resources	Emails, texts, attachments, final reports, AB52 consultation communications.	C			Permanent	

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Division	Item #	Title	Description	Conf	Vital	Arch	Retention	Remarks
Environmental Resources	WAER-090	Technical Memoranda and Reports	Final technical study memoranda and reports, and their appendices, such as: Aesthetics, biological resources, historical properties survey, hydrology, hydraulic analysis, air quality, greenhouse gas, noise, traffic, wetland delineation, hazards or hazardous materials, or other relevant documents.				Permanent	Permanent retention per Public Resources Code PRC 21167.6(e)(10)
Environmental Resources	WAER-100	California Environmental Quality Act (CEQA) Notices	Notice of preparation, notice of availability and/or notice of intent to adopt, notice of completion, notice of declaration, filing fee receipts.				Permanent	
Environmental Resources	WAER-110	National Environmental Policy Act (NEPA) - Filing	Signed draft and final categorical exemptions, environmental assessments, environmental impact statements, Finding of No Significant Impact (FONSI), Records of Decision (ROD).				Permanent	
Environmental Resources	WAER-115	National Environmental Policy Act (NEPA) - Technical Memoranda & Reports	Final technical study memoranda and reports, and their appendices, such as: E.O. 13186, responsibilities of Federal Agencies to protect migratory birds (January 10, 2001); E.O. 11990, Protection of Wetlands (May 24, 1977), as amended by E.O. 12608 (September 9, 1987); E.O. 11988, Floodplain Management (May 24, 1977), as amended by E.O. 12148 (July 20, 1979) and E.O. 13690 (January 30, 2015)				Permanent	CEQA regulations, executive orders

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Division	Item #	Title	Description	Conf	Vital	Arch	Retention	Remarks
Environmental Resources	WAER-120	Environmental Permits	Final permit applications and attachments, final permits and attachments, and any required monitoring or post-construction reports, related to: Section 401 of the Clean Water Act, section 404 of the Clean Water Act, Porter-Cologne, California Fish and Game code (i.e. Streambed Alteration Agreement), incidental take permit, California Endangered Species Act, Federal Endangered Species Act, Air Quality, Coastal Development permits, State lands general leases, County ordinances.				After Event + 5 Years	
Engineering - Energy Resources	WAEE-010	Alternative Energy	Records pertaining to solar, hydropower, and other alternative energy sources which detail agreements between PWRPA (Power and Water Resources Pooling Authority) and WAPA (Western Area Power Administration). Typical documents include: Agreements (i.e. joint powers, aggregate services)				Until Superseded or Obsolete	
Internal Program Services	WAIP-010	Emergency Operations - Planning	Written plans that describe concepts, policies, and/or procedures relative to emergency preparedness, response, recovery, or hazard mitigation. Typical documents include: Emergency action plans, disaster preparedness assessment reports, risk and resilience reports, etc.				Until Superseded or Obsolete	

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Division	Item #	Title	Description	Conf	Vital	Arch	Retention	Remarks
Internal Program Services	WAIP-020	Emergency Operations - Response	Documents associated with a specific incidents' emergency response that may be used as reference for future planning efforts, have implications in cost recovery, or may be requested as part of litigation. Typical documents include: Incident action plans / EOC action plans, completed inspection forms and support materials (photos, mileage logs, etc.), GM Declarations of Emergency Conditions, damage assessment reports, policy correspondence (Counsel, Board, Regulatory Agency, TAC communications), press releases / public communications notices (e.g. boil water orders), EOC/ICP activity logs, incident-related maps, risk management/insurance claims, injury report / claims, resource management logs, staffing assignment sheets.			A	Permanent	Maintained in EOC database.
Internal Program Service	WAIP-030	Emergency Operations - Recovery	Documents associated with repair and restoration activities and projects occurring after the conclusion of an emergency response. Typical documents include: FEMA project worksheets, recovery operations center action plans including repair and restoration priorities, press releases/public communications notices, policy correspondence (Counsel, Board, regulatory Agency, tac communications).			A	Permanent	If Agency no longer wants to retain records they should be sent to the County Archives for permanent retention.

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Division	Item #	Title	Description	Conf	Vital	Arch	Retention	Remarks
Engineering & Resource Planning	WAEP-010	Right-Of-Way (ROW) Acquisition - Capital Projects	Records documenting the appraisal, acquisition or termination of rights of way for capital projects. Typical documents include: Appraisal reports and value summaries, appraisal maps, legal descriptions and plat maps, acquisition journals, purchase agreements, possession and use agreements, maintenance and monitoring easement agreements, perpetual or permanent easement agreements, title insurance policies, records of payments, covenants & restrictions, grant deeds, directive correspondence, attorney correspondence.			A	Permanent	
Engineering & Resource Planning	WAEP-020	Right-Of-Way (ROW) Acquisition - Capital Projects- Supporting Documents	Supporting documents for real estate acquisitions and appraisals. Typical documents include: Permits to enter, license agreements, geotechnical agreements, temporary construction easement agreements, general correspondence. Appraisal documents: correspondences, calculations, reports, maps, photos, notes, and reference material.				After Close/Completion + 5 Years	10 CCR 3562 permits destruction of records 5 Years after preparation or 2 Years after final disposition of judicial proceeding in which testimony was given, whichever comes later. Property valuations are confidential until property is acquired.

Records Retention Schedule for Sonoma County Water Agency

Division	Item #	Title	Description	Conf	Vital	Arch	Retention	Remarks
Engineering & Resource Planning	WAEP-030	Real Estate Property Outgrants (Permanent)	Records documenting the permanent use of Agency owned property by others. Typical documents include: Possession and use agreements, consent agreements, perpetual or permanent easement agreements, appraisals, legal descriptions, plat maps and survey closure calculations, records of payments, escrow settlement statements, GC 65402 General Plan consistency determination, general and directive correspondence, attorney correspondence.			A	Permanent	
Engineering & Resource Planning	WAEP-040	Real Estate Property Outgrants (Temporary)	Records documenting the temporary use of Agency owned property by others. Typical documents include: Leases, licenses, revocable license agreements, access agreements, possession and use agreements, temporary easement agreements, appraisals, legal descriptions, plat maps and survey closure calculation, records of payments, escrow settlement statements, general and directive correspondence, attorney correspondence.				After Close/Completion + 5 Years	

Records Retention Schedule for Sonoma County Water Agency

Division	Item #	Title	Description	Conf	Vital	Arch	Retention	Remarks
Engineering & Resource Planning	WAEP-050	Real Estate Property Disposal	Records documenting the vacation and sale of surplus property owned by Agency. Typical documents include: Purchase and sale agreements, board agenda items, board resolutions, public notices, appraisals, contracts, legal descriptions and plat maps, records of payments, escrow settlement statements, GC 65402 General Plan consistency determination, general and directive correspondence, attorney correspondence.				End of Occupancy + 5 Years	Surplus Land Act (GC 54220 - 54234) Administered by the California Department of Housing and Community Development.
Engineering & Resource Planning	WAEP-060	Real Estate Property Acquisition / Dedication	Records documenting the acquisition of property by Agency. Typical documents include: Purchase agreements, sewer dedication & easement agreements, dedication agreements, appraisals, contracts, legal descriptions, plat maps and survey closure calculation, inspection reports, title insurance policies, records of payments, grant deeds, GC 65402 General Plan consistency determination, general and directive correspondence, attorney correspondence.				Permanent	
Engineering & Resource Planning	WAEP-070	Unauthorized Property Encroachment	Records documenting the unauthorized encroachment of Agency property. Typical documents include: Encroachment documentation, general and directive correspondence, attorney correspondence, plat maps and legal descriptions. (Event = End of Encroachment)				After Event + 5 Years	

Records Retention Schedule for Sonoma County Water Agency

Division	Item #	Title	Description	Conf	Vital	Arch	Retention	Remarks
Engineering & Resource Planning	WAEP-080	Real Estate Technical Consultations	Records documenting real estate work performed by professional consultants. Typical documents include: Contracts, appraisals, escrow documents, title research reports, general and directive correspondence, attorney correspondence.				After Close/Completion + 5 Years	
Engineering & Resource Planning	WAAD-240	Revocable Licenses	Licenses that allow temporary access to SCWA property. Typical documents include: License, maps & plans, certificate of liability insurance, inspection reports, correspondence.				After Expiration + 10 Years	Destroy records 10 Years after the expiration of the license. Review maps for reference value before destroying records.
Engineering & Resource Planning	WAEM-090	Survey Notes and Calculations	Survey field notes showing horizontal and vertical controls, property ties, topos, etc. Typical documents include: Survey notebooks, binders, and calculations.		V	A	Permanent	If Agency no longer wants to retain records, they should be sent to County Archives for permanent retention.

Records Retention Schedule for Sonoma County Water Agency

Division	Item #	Title	Description	Conf	Vital	Arch	Retention	Remarks
Engineering & Resource Planning	WAEP-090	Project Files - Construction	Project files for construction or renovation of county or Agency facilities & systems or for Agency-managed/funded projects. Typical documents include: Bid, contract, construction & environmental documents, change orders, correspondence, reports, studies, record drawings (aka "as-builts/shop drawings"), design & safety records, time extensions, request for proposal/request for qualifications (RFP/RFQ's)		V	A	Permanent	Official copy kept permanently by the county architect, purchasing agent, the Agency and/or the Clerk of the Board of Supervisors. Financial records pertaining to construction projects covered under COWA-0680; grant-funded projects covered under COWA-0890
Engineering & Resource Planning	WAEP-100	Project Files - Non-Construction	Supporting materials related to a specific action, event, person, place, program, project or other matter. Typical documents include: Reports, completed studies, final data, formal documents and related correspondence & memoranda, computer models, design notebook.				After Event + 5 Years	Event = After the close or completion of the project.

Records Retention Schedule for Sonoma County Water Agency

Division	Item #	Title	Description	Conf	Vital	Arch	Retention	Remarks
Engineering & Resource Planning	WAEN-040	Project Files - Not Executed or Abandoned	Materials related to a specific action, event, person, place, program, project, or other matter that was never executed. Typical documents include: Preliminary construction material, environmental studies, reports, notices, drawings, and related correspondence and memoranda.				Fiscal Year + 2 Years	Review of records by construction management engineer after 5 Years. If project goes out for rebid & has an executed contract for new project, all files related to abandoned project can be purged.
Engineering & Resource Planning	WAAD-050	Bids And Proposals - Unaccepted	Unaccepted bids and proposals, including those for consultants, for public and nonpublic works contracts. Typical documents include: Proposals and bid documents, statement of qualifications.				Fiscal Year + 2 Years	
Design Engineering	WAAD-440	GIS (Geographic Information System Mapping) Data	Geo-referenced data and metadata used to facilitate the management, manipulation, analysis, modeling, representation, and spatial analysis of complex problems regarding planning and management of resources. Typical documents include: CAD files, ArcGIS files, base maps, aerial photos, parcel information, conduit locations.		V		Until Superseded or Obsolete	
Design Engineering	WAEM-070	Multimedia Materials	Integration of text, drawings, still and moving images (multimedia) created by the Agency for use in original drawings for reports, studies, and publications, records of survey, parcel maps, computer models, high water markings, topographical maps, channel clearing, right of way, etc.		V	A	Permanent	If Agency no longer wants to retain records, they should be sent to County Archives for permanent retention.

Records Retention Schedule for Sonoma County Water Agency

Division	Item #	Title	Description	Conf	Vital	Arch	Retention	Remarks
Design Engineering	WAEM-061	Maps and Plans	Prints from Agency drawings, quad maps from the USGS, base maps and plans, railroad and highway maps, etc.				Until Superseded or Obsolete	Destroy records when superseded or obsolete.
Engineering & Resource Planning	WAET-060	Water System Hydraulic Model Simulation Reports	Hydraulic modeling documents related to the water transmission system. Typical documents include: Simulation reports, model outputs, method statements, performance testing, etc.				Until Superseded or Obsolete	Destroy record when superseded or obsolete.
Information Technology	WAOS-260	IT Help Desk Records	Helpdesk records created to track reported problems, generate statistics, manage communications and programming/access requests, change control records, etc.				2 Years	
Information Technology	WAED-080	Computer Hardware Maintenance Records	Reports of network and server incidents or other problems.				Until Superseded or Obsolete	Retain records until end of hardware service life.
Information Technology	WAOS-020	Computer Server Backups	Backup of computer system program and data files for the purpose of recovering from a disaster, technical failure or inadvertent deletion. Typical documents include: System, program and data backup.				Until Superseded or Obsolete	
Information Technology	WAED-120	Software and Hardware Records	Purchased software and hardware records. Typical documents include: Correspondence, license agreements, warranties, duplicates of claims and registration cards and reference materials.		V		Until Superseded or Obsolete	
Information Technology	WAED-130	Programming Records	System documentation for programs developed or modified by the Agency. Typical documents include: Layout, design, programmer's notes, and user documentation.				Life + 2 Years	Retain records for the life of the program plus 1 year.

Records Retention Schedule for Sonoma County Water Agency

Division	Item #	Title	Description	Conf	Vital	Arch	Retention	Remarks
Operations & Maintenance Materials Equipment Services	WASA-020	Hazardous Materials - All	All records of hazardous materials including pesticides and herbicides that involve or affect Agency personnel, projects, or property related to: hazardous materials spills, hazardous materials cleanups, exposures, nuclear gauge and radiation badges, polychlorinated biphenyl (PCB's), pesticides, herbicides, safety training records. Typical documents include: Reports, studies, inventories, correspondence & complaints, memos on spills, photographs, tests/ results, logs, use & exposure records, reported odor problems, manufacturer's safety data sheets (MSDS's), hazardous materials business plans (HMBP's), hauling logs, manifests, invoices/receipts, etc.		V	A	Permanent	Documents used to complete State Water Quality Control Board Report are vital.
Operations & Maintenance - Environmental Services	WAOS-250	Non-Hazardous Waste	Records pertaining to municipal sewage, wastewater and biosolids (sludge). Typical documents include: EPA reporting, sludge hauling logs, manifests, invoices/receipts, etc.		V		Calendar Year + 3 Years	
Operations & Maintenance Fleet	WAOW-050	Fuel Usage Reports	Fuel usage tracking data including date, vehicle number, daily fuel consumed, miles per gallon, and mileage.				Calendar Year + 2 Years	
Operations & Maintenance - Fleet	WAOF-180	Fleet Management	Work orders, invoices and backup documentation for vehicles and equipment service such as maintenance, accident reports and repairs, regularly scheduled service, etc. Typical documents include: Work order check sheet, invoices, CHP vehicle inspection reports, vehicle pink slips.				Life + 2 Years	Destroy records 3 months after the Agency disposes of vehicle or equipment.

Records Retention Schedule for Sonoma County Water Agency

Division	Item #	Title	Description	Conf	Vital	Arch	Retention	Remarks
Operations & Maintenance - Fleet	WAOF-110	Heavy Equipment Inspection Reports - Daily	Daily inspection reports for the condition of all class a vehicles. Typical documents include: Pre/post operation checklists.				2 Years	13 CCR 1234(e) Permits Destruction of Records After 3 Months.
Operations & Maintenance	WAOW-340	Equipment Inventory And Maintenance	Records documenting the ownership and maintenance of SCWA tools and equipment which require an operator. Typical documents include: Inventory, service records, preventative maintenance schedules, machinery history, work orders, issuance forms, reports, photographs, manufacturer's manuals on parts/operation/service of equipment, etc.				Life	Retain records for the life of ownership of the equipment.
Operations & Maintenance	WAOF-120	Inventory - Non-Fixed Assets	Inventory records for non-fixed assets such as pipes, fencing, locks, and chemicals. Maintained in Maximo/Nexgen software program. Typical documents include: Informal inventory records.				Life	Records are added as material is checked out and deleted as material is returned.
Operations & Maintenance	WAOW-280	Weekly Facility Maintenance Updates	Weekly activity reports to the water/wastewater operations assistant general manager from both the water maintenance and repair sections.				2 Years	
Operations & Maintenance - Water/Wastewater	WAOS-090	Facility Operational Logbooks	Operator's logs recording daily occurrences. Typical documents include: Daily logbooks (control room log), operations trouble log, pass down log, and bench sheets.				Calendar Year + 20 Years	
Operations & Maintenance	WAOS-070	Alarm Logs	Computer-generated record of SCADA-reported alarms (CL2 detector, SO2 detector, intrusion alarm, fire alarm, smoke alarm, scrubber alarm, etc.) and the clearance of alarms. Typical documents include: Event log.				Calendar Year + 3 Years	Alarm logs held electronically in SCADA.

Records Retention Schedule for Sonoma County Water Agency

Division	Item #	Title	Description	Conf	Vital	Arch	Retention	Remarks
Operations & Maintenance - Facilities	WAOW-310	Testing - Alarms, Meters, Back Flow, & Sprinkler	Testing of fire alarms, water meters, back flow valves, and sprinkler systems. Typical documents include: Test results.				Calendar Year + 2 Years	
Engineering & Resource Planning	WAAD-370	Water Rights - SCWA	Water rights in which the Agency has an interest. Typical documents include: TUCO/TUCP applications, permits, protests, summaries, and correspondence.		V	A	Permanent	If Agency no longer wants to retain records they should be sent to the County Archives for permanent retention.
Administration - Finance	WAAC-140	Water Rates	Supporting material needed to justify water rates. Typical documents include: Worksheets, copy of resolutions.				Permanent	
Operations & Maintenance - Water	WAOS-240	Water Usage Reports	Various reports on the amount of water pumped by the Agency and stored or delivered to customers.			A	Permanent	Records should be sent to the County Archives 10 Years after the end of the calendar year in which they were created.
Administration - Finance	WAAC-476	Prime / Non-Prime Water Supply Agreements	Records documenting the agreements between SCWA and water contractors ("prime") and non-prime (public water systems) water supply agreements that hold higher value than other types of agreements. Typical documents include: Agreements.		V	A	Permanent	Water supply agreements hold higher value than other types of agreements and shall be kept permanently.
Operations & Maintenance - Water	WAOW-180	Water Service Applications and Meter Drawings	Applications for water meters on the aqueduct system. Typical documents include: Applications and meter drawings.				Life	Retain records for the life of the meter.

Records Retention Schedule for Sonoma County Water Agency

Division	Item #	Title	Description	Conf	Vital	Arch	Retention	Remarks
Engineering - Tech Writing	WAEW-020	Consultant List Engineering	List of Agency-approved consultants. Typical documents include: Names and addresses of consulting firms, RFP/RFQ list.				Until Superseded or Obsolete	
Engineering - Tech Writing	WAEW-030	Contractor List - Informal Bid	List of contractors who have requested to be notified when Agency projects go out for informal bid. Typical documents include: Names and addresses of contractors.				Calendar Year + 2 Years	
Engineering & Resource Planning	WAOW-190	Meters- Readings	Meter readings used for linking usage to locations over time, as well as planning activities. Typical documents include: Control meter comparison reports, water delineation reports.				Permanent	
Operations & Maintenance - Wastewater	WASA-140	Operations and Maintenance of Wastewater Facilities	Operations and maintenance records of county wastewater facilities. Typical documents include: Agreements, correspondence, photos, construction information, records of work, manuals.			A	Obsolete	Review by maintenance coordinator of facility to determine obsolescence. Should the Department no longer wish to retain these records, send the records to the County Archives.
Operations & Maintenance - Wastewater	WASA-110	Wastewater Facility Inspection File	Inspection records of wastewater facilities. Typical documents include: Reports, specifications, and correspondence.		V		Life + 5 Years	Retain records for life ownership of facilities plus 5 Years.

Records Retention Schedule for Sonoma County Water Agency

Division	Item #	Title	Description	Conf	Vital	Arch	Retention	Remarks
Operations & Maintenance - Wastewater	WASA-230	Recycled Water / Wastewater Treatment	Records pertaining to county involvement in wastewater reclamation and wastewater recycling projects. Typical documents include: Resolutions, memos, studies, topographical maps, endorsements and insurance information.				Calendar Year + 10 Years	
Operations & Maintenance - Wastewater	WASA-240	Recycled Water Use Agreements	Allows for the use of recycled water for irrigation. Typical documents include: Agreement, cross-connection survey, onsite supervisor training certificate.				After Event + 5 Years	
Operations & Maintenance - Laboratory Services	WASA-210	Testing / Monitoring / Analysis	Records of monitoring, testing and analysis of waste received, contaminant - pollutant level, sludge and density. Typical documents include: <u>Monitoring</u> , log, lab reports (aka wastewater self-monitoring reports, recycled water self-monitoring reports), analysis, etc.		V		Calendar Year + 15 Years	Self-monitoring reports are uploaded to state databases and retained indefinitely.
Operations & Maintenance - Laboratory Services	WAOS-210	Water Analysis - Microbiological	Laboratory reports and test results on microbiological analysis of the water supply.				Calendar Year + 5 Years	22 CCR 64470 requires records of bacteriological analysis be kept for 5 Years.
Operations & Maintenance - Laboratory Services	WAOS-220	Water Analysis - Chemical	Laboratory reports and test results on chemical analysis of the water supply for items such as pesticides, herbicides, metals, giardia, etc.				Calendar Year + 10 Years	22 CCR 64470 requires records of chemical analysis be kept for 10 Years. All laboratory reports and test results are uploaded to state databases and retained indefinitely.

Records Retention Schedule for Sonoma County Water Agency

Division	Item #	Title	Description	Conf	Vital	Arch	Retention	Remarks
Operations & Maintenance - Water	WAOS-270	Reports To State	Monthly or annual reports to the state department of drinking water. Typical reports include: Large water system annual report, annual water quality report and monthly water quality report. Reports measuring items such as: chlorine, Ph, microbiology, turbidity, contact time compliance, domestic water sources in system, amount of water produced, customer complaints.			A	Permanent	
Operations & Maintenance - Wastewater	WASA-010	Wastewater Overflows	Records documenting sewer spill violations not at Wastewater Treatment Plant. Typical documents include: Initial report, maintenance crew reports, self-monitoring reports, CWIQS notifications.				Calendar Year + 10 Years	Reports uploaded directly to CIWQS website and permanently maintained by the State Water Board.
Operations & Maintenance - Wastewater	WASA-020	Illegal Discharges at Treatment Plants	Records documenting illegal discharges when spill or discharge occur at wastewater treatment plant. Typical documents include: Report/memo to regional water board detailing the discharge and remedies to rectify the problem, invoices/fines, etc.				Calendar Year + 10 Years	
Operations & Maintenance - Wastewater	WASA-030	Technical Publications - Wastewater	Published reports, studies, manuals, etc. Written by wastewater consultants. Typical documents include: Sanitary surveys, capacity studies, treatment techniques, distribution surge study, UV, etc.			A	Permanent	If Department no longer wants to retain records, they should be sent to County Archives for permanent retention.
Operations & Maintenance - Wastewater	WASA-040	Sewer Maps, Drawings, & Video Inspections	Maps and drawings documenting the location of county sewers as well as video inspections of sewer pipe conditions inside the pipes.		V		Until Superseded or Obsolete	Records retained in GIS system until superseded or obsolete.

Records Retention Schedule for Sonoma County Water Agency

Division	Item #	Title	Description	Conf	Vital	Arch	Retention	Remarks
Operations & Maintenance - Wastewater	WASA-050	Sewer Permits/ Annexations/ Outside Service Area Agreements	Records of sewer hookups or property annexations/ outside service area agreements in Sanitation Districts provided by the County Permit and resource management department (Permit Sonoma). Typical documents include: Construction permits, verification of completion of work (completion certificates), copies of lateral plans, related memos and correspondence, annexation fees, design review referrals, receipts, etc.				Permanent	
Operations & Maintenance - Wastewater	WASA-090	Sanitation District Financing	Records relating to financing of districts. Typical documents include: bonds, HUD, FHA, FMHA.		V		Audit + 3 Years	Destroy 3 Years after final settlements of all audits. For grant financing see grants - financial records. Requires vital records protection.
Risk Management	WARI-010	Commercial Motor Vehicles Random Drug Program - Safety Sensitive Driving Program	Records associated with the commercial motor vehicles random drug program through the Department of Transportation. Typical documents include: Logs, results, guidelines, and related documents.				After Event + 5 Years	

Common Accounting and Administrative Records Retention Schedule for Sonoma County Water Agency

Item #	Title	Description	Retention Period
COWA-210	Accident Reports - Vehicles	<p>Reports completed whenever an Agency vehicle is involved in an accident. Includes: completed accident report forms and related backup.</p> <p>Official copy kept by Human Resources Risk Management Division. Requires confidential destruction.</p> <p>Agency copies: Destroy when obsolete but do not keep longer than 5 years after the close of the Fiscal Year.</p>	Fiscal Year + 5 Years
COWA-940	Accounting Records	<p>Accounting documents used to record transactions in the County's financial accounting system. Includes: accounts payable, accounts receivable and cash receipts, journal vouchers, Auditor-Controller accounting reports, and backup. Accounts receivable require vital records protection.</p> <p>Official copy kept by the Auditor-Controller-Treasurer-Tax Collector.</p> <p>Agency copies: Destroy 5 years after the close of the Fiscal Year.</p> <p>Departments with special requirements unique to their function must keep accounting records in accordance with their specific needs. If subject to outside audits destroy after final settlement of audits or at least 5 years after the close of the Fiscal Year, whichever is later.</p>	Fiscal Year + 5 Years
COWA-020	Audit Reports	<p>Internal and external audits filed with the Clerk of the Board of Supervisors. Includes: Internal and external audit reports and responses, worksheets and other backup.</p> <p>Official copy of audits and responses are kept by the Clerk of the Board of Supervisors. Official copy of worksheets and other backup for internal audits are kept by the Agency.</p>	Permanent
COWA-700	Authorized Signatures	<p>Official signatures of those authorized to sign documents.</p> <p>Official copy kept by Agency until superseded or obsolete.</p>	Until Superseded or Obsolete

Common Accounting and Administrative Records Retention Schedule for Sonoma County Water Agency

Item #	Title	Description	Retention Period
COWA-040	Board Of Supervisors - Agenda Item Packet	Requests from County departments for Board action. Includes: the potential resolution or ordinance, agenda item transmittal and summary reports and informational material. Official copy kept by the Clerk of the Board of Supervisors. Agency copies: Destroy when obsolete.	Until Superseded or Obsolete
COWA-050	Budget Records	Records used to prepare and support the budget. Includes: work papers, budget reports, appropriation transfers and backup. Official copy kept by departments, the County Administrator, & the Auditor-Controller for 5 years after the close of the Fiscal Year.	Fiscal Year + 5 Years
COWA-870	Calendars, Schedules And Work Status Information	Records used to schedule meetings, appointments, trips, and visits, or to track the status of incoming, ongoing, and outgoing work. Includes: annotated electronic/ paper calendars, appointment books, diaries, schedules, personal planners, logs, spreadsheets, charts, etc. Official copy kept by departments for no more than 5 years after the close of the Calendar Year.	Calendar Year + 5 Years
COWA-910	Administrative Logs	Logs used to record individuals using the Administration Building and to record telephone calls to the Admin. Building after regular business hours.	Calendar Year + 2 Years

Common Accounting and Administrative Records Retention Schedule for Sonoma County Water Agency

Item #	Title	Description	Retention Period
COWA-250	Capital Projects - Financial Records	<p>Financial records for the Agency's Capital Projects for improvements and repairs. Includes:</p> <p>Official copy kept by the Agency for 10 years after final payment. Requires vital records protection.</p> <p>See also Grants - Construction Financial Records (COWA-0670) Project Files (Construction)(COWA-0890) Financial Records (COWA-0680)</p>	After Event + 10 Years
COWA-240	Capital Projects Plan - Publication	<p>Annual publication of projections of the Agency's 5-year Capital Projects Plan for improvements and repairs.</p> <p>Official copy kept by the Clerk of the Board of Supervisors. Agency copies: Destroy when superseded or obsolete.</p>	Until Superseded or Obsolete
COWA-680	Project Files (Construction) - Financial Records	<p>Financial records for construction projects. Includes: progress payments, claims, worksheets, & related backup.</p> <p>Official copy kept by the Agency for 10 years after final payment. Requires Vital Records Protection.</p> <p>See also Grants - Construction Financial Records (COWA-0890)</p>	After Event + 10 Years

Common Accounting and Administrative Records Retention Schedule for Sonoma County Water Agency

Item #	Title	Description	Retention Period
COWA-270	Contracts And Agreements (Non-Construction)	<p>Contracts for goods and services not related to construction. Includes: contracts, change orders, amendments, correspondence, and other backup.</p> <p>Official copy of contracts approved by Purchasing Agent, authorized Dept Heads, or other governing bodies kept at least 4Y after expiration or termination.</p> <p>Contracts approved by BOS kept by Clerk of BOS.</p> <p>Agency keeps the official copy of backup for at least 4Y after expiration or termination.</p> <p>CCP 337 statute of limitations on actions is 4 years after expiration or termination of the contracts.</p> <p>See Construction Files for contracts related to construction. See also Grants - Program Records (COWA-0310)</p>	After Event + 4 Years
COWA-990	Correspondence And Memoranda	<p>Correspondence and memoranda from various sources.</p> <p>Official copy kept by Agency for no longer than 5 years after the close of the Calendar Year.</p> <p>See also General Subject Files (COWA-0300)</p>	Calendar Year + 5 Years
COWA-650	Electronic Mail Records	<p>Email messages shall be retained in the County's email system for a period of 2 years, after which they will be automatically deleted. Email messages and any attachments must be managed (i.e. retained and deleted) by the recipient and/or sender of the message in accordance with the retention schedules approved by the BOS.</p> <p>Email messages and any attachments that have a retention period of more than two years must be saved by the sender and/or recipient to an appropriate retention folder for the duration set forth in the applicable retention schedule, and deleted by the sender and/or recipient at the conclusion of such time period.</p>	Creation + 2 Years

Common Accounting and Administrative Records Retention Schedule for Sonoma County Water Agency

Item #	Title	Description	Retention Period
COWA-651	Teams Chat	Microsoft Teams Chat messages (individual and group chats) Automatically purged and permanently deleted 30 days from the last modified date.	Creation + 30 Days
COWA-652	Teams Channel Posts	Messages posted and visible to members of a Microsoft Teams channel.	2 Years or life of the channel, whichever is longer
COWA-720	Employee Hazard Reports	Form used by staff to report potential safety or health hazards. Includes: description of hazard, suggested corrective action, supervisor's analysis, department head/safety coordinator comments. Official copy kept by Agency departments for 3 years after the resolution of the reported hazard.	After Event + 3 Years
COWA-930	Employment - Agency Selection Records	Records created by Agency hiring departments during the process of filling a job for both permanent and extra help positions. Includes: Interview notes, and related backup. Requires confidential destruction. Official copy kept by Agency departments and are not sent to the Human Resources Department. Destroy 5 years after the close of the Calendar Year (the same retention as the Employment - Human Resources Certification Records) (COWA-0070). For background investigations including reference checks see Employment - Background Investigations (COWA-0840).	Calendar Year + 5 Years

Common Accounting and Administrative Records Retention Schedule for Sonoma County Water Agency

Item #	Title	Description	Retention Period
COWA-840	Employment - Background Investigations - Hired	<p>Employment background investigations and reference checks for individuals who are hired. The investigations can be conducted by either staff or an outside firm. Includes: address & Social Security number verification, criminal & DMV records checks, professional license checks.</p> <p>Official copy kept by the Agency for 5 years after separation or termination of the employee (the same retention as Personnel Files). If the employee transfers to another County office, background investigations will also be transferred. Requires vital records protection/confidential destruction.</p> <p>Do not store in Personnel Files.</p>	After Event + 5 Years
COWA-920	Employment - Background Investigations - Not Hired	<p>Employment background investigations and reference checks for individuals who are not hired. The investigations can be conducted by either staff or an outside firm. Includes: investigation of employment and personal history.</p> <p>Official copy kept by the Agency for 6 years after the close of the Calendar Year. Requires confidential destruction.</p>	Calendar Year + 6 Years
COWA-070	Employment - Human Resources Certification Records	<p>Records created during the process of opening and filling a job for both permanent and extra help positions. Includes: request for certification/ eligible, exam plan, correspondence. Requires confidential destruction.</p> <p>Official copy kept by the County Human Resources Department for 5 years after the close of the Calendar year.</p> <p>Agency copies: Destroy 5 years after close of Calendar Year or when obsolete or superseded.</p> <p>For background investigations including reference checks see Employment - Background Investigations</p>	Calendar Year + 5 Years

Common Accounting and Administrative Records Retention Schedule for Sonoma County Water Agency

Item #	Title	Description	Retention Period
COWA-730	Essential Functions Worksheet	<p>Worksheet identifying the essential functions, physical demands, and environmental factors affecting a single vacant position. Includes: lists of job-related functions, technical, and physical requirements, and skills.</p> <p>Official copy kept by the County Human Resources Department until superseded or obsolete.</p> <p>Agency copies: Destroy when superseded or obsolete.</p>	Until Superseded or Obsolete
COWA-130	Fixed Asset Records	<p>Documentation supporting fixed asset transactions. Includes: Accountability of fixed assets, fixed asset inventories, and related backup.</p> <p>Official copy kept by ACTTC and departments for 5 years after the close of Fiscal Year in accordance with Government Code 24051.</p> <p>Agency Copies: Destroy 5 Years after close of Fiscal Year in accordance with Government Code 24501</p> <p>If subject to outside audits, destroy after final settlement of all audits or 5 years after close of the Fiscal Year, whichever is later</p>	Fiscal Year + 5 Years
COWA-300	General Subject Files	<p>Records arranged and filed according to their general informational or subject content. Includes: correspondence, memos, forms, reports and other materials all relating to program and administrative functions.</p> <p>Official copy kept by Agency for no longer than 5 years after the close of the Calendar year or until obsolete.</p> <p>Destroy non-record reference material when superseded or obsolete not to exceed the official retention period.</p> <p>See also Correspondence and Memoranda.</p>	Calendar + 5 Years

Common Accounting and Administrative Records Retention Schedule for Sonoma County Water Agency

Item #	Title	Description	Retention Period
COWA-890	Grants - Construction Financial Records	<p>Records documenting financial transactions made with funds from grants for construction projects. Includes: claims, financial reports, accounting work papers and related backup.</p> <p>Official copy kept by the Agency in accordance with the terms of grant or 10 years after the final payment, whichever is later. Requires Vital Records Protection.</p> <p>See also Construction Files - Financial Records (COWA-680)</p>	After Payment + 10 Years
COWA-670	Grants - Financial Records	<p>Records documenting financial transactions made with funds from grants for non-construction projects. Includes: claims, financial reports, accounting work papers and related backup.</p> <p>Official copy kept by the Agency in accordance with terms of grant or 5 years after the close of Fiscal year, whichever is later. Requires vital records protection.</p>	Fiscal Year + 5 Years
COWA-310	Grants - Program Records	<p>Documentation for approved construction & non-construction grants. Includes: proposals, agreements & amendments, program info (i.e. Water Ed, etc.), reports to funding agencies, & related backup.</p> <p>Official copy kept by the Agency in accordance with terms of grant or 4 years after the close of Fiscal year, whichever is later.</p> <p>Send grants which establish or continue policy or programs to the County Archives for permanent retention 4 years after expiration or termination of the grant.</p>	After event + 4 Years or in accordance with grant requirements

Common Accounting and Administrative Records Retention Schedule for Sonoma County Water Agency

Item #	Title	Description	Retention Period
COWA-510	Agency Safety Management Program (IIPP)	<p>Records required for the Injury and Illness Prevention Program (IIPP). Includes: formal IIPP, Emergency Action Plan (EAP), Safety Training Records including Hazardous Material Training, Hazardous Communication Program, and Agency Safety Committee minutes, New Employee Safety List, Records of Safety Training Sessions, Employee Statement of Medical Condition.</p> <p>Official copy kept by the Agency for 3 years after superseded or obsolete.</p> <p>Exceptions: See Hazardous Materials - Inventories (COWA-320), Hazardous Materials - Material Safety Data Sheets (COWA-370), and safety records related to construction (COWA-260).</p>	Until Superseded or Obsolete + 3 Years
COWA-330	Leases - Real Estate	<p>Records related to leasing Agency, County or private sector real estate. Includes: correspondence, transmittals, reports, terms and conditions, resolutions of the Board of Supervisors, maps, blueprints, rental payment schedule, lease document etc.</p> <p>Official copy kept by the Chairman of the Board of Directors kept by Clerk of Board Of Supervisors. Leases signed by the General Services Director and kept by the Real Estate Manager or by other authorized managers are destroyed 4 years after termination of occupancy. Statute of Limitations on Actions is 4 years after termination of occupancy CCP 337.2.</p>	After Event + 4 Years
COWA-340	Legal Opinions - County Counsel	<p>Legal opinions issued by County Counsel. Requires confidential handling.</p> <p>Official copy kept by County Counsel.</p> <p>Duplicate Agency copies: Destroy when obsolete.</p>	Permanent
COWA-690	Legal Opinions - Outside Counsel	<p>Legal opinions issued by outside counsel. Requires confidential handling.</p> <p>Official copy kept permanently by the Agency. Requires vital records protection.</p>	Permanent

Common Accounting and Administrative Records Retention Schedule for Sonoma County Water Agency

Item #	Title	Description	Retention Period
COWA-350	Liability Claims	<p>Liability claims filed against the Agency for personal injury or property damage allegedly due to Agency negligence. Includes: claim forms, proof of claim, legal pleadings, transcripts, correspondence, etc.</p> <p>Official copy kept by the Human Resources Department, Risk Management Division and the Clerk of the Board of Supervisors. Requires Vital Records Protection / Confidential Destruction.</p> <p>Agency copies: Destroy records subpoenaed during litigation in accordance with adopted retention schedules after final settlement or close of case.</p> <p>For cases not involving personal injury or property damage, see Litigation Files (COWA-0360) or Litigation Files - Outside Counsel (COWA_0900).</p> <p>For FEMA claims, see Grants - Financial Records (COWA-0670).</p>	After event + 5 Years
COWA-360	Litigation Files	<p>Records of all impending, possible and ongoing litigation matters for or against the Agency handled by County Counsel. Includes: Pleadings, transcripts, correspondence, etc.</p> <p>Official copy kept by County Counsel and the Clerk of the Board. Requires Vital Records Protection / Confidential Destruction.</p> <p>Agency copies: Destroy records subpoenaed during litigation in accordance with adopted retention schedules after final settlement or close of case.</p> <p>For litigation involving personal injury or property damage, see Liability Claims (COWA-0350).</p>	After Event

Common Accounting and Administrative Records Retention Schedule for Sonoma County Water Agency

Item #	Title	Description	Retention Period
COWA-900	Litigation Files - Outside Counsel	<p>Agency copies of all impending possible and ongoing litigation matters for or against the Agency handled by outside attorneys. Includes: pleadings, transcripts, correspondence, litigation hold directives and releases, etc.</p> <p>Official copy kept by Agency for 20 years after final settlement of case. Requires confidential destruction and vital records protection. Settlements signed by the BOS Clerk kept by the Clerk of the BOS Clerk.</p> <p>Duplicate copies: Destroy after final settlement of case. Requires confidential destruction.</p> <p>Destroy departmental records held for litigation in accordance with adopted retention schedules after final settlement or close of case. For litigation involving personal injury or property damage see Liability Claims.</p>	After Event + 20 Years
COWA-810	Mailing / Distribution Lists	<p>Various mailing/distribution lists for newsletters, publications, etc. Includes: list of names, addresses, etc. Some mailing / distribution lists require Confidential Destruction.</p> <p>Official copy kept by the Agency until superseded or obsolete.</p>	Until Superseded or Obsolete
COWA-160	Payroll Records	<p>Records used to support payroll transactions. Includes: payroll processing and balancing records, employee earnings record, payroll masters, etc. Records require confidential destruction.</p> <p>Official copy kept by the ACTTC. Some related backup & paper time sheets kept by Agency for 6 years after close of the Calendar Year. Time sheets require vital records protection.</p> <p>Department copies: Destroy 6 years after the close of the Calendar Year or in accordance with adopted retention schedules. Records require confidential destruction.</p>	Calendar Year + 6 Years

Commented [MG1]: Revise language @Jonathan Kajeckas

Commented [MG2R1]: Ask Counsel to review

Commented [MG3R1]: This Language matches current County CAAR and should remain as such until any changes are made unilaterally

Common Accounting and Administrative Records Retention Schedule for Sonoma County Water Agency

Item #	Title	Description	Retention Period
COWA-800	Payroll/Personnel Reports	<p>Various payroll/personnel computer reports with short term value. Includes: Alpha Report, Job Classification Master List, position control, personnel allocation reports, special reports, etc. Records with Social Security numbers require Confidential Destruction.</p> <p>Official copy kept by the County Human Resources Department.</p> <p>Agency copies: Destroy after 3 years or when superseded, whichever is first.</p>	Creation + 3 Years
COWA-170	Personnel Files	<p>File on permanent & extra help employee's personnel activities. Includes: Job applications, loyalty oaths, performance evaluations, disciplinary actions, Human Resources forms such as Change of Status & Notice of Employment, correspondence, training records other than safety, etc.</p> <p>Official copy kept by the Agency for 5 years after separation or termination of employee. If employee transfers to another County office, the complete Personnel File will also be transferred. Requires Vital Records Protection / Confidential Destruction.</p> <p>See also Employment - Background Investigations (COWA-0840).</p>	After Event + 5 Years
COWA-400	Policies, Standards And Plans - Permanent	<p>Directives with permanent reference value which establish or revise policy, procedures, standards, and plans.</p> <p>Official copy kept by the Agency. Keep 1 copy of current and previous documents permanently. Requires vital records protection.</p> <p>If the Agency no longer wants to keep the official copy of the records, send to the Sonoma County Archives for permanent retention.</p>	Permanent
COWA-410	Internal Agency Procedures - Records	Records containing information that document internal established procedures & practices of the Agency that merely defines, interprets or explains the meaning of the statute or rule.	Obsolete

Common Accounting and Administrative Records Retention Schedule for Sonoma County Water Agency

Item #	Title	Description	Retention Period
COWA-460	Record Destruction Authorizations	Forms with attached backup used to authorize destruction of boxes stored at the County Records Center. Includes: list of boxes due for destruction with signed authorizations. Official copy kept by County ISD, Records Management Division.	After Event
COWA-500	Reference Material	Informational, nonrecorded material. Includes: informational copies of records, publications, periodicals, studies, reports, clippings, technical reference manuals, catalogs, etc. Agency copies: Destroy when superseded or obsolete.	Until Superseded or Obsolete
COWA-760	Safety Committee Minutes - Countywide	Minutes of the Countywide Safety Council. Includes: Minutes and related backup. Official copy kept by the Human Resources Department, Risk Management Division until superseded or obsolete, not to exceed 5 years. Agency copies: Destroy after 5 years or when superseded, whichever is first. See Department Safety Management Program Injury and Illness Prevention Program (IIPP) for minutes of departmental safety committee meetings.	Creation + 5 Years
COWA-200	Statement Of Economic Interests	Annual statement of designated employees disclosing financial interests as required by the Political Reform Act. Includes: statements. Also known as Conflict-of-Interest Statement (Form 700). Official copy kept by Agency for 7 years, GC 81009(e).	Creation + 7 Years
COWA-880	Telephone Message Records	Records of telephone calls made or received by staff. Includes: telephone message slips, books, or logs. Official copy kept by the Agency. Destroy when superseded or obsolete not to exceed 5 years after the close of the Calendar Year.	Calendar Year + 5 Years

Common Accounting and Administrative Records Retention Schedule for Sonoma County Water Agency

Item #	Title	Description	Retention Period
COWA-550	Vendor Lists	<p>Listing of vendors used by the Agency to supply goods or services.</p> <p>Official copy kept by the Auditor-Controller-Treasurer-Tax Collector.</p> <p>Agency copies: Destroy after year 5 at close of Fiscal year or when superseded, whichever is first.</p>	Fiscal Year + 5 Years
COWA-790	Warranties	<p>Warranties on owned or leased equipment. Includes: Warranties.</p> <p>Official copy kept by Agency until warranty has expired, or equipment is no longer owned or leased by County, whichever is first.</p> <p>Requires vital records protection.</p>	After Event
COWA-110	Workers' Compensation Documentation	<p>Initial documentation required by the State of California describing an employee's injury/accident. Includes: Employer's Report of Occupational Injury or Accident, Supervisor's Accident Investigation Report, etc.</p> <p>Records require confidential destruction.</p> <p>Official copy kept by the County Human Resources Department, Risk Management Division.</p> <p>Agency copies: Destroy after 5 years or when superseded or obsolete, whichever is first.</p>	Creation + 5 Years

Common Accounting and Administrative Records Retention Schedule for Sonoma County Water Agency

Item #	Title	Description	Retention Period
COWA-620	Sb 1383 - Recycled Paper Product Procurement	<p>SB 1383 requires jurisdictions to purchase recycled-content paper products that are recyclable. All records associated with compliance requirements relating to SB 1383 are kept for 5 years. Such records are uploaded to the website maintained and used by the State of California. Data must be incorporated into a jurisdiction's Implementation Record submitted via 13.83stats.com.</p> <p>Includes: Copies of all invoices, receipts, or other proofs of purchase that detail the procurement of paper products and printing and writing papers by volume and type. Written certification(s) from vendors and other verification(s) for minimum recycled content, as applicable.</p> <p>Official copy kept by County Purchasing/Zero Waste Sonoma for 5 years after the end of the Calendar year.</p> <p>Agency copies should be kept until superseded or obsolete.</p>	Calendar Year + 5 Years










Request For Approval of Records Retention Schedules, Sonoma County Water Agency and CAAR


Final Audit Report


2025-03-18


Created:	2025-03-06
By:	Jonathan Kajeckas (Jonathan.Kajeckas@sonoma-county.org)
Status:	Signed
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"Request For Approval of Records Retention Schedules, Sonoma County Water Agency and CAAR" History


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-  Email viewed by Robert Pittman (Robert.Pittman@sonoma-county.org)
2025-03-06 - 1:39:31 AM GMT- IP address: 72.157.222.99
-  Document e-signed by Robert Pittman (Robert.Pittman@sonoma-county.org)
Signature Date: 2025-03-06 - 1:39:43 AM GMT - Time Source: server- IP address: 72.157.222.99


 Email viewed by grant.davis@scwa.ca.gov
2025-03-06 - 2:39:47 AM GMT- IP address: 73.202.117.238


 Email viewed by chaserobert@gmail.com
2025-03-07 - 1:20:18 PM GMT- IP address: 172.226.212.20


 Email viewed by Erick Roeser (Erick.Roeser@sonoma-county.org)
2025-03-07 - 8:01:42 PM GMT- IP address: 104.47.65.254


 Document e-signed by Erick Roeser (Erick.Roeser@sonoma-county.org)
Signature Date: 2025-03-07 - 8:03:26 PM GMT - Time Source: server- IP address: 209.77.204.154


 Signer grant.davis@scwa.ca.gov entered name at signing as Grant Davis
2025-03-07 - 11:23:01 PM GMT- IP address: 174.249.150.93

 Document e-signed by Grant Davis (grant.davis@scwa.ca.gov)
Signature Date: 2025-03-07 - 11:23:03 PM GMT - Time Source: server- IP address: 174.249.150.93

 Email viewed by chaserobert@gmail.com
2025-03-17 - 3:47:10 AM GMT- IP address: 146.75.154.1

 Signer chaserobert@gmail.com entered name at signing as Robert Chase
2025-03-18 - 4:39:34 AM GMT- IP address: 67.188.98.218

 Document e-signed by Robert Chase (chaserobert@gmail.com)
Signature Date: 2025-03-18 - 4:39:36 AM GMT - Time Source: server- IP address: 67.188.98.218

 Agreement completed.
2025-03-18 - 4:39:36 AM GMT