

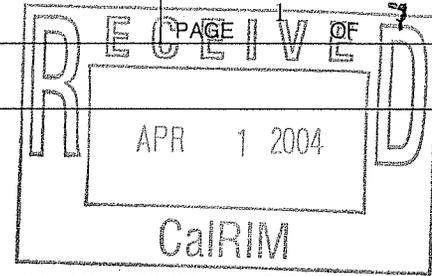
RECORDS RETENTION SCHEDULE

Submit three copies to: Department of General Services, California Records and Information Management, 707 Third St. 2nd Fl., W. Sacramento, CA 95605.

A CalRIM Consultant may be reached by phone at (916) 375-4404, by fax at (916) 375-4408 or by e-mail at CalRIM@dgs.ca.gov



(1) DEPARTMENT, BOARD OR COMMISSION State Water Resources Control Board		(2) AGENCY BILLING CODE 79220	(3) PAGE OF PAGES 7
(4) DIVISION/ BRANCH/ SECTION Legal		(5) ADDRESS 1001 I Street, 22nd Floor	
CHECK THE APPROPRIATE BOX			
(6) <input type="checkbox"/> New schedule of records that have never been scheduled. [Complete boxes (9)-(12)]			
(7) <input checked="" type="checkbox"/> Revising a previous schedule. [Complete boxes (13)-(16)] (A new approval number will be assigned.)			
(8) <input type="checkbox"/> Amending some pages of a previous schedule. [Complete boxes (13)-(16)] (The original approval number will remain in effect.)			



NEW SCHEDULE INFORMATION (If applicable)	(9) SCHEDULE NUMBER SWRCB 04-02	(10) SCHEDULE DATE 3/26/04	(11) NUMBER OF PAGES 7	(12) CUBIC FEET (Total Schedule) 366
PREVIOUS SCHEDULE INFORMATION (If applicable)	(13) SCHEDULE NUMBER SWRCB 97-01	(14) APPROVAL NUMBER 97-144	(15) APPROVAL DATE(S) 8-19-97	(16) PAGE NUMBER(S) REVISED All

(17) MISSION/FUNCTIONAL STATEMENT

PART I - AGENCY STATEMENTS

As the program manager (or person authorized to sign for the program manager) directly responsible for the records listed on this records retention schedule, I certify that all records listed are necessary and that each retention period is correct. For revisions, all items on the previous schedule are included or accounted for on the recapitulation. Vital records identified by this schedule are protected. If protection is not currently provided but plans are underway, the details of such plans are shown in Column 45, Remarks.

(18) SIGNATURE - MANAGER RESPONSIBLE FOR THE RECORDS <i>Carol M. Wilson</i>	(19) TITLE Chief Counsel	(20) PHONE NUMBER (916) 341-5150	(21) DATE SIGNED 3/24/04
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In accordance with Government Code 14755, approval of this Records Retention Schedule by the Department of General Services is hereby requested. Retention periods shown have been established in accordance with the criteria set forth by Section 1667 of the State Administrative Manual.

(22) SIGNATURE - RECORDS MGMT. ANALYST <i>Gloria Reyes</i>	(23) CLASSIFICATION Staff Services Analyst	(24) NAME (Printed or Typed) Gloria Reyes	(25) PHONE NUMBER 341-5074	(26) DATE SIGNED 3/26/04
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PART II - DEPARTMENT OF GENERAL SERVICES APPROVAL (Per Government Code Section 14755)

(27) SIGNATURE - CalRIM CONSULTANT <i>Janice C. Sanchez</i>	(28) APPROVAL NUMBER R04-033	(29) DATE SIGNED 4/8/04	(30) EXPIRATION DATE 4/8/09
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PART III - ARCHIVAL SELECTION (Per Government Code Section 14755)

THE ATTACHED RECORDS RETENTION SCHEDULE:	FOR ARCHIVES' STAMP
(31) <input type="checkbox"/> Contains no material subject to further review by the California State Archives	
(32) <input checked="" type="checkbox"/> Contains material subject to archival review. Items stamped "NOTIFY ARCHIVES" may not be destroyed without clearance by the California State Archives. (Per Section 1671 of the State Administrative Manual.)	

(33) SIGNATURE - CHIEF OF ARCHIVES OR DESIGNATED REPRESENTATIVE <i>Sydney Bailey</i>	(34) DATE SIGNED April 16, 2004
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STATE OF CALIFORNIA
RECORDS RETENTION SCHEDULE

STD. 73 (rev. 5-92)

*See instructions on reverse
 and in SAM 1600*

DEPARTMENT (1) <i>State Water Resources Control Board</i>		SCHEDULE NUMBER (2) <i>SWRCB 04-02</i>	DATE (3) <i>March 24, 2004</i>
ORGANIZATION UNIT <i>Office of Chief Counsel</i>		PAGE OF PAGE (4) <i>2 7</i>	
ADDRESS (Number Street City) <i>1001 I Street, 22nd Floor, Sacramento 95814</i>		DEPARTMENT OF GENERAL SERVICES APPROVAL NUMBER (5) 04-033	

MISSION STATEMENT: To provide legal services & advice to the SWRCB & RWQCBs re administration & protection of the waters of the State of California.
 NOTE RE (16): X= exempt per PRA, I = accessible under IPA

ITEM NUMBER (6)	CUBIC FEET (provide total of office & departmental) (7)	CALIFORNIA STATE ARCHIVES USE ONLY (8)	TITLE & DESCRIPTION OF RECORDS (9)	M E D I A (10)	V I T A L (11)	RETENTION				PRA (Exempt) & IPA (16)	REMARKS (17)
						OFFICE (12)	DEPT. (13)	SRC (14)	TOTAL (15)		

ACRONYMS

SWRCB - State Water Resources Control Board OCC = Office of Chief Counsel ACC = Assistant Chief Counsel WRs = Division of Water Rights -or- water rights
 CWP = Division of Clean Water Programs -or- clean water programs UST = Underground Storage Tanks WQ = water quality
 OAL = State of California Office of Administrative Law TBD = To be determined n/a = not applicable

VITAL RECORDS STATEMENT

This schedule contains NO NECESSARY VITAL RECORDS for the restart of the organization.

1	2.0	NOTIFY ARCHIVES	SWRCB Regulations (aka Regulatory File or Rule Making File Administrative Record) [includes: original Std. 400, notices, draft regulations, statement of reasons, comment letters, etc.]	P		Active	10	Perma- nent	Active +10 +Perma- nent		Active: Until approved by OAL Authority: See Gov. Code § 11347.3 re no destruction. Final Disposition: TBD by ACC-but only if the regulations have been repealed. PRA-IPA Exemption: n/a STORAGE: OCC will retain official folders, and will ship to SRC when appropriate--these records are not considered Vital for restart of the organization. NOTE: Other divisions/offices of the SWRCB prepare the regulations--upon return of the regulatory file by OAL, they will forward this folder to OCC for storage.
2	3.0		Personnel Action	P		Active	3	10	Active + 13	XI	Active: Until case is settled Authority: Policy set by Chief Counsel. Final Disposition: TBD by ACC PRA-IPA Exemption: Govt Code § 625(c)

STATE OF CALIFORNIA
RECORDS RETENTION SCHEDULE

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DEPARTMENT (1) State Water Resources Control Board		SCHEDULE NUMBER (2) SWRCB 04-07	DATE (3) March 24, 2004
ORGANIZATION UNIT Office of Chief Counsel		PAGE OF PAGE (4) 3 7	
ADDRESS (Number Street City) 1001 I Street, 22 nd Floor, Sacramento 95814		DEPARTMENT OF GENERAL SERVICES APPROVAL NUMBER (5) 604-033	

MISSION STATEMENT: To provide legal services & advice to the SWRCB & RWQCBs re administration & protection of the waters of the State of California.
 NOTE RE (16): X= exempt per PRA, I = accessible under IPA

ITEM NUMBER (6)	CUBIC FEET (provide total of office & departmental) (7)	CALIFORNIA STATE ARCHIVES USE ONLY (8)	TITLE & DESCRIPTION OF RECORDS (9)	M E D I A (10)	V I T A L (11)	RETENTION				PRA (Exempt) & IPA (16)	REMARKS (17)
						OFFICE (12)	DEPT. (13)	SRC (14)	TOTAL (15)		
3	3.0		Confidential Memoranda & Work Products / Staff Papers	P		Active	varies	varies	Active + various lengths	X	Active: Until the related matter (petition, litigation, etc.) is settled. Authority: Depends upon the related matter. Conf. memos & work products are kept with the related matter & will be retained/disposed of as dictated by the appropriate disposition requirements. Final Disposition: Check with the appropriate related documents for final disposition for who is to make this decision. PRA-IPA Exemption: Govt. Code §§ 6254(a), (b), (c), & (k). Method of Destruction: Shred.
4	10.0	NOTIFY ARCHIVES	Water Quality Orders (originals)	P		Perma- nent			Perma- nent		Active: No official active period. These are a final product--unless litigation is initiated within 180 days of adoption and judgment is decided against us. Authority: Policy set by Chief Counsel. Final Disposition: None. PRA-IPA Exemption: n/a Storage: Kept in OCC--not considered vital for restart of organization.
5	12.0		Chron Files	P		5			5		Active: n/a--kept for a designated length of time. Authority: Policy set by Chief Counsel Final Disposition: TBD by ACC PRA-IPA Exemption: n/a
6	2.0		Appeal Files: re 401 Certification	P		Active	5	5	Active +10		Active: Until appeal is settled. Authority: Policy set by Chief Counsel. Final Disposition: TBD by ACC. PRA-IPA Exemption: n/a

STATE OF CALIFORNIA
RECORDS RETENTION SCHEDULE

STD. 73 (rev. 5-92)

See instructions on reverse
 and in SAM 1600

DEPARTMENT (1) State Water Resources Control Board		SCHEDULE NUMBER (2) SWRCB 04-02	DATE (3) March 24, 2004
ORGANIZATION UNIT Office of Chief Counsel		PAGE OF PAGE (4) 4 7	
ADDRESS (Number Street City) 1001 I Street, 22 nd Floor, Sacramento 95814		DEPARTMENT OF GENERAL SERVICES APPROVAL NUMBER (5) 04-033	

MISSION STATEMENT: To provide legal services & advice to the SWRCB & RWQCBs re administration & protection of the waters of the State of California.
 NOTE RE (16): X= exempt per PRA, I = accessible under IPA

ITEM NUMBER (6)	CUBIC FEET [provide total of office & departmental] (7)	CALIFORNIA STATE ARCHIVES USE ONLY (8)	TITLE & DESCRIPTION OF RECORDS (9)	M E D I A (10)	V I T A L (11)	RETENTION				PRA (Exempt) & IPA (16)	REMARKS (17)
						OFFICE (12)	DEPT. (13)	SRC (14)	TOTAL (15)		
7	60.0		Appeal Files: re petitions to SWRCB of RWQCB Actions / Inactions	P		Active	2	10	Active +12	X (staff working papers, atty/client privilege docs)	Active: Until appeal is settled + 180 days when statute of limitations has run out for matter to be litigated. Authority: Policy set by Chief Counsel. Final Disposition: TBD by ACC PRA-IPA Exemption: Govt. Code § 6254(a) &/or (k). NOTE: If appeal is litigated, it then becomes part of the litigation file--and it is then subject to that retention period.
8	40.0		Appeal Files: re Division Decisions re grants & loans, UST (inc. cleanup funds & local oversight program), etc.	P		Active	2	10	Active +12	X (staff working papers, atty/client privilege docs)	Active: Until appeal is settled + 180 days when statute of limitations has run out for matter to be litigated. Authority: Policy set by Chief Counsel. Final Disposition: TBD by ACC PRA-IPA Exemption: Govt. Code § 6254(a) &/or (k). NOTE: If appeal is litigated, it then becomes part of the litigation file--and it is then subject to that retention period.
9	100.0		Administrative Records [Prepared when needed for litigation.]	P		Active	2	3	Active +5		Active: Until litigation is settled. Authority: Policy set by Chief Counsel. Final Disposition: TBD by ACC after consultation with assigned attorney. PRA-IPA Exemption: n/a NOTE: These pertain to water quality-related litigation. The Division of Water Rights will prepare & maintain any administrative records re WR litigation.

ITEM #	CUBIC FEET *	CA. STATE ARCHIVES USE ONLY	TITLE AND DESCRIPTION OF RECORDS <i>(Double spaces between items)</i>	MEDIA	VITAL	RETENTION				PRA (Exempt) & IPA (47)	REMARKS
						OFFICE	DEPT.	SRC	TOTAL		
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)

			Records Management								
14.	I		STD Form 70, Records Inventory Worksheet	P		Current			Current		Retain as current until next inventory, or when no longer needed for reference or analysis, whichever is later.
15.			STD Form 71, Records Transfer List	P		Current			Current		Retain as current until all records have been either destroyed, retired permanently, transferred to the State Archives, or when no longer needed whichever is later.
16.			STD Form 73, Records Retention Schedule	P		Current			Current		Retain as current until revised. NOTE: Although revision is required every five years from date approved by CalRIM, records retention schedules that are not revised remain in effect but are considered non-current.
17.			Authorization for Records Destruction (Computer Printouts)	P		4			4		Retain for two years from date destruction is authorized. Then retain two additional years or until audited, whichever occurs first (maximum of four years).
18.		M	Electronic Mail								
			A. E-mail that are categorized as official records are subject to department records retention schedule and must be retained for the same period of time as the records series that most closely matches the subject matter contained within the new e-message. If there is no entry that resembles or matches the subject matter of the e-message, the "record" should be added to the schedule as a separate series (separate item number).	M		*	*	*	*		*E-mail communications that have "official records status" are subject to department records retention schedule and must be retained for the same period of time as the records series that most closely matches the subject matter of the e-communication in question.
			B. Transitory e-Mail consists of electronic messages that are created primarily for the communication of informal information as opposed to the perpetuation or formalization of knowledge.	M		90 days			90 days		Destroy transitory e-communications when they have served their purpose.