

City of Piedmont
COUNCIL AGENDA REPORT

DATE: March 3, 2025

TO: Mayor and Council

FROM: Rosanna Bayon Moore, City Administrator

SUBJECT: Consideration of Adoption of the City of Piedmont's Records and Information Management Program Policy and Departmental Record Retention Schedules; Authorize City Administrator to Oversee the Management of the Policy in Consultation with the City Attorney

RECOMMENDATION

1. Adopt the Records and Information Management Program Policy ("policy") and the departmental record retention schedules.
2. Authorize the City Administrator or designee to oversee the management of the policy in consultation with the City Attorney

BACKGROUND

Public agencies manage many types of records. Some records serve historical purposes, while some records are vital to the agency's business. Section 34090 et al of the Government Code defines some of the requirements for the management of records by the city governments of California. There are specific laws governing the retention and the destruction of certain records based on the type of record. City Council to delegate retention and destruction of records to staff once a compliant policy and retention schedules for the various record types have been adopted by the Council.

The effort to undertake a comprehensive update of the City of Piedmont's Records and Information Management (RIM) Program Policy was initiated in April of 2024. At this time, it is requested that Council consider the proposed policy and records retention schedules attached to this report (Attachments A – B). Once approved, the retention of certain records and the destruction of obsolete records will be delegated to staff and the City Attorney in conformance with the policy.

DISCUSSION

The City of Piedmont recognizes the need for an effective and up-to-date records management program. A RIM Program Policy has been developed that meets legal requirements and the City's needs. The policy contains elements that are critical to an effective records program including,

but not limited to:

- Definitions of the terms commonly used in Records Management and examples of relevant record types
- Citation of the legal authorities applicable to the management of City records
- Identification of the City staff members and elected/appointed officials who are responsible for managing the City's records
- Provides for the City Clerk to implement the policy in conjunction with the City Attorney, who will review destruction request notices
- Explanation of the definitions of the various record types under California State law; and the distinction between records and non-records
- Approved records storage locations and preservation methods
- Records destruction processes and procedures

One of the most important elements of the policy is the approval of updated records retention schedules for each department. The records retention schedule is the key component to a well-managed records program. The City first adopted retention schedules in 1987 and last updated them in 1999. The new proposed schedules provide a description of the record types managed by each of the City's departments and assigns a corresponding retention period. Retention periods are based on specific State or federal statutes, or variations when authorized by statute.

FISCAL IMPACT

The Records Management Project was budgeted for \$203,000 in the FY 2024-25 Budget, with costs anticipated for the following activities:

- Records retention policy update
- Digitization of records currently in paper format
- Full utilization of City's Current Electronic Document Management System (EDMS) or acquisition of new software
- Destruction of obsolete records and optimization of offsite storage capacity

Destruction of records in accordance with applicable laws and regulations can reduce the City's risk exposure. Value is also added when records that are still pertinent to the conduct of business are digitized and stored in an electronic document content management system, making them easier to access for both members of the public and staff. Lastly, by adopting a modernized and comprehensive Records and Information Management Program Policy, the City will be able to optimize its use of onsite space and minimize offsite records storage needs.

CONCLUSION

A Records and Information Management (RIM) Program Policy and updated Retention Schedule will bring the City's Records Management program up to date with legal requirements for the retention of official records, optimize the use of precious space at City Hall and costly space at offsite storage, while improving the public's access to those records. This can be achieved while preserving the City's ability to exercise some flexibility to shorten or lengthen required regulatory retention periods by judiciously invoking certain approved departmental preferences to meet

business, financial, operational, historical interest or administrative retention requirements.

The City Council is the decision-making body for the adoption of the Records and Information Management Program Policy and the departmental record retention schedules; and for authorizing the City Administrator or designee to oversee the management of the policy, including granting approval for the destruction of records, subject to review and approval of the City Attorney.

Should the Council adopt the policy, next steps will include beginning staff training on how to effectively use the Policy and Schedules, followed by assistance from the City Clerk's Office to begin identifying outdated records and engaging the approval process for destruction of obsolete records. Completion of this phase is anticipated by June 30, 2025.

CITY ATTORNEY REVIEW

The attached policy and retention schedules were reviewed and approved by the City Attorney's Office.

Prepared By: Anna M. Brown, City Clerk

ATTACHMENTS

- A: Records and Information Management Program Policy
- B: Retention Schedules

CITY OF PIEDMONT Policy & Procedure

Policy No. _____
Section: Administration

SUBJECT: Records and Information Management Program Policy

INTRODUCTION

The City of Piedmont (“City”) recognizes the need for an effective and up-to-date records management program in order assure compliance with the legal requirements for the retention of records, both in paper and electronic format, and that optimizes the use of space for record storage offsite and at City facilities, provides open access to public records and that disposes of outdated records properly and according to State and Federal statutes regarding record retention and destruction.

PURPOSE

This Records and Information Management (RIM) Program Policy (“Policy”) establishes comprehensive and uniform methods for the cost effective and efficient management of the City’s public records (including creation, utilization, maintenance, security, retention, storage, preservation, and destruction), in accordance with legal requirements and professional standards.

I. DEFINITIONS

Active Records: Records referenced and readily accessible in the general conduct of current City business.

Confidential Record: There are many sources of legal authority that define a “Confidential Record” including, but not limited to, the *California Public Records Act*, Government Code §7920 through §7930.215. Therefore, it would be impractical to list all definitions of a “Confidential Record” within this Policy. If there is any question as to whether a record is a Confidential Record, staff should consult with the City Clerk and/or City Attorney prior to disclosure.

In general, a “Confidential Record” is any record not disclosed to the public unless directed by court order. Examples of a “Confidential Record” may include, but are not limited to, the following:

A. Personnel Records:

Examples include any personnel, medical or similar files, the disclosure of which would cause an unwarranted invasion of personal privacy.

B. Pending Litigation or Claims:

In general, Government Code §7927.200 provides that when litigation or a claim is filed against the City, the records pertaining to the litigation or claim are exempt from public disclosure until the litigation or claim has been adjudicated or settled.

C. Attorney/Client Privilege and Attorney Work Product:

It should be presumed that all communications from the City Attorney’s Office on behalf of the City are subject to attorney/client privilege, and those communications should be protected accordingly.

D. Police Records and Investigative Reports:

Examples include, but are not limited to, a wide variety of records such as:

1. Police investigations, intelligence, analysis, and conclusions
2. Information that may endanger the safety of any person
3. Juvenile records

E. Active case files

F. Feasibility Studies for Property Acquisition or Public Contracts:

Unless required to be disclosed by eminent domain law, feasibility studies relative to the acquisition of property, or to prospective public supply and construction contracts, are not disclosed until all the property has been acquired or until the contract or agreement has been executed.

G. Proprietary Information Obtained by the City:

Proprietary information will not be disclosed if any of the following apply:

1. The outside party providing the information submits the information with the expressed intention to maintain the confidence.
2. The information has not previously been disclosed to others.
3. The outside party has a reasonable expectation that the information will be maintained in confidence based upon how the City obtained the information.

Examples include, but are not limited to, financial information or computer source code submitted as a condition of a license, permit or certificate.

H. Public Interest Balancing Test

If a writing does not fit a specific category of exemption, the writing *may* still be exempt if it meets the Public Interest Balancing Test. According to GC §7922.000, “The agency shall justify withholding any record by demonstrating that the record in question is exempt under express provisions of [the Public Records Act] or that on the facts of the particular case the public interest served by not disclosing the record clearly outweighs the public interest served by disclosure of the record.” Since there is a significant body of case law analyzing this balancing test, City staff must consult with the City Attorney’s office when determining whether a record may be disclosed upon request.

CPRA: Acronym for California Public Records Act (Government Code §7920.000, et seq.). The CPRA was passed by the California Legislature in 1968 for government agencies and requires that government records be disclosed to the public, upon request, unless there are privacy and/or public safety exemptions which would prevent doing so.

Databases: Databases consist of electronic files and fields of data, which manage and store information useful to the department or division. Databases are modified over time through the addition, deletion, or modification of data, and may be maintained by the City or hosted by outside sources. More specific information regarding databases can be found in Section V.E.

Duplicate Copy: A record that is a copy of an Official Record if the copy is not within the definition of a “Trusted Copy”. In addition to hard copies of Official Records, “Duplicate Copies” also include, but are not limited to, database backups or other copies of electronic records.

Electronic Mail (E-mail): Messages and communications transmitted over internal and external networks are considered “Electronic Mail”. Unless deemed to be a record, routine e-

mail messages are comparable to telephonic communications and are considered to be either Transitory Records or Non-records.

Electronic Records: Records that contain information readable by machine or computer, and which may include information such as text, numbers, graphics, line drawings, pictures, images, video, or sound are considered “Electronic Records”. Examples of “Electronic Records” include, but are not limited to, the following:

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|------------------------------|--------------------------|
| 1. Audio or video recordings | 5. Presentation graphics |
| 2. Electronic mail | 6. Word processing files |
| 3. Databases | 7. Spreadsheet files |
| 4. Digital images | 8. Voicemail |

“Electronic Records” reside on, but are not limited to, media such as magnetic disks or tapes, audio or video cassettes, optical disks, DVDs, CDs, hard drives, or memory sticks.

Historical Records: Records valuable to future researchers that document accomplishments, changes, and growth of the City.

Inactive Records: Records that are no longer referenced, nor required to be readily accessible, in the general conduct of current City business. Such records may be stored at an off-site storage location or within the work area during their required retention period.

Indexes and Metadata: Information supporting a record that is unique and distinguishes one record from another. “Indexes” and “Metadata” may include, but are not limited to, record titles, record series codes, sequential identification numbers, dates, Office of Record, project number, account number, or other source information describing the record’s contents. Such information, in and of itself, does not constitute a record.

Litigation Hold: A temporary hold on destruction of any documents potentially relevant to reasonably anticipated, pending or threatened litigation.

Media: The physical format in which a record is maintained including, but not limited to, paper, photographic, micrographic, computer storage, and any other recording or storage method.

Non-record Writing: Any writing which is not within the definition of a Record. Examples of “Non-record Writings” include writings that are not directly related to the conduct of the City’s business and/or are used specifically for reference including, but not limited to, textbooks, brochures, catalogs, or seminar announcements.

Official Record: An “Official Record” is the original record or “Trusted Copy” having the legally recognized and enforceable quality of any writing containing information related to the conduct of the City’s business.

Office of Record (OOR): The department within the City that is responsible for maintaining a particular record series in accordance with this Policy and the Records Retention Schedules is considered the “Office of Record”. The Records Retention Schedules identify the “OOR” for each record series. Typically, the “OOR” is the department that originates the record. Exceptions may be noted on the Records Retention Schedules.

Permanent Records: Records that are required to be kept in perpetuity, usually identified by statute or other written guidance. Examples include, but are not limited to, original minutes, ordinances, resolutions, and land grant deeds.

Record: For retention purposes, a Record includes any writing containing information relating to the conduct of the business prepared, owned, used, or retained by the organization regardless of physical form or characteristics. Records include the subsets of trusted copies, confidential records, vital records, historical records, active records, inactive records, electronic records and transitory records, as defined within this Policy.

Record Inventory: An inventory helps build and maintain the Records Retention Schedules. An inventory of a department's records where the following information is recorded:

1. The type of record (record series)
2. The date range of the records
3. The volume of the records
4. The format of the record (paper, microfilm or electronic)

Records Retention Schedule: A "Records Retention Schedule" lists all 'record series' which are prepared, owned, used, or retained by the City, and identify the required retention period for each record series. The "Records Retention Schedule", and any amendments or updates thereto, are approved by City Council resolution.

Record Series: A set of records which are created, stored and maintained together. "Record Series" are used as a method to organize records by function and/or document type within the City. Examples of different "Record Series" include, but are not limited to, the following:

1. Contracts
2. Purchase Orders
3. Resolutions
4. Minutes of official meetings
5. Timecards
6. Financial Statements

Record Storage Area: A designated area for the storage of inactive records, which is well-organized to allow for efficient retrieval of records as needed from the department. Departments shall maintain custody and control over their records and ensure prompt and efficient handling and destruction of records pursuant to the Records Retention Schedules.

Records Coordinators or Department Records Coordinators: Designated staff within each department or division that are intimately familiar with records maintained in their department or division. The person is the main point of contact between the City Clerk's Office and staff regarding the City's Records and Information Management Program and this Policy as it relates to records in their department or division.

Retention Period: A "Retention Period" is the length of time that a particular record is retained by the City before it is disposed of in accordance with this Policy. The "Retention Periods" for City records are identified on the Records Retention Schedule.

Transitory Records: A writing with only transitory (short-lived) value since the information is used for a relatively short period of time. Examples include, but are not limited to, the following documents that are not retained in the ordinary course of business:

1. Preliminary drafts
2. Notes
3. Interagency/intra-agency memoranda

4. Voicemail
5. Handheld recorders

Trusted Copy: A “Trusted Copy” is a copy of an originally created record if the copy is created on a Trusted System. “Trusted Copies” are photographically, or electronically generated documents controlled by daily operational procedures and policies to ensure reasonable expectations of document integrity, free from physical or electronic additions, subtractions or other modifications that would change the content of the original document.

Once a “Trusted Copy” is created, it will replace the original source document, and the “Trusted Copy” must then be retained as the Official Record in accordance with the requirements of this Policy and the Records Retention Schedules.

Trusted System: As defined by GC §12168.7(c), “Trusted System” means a combination of techniques, policies, and procedures for which there is no plausible scenario in which a document retrieved from or reproduced by the system could differ substantially from the document that is originally stored.” Thus, a “Trusted System” includes any method of creation, management and/or storage of an Official Record, as defined within this Policy.

Vital Record: Includes records that are needed to continue or resume basic City operations in the event of a disaster.

Writing: As defined by Government Code §7290.545, “Writing” means ‘any handwriting, typewriting, printing, photographing, photocopying, transmitting by electronic mail or facsimile, and every other means of recording upon any tangible thing any form of communication or representation, including letters, words, pictures, sounds, or symbols, or combinations thereof, and any record thereby created, regardless of the manner in which the record has been stored.’”

Thus, “Writing” is a comprehensive definition that includes the subsets of public records, trusted copies, confidential records, duplicate copies, non-record writings, vital records, historical records, active records, inactive records, electronic records, and transitory records, as defined within this Policy.

II. SCOPE

This Policy is established by the City in accordance with all relevant federal, state, and local laws, and contractual requirements, including the State Record Retention laws (Government Code §34090, *et seq.*) and the California Public Records Act (Government Code §7920 *et seq.*). Additionally, where relevant to the needs of the City’s management of records, the City has incorporated provisions from professional standards and guidelines. All physical hardcopy or electronic documents, sound, or video works created by employees while executing the City’s business are records under this policy regardless of whether they are managed in a formal process by the employee’s department or kept by an employee or their work unit for reference or any other purpose.

III. AUTHORITIES

The legal authorities and professional guidelines applicable to the management of City records include, but are not limited to, the following:

- A. Federal and State Law** Numerous Federal and State laws related to minimum record retention requirements and statutes of limitations apply to different types of records. Each record series listed in the Records Retention Schedules will have applicable laws cited.

- B. Government Code §34090 *et seq.*** The principal provisions of California law applicable to City Record Retention requirements are addressed in Government Code §34090, *et seq.*, which generally require original public records to be retained for a minimum of two years and sets forth other requirements for the retention and destruction of specific public records. This Policy establishes the procedures consistent with the provisions within the state law for the destruction of original public records which have been retained for at least the minimum retention period and are no longer required by the City for business or historical purposes. The Policy also addresses the destruction of records which have been replaced by “Trusted Copies” (GC §34090.5) and the destruction of “Duplicate Copies” (GC §34090.7).

Per subsections of the code, the state law provisions do not authorize the destruction of:

- Records affecting title to real property or liens thereon.
- Court records
- Records required to be kept by statute.
- Records less than two years old.
- The minutes, ordinances, or resolutions of the legislative body or of a city board, agency, committee or commission.

- C. CA Government Code §6200 *et seq.*** Except as otherwise provided by Government Code §34090 *et seq.*, Government Code §6200 *et seq.* provides that any City employee who is found guilty of willfully destroying (including altering, falsifying, mutilating, defacing, or stealing, in whole or in part) a public record may be punished by imprisonment of up to four years.

- D. CA Government Code §7920 *et seq.*** The California Public Records Act (Government Code §7920 *et seq.*) provides definitions for “writings” and “public records” for the purpose of determining which public documents are required to be disclosed to the public upon request, and which public documents are confidential or otherwise exempt from disclosure.

- E. Professional Standards and Suggested Retention Guidelines** Selected professional associations and other governmental agencies, such as the California Secretary of State, the Department of Justice, and the City Clerk’s Association of California, have published standards, model retention guidelines, and/or articles recommending retention periods for different types of records. Although these standards and guidelines are not binding upon the City, the City may take these documents into consideration in establishing the City’s Records Retention Schedule and, where applicable, the City will identify deviations from these suggested guidelines within the Records Retention Schedule.

- F. CA Code of Regulations §22620 *et seq.*** The State of California provides requirements and guidelines for Trustworthy Electronic Document or Record Preservation. This includes requirements for electronic document format, such as PDF/A (Portable Document Format/Archival), system backups, file compression, security, and policies and procedures for retaining official documents or records created or acquired using a trusted system.

- G. CA Government Code §12168.7** In addition to the State’s Trustworthy Electronic Document or Record Preservation requirements, the State sets standards for “trusted systems” to acquire electronic documents when the City collaborates with State agencies. These standards define what a trusted system is and how records must be preserved using trusted systems, including cloud computing services for records storage.

H. Departmental Preference To meet internal business, financial, operational, historical interest, and/or administrative retention requirements, the City's departments may desire to extend or shorten retention periods from the minimum required regulatory retention periods. Such modifications must state a compelling reason for extending or shortening the retention period and are assigned as Department Preferences within the citations associated with the Record Series to set precedence for the change. All such designations will be subject to review and approval of the City Clerk and City Attorney before final incorporation into the Retention Schedule.

IV. RESPONSIBILITIES

Active management of the City's records is required to ensure that the records are properly maintained. This section identifies the City staff members and elected/appointed officials responsible for managing the City's records.

A. City Council

The City Council reviews and approves the Citywide Records and Information Management Program and the initial Records Retention Schedule. Amendments to the Policy are approved by Council; amendments to the Retention Schedule are approved administratively by the City Clerk in collaboration with the City Attorney.

B. City Administrator

The City Administrator (or designee) shall be responsible for administering this Policy and approving amendments to the Record Retention Schedules.

C. City Clerk

The City Clerk (or designee) shall be responsible for the following:

1. Implementing and coordinating the City's Records and Information Management (RIM) program.
2. Providing review and approval of any proposed amendments to this Policy or the Records Retention Schedule.
3. Disseminating information and providing RIM program training to departments.
4. Establishing and maintaining a program to assist departments in the destruction of records once their respective retention periods have expired.
5. Assisting all departments in complying with this Policy.
6. Notifying the affected Office of Record (OOR) and the City Clerk when the City must suspend the destruction of records due to a litigation hold, pending or potential litigation, discovery requests, or for any other reason.
7. Providing written notification to the City Administrator and Department Director of violations of the Records Retention Schedule and this Policy.
8. Performing periodic training and audits to assist departments in complying with the Records Retention Schedule and this Policy.
9. Providing written notification to the Department Director of audit discrepancies within departments.
10. Providing review of changes in records management practices relating to this Policy and the Records Retention Schedule.
11. Receiving departmental requests for records destruction, routing to City Attorney for approval and conducting final review and processing.
12. Maintaining the Official Record of all documents related to the City's RIM program, and any amendments or updates thereto, including the following:

- Policy
- Records Retention Schedules
- Lists of Records Coordinators and alternates
- Master Index of Record Series, as submitted by each department
- Requests for Destruction of Records
- Authorizations to Destroy Records
- Certifications of Destroyed Records

13. Assisting departments in reviewing records and preparing a list of records eligible for destruction per the Retention Schedule.

D. City Attorney

The City Attorney (or designee) shall be responsible for the following:

1. Providing legal review and approval of any proposed substantive amendments to this Policy or the Records Retention Schedule.
2. Providing legal review of changes in the law relating to this Policy and the Records Retention Schedule.
3. Reviewing all requests for records destruction and exercising discretion to approve or deny requests for destruction in accordance with this Policy.
4. Forwarding all approved requests for destruction to the City Clerk.

E. Department Heads

Department Heads are responsible for the following:

1. Administering the City's RIM program in their respective departments and setting the expectation that Policy parameters will be implemented in a timely manner.
2. Appointing a Department Records Coordinator and an alternate to work with the City Clerk's Office to implement this Policy. Departments with several divisions may appoint multiple Department Records Coordinators and alternates.
3. Maintaining and updating the established inventory of departmental records which is stored on a shared drive and overseen by the City Clerk's Office. The inventory shall identify the following aspects of each record:
 - a. Associated records series
 - b. Activity status (e.g., active, inactive)
 - c. Media format of the Official Record
 - d. Importance (e.g., vital, historical, confidential), where applicable
4. Coordinating with the City Clerk's Office in the development of a departmental Records Retention Schedule.
5. Periodically reviewing its departmental Records Retention Schedule to ensure that the schedule is complete, current, and accurate.
6. Providing the City Clerk's Office with written proposed amendments to the Records Retention Schedule, when needed and/or requested.
7. Reviewing proposed amendments to the Records Retention Schedule, as prepared by the City Clerk's Office.
8. Ensuring the security of records that have been identified as confidential.
9. Notifying the City Clerk's Office of any information received regarding legal issues related to the retention of records within their department.

10. Reviewing and approving requests for the destruction of departmental records as authorized by this Policy and the Records Retention Schedule and forwarding such requests to the City Attorney and City Clerk.
11. Approving the destruction of Duplicate Copies, Transitory Records, and Non-Records in accordance with this Policy.
12. Providing written notification to the City Clerk if any discrepancies or violations of this Policy or the Records Retention Schedule within their department.

F. Department Records Coordinators

The Department Records Coordinator(s) for each department, under the direction of the Department Director, are responsible for:

1. Creating an index of department records series, and working with the City Clerk, or designee, to develop a Records Retention Schedule.
2. Informing and updating employees in the department about this Policy and the department's Records Retention Schedule.
3. Ensuring that active records within the department are maintained according to methods described in this Policy and the department's Records Retention Schedule.
4. Maintaining the security of records that have been identified as confidential.
5. Maintaining and updating the master inventory list of all department records that are kept internally and at off-site storage facilities, which is stored on a shared drive and overseen by the City Clerk's Office,.
6. Monitoring all records that are sent off-site for storage to ensure the records are properly packaged and labeled, accurately and completely inventoried, and assigned proposed disposition dates.
7. Coordinating all requests to retrieve documents from off-site storage and ensuring that documents are returned to off-site storage in a timely manner.
8. Working with City Clerk on annually reviewing records and preparing a list of records eligible for destruction when the retention period has expired, as described in this Policy and the Records Retention Schedule.
9. Securing the Department Director's approval for destruction of records when the retention periods have expired.
10. Ensure the destruction of Duplicate Copies, Transitory Records, and Non-Records in accordance with this Policy.
11. Providing written notification to their Department Director and City Clerk of any discrepancies or violations of this Policy or the Records Retention Schedule within their department.

G. City Staff

Any City staff member who routinely works with the City's records, as required by their assignment, is responsible for:

1. Reviewing this Policy and their department's Records Retention Schedule.
2. Maintaining the security of records that have been identified as confidential.
3. Surrendering all City records to their supervisors, their Department Director, the City Clerk, City Administrator, or City Attorney, when requested.
4. Providing written notification to their Records Coordinator(s) and Department Director of any non-compliance with this Policy or the Records Retention Schedule.

V. TYPES OF RECORDS

According to California state law a record “includes any writing containing information relating to the conduct of the public’s business prepared, owned, used, or retained by any state or local agency regardless of physical form or characteristics” (Govt. Code section 7920.545).

What is a non-record?

It is often difficult to draw a clear distinction between record and non-record material. A helpful hint to follow in making the distinction is that non-record documents can be discarded as soon as they are read. Some examples are listed below:

- Letters of Transmittal and acknowledgements of receipt which do not add any information to the material transmitted.
- Requests for printing services, after the request has been filled to the customer’s satisfaction.
- Informal notes, worksheets, and rough drafts of letters, memoranda, or reports that do not represent the basic steps involved in the preparation of communications.
- Miscellaneous notices of community affairs, employee meetings, holidays.
- Stocks of publications or blank forms that are kept for supply purposes only.
- Follow-up or copies of correspondence with pending action.
- Library and reference material.

A. Access Controls

All documents, writings, or other forms of information prepared, owned, used, produced, acquired, or retained by employees in the course of their responsibilities, regardless of physical form or characteristics, are the exclusive property of the City. Employees shall have no expectation of privacy relating to City records.

When it is necessary for employees to work on electronic documents away from the City, those documents must be accessed via the City’s virtual private network (VPN), and no copies shall be stored on private computer equipment or other electronic media. All documents must be returned to the City, and all copies deleted from the outside location, within 36 hours of final use or reference. Employees shall not have any City physical records in such places as private homes or offices.

Records managed by outgoing officials, employees, contractors, or volunteers shall be delivered to their successors prior to separation from the City.

B. Vital Records

Vital Records are those records needed to continue business operations in the event of a disaster and will be identified as such on the Records Retention Schedules. Each department will be responsible for protecting relevant vital records that are crucial to the continuation of business as stated in the 2023 Emergency Operations Plan: “Each City department is responsible for identifying, maintaining, and protecting its vital departmental records”. Examples of records protection include, but are not limited to:

- Storing hard copies in a fire-resistant filing cabinet or area, or in a locked vault, either on site or off site.
- Storing duplicate hard copies at a secure offsite facility for the duration of the retention life of the vital record.
- Providing regular back-ups for electronic vital records.

- Hosting electronic vital records on a cloud-based service, provided that the documents are periodically backed up by the service provider.
- Maintaining:
 - A list of physical locations of vital records storage facilities and systems.
 - Access codes, passwords and/or keys for facilities and systems.
 - Equipment used to store vital records or needed to access electronically stored vital records.
 - An inventory of vital records within the facility.
 - Procedures for accessing vital records.

C. Historical Records

Historical Records are records that are valuable to future researchers to document the accomplishments, changes, and growth of the City. Record Series that may contain historical records will be identified within the Records Retention Schedules. Historical Records may be maintained within each department based on individual departmental procedures or forwarded to the City Clerk's Office for archival storage.

D. Confidential Records

There are many sources of legal authority to exempt a record from disclosure including, but not limited to, the California Public Records Act, Government Code §7920 through §7930. It would be impractical to list all definitions of "confidential" records in this Policy. If there is any question as to whether a particular record should be designated as "confidential," the Department Head will consult the City Clerk.

Confidential records must be maintained with sufficient security, and in accordance with applicable laws, to protect their contents from unauthorized access. Departmental procedures to ensure the security of confidential records will be the responsibility of the Department Head.

E. Databases

For Records Retention purposes, the City considers all databases, whether residing on City systems or hosted by an outside source (Software as a Service or SaaS), to be Transitory Records. The blanket retention period for databases is "While Active" to reflect that only the current version has informational value to the City.

The Office of Record that uses, maintains and modifies a database must assure the information contained within the database is correct and accurate, and has the obligation to produce information from the database, as needed, to perform City business. Due to the transitory nature of databases, periodic reports produced from a database, and used for administrative, fiscal, legal or historical purposes, may become Official Records. Reports designated as Official Records must be maintained in accordance with the Records Retention Schedules.

For example, the City's Annual Budget Report captures the financial position at the end of a fiscal year, and is used to inform the City Council, staff and citizens of the City's financial state. Thus, the report must be retained for the retention period designated in the Records Retention Schedule to reflect operational needs.

F. Trusted Copy (Migration of an Original Record)

To ensure the accuracy of a Trusted Copy, employees of the Office of Record must follow the department's approved process before replacing an original record. The process must be approved by the City Clerk.

Before designating a record as a Trusted Copy, legibility must be validated, and indexes or metadata confirmed as accurately reflecting the content of the original record.

Once the Trusted Copy has been validated and designated as the Official Record, the original record shall be immediately destroyed in the approved manner stated in this policy, unless maintenance and retention of the physical records is required by statute, such as governing body Minutes, Resolutions and Ordinances.

VI. STORAGE AND PRESERVATION OF RECORDS

A. Active Records

Storage and preservation methods for active records must be approved by the City Clerk or designee and meet all the following minimum specifications:

1. Records must be stored and maintained using complete inventories and accurate indexes which allow them to be identified, retrieved and disposed of in an expeditious manner.
2. Records must be maintained so they are readily accessible to conduct current City business.
3. Storage systems for records will accommodate hard-copy or electronic records and must also conform to the requirements of a Trusted System. Migration of original records to electronic form requires a process that complies with Section **V.F.** of this policy.
4. Filing systems should follow these guidelines:
 - a. Physical file folder labels should have a consistent style, not a mixture of different styles. This makes reading labels on physical files easier and increases access rates. File labeling should be consistent for the entire group of records.
 - b. A single filing system for primary and secondary indexing levels should be chosen and remain consistent. For example, after establishing primary file sections, select an alphabetical, alpha-numeric, or subject classification to control the sub-group files.
 - c. Record series should be kept together so that permanent records are separate from records with shorter retention requirements. When preparing files for a new calendar or fiscal year, set up files by retention period and add files to the department inventory list including destruction dates.
 - d. Confidential files should be labeled with obvious notations to alert staff members to the special handling requirements.
 - e. Inactive records should be transferred to the City's storage provider to ensure the maximum capacity is available for housing active records onsite. The transfer must be reviewed and approved by the City Clerk.

B. Inactive Records

Inactive records may be stored in a secured City facility as approved by the City Clerk or designee.

An off-site storage facility must:

1. Meet applicable state and local codes.

2. Provide protection from fire and intrusion.
3. Provide reasonable access to records in a timely manner.

An inventory of inactive records in storage is maintained by the City Clerk's Office. Prior to sending records to storage, Duplicate Copies, Transitory Records, and Non-Records must be removed and destroyed in accordance with this Policy.

C. Cloud or Hosted Electronic Records

Cloud stored or hosted electronic records must follow the City's Records Retention Schedules.

The cloud or hosting company must:

1. Meet applicable state and local codes.
2. Provide protection from fire and intrusion.
3. Provide reasonable access to records in a timely manner.

D. Offsite Storage

Offsite storage will be exclusively for the storage of records that need to be retained for 10 years or longer.

VII. DESTRUCTION OF RECORDS

A. Destruction of Physical or Electronic Records

The City Clerk's Office oversees and administers the Program, Records Retention Schedules, and the destruction of records. This applies to all records, regardless of format.

Departments must identify all records eligible for destruction pursuant to the Records Retention Schedule and submit a Records Destruction Request Form to the City Clerk's Office. The form shall list all documents to be shredded, deleted, or otherwise destroyed and the corresponding retention periods pursuant to the Records Retention Schedule. The Department Head or designee must approve and sign the Records Destruction Request Form and submit it to the City Clerk's Office. The form must be completed in its entirety.

The City Attorney is responsible for reviewing and approving or denying all requests and forwarding the recommendation to the City Clerk's Office.

The City Clerk's Office is responsible for reviewing and approving or denying all requests and advising the Department of the recommendation. The City Clerk's Office is responsible for confirming records are destroyed and obtaining a Certificate of Destruction from the requesting Department.

B. Destruction of Duplicate Copies

Duplicate Copies will not be maintained longer than the retention period of the original record and may be destroyed sooner than the expiration of the retention period.

Department Heads will ensure that employees follow the established procedures for destruction of this Policy. Prior to the destruction of a Duplicate Copy, the employee shall ensure that:

1. The writing is, in fact, a Duplicate Copy and not an original record.
2. The writing is no longer required for the operational needs of the department.

C. Destruction of Transitory Records

A Transitory Record may be destroyed at any time. Prior to the destruction of a Transitory Record, the employee shall ensure that:

1. The writing is, in fact, a Transitory Record and not an original record.
2. The writing is no longer required for the operational needs of the department.

D. Destruction of Non-Records

A non-record may be destroyed at any time. Prior to the destruction of a non-record, the employee shall ensure that:

1. The writing is, in fact, a non-record.
2. The writing is no longer required for the operational or reference needs of the department.

E. Destruction of E-mail

Unless deemed to be a record, routine e-mail messages are comparable to telephonic communications and are considered to be either Transitory Records or Non-records. These types of e-mail messages are not intended to be retained in the ordinary course of City business, and the informational content of such communications is neither necessary nor intended to be preserved for future City use or reference. E-mail systems are not intended to be used for the electronic storage or maintenance of official records, or as document management systems.

All e-mail included in user's Inbox, Sent, Deleted Items or Junk folders will be automatically deleted at the two-year mark from the date received or sent. The city's e-mail archiver will be configured to retain a minimum of two years of e-mail content on a continuous rolling basis. This means that, periodically, the system will automatically delete messages that exceed the defined two-year retention policy.

F. Destruction of Original Records After Migration to a Trusted Copy

Once an original record has been migrated to a Trusted Copy, in accordance with this Policy, the original record shall be immediately destroyed in accordance with this Policy, unless maintenance and retention of the physical record is required by statute, such as governing body Minutes, Resolutions and Ordinances. Request for the destruction of an original record after migration to a trusted copy shall follow the procedures outlined in Section 7.1 Destruction of Physical or Electronic Records.

G. Destruction of Information on Obsolete Electronic Equipment

Certain electronic equipment, including Trusted Systems, used by the City may contain methods of electronic storage of City information. This information may be captured and stored as the equipment is used in the normal course of business.

Prior to decommissioning City equipment, the responsible department shall ensure that all information relating to City business will be deleted or otherwise made illegible from any data storage systems on or within the equipment. Under no circumstances shall any electronic equipment be released from City property for recycling, destruction or other disposition until the City information has been deleted. Written confirmation of the destruction of the information should be provided to the City Clerk.

H. Destruction of Non-paper Media Records

Official Records stored on non-paper media must be destroyed in a manner consistent with this Policy. Documentation for the destruction of these records shall be prepared and retained in accordance with Section 7 of this Policy.

After all Official Records stored on non-paper media (e.g., magnetic tape, disks, diskettes, or other magnetic medium) have been destroyed, the medium itself may be reused, recycled or destroyed.

VIII. PROCEDURES

The Procedures for the management, storage and preservation, and destruction of records are as follows:

A. Access to Electronic Records Systems

A Department Head (or designee) shall approve access to electronic records systems for any employees, contract employees, consultants, or volunteers, as needed to fulfill the requirements of their employment.

Any electronic records system is subject to audit by the City Clerk's Office on a periodic basis. An audit may include operations performed on the database, the date and time an operation occurred and by whom, the database record number, the database index and/or metadata associated with the record, or any other pertinent data where practical.

B. Process for Scanning and Imaging of City Records and Documents

The City's document management system is to be used for archiving electronic Trusted Copies and for electronic copies of documents for which there is no legal authorization for destruction (e.g., records affecting title to real property or liens thereon; minutes, ordinances, or resolutions of the legislative body or of a city board, agency, committee or commission). These documents must be stored within document management system, indexed as required by this Policy, and searchable utilizing Optical Character Recognition (OCR).

Procedures for scanning a hard-copy document for storage into the document management system as an Official Record shall be established and reviewed periodically by the City Clerk's Office. Priority shall be given to those records that must be retained on a permanent basis, and to those records which need to be frequently retrieved.

Examples of records eligible for scanning include, but are not limited to, the following:

- Ordinances & Resolutions
- Minutes
- Plans and Permits
- Contracts and Agreements
- Approved Construction Plans
- Purchase Orders, Timecards, and other financial records.

Departments shall review and purge unnecessary documents from their records prior to scanning. Purging involves evaluating documents within a record, and discarding documents determined to be Transitory Records, Duplicate Copies or Non-Records.

After images are created, the department shall verify the images are legible and complete. Images should be verified, indexed, and the OCR process completed as soon as possible after scanning occurs.

Non-scanned documents (i.e., documents created in MS Word, Excel, etc.) must be imported into the document management system, indexed and the OCR process completed, thereby meeting all the same requirements as described above for scanned images.

When creating an electronic Trusted Copy, the department must determine that the original record has been successfully transferred into electronic format as defined above. The original record will then be destroyed in accordance with this Policy.

All procedures will be evaluated by the City Clerk and updated, as needed.

C. Destruction of Official Records

Official Records, for which the retention period identified on the Records Retention Schedule has elapsed, will be destroyed in accordance with this Policy. Unless placed on legal hold by the City Clerk or City Attorney, records designated for destruction must be destroyed within the calendar year after the record expires.

A record that expires during the current calendar year must be destroyed by December 31st of the following calendar year. For example:

<u>If expiration occurs on:</u>	<u>Then destroy no earlier than:</u>	<u>or no later than:</u>
January 1, 2024	January 1, 2025	December 31, 2025
December 31, 2024	January 1, 2025	December 31, 2025

Periodic reviews of records shall be performed by the Department Record Coordinator(s). Additionally, to ensure compliance with this Policy and the Records Retention Schedule, the City Clerk may annually designate a date for departments to review their records and prepare requests for destruction.

Records for which the retention period has elapsed must be identified and included on a Records Destruction Request Form, which is signed by the Department Director, then forwarded to the City Clerk who will review it and send it on to the City Attorney for approval. Upon the City Attorney's review and approval, the City Clerk will review the form for approval, completeness, and processing.

Hard-copy records approved for destruction must be destroyed by the Department Records Coordinator(s) (or designee) using one of the following methods:

- **Shredding & Recycling Bin:** Expired records that are not confidential.
- **Shredding:** All other records approved for destruction.

***NOTE:** Confidential records must be shredded by the Department Record Coordinator(s) (or designee). Commercial Services may be used for the destruction of paper documents, if destruction is completed on-site at City facilities. Records that are already being stored at the offsite facility may be destroyed at that facility, under supervision of the City Clerk's Office. A Certificate of Destruction from the commercial services must be submitted to the City Clerk's Office and will be maintained with the approved Records Destruction Request Form.*

Destruction of Official Records in electronic format must follow the same approval process as outlined above for the destruction of hard-copy records. Upon approval, electronic records must be destroyed by the Department Records Coordinator(s) (or designee) using methods that permanently delete the records.

The destruction process must include all Duplicate Copies of the Official Record, regardless of which department maintains the duplicates.

Following the destruction of records, the City Clerk (or designee) shall certify that the records have been destroyed. All Certificates of Destruction shall be maintained in the City Clerk's Office.

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01-00-00 CITYWIDE ADMINISTRATIVE FUNCTION (ALL DEPARTMENTS)

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Series Code	Series Name	Description of Documents, As Needed	Office of Record	Special Attributes	Total Retention	® Citations & Legal Basis
01-01-00	Administrative Materials					
01-01-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
01-01-02	Correspondence & Reports - External	Not related to a specific project.	City-wide		CY+2, AR	GC 34090; 2 year minimum requirement Administrative Record, State of California Guidelines
01-01-03	Correspondence & Reports - Internal	Not related to a specific project.	City-wide		CY+2, AR	GC 34090; 2 year minimum requirement Administrative Record, State of California Guidelines
01-01-04	Departmental Goals/Objectives		City-wide		S+2	GC 34090; 2 year minimum requirement Administrative Record, State of California Guidelines recommends retaining for 2 years after superseded.
01-01-05	Administrative Policies & Procedures	Includes personnel rules and regulations, department policies and general administrative policies and procedures.			AE+6	GC 34090; 2 year minimum requirement CIV 343; 4 years to commence action 45 CFR 164.530(j) - maintain docs for 6 years after the date that the policy was last in effect. Administrative Record, State of California Guidelines recommends retaining for 5 years after superseded.
01-01-06	Staff Meetings	Includes informal meeting agendas.	City-wide		EY+2	GC 34090; 2 year minimum requirement Administrative Record, State of California Guidelines
01-01-07	Surveys, Studies & Questionnaires - General City		City-wide		AC+2	GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after completion for general studies and surveys
01-01-08	Supervisor's Personnel Files	Includes supervisor files on employees. File sent to HR after employee separates from the City.	City-wide		ACT+2	Transitory Record; Maintain as long as necessary for current business activities. GC 34090.7; Duplicate information may be destroyed within the 2 year minimum requirement retention requirement. GC 34090; 2 year minimum requirement
01-01-09	Transitory Electronic Communications	Includes e-mails (not converted to a record), social media, calendars, texts and other transitory communications via electronic sources.	City-wide		ACT+2 *	Transitory Record; Maintain as long as necessary for current business activities. GC 34090.7; Duplicate information may be destroyed within the 2 year minimum requirement retention requirement, * however video recording medium cannot be destroyed for at least 90 days after occurrence of event. Duplicates must not be kept longer than the retention life of the original record. GC 34090; 2 year minimum requirement
01-01-10	Public Hearing Notices / Proof of Publication	Includes the notice and the mailing list associated with distribution of the notice.	City-wide		CY+4	GC 34090; 2 year minimum requirement CIV 343; Statutes of limitations, 4 years

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Series Code	Series Name	Description of Documents, As Needed	Office of Record	Special Attributes	Total Retention	® Citations & Legal Basis
01-01-11	Budget Workpapers, Departmental		City-wide		AC+6	GC 34090; 2 years minimum State of California Guidelines; 2 years after audit 26 USC 6531 - Limitation on Criminal Prosecution for fraud/IRS; 6 years SOL Department Preference: Maintain departmental budget workpapers until superseded plus 2 years since information is compiled into the final budget and/or Finance budget workpapers.
01-02-00	Reference Materials					
01-02-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
01-02-02	Chronological Files	Transitory record duplicated for convenience. Original documents retained along with the project or subject file.	City-wide		ACT	GC 34090.7; Duplicate information may be destroyed within the 2 year minimum requirement retention requirement. Duplicates must not be kept longer than the retention life of the original record. Administrative Record, State of California Guidelines
01-02-03	Professional Associations/Organizations		City-wide		CY+2	GC 34090; 2 year minimum requirement Administrative Record, State of California Guidelines
01-02-04	Community Organizations/Foundations		City-wide		CY+2	GC 34090; 2 year minimum requirement Administrative Record, State of California Guidelines
01-02-05	Complaint Files	General complaints to City departments. Does not include claims against the City or formal complaints with the Police Department.	City-wide		AC+7	42 USC 1983; Settlement/resolution of complaint plus 7 years
01-02-06	Mailing Lists	Includes physical and e-mail / electronic mailing lists not associated with public hearing notices.	City-wide		S	Transitory Record; Maintain as long as necessary for current business activities.
01-02-07	Community Information/Events		City-wide		CY+2	GC 34090; 2 year minimum requirement Administrative Record, State of California Guidelines
01-02-08	City-sponsored Events	For events sponsored and put on by the departments.	City-wide		CY+3 *	GC 34090; 2 year minimum requirement 21 CFR 1403.42; 3 years after last payment, * unless litigation, then 3 years after claim is filed/settled. Administrative Record, State of California Guidelines
01-02-09	Historical Information/Events		City-wide	H	P	GC 34090; 2 year minimum requirement Administrative Record, State of California Guidelines Department Preference: Retain permanently for historical value.
01-02-10	Technical Reference		City-wide		ACT *	GC 34090.7; Duplicates and reference materials may be destroyed within the 2 year minimum requirement, * however video recording medium cannot be destroyed for at least 90 days after occurrence of event. Duplicates must not be kept longer than the retention life of the original record.

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Series Code	Series Name	Description of Documents, As Needed	Office of Record	Special Attributes	Total Retention	® Citations & Legal Basis
01-03-00	<u>Materials from Agencies & Other Cities - Non-project Related</u>					
01-03-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
01-03-02	Federal Agencies	Correspondence & reports not attached to contracts, agreements or specific projects. Review annually for content.	City-wide		CY+2, AR	GC 34090; 2 year minimum requirement State of California Guidelines; Administrative Record Department Preference: Maintain general correspondence and reports with agencies for the current year plus 2 years, review annually for relevance to current matters.
01-03-03	State Agencies	Correspondence & reports not attached to contracts, agreements or specific projects. Review annually for content.	City-wide		CY+2, AR	GC 34090; 2 year minimum requirement State of California Guidelines; Administrative Record Department Preference: Maintain general correspondence and reports with agencies for the current year plus 2 years, review annually for relevance to current matters.
01-03-04	Regional/National Agencies	Correspondence & reports not attached to contracts, agreements or specific projects. Review annually for content.	City-wide		CY+2, AR	GC 34090; 2 year minimum requirement State of California Guidelines; Administrative Record Department Preference: Maintain general correspondence and reports with agencies for the current year plus 2 years, review annually for relevance to current matters.
01-03-05	County Agencies	Correspondence & reports not attached to contracts, agreements or specific projects. Review annually for content.	City-wide		CY+2, AR	GC 34090; 2 year minimum requirement State of California Guidelines; Administrative Record Department Preference: Maintain general correspondence and reports with agencies for the current year plus 2 years, review annually for relevance to current matters.
01-03-06	Adjacent Cities	Correspondence & reports not attached to contracts, agreements or specific projects. Review annually for content.	City-wide		CY+2, AR	GC 34090; 2 year minimum requirement State of California Guidelines; Administrative Record Department Preference: Maintain general correspondence and reports with agencies for the current year plus 2 years, review annually for relevance to current matters.
01-03-07	Special Districts	Correspondence & reports not attached to contracts, agreements or specific projects. Review annually for content.	City-wide		CY+2, AR	GC 34090; 2 year minimum requirement State of California Guidelines; Administrative Record Department Preference: Maintain general correspondence and reports with agencies for the current year plus 2 years, review annually for relevance to current matters.

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Series Code	Series Name	Description of Documents, As Needed	Office of Record	Special Attributes	Total Retention	® Citations & Legal Basis
01-04-00	Grant Administration					
01-04-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
01-04-02	Grant Applications & Agreements Working Files	Departments are responsible for maintaining copies of invoices paid toward grants and longer retention term applies, as needed. City Clerk is responsible for the executed grant agreement.	City-wide		AFP+5*	29 CFR 97.36(i)(11); 3 years after final payment 29 CFR 97.42(b); 3 years after final payment 2 CFR 200.334; 3 years after final expenditure report for federal grants 24 CFR 570.502(a)(7)(i)(a); Deeds/CDBG activities, 4 years after closure of loan State of California Guidelines; 5 years after grant closure. * State recommends referring to grant application close-out procedures, if any.
01-04-03	CDBG Grant Applications & Agreements Working Files	Departments are responsible for maintaining copies of invoices paid toward grants and longer retention term applies, as needed. City Clerk is responsible for the executed grant agreement.	City-wide		AFP+5*	29 CFR 97.36(i)(11); 3 years after final payment 29 CFR 97.42(b); 3 years after final payment 2 CFR 200.334; 3 years after final expenditure report for federal grants 24 CFR 570.502(a)(7)(i)(a); Deeds/CDBG activities, 4 years after closure of loan State of California Guidelines; 5 years after grant closure. * State recommends referring to grant application close-out procedures, if any.
01-05-00	Purchasing & Material Acquisition					
01-05-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
01-05-02	Purchase Orders		Purchasing		AFP+4	GC 34090; 2 year minimum requirement CIV 337(2) & (3); Statute of limitations State of California Guidelines; 4 years after audit Department Preference: Maintain purchase orders for 4 years after final payment and close out of the purchase order.
01-05-03	RFPs / RFIs / RFQs	Includes competitive bid quotes. Use BPEXpress for bids in Public Works.	City-wide		AC+5	GC 34090; 2 years minimum CCP 337.1; Statute of limitations of 4 years, or 5 years maximum if patent has deficiency causing delay. State of California Guidelines; 5 years after audit for successful bids. CIV 343; 4 years SOL Department Preference: 5 years after completion of the associated project to support the successful bid.

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01-00-00 CITYWIDE ADMINISTRATIVE FUNCTION (ALL DEPARTMENTS)

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Series Code	Series Name	Description of Documents, As Needed	Office of Record	Special Attributes	Total Retention	® Citations & Legal Basis
01-05-04	Bid Tabulations				CY+4	GC 34090; 2 years minimum CIV 337; Statute of limitations of 4 years State of California Guidelines; 2 years for unsuccessful bids.
01-05-05	Bids - Successful		City-wide		AC+5	GC 34090; 2 years minimum CIV 337.1; Statute of limitations of 4 years, or 5 years maximum if patent has deficiency causing delay. Department Preference: 5 years after completion of project associated with the bid.
01-05-06	Bids - Unsuccessful		City-wide		CY+2	GC 34090; 2 years minimum State of California Guidelines; Current year plus 2 for unsuccessful bids

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02-00-00 CITY CLERK

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Series Code	Series Name	Description of Documents, As Needed	Office of Record	Special Attributes	Total Retention	© Citations & Legal Basis
02-01-00	Clerk Administration					
02-01-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
02-01-02	Public Records Act and Information Requests	Log and requests, correspondence, documentation and responses that require city-wide coordination across departments by the City Clerk.	Clerk		AC+2	GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after completion
02-01-03	Street and Sidewalk Use Permit	Includes oversized transportation and street closure	Clerk		AE+2	GC 34090; 2 years minimum State of California Guidelines; Current year plus 2 years for Temporary Use Permits
02-02-00	City Council					
02-02-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
02-02-02	Agenda Packets	Agenda, affidavits of publication, staff reports, supplemental communications and all other supporting documentation for City Council regular and special meetings.	Clerk		P	GC 34090; 2 year minimum requirement State of California Guidelines; Maintain for the Current Year plus 2 years Department Preference: Maintain agenda packets permanently for reference value and to support the minutes, resolutions and ordinances, per the City Attorney's suggestion.
02-02-03	Ceremonial Items	Includes Mayoral certificates of special commendation, certificates of recognition.	Clerk	H *	CY+2, AR	GC 34090; 2 years minimum * Potential historical content. Review for permanent retention.
02-02-04	Minutes		Clerk	V, H	P	GC 34090e; Minutes of governing bodies, Permanent GC 36814; Maintain record of proceedings GC 40801; Maintain record of proceedings State of California Guidelines; Permanent
02-02-05	Audio Meeting Recordings	Audio recordings deleted after creating the minutes.	Clerk		30 Days	GC 54953.5; 30 days after recording
02-02-06	Mayor & Councilmember Correspondence	General correspondence to or from outside sources not related to an agenda item.	Clerk		CY+2	GC 34090; 2 year minimum requirement Administrative Record, State of California Guidelines
02-02-07	Council Events	Events that councilmembers and/or the mayor may attend or host such as State of the City and volunteer appreciation. Documents may include planning timelines, invitations, program, script, attendance lists, recognition lists, invoices and follow up correspondence.	Clerk	H *	CY+2	GC 34090; 2 year minimum requirement Administrative Record, State of California Guidelines Department Preference: * Review for historical content.

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02-00-00 CITY CLERK

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Series Code	Series Name	Description of Documents, As Needed	Office of Record	Special Attributes	Total Retention	® Citations & Legal Basis
02-03-00	<u>Boards, Commissions & Committees - Membership Materials</u>					
02-03-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
02-03-02	Administrative Files	Training and resource materials, appointment, termination and leave of absence correspondence, and other administrative records.	Clerk		CY+2	GC 34090; 2 year minimum requirement Administrative Record, State of California Guidelines
02-03-03	Appointment History Database	Hosted database includes appointment, service and termination history and contact information.	Clerk		P	Transitory Record: Maintain while actively used by the department or until data is transferred to a new tracking system. GC 34090(e) protects the destruction of the minutes, ordinances, or resolutions of the legislative body/city board/commission. Department Preference: Maintain the appointment history permanently to support the minutes, resolutions and ordinances of the associated legislative body.
02-03-04	Rosters	Reflects current membership. Maintained electronically.	Clerk		P	GC 34090; 2 year minimum requirement Administrative Record, State of California Guidelines Department Preference: Maintain rosters permanently for historical reference.
02-03-05	Recruitment Materials	Includes annual Maddy Act Notices, annual and periodic notices of vacancy, press releases, social media distribution and other vacancy information.	Clerk		CY+2	GC 34090; 2 year minimum requirement Administrative Record, State of California Guidelines
02-03-06	Applications, Appointed	Applications submitted as part of the Council recruitment/interview or Committee appointment process are retained as part of the Council agenda packet. Members not compensated.	Clerk		AT+5	GC 34090; 2 years minimum GC 40801; Maintain record of proceedings State of California Guidelines; 5 years after term of office
02-03-07	Applications, Unsuccessful	Members not compensated.	Clerk		AC+2	GC 34090; 2 year minimum requirement State of California Guidelines; maintain not selected applications for 2 years after completion 2 CCR 11013(c)(2) - Employers should keep Applicant ID records for 2 years from date received. GC 12946; retain applications, records and files for 2 years
02-03-08	Commissioner's Manual		Clerk		S+2	GC 34090; 2 year minimum requirement Administrative Record, State of California Guidelines

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02-00-00 CITY CLERK

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Series Code	Series Name	Description of Documents, As Needed	Office of Record	Special Attributes	Total Retention	® Citations & Legal Basis
02-04-00	Elections Materials					
02-04-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
02-04-02	Municipal Elections (General & Special)	Includes ballot material copies, voter rosters, official precinct materials, correspondence, and election signs, notices and legal publications. Original canvass information and statement of votes from the County Registrar of Voters are approved and incorporated by reference by City Council resolution. City Clerk administrative, research and working files retained for future reference. Certification of votes maintained permanently with the approved resolution.	Clerk		AC+5	EC 17000-1; Affidavits and indexes are 5 years EC 17300; 5 years after election for election rosters EC 17302-6; 6 months after election, if no contest, for election records EC 15551; Destroy unused ballots only after final determination GC 81009; Campaign reports, not including candidate's campaign statements GC 34090.7; Duplicate copies may be destroyed at any time if the City Council has prescribed a procedure for destruction of duplicates per GC 34090.7. Non-records may be destroyed at any time. For all election documents where the State's requirement is permanent, but for which the County maintains the original documents.
02-04-03	Candidate Filing Forms and Nomination Documents, Elected Officials	Elected officials. Submitted in order to qualify for candidacy; includes nomination petition, declaration of candidacy, optional candidate statement, signature and residency verification, consent forms, ballot designation worksheet, optional Code of Fair Campaign Practices declaration, filing checklists and candidate statement receipt. Nomination petitions may be viewed by the public but not copied or distributed.	Clerk		P	GC 34090; 2 year minimum requirement EC 17100; 4 years after term ends GC 81009(b); Original campaign statements of mayors, city council members, county supervisors, and supporting committees shall be retained indefinitely. Original statements of other persons shall be retained for 7 years.
02-04-04	Candidate Filing Forms and Nomination Documents, Unsuccessful Candidates	Unsuccessful candidates.	Clerk		AC+5	GC 34090; 2 year minimum requirement GC 81009(b); Original campaign statements of unelected officials shall be retained for at least 5 years.
02-04-05	Council Sponsored Measures	Ballot Question is approved by Council resolution. Direct arguments for and against measures, and argument rebuttal filer and author are filed with the City Clerk. Does not include charter related measures.	Clerk		AC+7	GC 34460; Indefinite. Maintain copy of charter related documents in archives. EC 17000-1; Affidavits and indexes are 5 years EC 17300; 5 years after election for election rosters EC 17302-6; 6 months after election, if no contest, for election records GC 81009; 7 years for campaign reports, not including candidate's campaign statements (permanent).
02-04-06	Initiative Measures, Referendums & Recall Petitions	Includes petitions with original signatures.	Clerk	C	AC+8M	EC 17200; 8 months after election closes for initiative and referendum petitions. EC 17400; 8 months after election/final examination for election recall petitions.

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02-00-00 CITY CLERK

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Series Code	Series Name	Description of Documents, As Needed	Office of Record	Special Attributes	Total Retention	® Citations & Legal Basis
02-04-07	Council Orientation Materials	Information relating to running for and qualifying for City Council and filing requirements and obligations. Revised and replaced each election.	Clerk		S+2	GC 34090; 2 year minimum requirement Department Preference: Maintain for 2 years after superseded for relevance to subsequent elections.
02-05-00	Fair Political Practices Commission					
02-05-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
02-05-02	Campaign Statements – Elected (Forms 610, 480, 490, 501, 497)	FPPC Campaign Financial Disclosure Statements for Elected officials and candidate controlled and/or committees primarily formed to support or oppose them. Filing obligation exists until committee is terminated. Includes noticing and processing correspondence.	Clerk		P	GC 81009(b); maintain elected indefinitely for mayors, city council members, county supervisors, and supporting committees shall be retained indefinitely. Original statements of other persons shall be retained for 7 years.
02-05-03	Campaign Statements – Unsuccessful (Forms 410, 460, 470, 496/497, 501)	FPPC Campaign Financial Disclosure Statements for unsuccessful candidates for office including committees that directly support or oppose them. Filing obligation exists until committee is terminated. Includes noticing and processing correspondence.	Clerk		AC+5	GC 81009(b); 5 years for unsuccessful candidates
02-05-04	Campaign Statements – Committees (Forms 410, 460, 470, 496/497)	FPPC Campaign Financial Disclosure Statements for general purpose and ballot measure committees. Filing obligation exists until committee is terminated. Includes noticing and processing correspondence.	Clerk		P	GC 81009(b); maintain elected indefinitely for mayors, city council members, county supervisors, and supporting committees shall be retained indefinitely.
02-05-05	Campaign and Form 700 Tracking Database	Hosted system. Tracks noticing, correspondence and filing dates.	Clerk		AC+4	Transitory Record: Maintain while actively used by the department or until data is transferred to a new tracking system. EC 17100(a); 4 year req. after expiration of term for all nomination docs.
02-05-06	Statement of Economic Interests (Form 700) – Elected Officials & 87200 Filers	Mayor, City Councilmembers, Planning Commissioners, City Administrator and City Attorney. Since 5016 Govt. Code Section 87500 filers file electronically with the FPPC. Copies retained on file.	Clerk		AC+7	GC 81009(f); 4 year requirement for copies EC 17100(a); 4 year req. after expiration of term for all nomination docs. Department Preference: Maintain all forms for 7 years per GC 81009(e) for consistency
02-05-07	Statement of Economic Interests (Form 700) – Employees & Commissioners, Consultants as applicable	Positions designated in the City's Conflict of Interest Code file with the City Clerk.	Clerk		AC+7	GC 81009(e); 7 year requirement for originals GC 81009(f); 4 year requirement for copies EC 17100(a); 4 year req. after expiration of term for all nomination docs.
02-05-08	Ethics Training Certifications	Mayor and City Councilmembers are required to file with City Clerk every two years by state law. Also sent to committee and commission members.	Clerk		AC+5	GC 53235.2(b) 5 years
02-05-09	Forms 801, 802 and 806	Gift to Agency Reports (Form 801), Ceremonial Role Events and Tickets (Form 802) and Public Official Appointments (Form 806) as applicable and necessary.	Clerk		AC+7	GC 82015; 7 years for form 803 2 CCR 18944 et. seq.; 7 years for forms 801 and 802 GC 81009(e); 7 year requirement for originals

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Series Code	Series Name	Description of Documents, As Needed	Office of Record	Special Attributes	Total Retention	® Citations & Legal Basis
02-06-00	Records Management					
02-06-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
02-06-02	Electronic Document Management System	Repository for official electronic records.	City-wide		ACT	Transitory Record: Maintain while actively used by the department or until data is transferred to a new tracking system.
02-06-03	Administration	Program planning and policy development research and reference materials.	City-wide		CY+2	GC 34090; 2 year minimum requirement Administrative Record, State of California Guidelines
02-06-04	Retention Schedules & Updates		Clerk		P	GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after superseded Department Preference: Permanent for destruction approvals for tracking purposes and to support public records requests responses.
02-06-05	Destruction Certificates, Destruction Documentation and Department Destruction Logs	Signed certificates indicating final disposition of documents which have met or exceeded approved retention policy guidelines and have been destroyed. Each Department / Division will also maintain a permanent file of destruction certificates and logs subject to annual audits by City Clerk staff.	Clerk		P	GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after superseded Department Preference: Permanent for destruction approvals for destruction tracking purposes and to support public records requests responses.
02-06-06	Records Center Inventories	Index to all permanent and inactive records maintained in offsite storage. Includes reports from Corodata.	Clerk		S+2	GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after superseded
02-06-07	Records Management Manual	Manual of Records Management procedures and policy including instructions and forms. City Clerk will maintain one copy permanently. Departments to maintain current edition only.	Clerk		S+5	GC 34090; 2 year minimum requirement CIV 343; 4 years to commence action Administrative Record, State of California Guidelines recommends retaining for 5 years after superseded.
02-07-00	Business Licensing					
02-07-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
02-07-02	Business License Files	Includes the applications, home occupation permit applications, renewals, customer correspondence and the license.	Clerk		AT+4	GC 34090; 2 year minimum requirement CIV 337; 4 year Statute of limitations State of California Guidelines; 4 years after termination

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03-00-00 CITY MANAGEMENT

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Series Code	Series Name	Description of Documents, As Needed	Office of Record	Special Attributes	Total Retention	® Citations & Legal Basis
03-01-00	City Administrator Materials					
03-01-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
03-01-02	Strategic Planning	Includes goals and planning with department directors.	City Admin		S+2	GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after strategic plan is superseded.
03-02-00	General Information & Administration Technologies					
03-02-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
03-02-02	IT Help Desk	Support database that tracks requests for service and support.	IT		AC+3	Transitory Record: Maintain while actively used by the department or until data is transferred to a new tracking system. CIV 1798.27; 3 years after the disclosure of the accounting or until the record is destroyed.
03-02-03	Technical Network Diagrams	Documents related to network configuration.	IT	C	CY+4	CIV 343; SOL of 4 years State of California Guidelines; Current year plus 4 years for network configuration and diagrams
03-03-00	IT Projects & Licensing Records					
03-03-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
03-03-02	Licenses & Support	Includes software EULA licenses, and maintenance and support agreements. Also may available on the vendor's website.	IT		AC+4	CIV 337(b); Statute of limitations of 4 years CIV 343; Statute of limitations of 4 years 48 CFR 4.703; 3 years after final payment 48 CFR 4.705-1; 4 years after completion for accounting, payroll, purchasing records, et. al.
03-03-03	Process / Users Guides & Training	Includes vendor provided manuals and in-house created how-to guides.	IT		ACT	Transitory Record; Maintain as long as necessary for current business activities. GC 34090.7; Duplicate information may be destroyed within the 2 year minimum requirement retention requirement.
03-03-04	IT Initiated Projects	Projects directly associated with IT and infrastructure management.	IT		AC+2	GC 34090; 2 year minimum requirement State of California Guidelines; Current year plus 2 years for maintenance and operations
03-03-05	IT Supported Projects	Assistance with departments on software acquisition and evaluation.	IT		AC+2	GC 34090; 2 year minimum requirement State of California Guidelines; Current year plus 2 years for maintenance and operations

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03-00-00 CITY MANAGEMENT

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Series Code	Series Name	Description of Documents, As Needed	Office of Record	Special Attributes	Total Retention	© Citations & Legal Basis
03-04-00	Backup and Recovery Plans					
03-04-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
03-04-02	Barracuda Backup System	Provides daily incremental and weekly full backups for servers. System overwrites based on policy.	IT		CM+11	GC 34090.7; Duplicate information may be destroyed within the 2 year minimum requirement retention requirement. Duplicates must not be kept longer than the retention life of the original record. Department Preference: Maintain a 365 day rotating backup set to support retention periods of obsolete records.

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04-00-00 COMMUNICATIONS

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Series Code	Series Name	Description of Documents, As Needed	Office of Record	Special Attributes	Total Retention	® Citations & Legal Basis
04-01-00	Public Communications					
04-01-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
04-01-02	Press Releases		Comms		CY+4	GC 34090; 2 year minimum requirement State of California Guidelines; Current year plus 2 years for press releases. CCP 337; 4 years SOL for liability founded in an instrument in writing CCP 343; 4 years SOL for catch-all claims unrelated to real property
04-01-03	Newsletters, Email	Electronic newsletter produced weekly. Maintained in PDF for retention purposes.	Comms	H *	CY+4	GC 34090; 2 year minimum requirement Administrative Record, State of California Guidelines CCP 337; 4 years SOL for liability founded in an instrument in writing CCP 343; 4 years SOL for catch-all claims unrelated to real property Department Preference: * Review for historical content and maintain permanently, as determined.
04-01-04	News Articles	Primary publication channel and archives are on the City website.	Comms	H *	CY+4	GC 34090; 2 year minimum requirement Administrative Record, State of California Guidelines Department Preference: * Review for historical content and maintain permanently, as determined. CCP 337; 4 years SOL for liability founded in an instrument in writing CCP 343; 4 years SOL for catch-all claims unrelated to real property
04-01-05	Public Relations Information / Handouts / Speeches / Biographies		Comms	H *	CY+4	GC 34090; 2 year minimum requirement State of California Guidelines; Current year plus 2 CCP 337; 4 years SOL for liability founded in an instrument in writing CCP 343; 4 years SOL for catch-all claims unrelated to real property Department Preference: * Review before destruction for potential historical content and reclassification to Historical Information/Events as a permanent record.
04-01-06	Network Schematics	For the broadcast system, cable system and Council chambers audio/video system.	Comms	C	CY+4	CCP 343; SOL of 4 years State of California Guidelines; Current year plus 4 years for network configuration and diagrams

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Series Code	Series Name	Description of Documents, As Needed	Office of Record	Special Attributes	Total Retention	® Citations & Legal Basis
04-02-00	Digital Communications Platforms					
04-02-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
04-02-02	City Website	Website updates are made by department staff as needed. The site does not retain a history of updates or past versions.	Comms		CY+4	GC 34090; 2 year minimum requirement Administrative Record, State of California Guidelines CCP 337; 4 years SOL for liability founded in an instrument in writing CCP 343; 4 years SOL for catch-all claims unrelated to real property
04-02-03	Social Media	Includes Facebook, Instagram, LinkedIn, Nextdoor and other social media platforms. Archived through ArchiveSocial, where available. History and statistics maintained on a spreadsheet.	Comms		CY+4	GC 34090; 2 year minimum requirement Administrative Record, State of California Guidelines CCP 337; 4 years SOL for liability founded in an instrument in writing CCP 343; 4 years SOL for catch-all claims unrelated to real property
04-02-04	Online Engagements	Survey platforms include Typeform, Jotform and OpenGov. Results are stored in the platform and exported to CSV and stored electronically with relevant project files. Started in 2022.	Comms		CY+4	GC 34090; 2 year minimum requirement Administrative Record, State of California Guidelines CCP 337; 4 years SOL for liability founded in an instrument in writing CCP 343; 4 years SOL for catch-all claims unrelated to real property
04-03-00	Media					
04-03-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
04-03-02	Video Recordings - Legislative Bodies	DVD created and 4 copies of the recording maintained for redundancy. Granicus also used for recordings and online distribution. Electronic versions stored on the internal cable playout server, Granicus streaming website and on 3 hard disk drives for redundancy. Recordings prior to 2008 are kept on DVD and VHS media dating back to the 1990s.	Comms		CY+5	GC 54953.5(b); 30 days after recording Department Preference: Maintain video recordings for public convenience and staff reference.
04-03-03	KCOM Productions	News programming, PSAs, City and community events, PUSD sports and theater programming, and other KCOM productions.	Comms	H *	CY+2	GC 34090; 2 year minimum requirement State of California Guidelines; Current year plus 2 Department Preference: * Review before destruction for potential historical content and reclassification to Historical Information/Events as a permanent record.
04-03-04	Media Library	B-roll footage stored electronically on a single SSD drive and partially backed up on City servers.	Comms	H *	ACT	Transitory Record; Maintain as long as necessary for current business activities. Review for historical content and preserve accordingly.

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Series Code	Series Name	Description of Documents, As Needed	Office of Record	Special Attributes	Total Retention	© Citations & Legal Basis
04-03-05	Broadcast Schedules	For KCOM and City broadcasts.	Comms		CY+2	GC 34090; 2 year minimum requirement Administrative Record, State of California Guidelines
04-03-06	Photograph Archives	Stored electronically on a City server.	Comms	H *	ACT	Transitory Record; Maintain as long as necessary for current business activities. Review for historical content and preserve accordingly.
04-03-07	Digital Medial Assets	Includes logos and other digital media assets.	Comms		S+2	GC 34090; 2 year minimum requirement State of California Guidelines; Current year plus 2 Department Preference: Maintain for 2 years after media asset is superseded.

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05-00-00 LEGAL & LEGISLATIVE

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Series Code	Series Name	Description of Documents, As Needed	Office of Record	Special Attributes	Total Retention	® Citations & Legal Basis
05-01-00	<u>Legislative Materials</u>					
05-01-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
02-02-10	Ordinances	Law, statute or regulation enacted by the City Council.	Clerk	V, H	P	GC 34090(e); Permanent for decisions of the City GC 40806; Maintain State of California Guidelines; Permanent
02-02-11	Resolutions	Law, statute or regulation enacted by the City Council and other governing bodies.	Clerk	V, H	P	GC 34090(e); Permanent for decisions of the City State of California Guidelines; Permanent
02-02-12	Municipal Code	Codification and Supplementation of the City's Municipal Code. Maintained in paper form by the City Clerk, and electronically on the City's website.	Clerk	V, H	P	GC 34090(e); Permanent for decisions of the City State of California Guidelines; Permanent
05-01-04	Grand Jury	Responses to routine Grand Jury requests that are sent to all cities in the County.	City Admin		CY+2	GC 34090; 2 year minimum requirement
05-01-07	State & Federal Legislation	Correspondence from the City Administrator supporting or opposing legislation.	Clerk		CY+2	GC 34090; 2 year minimum requirement
05-05-00	<u>City Attorney Records</u>					
05-05-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
05-05-02	Litigation - Case Records	Duplicate of originals on file with the County. Includes City Attorney cases and matters being defended by the City's insurance carrier. General cases High profile cases	City Attorney		AC+10 P	GC 34090; 2 year minimum requirement State of California Guidelines; 7 years after closure for case records; maintain high profile cases permanently. CCP 315; 10 years SOL actions by people for recovery of property
05-05-03	Litigation - Final Settlement	Includes judgements, orders, consent decrees and settlement agreements or any similar such final resolutions of cases requiring ongoing City compliance.	City Attorney		P	GC 34090; 2 year minimum requirement State of California Guidelines; 7 years after closure for case records; maintain high profile cases permanently. Department Preference: Maintain final settlement documents permanently to support actions and the long term nature of settlements.
05-05-04	Subpoenas	Subpoenas for records or property.	Clerk		AC+10	GC 34090; 2 year minimum requirement CCP 315; 10 years SOL actions by people for recovery of property
05-05-05	Closed Session Memoranda		City Attorney		S+2	GC 34090; 2 year minimum requirement Department Preference: Maintain for 2 years after superseded to follow the minimum requirement.

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05-00-00 LEGAL & LEGISLATIVE

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Series Code	Series Name	Description of Documents, As Needed	Office of Record	Special Attributes	Total Retention	® Citations & Legal Basis
05-05-06	Legal Opinions		City Attorney		AC+2 or S+2	GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after superseded Department Preference: Maintain legal opinions for 2 years after the matter is closed or 2 years after superseded, subject depending. The State's guideline is inconsistent with the type of documents.
05-01-00	Risk Management					
05-05-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
05-01-04	Claims Against the City	Intake of claims by the City Clerk and processed through the TPA. City Administrator signs off on the results.	Clerk		AC+6	GC 34090; 2 year minimum requirement 29 USC 1113; 6 years after date of last action, or 3 years after plaintiff had knowledge of breach or violation, whichever comes first. State of California Guideline; 5 years after settlement or closure
05-01-05	Recovery Claims	Claims by the City for damages from another person or entity.	Clerk		AC+6	GC 34090; 2 year minimum requirement 29 USC 1113; 6 years after date of last action, or 3 years after plaintiff had knowledge of breach or violation, whichever comes first. State of California Guideline; 5 years after settlement or closure
05-01-10	Liability Loss Reports		Clerk		CY+5	GC 34090; 2 year minimum requirement 29 CFR 1904.33; maintain OSHA reports for 5 years from the end of the calendar year they relate to. 8 CCR 10102; whichever is longer of the following: 5 years from date of injury; 1 year from date compensation was last provided; upon payment of all compensation due; when audit findings are final. State of California Guideline: 5 years after completed
05-01-11	General City Insurance Policies & Certificates	Includes facilities, auto and other general insurance policies obtained for City activities.	Clerk		P	GC 34090; 2 year minimum requirement State of California Guidelines; Permanent for liability and property insurance
05-08-00	Agreements / Contracts / MOUs					
05-08-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.

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Series Code	Series Name	Description of Documents, As Needed	Office of Record	Special Attributes	Total Retention	® Citations & Legal Basis
05-08-03	Service, Equipment & Supply Agreements	Vendors, product acquisitions, professional service agreements, services, individual employment, professional services and consultants, purchase, leases, licenses and all other general City agreements.	Clerk	V	AC+4	CIV 337.2; Statute of limitations of 4 years CIV 343; Statute of limitations of 4 years 48 CFR 4.703; 3 years after final payment 48 CFR 4.705-1; 4 years after completion for accounting, payroll, purchasing records, et. al.
05-08-04	Infrastructure Agreements	Capital improvement, development, subdivision, franchise, joint powers, mutual aid, labor MOU and other infrastructure related agreements.	Clerk	V	P	GC 34090(a), Real property records, maintain CCP337, 337.1(a), 337.15; Statute of limitations of 4 years CIV 337.2; Statute of limitations of 4 years CIV 343; Statute of limitations of 4 years 48 CFR 4.703; 3 years after final payment 48 CFR 4.705-1; 4 years after completion for accounting, payroll, purchasing records, et. al. H&S 19850; Life of Building, with exceptions. 29 USC 211c; Maintain, indefinite 29 USC 203m; Definitions 29 USC 207g; Definitions State of California Guidelines; Permanent
05-08-06	Grant Agreements		Clerk	V	AFP+5 *	29 CFR 97.36(i)(11); 3 years after final payment 29 CFR 97.42(b); 3 years after final payment 2 CFR 200.334; 3 years after final expenditure report for federal grants 24 CFR 570.502(a)(7)(i)(a); Deeds/CDBG activities, 4 years after closure of loan State of California Guidelines; 5 years after grant closure. * State recommends referring to grant application close-out procedures, if any.
05-05-06	Settlement Agreements		Clerk	V	P	CIV 343; Statute of limitations, general 4 years State of California Guidelines; 5 years after termination for non-capital improvement agreements and contracts Department Preference: Maintain settlement agreements permanently to support the final settlement.
05-05-00	Property Related Records					
05-05-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
05-05-02	Assessment Districts	Prop. 218 proceedings and election materials.	Clerk / Public Works	V	P	GC 34090(a); Permanent for land and property records CIV 338; 3 year statute of limitations State of California Guidelines; Permanent

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Series Code	Series Name	Description of Documents, As Needed	Office of Record	Special Attributes	Total Retention	© Citations & Legal Basis
05-05-03	Assessment District Ballots & Protest Letters		Clerk		AC+2	GC 53753; 2 years after completion for ballots GC 53755; 2 years after completion for protests
05-05-05	Easements, Deeds, Quitclaim Deeds & Grant Deeds		Clerk	V	P	GC 34090(a); Permanent for land and property related documents 24 CFR 1710; Permanent
05-05-07	Right of Way		Public Works	V	P	GC 34090(a); Permanent for land and property related documents 24 CFR 1710; Permanent
05-05-08	Vacations/Abandonments		Plng & Bldg		P	GC 34090(a); Permanent for land and property records. State of California Guidelines; Permanent
05-05-10	Real Property Acquisitions/Dispositions		City-wide		AC+10	GC 34090; 2 years minimum GC 6254; Record disclosure CIV 337.1; 5 years maximum after completion of construction or improvement CIV 337.15; 10 years after completion of construction or improvement 36 CFR 64.11; 3 years after last payment for public property acquisition. State of California Guidelines; Completion expiration plus 10 years for acquisitions.
05-05-11	City-owned Property	Includes the deeds and other backup information on acquisition of City-owned property.	Clerk	V	P	GC 34090(a); Permanent for land and property related documents 24 CFR 1710; Permanent

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Series Code	Series Name	Description of Documents, As Needed	Office of Record	Special Attributes	Total Retention	® Citations & Legal Basis
06-01-00	General Accounting Group					
06-01-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
06-01-02	Caselle Financial Management System	Revver is the backend document storage system.	Finance		ACT	Transitory Record: Maintain while actively used by the department or until data is transferred to a new tracking system.
06-01-03	Journal Entries	As of 2021 all maintained in Caselle. Older reports in paper format.	Finance		AA+6	GC 34090; 2 years minimum State of California Guidelines; 2 years after audit 26 USC 6531; 6 year SOL for offenses arising under internal revenue laws Department Preference: Maintain for 5 years after the annual audit for reference and simplicity in destruction.
06-01-04	Year End Reports	As of 2021 all maintained in Caselle. 2012-2021 electronic copies in Finance network drive. Older reports in paper format.	Finance		AA+6	GC 34090; 2 years minimum State of California Guidelines; 2 years after audit 26 USC 6531; 6 year SOL for offenses arising under internal revenue laws Department Preference: Maintain for 5 years after the annual audit for reference and simplicity in destruction.
06-01-05	Adjustments & Accruals		Finance		AA+6	GC 34090; 2 years minimum State of California Guidelines; 2 years after audit 26 USC 6531; 6 year SOL for offenses arising under internal revenue laws
06-02-00	Accounts Payable					
06-02-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
06-02-02	Invoices	Includes invoices and vendor information. Hardcopy checks, invoices and backup information are maintained before May, 5023.	Finance		AA+6	GC 34090; 2 year minimum requirement State of California Guidelines; 4 years after audit 26 USC 6531; 6 year SOL for offenses arising under internal revenue laws GC 945.6(a)(2) - 6months-2years claims against public entities.
06-02-03	Petty Cash	Includes petty cash requests, receipts, approvals and other backup documentation.	Finance		AA+6	GC 34090; 2 year minimum requirement State of California Guidelines; 4 years after audit 26 USC 6531; 6 year SOL for offenses arising under internal revenue laws

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Series Code	Series Name	Description of Documents, As Needed	Office of Record	Special Attributes	Total Retention	® Citations & Legal Basis
06-02-04	Credit Card Statements	Electronic from the bank.	Finance		AA+6	GC 34090; 2 year minimum requirement CCP 337; Statutes of limitations of 4 years State of California Guidelines; 4 years after audit 26 USC 6531; 6 year SOL for offenses arising under internal revenue laws
06-02-05	W-9 / 1099 Reporting	Also includes 1096 summary forms.	Finance		AA+6	GC 34090; 2 year minimum requirement 26 CFR 31.6001; 4 years after tax return is filed R&T 19530; 3 years after tax return is filed 29 CFR 516.5; Maintain at least 3 years State of California Guidelines; 4 years after audit 26 USC 6531; 6 year SOL for offenses arising under internal revenue laws
06-02-06	Sales Tax Payments	Includes payments on sales taxes due.	Finance		AA+6	GC 34090; 2 year minimum requirement CCP 337; Statutes of limitations of 4 years State of California Guidelines; 4 years after audit 26 USC 6531; 6 year SOL for offenses arising under internal revenue laws
06-02-07	DSA 796 SB 1186	Disability access and education fee. Quarterly report.	Finance		AA+6	GC 34090; 2 year minimum requirement 26 CFR 31.6001; 4 years after tax return is filed R&T 19530; 3 years after tax return is filed 29 CFR 516.5; Maintain at least 3 years State of California Guidelines; 4 years after audit 26 USC 6531; 6 year SOL for offenses arising under internal revenue laws
06-03-00	Accounts Receivable					
06-03-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
06-03-02	Tax Billing Receipts	Includes sales, utility user and other tax billing.	Finance		AA+6	GC 34090; 2 year minimum requirement CCP 338; Statute of limitations, 3 years for action State of California Guidelines; 3 years after audit 26 USC 6531; 6 year SOL for offenses arising under internal revenue laws
06-03-03	Miscellaneous Receivables	May include surplus property disposition and auction receipts.	Finance		AA+6	GC 34090; 2 year minimum requirement CCP 337; Statutes of limitations of 4 years State of California Guidelines; 4 years after audit 26 USC 6531; 6 year SOL for offenses arising under internal revenue laws
06-03-04	Cash Receipts & Deposits	Includes cash, credit cards, credit card receipts, transient occupancy tax receipts and other miscellaneous revenue.	Finance		AA+6	GC 34090; 2 year minimum requirement CCP 337; Statutes of limitations of 4 years State of California Guidelines; 4 years after audit 26 USC 6531; 6 year SOL for offenses arising under internal revenue laws

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Series Code	Series Name	Description of Documents, As Needed	Office of Record	Special Attributes	Total Retention	® Citations & Legal Basis
06-03-05	Trust Accounts	Includes pension, OPEB, police asset seizure, security deposits for facilities and other trust accounts maintained by the City.	Finance		AA+6	GC 34090; 2 year minimum requirement CCP 337; Statutes of limitations of 4 years State of California Guidelines; 4 years after audit 26 USC 6531; 6 year SOL for offenses arising under internal revenue laws
06-03-06	Transfer Taxes		Finance		AA+6	GC 34090; 2 year minimum requirement CCP 338; Statute of limitations, 3 years for action State of California Guidelines; 3 years after audit 26 USC 6531; 6 year SOL for offenses arising under internal revenue laws
06-03-07	Rental Taxes		Finance		AA+6	GC 34090; 2 year minimum requirement CCP 338; Statute of limitations, 3 years for action State of California Guidelines; 3 years after audit 26 USC 6531; 6 year SOL for offenses arising under internal revenue laws
06-04-00	Auditing					
06-04-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
06-04-02	Annual Financial Statements	Submitted to the State by the auditors.	Finance		P	GC 34090; 2 years minimum State of California Guidelines; 7 years after audit 26 USC 6531; 6 year SOL for offenses arising under internal revenue laws Department Preference: Maintain annual financial statements permanently.
06-04-03	Single Audit	Includes the general audit of City financials. Grant funded specifically for a program or subject.	Finance		P	GC 34090; 2 years minimum State of California Guidelines; Permanent
06-04-04	PERS Audits	Based on benefits and payroll information. Performed occasionally.	Finance		P	GC 34090; 2 years minimum State of California Guidelines; Permanent
06-04-05	Auditor's Communications	Auditor correspondence and general information.	Finance		CY+2	GC 34090; 2 year minimum requirement Administrative Record, State of California Guidelines

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Series Code	Series Name	Description of Documents, As Needed	Office of Record	Special Attributes	Total Retention	® Citations & Legal Basis
06-05-00	<u>Banking & Investing</u>					
06-05-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
06-05-02	Bank Statements & Reconciliations	Paper format prior to Caselle. Also maintained by bank.	Finance		AA+6	GC 34090; 2 years minimum 26 CFR 31.6001-1(e)(2); 4 years State of California Guidelines; 5 years after audit 26 USC 6531; 6 year SOL for offenses arising under internal revenue laws
06-05-03	Investments	Broker notices, transaction confirmations, LAIF, endowments and other investment related statements.	Finance		P	GC34090; 2 year minimum requirement CCP 337; Statutes of limitations, 4 years for action State of California Guidelines; Permanent CCP 337.5; 10 years SOL
06-05-04	P&F Pension & City Investment Reports	Management report included in the agenda packet.	Finance		CY+2	GC 34090; 2 year minimum requirement State of California Guidelines; 2 years for management reports
06-05-05	Investment Policy	Presented to Council. Separate policies for trust fund and general City investments.	Finance		S+5	GC 34090; 2 year minimum requirement CIV 343; 4 years to commence action Administrative Record, State of California Guidelines recommends retaining for 5 years after superseded.
06-06-00	<u>Budget</u>					
06-06-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
06-06-02	Approved Budgets	Includes annual and long-term planning budgets.	Finance		P	GC 34090; 2 years minimum State of California Guidelines; 7 years after audit Department Preference: Maintain annual budgets permanently for reference.
06-06-03	Budget Workpapers, Finance	Includes workpapers, forecasts, correspondence and other budget creation related documents maintained by the departments.	Finance		AA+2	GC 34090; 2 years minimum State of California Guidelines; 2 years after audit
06-06-04	Budget Adjustments		Finance		AA+2	GC 34090; 2 years minimum State of California Guidelines; 2 years after audit
06-06-05	Fee Schedule		Finance		S+2	GC 34090; 2 years minimum

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Series Code	Series Name	Description of Documents, As Needed	Office of Record	Special Attributes	Total Retention	® Citations & Legal Basis
06-07-00	Debt Financing					
06-07-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
06-07-02	Bond Issues & Agreements		Finance		P	GC 34090; 2 years minimum GC 43900-43903; Destruction guidelines for bonds CIV 337.5; Statutes of limitations FC 30210; Maintain State of California Guidelines; Permanent for bond issues.
06-07-03	Bond Statements & Reports	Includes official statements, arbitrage, annual statements, bond disclosure, bond pay-offs, bond convenance and cash/surety bonds.	Finance		AFP+10	GC 34090; 2 years minimum GC 43900-43903; Destruction guidelines for bonds CIV 337.5; Statutes of limitations FC 30210; Maintain State of California Guidelines; 10 years after closure/expiration
06-07-04	Assessment Tax Pass-throughs	City collects the tax and forwards the funds through to the debtor. Includes a record of the pass-through and reports from the parcel assessors (NPS). Receipts related to the bonds.	Finance		AFP+10	GC 34090; 2 years minimum GC 43900-43903; Destruction guidelines for bonds CIV 337.5; Statutes of limitations FC 30210; Maintain State of California Guidelines; 10 years after closure/expiration
06-08-00	Financial Reporting					
06-08-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
06-08-02	State Controllers Reports		Finance		P	GC 34090; 2 years minimum State of California Guidelines; Permanent
06-08-03	Annual Street Reports - SCO		Finance		P	GC 34090; 2 year minimum requirement State of California Guidelines; Permanent
06-08-04	Gas Tax Reports	Includes reports on fuel and depreciation for fleet vehicles. Goes to the State Controller, MPC and the federal government.	Finance		AA+5	GC 34090; 2 year minimum requirement 29 USC 436; 5 years 26 CFR 31.6001; 4 years after tax return is filed R&T 19530; 3 years after tax return is filed 29 CFR 516.5; Maintain at least 3 years State of California Guidelines; 4 years after audit
06-08-05	Sales Tax Reports	Reported to the BOE electronically and printed for reference.	Finance		AA+5	GC 34090; 2 year minimum requirement 29 USC 436; 5 years 26 CFR 31.6001; 4 years after tax return is filed R&T 19530; 3 years after tax return is filed 29 CFR 516.5; Maintain at least 3 years State of California Guidelines; 4 years after audit

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Series Code	Series Name	Description of Documents, As Needed	Office of Record	Special Attributes	Total Retention	® Citations & Legal Basis
06-09-00	<u>Fixed Assets</u>					
06-09-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
06-09-02	Capital Assets	As of 2021 all maintained in Caselle. Includes the depreciation schedule spreadsheet, backup documentation, ownership slips, auctions for disposition and other asset information.	Finance		AA+4	GC 34090; 2 year minimum requirement State of California Guidelines; 4 years after audit Department Preference: Maintain depreciation schedules for 4 years after the annual audit to follow retention asset inventories.
06-09-03	Fixed Asset Inventory		Finance		AC+10	GC 34090; 2 year minimum requirement State of California Guidelines; 4 years after audit for fixed asset inventories, no specific retention for depreciation schedules. CCP 337.15 - SOL 10 years to recover damages from a person who develops real property or performs/furnishes improvement to real property.
06-09-04	Vehicle Pink Slips	Maintained in a vault.	Finance		L+2	GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after the life of the vehicle
06-10-00	<u>Payroll</u>					
06-10-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
06-10-02	Employee Time Sheets	Entered into Caselle by each employee from 2021 forward. Prior to 2021 maintained in paper format.	Finance		AA+6	GC 34090; 2 year minimum requirement 29 CFR 516.2; Maintain 29 CFR 516.6; 2 years R&T 19530; 3 years after tax return due R&T 19704; 6 year statute of limitations LC 1174; 2 years after pay period 26 CFR 31.6001-1; 4 years after tax return due 29 USC 255(a); 2 to 3 years statute of limitations for minimum wages State of California Guidelines; 6 years after audit

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Series Code	Series Name	Description of Documents, As Needed	Office of Record	Special Attributes	Total Retention	® Citations & Legal Basis
06-10-03	Employee Payroll Files	Includes withholding orders, new hire paperwork, enrollments, retirement system, banking information, requests, benefit enrollment forms (separated), one-off payroll items, W-4s, DE-4s and other payroll related documents for the individual employee. Physical records.		C	AS+6	GC 34090; 2 year minimum requirement 29 CFR 516.2; Maintain 29 CFR 516.6; 2 years R&T 19530; 3 years after tax return due R&T 19704; 6 year statute of limitations LC 1174; 2 years after pay period 26 CFR 31.6001-1; 4 years after tax return due 29 USC 255(a); 2 to 3 years statute of limitations for minimum wages State of California Guidelines; 6 years after audit
06-10-04	Payroll Registers	Includes the register, workers compensation payments, check registers, paystubs for manual checks, leave accruals, journal entries, wire transfers, contractual increases by bargaining unit, time sheet summaries, health insurance and benefit changes, tax tables and other payroll processing documents. Downloaded copy produced from Caselle maintained on the shared drive.	Finance	C	P	GC 34090; 2 years minimum GC 12946; 4 years after termination 29 CFR 516.2-6; 4 years after tax return filing 29 CFR 1627; 3 years State of California Guidelines; Permanent
06-10-05	Payroll Accounts Payable	Support the payroll process and benefit payments. Physical format.	Finance		AA+4	GC 34090; 2 year minimum requirement State of California Guidelines; 4 years after audit
06-10-06	PERS Retirement Reports	Employer contribution reports and circulars. Physical format.	Finance		P	GC 34090; 2 year minimum requirement GC 12946; 4 years after submission or creation 29 CFR 1627.3(b)(2) EEOC/ADEA requires 1 year after benefit plan termination State of California Guidelines; Permanent for PERS working documents, 4 years after termination for employee deduction reports.
06-10-07	Quarterly Returns	Includes Form 961, DE9 and other quarterly returns. Physical format printed from compiled documents on the shared drive.	Finance		AA+10	GC 34090; 2 year minimum requirement 29 USC 436; 5 years 26 CFR 31.6001; 4 years after tax return is filed R&T 19530; 3 years after tax return is filed R&T 19704; 6 year statute of limitations 29 CFR 516.2-6; Maintain at least 3 years State of California Guidelines; 4 years after audit CCP 337.5 - 10 years SOL
06-10-08	W-2s / W-2 Reporting	Electronically on the shared drive.	Finance	C	AA+6	GC 34090; 2 year minimum requirement 29 USC 436; 5 years 26 CFR 31.6001; 4 years after tax return is filed R&T 19530; 3 years after tax return is filed R&T 19704; 6 year statute of limitations 29 CFR 516.2-6; Maintain at least 3 years 26 USC 6531; 6 year SOL for offenses arising under internal revenue laws State of California Guidelines; 4 years after audit

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07-00-00 HUMAN RESOURCES

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Series Code	Series Name	Description of Documents, As Needed	Office of Record	Special Attributes	Total Retention	® Citations & Legal Basis
07-01-00	Personnel Files					
07-01-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
07-01-02	Personnel Files	Includes Personnel Action Forms, original application, training certificates, DOJ fingerprinting, pre-employment physicals and other background checks, educational certifications, performance evaluations, disciplinary actions not related to internal investigations, EDD claims, I-9 form copies, employment contracts / agreements (not including union negotiations and resulting contracts/agreements), fingerprints and miscellaneous communications.	HR	C, V	AS+6	29 CFR 1627.3 - 4; 3 years after termination 29 CFR 1602.30 - 32; 2 - 3 years after termination 29 CFR 516.5 - 6; 3 years after action 29 USC 1113; 6 years after date of last action GC 12946; 4 years after termination or action State of California Guidelines; 3 years after termination 8 CCR 14300.33; save Cal/OSHA Form for 5 years following the end of the calendar year that those records cover.
07-01-03	Employee Medical Files	FMLA, exposure, doctor's notes, vaccination records and other medical information.	HR	C	AS+30	8 CCR 15400; Maintain reports LC 90 - 139.6; 5 years for auditing LC 6410; OSHA, maintain 29 CFR 1627.3(b)(1); 1 year from action 29 CFR 1910.1020; 30 years after employee termination State of California Guidelines; 30 after completion/closure 8 CCR 3204(d); Termination+30 years
07-01-04	Covid-19 Vaccination Forms	Separated by year.	HR		AS+30	GC 34090; 2 year minimum requirement CCP 335.1; 2 years for action on injuries caused by neglect. Department Preference: Maintain vaccination forms for 30 years after the employee separates from the City to match retention for medical records, per the City Attorney's suggestion.
07-01-05	Leave Requests	Includes routine and sick leave requests, and forms completed by the employee to request paid sick leave for Covid infections. Separated by year.	HR	C	AS+30	GC 34090; 2 year minimum requirement GC 12946; 4 years after completion Department Preference: Maintain leave request forms for 30 years after the employee separates from the City to match retention for medical records, per the City Attorney's suggestion.

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Series Code	Series Name	Description of Documents, As Needed	Office of Record	Special Attributes	Total Retention	® Citations & Legal Basis
07-01-06	I-9 Forms - Full Time Employees	Maintained in a binder with a copy in the personnel file and in HireForms online system. Contains personal information.	HR	C	AS+3 *	GC 7920.000 PRA, release of confidential information 29 CFR 1602.14; 1 year after position filled 29 CFR 1607; Maintain 29 CFR 1627.3(b)(1); 1 year from action 29 USC 211c; Maintain, no retention period stated USCIS Form I-9; * Maintain for 3 years after completion or 1 year after employment is terminated, whichever is longer.
07-02-00	<u>Personnel Management</u>					
07-02-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
07-02-02	Job Descriptions	Maintained electronically.	HR		S+2	GC 34090; 2 year minimum requirement Department Preference: Maintain job description for 2 years after superseded to meet the minimum requirement and method of managing the documents.
07-02-03	Salary Schedule	Specific for each job and broken down by bargaining unit maintained electronically.	HR		CY+5	GC 34090; 2 year minimum requirement GC 12946; 4 years after completion/position filled 29 CFR 516.6(2); 2 years for wage rate tables, etc. 2 CCR 570.5; 5 years for pay schedules and special compensation records 29 CFR 1602.14; 1 year after action/change State of California Guidelines; Retain records for the current year they are drafted, plus two additional years.
07-02-04	Classification & Compensation	Includes salary surveys, reclassifications and other compensation related documents maintained electronically.	HR		CY+5	GC 34090; 2 year minimum requirement GC 12946; 4 years after completion/position filled 29 CFR 516.6(2); 2 years for wage rate tables, etc. 2 CCR 570.5; 5 years for pay schedules and special compensation records 29 CFR 1602.14; 1 year after action/change State of California Guidelines; Retain records for the current year they are drafted, plus two additional years.

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Series Code	Series Name	Description of Documents, As Needed	Office of Record	Special Attributes	Total Retention	® Citations & Legal Basis
07-02-05	EEOC Claims	Includes EEO, CRD and internal complaints. Paper files. Hired employees, non-sworn: Hired employees, sworn: Applicants who filed a complaint:	HR		AS+2 AS+5 AC+2	GC 34090; 2 year minimum requirement GC 12946; Upon expiration of statute of limitations or until resolved 29 CFR 1602.14; 1 year after action/change 29 USC 211c; Maintain, indefinite 29 USC 203m; Definitions 29 USC 207g; Definitions State of California Guidelines; 2 years after termination for general employees, 5 years after termination for safety employees
07-02-06	Employee Complaints	Paper files. Including harassment complaints.	HR	C	AS+6	GC 34090; 2 year minimum requirement GC 12946; Upon expiration of statute of limitations or until resolved 29 CFR 1602.14; 1 year after action/change 29 USC 211c; Maintain, indefinite 29 USC 203m; Definitions 29 USC 207g; Definitions State of California Guidelines; 2 years after termination for general employees, 5 years after termination for safety employees Department Preference: Maintain complaints for 6 years after employee separates from the City, per City Attorney's suggestion.
07-02-07	Benefit Guides & Handouts	Includes the benefits guide and plan handouts given to employees for medical, dental, vision, flexible benefits, short & long term disability, life insurance, deferred compensation, employee assistance program and other benefit plans.	HR		S+6	GC 34090; 2 year minimum requirement GC 12946; 4 years after submission or creation 29 CFR 1627.3(b)(2) EEOC/ADEA requires 1 year after benefit plan termination State of California Guidelines; 2 years after action 29 USC 1113; 6 years SOL for action re fiduciary's breach 29 USC 1451; 6 years SOL for civil actions by employer, plan participant, beneficiary or plan fiduciary
07-02-08	Benefit Master Plans	Includes policies, renewals, rates and other plan documents.	HR		S+6	GC 34090; 2 year minimum requirement GC 12946; 4 years after submission or creation 29 CFR 1627.3(b)(2) EEOC/ADEA requires 1 year after benefit plan termination State of California Guidelines; 2 years after action 29 USC 1113; 6 years SOL for action re fiduciary's breach 29 USC 1451; 6 years SOL for civil actions by employer, plan participant, beneficiary or plan fiduciary
07-03-00	Personnel Recruitment Records					

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Series Code	Series Name	Description of Documents, As Needed	Office of Record	Special Attributes	Total Retention	® Citations & Legal Basis
07-03-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
07-03-02	Recruitment File	Files include announcements, rating materials and eligibility lists. Applications and rejection letters managed in Caselle Hire.	HR		AC+4	GC 12946; 4 years after completion/position filled 29 CFR 1602.14; 1 year after position filled 29 CFR 1627.3; 1 year after position filled State of California Guidelines; 3 years after completion/position filled
07-03-03	Background Check Information, Public Safety & Non-Hired Candidates	Includes DOJ fingerprinting, verified education, references, credit check, drug screening, pre-employment physicals and other background checks for public safety and non-hired candidates. Hired non-safety and safety sensitive employee background checks maintained in the personnel file. Public Safety: Non-Hired Candidates:	HR	C	P AC+4	GC 34090; 2 year minimum requirement PC 832.5; 5 years for officer complaints State of California Guidelines; 3 years after termination/separation for hired general employees, Permanent for hired Safety Personnel; 2 years after position closes for Safety Personnel not hired.
07-04-00	Safety & Training Records					
07-04-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
07-04-02	Injury & Illness Prevention Plan	Workers compensation policy and general safety information.	HR		S+5	GC 34090; 2 year minimum requirement, 8 CCR 3204; 1 year for IIPP training records State of California Guideline: 5 years after superseded or expired
07-04-03	Safety & Employee Training Programs	Sign-in sheets, handouts, consultant training programs, tailgate meetings and other program information for general employee training and lunchtime workshops. HR tracks training in a spreadsheet separated by year for AB1825 training. Does not include Police or Fire training.	City-wide		CY+7	GC 34090; 2 year minimum requirement 29 CFR 1627.3(b); 1 year for training records GC 12946; 4 years after termination GC 7920.000; PRA, confidential record status State of California Guidelines; Current year plus 7 years for non-safety training records. Current year plus 2 years for certificates and designations training.

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07-04-04	Random Drug Pulls - DOT	Records of inspection, maintenance, and calibration of EBTs Records of negative and cancelled drug test results and alcohol test results with a concentration of less than 0.02 Records of alcohol test results indicating an alcohol concentration of 0.02 or greater; records of verified positive drug test results; documentation of refusals to take required alcohol and/or drug tests (including substituted or adulterated drug test results); SAP reports; and all follow-up tests and schedules for follow-up tests. All filed by year completed.	HR	C	CY+2 CY+1 CY+5	49 CFR 40.333; 1 to 5 years depending upon document type. All documents must be maintain in a secured area.
07-04-05	DMV Pull Notice Program	Maintained in a binder. Superseded annually by the DMV.	HR	C	S	VC 1808.1; must pull record at least every 12 months
07-04-06	BIT Audits	Annual CHP audit of BIT records. Review drivers licenses, drug pull records, driver training and medical records for drivers.	HR		CY+2	GC 34090; 2 year minimum requirement VC 3450.12; maintain inspection reports for at least 2 years. 25 month inspection period.
07-04-07	Workplace Evaluations	Performed by the risk management TPA for ergonomic evaluations. Reports maintained by HR.	HR		CY+2	GC 34090; 2 year minimum requirement State of California Guidelines; Current year plus 2 years for employee statistics, benefit activity and liability loss reports. 29 CFR 1602.14 - 1 year after date created.
07-04-08	Injury Reports	Non-workers compensation related incidents, which are maintained by HR. Workers compensation related injury reports maintained in the claim file.	HR		AS+30 *	GC 34090; 2 year minimum requirement 42 USC 1983; Definitions 29 CFR 1904.2-7; OSHA recordkeeping GC 25105.5; 5 years after closure/completion 29 USC 1113; 6 years after date of last action, or 3 years after plaintiff had knowledge of breach or violation, whichever comes first. US - 29 CFR 1910.1020- employee exposure and medical records should be maintained for duration of employment, plus 30 years. * Records of one-time treatment of minor scratches, cuts, burns, which do not involve medical treatment, loss of consciousness, or restriction of work do not need to be maintained for any specific period of time. GC 910 - 913; 6 months to 1 year after event occurs. State of California Guideline; 7 years after settlement or closure

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Series Code	Series Name	Description of Documents, As Needed	Office of Record	Special Attributes	Total Retention	® Citations & Legal Basis
07-04-09	Workplace Violence Prevention Training		HR		CY+5	GC 34090; 2 year minimum requirement LAB 6401.9; 5 year retention for workplace violence training 29 CFR 1627.3(b); 1 year for training records GC 12946; 4 years after termination
07-05-00	Worker's Compensation Records					
07-05-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
07-05-02	Workers Compensation Claims	Includes copies of information from the TPA on the employee claim.	HR	C	P	8 CCR 15400; Maintain reports 8 CCR 15400.2; 5 years 8 CCR 10102; 5 years LC 129(a); 5 years for auditing 29 CFR 1910.1020; 30 years after employee termination State of California Guidelines; 30 after completion / closure 8 CCR 3204(d); Termination+30 years State of California Guidelines; Permanent for workers compensation working files (claim files, reports, incidents). Originals filed with third party administrator.
07-05-03	OSHA 300 Reports & Logs	Maintained electronically on the shared drive.	HR		CY+5	GC 34090; 2 year minimum requirement 29 CFR 1904.33; 5 years for OSHA reports 8 CCR 14300.33; 5 years for OSHA 300 reports 8 CCR 10102; 5 years from date of injury State of California Guideline: 5 years after completed
07-05-04	Workers Compensation Loss Run Reports	Monthly reports in paper and electronically.	HR		CY+5	8 CCR 15400; Maintain reports 8 CCR 15400.2; 5 years 8 CCR 10102; 5 years LC 129(a); 5 years for auditing State of California Guidelines; State recommends Permanent retention, but no relevant statues; Risk Management Reports (including Loss Analysis Reports) are 5 years after completion/closure. 26 USC 6531; 6 year SOL for offenses arising under internal revenue laws

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07-06-00	CalPERS Records					
07-06-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
07-06-02	Plan Contracts & Plan Amendments	Accessible electronically on the myCalPERS website. Original hardcopy maintained by the City Clerk.	Clerk		P	GC 34090; 2 year minimum requirement GC 12946; 4 years after submission or creation 29 CFR 1627.3(b)(2) EEOC/ADEA requires 1 year after benefit plan termination State of California Guidelines; Permanent for PERS documents
07-06-03	Rate Changes	Supplied by PERS for rate changes. Accessible electronically on the myCalPERS website.	HR		P	GC 34090; 2 year minimum requirement GC 12946; 4 years after submission or creation 29 CFR 1627.3(b)(2) EEOC/ADEA requires 1 year after benefit plan termination State of California Guidelines; Permanent for PERS documents
07-06-04	Valuation Reports	Supplied by PERS for rate changes. Accessible electronically on the myCalPERS website.	Finance		P	GC 34090; 2 year minimum requirement GC 12946; 4 years after submission or creation 29 CFR 1627.3(b)(2) EEOC/ADEA requires 1 year after benefit plan termination State of California Guidelines; Permanent for PERS documents
07-07-00	Labor Relations Records					
07-07-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
07-07-02	Union Representatives / Organizations	Includes correspondence and reviews with labor organizations. Does not include negotiation information.	HR		CY+2, AR	GC 34090; 2 year minimum requirement Department Preference: Maintain correspondence and communications for the current year plus 2 years. Review annually for relevant content.
07-07-03	Negotiations		HR		P	29 USC 211c; Maintain, indefinite 29 USC 203m; Definitions 29 USC 207g; Definitions State of California Guidelines; Permanent
07-07-04	Memorandums of Understanding	Includes management / confidential resolution.	HR		P	29 USC 211c; Maintain, indefinite 29 CFR 516.5(b); 3 years State of California Guidelines; Recommend Permanent retention without relevant statutes or regulations cited.

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Series Code	Series Name	Description of Documents, As Needed	Office of Record	Special Attributes	Total Retention	® Citations & Legal Basis
07-07-05	Grievances	Hired employees, non-sworn: Hired employees, sworn: MOU grievances not related to an individual employee:	HR		AS+2 AS+5 AC+2	GC 34090; 2 year minimum requirement GC 12946; Upon expiration of statute of limitations or until resolved 29 CFR 1602.14; 1 year after action/change 29 USC 211c; Maintain, indefinite 29 USC 203m; Definitions 29 USC 207g; Definitions State of California Guidelines; 2 years after termination for general employees, 5 years after termination for safety employees
07-07-06	Appeals	Appeals based on grievances, disciplinary actions or other labor relations issues. May include Skelly hearings. Hired employees, non-sworn: Hired employees, sworn:	HR		AS+2 AS+5	GC 34090; 2 year minimum requirement GC 12946; Upon expiration of statute of limitations or until resolved 29 CFR 1602.14; 1 year after action/change State of California Guidelines; 2 years after termination for general employees, 5 years after termination for safety employees

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08-00-00 PLANNING & BUILDING

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Series Code	Series Name	Description of Documents, As Needed	Office of Record	Special Attributes	Total Retention	® Citations & Legal Basis
08-01-00	Administration					
08-01-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
08-01-02	TrakIT	Process management system. Documents attached to projects.	Admin		ACT	Transitory Record: Maintain while actively used by the department or until data is transferred to a new tracking system.
08-01-03	On-Call Consultants	Includes copies of agreements, contact information, correspondence.	Admin		AC+2	GC 34090; 2 year minimum requirement Administrative Record, State of California Guidelines Department Preference: Maintain contract backup information for 2 years after the contract is closed or project complete.
08-01-04	Fee Reports	Compliance reports sent to the State regarding SB1473 and Strong Motion Instrumentation & Seismic Hazardous Mapping (SMIP).	Admin		CY+2	GC 34090; 2 year minimum requirement State of California Guidelines; Current year plus 2 years for activity or periodic development reports
08-02-00	Applications & Projects					
08-02-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
08-02-02	Land Use Applications & Permits, Approved	Includes variances, use permits, sign permits, tract and parcel maps, zoning, development and other real property applications and permits.	Plng & Bldg		P	GC 34090(a); Real property records, maintain Permanently GC 4003, 4004; Maintain costs, records and plans H&S 19850; Building plans - Life of Building, with exceptions State of California Guidelines; Permanent CCP 337.15; 10 years SOL
08-02-03	Land Use Applications & Permits, Denied / Withdrawn / Expired	Includes any applications and permits denied, withdrawn or expired.	Plng & Bldg		CY+2	GC 34090; 2 year minimum requirement
08-02-04	House Files	Projects for building, code enforcement, minor design reviews and other documents not related to a permit. May include building permits, planning permits correspondence and other documents not related to a project.	Plng & Bldg		P	GC 34090(a); Real property records, maintain Permanently GC 4003, 4004; Maintain costs, records and plans H&S 19850; Building plans - Life of Building, with exceptions State of California Guidelines; Permanent
08-02-05	Housing Records Searches	Used for property sales showing permit history.	Plng & Bldg		CY+2	GC 34090; 2 year minimum requirement Administrative Record, State of California Guidelines

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Series Code	Series Name	Description of Documents, As Needed	Office of Record	Special Attributes	Total Retention	® Citations & Legal Basis
08-03-00	Advanced Planning					
08-03-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
08-03-02	General Plan & Plan Amendments	Includes elements.	Plng	V	P	GC 34090(a); Real property records, maintain State of California Guidelines; Permanent
08-03-03	Zoning Map & Ordinance Amendments		Plng	V	P	GC 34090(a); Real property records, maintain State of California Guidelines; Permanent
08-03-04	Specific Plans		Plng		P	H&S 19850; Building plans - Life of Building, with exceptions State of California Guidelines; Permanent
08-03-05	Transportation Plans	Includes bicycle and pedestrian planning.	Plng		S+2	GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after master plan is superseded.
08-03-06	Climate Action / Sustainability Plans	Includes research and data.	Plng		S+2	GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after master plan is superseded.
08-03-07	Hazard Mitigation Plans		Plng		S+2	GC 34090; 2 year minimum requirement 22 CCR 66262.40; 3 years retain record of signed manifest 22 CCR 66263.22; for 3 years the transporter of hazardous waste shall sign and keep copy of the manifest signed by generator/owner/operator of facility CCP 338.1; 5 years SOL civil penalties for certain hazardous waste State of California Guidelines: Current year plus 2 years, with caveat recommendation of permanent for environmentally sensitive documents. Department Preference: Maintain hazard mitigation plans for 2 years after superseded since plans are updated and replaced every 5 years.
08-03-08	Design Standards & Guidelines	Internally created standards and guidelines.	Plng		S+5	GC 34090; 2 year minimum requirement CIV 343; 4 years to commence action Administrative Record, State of California Guidelines recommends retaining for 5 years after superseded.

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Series Code	Series Name	Description of Documents, As Needed	Office of Record	Special Attributes	Total Retention	® Citations & Legal Basis
08-03-09	Annual Housing Progress Reports	Required reports for compliance with state policies on reporting regarding the General Plan and Housing Element.	Plng		AC+8	GC 34090; 2 year minimum requirement State of California Guidelines; Current year plus 2 years for activity or periodic development reports 24 CFR 92.508; all records pertaining to fiscal year of HOME funds must be retained for the most recent 5 year period with some exceptions Department Preference: Maintain progress reports for 8 years after completion to support the Housing Element, per City Attorney's advice.
08-03-10	Greenhouse Emissions Reports	Required reports for compliance with state policies on reporting.	Plng		P	GC 34090; 2 year minimum requirement State of California Guidelines: Current year plus 2 years, with caveat recommendation of permanent for environmentally sensitive documents.
08-04-00	Code Enforcement Records					
08-04-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
08-04-02	Code Violations	Includes warning letters, notice of correction, liens and other code enforcement information.	Code		AC+2	GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after correction/completion.
08-04-03	Administrative Appeals	Appeals for code enforcement violations.	Code		AC+2	GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after correction/completion.
08-05-00	Ongoing Sustainability Programs					
08-05-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
08-05-02	Rebate Applications & Information	Includes resident applications, waivers, and other documents related to Piedmont's Electrification Rebate Program.	Plng & Bldg		CY+2	GC 34090; 2 year minimum requirement CIV 335.1; 2 years for action on injuries caused by neglect. State of California Guidelines; 2 years plus the current year.
08-05-03	Induction Cooktop	Include waivers, tracking sheets, and other reporting.	Plng & Bldg		CY+2	GC 34090; 2 year minimum requirement CIV 335.1; 2 years for action on injuries caused by neglect. State of California Guidelines; 2 years plus the current year.
08-06-00	Awards					

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Series Code	Series Name	Description of Documents, As Needed	Office of Record	Special Attributes	Total Retention	® Citations & Legal Basis
08-06-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
08-06-02	Sustainability Awards	Includes profiles, candidate evaluations, and communications	Plng & Bldg	H	P	GC 34090; 2 year minimum requirement Department Preference: Maintain awards permanently for the history of awardees and related photographs.
08-06-03	Beacon Program	Includes award submissions, reports, and public communications.	Plng & Bldg		CY+2	GC 34090; 2 year minimum requirement
08-07-00	General Sustainability Communications & Engagement					
08-07-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
08-07-02	Annual Events	Includes documents and engagement & communications materials developed for tabling events, Bike to Wherever Day, and Earth Month/Day.	Plng & Bldg		AC+2	GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after completion of the event
08-07-03	Piedmont Post Articles	Includes Climate Corner articles.	Plng & Bldg	H *	CY+2, AR	GC 34090; 2 year minimum requirement Administrative Record, State of California Guidelines Department Preference: * Review for historical content and maintain permanently, as determined.
08-07-04	Informational posters/collateral	Include materials developed by or distributed by the City.	Plng & Bldg		CY+2	GC 34090; 2 year minimum requirement State of California Guidelines; Current year plus 2 years
08-08-00	Planning Commission					
08-08-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
08-08-02	Agenda Packet, First Packet	Includes agendas, meeting notices and staff reports.	Admin		P	GC 34090; 2 year minimum requirement State of California Guidelines; Maintain for the Current Year plus 2 years Department Preference: Maintain agenda packets permanently for reference value and to support the minutes, resolutions and ordinances, per City Attorney advice.

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08-08-03	Agenda Packet, Second Packet	Includes public comments.	Admin		P	GC 34090; 2 year minimum requirement State of California Guidelines; Maintain for the Current Year plus 2 years Department Preference: Maintain agenda packets permanently for reference value and to support the minutes, resolutions and ordinances, per City Attorney advice.
08-08-04	Minutes & Resolutions		Admin	V, H	P	GC 34090(e); Minutes of governing bodies, Permanent GC 36814; Maintain record of proceedings GC 40801; Maintain record of proceedings GC 40806; Maintain State of California Guidelines; Permanent
08-08-05	Meeting Recordings		Admin		30 Days	GC 54953.5; 30 days after recording
08-09-00	Limited Term Committees & Task Forces					
08-09-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
08-09-02	Agenda Packet	Includes agenda bills and staff reports.	Admin		P	GC 34090; 2 year minimum requirement State of California Guidelines; Maintain for the Current Year plus 2 years Department Preference: Maintain agenda packets permanently for reference value and to support the minutes, resolutions and ordinances, per City Attorney's advice.
08-09-03	Minutes		Admin	V, H	P	GC 34090(e); Minutes of governing bodies, Permanent GC 36814; Maintain record of proceedings GC 40801; Maintain record of proceedings State of California Guidelines; Permanent

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09-01-00	Public Works Administration					
09-01-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
09-01-02	Annual Reports	BAAQMD, Alameda County Dept of Environmental Health (HMBP & Coach's Field), Dept of Toxic Substance Control (HazMat), ARB Diesel Off-road Online Reporting System, CalBAR, fuel tax reports (monthly UST inspections and annual reports to the County), and other annual reports.	Admin		AC+7	GC 34090; 2 year minimum requirement CCP338(k); 6 year statute of limitations for air quality records State of California Guidelines; Current year plus 7 years for AQMD records
09-02-00	Engineering					
09-02-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
09-02-02	Geotechnical & Soils Reports		Eng		P	GC 34090(a); Permanent for land related documents State of California Guidelines; Permanent for soils reports.
09-02-03	Surveys & Studies - General	Includes overarching studies that are not project development or specific.	Eng		AC+2	GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after completion for general studies and surveys
09-02-04	GIS / Mapping	Includes trees, street signs, red curbs, striping, trash cans, truck routes, circulation maps and other City facilities. Hosted on the GIS web server.	Eng		ACT +2	Transitory Record: Maintain while actively used by the department or until data is transferred to a new tracking system. GC 34090; 2 years minimum requirement HSC 19850; building dept shall maintain a copy of the plans for every building during the life of the building.
09-02-05	Infrastructure Maps	Maps for storm drains, lighting, utilities and other infrastructure maps. Older maps no longer accurate but maintained for historical purposes.	Eng		P	GC 34090(a); Real property records, maintain GC 4003, 4004; Maintain H&S 19850; Building Plans - Life of Building, with exceptions CIV 337.15; 10 years State of California Guidelines; Permanent
09-02-06	Encroachment Permits - Temporary	For traffic control, temporary street encroachments and other temporary permits.	Eng		AC+10	GC 34090; 2 year minimum requirement State of California Guidelines; Current Year plus 2 years for maintenance projects, and for temporary use permits. CCP 337.15; 10 years SOL action against developer

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09-02-07	Encroachment Permits - Construction	Includes franchise and other construction improvements.	Eng		P	GC 34090(a) Real property records, maintain Permanently GC 4003, 4004; Maintain H&S 19850; Life of Building, with exceptions State of California Guidelines; Permanent for construction based encroachment permits. CCP 337.15; 10 years SOL action against developer
09-02-08	Revocable Encroachments	Recorded at the County.	Eng		P	GC 34090(a) Real property records, maintain Permanently GC 4003, 4004; Maintain H&S 19850; Life of Building, with exceptions State of California Guidelines; Permanent for construction based encroachment permits. CCP 337.15; 10 years SOL action against developer
09-02-09	Pavement Management System		Eng		S+2	GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after completion for maintenance projects.
09-02-10	Sewer Annual Reports	Supports the cease and desist order from the SWCB and RWQCB.	Eng		AC+5	GC 34090; 2 year minimum requirement 40 CFR 122.41; 5 years after completion for sewage sludge use & disposal, 3 years after completion for other discharge records, including calibration records State of California Guidelines; Current year plus 5 years for discharge monitoring reports Department Preference: Keep sewer annual reports for 5 years after completion of the agreement in 2036.
09-02-11	Underground Utilities / Districts	Resident initiated process to underground their utilities in the neighborhood by forming a district. Extensive engineering reports and noticing: Ballots:	Eng		P AC+2	GC 34090(a); Permanent for land and property related documents CCP 338; 3 year statute of limitations 24 CFR 1710; Permanent GC 4003, 4004; Maintain H&S 19850; Life of Building, with exceptions State of California Guidelines; Permanent for construction based encroachment permits, permanent for assessment district records. GC 53753; 2 years after completion for ballots GC 53755; 2 years after completion for protests

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09-03-00	Capital Improvement Programs					
09-03-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
09-03-02	Capital Improvement Projects - Design & Contracting	CIP Construction Records including planning, feasibility studies, design, construction, conversion or modification of local government- owned facilities, structures & systems; environmental / CEQA reports and documents (i.e.. streets, curbs, gutters, sidewalks, storm drains, etc.).	Eng		P	GC 34090(a); Permanent for real property related documents GC 4003, 4004, Maintain CIV 337.15; 10 years State of California Guidelines; Permanent for capital improvements
09-03-03	Capital Improvement Projects - Construction	CIP Engineering Project Records. Supporting documents including appraisal reports, bidders lists, non-environmental reports, work orders, schedules, exhibits, construction staking documentation and correspondence.	Eng		AC+10	CIV 337.15; 10 years State of California Guidelines; 10 years after completion for capital improvement projects.
09-03-04	Capital Improvement Projects - Administration	General administration and correspondence.	Eng		AC+2	GC 34090; 2 year minimum requirement
09-04-00	Alameda Countywide Clean Water Program					
09-04-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
09-04-02	Agreements	Original agreements maintained in Public Works.	Eng		AC+4	CIV 337.2; Statute of limitations of 4 years CIV 343; Statute of limitations of 4 years 48 CFR 4.703; 3 years after final payment 48 CFR 4.705-1; 4 years after completion for accounting, payroll, purchasing records, et. al.
09-04-03	Training Sessions	Sessions provided by both the County and internally to staff.	Eng		CY+7	GC 34090; 2 year minimum requirement 29 CFR 1627.3(b); 1 year for training records GC 12946; 4 years after termination GC 7920.000; PRA, confidential record status State of California Guidelines; Current year plus 7 years for non-safety training records. Current year plus 2 years for certificates and designations training.

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09-05-00	Clean Water Committees & Subcommittees					
09-05-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
09-05-02	Agendas/Agenda Packets	Includes public notices, agenda items for policy level, new development, management, PIP, monitoring / pollutants of concern, trash, maintenance and industrial / commercial / illicit discharge committees and subcommittees.	Eng		P	GC 34090; 2 year minimum requirement State of California Guidelines; Maintain for the Current Year plus 2 years Department Preference: Maintain agenda packets permanently for reference value and to support the minutes, resolutions and ordinances, per the City Attorney's suggestion.
09-05-03	Minutes		Eng	V, H	P	GC 34090(e); Minutes of governing bodies, Permanent GC 36814; Maintain record of proceedings GC 40801; Maintain record of proceedings State of California Guidelines; Permanent
09-05-04	Reports		Eng		AC+10	GC 34090; 2 year minimum requirement State of California Guidelines; Maintain management reports for the current year plus 2 years. 40 CFR 122.21; 3 years after application is signed 40 CFR 122.41; 3 years after completion for other discharge records, including calibration records Alameda County Clean Water Program; 3 years from date of sample, measurement, report or application 22 CCR 64418.7 - 10 years 22 CCR 64470(b)(3) - 10 years for any written reports relating to sanitary surveys of the system 40 CFR 141.33(a) - 5Y; 10Y 40 CFR 141.33(c) - 10 years
09-05-05	Budgets		Eng		AP+7	GC 34090; 2 years minimum State of California Guidelines; 7 years after audit 26 USC 6531; 6 year limitation on criminal prosecutions

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09-06-00	MRP 3.0 Provision C.2 Program - Municipal Operations					
09-06-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
09-06-02	SWPPP Inspections	Inspections of catch basins monthly and during rainy seasons.	Eng		AC+5	40 CFR 122.21; 3 years after application is signed 40 CFR 122.41; 3 years after completion for other discharge records, including calibration records Alameda County Clean Water Program; 3 years from date of sample, measurement, report or application CCP 338.1; SOL 5 years for action related to hazardous waste
09-07-00	MRP 3.0 Provision C.3 Program - New Development & Redevelopment					
09-07-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
09-07-02	Development Projects	For small and regulated projects. May reside with the associated building permit.	Eng		P	GC 34090a; Real property records, maintain Permanently GC 4003, 4004; Maintain H&S 19850; Life of Building, with exceptions CC 1351; definitions, community property State of California Guidelines; Permanent Administrative Policy: Maintain development projects permanently to coincide with CEQA guidelines and environmental recommendations.
09-07-03	Green Infrastructure	Includes plans and projects.	Eng		P	GC 34090a; Real property records, maintain Permanently GC 4003, 4004; Maintain H&S 19850; Life of Building, with exceptions CC 1351; definitions, community property State of California Guidelines; Permanent Administrative Policy: Maintain development projects permanently to coincide with CEQA guidelines and environmental recommendations.

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Series Code	Series Name	Description of Documents, As Needed	Office of Record	Special Attributes	Total Retention	® Citations & Legal Basis
09-08-00	MRP 3.0 Provision C.4 Program - Industrial & Commercial Site Controls					
09-08-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
09-08-02	Inspections		Eng		CY+4	40 CFR 122.21; 3 years after application is signed 40 CFR 122.41; 3 years after completion for other discharge records, including calibration records Alameda County Clean Water Program; 3 years from date of sample, measurement, report or application CCP 337; SOL 4 years
09-09-00	MRP 3.0 Provision C.5 Program - Industrial & Illicit Discharge					
09-09-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
09-09-02	Enforcement Response Plan		Eng		S+3	40 CFR 122.21; 3 years after application is signed 40 CFR 122.41; 3 years after completion for other discharge records, including calibration records Alameda County Clean Water Program; 3 years from date of sample, measurement, report or application Department Preference: Maintain plans for 3 years after superseded to match the longest retention for the program documents.
09-09-03	Sewage Overflows		Eng		CY+3	40 CFR 122.21; 3 years after application is signed 40 CFR 122.41; 3 years after completion for other discharge records, including calibration records Alameda County Clean Water Program; 3 years from date of sample, measurement, report or application
09-09-04	Violations	Includes inspections, photographs, emails, correspondence and advice.	Eng		CY+3	40 CFR 122.21; 3 years after application is signed 40 CFR 122.41; 3 years after completion for other discharge records, including calibration records Alameda County Clean Water Program; 3 years from date of sample, measurement, report or application

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09-10-00	MRP 3.0 Provision C.6 Program - Construction Site Control					
09-10-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
09-10-02	Erosion Control Plans & Stormwater Pollution Prevention Plan	Copies of plans included as part of the associated building permit.	Eng		S+3	GC 34090.7; Duplicate information may be destroyed within the 2 year minimum requirement retention requirement. Duplicates must not be kept longer than the retention life of the original record. 40 CFR 122.21; 3 years after application is signed 40 CFR 122.41; 3 years after completion for other discharge records, including calibration records Alameda County Clean Water Program; 3 years from date of sample, measurement, report or application Department Preference: Maintain plans for 3 years after superseded to match the longest retention for the program documents.
09-10-03	Inspections		Eng		CY+4	40 CFR 122.21; 3 years after application is signed 40 CFR 122.41; 3 years after completion for other discharge records, including calibration records Alameda County Clean Water Program; 3 years from date of sample, measurement, report or application HSC 25244.19; every 4 years each generator shall conduct a source reduction evaluation review and plan HSC 25244.20; every 4 years each generator shall prepare a hazardous waste management performance report to document hazardous waste management approaches
09-10-04	Rainy Season Notifications		Eng		CY+2	GC 34090; 2 year minimum requirement
09-11-00	MRP 3.0 Provision C.7 - Public Information & Outreach					
09-11-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
09-11-02	Engagement & Communications Materials		Eng		CY+2	GC 34090; 2 year minimum requirement State of California Guidelines; Maintain for the Current Year plus 2 years

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Series Code	Series Name	Description of Documents, As Needed	Office of Record	Special Attributes	Total Retention	® Citations & Legal Basis
09-12-00	MRP 3.0 Provision C.10 - Trash Load Reduction					
09-12-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
09-12-02	Trash Capture	Maintenance and installation of systems.	Eng		AC+2	GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after completion for maintenance projects.
09-12-03	Visual Assessments		Eng		CY+3	40 CFR 122.21; 3 years after application is signed 40 CFR 122.41; 3 years after completion for other discharge records, including calibration records Alameda County Clean Water Program; 3 years from date of sample, measurement, report or application
09-12-04	Trash Generation Map		Eng		S+2	GC 34090; 2 year minimum requirement
09-12-05	Private Land Development Area Compliance		Eng		CY+3	40 CFR 122.21; 3 years after application is signed 40 CFR 122.41; 3 years after completion for other discharge records, including calibration records Alameda County Clean Water Program; 3 years from date of sample, measurement, report or application
09-12-06	Street Sweeping	Documents for the annual report.	Eng		CY+3	40 CFR 122.21; 3 years after application is signed 40 CFR 122.41; 3 years after completion for other discharge records, including calibration records Alameda County Clean Water Program; 3 years from date of sample, measurement, report or application
09-13-00	MRP 3.0 Provision C.20 - Cost Reporting					
09-13-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
09-13-02	City-wide Monthly Data	Includes data and correspondence.	Eng		CY+3	40 CFR 122.21; 3 years after application is signed 40 CFR 122.41; 3 years after completion for other discharge records, including calibration records Alameda County Clean Water Program; 3 years from date of sample, measurement, report or application
09-13-03	Annual Report		Eng		CY+3	40 CFR 122.21; 3 years after application is signed 40 CFR 122.41; 3 years after completion for other discharge records, including calibration records Alameda County Clean Water Program; 3 years from date of sample, measurement, report or application

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09-14-00	MRP 3.0 Provision C.21 - Asset Management					
09-14-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
09-14-02	Reporting		Eng		CY+3	40 CFR 122.21; 3 years after application is signed 40 CFR 122.41; 3 years after completion for other discharge records, including calibration records Alameda County Clean Water Program; 3 years from date of sample, measurement, report or application
09-14-03	Implementation Plan		Eng		S+3	40 CFR 122.21; 3 years after application is signed 40 CFR 122.41; 3 years after completion for other discharge records, including calibration records Alameda County Clean Water Program; 3 years from date of sample, measurement, report or application Department Preference: Maintain plans for 3 years after superseded to match the longest retention for the program documents.
09-15-00	MRP 3.0 Provision C.22 - Annual Report					
09-15-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
09-15-02	Annual Reporting	Compilation of information and supporting documents to create the report from C.2 - C.10 subsections for County reporting.	Eng		P	40 CFR 122.21(p); 3 years after application is signed 40 CFR 122.41; 5 years after completion for sewage sludge use & disposal, 3 years after completion for other discharge records, including calibration records State of California Guidelines; Current year plus 5 years for discharge monitoring reports Department Preference: Maintain annual reports permanently for environmental history. Supporting documents are kept for the current year plus 3 years to reference for the reports.

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09-16-00	<u>Streets Engineering</u>					
09-16-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
09-16-02	Signage	Includes log books, index register cards, inventory lists, records of traffic signs.	Eng		LOS+5	GC 34090; 2 year minimum requirement CIV 337.1; 5 year statute of limitations maximum State of California Guidelines; Life of system plus 2 years
09-16-03	Striping	Does not include engineering drawings of traffic control plans.	Eng		LOS+5	GC 34090; 2 year minimum requirement CIV 337.1; 5 year statute of limitations maximum State of California Guidelines; Life of system plus 2 years
09-16-04	Graffiti Removal	Work orders for maintenance. Format may be oral, phone call, e-mail or paper requests.	Eng		AC+2	GC 34090; 2 year minimum requirement State of California Guidelines; 2 years plus the current year for maintenance projects.
09-16-05	Parking Lots & Meters	Maintenance projects completed by the City.	Eng		AC+2	GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after completion for maintenance projects.
09-17-00	<u>Traffic & Parking Engineering</u>					
09-17-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
09-17-02	Traffic Complaints	Includes public requests for street signs, red curbs, traffic calming and other traffic related changes.	Eng		AC+2	GC 34090; 2 year minimum requirement Department Preference: Maintain traffic change requests for 2 years after the request is accommodated or denied.
09-17-03	Traffic Engineering	Includes traffic calming and system implementation.	Eng		LOS+5	CIV 337.1; 5 year statute of limitations maximum State of California Guidelines; Life of system plus 2 years
09-17-04	Traffic Studies & Surveys		Eng		AC+2	GC 34090; 2 year minimum requirement State of California Guidelines; Completion of survey plus 2 years
09-17-05	Parking Complaints	Includes reviews of complaints and requests for residential parking districts.	Eng		AC+2	GC 34090; 2 year minimum requirement Department Preference: Maintain traffic change requests for 2 years after the request is accommodated or denied.
09-17-06	Parking Districts & Permits	Maintained in binders to track permits.	Eng		AE+2	GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after expiration for parking permits
09-18-00	<u>Parks Commission</u>					

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09-18-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
09-18-02	Agendas/Agenda Packets	Includes public notices, agenda items	Admin		P	GC 34090; 2 year minimum requirement State of California Guidelines; Maintain for the Current Year plus 2 years Department Preference: Maintain agenda packets permanently for reference value and to support the minutes, resolutions and ordinances, per the City Attorney's suggestion.
09-18-03	Minutes		Admin	V, H	P	GC 34090(e); Minutes of governing bodies, Permanent GC 36814; Maintain record of proceedings GC 40801; Maintain record of proceedings State of California Guidelines; Permanent
09-18-04	Meeting Recordings		Admin		30 Days	GC 54953.5; 30 days after recording
09-19-00	Piedmont Beautification Advisory Committee					
09-19-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
09-19-02	Agendas/Agenda Packets	Not a Brown Act body.	Admin		CY+2	GC 34090; 2 year minimum requirement State of California Guidelines; Maintain for the Current Year plus 2 years
09-19-03	Minutes		Admin	V, H	P	GC 34090(e); Minutes of governing bodies, Permanent GC 36814; Maintain record of proceedings GC 40801; Maintain record of proceedings State of California Guidelines; Permanent

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10-01-00	Operations & Maintenance Administration					
10-01-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
10-01-02	Process Management System	Currently using ComDev for permitting.	O&M		ACT	Transitory Record: Maintain while actively used by the department or until data is transferred to a new tracking system.
10-01-03	Safety Programs & Procedures	Includes sign-in sheets, attendance rosters, training materials for safety training classes and tailgate meetings. Paper records.	O&M		CY+7	GC 34090; 2 year minimum requirement 29 CFR 1627.3(b); 1 year for training records GC 12946; 2 years after termination GC 7920.000 PRA, confidential record status State of California Guidelines; Current year plus 7 years for non-safety training records. Current year plus 2 years for certificates and designations training.
10-01-04	Work Orders	Forms filled out as work orders and distributed to the division for processing. Physical forms used before 2020. Currently processed via email or phone call for processing.	O&M		AC+5	GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after completion for maintenance projects. CCP 337; 4 years SOL Department Preference: Maintain work orders for 5 years after completion/closure to match the schedule for PCI Survey & Updates.
10-02-00	Building Maintenance Records					
10-02-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
10-02-02	Contract Services	Includes janitorial and other contract services.	O&M		AC+4	CIV 337; Statutes of limitations of 4 years 48 CFR 4.703; 3 years after final payment 48 CFR 4.705-1; 4 years after completion for accounting, payroll, purchasing records, et. al.
10-02-03	Utility Services	Includes PG&E, ACWD, USD, telephone and other utility related correspondence and reports.	O&M		ACT+4	GC 34090; 2 year minimum requirement Administrative Record, State of California Guidelines CCP 337; 4 years SOL
10-02-04	City Facility / Equipment Permits	Includes elevator, vehicle, underground storage tank and other permits required for operation of City property.	O&M		ACT+4	GC 34090; 2 year minimum requirement State of California Guidelines; Current year plus 2 years for municipal facility rental / use permits CCP 337; 4 years SOL

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10-03-00	City Facilities					
10-03-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
10-03-02	Maintenance Contracts	Maintenance contracts including painting, roofing, janitorial and other contracted maintenance work.	O&M		AC+4	CIV 337; Statutes of limitations of 4 years 48 CFR 4.703; 3 years after final payment 48 CFR 4.705-1; 4 years after completion for accounting, payroll, purchasing records, et. al.
10-03-03	Facility Inspections	Includes facility asset and condition inventories.	O&M		AC+2	GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after completion for maintenance projects.
10-03-04	Facility Permits	Includes permits and regulatory compliance documents for City buildings and facilities. Also include backflow testing.	O&M		AE+2	GC 34090; 2 year minimum requirement State of California Guidelines; Current year plus 2 years for municipal facility rental / use permits
10-03-05	Inspections	Includes calendars and checklists tracking inspections.	O&M		AC+2	GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after completion for maintenance projects.
10-03-06	Facility Safety Checklist Inspection Form	Filed by year.	O&M		AC+2	GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after completion for maintenance projects.
10-04-00	Fleet					
10-04-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
10-04-02	Maintenance Contracts	Includes contracts under City Administrator's authority for services maintained within Public Works.	O&M		AC+4	CCP 337.2; 4 years Statutes of limitations CCP 343; 4 years Statutes of limitations 48 CFR 4.703; 3 years after final payment 48 CFR 4.705-1; 4 years after completion for accounting, payroll, purchasing records, et. al.
10-04-03	Vehicle & Equipment Maintenance Records	Paper history of equipment and vehicles. Includes registration, purchase, maintenance and other specific vehicle and equipment related information. Also tracked in Hansen.	O&M		LOV+4	GC 34090; 2 year minimum requirement CIV 343; 4 years for action State of California Guidelines state life of the vehicle plus 2 years for fuel, maintenance and repair records of vehicles. State does not reference any citations.
10-04-04	Vehicle Maintenance Reports	Received by the contractor summarizing work performed on the fleet. Maintained by individual vehicle.	O&M		LOV+4	GC 34090; 2 year minimum requirement CIV 343; 4 years for action State of California Guidelines state life of the vehicle plus 2 years for fuel, maintenance and repair records of vehicles. State does not reference any citations.
10-04-05	Daily & Quarterly Inspection Forms		O&M		CY+2	GC 34090; 2 year minimum requirement. State of California Guidelines; 2 years plus the current year.

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10-04-06	Biennial Inspection of Terminals (BIT) Records	Inspection of vehicles by the DOT.	O&M		CY+2	GC 34090; 2 year minimum requirement VC 34501.12; maintain inspection reports for at least 2 years. 25 month inspection period.
10-04-07	BAR Inspections	Combined with California Air Resources Board.	O&M		AC+2	GC 34090; 2 year minimum requirement. State of California Guidelines; 2 years plus the current year for permits; may depend upon the agency. Department Preference: Maintain inspection records for 2 years after completion to follow State retention for the CARB permit.
10-04-08	Portable Diesel Equipment	BAAQMD inspects these records periodically (if there is a change or addition to the equipment).	O&M		AC+2	GC 34090; 2 year minimum requirement. State of California Guidelines; 2 years plus the current year for permits; may depend upon the agency. Department Preference: Maintain inspection records for 2 years after completion to follow State retention for the CARB permit.
10-04-09	Diesel & Gas Smog Inspections	Maintained in CFA and in hard copy form	O&M		AC+2	GC 34090; 2 year minimum requirement. State of California Guidelines; 2 years plus the current year for permits; may depend upon the agency. Department Preference: Maintain inspection records for 2 years after completion to follow State retention for the CARB permit.
10-04-10	Diesel Vehicle Retrofit Records	Maintained in a binder for BAAQMD purposes. Recommend Life of Vehicle.	O&M		LOV+2	GC 34090; 2 year minimum requirement State of California Guidelines state life of the vehicle plus 2 years for fuel, maintenance and repair records of vehicles. State does not reference any citations.
10-04-11	Daily Vehicle Inspection Log	Inspection of vehicles by drivers prior to driving. Required by the DOT. Includes safety equipment, liquid levels, tire condition, appearance, operations, lights. Maintain the old and new books in the vehicle.	O&M		CY+2	GC 34090; 2 year minimum requirement. State of California Guidelines; 2 years plus the current year.
10-04-12	Phoenix Fuel System Printouts	Preventative maintenance and management activities reports.	O&M		AA+3	GC 34090; 2 year minimum requirement State of California Guidelines; 3 years after audit
10-04-13	Fuel Tank Inspections	Includes inspections of gas and diesel fuel tanks performed monthly by a contractor. County inspects the tanks annually.	O&M		AA+4	GC 34090; 2 year minimum requirement CCP 337; SOL of 4 years State of California Guidelines; 3 years after audit
10-04-14	Fuel Usage & Tax Reports	Includes underground storage tank reports and other fuel tax reports.	O&M		AA+4	GC 34090; 2 year minimum requirement CCP 337; SOL of 4 years State of California Guidelines; 3 years after audit
10-04-15	Hazardous Waste Manifests	Used for disposal of oil filters, used oil, sweeping compound and other hazardous waste materials.	O&M		CY+10	GC 34090; 2 year minimum requirement 40 CFR 122.21; 3 to 5 years State of California Guidelines; Current year plus 10 years for hazardous waste disposal documents.
10-05-00	Parks Maintenance					

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10-05-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
10-05-02	Park & Median History	Includes location, inventory, topographical maps, master plans, images/historical records, systems and other park information.	O&M		P	GC 34090(a); Real property records, maintain GC 4003, 4004; Maintain H&S 19850; Building Plans - Life of Building, with exceptions CIV 337.15; 10 years State of California Guidelines; Permanent
10-05-03	Park & Median Maintenance Projects	Includes landscape, irrigation and general maintenance project documents.	O&M		AC+4	GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after completion for maintenance projects. CCP 337; 4 years
10-05-04	Play Structure Inspection & Maintenance		O&M		AC+4	CCP 338; 3 years for action State of California Guidelines; Completion plus 2 years for inspection records in Parks, and 2 years after audit for equipment inventories. CCP 337; 4 years
10-05-05	Tree Maintenance	Includes inventories and maintenance projects.	O&M		AC+4	GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after completion for maintenance projects. CCP 337; 4 years
10-06-00	Streets Maintenance					
10-06-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
10-06-02	Street Maintenance Projects	Includes sidewalks, signs, striping/markings, graffiti cleanup, potholes and other maintenance projects.	O&M		AC+4	GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after completion for maintenance projects. CCP 337; 4 years
10-06-03	Street Lighting	Includes the street light infrastructure and correspondence with residents requesting street lights.	O&M		LOS+4	GC 34090; 2 year minimum requirement CIV 337; 4 year statute of limitations State of California Guidelines; Life of system plus 2 years
10-06-04	Street Signals	Signalized intersections	O&M		LOS+4	GC 34090; 2 year minimum requirement CIV 337; 4 year statute of limitations State of California Guidelines; Life of system plus 2 years
10-06-05	Street Cleanup Program	Includes cleanup efforts for unhoused encampments, illegal dumping and other cleanup.	O&M		AC+2	GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after completion for maintenance projects.

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Series Code	Series Name	Description of Documents, As Needed	Office of Record	Special Attributes	Total Retention	® Citations & Legal Basis
10-06-06	Inspections & Assessment Reports	Records of inspections and condition assessments reported to the Alameda County Transportation Commission. Required for eligibility for State funding.	O&M		AC+2	GC 34090; 2 year minimum requirement State of California Guidelines; 2 years plus the current year for maintenance and operations projects.
10-07-00	Sewer					
10-07-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
10-07-02	Maintenance Contracts	Maintenance contracts including CCTV, repair, cleaning, root foaming and other contracted maintenance work.	O&M		AC+4	CIV 337; Statutes of limitations of 4 years 48 CFR 4.703; 3 years after final payment 48 CFR 4.705-1; 4 years after completion for accounting, payroll, purchasing records, et. al.
10-07-03	Facility Inspections	Includes facility asset and condition inventories.	O&M		AC+2	GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after completion for maintenance projects.
10-07-04	Facility Permits	Includes permits and regulatory compliance documents for City buildings and facilities. Also include backflow testing.	O&M		AE+2	GC 34090; 2 year minimum requirement State of California Guidelines; Current year plus 2 years for municipal facility rental / use permits
10-07-05	Inspections	Includes calendars and checklists tracking inspections.	O&M		AC+2	GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after completion for maintenance projects.
10-07-06	Facility Safety Checklist Inspection Form	Filed by year.	O&M		AC+2	GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after completion for maintenance projects.

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Series Code	Series Name	Description of Documents, As Needed	Office of Record	Special Attributes	Total Retention	® Citations & Legal Basis
11-01-00	<u>Recreation Administration</u>					
11-01-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
11-01-02	Community Pass	For online registrations, waivers, emergency contacts, facility rentals, instructors, rosters, pay reports and other activities. Includes contract classes and camps.	Recreation		AC+4	Transitory Record: Maintain while actively used by the department or until data is transferred to a new tracking system. CCP 337; 4 years SOL
11-01-03	Activity Guide	List of activities provided by Recreation. Provided online via Issuu website. Physical guides kept before 2020.	Recreation	H	P	GC 34090; 2 year minimum requirement State of California Guidelines; Current year plus 2 years Department Preference: Maintain activity guides permanently for historical reference.
11-01-04	Registration Packets	Includes physical records containing waivers, schedule change forms, names, address, emergency contacts, IEPs, field trip forms and other registration related information. Packets maintained electronically in Community Pass as of 2020.	Recreation	C	CY+2	GC 34090; 2 year minimum requirement CIV 335.1; 2 years for action on injuries caused by neglect. State of California Guidelines; 2 years plus the current year.
11-01-05	Attendance Records	Sign in sheets and rosters, and emergency contact information for Schoolmates and Preschool. Physical records maintained 2021 and prior. No longer a licensed program.	Recreation	C	AC+3	GC 34090; 2 year minimum requirement CCP 335.1; 2 years for action on injuries caused by neglect. 22 CCR 101221; child's records in a child care center should be kept 3 years after termination of service to the child. State of California Guidelines; 2 years plus the current year.
11-01-06	Evaluation Forms	Evaluations maintained on Google Sheets.	Recreation		CY+2	GC 34090; 2 year minimum requirement
11-01-07	Scholarships	Assistance fee waiver requests. May include sensitive personal information.	Recreation	C	CY+2	GC 34090; 2 year minimum requirement
11-01-08	Cash Receipts	Written receipts for individuals. Physical records discontinued in 2020.	Recreation		AA+4	GC 34090; 2 year minimum requirement CIV 337; Statutes of limitations of 4 years State of California Guidelines; 4 years after audit
11-01-09	DOJ Fingerprinting Forms	Contains sensitive personal information for program volunteers. Paper form entered into the DOJ website and the information is printed out to PDF for retention. Paper is destroyed after response received from the DOJ.	Recreation	C	CY+2	GC 34090; 2 year minimum requirement State of California Guidelines; Maintain fingerprint information for city employment for 2 years after termination.
11-01-10	Instructors	Includes contracts, DOJ clearance, proof of insurance and other instructor information.	Recreation		AS+4	CIV 337; Statutes of limitations of 4 years CIV 343; Statutes of limitations of 4 years Department Preference: Maintain instructor files for 4 years after the instructor separates from the City.

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Series Code	Series Name	Description of Documents, As Needed	Office of Record	Special Attributes	Total Retention	® Citations & Legal Basis
11-01-11	Program Fliers & Brochures	Final fliers and brochures printed to PDF for retention purposes.	Recreation		CY+2	GC 34090; 2 year minimum requirement State of California Guidelines; Current year plus 2 years
11-01-12	Incident Reports	Includes accidents, incidents, aquatic rescue and other incident related reports.	Recreation		AC+7	GC 34090; 2 year minimum requirement 42 USC 1983; Definitions GC 25105.5; 5 years after closure/completion 29 USC 1113; 6 years after date of last action, or 3 years after plaintiff had knowledge of breach or violation, whichever comes first. GC 910 - 913; 6 months to 1 year after event occurs. State of California; 7 years after closure for accident/incident reports
11-01-13	Special Event Planning	Includes contact information, planning, supply acquisition, staffing, vendor applications and evaluations, outreach, copies of contracts and other event organization information.	Recreation		AC+4	GC 34090; 2 year minimum requirement CCP 335.1; 2 years for action on injuries caused by neglect. CCP 337; Statutes of limitations of 4 years State of California Guidelines; 2 years plus the current year.
11-01-14	Vehicle Maintenance Logs	For vans and vehicles used for activities. Van is no longer in use as of 2021.	Recreation		CY+2	GC 34090; 2 year minimum requirement. State of California Guidelines; 2 years plus the current year.
11-01-15	Carpool Sign-off Sheets	Approvals for children riding with non-parent adults.			CY+2	GC 34090; 2 year minimum requirement CIV 335.1; 2 years for action on injuries caused by neglect. State of California Guidelines; 2 years plus the current year.
11-01-16	Piedmont Seniors Group Programs	Includes activities, sign-in sheets and member tracking documents.			CY+2	GC 34090; 2 year minimum requirement CIV 335.1; 2 years for action on injuries caused by neglect. State of California Guidelines; 2 years plus the current year.
11-01-17	Emergency Action Plans	For active shooter, disaster, fire and other emergency actions.	Recreation	V	S+2	GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after superseded
11-01-18	CPS Mandated Reporting	Required reporting for child abuse to CPS.	Recreation	C	AC+10	PC 11169; Maintain 10 years from date of reporting PC 11170; 10 years from date of reporting , DOJ Recommendation PC 288, 647; Definitions

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Series Code	Series Name	Description of Documents, As Needed	Office of Record	Special Attributes	Total Retention	© Citations & Legal Basis
11-02-00	<u>Facilities</u>					
11-02-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
11-02-02	Rental Agreements	Includes applications, proof of insurance and other rental documents for rooms, fields, tennis courts, picnic and other facility rentals. Reservations maintained in Community Pass.	Recreation		AC+4	CCP 337.2; 4 years Statutes of limitations CCP 343; 4 years Statutes of limitations 48 CFR 4.703; 3 years after final payment 48 CFR 4.705-1; 4 years after completion for accounting, payroll, purchasing records, et. al.
11-02-03	Facility Permits	Includes health certificates, slides, pool lifts, hazardous materials and other permits for facility operations.	Recreation		AC+4	GC 34090; 2 year minimum requirement State of California Guidelines; Current year plus 2 years for municipal facility rental / use permits CCP 337; Statutes of limitations of 4 years
11-02-04	Facility Maintenance Projects		Recreation		AC+2	GC 34090; 2 year minimum requirement State of California Guidelines; 2 years plus the current year for maintenance projects.
11-03-00	<u>Schoolmates</u>					
11-03-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
11-03-02	Attendance Sheets	Also includes emergency contact information.	Recreation	C	CY+2	GC 34090; 2 year minimum requirement CIV 335.1; 2 years for action on injuries caused by neglect. State of California Guidelines; 2 years plus the current year.
11-03-03	State Licensing	Childcare license and associated documents to maintain the license. No longer a licensed program since 2021. Physical files still maintained prior to 2021.	Recreation		CY+5	5 CCR 18067; Maintain all child care accounting and reporting records for 5 years
11-03-04	Staff Licensing	Includes permits, credentials and other information regarding staff. Used for State audits. No longer a licensed program since 2021. Physical files still maintained prior to 2021.	Recreation	C	CY+5	5 CCR 18067; Maintain all child care accounting and reporting records for 5 years

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Series Code	Series Name	Description of Documents, As Needed	Office of Record	Special Attributes	Total Retention	® Citations & Legal Basis
11-04-00	Preschool					
11-04-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
11-04-02	Parent Handbooks		Recreation		S+2	GC 34090; 2 year minimum requirement Administrative Record, State of California Guidelines
11-04-03	Attendance Sheets		Recreation	C	CY+2	GC 34090; 2 year minimum requirement CIV 335.1; 2 years for action on injuries caused by neglect. State of California Guidelines; 2 years plus the current year.
11-04-04	Children's Files	Contains emergency cards and family contact information.	Recreation	C	AS+5	5 CCR 18067; Maintain all child care accounting and reporting records for 5 years 22 CCR 101221; 3 years after termination
11-05-00	Aquatics					
11-05-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
11-05-02	Daily Revenue Sheets	Used to reconcile deposits.	Recreation		AA+4	GC 34090; 2 year minimum requirement CIV 337(2) & (3); Statute of limitations, 4 years for action State of California Guidelines; 4 years after audit
11-05-03	Daily Opening / Closing Checklist	Checklists by lifeguards for pool conditions. Includes daily chemical and water testing logs.	Recreation		CY+2	GC 34090; 2 year minimum requirement
11-05-04	Swim Center Staff Log	Tracks staff attendance and work schedules, daily issues and unusual activities, and other communications between lifeguards.	Recreation		CY+2	GC 34090; 2 year minimum requirement
11-05-05	Skill Sheets	Tracks individual's progress in classes.	Recreation		CY+2	GC 34090; 2 year minimum requirement
11-05-06	Daily Communication Log	Tracks communications between managers on all pool programs.	Recreation		CY+2	GC 34090; 2 year minimum requirement
11-05-07	Chemical Tests		Recreation		CY+2	GC 34090; 2 year minimum requirement State of California Guidelines; 2 years plus the current year for maintenance projects.

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Series Code	Series Name	Description of Documents, As Needed	Office of Record	Special Attributes	Total Retention	® Citations & Legal Basis
11-06-00	<u>Recreation Commission</u>					
11-06-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
11-06-02	Agendas/Agenda Packets		Recreation		P	GC 34090; 2 year minimum requirement State of California Guidelines; Maintain for the Current Year plus 2 years Department Preference: Maintain agenda packets permanently for reference value and to support the minutes, resolutions and ordinances, per the City Attorney's suggestion.
11-06-03	Minutes		Recreation	V, H	P	GC 34090(e); Minutes of governing bodies, Permanent GC 36814; Maintain record of proceedings GC 40801; Maintain record of proceedings State of California Guidelines; Permanent
11-06-04	Meeting Recordings		Recreation		30 Days	GC 54953.5; 30 days after recording
11-07-00	<u>Pool Advisory Committee</u>					
11-07-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
11-07-02	Agendas/Agenda Packets		Recreation		P	GC 34090; 2 year minimum requirement State of California Guidelines; Maintain for the Current Year plus 2 years Department Preference: Maintain agenda packets permanently for reference value and to support the minutes, resolutions and ordinances, per the City Attorney's suggestion.
11-07-03	Minutes		Recreation	V, H	P	GC 34090(e); Minutes of governing bodies, Permanent GC 36814; Maintain record of proceedings GC 40801; Maintain record of proceedings State of California Guidelines; Permanent

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Series Code	Series Name	Description of Documents, As Needed	Office of Record	Special Attributes	Total Retention	® Citations & Legal Basis
12-01-00	Administration / Chief of Police					
12-01-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
12-01-02	Aladtec	Hosted staff scheduling system.	COP/Admin		ACT	Transitory Record: Maintain while actively used by the department or until data is transferred to a new tracking system.
12-01-03	Memorandums	General status updates on current projects and items of interest, such as SB-2.	COP/Admin		P	GC 34090; 2 year minimum requirement Administrative Record, State of California Guidelines Department Preference: Maintain memorandums permanently for history of status updates.
12-01-04	CHP 187 Vehicle Pursuits	Includes a log tracking filing and sending the report, a summary of the actions, and proof of delivery from the CHP.	COP/Admin		IND	VC 17004.7; Maintain vehicle pursuit records, no retention.
12-01-05	General Orders	Maintained in Lexipol.	COP/Admin	C	P	GC 34090; 2 year minimum requirement State of California Guidelines; Permanent, no citation given.
12-01-06	Internal Affairs / Investigations	Also includes officer involved deaths. Member of public complaint with sustained finding: Member of public complaint with no sustained finding: Internally generated:	COP/Admin	C	AC+15 AC+5 AC+5	EVC 1045; Discovery of officer information on Internal Affairs cases. 5 year access limit. GC 12946; Personnel records, 4 years after termination. PC 801.5; 4 years to commence prosecution PC 832.5(b); 5 years after closure for lack of sustained conduct, 15 years after closure with proof of sustained conduct, confidential document not for public exposure. VC 2542 & 2547; Officer fraud or misrepresentation. 3 years after act or omission. State Recommendation; Closure of case plus 25 years, 2 years plus the current year for death in custody reporting. DOJ regulates, if not involving felonies, the report can be destroyed after 3 years, provided that accounting of incident has been placed with the case file.
12-01-07	Livescan Fingerprinting	City employees: CCW applicants:	COP/Admin	C	CY+2	GC 34090; 2 year minimum requirement State of California Guidelines; Maintain fingerprint information for city employment for 2 years after termination.
12-01-08	Juvenile Detention Logs				CY+6	GC 34090; 2 year minimum requirement State of California Guidelines; Current year plus 6 years for jail logs

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Series Code	Series Name	Description of Documents, As Needed	Office of Record	Special Attributes	Total Retention	® Citations & Legal Basis
12-01-09	Pitchess Motions	Copy maintained with the officer's file.	COP/Admin		AC+10	GC 34090; 2 year minimum requirement Department Preference: Maintain pitchess motions for 10 years after the case closes to match retention for litigation records, per the City Attorney's suggestion.
12-01-10	Retiree Qualification Permits	Identification for police employees and retirees for carrying firearms. Retirees need to qualify for carrying.	COP/Admin		AE+2	GC 34090; 2 year minimum requirement PC 12071, Maintain records PC 12078, Maintain records State Recommendation, 2 years after the license expires.
12-01-11	Surveillance Recordings - City Facilities	Includes Corp Yard, intersections, Police interior and perimeter and other City facilities. Maintained on City servers.	COP/Admin		CM+11	GC 34090.6; 1 year for routine video monitoring
12-01-12	Use of Force Memo		COP/Admin		CY+2	GC 34090; 2 year minimum requirement State of California Guidelines; Current year plus 2 years for use of force files
12-01-13	Vehicle / Equipment Maintenance & Calibration Records	Includes radar calibration, speedometer checks, Preliminary Alcohol Screening Device, radar calibration and other vehicle and equipment related records. Maintained and hosted in Autosist.	COP/Admin		AT+2	GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after termination of use of equipment for radar calibration records
12-01-14	Concealed Carry Weapon Applicants	Applications and applicants managed in Permitium. Includes application, background and records checks and approvals. Denied permit applications	COP/Admin		AE+2 CY+2	GC 34090; 2 year minimum requirement PC 12071, Maintain records PC 12078, Maintain records State Recommendation, 2 years after the license expires.
12-01-15	Clearance Letter Requests	Includes requests from persons residing in the City asking for a cursory records check through the case management system to ascertain if the person has any negative information on file. This request results in a letter stating the results of the records check sent to the requestor.	COP/Admin		AC+2	GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after completion for requests for criminal history
12-01-16	Alcohol Licensing - Temporary Use	Includes one day events. ABC form 221.	COP/Admin		AE+4	GC 34090; 2 year minimum requirement State of California Guidelines; Current year plus 2 years for temporary use permits CCP 337; 4 years SOL
12-01-17	Press Releases/Social Media		COP/Admin		CY+2	GC 34090; 2 year minimum requirement State of California Guidelines; Current year plus 2 years for press releases.
12-01-18	Solicitor and Sidewalk Vendor Permits		COP/Admin		AE+4	GC 34090; 2 year minimum requirement State of California Guidelines; Current year plus 2 years for temporary use permits CCP 337; 4 years SOL
12-01-19	Special Events Ops Plans	Template plan is changed according to the event.	COP/Admin		S+2	GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after superseded for emergency management and mutual aid strategic plans.

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Series Code	Series Name	Description of Documents, As Needed	Office of Record	Special Attributes	Total Retention	® Citations & Legal Basis
12-02-00	Records					
12-02-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
12-02-02	Tyler Technologies New World	Records and case management system.	COP/Admin		ACT	Transitory Record: Maintain while actively used by the department or until data is transferred to a new tracking system.
12-02-03	FI Cards	Field Interview Cards	Records	C	AC+2	GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after completion for field interview cards.
12-02-04	Warrants	Associated with Piedmont Case. Copies of warrants are kept with the case and originals are maintained separately from the case file.	Records		Varies	GC 68152; Retention based on the associated case. Refer to 09-02-06 Case Reports for warrant retention period.
12-02-05	Case Reports	Crime reports, DUI's, incidents, mandatory registrants, bookings/arrests, missing persons, restraining orders, criminal protective orders, homicides, NCIC entries and all other cases filed. May include property, photos, field interview cards, additional documents and any other elements for the case. All files scanned and stored in the RMS system and maintained permanently unless destruction/purging is required by law. Paper version of scanned documents are considered duplicates and can be destroyed at will or upon notification of the District Attorney or Dept of Justice.	Records	V, C	P	Department Preference: Maintain all case files permanently for historical tracking and investigations.
12-02-06	Traffic Accident Reports	Not associated with a crime.	Records	V, C	AC+2	GC 34090; 2 year minimum requirement State of California Guidelines; Current year plus 2 years for misdemeanors/infractions with no arrests, identifiable property or missing persons. Department Preference: Maintain for 2 years after closure of the case.

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Series Code	Series Name	Description of Documents, As Needed	Office of Record	Special Attributes	Total Retention	® Citations & Legal Basis
12-02-07	Digital Evidence	Includes body worn camera recordings, photos, audio recordings, videos provided by the public and other digital evidence. Maintained in AXON and retention followed for the City. Non-evidence, Police Report with No Arrest, Detention / Arrest, Traffic / Pedestrian Contact with No Report: Violent Crime Report, Use of Force, Administrative, Complaint Against Employee or Agency: Critical Incident, Homicide:	Records	C	2Y 5Y or 15Y* P	PC 832.18(5)(A)&(B); 60 days for non-evidentiary data, 2 years for evidentiary data. State of California Guidelines; Current year plus 2 years for misdemeanors/infractions with no arrests, identifiable property or missing persons. EVC 1045; Discovery of officer information on Internal Affairs cases. 5 year access limit. CIV 338 et al.; up to 3 years after commission of offense or after realization of offense. PC 832.5; 5 years after case closure with no sustained misconduct, *15 years with sustained misconduct; confidential document not for public exposure. PC 799; No statutes of limitations on actions CIV 335.1; Must commence action within 2 years Indefinite retention is recommended by DOJ and CA Law Enforcement Officers Assoc. State of California Guidelines; Permanent
12-02-08	BWC Footage	Not including evidence associated with criminal case or complaint.	Records		60 Days * or 2 years	PC 832.18(b)(5)(A); 60 days for non-evidentiary data, may keep longer to support potential civilian complaints * BWC footage should be maintained for at least 2 years if the recording is of an incident involving: use of force by a peace officer, officer-involved shooting, detention or arrest, formal or informal complaint against law enforcement. PC 832.18(b)(5)(B)
12-02-09	Cash Receipt Books	Log of monies receive at the PD counter.	Records		CY+4	GC 34090; 2 year minimum requirement CIV 337; Statutes of limitations of 4 years State of California Guidelines; 4 years after annual audit
12-02-10	Criminal Background Checks	Requests for criminal history from an outside agency. Copies maintained by Police.	Records		CY+3	GC 34090; 2 year minimum requirement CIV 340; 1 year statute of limitations 11 CCR 707(c); 3 years after release of record
12-02-11	Criminal Subpoenas	Any subpoenas having to do with a criminal case.	Records		CY+2	GC 34090.7; Duplicate information may be destroyed within the 2 year minimum requirement retention requirement. Duplicates must not be kept longer than the retention life of the original record. State of California Guidelines; Current year plus 2 years. Courts/County maintain the original record.

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Series Code	Series Name	Description of Documents, As Needed	Office of Record	Special Attributes	Total Retention	® Citations & Legal Basis
12-02-12	DOJ Audit Reports	DOJ requires reporting monthly for stolen vehicles/license plates, stolen weapons, warrants, missing persons and restraining orders. Inhouse audit performed and results sent to DOJ.	Records		AA+2	GC 34090; 2 year minimum requirement State of California Guidelines; Current year plus 2 years for weekly, monthly, quarterly, and annual activity/statistical reports.
12-02-13	Monthly DOJ/NIBRS Report	Monthly DOJ NIBRS reporting automatically submitted through Tyler. DOJ form JUS 750. NIBRS - National Incident Based Reporting System.	Records		CY+2	GC 34090; 2 year minimum requirement State of California Guidelines; Current year plus 2 years for weekly, monthly, quarterly and annual statistical reports.
12-02-14	Monthly Statistical Reports	Reports and data generated internally and distributed to requesting divisions/units, City Council, departments, agencies or the public.	Records		CY+2	GC 34090; 2 year minimum requirement State of California Guidelines; Current year plus 2 years for weekly, monthly, quarterly and annual statistical reports.
12-02-15	Record Sealings	Adults	Records	V, C	AC+3 *	PC 851.8(a); Factually innocent records, 3 years after arrest, * with district attorney approval.
12-02-16	Record Sealings	Juveniles	Records	V, C	AC+5 **	Date of court ordered destruction W&IC 781; 5 years after sealed by court order for at-risk youth; ** W&IC 781; When juvenile reaches the age of 38 for murder and/or sex crimes occurring before the child is 14 years of age ** W&IC 781; For murder and/or sex crimes occurring on or after the child reaches age 14, DO NOT DESTROY.
12-02-17	Subpoenas Duces Tecum	Subpoenas for records or property.	Records		CY+2	GC 34090.7; Duplicate information may be destroyed within the 2 year minimum requirement retention requirement. Duplicates must not be kept longer than the retention life of the original record. State of California Guidelines; Current year plus 2 years. Courts/County maintain the original record.
12-02-18	Ride Along Requests		Records	C	CY+2	GC 34090; 2 year minimum requirement retention State of California Guidelines; 2 years plus the current year
12-02-19	Traffic Citations	Brazos, Crossroads beginning August 2024.	Records		CY+2	GC 34090; 2 year minimum requirement State of California Guidelines; Current year plus 2 years for parking and traffic citations.
12-02-20	Parking Citations	Also includes parking hearings. DataTicket database.	Records		CY+2	GC 34090; 2 year minimum requirement State of California Guidelines; Current year plus 2 years for parking and traffic citations.
12-02-21	Audio Recordings - Routine	Includes routine telephone and radio communications.	Records		180 Days *	GC 34090.6; 100 days. If a claim is filed or pending litigation, retain until pending litigation is resolved and * destroy with consent of the City Attorney. State of California Guidelines; 180 days for audio, telephone and radio communication tapes, with exceptions of recordings pertaining to GC 34090.6
12-03-00	Personnel & Training Records					

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Series Code	Series Name	Description of Documents, As Needed	Office of Record	Special Attributes	Total Retention	® Citations & Legal Basis
12-03-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
12-03-02	Personnel Records	Includes equipment released, employee transaction forms, step increases, corrective evaluations and other materials related to the employee. Similar to the files maintained by HR but contains other confidential information on officers.	P&T	C	AS+6	29 CFR 1627.3 - 4; 3 years after termination 29 CFR 1602.30 - 32; 2 - 3 years after termination 29 CFR 516.5 - 6; 3 years after action 29 USC 1113; 6 years after date of last action GC 12946; 4 years after termination or action State of California Guidelines; 3 years after termination
12-03-03	Volunteer Program	Includes application, ride-along waiver, background authorization, supplemental background information form, criminal history and records checks, LiveScan fingerprinting, training, community service records, background letters to neighboring agencies, and ID cards. Denied volunteer applications	P&T	C	AS+4 AC+4	GC 12946; 4 years after completion/position filled State of California Guidelines; 2 years after termination
12-03-04	Explorer Program		P&T		CY+2	GC 34090; 2 year minimum requirement CIV 335.1; 2 years for action on injuries caused by neglect. State of California Guidelines; 2 years plus the current year.
12-03-05	Background Investigations, Non-hired		P&T	C	AC+2	GC 34090; 2 year minimum requirement State of California Guidelines; Permanent for hired Safety Personnel; 2 years after position closes for Safety Personnel not hired.
12-03-06	Advanced Officer Training - AOT	Filed by officer containing class outline, tests, percentages, roster, handouts, instructor's qualifications and resumes, daily evaluations, qualification criteria and training scenarios, range lesson plans, firearms safety plan, weapon maintenance, firearm training manuals, simulation training, range master and safety officer for firearms and less-lethal weapons. 2023 forward training records maintained in LEFTA.	P&T		AS+15	GC 34090; 2 year minimum requirement 29 CFR 1627.3(b); 1 year for training records GC 12946; 2 years after termination GC 7920.000; PRA, confidential record status State of California Guidelines; Current year plus 7 years for training records. Current year plus 2 years for certificates and designations training. 15 years after completion for range lesson plans (No citation given).
12-03-07	New Hire Initial Training Program	For Field Training Officer (FTO), Communication Training Officer (CTO) and Community Service Officer (CSO). Legacy hardcopy records. Maintained in LEFTA as of 2023.	P&T		CY+7	GC 34090; 2 year minimum requirement 29 CFR 1627.3(b); 1 year for training records GC 12946; 4 years after termination GC 7920.000; PRA, confidential record status State of California Guidelines; Current year plus 7 years for training records. Current year plus 2 years for certificates and designations training.

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Series Code	Series Name	Description of Documents, As Needed	Office of Record	Special Attributes	Total Retention	® Citations & Legal Basis
12-03-08	Briefing Training Sessions	Topical training giving at a briefing.	P&T		CY+7	GC 34090; 2 year minimum requirement 29 CFR 1627.3(b); 1 year for training records GC 12946; 4 years after termination GC 7920.000; PRA, confidential record status State of California Guidelines; Current year plus 7 years for training records. Current year plus 2 years for certificates and designations training.
12-03-09	Training Management System Database (LEFTA)	Hosted system used to track all training for officers, including inhouse, POST and other training sessions.	P&T		ACT	Transitory Record: Maintain while actively used by the department or until data is transferred to a new tracking system.
12-03-10	Training Reimbursement Forms	Used for officer training reimbursements. Maintained in Caselle as of 2021.	P&T		AA+4	GC 34090; 2 year minimum requirement State of California Guidelines; 4 years after audit
12-03-11	Equipment Inventory	Guns, ammunition, vehicles and other equipment not tracked in LEFTA.	P&T		S+2	GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after superseded for equipment inventory records
12-04-00	Investigations					
12-04-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
12-04-02	Informant Files	Maintained in paper form and reviewed annually for activity. Includes vice crimes (gang, narcotics, prostitution, robbery).	Investigation s	C	AT+10	GC 34090; 2 year minimum requirement State of California Guidelines; 10 years after termination for informant files, no citation stated
12-04-03	Patrol Bulletins	Informational notice about crimes in areas of the City.	Investigation s		CY+2	GC 34090; 2 year minimum requirement State of California Guidelines; Current year plus 2 years for weekly, monthly, quarterly and annual statistical reports.
12-04-04	Registration Files - 11590 HS	Drug registrants	Investigation s		LOR+2	GC 34090; 2 year minimum requirement H&S 11594; 5 years after termination of parole or probation PC 186.32; 5 years after last registration requirement State of California Guidelines; Life of registrant within jurisdiction for arson, sex and narcotics.
12-04-05	Registration Files - 290	For sex offenders. Activity based on ORI status. Adults Juvenile	Investigation s		LOR+2 Varies *	GC 34090; 2 years minimum * PC 290; definitions and references W&IC 781; 5 years after record sealed or when juvenile reaches 38 years. Permanent if tried as an adult. State of California Guidelines; Life of registrant within jurisdiction for arson, sex and narcotics.

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12-04-06	Registration Files - 457.1	Arson - Adults Arson - Juveniles	Investigations		LOR+2 Varies *	GC 34090; 2 years minimum H&S 11594; 5 years after termination of parole or probation PC 186.32; 5 years after last registration requirement * PC 457.1; Arson registration for juveniles, 25 years of age or when records are sealed per W&IC 781 State of California Guidelines; Life of registrant within jurisdiction for arson, sex and narcotics.
12-04-07	Track Fliers	Includes BOLOs from to other agencies.	Investigations		CY+2	GC 34090; 2 year minimum requirement
12-05-00	Property & Evidence					
12-05-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
12-05-02	Property Record / Receipts	Tracks property releases and dispositions. Used to permanently track history of evidence. Not destroyed with the case file.	Property		P	GC 34090; 2 year minimum requirement State of California Guidelines; No citation given. Current year plus 2 years for property control logs recording items coming into and going out of property rooms. Department Preference: Maintain property records and receipts permanently to follow common best practices.
12-05-03	Asset Seizure / Forfeiture Form	For monies seized over a certain amount. Information also kept with the associated case file.	Property		CY+1	GC 34090.7; Duplicate records may be destroyed within the 2 year minimum requirement retention period
12-05-04	Property Room Entrance/Exit Log	Record of entry/exit.	Property		CY+2	GC 34090; 2 year minimum requirement
12-05-05	Evidence Purge / Disposition	Includes weapons destruction logs, drug destruction logs, deposit receipts, property disposition memorandums and returns to owners.	Property		P	State of California Guidelines; Permanent for gun destruction. No citation given. Current year plus 2 years for property control logs recording items coming into and going out of property rooms.
12-05-06	PAS Device Calibration		Property		AT+2	GC 34090; 2 year minimum requirement State of California Guidelines; 2 years after termination of use of equipment for radar calibration records

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Series Code	Series Name	Description of Documents, As Needed	Office of Record	Special Attributes	Total Retention	® Citations & Legal Basis
12-06-00	Animal Control					
12-06-01	General Information	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
12-06-02	Animal Control Services Database	Used to enter and track animal services.	AC		ACT	Transitory Record: Maintain while actively used by the department or until data is transferred to a new tracking system.
12-06-03	Licenses		AC		AE+3	GC 34090; 2 year minimum requirement PC 597.1(d); 3 years after animal's impoundment ends.
12-06-04	Spay / Neuter Certificates		AC		AC+3	GC 34090; 2 year minimum requirement PC 597.1(d); 3 years after animal's impoundment ends. FAC 32003; 3 years for animal disposition records.
12-06-05	Special Animal Permits	May include potentially dangerous animals, dangerous dogs, animal fanciers and other special animals.	AC		AE+2	GC 34090; 2 years minimum State of California Guidelines; Current year plus 2 years for Temporary Use Permits
12-06-06	Monthly / Annual Reports	Include animal intake and euthanasia.	AC		CY+3	GC 34090; 2 year minimum requirement PC 597.1(d); 3 years after animal's impoundment ends. FAC 32003; 3 years for animal disposition records.
12-06-07	Euthanasia Records		AC		AC+3	GC 34090; 2 year minimum requirement FAC 32003; 3 years for animal disposition records.
12-06-08	Animal Bite Reports		AC		AC+3	GC 34090; 2 year minimum requirement PC 597.1(d); 3 years after animal's impoundment ends. FAC 32003; 3 years for animal disposition records.
12-06-09	Vicious Animal Reports		AC		AC+3	GC 34090; 2 year minimum requirement PC 597.1(d); 3 years after animal's impoundment ends. FAC 32003; 3 years for animal disposition records.
12-06-10	Trap Rentals		AC		CY+2	GC 34090; 2 year minimum requirement
12-06-11	Vector Reports	May include County statistics.	AC		CY+2	GC 34090; 2 year minimum requirement Administrative Record, State of California Guidelines
12-07-00	Dispatch & Communications					
12-07-01	General Information	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
12-07-02	CAD Database	Includes CAD event logs.			ACT	Transitory Record: Maintain while actively used by the department or until data is transferred to a new tracking system.

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12-07-03	Alarm Letters & Permits				CY+2	GC 34090; 2 year minimum requirement State of California Guidelines; Current year plus 2 years for false alarm duplicates.
12-07-04	Audio Recordings - Routine	Includes telephone and radio communications. If crime related, the District Attorney must request audio within 100 days of the date.	Comm		180 Days *	GC 34090.6; 100 days. * If a claim is filed or pending litigation, retain with the case file. State of California Guidelines; 180 days for audio, telephone and radio communication tapes, with exceptions of recordings pertaining to GC 34090.6
12-07-05	Visitor logs		Comm		CY+2	GC 34090; 2 year minimum requirement State of California Guidelines; Current year plus 2 years sign-in logs
12-08-00	Public Safety Committee					
12-08-01	General Information & Administration	Includes general subject information, reports and reference documents relating to the record group, but not associated with a specific record series already in the group.	City-wide		AR	Review annually for relevance to current subject matter or projects, inclusion in an associated record series, or creation of a new record series.
12-08-02	Agendas & Agenda Packets		Clerk		P	GC 34090; 2 year minimum requirement State of California Guidelines; Maintain for the Current Year plus 2 years Department Preference: Maintain agenda packets permanently for reference value and to support the minutes, resolutions and ordinances, per the City Attorney's suggestion.
12-08-03	Minutes		Clerk	V, H	P	GC 34090(e); Minutes of governing bodies, Permanent GC 36814; Maintain record of proceedings GC 40801; Maintain record of proceedings State of California Guidelines; Permanent