AGENDA ITEM E-8

CITY OF LODI
COUNCIL COMMUNICATION

AGENDA TITLE: Adopt Resolution Approving Citywide Records Management Program and Policy

MEETING DATE: March 7, 2007

PREPARED BY: Randi Johl, City Clerk

RECOMMENDED ACTION: Adopt resolution approving the Citywide Records Management Program and Policy, which adopts the Secretary of State's guidelines regarding the same.

BACKGROUND INFORMATION: A centralized Records Management Program is key for any municipal entity. It is important to manage and maintain an effective and efficient records environment to preserve permanent and/or vital records, while properly disposing of non-essential records. The attached policy attempts to achieve this goal by providing a clear understanding of the rules and regulations associated with municipal records management. The purpose of the attached Records Management Program is twofold: (1) to establish policies and procedures under a centralized records management program to monitor the efficient creation, utilization, maintenance, retention, preservation, and disposition of City records, based on state and federal statutes governing public records; and (2) to ensure that a responsible program of records management is practiced for the City and its residents. The benefits of properly implemented records policies and procedures include higher quality and faster customer service, increased executive and managerial effectiveness, increased staff productivity for research time, well-organized record inventories, reductions in data and records volume, and greater assurance of legal compliance.

Government Code §12236 states in part, "The Secretary of State shall establish the Local Government Records Program to be administered by the State Archives to establish guidelines for local government retention and to provide archival support to local agencies in this state." The attached document will serve as a guideline for records management operations and procedures for the City of Lodi. It includes sections designed to assist employees with records management in their respective departments. New types of records, changes in the laws, and policy revisions will require that department retention schedules be updated regularly. The attached policy includes the requirement for the City Clerk's office to present this document to the City Council on an annual basis for any warranted changes.

FISCAL IMPACT: While there is no out of pocket cost associated with the new Records Management Program, staff time will be utilized for implementation purposes. However, there will be a cost savings in research time, resources, and records storage once the program is fully implemented.

FUNDING AVAILABLE: Not applicable.

Randi Johl, City Clerk

RJ/jmp
Attachments

APPROVED: _____
Blair King, City Manager

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RESOLUTION NO. 2007-37

A RESOLUTION OF THE LODI CITY COUNCIL APPROVING CITYWIDE RECORDS MANAGEMENT PROGRAM AND POLICY

==========

NOW, THEREFORE, BE IT RESOLVED that the Lodi City Council does hereby approve the Citywide Records Management Program and Policy, as shown on Exhibit A attached hereto.

Dated: March 7, 2007

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I hereby certify that Resolution No. 2007-37 was passed and adopted by the City Council of the City of Lodi in a regular meeting held March 7, 2007, by the following vote:

AYES: COUNCIL MEMBERS – Hansen, Hitchcock, Katzakian, Mounce, and Mayor Johnson

NOES: COUNCIL MEMBERS – None

ABSENT: COUNCIL MEMBERS – None

ABSTAIN: COUNCIL MEMBERS – None

RANDI JOHL
City Clerk

EXHIBIT A

City of Lodi

RECORDS MANAGEMENT PROGRAM MANUAL

Original Adoption: March 7, 2007

(Last Revised: March 7, 2007)

This manual introduces the first Records Management Policy & Procedures for the City of Lodi, California. The manual, which includes the Records Retention Schedules and Destruction Policy, was originally reviewed and approved by the City Council of the City of Lodi on March 7, 2007. Additional information and suggestions are included to provide further records management assistance. Compliance with the policies and procedures set forth in this manual will be an ongoing effort.

PURPOSE - The purpose of a Records Management Program (RMP) is twofold. First, a RMP establishes policies and procedures under a centralized records management program to control the efficient creation, utilization, maintenance, retention, preservation and disposition of City records, based on state and federal statutes governing public records. Second, program implementation ensures that a responsible program of records management is practiced. Records creation and disposition will be in accordance with the law, and in the best interest of the City and its residents.

PRIMARY GOAL OF PROGRAM - The primary goal of the City of Lodi's records management program is to effectively monitor City records data and to maintain a more efficient records environment while preserving permanent City records on legal archival media, eliminating the potential for lost or misplaced records, and creating a functional records management system.

BENEFITS - The benefits of properly implemented records policies and procedures are as follows:

- Higher quality and faster customer service via efficient access to records and the specific information contained within.
- Increased executive and managerial effectiveness via improved access to complete, accurate, and up-to-date records.
- Measurable increases in staff productivity through research time reduction and well-organized record inventories.
- Substantial reductions in data and record volumes, freeing valuable office and filing cabinet space while avoiding expensive off-site storage solutions.
- Greater assurance of legal compliance through use of retention schedules.
- Efficient process whereby vital data and records can be identified and protected, and records no longer required can be identified and disposed of appropriately.
- Identification of modern technology suitable for the City's specific electronic records management needs.
- Measurable costs savings in time, resources, materials, storage, and equipment.

COST OF OPERATING WITHOUT RECORDS MANAGEMENT - An organization may find itself in legal trouble when it fails to maintain, misplaces or improperly destroys important records. The following are examples of fines and judgments imposed since the 1980's as a result of failures in records management practices.

- Piper Aircraft — for selective destruction of relevant documents, judge declared "...records management system a sham..." = $10 Million Judgment
- Iowa Beef Packers — accused of engaging in the worst case of poor record- keeping in matters of worker safety and health = $2 Million Fine
- I Magnin — ages of employees over 50 circled in red in personnel files = $1.9 Million Judgment
- General Motors — cited for failures to record and for improperly recording a wide range of injuries = $500K Fine

When faced with such fines, one should conclude that an effective records management program is a money-saver.

GENERAL RECORDS MANAGEMENT – POLICY AND PROCEDURES

Pursuant to Government Code Section 6250, and the California Public Records Act, "public records" 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. "Writing" means any handwriting, typewriting, printing, photostating, 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. For purposes of this manual, all references to the word "record" or any form thereof, shall encompass these definitions.

Government Code Section 12236 states in part, "The Secretary of State shall establish the Local Government Records Program to be administered by the State Archives to establish guidelines for local government retention and to provide archival support to local agencies in this state." This document serves as a guideline for records management operations and procedures by the City of Lodi. It includes sections designed to assist employees with records management in their respective departments. New types of records, changes in the laws, and policy revisions will require that department retention schedules be updated regularly. The requirement for the City Clerk's office to present this document to the City Council on an annual basis to reflect any warranted changes is also included. Electronic records management and the rapid change in technology will also necessitate an annual update of this document.

MANDATES

Federal Government - Numerous steps are taken at all levels to control government records. Congress and various presidents were instrumental in bringing about legislation to govern the amount of information collected, provide access to public information, protect individuals' privacy, establish records management programs at the federal level and authorize the appropriate use of records retention and disposition schedules. Both federal and state case law and rules require parties to preserve documentary, including electronic, evidence that relates to cases being litigated, or cases for which there is a reasonable expectation of litigation.

State Government - State governments adopt their own versions of records management laws. California law states that unless otherwise provided by law, records may be destroyed after two years (Government Code 34090, et seq.) Government Code Section 12236(a) states, "The Secretary of State shall establish the Local Government Records Program to be administered by the State Archives to establish guidelines for local government retention and to provide archival support to local agencies in this state." This was the first step towards the consistent application of records retention for all local/municipal governments in the State of California. The retention schedules used in this document were based on these guidelines.

Local Agencies - On the local level, only the City Council can authorize records destruction. Legal and proper disposal is governed by approved retention schedules to help determine specific records which may be destroyed and documented with the required approvals and processes as outlined in the City's rules and regulations and this Policy.

Note: Duplicates or photocopies of original records no longer needed may be disposed of as their destruction does not require approval.

The City of Lodi has specific obligations concerning its records. As a governmental agency, much of the City's records are considered "public" records. As such, there is an obligation to provide the public access to this information upon request. On the other hand, some of the information is of a confidential nature (e.g. closed session memos, applicants' financial statements, etc.) and staff must exercise the responsibility to maintain those records in an appropriate fashion to prevent unlawful disclosure. Regardless of the situation, staff must be knowledgeable in order to preserve the integrity of all records in and under their care. (Government Code §34090 et seq.)

RESPONSIBILITIES

Policies and procedures, under the direction of the City Clerk, are hereby established for the coordination, administration and implementation of the Records Management Program, under which City records are retained for administrative, legal, fiscal, historical and/or research purposes, and destroyed pursuant to law and the policies and procedures set forth in this manual.

City Clerk - The City Clerk is responsible for developing, coordinating and administering policies and procedures for the implementation of the Records Management Program, and providing guidance to staff responsible for their respective department records.

To perform this function, the City Clerk shall on an ongoing and periodic basis:

- Create, maintain, and make available all forms required by the Records Management Program.
- Oversee the development, revision, and maintenance of the Records Retention Schedule for all City records, including the preparation of any amendments as dictated by statute, staff, or Council Policy.
- Submit proposals for any Retention Schedule amendments to the City Attorney.

- Create an annual report of any changes for presentation to the City Council.
- Maintain a current inventory and index of records transferred for off-site storage and coordinate the transfers regarding the same.
- Establish guidelines and coordinate periodic reviews of City records to determine which records are eligible for destruction in accordance with the Records Retention Schedule subject to approval of the Department Head, City Clerk and City Attorney.
- Coordinate with departments the timely destruction of obsolete records according to the procedures herein, certify and document destroyed records and ensure that Certificates of Destruction are permanently kept on file with the office of the City Clerk.
- Oversee the special handling of confidential, historical, and essential records while ensuring the safety of vital records in the event of a disaster.
- Maintain accurate and timely electronic databases and a uniform filing system of all legislative actions affecting the creation, utilization, maintenance, retention, preservation and disposition of City records in order to efficiently track and retrieve City records.
- Respond to records requests by City staff in an efficient and timely manner.
- Respond to public records requests and subpoenas in an efficient and timely manner in accordance with the law and City policy.

City Departments - Each Department Head is responsible for the following:

- Designating a qualified employee to serve as the department records liaison ("Records Liaison").
- Creation of a reliable and accurate filing system to ensure the efficient maintenance, retrieval and disposition of records under his/her control.
- Ensuring that obsolete records under his/her control are destroyed in a timely manner in accordance with the policies and procedures stated herein.
- Submitting a request for any necessary revisions to the Records Retention Schedule to the City Clerk, who will in turn review the request and submit a recommendation to the City Attorney. Upon concurrence, the request shall be included in the annual report to City Council.

Records Liaisons - Each Records Liaison shall act as the main point of contact within each department for questions related to records management. Specific responsibilities include:

- Maintain and control the disposition of department records.
- Serve as liaison to apprise of and bring current any records needs or any newly created records not shown in the current Records Retention Schedule.
- Conduct inventories and assessments of department records on an annual basis.
- Oversee the identification and collection of appropriate records for destruction, ensuring implementation is in accordance with the Records

Management Program and the Records Retention Schedule in the normal course of business.

- Assist in monitoring legal mandates related to the unique types of records maintained by department.

City Employees - All City employees are responsible for ensuring the policies and procedures established within this manual are followed.

RECORDS DESTRUCTION POLICY

Records Management Program Manual: The City Clerk will distribute this Records Management Program manual to all Department Heads. Each Department Head is responsible for ensuring that the records under his/her control are maintained and disposed of in accordance with the policies and procedures herein. This document shall be reviewed and revised annually to ensure it meets all legal and administrative requirements. The manual will supply the necessary tools for staff to effectively manage, utilize, store, retrieve, and dispose of records.

Required Forms: The following forms are to be utilized by Departments to efficiently and accurately identify, inventory, transfer to storage, retrieve, and destroy records under his/her control: (Each form, including instructions, is attached).

Records Inventory Worksheet: (See Attachment A, Form 1) - This form is used to collect the inventory and appraisal information needed to develop retention periods for public records under the control of each City department.

Records Retention Schedule: (See Attachment A, Form 2) - This form governs the mandatory disposition of City records by indicating the minimum length of time records shall be maintained in the office and in storage, the maximum preferred time by the department, if longer, and the time period after which they may be destroyed.

Records Retrieval/Transfer Request Form: (See Attachment A, Form 3) - This form is to be used for the transfer and/or retrieval of any record to or from off-site storage. The form shall be prepared by the requesting department and submitted to the City Clerk or his/her designee.

Authority to Destroy Obsolete Records Form: (See Attachment A, Form 4) - This form is prepared by the department intending to destroy eligible records. The City Clerk reviews the form for adherence/compliance with the requesting department's retention schedule and City policy. The form is then forwarded to the City Attorney for final review and approval. It is only after all required signatures have been obtained, the specified records may be destroyed. The original fully-executed form is permanently retained by the City Clerk's office.

As provided by Government Code Section 34090, with approval of the legislative body by resolution, upon the request of the Department Head, and with the written consent of the City Clerk and City Attorney, the records identified in the respective department Records Retention Schedule are authorized to be destroyed in accordance with the retention periods and the policies and procedures set forth in this manual. The approved City Council resolution authorizes staff to destroy those records.

The Office of the City Clerk shall be responsible for scheduling and coordinating with all City departments the destruction of records *on an annual basis*. Initially, and on an ongoing basis, the appropriate forms will be provided to all City departments to facilitate documentation of records identified for destruction. Each Records Liaison will identify and separate those records and complete the "Authority to Destroy Obsolete Records" form, obtain the Department Head's signature and forward it to the City Clerk's office. After the authorizing signatures are obtained, the Records Liaison will be notified that the subject records may be properly disposed of.

It shall be required that the Department Head, City Clerk and City Attorney authorize and sign each completed "Authority to Destroy Obsolete Records" form prior to any records being destroyed.

IMPORTANT: *All "Authority to Destroy Obsolete Records" requests must be carefully scrutinized by all signatory staff in order to determine whether any records listed are involved in litigation or if there is an administrative and/or operational requirement which may require a temporary extension of the retention period.*

Records approved for destruction that are deemed to be confidential in nature shall be shredded. All other records shall be removed from their locations and recycled or otherwise securely disposed of pursuant to City procedures. The City Clerk shall certify every destruction of records and maintain a permanent record of all destroyed records and destruction certifications.

EXCEPTIONS:
Notwithstanding the provisions identified above regarding the disposition of records, in accordance with Government Code Section 34090, the City is not authorized to destroy permanent records, which include, but are not limited too, the following:

- Records affecting the title of real property or liens thereon.
- Court records.
- Records required to be kept by statute.
- (Original) Records less than two years old.
- Minutes, resolutions, or ordinances of the City Council or the City's Boards, Committees or Commissions.
- Records relevant to cases that are in litigation or those the City has reason to believe will be litigated.

PROCEDURES FOR ANNUAL RECORDS PURGE:
Each year the Records Liaison shall conduct a survey and purge of records as follows upon receiving the corresponding memo from the City Clerk:

- Inventory records on an itemized list of those deemed inactive and no longer needed for regular reference or routine operations.
- Utilizing the "Records Inventory Worksheet," complete the form relative to the records series list.
- Submit the same to the City Clerk for further processing and to confirm consistency with the Retention Schedule.

- Once confirmation is obtained, prepare the records for destruction and/or transfer by placing them in a records storage box or other receptacle. Label the box according to the pertinent retention period and department name and/or as instructed.
- Arrange with the City Clerk's office for transfer to the Records Center.
- Retain the approved Inventory Worksheet with attached inventory list and file a copy with the City Clerk's office.

PUBLIC RECORDS REQUESTS:

Each Department Head is responsible for ensuring that a request for public records is processed according to the procedures pursuant to the Public Records Act (Government Code Section 6250, et seq.) and pursuant to City policies and procedures. A "record" is any writing containing information relating to the conduct of the public's business that is prepared, owned, used, or retained regardless of physical form or characteristics. When a request for information is unclear and/or vague, the information is not readily ascertainable, or may be confidential, City Attorney guidance shall be sought as soon as practicable after the request is received to ensure timely processing of the request.

The California Public Records Act was enacted because "access to information concerning the conduct of the people's business is a fundamental and necessary right of every person in this state." The Act is also mindful of the right to privacy. Therefore, it is critical that the City protect citizens' rights to privacy and comply with laws protecting the same. If a record is a public record, and if it is not specifically exempt from disclosure, it is available for inspection for any member of the public. It is the City's policy to fully comply with the California Public Records Act.

VITAL RECORDS PROTECTION:

Vital records contain information necessary for the City to resume operations after a disaster. Each Department Head is responsible for identifying the vital records under his/her control and ensuring that the vital records are maintained according to the City's Emergency Operation Plan.

ATTACHMENT A

FORMS

City of Lodi

RECORDS INVENTORY WORKSHEET

DATE:_____

Department:	**Location (Building, Suite, Etc):**	**Inventoried By:**
Record Series Title(s):		
Description of Record Series (Content, Purpose, Created By, Form No., Etc.):		
Circle Media Format of Record Series: **Paper CD Floppy Microfilm Microfiche Tape Journal** **Other (Specify):**		
Range/Dates of Records (Beginning an End):		
Original of Duplicate – Check One and Complete: **___ Original, list location(s) of duplicates:** **___ Duplicate, list location(s) of originals:**		
List Other Departments/Divisions/Agencies Who Receive Copies:		
Describe Value of Record Series and Utilization (i.e., historical, legal, fiscal, administrative, vital, confidential, etc.):		
Department Retention (Amount of Time Record Series Retained by Department):		
Name of Contact Person and Extension for Record Series:		
Miscellaneous Department Comments:		
Appraisal Comments by City Clerk:		

City of Lodi

RECORDS RETENTION SCHEDULE

DEPARTMENT:_____

Records Series Title	Legal Retention	Staff Recommended Retention	Citation	Description

City of Lodi

REQUEST TO OBTAIN/TRANSFER RECORDS FROM/TO RECORDS CENTER

Date: Check One: Obtain_____ Transfer_____

Employee:

Department:

If Requesting Record:

File Reference (Name Subject, Number, Address, Date Range, Etc.): _____

Description (Warrant Ledgers, Citations, Payroll, CUPs, Etc.): _____

Media Type (Folder, Journal, CD, Microfilm, Etc.): _____

Box No. _____ Date Range: _____ Expected Return Date: _____

Purpose of Request (Briefly Explain):

If Transferring Record:

No. of Boxes: _____ Retention Period (From/To):_____

Requesting Employee's Signature: _____

City Clerk's Staff Signature: _____

This form is intended to be used by City personnel for the transfer of records from or City Records Center by requesting department. It is imperative that the above form is completed accurately and completely in order to maintain order and flawlessly manage all records retained in the Records Center.

INSTRUCTIONS FOR COMPLETING THIS FORM:

1. Fill in DATE of request, EMPLOYEE NAME, and TELEPHONE EXTENSION
2. Fill out DEPARTMENT name such as City Attorney, City Clerk, Community Services, Planning, etc.
3. FILE REFERENCE means the method by which the record is accessed: name, number, date, etc.
4. DESCRIPTION refers to the kind of record: warrant ledgers, citations, accts. payable, payroll, CUPs, etc.
5. MEDIA TYPE refers to form of record: file folder, box, journal, ledger, floppy, CD, microfilm, etc.
6. DATE RANGE includes the beginning and ending dates of records requested
7. EXPECTED RETURN DATE: must be during City Hall normal operating hours
8. PURPOSE OF REQUEST: Please explain the purpose of borrowing/transferring said records

City of Lodi

AUTHORITY TO DESTROY OBSOLETE RECORDS

The below-listed department records have been retained in accordance with the City's Records Management Program Policy and Procedures and with applicable federal and state laws as set forth in the City of Lodi Retention Schedules. In accordance with the City's Records Management Program, with the consent of the Department Head, and upon written approval of the City Clerk and City Attorney, these records will be properly destroyed/disposed of.

Note: Documents will be reviewed for historical value and, if applicable, retained in the archives. Documents involved in litigation or pending audit will not be destroyed.

Department:	**Date:**	**Total No. of Pages:**	**Proposed Destruction Date:**
Division:	**Prepared By:**	**Signature:**	
Record Series Title (Same as Retention Schedule)	**Dates of Records (From and To)**	**Storage Location**	**Box No.**

Department Head:_____ Date:_____

City Clerk:_____Date:_____

Consent is hereby given to destroy the above-listed records:

*City Attorney:_____Date:_____

Destruction Completed By:

_____

Printed Name Signature Date

Attachment A – Form 4 (Authority to Destroy Records)

**Signature certifies a City Attorney assessment that records are not relevant to existing or anticipated litigation.*

ATTACHMENT B

SECRETARY OF STATE'S LOCAL GUIDELINES FOR RECORDS RETENTION

SECRETARY OF STATE

LOCAL GOVERNMENT

RECORDS MANAGEMENT GUIDELINES

SECRETARY OF STATE BRUCE MCPHERSON

ARCHIVES AND MUSEUM DIVISION
RECORDS MANAGEMENT

(916) 653-4398

FEBRUARY 2006

LOCAL GOVERNMENT

RECORDS MANAGEMENT GUIDELINES

TABLE OF CONTENTS

CALIFORNIA GOVERNMENT RECORDS MANAGEMENT PROGRAM……..2-1000

BACKGROUND…….2-1010

AUTHORITY…….2-1020

DEFINITIONS……..2-1030

RECORDS MANAGEMENT…..……..2-2000

PRINCIPLES…….2-2010

INVENTORY……..……..2-2020

APPRAISAL AND SCHEDULING……..…….2-2030

RETENTION SCHEDULES……..…….2-2040

DISPOSITION OF RECORDS…….2-2050

SUMMARY……..…….2-2060

ACKNOWLEDGEMENT…….2-2070

ADMINISTRATIVE RECORDS – TYPICAL RETENTION PERIODS…..……ATTCH A

RECORDS MANAGEMENT AND ARCHIVES RESOURCES ……ATTCH B

CITY RECORDS RETENTION GUIDELINES……ATTCH C

COUNTY RECORDS RETENTION GUIDELINES……ATTCH D

LOCAL GOVERNMENT RECORDS MANAGEMENT GUIDELINES

California Government Records Management Program 2-1000

Background 2-1010

In 1968 the Legislature passed the California Public Records Act (PRA) (Government Code, Section 6250 et seq.) which is modeled after the federal Freedom of Information Act and details what government information is, and is not, available to the public. In general, all records are open to the public except 28 specific exemption categories listed in PRA, Section 6254. The PRA applies to all records, in whatever form, maintained by either state or local public agencies.

In 1978 the Information Practices Act (IPA) (California Civil Code, Section 1798 et seq.) became effective to protect personal privacy rights for individuals. The IPA is modeled after the Federal Privacy Act of 1974 and supercedes portions of the PRA. It does not apply to local public agencies except under voluntary contractual agreements.

The State Records Management Act (Government Code, Section 14740-14774) requires the Director of the Department of General Services (DGS) to establish and administer the state's records management program. The program applies "… to the creation, utilization, maintenance, retention, preservation, and disposal of state records." DGS administers the program though the State Administrative Manual (SAM), Chapter 1600 and the California Acquisition Manual (CAM).

SAM and CAM require every state agency to establish Records Retention Schedules which, when approved, become the legal authority for the agency to dispose of official public records. Retention schedules are the key element in effective records management programs for both government and private industry. State agencies must revise and update their schedules every five years or whenever a change occurs that impacts the keeping or disposing of agency records. The Records Management Act, SAM and CAM do not apply to local public agencies.

Since, with the exception of the PRA, legislation and directives establishing the state Records Management Program **do not** apply to local government, county and/or city government agencies do not have a standardized program of accountability for their treatment of public records. Nor does local government have standard retention periods for various record categories other than certain record types identified in government codes that mandate specific local programs. To alleviate this situation the 1999 legislature added Section 12236 to the Government Code, which states in Section 12236 (a) "The Secretary of State shall establish the Local Government Records

Program to be administered by the State Archives to establish guidelines for local government retention and to provide archival support to local agencies in this state."

These guidelines are an initial attempt to provide some standards and structure to the local government records management effort. Other attempts at standardization include the California City Clerks Association's 1998 list of common local government records and recommended retention periods. The goal of the State Archives in compliance with GC 12236 is to consolidate information resources and provide local government with a single source for archival and records management support and guidance.

Authority 2-1020

- California Public Records Act (Government Code, Section 6250 et seq.)
- Government Code, Section 12236

Definitions 2-1030

- **Active Records** – As a measure of activity for records that are referred to at least once a month per cubic foot of records. Also – As a retention period for a Perpetual Record that remains "active" until some event occurs to change its status, at which time it has fulfilled its function. (See also **Perpetual Record**)

- **Administrative Records** – Records commonly found in all offices and typically retained only for short time periods – less than five years. Examples include subject, chronological, budget, and policy files.

- **Archival Records** - Records with enduring value because they reflect significant historical events, document the history and development of an agency, or provide valuable research data.

- **Discovery** – The pretrial disclosure of pertinent facts or documents by one or both parties to a civil action or proceeding. Anything requested during discovery must be disclosed if it exists – even non-records and records that should have been destroyed earlier. Discovery effectively freezes selected holdings until released by opposing attorney or the court.

- **Local Government** – Government Code, Section 6252 states: "'Local Agency' includes a county; city, whether general law or chartered; city and county; school district; municipal corporation; district; political subdivision; or any board, commission or agency thereof; other local public agency; or nonprofit entities that are legislative bodies of a local agency pursuant to subdivisions (c) and (d) of Government Code, Section 54952."

- **Non-Records** - Material not usually included within the definition of records, such as unofficial copies of documents kept only for convenience or reference, working papers, appointment logs, stocks of publications and processed documents, and library or museum material intended solely for reference or exhibition. Also, documents such as rough notes, calculations or drafts assembled or created and used in the preparation or analysis of other documents. (See also **Discovery**)

- **Permanent Records** – Records that are required in perpetuity, usually identified by statute or other written guidance. Examples include original birth certificates, death certificates, Spanish land grants, etc.

- **Perpetual Records** – Records retained for an indefinite period of time and then stored or destroyed after some event takes place. Examples include office personnel files which are kept until a person leaves the office, policy files kept until the policy is changed, contract files kept until the contract terminates, etc.

- **Program Records** - Records that relate to the primary function of the agency in response to its daily mission. Examples include lien files, recorders files, election files, probate records, medical records, etc.

- **Public Records** - Any 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.

- **Records** - All papers, maps, exhibits, magnetic or paper tapes, photographic films and prints, punched cards, and other documents produced, received, owned or used by an agency, regardless of physical form or characteristics.

- **Records Retention Schedule** - A list of all records produced or maintained by an agency and the actions taken with regards to those records. A retention schedule is an agency's legal authority to receive, create, retain, and dispose of official public records. It assists the agency by documenting which records require office or temporary storage, which records have historic or research value, and which records should be destroyed because they no longer have any administrative, fiscal, or legal value. In the event of litigation, courts accept a retention schedule as establishing an agency's "normal course of doing business".

- **Retention Period** – The length of time a record must be retained to fulfill its administrative, fiscal and/or legal function. Then a record should be disposed of as soon as possible in accordance with an approved Records Retention Schedule.

Records Management 2-2000

Principles 2-2010

According to Government Code, Section 14740, California's Records Management Program is designed to "…apply efficient and economical management methods to the creation, utilization, maintenance, retention, preservation, and disposal of state records". Effective Records Management ensures that records are kept **only** as long as they have some administrative, fiscal, or legal value.

When records no longer fulfill the value for which they were created, they should be destroyed unless they also have some historic or research significance. If that is the case the records should be preserved by an appropriate historical agency. Staff members should realize that an effective records management program is not only cost effective, it will also make their jobs easier. They should also know that records retained beyond their value "just in case" only extend the agency's legal liability in the event of adverse litigation.

These principles apply to all levels of government.

Inventory 2-2020

The first step in records management is a records inventory. Agencies need to know what records they have, where the records are kept, the volume, and how the records are used. This information is essential for developing a Records Retention Schedule to document the agencies normal course of doing business.

The Records Inventory Worksheet, state form STD 70, is available to assist agencies in gathering information needed in a records management program. Regardless of the form used, the following information should be obtained during any inventory of agency records:

- Record Series - A record series is a group of similar records arranged under a single filing system or kept together as a unit. They deal with a particular subject (budget, personnel, etc.), result from the same activity (arrest reports, property assessments, etc.), or have a special form (blueprints, maps, etc.). The title of each record series should be as accurate as possible, since future references to the records will be by the record series name. Avoid vague titles such as "Corporate Papers", "Official Documents", or "Vital Correspondence".

- Media – Determine the media for each record series such as paper, microfilm, etc. Also note if the same record exists in several medium.

- Years covered – Determine the period of years covered by each record series. (Example: 1994-98).

- Activity Level - The amount of activity involving a record determines where the record should be stored. Active records need to be readily available and are generally stored in the office because they are accessed frequently. Inactive records that are still needed but only accessed occasionally should be warehoused in low cost storage.

- Volume – Note the volume of each record series by the cubic feet of space they occupy. This number is a spot count and should represent only those records on hand at the time of inventory. A typical file drawer or archive box contains approximately one cubic foot of actual records. Folders, separators, tab cards, etc. are not considered part of a record.

Appraisal and Scheduling 2-2030

After the inventory, sound records management requires a realistic appraisal of records in relation to their period of usefulness and their value to the agency that owns them. The appraisal will:

- Establish reasonable retention periods.
- Identify records that can be destroyed immediately.
- Identify records that should be transferred to low cost storage.
- Identify vital and/or confidential records.
- Identify records with historic and/or research value.
- Determine the method of disposition.

Once records are inventoried, determine the immediate and future usefulness of the records. In general, records should be retained only as long as they serve the immediate administrative, legal and/or fiscal purposes for which they were created. When records no longer serve these purposes, they should be disposed of or preserved for archival purposes, whichever is appropriate.

Records with administrative value are created to help accomplish the functions for which an agency is responsible and have administrative value only as long as they assist the agency in performing current or future work. Their administrative use is exhausted when the transactions to which they relate are complete and from that point on they lose value rapidly.

Records with legal value contain evidence of legally enforceable rights or obligations of the agency. Examples are records that provide the basis for action, such as legal decisions and opinions; fiscal documents representing agreements, such as leases, titles and contracts; and records of action in particular cases, such as claim papers and legal dockets.

Fiscal records pertain to the financial transactions of the agency, such as budgets, ledgers, allotments, payrolls and vouchers. After some records have served a basic administrative function, they may still have sufficient fiscal value to justify additional retention to protect the agency against court action and/or audits.

Some records will also have enduring value because they reflect significant historical events or document the history and development of an agency. Others contain accumulated data that can be useful for both scientific and genealogical research. At the local level historical societies and/or public libraries may be able to assess this potential value for the agency.

The final step in appraising records is determining their retention period. Keeping records, either in offices or storage areas, is very expensive and the actual or potential value of the records must be weighed against the cost. Most managers tend to keep records too long "just in case" and unwittingly extend the agency liability for as long as the records exist. Except for perpetual records, most administrative records should only be kept two or three years and certainly not more than five. Program records (unique and representative of the function of the office) are typically large files and kept for longer periods of time. Attachment A contains recommended retention periods for common administrative records maintained by several state agencies.

Questions to ask are how serious would it be if a particular record 5 or 10 years from now were unavailable? What are the chances of it being needed? Are the consequences serious enough to justify keeping a large volume of records for long periods of time at considerable cost? Is the information available anywhere else? What would it cost to reconstruct the record if necessary? Answering these questions will lead to a more realistic approach to the problem of determining how long records should be kept.

Establishing retention periods may also involve negotiation with the people who use the records. They should be encouraged to look realistically at their need for the records. Don't accept the answer that 'the records are used all the time and therefore must be kept permanently'. "Permanent" retention is very expensive, rarely necessary, and usually must be justified by a specific written requirement such as a statute, legal opinion, government code, etc. The State assumes "permanent" to mean 500 years! Will your records really have any value 500 years from now?

Once retention periods have been established for all records, a Records Retention Schedule can be developed. The schedule formalizes the retention and disposition of the agency's records and establishes the agency's "normal course of doing business".

Retention Schedules **2-2040**

A properly prepared and approved Records Retention Schedule is an agency's legal authority to do whatever needs to be done with records and documents entrusted to the agency's care. It certifies the life, care, and disposition of all agency records. If subpoenaed records have been destroyed, agency schedules (AND EVIDENCE OF COMPLIANCE WITH THOSE SCHEDULES) will defend the agency's actions. However, to prove there was no adverse intent when records were destroyed, schedules must be specific and consistently used. Adverse intent (to keep records out of court) is both a civil and criminal offense.

The state uses two forms to create Records Retention Schedules: the Records Retention Schedule Approval Request, STD Form 72 (pdf); and the Records Retention Schedule, STD Form 73 (pdf). The Form 72 contains signature elements from the agency involved, the Records Manager, the approval authority, and an archival review. The Form 73 is the schedule itself and contains an agency description or mission statement plus the listing of all agency records. Both of these forms are for state agencies but could easily be adapted/modified for use by local government.

Use of these or similar forms help an agency ensure their schedule contains all the elements necessary to withstand legal scrutiny. The signatures of the program manager (record custodian) and agency Records Manager attest to the completeness and accuracy of the information on the schedule. The approval authority should be the government body having administrative authority over the agency. For local government this authority could be the County Board of Supervisors, County Administration, Mayor's Office, City Administrator or similar government functions. Archival review at the local level could be from a county or city historical society, historical museum, library, or similar organization.

In state government schedules are considered current for five years unless amended sooner due to a significant change in an agency's record keeping practices. A change of mission, added functions, new programs, etc. would all trigger an amendment to an existing schedule. Regardless of any amendments, a new schedule must be prepared and approved after five years to ensure the schedule accurately and completely reflects the agency's records holdings and disposition. Renewing schedules more frequently is always an option, and is required in some states. Local government agencies should adopt whatever cycle is most practical within their jurisdiction.

Physical location, complexity, and activity levels of records are some of the factors to consider when determining how many schedules are needed to support an agency's records management program. Small agencies housed in one facility with narrowly focused missions may only need one schedule for the entire agency. Larger, more complex agencies may need many schedules to efficiently and effectively document the varied records maintained by the agency. For example, County Health Services in a large populous county would probably require separate schedules for Children's Services, Mental Health, Health Promotion, Elder Care Services, etc. On the other

hand, a small county Health Services Agency might use a single schedule and list record series in groups under each different agency function.

Disposition of Records 2-2050

Once records have fulfilled their administrative, fiscal, or legal function they should be disposed of as soon as possible in accordance with their Records Retention Schedule. A properly completed schedule provides an agency with the legal authority to dispose of records entrusted to its care. Disposition may include sending appropriate records to an archival facility, recycling unneeded records, and/or destroying unneeded confidential records. Remember, in the event of litigation the court will want to know what the agency does in the normal course of doing business. Your Records Retention Schedule spells out the normal course of business for how your agency handles and disposes of its records.

In general, most agencies keep records well beyond the record's administrative, fiscal, or legal value "just in case" the records may be desired for future purposes. That is one of the worst reasons to retain records because excess records over-burden staff, slow response times to public requests, and extend the agency's legal liability. A court can not demand an agency produce documents that have been destroyed in accordance with accepted and documented (your retention schedule) industry practices.

Summary 2-2060

Records Management's primary concern is the efficient, effective and economical management of information. The guiding principle of Records Management is to insure that information is available when and where it is needed, in an organized and efficient manner, and in a well-maintained environment. Records Management is more than retention schedules and the disposition of records; records management also encompasses all the record-keeping requirements that allow an organization to establish and maintain control over information flow and administrative operations. Records Management seeks to control and manage records through the entirety of their life cycle, from their creation to their final disposition.

In today's litigious society Records Management is more important than ever but unfortunately is still overlooked and under-funded at all levels of government. In court an astute attorney can discredit an agency in the eyes of a judge or jury by attacking the way the agency handles its records. The fact that the records may refute or support a particular position is obscured by the attack on how the agency accounts for and handles those records. The agency's legal position in the litigation may be influenced by how well or how poorly they comply with accepted records management practices.

A sound records management program doesn't cost – it pays. It pays by improving customer service, increasing staff efficiency, allocating scarce resources, and providing

a legal foundation for how an agency conducts its daily mission. It helps identify and justify opportunities for new technology. Microfilm, optical disk, optical character recognition, workflow, e-mail, bar code, and other related technologies cannot be adequately evaluated and cost justified without a good records management program. Other benefits of effective records management include:

- Space Savings
- Reduced expenditures for new filing equipment
- Increased efficiency in information retrieval
- Compliance with legal, administrative, and fiscal retention requirements
- Identification and protection of vital records
- Control over creation of new records
- Identification of records with research value
- Identification of records with historical value

Acknowledgement **2-2070**

The California State Archives would like to acknowledge the League of California Cities and the City Clerks Association of California for their major contribution to these guidelines. Attachment C represents several years of effort by the League and the Association to provide standard retention periods for record series common to most city jurisdictions. Attachment D – County Records Retention Guidelines has been permanently removed.

Please forward comments and/or corrections to these retention periods to the California State Archives.

For assistance in developing a Records Management Program or to comment on this web site please contact:

Renee Vincent-Finch
Local Government Records Coordinator
Secretary of State
Archives and Museum Division
1020 O Street
Sacramento, CA 95814
(916) 653-4398, Fax (916) 653-7363
rfinch@ss.ca.gov

Administrative Records - Typical Retention Periods

Type of Record	Years	Remarks
Correspondence		
Chron Files	2	
General/Public	3	
Controlled	2	
Reports	3	
Subject Files	3	
Reproduction/Printing Requests	2	
Financial		>4/7 = 4 yrs for state funds/7 for federal funds<
Expense Reports	4/7	Or until audited, whichever is first
Budgets	4/7	Or until audited, whichever is first
Billing/Accounting Reports	4/7	Or until audited, whichever is first
Budget Change Proposals	4/7	Or until audited, whichever is first
Budget Change Concepts	4/7	Or until audited, whichever is first
Audits	4/7	
Invoices	4/7	Or until audited, whichever is first
Fees/Receipts	4/7	Or until audited, whichever is first
Checks/Ledgers/Registers	4/7	Or until audited, whichever is first
Cal Stars Reports	Active+1	Active until new budget approved*
Cost Recovery - Federal	Active+7	Active until claim paid then 7 or until audited, whichever is first*
Cost Recovery - State	Active+4	Active until claim paid then 4 or until audited, whichever is first*
Grants	Active+2	Active until end of grant year*
Equipment/Supplies/Space		
Inventory	Active	Active until revised*
Purchase Request/Order	Active+4/7	Active until items received(4/7 if subject to audit)*
Service Orders/Authorizations	Active	Active until service performed*
Vendor Information	Active	Active until revised*
Building Maintenance/Leases	Active	Active until lease terminates*
Inspection Reports/Moves/Space	Active	Active until revised/rescinded/superseded*
Equipment Maintenance	Active+2	Active until maintenance complete*
Hardware/Software Documentation	Active	Active until revised/rescinded/superseded*
Vehicle Files	2	
Personnel		
Duty Statements	Active	Active until revised*

Employee Records	Active+1	Active until employee leaves/terminates. PRA 6254, IPA 1798.40, Confidential Destruction. (CD)*
Attendance	Active+1	Active until employee leaves/terminates. PRA 6254, IPA 1798.40, CD.*
Travel	Active+1	Active until travel complete. PRA 6254, IPA 1798.40, CD.*
Training	3	PRA 6254, IPA 1798.40, CD.
Applications	2	PRA 6254, IPA 1798.40, GC 12946, CD.
Interview Documents	2	PRA 6254, IPA 1798.40, CD.
Affirmative Action	Active	Active until revised*
Merit Awards	3	PRA 6254, IPA 1798.40, CD.
Superior Accomplishments	3	PRA 6254, IPA 1798.40, CD.
Labor Relations	2	
Production/Assignment Logs	2	
Overtime Logs	2	PRA 6254, IPA 1798.40, CD.
Action Requests/Grievances	2	PRA 6254, IPA 1798.40, CD.
Toxic Exposure Reports	Active	Active until employee leaves/terminates. PRA 6254, IPA 1798.40, CD. Transfer Rpt with employee.*
Policy/Procedure/Organization		
Policies (All)	Active	Active until revised*
Procedures (All)	Active	Active until revised*
Compliance Requirements	Active	Active until revised*
Organization Charts	Active	Active until revised*
Mission Statements	Active	Active until revised*
Associations	Active	Active while membership is current*
Meetings/Minutes/Agendas	2	
Activity Reports	2	
Studies/Statistics	3	
Feasibility Studies	5	
Request for Proposals	3	
Delegation Orders	Active	Active until revised/superseded/Revoked*
Conferences/Committees	3	
Contracts	Active+4/7	Active until contract terminates/+4/7 if subject to audit*
Emergency Preparedness	Active	Active until revised*
Public Hearings	5	
Health/Safety	3	
Plans and Goals	Active	Active until revised/rescinded/superseded/Complete*
Records Management		
Records Retention Schedule	Active	Active until revised*
Records Transfer List (STD 71)	Active	Active until disposal of records*
Records Destruction Authorization	4	

Forms File	Active+1	Active until revised/rescinded/superseded*
Legislation/Regulations/Legal		
Bill Analysis	3	PRA 6254
Research Information	3	PRA 6254
Proposed Legislation/Regulations	4	PRA 6254
Legal Opinions	Active+1	Active until issues resolved*
Law Suits/Small Claims	Active+1	Active until litigation complete*
Enrolled Bill Report	4	PRA 6254
PRA/IPA Files	2	
Public Relations		
Clippings	2	
Press Releases	2	
Speeches	2	

* "Active" retention is for Perpetual Records that remain "active" until some event occurs. After the event occurs the records are disposed of or may require retention for an additional short period of time.

The "Remarks" section of a retention schedule also identifies records not subject to public disclosure because of code or statute, as well as any other unusual or significant characteristics about a record series. PRA refers to the California Public Records Act and IPA refers to the Information Practices Act. CD stands for Confidential Destruction.

Most administrative records are small in volume and the records retained for less than five years.

Program Records:

There are no typical retention periods for program records because they are unique to the individual office. They represent the reason the office exists and their retention is usually specified in some statute or regulation that established the office or program. A few program records may be identified for permanent retention however most will be retained for a specific number of years, or as perpetual records with an "Active" period, just like administrative records.

Most program records are large in volume and may be required much longer than administrative records. As with administrative records, program records should be retained only as long as they have some administrative, fiscal, or legal value. After that they should be disposed of in accordance with an approved Records Retention Schedule.

Records Management and Archives Resources

Many resources exist to assist you in your records management program. This list is not all-inclusive but will provide you with several contacts where you can ask questions and receive professional answers to many records management issues. All of these resources provide information free of charge and some also offer membership in the organization, which entitles you to additional benefits.

AIIM - Association for Information and Image Management, International.
AIIM is a global industry association connecting users and suppliers of enterprise content management (ECM) technologies - tools and methods that help capture, manage, store, preserve and deliver content in support of business processes. AIIM is a neutral and unbiased source of information. They produce educational events and conferences, provide up-to-the-minute industry information, and are ANSI/ISO-accredited for standards development. Local chapters provide networking and educational opportunities throughout the country.

World Headquarters
1100 Wayne Avenue, Suite 1100
Silver Spring, MD 20910
1-800-477-2446
http://www.aiim.org/

ARMA International – Association of Records Managers and Administrators.
The mission of ARMA International is to provide education, research, and networking opportunities to information professionals, to enable them to use their skills and experience to leverage the value of records, information, and knowledge as corporate assets and as contributors to organizational success. ARMA has a network of local chapters that provide educational opportunities for members and non-members alike.

ARMA International
4200 Somerset Dr., #215
Prairie Village, KS 66208
1-800-422-2762
http://www.arma.org/

NAGARA – National Association of Government Archives and Records Administrators.
NAGARA is an association dedicated to the improvement of federal, state, and local government records and information management. Their goal is to promote the availability of our documentary legacy by improving the quality of records and information management at all levels of government

NAGARA
48 Howard Street
Albany, NY 12207
1-518-463-8644
http://www.nagara.org/

NARA – National Archives and Records Administration
Major source for national archives and records management issues and policies. Develops standard Record Retention Schedules for federal agencies.

National Archives and Records Administration
700 Pennsylvania Avenue, NW
Washington, D.C. 20408
1-800-234-8861
http://www.archives.gov/index.html

COSHRC
Council of State Historical Records Coordinators
Provides internet links to all State Archives and Records Management Offices.
http://www.coshrc.org/arc/states.htm

InterPARES
International Research on Permanent Authentic Records in Electronic Systems
Source for international research papers seeking to recommend standards in the electronic records industry.
http://interpares.org/

CA Secretary of State
Provides records management guidelines for local government agencies through the California State Archives web site.

California State Archives
1020 O Street
Sacramento, CA 95814
(916) 657-3634
rfinch@ss.ca.gov

CA Department of General Services – California Records and Information Management (CalRIM)
CalRIM establishes guidelines for state agencies to manage their records programs, including the management of electronic records and using technology such as imaging. CalRIM provides training, Master Service Agreements to streamline the contracting process for records and imaging technologies and consultation, and other services to

help customers establish and maintain effective records programs. CalRIM also reviews and maintains all state agency records retention schedules.

Department of General Services
Procurement Division
California Records and Information Management Program
1500 5th Street, Suite 101
Sacramento, California 95814
(916) 324-4809
http://www.osp.dgs.ca.gov/calrim/default.htm

LOCAL GOVERNMENT RECORDS RETENTION GUIDELINES

August 1999

City Clerks' Association of California

California State Archives 2002 Version

LOCAL GOVERNMENT RECORDS RETENTION GUIDELINES

TABLE OF CONTENTS

DISCLAIMER……C-3

RECORD CLASSIFICATIONS……..C-4

ITEM INDEX……C-5

LEGEND & CITATIONS……C-16

ADMINISTRATIVE RECORDS……..……..C-17

DEVELOPMENT RECORDS……..……C-25

FINANCE RECORDS……..……C-29

PUBLIC SAFETY RECORDS……C-32

- **EMERGENCY MANAGEMENT……C-32**
- **FIRE SAFETY……C-32**
- **HAZARDOUS MATERIALS……C-33**
- **LAW ENFORCEMENT……C-33**

PUBLIC WORKS……..C-42

TRANSPORTATION……C-47

Disclaimer

Local Government Retention Schedule Guidelines

The guidelines as enclosed have been endorsed by resolution of the General Assembly of the League of California Cities, and by the City Clerks Association of California. They represent extensive research as to the *minimum legal requirements* for the retention of local government records and do not reflect the administrative, operational, financial or historical needs of the jurisdiction. It is strongly recommended that cities consult with legal counsel when formulating their retention schedules so as to best meet their particular needs.

The committee's research was as complete as possible and reviewed by many legal officers but may not include every record series pertinent to local government. The guidelines are just that and are fluid, very much subject to additions and updates which will be coordinated through the office of the State Archivist under the Secretary of State.

Reference to retention periods, unless otherwise indicated, refers to the current year plus the years shown. For example, Cu + 2 refers to the Current year plus two, or 1998 plus years 1997 and 1996.

RECORDS RETENTION CLASSIFICATIONS – CITY GOVERNMENT

August 1999

ADMINISTRATION

Audit
Community Services
Elections
General Subject
Grants
Human Resources
Information Services
Legal/Legislative
Municipal Clerk
Policies & Procedures
Public Information
Public Financing Authority
Risk Management

DEVELOPMENT

Administration
Building
Code Enforcement
Engineering
Environmental Quality
Housing
Municipal Facilities
Planning
Property
Redevelopment

FINANCE

Accounting
Administrative Services
Fixed Assets
License
Payroll
Purchasing
Reports
Treasurer

PUBLIC SAFETY

Animal Control*
Emergency Management
Fire Safety
- **Administration**
- **Personnel**
- **Property**
- **Reports**

Hazardous Materials
Health & Welfare
Law Enforcement
- **Administration**
- **Investigations**
- **Patrol**
- **Services**

PUBLIC WORKS

Parks
Sanitation/Solid Waste/ Wastewater
Streets/Alleys
Utilities
Water

TRANSPORTATION

Administration
Airport
Ground Transportation
Harbor

***Anticipate will be addressed by County Officials**

INDEX

ITEM	CATEGORY	PAGE
Abandoned Vehicles	Development	C-26
Abandonment	Development	C-28
Abandonment/Vacations	Public Works	C-43
Accident Reports - City Assets	Administration	C-24
Accounting/Cash Reconciliation	Public Safety	C-33
Accounts Payable	Finance	C-29
Accounts Receivable	Finance	C-29
Acquisition/Disposition	Development	C-28
Adjustments	Finance	C-29
Administration – General Subject	Administration	C-19
Administration – Public Financing Authority	Administration	C-23
Administrative/Internal	Public Safety	C-33
Affidavit Index	Administration	C-17
Agenda Reports (Master, Subject Files)	Administration	C-22
Agendas	Administration	C-22
Agendas, Board	Public Works	C-42
Agreements	Transportation	C-47
Air Quality	Development	C-27
Airport Certification	Transportation	C-47
Airport Noise Monitoring and Complaint	Transportation	C-47
Alarm Records	Public Safety	C-33
Annexation Case Files	Development	C-28
Annual Financial Report	Administration	C-17
Apparatus/Vehicle	Public Safety	C-32
Appeals, Civil	Administration	C-22
Applications - Aircraft Storage	Transportation	C-47
Applications - Parking	Transportation	C-47
Applications - Slip Rentals	Transportation	C-47
Applications - Special Events	Transportation	C-47
Applications	Finance	C-29
Applications, Absentee Ballots	Administration	C-17
Applications, Boards, Commissions, Committees	Administration	C-22
Appraisals	Development	C-28
Acquisition/Disposition	Development	C-28
Arrest/Conviction	Public Safety	C-36
Articles of Incorporation	Administration	C-22
Asbestos	Development	C-27
Assessment Districts	Administration	C-23
Assessment Districts	Finance	C-29
Asset Forfeiture - Investigations/Proceedings Case File	Public Safety	C-34
Asset Forfeiture - Notifications	Public Safety	C-34
Assisted, Challenged Voters List	Administration	C-17
Audits	Finance	C-30
Auto for Hire	Transportation	C-48
Ballots	Administration	C-17
Ballots – Prop. 218	Administration	C-17
Bank Reconciliation	Finance	C-29
Bank Statements	Finance	C-30
Benchmark Data	Development	C-25
Benefit Plan Claims	Administration	C-20
Benefit Plan Enrollment, Denied	Administration	C-20

INDEX

ITEM	CATEGORY	PAGE
Bids & Proposals (Unsuccessful)	Development	C-25
Bids, RFQ's, RFP's	Finance	C-30
Billing Records	Finance	C-29
Billing/Customer Records	Public Works	C-44
Biographies	Administration	C-19
Blueprints, Specifications	Development	C-26
Bond, Personnel Fidelity	Administration	C-20
Bonds - Administration	Finance	C-31
Bonds - Security	Development	C-25
Bonds - Development	Development	C-25
Bonds - Account Statements	Finance	C-31
Bonds - Bonds and Coupons	Finance	C-31
Bonds	Administration	C-17
Bonds	Development	C-27
Bonds, Insurance	Administration	C-24
Books, Fire Code	Public Safety	C-32
Brochures, publications, newsletter, bulletins	Administration	C-24
Budget adjustments, journal entries	Finance	C-29
Budget Operating (copies)	Administration	C-17
Budget Operating (copies)	Finance	C-29
Budget	Administration	C-17
Budget, Accounting	Finance	C-29
Budget, Adopted	Finance	C-29
Budget, Proposed	Finance	C-29
Business License	Finance	C-29
Calendar	Administration	C-17
Calendar, City	Administration	C-24
California Environmental Quality Act (CEQA)	Development	C-27
Canvass	Administration	C-17
Capital Improvement Projects	Development	C-27
Capital Improvements, Construction	Development	C-28
Cards - Dispatch	Public Safety	C-38
Cards - Field Interview	Public Safety	C-38
Case Books, Investigative	Public Safety	C-34
Case Files - Homicide Investigator's File	Public Safety	C-34
Case Files - Narcotics (No arrest, Narcotics Cases)	Public Safety	C-34
Case Files - Officer Involved Shootings	Public Safety	C-34
Case Files	Development	C-26
Case Files, Planning and Zoning	Development	C-28
Case Log	Administration	C-22
Case Records - (High Profile)	Administration	C-22
Case Records - (Routine)	Administration	C-22
Certificates (Building)	Development	C-26
Certificates (Planning)	Development	C-28
Certificates of Election	Administration	C-17
Charter - Amendments/Measures	Administration	C-17
Checks	Finance	C-29
Chemicals/Film Inventories	Public Safety	C-39
Citations - 11357(e), Juvenile	Public Safety	C-38
Citations - 11357b H&S, 11357c H&S, 11360b H&S Violations	Public Safety	C-38
Citations - California Vehicle Code Infractions (Duplicates)	Public Safety	C-39

INDEX

ITEM	CATEGORY	PAGE
Citations - Cite and Release	Public Safety	C-38
Citations - Parking/Traffic, Duplicates	Public Safety	C-39
Citations - Transmittals	Public Safety	C-39
Claim Files	Public Safety	C-33
Claims, Damage	Administration	C-24
Classifications and Appointments	Administration	C-19
Closures	Public Works	C-43
Code Books	Development	C-25
Collections/Landfill	Public Works	C-42
Community Development Block Grant and Urban Development	Administration	C-19
Community Services – Library	Administration	C-17
Community Services – Plaques	Administration	C-17
Community Services – Sports Organization	Administration	C-17
Congestion Management	Development	C-27
Connection Records	Public Works	C-44
Construction (Approved)	Development	C-26
Construction Tracking, Daily	Development	C-27
Contractor	Development	C-25
Contracts and Agreements – Excl. Capital Improvement	Administration	C-22
Contracts and Agreements – Incl. Capital Improvement	Administration	C-22
Correspondence	Administration	C-19
Correspondence	Development	C-25
Court - Daily Schedule	Public Safety	C-34
Court - Sign-In Logs	Public Safety	C-34
Court - Tracking System Records	Public Safety	C-34
Crime - Felony Crimes With Or Without Arrests	Public Safety	C-36
Crime - Misdemeanor/Infractions	Public Safety	C-36
Crime - Supplemental, Felony Capital Crimes, Crimes Punishable by Death, Life Imprisonment	Public Safety	C-36
Deeds & Promissory Notes	Development	C-28
Deferred Compensation	Finance	C-30
Department Manual	Public Safety	C-33
Deposits, Receipts	Finance	C-29
Destruction - Guns	Public Safety	C-36
Destruction - Narcotics	Public Safety	C-36
Development (includes CDBG)	Development	C-25
Development Agreements	Development	C-25
Development Conditions	Development	C-25
Development Standards	Development	C-25
Disposition of Arrest/Court Action	Public Safety	C-36
Drawings, Project Plan	Development	C-25
Drawings, Traffic Control Plan	Development	C-27
Easements, Dedications, Rights-of-Way	Public Works	C-43
Employee Handbook	Administration	C-20
Employee Programs	Administration	C-20
Employee Rights	Administration	C-20
Employee Time Sheets	Finance	C-30
Environmental Review	Development	C-27
Equipment - Communication	Public Safety	C-33
Equipment - Inventory	Public Safety	C-33
Equipment - Inventory/Sign-out Cards- Photo Lab	Public Safety	C-39

INDEX

ITEM	CATEGORY	PAGE
Equipment - Operations Files - Photo Lab	Public Safety	C-39
Equipment - Radio Logs (Communication)	Public Safety	C-39
Evidence, Disposition Forms	Public Safety	C-34
Exposure - Personnel	Public Safety	C-32
Facilities (Sanitation/Solid Waste/Wastewater)	Public Works	C-42
Facilities (Utilities)	Public Works	C-44
Facility Rentals/Use	Development	C-28
Fair Political Practices - Administration, Statements	Administration	C-18
Fair Political Practices - Campaign disclosure, elected	Administration	C-18
Fair Political Practices - Campaign disclosure, not elected	Administration	C-18
Fair Political Practices - Campaign disclosure, unsuccessful	Administration	C-18
Fair Political Practices - Candidate Statements	Administration	C-18
Fair Political Practices - History	Administration	C-18
Fair Political Practices - Statement of Economic Interest, Elected	Administration	C-18
Fair Political Practices - Statement of Economic Interest, not elected	Administration	C-18
False Alarm (Duplicate)	Public Safety	C-36
Federal and State Grants	Administration	C-19
Field Books	Public Works	C-43
Field, Non-fire and Logs	Public Safety	C-32
Financial, Annual	Finance	C-30
Financial Records - Grants	Administration	C-19
Financial Records, Public Financial Authority	Administration	C-24
Fingerprint - Applicants Files	Public Safety	C-34
Fingerprint - Inked/Palm Cards	Public Safety	C-34
Fingerprint - Records Latent	Public Safety	C-34
Fingerprint - Suspect, Adult/Juvenile	Public Safety	C-34
Fire, Non-arson and Logs	Public Safety	C-32
Flood Control - Drainage Facilities	Public Works	C-44
Flood Control - Flood Zones	Public Works	C-44
Flood Control - Insurance Programs	Public Works	C-44
Flood Control - Polices/Procedures	Public Works	C-45
Flood Control - Reports/Studies	Public Works	C-45
Flood Control	Development	C-27
Flood Records	Development	C-28
Franchises	Development	C-25
Fueling	Transportation	C-47
Gas & Electric Rates	Public Works	C-44
General Administrative	Administration	C-23
General Orders	Public Safety	C-39
General Orders, Policies/Procedures	Public Safety	C-32
General Plan Amendments - Approved	Development	C-28
General Plan Amendments - Denied	Development	C-28
General Plan and Elements	Development	C-28
General Subject Files	Development	C-25
Goals & Objectives	Administration	C-19
Grants - Parks (*refer to Admin.)*	Public Works	C-42
Grants - Street/Alleys *(see Admin.)*	Public Works	C-43
Grants – Water *(see Admin.)*	Public Works	C-45
Grants, Community/Urban Development (includes CDBG)	Development	C-25
Grievance Files	Public Safety	C-40

INDEX

ITEM	CATEGORY	PAGE
Guns, Dealers Record of Sale	Public Safety	C-34
Hazardous Waste Disposal	Public Safety	C-33
Hazardous Waste Disposal	Transportation	C-47
Hearing or Review	Administration	C-17
Historic Preservation Inventory	Development	C-25
History, Sanitation	Public Works	C-42
Hourly Employees	Administration	C-20
Immigrant	Administration	C-20
Incident Files	Development	C-25
Incident Reports	Administration	C-24
Incident	Public Safety	C-32
Incineration Plants, Sludge	Public Works	C-42
Incinerator Operations, Treatment Plant	Public Works	C-42
Index, Attorney Case	Administration	C-22
Informant Files	Public Safety	C-34
Inspection	Development	C-26
Inspection, Runway	Transportation	C-47
Inspection, Safety Self	Transportation	C-47
Inspections, Fire Prevention	Public Safety	C-32
Insurance, ACCEL JT Powers Agreement	Administration	C-24
Insurance, Certificates	Administration	C-24
Insurance, Liability/Property	Administration	C-24
Insurance, Workers Compensation	Administration	C-24
Internet, World Wide Web	Administration	C-22
Interpretations	Development	C-28
Intersection Records	Public Works	C-43
Inventory	Finance	C-29
Inventory, Equipment Parts & Supplies	Transportation	C-47
Inventory, Equipment & Supplies	Public Safety	C-32&C-33
Inventory, Equipment - Parks	Public Works	C-42
Inventory, Equipment - Water	Public Works	C-45
Inventory, Information Systems	Administration	C-22
Inventory, Records	Administration	C-23
Inventory, Traffic Control Device	Public Works	C-43
Inventory, Vehicle Ownership and Title	Transportation	C-47
Investigations - Background	Public Safety	C-40
Investigations - Background Hired	Public Safety	C-40
Investigations - Notifications	Public Safety	C-34
Investigations, Evidence Arson - Administration	Public Safety	C-32
Investigations, Evidence Arson - Reports	Public Safety	C-33
Investment Transactions	Finance	C-30
Invoices	Finance	C-29
Jail - Daily Logs	Public Safety	C-35
Jail - Inmate Record	Public Safety	C-35
Jail - Inspection Files	Public Safety	C-35
Jail - Surveys	Public Safety	C-35
Journals - Utility Billing	Finance	C-29
Journals, Fire Station	Public Safety	C-32
Labor Distribution	Finance	C-30
Land Uses, non-conforming	Development	C-25
Landscape - Parks	Public Works	C-42
Landscaping – Streets/Alleys	Public Works	C-43

INDEX

ITEM	CATEGORY	PAGE
Ledger, General - Voucher	Finance	C-29
Legal Advertising	Administration	C-23
Licenses - Bicycle	Public Safety	C-35
Licenses - Bingo, Mace	Public Safety	C-35
Licenses - Business License Review Board Administrative Files	Public Safety	C-35
Licenses - Duplicate (Pink), Secondhand Dealer, Pawn Brokers	Public Safety	C-35
Licenses, Permits	Transportation	C-47
Liens & Releases - Recorded	Development	C-26
Liens & Releases - Supporting	Development	C-26
Lighting	Public Works	C-43
Lobbyist Registration	Administration	C-18
Locations	Public Works	C-45
Logs	Development	C-27
Logs - Administration	Development	C-25
Logs - Auto Theft	Public Safety	C-35
Logs - Case Assignment	Public Safety	C-35
Logs - Code Enforcement	Development	C-27
Logs - Daily, Activity	Public Safety	C-35
Logs - Daily, Officer	Public Safety	C-35
Logs - Daily, Report Summary	Public Safety	C-35
Logs - Investigative (Pre-Arrest)	Public Safety	C-35
Logs - Juvenile Detention	Public Safety	C-35
Logs - Property Control	Public Safety	C-35
Logs - Rap Sheet	Public Safety	C-35
Logs - Subpoena	Public Safety	C-35
Logs, Attorney Service Request	Administration	C-23
Logs, Fire Equipment/Gear	Public Safety	C-32
Lot Split Cases	Development	C-28
Maintenance and Operations	Transportation	C-47
Maintenance and Operations - Municipal Facilities	Development	C-28
Maintenance and Operations - Parks	Public Works	C-42
Maintenance and Operations - Sanitation/Solid Waste/Wastewater	Public Works	C-42
Maintenance and Operations - Service	Public Works	C-45
Maintenance and Operations - Streets/Alleys	Public Works	C-43
Maintenance and Operations - Well & Pumping	Public Works	C-45
Maintenance, FAA	Transportation	C-47
Management Reports	Administration	C-24
Maps & Plats	Development	C-26
Maps - Parks	Public Works	C-42
Maps - Streets/Alleys	Public Works	C-43
Maps - Water	Public Works	C-45
Maps, City Boundary	Development	C-28
Maps, Plans, Drawings, Exhibits, Photos	Development	C-28
Maps, Precincts/Voter Information	Administration	C-18
Maps, Septic Tank	Public Works	C-42
Master Plans - Streets/Alleys	Public Works	C-43
Master Plans - Water	Public Works	C-45
Master Plans, Annual	Development	C-26
Media Relations	Administration	C-24

INDEX

ITEM	CATEGORY	PAGE
Medical Leave	Administration	C-20
Medical - Personnel	Public Safety	C-32
Meter Operations	Public Works	C-45
Meter Reading	Finance	C-30
Minutes	Administration	C-23
Minutes, Board	Public Works	C-42
Motor Vehicle Pulls (DMV)	Administration	C-20
Municipal Code	Administration	C-23
Mutual Aid, Strategic Plans	Public Safety	C-32
Negotiation	Administration	C-20
Network Information Systems (LAN/WAN)	Administration	C-22
Nomination Papers	Administration	C-18
Non-Criminal Occurrences	Public Safety	C-36
Non-Safety Employees	Administration	C-21
Notices, Meeting	Administration	C-23
Notifications and Publications	Administration	C-18
Oaths of Office	Administration	C-18
Opinions	Administration	C-23
Ordinances	Administration	C-23
Parades & Special Events File	Public Safety	C-40
Parking - Lots	Public Works	C-43
Parking - Regulations	Public Works	C-43
Patrol Requests (Correspondence)	Public Safety	C-39
Pawn Slips/Tickets	Public Safety	C-35
Permits - Alcoholic Beverage Control License	Public Safety	C-40
Permits - Concealed Weapons	Public Safety	C-40
Permits - National Pollutant Discharge Elimination System (NPDES)	Public Works	C-45
Permits - Others	Public Works	C-45
Permits	Development	C-26
Permits	Public Works	C-43
Permits, Construction	Development	C-26
Permits, Encroachment	Public Works	C-43
Permits, Hazardous Materials Storage	Public Safety	C-33
Permits, Improvement	Public Works	C-43
Permits, Other	Development	C-26
Permits, Oversize Load	Public Works	C-43
Permits, Parking	Public Works	C-43
Permits, Paving	Public Works	C-43
Permits, Uniform Fire Code	Public Safety	C-32
Permits, Use (Temporary)	Public Works	C-43
PERS Employee Deduction Reports	Finance	C-30
PERS, Social Security, SSI	Administration	C-21
Personnel Records (copies)	Administration	C-21
Pest Control	Development	C-27
Petitions - Elections	Administration	C-18
Petitions- Legal/Legislative	Administration	C-23
Photographs - Daily Report (Negatives)	Public Safety	C-35
Photographs - Inmates (Negatives)	Public Safety	C-35
Photographs - Negative Log	Public Safety	C-40
Photographs - Negatives, Misc.	Public Safety	C-40
Photographs - Personnel	Public Safety	C-40

INDEX

ITEM	CATEGORY	PAGE
Photographs	Development	C-26
Photographs - Parks	Public Works	C-42
Photographs - Streets/Alleys	Public Works	C-43
Photographs, Negatives, Film	Administration	C-24
Plans, Capital Improvement, Projects	Public Works	C-43
Plans, Proposed	Public Works	C-42
Policies & Procedures, Departmental	Administration	C-19
Policies and Procedures - Naming and numbering	Public Works	C-43
Policies and Procedures - Speed Limits	Public Works	C-44
Policies and Procedures - Parks	Public Works	C-42
Policies and Procedures - Water	Public Works	C-45
Policy, Council/Proclamations	Administration	C-23
Precinct Records	Administration	C-19
Press Releases	Public Safety	C-40
Press, Video Programs (Community Relations)	Public Safety	C-40
Program Files and Directories	Administration	C-22
Programs - Federal Aid Urban	Public Works	C-44
Programs - Traffic Safety	Public Works	C-44
Programs	Development	C-27
Programs, Household Hazardous Waste	Public Safety	C-33
Projects, Not Completed or Denied	Development	C-26
Promotional Marketing – Eternal, Internal	Administration	C-19
Property Files	Public Safety	C-40
Property Original	Public Safety	C-37
Property, Pawn Broker/Secondhand	Public Safety	C-40
Public Records Request	Administration	C-23
Radar Calibration Records	Public Safety	C-39
Railroad Right-of-way	Public Works	C-42
Range Inventory	Public Safety	C-37
Rates - Sanitation/Solid Waste/Wastewater	Public Works	C-42
Rates - Water	Public Works	C-45
Reclamation	Public Works	C-45
Records Management Disposition Certification	Administration	C-23
Records Management	Administration	C-23
Records Retention Schedule	Administration	C-23
Recruitment	Administration	C-21
Recycling Programs	Public Works	C-42
Redevelopment	Development	C-28
Register	Finance	C-30
Registers, Transient Vessel Reservation	Transportation	C-48
Registration Files, Arson, Sex and Narcotics	Public Safety	C-36
Regulations	Development	C-27
Regulations	Public Works	C-42
Relocation Files	Development	C-28
Report, Accident (Copies)	Transportation	C-48
Reports - Accident and Incident (Aircraft)	Transportation	C-48
Reports - Accident	Public Safety	C-39
Reports - Accident	Public Works	C-42
Reports - Activity	Public Safety	C-33
Reports - Airport Operational (Administrative)	Transportation	C-47
Reports - Airport Operational (Regulatory)	Transportation	C-47
Reports - Audit	Administration	C-17

INDEX

ITEM	CATEGORY	PAGE
Reports - Bridges & Overpasses	Public Works	C-44
Reports - Chemical Emissions	Public Safety	C-33
Reports - Conservation	Public Works	C-45
Reports - Consumption	Public Works	C-45
Reports - Corrosion Control	Public Works	C-45
Reports - Dealer of Gun Sales, Duplicate	Public Safety	C-40
Reports - Departmental	Administration	C-19
Reports - Discharge Monitoring	Public Works	C-45
Reports - Drinking Water Corrections	Public Works	C-45
Reports - Federal and State Tax	Finance	C-30
Reports - Human Resources	Administration	C-21
Reports - Hydrograph	Public Works	C-45
Reports - Inspection	Public Works	C-44
Reports - Lead Service Line	Public Works	C-45
Reports - NOTAM (Notice to Airmen)	Transportation	C-48
Reports - Others	Public Works	C-42
Reports - Public Education	Public Works	C-46
Reports - Quality Parameters	Public Works	C-46
Reports - Sanitary Surveys	Public Works	C-46
Reports - Source Water	Public Works	C-46
Reports - Staff	Administration	C-19
Reports - State Certification	Public Works	C-46
Reports - Studies (Sanitation/Solid Waste/Wastewater)	Public Works	C-42
Reports - Studies	Public Works	C-42
Reports - Studies	Public Works	C-43
Reports - Survey Response Files	Public Safety	C-33
Reports - Tonnage	Public Works	C-42
Reports - Traffic Collision Fatalities	Public Safety	C-39
Reports - Traffic Count	Public Works	C-44
Reports - Variances, Water System	Public Works	C-46
Reports - Vehicle Accident	Public Works	C-44
Reports - Well Level	Public Works	C-46
Reports	Development	C-26
Reports	Public Safety	C-37
Reports, Federal and State - Code Enforcement	Development	C-27
Reports/Studies	Public Works	C-43
Requisitions - Purchase Orders	Finance	C-40
Requisitions - Stores	Finance	C-40
Research Project Files	Public Safety	C-37
Resolutions	Administration	C-23
Resolutions, Board	Public Works	C-42
Restraining Orders, Emergency Protective Orders, Temporary Restraining Orders, Legal Stipulations, Orders After Hearing	Public Safety	C-40
Reviews, Internal/External Periodic	Administration	C-17
Risk Management Reports	Administration	C-24
Roster of Voters	Administration	C-19
Rosters (Divisional)	Public Safety	C-40
Routes, School Bus & Truck	Public Works	C-44
Safety Employees	Administration	C-21
Salary Records	Finance	C-30

INDEX

ITEM	CATEGORY	PAGE
Schedules - Daily	Public Safety	C-40
Schedules - Municipal Clerk	Administration	C-23
Schedules - Watch Assignment/Timekeeping Records	Public Safety	C-40
Schedules, Class & Events	Public Works	C-42
Sealed - Adult Found Factually Innocent	Public Safety	C-38
Sealed - Juvenile	Public Safety	C-38
Seismic Retrofit Program	Development	C-26
Signage	Public Works	C-44
Signs (Temporary)	Development	C-26
Slip Rental Index	Transportation	C-48
Slip Rental Permits	Transportation	C-48
Slip Rental Waiting List	Transportation	C-48
Soil	Development	C-27
Soil Reports	Development	C-27
Sources	Public Works	C-46
Speaker Requests	Public Safety	C-40
Special Districts	Development	C-27
Special Projects	Administration	C-19
State Controller	Finance	C-30
Statistical (Crime Analysis)	Public Safety	C-37
Statistical (UCR), Uniform Crime Reports	Public Safety	C-37
Street Names and House Numbers	Development	C-26
Street/Alley (Abandonment/ Vacation)	Development	C-27
Studies, Special Projects & Areas	Development	C-26
Subpoenas (Duplicate)	Public Safety	C-38
Support Services	Administration	C-19
Surplus Property - Auction	Finance	C-29
Surplus Property - Disposal	Finance	C-29
Surveyor Field Notes	Public Works	C-46
Surveys	Development	C-26
Surveys and Studies	Administration	C-21
Surveys, Water System Sanitary	Public Works	C-46
Tapes - Audio, Telephone and Radio Communications	Public Safety	C-38
Tapes - Audio, Video	Administration	C-23
Tapes - Surveillance/Security Video (Jail)	Public Safety	C-38
Tapes Information Systems	Administration	C-22
Taxes Receivable	Finance	C-29
Tests - Bacteriological Analysis	Public Works	C-46
Tests - Chemical Analysis	Public Works	C-46
Tests - Quality	Public Works	C-46
Tests, Densitometer Results (Photo Lab)	Public Safety	C-40
Traffic Signals	Development	C-27
Traffic Signals	Public Works	C-44
Training - Bulletins	Public Safety	C-41
Training - Event Files	Public Safety	C-41
Training - Lesson Plans, Range	Public Safety	C-41
Training Materials	Public Safety	C-33
Training - Personnel	Public Safety	C-32
Training - Personnel (by name)	Public Safety	C-41
Training - Schedules, Range	Public Safety	C-41
Training Records - Non-Safety	Administration	C-21
Training Records - Personnel (by name)	Administration	C-21

INDEX

ITEM	CATEGORY	PAGE
Training Records - Safety	Administration	C-21
Travel Records	Administration	C-19
Underground	Public Works	C-44
Underground Storage Tank - Maintenance and Operations	Public Safety	C-33
Underground Storage Tank - Compliance	Public Safety	C-33
Unsuccessful Grants	Administration	C-19
Use of Force Supervisory Review Files	Public Safety	C-38
Utility Rebates	Finance	C-30
Valve Main Records	Public Works	C-46
Vehicle Assignment	Transportation	C-47
Vehicle Ownership & Title	Finance	C-29
Vehicle - Assignment Reports	Public Safety	C-39
Vehicle - Down Reports	Public Safety	C-39
Vehicle Mileage Reimbursement Rates	Administration	C-21
Vehicle - Repossession/Private Impounds	Public Safety	C-39
Vehicle - Service Schedules	Public Safety	C-39
Vendor Register	Finance	C-30
Vests, Bulletproof Letters	Public Safety	C-39
Violations, Drinking Water	Public Works	C-46
Violations, Building, Property & Zoning	Development	C-27
Volunteer Card Files	Public Safety	C-41
Voter Affidavits	Administration	C-19
Voter Registration Signature Copy	Administration	C-19
Warrant Register	Finance	C-29
Warrants - Felony	Public Safety	C-38
Warrants - Misdemeanor Criminal	Public Safety	C-38
Warrants - Parking	Public Safety	C-39
Warrants - Served	Public Safety	C-38
Warrants - Traffic	Public Safety	C-39
Warrants - Unserved (Local)	Public Safety	C-38
Weapons, Database	Public Safety	C-39
Weed Abatement	Public Safety	C-33
Weigh Scales	Public Works	C-44
Workers Compensation	Administration	C-24

LEGEND
Records Retention

AC = Active
AU = Audit
CU = Current Year
E = Election
P = Permanent
T = Termination
AD = Adoption
CL = Closed/Completion
DOB = Date of Birth
L = Life
S = Supersede

CITATIONS

B&P – Business and Professions

CAC – California Administrative Code

CCP – Code of Civil Procedure

CCR – Code of California Regulations

CEQA – California Environmental Quality Act

CFR – Code of Federal Regulations

EC – Election Code

FMLA – Family & Medical Leave Act, 1993

GC – Government Code

H&S – Health & Safety

HUD – Housing and Urban Development

OSHA – Occupational Safety & Health Act

PC – Penal Code

POST – Police Officers Standards Training

UFC – Uniform Fire Code

USC – United States Code

WIC – Welfare & Institutions Code

ADMINISTRATION

Record Series	Retention	Citation	Descriptor
AUDIT			
Annual Financial Report	CL + 2	GC34090	Independent auditor analysis
Bonds	CL + 10	GC34090; CCP 337.5	Final bond documentation
Budget	P	GC34090	Annual operating budget approved by Legislative Body
Budget Operating (copies)	S	GC34090	Departmental Reference
Hearing or Review	AU + 2	GC34090; OMB A-128	Documentation created and or received in connection with an audit hearing or review
Reports	AU + 4	GC34090; OMB A-128	Internal and/or external
Reviews, Internal/External Periodic	CU	GC34090; GC6250	Daily, weekly, monthly, quarterly or other summary, review, evaluation, log, list, statistics, except a report
COMMUNITY SERVICES			
Libraries	CU + 2	GC 34090	Books, art, gifts, donations, exhibits, theatre, music, special events, etc.
Plaques	P		Historic value
Sports Organization	S + 2		
ELECTIONS			
Affidavit Index	CL + 5	EC 17001	
Applications, Absentee Ballots and Envelopes	E + .5	EC 17505; EC 17302	From date of election
Assisted, Challenged Voters List	E + .5	EC 17304	From date of election
Ballots	E + .5	EC 17302	From date of election; ballots submitted to precincts/City Clerk that were not used - unless contested (EC 17302(c)) retention by court order
Ballots Prop. 218 (Assessment Districts)	P	California Constitution Art. XIII	Property related fees (Assessment Ballot proceeding)
Calendar	E + 2	GC 34090	
Canvass	P	GC 22932; EC 17130; EC 2653	Notifications and Publication of Election; Records used to compile final election results, including tally sheets, voting machine tabulation, detailed breakdown of results; special election results
Certificates of Election	T + 4	GC 81009(a) (d)	Certificates of election; Original reports and statements
Charter Amendments/ Measures	P	GC34458-60; GC34090	Chapter designations by Secretary of State following adoption of voters

ADMINISTRATION (CONTINUED)

Record Series	Retention	Citation	Descriptor
Fair Political Practices			
Administration/ Campaign Statements and Conflict of Interest	CU + 5		FPPC Opinions
Campaign disclosure, Elected	P	GC81009(b)(g)	FPPC Filings
Campaign disclosure, Not Elected	E + 5	GC81009(b)	FPPC Filings
Campaign disclosure - Unsuccessful (all other committees)	E + 7	GC81009	FPPC Filings
Candidate Statements	E + 4		Sample ballot retained permanently.
History	P	GC 34090	History of elections, sample ballots, certificates of destruction, other resolutions re: elections
Statement of economic interest - Elected Officials	T + 7	GC 81009(e)	FPPC Filings
Statement of economic interest - Not Elected	E + 5	GC 81009(b)	FPPC Filings
Lobbyist Registration	P	EC 81009(b)	Statements
Maps, Precincts/Voter Information	E + 2	GC 34090; EC 17501; EC 17301	
Nomination Papers Successful Unsuccessful	 E + 4 E + 2	 EC 17100 GC 81009(b)	
Notifications and Publications	E + 2	GC 34090	Proof of publication or posting, certification and listing of notice of posting; copy of newspaper notice and certification of offices to be voted for at forthcoming election
Oaths of Office	T + 6	GC34090; 29 USC 1113	Elected Officials
Petitions	.75	EC 17200, 17400; GC 7253.5; EC 14700 + GC 3756:8	From date of filing or election; Initiative, referendum, recall, Charter Amendments

ADMINISTRATION (CONTINUED)

Record Series	Retention	Citation	Descriptor
Precinct Records	E + .5	EC 17503	From date of election: Precinct official material; declaration of intention, precinct board member applications, orders appointing members of precinct boards and designating polling places Includes notice of appointment of office and record of service
Roster (Of Voters)	E + 5	EC 17300	From date of election; Initiative, referendum recall, general municipal election, Charter Amendments
Voter Affidavits	CL + 5	EC 17000	
Voter Registration Signature Copy	CU + 5	EC 17000	Fire, special or school district
GENERAL SUBJECT			
Administration	P	GC 34090	
Biographies	CU + 2	GC34090	
Classifications and Appointments	P	GC 34090; GC 12946; 29 CFR 516.6(2); 29 CFR 1602.4	Includes supplemental Personnel records. Wage rate tables 2 years.
Correspondence/ Originating Department	CU + 2	GC34090(d)	If not attached to agreement or project file
Goals & Objectives	CU + 2	GC34090	Departmental goals & objectives
Policies & Procedures, Departmental	S + 5	GC34090(d)	Retain while current
Promotional Marketing			
External	CU + 7		
Internal	2		
Reports			
Departmental	CU + 2	GC34090	Special/or final summary, review or evaluation
Staff	CU + 2	GC34090	Non-agenda related, includes supporting documentation
Special Projects	CU + 2	GC34090	
Support Services	CU + 2	GC34090	Reproduction; printing; postal/mailing services, other internal resources
Travel Records	CU + 2	GC34090	
GRANTS			
Community Development Block Grant and Urban Development	T + 4	GC34090; 24 CFR 570.502 24 CFR85.42*	Applications, reports, contracts, supporting documents; *OMB Cir. A-102, A-110, A-128
Federal and State	CL + 5	GC34090	Refer to grant application close-out procedure
Financial Records	CL + 5	GC34090	Refer to grant application close-out procedure
Unsuccessful	CL + 2	GC34090	Applications not entitled

ADMINISTRATION (CONTINUED)

Record Series	Retention	Citation	Descriptor
HUMAN RESOURCES			
Benefit Plan Claims	**P**	**GC6250 et seq; OMB A-129 29 CFR 1602.30; 32; Lab Rel Sec 1174***	**May include dental, disability, education, health, life and vision including dependent care and Employee Assistance *29 CFR 1637.3; 29 USC 1027; 29 CFR 1627.3; 29 USC 1113**
Benefit Plan Enrollment, Denied	**CL + 4**	**GC34090; OMB A-128**	
Bond, Personnel Fidelity	**T + 2**	**GC34090**	**Employee Fidelity Bonds**
Employee Handbook	**S + 2**	**GC 34090**	**General employee information including benefit plans**
Employee Programs	**CL + 2**	**GC 34090; GC 12946**	**Includes EAP and Recognition**
Employee Rights **General Employees** **Safety (Police)**	 **T + 2** **T + 5**	**GC12946; 29 CFR 1602; 29 USC 211 (e); 203(m); 207(g)**	**May include Arbitration, grievances, union requests, sexual harassment and Civil Rights, complaints, disciplinary actions**
Hourly Employees	**T + 6**	**GC12946; GC34090***	***29 CFR 1627.3, Labor Relations Section 1174**
Immigrant		**Immigration Reform/Con-trol Act 1986 Pub. L 99-603**	**I-9's**
Medical Leave	**CL + 30**	**FMLA 1993 US OSHA; 29 CFR ; 1910.20***	**May include Family leave; certifications; tests; W-4's; *29 CFR 1602.30.32; 49 CFR 193-9;**
Motor Vehicle Pulls (DMV)	**CL + 7**	**GC12946, ***	***CA 91009; 8 USC 1324 (a)**
Negotiation	**P**	**29 USC Sections 211(c), 203(m), 207(g)**	**Notes, notebooks, correspondence, contracts, and Memorandums of Agreements**

ADMINISTRATION (CONTINUED)

Record Series	Retention	Citation	Descriptor
Non-Safety Employees	T + 3	Reference: 29 CFR 1627.3; CCR Sec 1174; 29 CFR 1602.30.32; GC6250 et seq; 29 CFR; GC 12946, 34090*	Non-safety employees may include: Release Authorizations; Certifications; Reassignments; outside employment; commendations disciplinary actions; terminations; Oaths of Office; evaluations-pre-employee medicals; fingerprints; identification cards (ID=s) *1607.4; 29 CFR 655.202; 29 CFR 516.6 et seq; 45 CFR 1068.6(a)
Personnel Records (copies)	CU + 2	GC34090; GC6250	Attendance; evaluations; drafts; worksheets; postings
PERS, Social Security, SSI	P	29 CFR 1627.3(2); GC 12946, 34090	EEOC/ADEA
Recruitment	CL + 3	Reference: GC12946; GC6250 et seq; 29 CFR 1602 et seq 29 CFR 1607; 29CFR 1627.3	Applications, resumes, alternate lists/logs, indices; ethnicity disclosures; examination materials; examination answer sheets, job bulletins; eligibility; electronic database
Reports	CU + 2	GC34090	Employee statistics, benefit activity; liability loss
Safety Employees	T + 5	Reference: 29 CFR 16273; CCR Sec 1174; 29 CFR 1607.4; *	Police, fire, emergency employees may include; Release Authorizations; Certifications Reassignments; outside employment; commendations disciplinary actions; terminations; Oaths of Office; evaluations-pre employee medicals *29 CFR 1602.30.32; 29 CFR 655.202; 29 CFR 516.6 et seq; 45 CFR 1068.6(a)
Surveys and Studies	CU + 2	GC 12946, 34090; 29 CFR 516.6(2); 29 CFR 1602.14	Includes classification, wage rates
Training Records Non-Safety	CU + 7	GC6250 et seq	Employee applications, volunteer program training, class training materials, internships;
Personnel (by name)	T + 7	GC34090	Paperwork documenting officers internal and external training
Safety	CU + 2	GC34090	Certifications/designations
Vehicle Mileage Reimbursement Rates	S + 2	GC 34090	Annual mileage reimbursement rates

ADMINISTRATION (CONTINUED)

Record Series	Retention	Citation	Descriptor
INFORMATION SERVICES			
Internet, World Wide Web	**S + 2**	**GC34090**	**Management/Policies and supporting documentation**
Inventory, Information Systems	**S + 2**	**GC34090**	**Hardware/Software Inventory logs; systems manuals**
Network Information Systems (LAN/WAN)	**CU + 4**	**GC34090; CCP 337.2; 343**	**Configuration maps and plans**
Program Files and Directories	**CU + 2 CU + (2 mos.) CU + 1 CU + .5**	**GC34090; GC34090.7**	**Annual backup Daily backup Monthly backup Weekly backup**
Tapes Information Systems	**CU + 2**	**GC34090**	**System Generation**
LEGAL/ LEGISLATIVE			
Agendas	**CU + 2**	**GC34090**	**Original agendas and special meeting notices, including certificates of posting, original summaries, original communications and action agendas for Council, Boards and Commissions**
Agenda Reports (Master, Subject Files)	**CU + 2**	**GC34090 (d)**	**Documentation received, created and/or submitted to Council**
Appeals, Civil	**CU + 3**	**CCP 583.320(a)(3); GC 34090**	
Applications, Boards, Commissions, Committees	**CL + 2**	**GC34090**	**Not selected**
Applications, Boards, Commissions, Committees	**T + 5**	**GC34090; GC40801**	**Selected**
Articles of Incorporation	**P**	**GC34090; CCP 337.2**	
Case Log	**CL + 7**	**CCP 337.2; 343**	**From Close of cases listed; Chronological listing of cases**
Case Records - (High Profile)	**P**	**GC6254**	**Significant cases which have importance/or set legal precedence. Includes logs, complaints, police reports, court orders, motions, notes, briefs**
Case Records	**CO + 7**	**42 USC s1983**	**Includes logs, complaints, police reports, court orders, motions, notes, briefs, closing statements (unless minors - 3 years after attaining 18)**
Contracts and Agreements Excl. Capital Improvement	**T + 5**	**CCP 337.2, 343; B&P7042.5; ***	**Includes leases, equipment, services or supplies *PU7685; 48 CFR:2; GC53066**
Incl. Capital Improvement	**P**	**2.08.110;***	**Construction *GC37090a; 4004; H&S 19850**
Index, Attorney Case	**L**	**GC6254**	**Including notations on activities related to case**

ADMINISTRATION (CONTINUED)

Record Series	Retention	Citation	Descriptor
Legal Advertising	CU + 4	CCP 343, 349 et seq.; GC 911.2; GC 34090	Includes public notices, legal publications
Logs, Attorney Service Request	CU + 2	GC34090	Service request, summaries of monthly requests
Minutes	P	GC34090(d) ; GC36814; GC40801	Official minutes and hearing proceedings of governing body or board, commission or committee
Notices, Meeting	CU + 2	GC 34090.7, 54960.1(c)(1)	Special meetings
Opinions	S + 2	GC34090; GC6254	Confidential
Ordinances	P	GC34090(d) 40806	Charter amendments; municipal code
Petitions	CU + 1	GC50115; GC6253	Submitted to legislative bodies
Resolutions	P	GC34090(d) 40801	Legislative actions
Tapes, Audio/Video	CU + 3 mos.	GC 34090.7	When used for minute preparation and may have historical value.
MUNICIPAL CLERK			
Assessment Districts	P	GC 34090	Original documentation
Inventory, Records	CU + 2	GC34090; 80 OPS Atty. Gen. 106	Inventory of non-current or inactive records holdings and location, indices. Tapes may be recycled.
Municipal Code	P	GC 34090	Supplements included
Public Records Request	CL + 2	GC 34090	
Records Management	CL + 2	GC34090	Document includes retrieval, transfers - inactive
Records Management Disposition Certification	P	GC34090	Documentation of final disposition or records
Records Retention Schedules	S + 4	CCP 343	
POLICIES/ PROCEDURES			
General Administrative	S + 2	GC34090; 40801	All city policies and procedures
Policy, Council/ Proclamations	S + 2	GC34090	Policies, directives rendered by Council not assigned a resolution or ordinance number
PUBLIC FINANCING AUTHORITY			
Administration	P	GC 34090	

ADMINISTRATION (CONTINUED)

Record Series	Retention	Citation	Descriptor
Financial Records	P	GC 34090, 40802, 53901	
Management Reports	2	GC 34090	
PUBLIC INFORMATION			
Brochures, publications, newsletter, bulletins	S + 2	GC 34090	
Calendar, City	CU + 2	GC 34090	
Media Relations	CU + 2	GC 34090	Includes cable, newspaper, radio, message boards, presentations.
RISK MANAGEMENT			
Accident Reports - City Assets	CL + 7	29 CFR 1904.2; 29;*	Reports and related records * CFR 1904.6
Bonds, Insurance	P	CCP 337.2; 343	Bonds and insurance policies insuring city property and other assets
Claims, Damage	CL + 5	GC34090; GC25105.5	Paid/Denied
Incident Reports	CL + 7	29 CFR 1904.2; 29 CFR 1904.6	Theft, arson, vandalism, property damage or similar occurrence (excluding fire/law enforcement)
Insurance, ACCEL JT Powers Agreement	P	GC34090	(Authority California Cities Excess Liability Insurance) B Accreditation/ MOU=s/agreement/agendas
Insurance, Certificates	P	GC34090	Insurance certificates filed separately from contracts, includes insurance filed by licensees
Insurance, Liability/Property	P	GC34090	May include liability, property, Certificates of Participation, deferred, use of facilities
Insurance, Workers Compensation	P	GC6410; 29 CFR 1910.20	Indemnity; PERS - working files - originals with Administrator
Photographs, Negatives, Film	CL + 2	GC34090	
Risk Management Reports	CL + 5	OMB 1220-0029; 29 CFR1904.4; GC 34090	Federal OSHA Forms; Loss Analysis Report; Safety Reports ; Actuarial Studies
Workers Compensation	P	CCR 14311; 15400.2; CA Labor Code 110-139.6	Claim Files, Reports, Incidents (working files) originals filed with Administrator

DEVELOPMENT

Record Series	Retention	Citation	Descriptor
ADMINISTRATION			
Benchmark Data	CU + 2	GC34090d	Horizontal, vertical & control
Bids & Proposals (Unsuccessful)	CL + 2	GC34090d	
Bonds Development	CL + 10	CCP 337.5	Housing; Industrial Development
Security	CL + 2	GC34090	Documentation created and or received in connection with the performance of work/services for the city, or for parcel maps and subdivision work
Code Books	P	GC34090e	National Electrical Code, Uniform Building, Fire, Mechanical, Plumbing & Supplements
Contractor	CU + 2	GC34090d	Current listing
Correspondence	CU + 2	GC34090d	Working documentation
Development Conditions	L	GC34090	Mitigation measures; filed with case files
Development Agreements	P	CCP337, 337.1(a), 337.15; GC34090;4 8 CFR 4.703	Infrastructure contracts, franchises. Original maintained for 7 years.
Development Standards	P	GC34090a	Landscape mediums, parkway landscape development, public works construction
Drawings, Project Plan	CU + 2	GC34090d	Does not include those usually filed with case or project
Franchises	P	GC65864, 65869.5, 34090*	Including subdivision agreements, contracts for sale or purchase of property, cable, grant of easements and/pr involving construction of improvements *CCP 337.2, 343; AC16023
General Subject Files	CU + 2	GC34090d	Internal working files including correspondence
Grants, Community/Urban Development (includes CDBG)	CL + 4	24CFR 570.502(b)(3); 241CFR 85.42 & OMB Cir. A-110, Attach. C; *	Project files, contracts, proposals, statements, reports, sub-recipient dockets, Environmental review, grant documents, applications, inventory, consolidated plan, etc. Includes Section 108 loan guarantee *OMB Cir. A-102 & 128, HUD regulations
Historic Preservation Inventory	2	GC34090d	Historic structures & landmarks
Incident Files	2	GC34090d	Emergency Call Outs
Land Uses, nonconforming	P	GC34090a	Building or site usage which does not conform to current standards
Logs	CU + 5		Logs, registers or similar records listing permits, certificates of occupancy issued; may include inspection, building activity, daily, plan check, utility

DEVELOPMENT(CONTINUED)

Record Series	Retention	Citation	Descriptor
Maps & Plats	P	GC34090a	Engineering & field notes and profiles; cross-section of roads, streets, right-of-way, bridges; may include annexations, parks, tracts, block, storm drains, water easements, bench marks, trees, grading, landfill, fire hydrants, base maps, etc.
Master Plans, Annual	S + 2	GC34090	Special or long range program plan for municipalities – coordination of services; strategic planning
Permits, Construction	P	GC34090a; H&S19850; 4003; 4004	Plans, building, signs, grading, encroachment, including blueprints and specifications
Permits, Other	CL + 2	GC34090d	Alterations, encroachment, excavations, road, street sidewalks & curb alterations, transportation, swimming pool drainage, temporary uses, etc.
Photographs	S + 2	GC34090d	Aerial photographs
Projects, Not Completed or Denied	CL + 2	GC34090d	Building, engineering, planning
Reports	CU + 2	GC34090	Activity, periodic
Seismic Retrofit Program	P	GC34090a	Includes Certificates of Compliance
Street Names and House Numbers	P	GC34090a	Street dedications, closings, address assignment/changes
Studies, Special Projects & Areas	CL + 2	GC34090d	Engineering, joint powers, noise, transportation
Surveys	P	GC34090a	Recording data and maps
BUILDING			
Blueprints, Specifications	CL + 2	GC34090d	Submitted by contractors with application for permit and builds for Certificate of Occupancy
Certificates	L	GC34090a	Compliance, elevation, occupancy which affect real property
Construction (Approved)	P	GC34090a; 4003; 4004; H&S 19850, 19853	New commercial and residential construction, tenant improvements room additions, spa, signs, block wall, remodel including security bonds
Inspection	CL + 2	GC34090d	Correspondence, fees, appeal requests, reports
Permits	P	GC34909a; H&S 19850; 4003;4004	Plans, building, signs, grading, encroachment permits
Signs (Temporary)	S + 2	GC34090d	Home occupations, off-premise signs
CODE ENFORCEMENT			
Abandoned Vehicles	CL + 2	GC34090d	
Case Files	CL + 2	GC34090d	Building, housing and mobile home code violation records including inspections; public nuisance rubbish and weed abatement, vehicle abatement, citations, massage parlor permits, general
Liens & Releases, Supporting Recorded	CL + 2 P	GC34090	Utilities, abatement, licenses

DEVELOPMENT(CONTINUED)

Record Series	Retention	Citation	Descriptor
Logs	CU + 2	GC34090d	Lien Recovery, citations, complaints
Regulations	S + 2	GC34090d	Includes rules
Reports, Federal and State	P	GC34090a	Code enforcement statistics; may contain records affecting title to real property or liens thereon
Violations, Building, Property & Zoning	CL + 2	GC34090d	Supporting code enforcement activity
ENGINEERING			
Capital Improvement Projects	CL + 10	CC337.15	Supporting documents including bidders list, specifications, reports, plans, work orders, schedules, etc.
Construction Tracking, Daily	P	CC337.15	Assesses value of real property
Drawings, Traffic Control Plan	P	GC34090a	Signs, signing & striping, road construction
Flood Control	CL + 2	GC34090d	Storm Drains
Special Districts	P	GC34090a	Supporting documents re: improvement, lighting, underground utility; bonds, taxes & construction
Street/Alley (Abandonment/ Vacation)	CL + 2	GC34090d	Relinquishment of rights and fee title
Traffic Signals	CL + 2	GC34090d	Counts, collisions, accidents
ENVIRONMENTAL QUALITY			
Air Quality (AQMD)	CU + 7	CCP 338(k); GC34090	Participants/voucher logs, Total Daily Mileage Survey (TDM); various local authorities; Commute Alternative
Asbestos	P	GC34090a	Documents abatement projects, public buildings
California Environmental Quality Act (CEQA)	P	GC34090a + CEQA Guidelines	Exemptions, Environmental Impact Report, Mitigation monitoring, negative declaration, notices of completion and determination, comments, statements of overriding considerations
Congestion Management	CU + 2	GC34090d	Ride sharing, trip reduction
Environmental Review	CL + 2	GC34090d	Correspondence, consultants, issues, conservation
Pest Control	CU + 2	GC34090d	Pesticide applications, inspections & sampling, documents
Soil	CL + 2	GC34090d	Analysis, construction recommendations
Soil Reports	P	GC34090d	Final Reports
HOUSING			
Bonds	CL + 4	CCP 337	Revenue Bond Documentation
Programs	CL + 3	24 CFR 570.502(b)(3); 24 CFR 85.42 & OMB Cir. A-110, #C	Includes comprehensive Housing Authority Strategy, Meeting Credit Certificate, Housing bond advisory, HOME, In-Lieu Housing Mitigation, Low/Moderate Housing, Rental Housing Assistance

DEVELOPMENT(CONTINUED)

Record Series	Retention	Citation	Descriptor
Redevelopment Budgets Bond Issues	 P P	 GC 34090, 40802, 53901 GC43900 et seq.	 Includes annual audit
MUNICIPAL FACILITY			
Capital Improvements, Construction	P	2.083110; GC34090a; 4004; H&S 19850; GC34090a	Contains records re: Planning, design, construction, conversion or modification of local government-owned facilities, structures & systems
Facility Rentals/Use	CU + 2	GC34090	Permits, contracts, diagrams, schedules, insurance binders
Maintenance & Operations	CU + 2	GC34090d	Service requests, invoices, supporting documentation; buildings, equipment, field engineering, public facilities including work orders and graffiti removal
PLANNING			
Case files, Planning and Zoning	P	GC34909a; H&S 19850; 4003;4004	Pertains to real property. May include blueprints, drawings, maps, plans, reports, evaluations, correspondence, uses, permits, variances, studies, appeals, compliance certificates, lot line adjustments or other planning-related matters brought before legislative body
Certificates	L	GC34090	Retain during life of structure
Flood Records	CU + 2	GC34090	
General Plan and Elements	P	GC34090	Includes sphere of influence
General Plan Amendments Approved Denied	 CL + 2 CU + 3	 GC34090 GC65103; *	 * GC50110
Interpretations	CU + 2	GC34090	
Maps, Plans, Drawings, Exhibits, Photos	P	GC34090; H&S 19850; GC34090.7	Zoning, tentative subdivision, parcel, land use map, aerial photos, specific plans
PROPERTY			
Abandonment	P	GC34090a	Buildings, Condemnation, Demolition
Acquisition/ Disposition Disposition	CL + 10	GC34090a; GC6254	Supporting documents re: sale, purchase, exchange, lease or rental of property by City
Annexation Case Files	P	GC34090a	Reports, agreements, public notices
Appraisals	CL + 2	GC34090; GC6254(h)	Exempt until final acquisition or contract agreement obtained
Deeds & Promissory Notes	P	GC34090a *	* 24 CFR 570.502(b)(3); 24 CFR 8.42 & OMB Circ. SA-110
Maps, City Boundary	P	GC34090d	Recorded maps, surveys, monuments
Lot Split Cases	P	GC34090	
Relocation Files	CL + 2	GC34090	e.g., Redevelopment

FINANCE

Record Series	Retention	Citation	Descriptor
ACCOUNTING			
Accounts Payable	AU + 4	GC34090	Invoices, check copies, supporting documents
Accounts Receivable	AU + 4	GC 34090	
Applications	CL + 2	GC34090	Utility connections, disconnects, registers, service
Assessment Districts	P	GC 34090	Collection information; Original documentation files with municipal clerk
Bank Reconciliation	AU + 5	GC34090; 26 CFR 16001-1	Statements, summaries for receipts, disbursements & reconciliation
Billing Records	AU + 2	GC34090	Customer name, service address, meter reading, usage, payments, applications/cancellations
Budget	AU + 2	GC 34090	
Budget adjustments, journal entries	AU + 2	GC34090	Account transfers
Checks	AU + 5	GC34090; CCP 337	Includes payroll, canceled & voided checks
Deposits, Receipts	AU + 4	GC 34090; CCP 337	Checks, coins, currency
Invoices	AU + 2	GC34090	Copies sent for fees owed, billing, related documents
Journals			
Utility Billing	CU + 2	GC34090	Billing including monthly activity
Ledger, General	P	GC34090; *	* CCP 337
Voucher	AU + 4	GC34090; CCP 337	Account postings with supporting documents
Taxes, Receivable	AU + 3	CCP338	
Warrant Register	AU + 2	GC 34090.7	
ADMINISTRATIVE SERVICES			
Budget Operating (copies)	S	GC34090	Departmental Reference
Budget, Proposed	CU + 2	GC34090	Presented to Council
Adopted	P	GC 34090	
FIXED ASSETS			
Inventory	AU + 4	GC34090; 26 CFR 301 65-1(F)	Reflects purchase date, cost, account number
Surplus Property			
Auction	AU + 2	GC34090	Listing of property
Disposal	AU + 4	GC34090; CCP 337	Sealed bid sales of equipment
Vehicle Ownership & Title	L	VC 9900 et seq.	Title transfers when vehicle sold
LICENSE			
Business	T + 4	GC34090; CCP 337	Paid & reports

FINANCE (CONTINUED)

Record Series	Retention	Citation	Descriptor
PAYROLL			
Adjustments	**AU + 4**	**GC 34090 29 CFR 516.5 – 516.6**	**Audit purposes**
Employee Time Sheets	**AU + 6**	**GC34090; 29 CFR 516.2***	**Signed by employee for audit & FEMA Reports *20 CFR 516.6(1); IRS Reg. 31.6001-1(e)(z); R&T 19530; LC 1174(d)**
PERS Employee Deduction Reports	**T + 4**	**GC34090; CAC 22-1085-2**	**Record of deductions *(PERS Public Employee Retirement System)* *26CFR 31.6001-1;29 CFR 516.5, 516.6, LC 1174(d)**
Register	**P**	**GC34090; GC37207**	**Labor costs by employee & program**
Salary Records	**T + 3**	**GC34090; 29 CFR 516.2**	**Deduction authorization, beneficiary designations, unemployment claims, garnishments**
PURCHASING			
Bids, RFQ's, RFP's **Successful** **Unsuccessful**	**AU + 4** **AU + 5** **CU + 2**	**GC34090; CCP 337; ***	**Requests for Qualifications; Requests for Proposals regarding goods and services * GC 25105-1; GC 34090**
Requisitions			
Purchase Orders	**AU + 4**	**GC34090; CCP 337**	**Original documents**
Stores	**CU + 2**	**GC34090**	**Completed forms for ordering**
Vendor Register	**P**	**GC34090**	**Alpha vendor listing of purchase orders, invoices, account numbers and check date**
REPORTS			
Audits	**P**	**GC 34090**	
Deferred Compensation	**T + 5**	**GC34090; 26 CFR 16001-1***	**Records of employee contributions and city payments *29 CFR 1627.3(2)**
Federal and State Tax	**AU + 4**	**GC34090; 29USC 436 ***	**Forms 1096, 1099, W-4's and W-2's *26 CFR 31.6001.1-4; IRS REG 31.6001-1(e)(2);R&T 19530;29 CFR 516.5-516.6**
Financial, Annual	**AU + 7**	**GC 34090.7**	
Investment Transactions	**P**	**GC34090; CCP 337; GC 53607**	**Summary of transactions, inventory & earnings report**
Labor Distribution	**AU + 2**	**GC34090**	**Costs by employee & program**
Meter Reading	**CU + 2**	**GC34090**	
State Controller	**P**	**GC34090**	**Controller may destroy after 5 years**
Utility Rebates	**CU + 2**	**GC34090**	
TREASURER			
Bank Statements	**AU + 2**	**FC 3368, 30210; GC 43900 et seq.**	**Financing authority**

FINANCE (CONTINUED)

Record Series	Retention	Citation	Descriptor
Bonds			
Account Statements	**CL + 10**	**GC34090; CCP 337.5**	**Monthly statement of transactions.**
Administration	**CL + 10**	**GC34090; CCP 337.5**	**Supporting documents**
Bonds and Coupons	**CL + 2**	**GC34090; 53921**	**Paid/canceled**

PUBLIC SAFETY

Record Series	Retention	Citation	Descriptor
EMERGENCY MANAGEMENT			
Mutual Aid, Strategic Plans	**S + 2**	**GC34090**	
FIRE SAFETY			
ADMINISTRATION			
Books, Fire Code	**S + 3**	**GC34090.7 CCP 340.5**	**Include OPS manuals**
General Orders, Policies/Procedures	**S + 2**		
Inspections, Fire Prevention	**CL + 3**	**UFC 103.34**	**Alarm/sprinkler systems, prevention efforts**
Investigations, Evidence Arson	**P**	**PC 799**	**Support prosecution resulting in homicide**
Investigations, Evidence Arson	**CL + 6**	**PC 800**	**Great bodily harm, inhabited structure or property**
Journals, Fire Station	**CU + 2**	**GC34090**	**Activities, personnel, engine company**
Permits, Uniform Fire Code	**CL + 2**	**GC34090**	
PERSONNEL			
Exposure	**T + 30**	**29 CFR 1910.1020**	**Sampling results, collection methodology, background**
Exposure	**T + 1**	**29 CFR 1910.1020**	**Laboratory reports and worksheets**
Medical	**T + 30**	**29 CFR 1910.1020**	
Medical	**T + 2**	**29 CFR 1910.1020; ***	**Employees less than one year *GC34090**
Training	**T + 2**	**GC34090**	**Certifications/designations**
PROPERTY			
Apparatus/Vehicle	**CU + 2**	**GC34090 CCP 340.5 ***	**Repair and Maintenance *8 CAL Code Reg. 3203 (b) (1)**
Inventory, Equipment & Supplies	**CU + 2**	**GC34090**	
Logs, Fire Equipment/Gear	**CU + 2**	**GC34090**	
REPORTS			
Incident	**CL + 3**	**GC34090 CCP338 ***	**Dispatch and daily logs *CCP 340.5**
Field, Non-fire and Logs	**CU + 2**	**GC34090**	
Fire, Non-arson and Logs	**CU + 2**	**GC34090**	

PUBLIC SAFETY (CONTINUED)

Record Series	Retention	Citation	Descriptor
Investigations, Evidence Arson	CL + 3	PC 801; UFC 104.32	Structure
Weed Abatement	CL + 2	GC34090	Reports, assessments, resolutions, documentation
HAZARDOUS MATERIALS			
Hazardous Waste Disposal	CU + 10	CAL OSHA; 40 CFR 122.21	Documentation re handling and disposal of hazardous waste
Permits, Hazardous Materials Storage	CU + 2	GC34090	Departments consistently recommend permanent retention of environmentally sensitive materials.
Programs, Household Hazardous Waste	S + 2	GC34090	
Training Materials	S + 2	Cal Code *	Standards and Administration *Reg. 3204(d), et seq.
Underground Storage Tank Compliance Maintenance & Operation.	P CU + 2	GC34090a GC34090	Documents re: storage Location, installation, removal, remediation
LAW ENFORCEMENT			
ADMINISTRATION			
Accounting/Cash Reconciliation	CU + 2	GC34090	
Alarm Records	CU + 2	GC34090	
Claim Files	CL + 6	PC 832.5	Claim copy, correspondence, photographs, supporting documents relative to incidents involving the Police Department filed by citizens
Department Manual	S		Changes to manual are recorded in the General Orders (permanent)
Equipment Communication	T + 2	GC34090	Retained until termination of equipment use; Manuals, instructions, procedures
Inventory	S + 2	GC34090	Listing of equipment assigned to division, to whom it is assigned
Reports Activity	CU + 2	GC34090	Weekly/monthly/quarterly/ annual activity/statistical reports by division. Retain only one form for retention period
Chemical Emissions	CU + 2	GC34090	
Survey Response Files	CU + 2	GC34090	Surveys, responses, correspondence with other agencies requesting statistical data
INVESTIGATIONS			
Administrative/Internal	CL + 5	PC 832.5 EVC 1045 GC 12946 PC 801.5; 803(c) VC 2547	Initiated by citizens complaints or internally initiated; includes complaint, reports, findings

PUBLIC SAFETY (CONTINUED)

Record Series	Retention	Citation	Descriptor
Asset Forfeiture Investigations/ Proceedings Case File	CL + 2	GC34090	
Notifications	CU + 2	GC34090	To legal property owner prior to case filing that property is subject to asset forfeiture proceedings. If case is filed, notification becomes part of forfeiture case file.
Case Books, Investigative	CL + 2	GC34090	Retained by division until a case is suspended/closed; transfer to Records Division to be filed with associated Daily Report (DR) file
Case Files Homicide Investigator's File	P	PC 799	
Narcotics (No arrest, Narcotics Cases)	CL + 2	GC34090	Retained by division until no longer useful for investigative purposes
Officer Involved Shootings	CL + 25	GC34090	
Court Daily Schedule	CU + 1	GC34090.7	Printouts of daily court scheduling
Sign-In Logs	CU + 2	GC34090	Logs officers' names, time in/out for court appearances
Tracking System Records	CU + 2	GC34090	Database records subpoena number, officer name, case number, defendant name, district attorney name, court information disposition
Evidence, Disposition Forms			Attach to duplicate Property Report, file w/DR in Records Division
Fingerprint Applicants Files	T + 2	GC34090	Paperwork authorizing fingerprinting and background checks for city employment applicants and business license applicants
Inked/Palm Cards	AC + 20		Persons booked into detention facility; (Copies distributed to county, state, federal agencies)
Records Latents		Approp. PC Section	1) Retain for applicable case statute of limitation; 2) or until evidence in case is destroyed; Hard copy and digitized
Suspect, Adult/Juvenile	CL	Law Enforcement Management Guide by POST	Adults/juveniles suspected of a crime, taken for comparison. Destroy after original purpose achieved
Guns, Dealers Record of Sale	CU + 6	PC 12070	Applicants, Monthly Gun Audits, Applications Denied, Stolen (DOJ File)
Informant Files	T + 10		Legal notifications, identification information, payment information, activities information

PUBLIC SAFETY (CONTINUED)

Record Series	Retention	Citation	Descriptor
Record Series	**Retention**	**Citation**	**Descriptor**
Jail Daily Logs	CU + 6	GC34090	Daily report of staffing, bookings/releases, transfers, transportation
Inmate Record			Dependent on facility's classification; see Laws and Guidelines for Local Detention Facilities by Board of Corrections (State of California)
Inspection Files	CL + 6		Inspections by various agencies
Surveys	CL + 2	GC34090	Prepared quarterly, forwarded to State Board of Corrections
Licenses Bicycle	CU + 2	GC34090	
Bingo, Mace	CU + 2	GC34090	
Business License Review Board Administrative Files	T + 1	GC34090	
Duplicate (Pink), Secondhand Dealer, Pawn Brokers	CU + 2	GC34090	Original to licensee, Blue duplicate to DOJ; Pink duplicate retained by agency; renewals issued annually by local agency
Logs Auto Theft	S		
Case Assignment	CU + 1		
Daily Activity	CU + 2	GC34090	
Officer	CU + 2	GC34090	Daily activity of incidents not reported by use of official report
Report Summary	CU + 2	GC34090	Report numbers, type, names, dates retained for research value
Investigative (Pre-Arrest)	CL + 10	GC34090	Retained by division until cases are suspended and closed
Juvenile Detention	CU + 2	GC34090	Logs document juvenile processing per CYA
Property Control	CU + 2	GC34090	Logs items coming into and going out of property room
Rap Sheet	CL + 2	GC34090	Requests for criminal history
Subpoena	CU + 2	GC34090	Subpoenas received/served daily
Pawn Slips/Tickets	CU + 3	B & P 21628	
Photographs			Crime Scene, Registrant/Applicant, Photo file, Accident. Retain according to practical and functional association.
Daily Report (Negatives)	T	GC34090	Assigned DR number, retained as form of evidence, destroyed at same time evidence for associated case is destroyed
Inmates (Negatives)	CU + 20		By Prisoner number

PUBLIC SAFETY (CONTINUED)

Record Series	Retention	Citation	Descriptor
Registration Files, Arson, Sex and Narcotics	Life of registrant within juris-diction		Fingerprint Card, photo, information also forwarded to DOJ
Arrest/Conviction H&S Section 11357 (b), (c), (d), (e) or H&S Section 11360 (b) violations (Occurring after January 1, 1996)	2 (Man-datory destruc-tion from date of convic-tion or date of arrest with no convic-tion)	H&S 11361.5	Applicable to convictions occurring after January 1, 1996 or arrests not followed by a conviction occurring after January 1, 1996; Exception: H&S 11357(e), the record shall be retained until a juvenile offender attains the age of 18 years, then destroyed pursuant to 11361.5
Arrest/Conviction H&S Section 11357(b), (c), (d), (e) or H&S Section 11360 (b) violations (Occurring before January 1, 1996)	Man-datory Destruc-tion (Upon notice from Depart-ment of Justice)	H&S 11361.5 (c)	Applicable to convictions occurring prior to January 1, 1996 or arrests not followed by a conviction occurring prior to January 1, 1996 for violations of H&S Code 11357, 11364, 11365 and 11550
Crime Felony Crimes With Or Without Arrests	See descriptor	PC 800 PC 801	Prosecution for an offense punishable by imprisonment in state prison for eight years or more must commence within 6 years after offense commission. Commencement of prosecution defined in PC 804. Exception: See PC 803 - Tolling/Extension of time periods; Appeals process and "Three Strikes" also considerations in assigning retention.
Misdemeanor/ Infractions	CL + 2	GC34090	No arrests, identifiable property or missing persons (See: Note 1)
Supplemental Felony Capital Crimes, Crimes Punishable by Death, Life Imprisonment	P	PC 799	No statutory limitation for prosecution. Includes Murder, kidnapping for ransom, treason, procuring execution by perjury, train wrecking, assault with a deadly weapon by a life-term prisoner, bombing resulting in death or bodily injury, making defective war materials that cause death
Destruction Guns	P		
Narcotics	P		
Disposition of Arrest/Court Action			Retention determined by action taken; i.e., recordable arrest or detention (released no arrest)
False Alarm (Duplicate)	CU + 2	GC34090	
Non-Criminal Occurrences	CU + 2	GC34090	Injured or sick persons; missing persons where person has been returned; traffic collision reports not used as the basis for criminal charges

PUBLIC SAFETY (CONTINUED)

Record Series	Retention	Citation	Descriptor
Property Original	Until case is adjudi-cated/ disposi-tion deter-mined		Copy retained in records case file; Refer to Managing Property in Law Enforcement Agencies (By POST)
Range Inventory	S + 2	GC34090	Quarterly reports of inventories of weapons and ammunition held by Department Range
Reports	CU + 2	GC34090	Arrest & Citation Register; Arson Offenses; Crimes Against Senior Citizens; Death in Custody; Domestic Violence; FBI Include Return A/Supp; Hate Crime Incidents; Homicide Reports, Supp.; Officers Killed or Assaulted; Original to FBI - DOJ; Uniform Crime Reports
Statistical (Crime Analysis)	CU + 2	GC34090	Internally generated information using activity logs, citizen calls, current and past crime statistic reports, finance dept expenditure and budget records; citations, crime reports, accident reports, permits, receipts. Reports created for variety of purposes including increases/decreases in criminal activity; officer workload, deployment, time usage
Statistical (UCR), Uniform Crime Reports Mandatory to DOJ (LEIC); FBI Include Return A/Supplement; Supplementary Homicide Report; Law Enforcement Officers Killed or Assaulted; Monthly Return of Arson Offenses Know to Law Enforcement; Number of Violent Crimes Committed Against Senior Citizens; Monthly Report of Domestic violence Related Calls for Assistance; Monthly Arrest and Citation Register; Monthly Hate Crimes Incidents; Death In Custody Reporting.	CU + 2	GC34090	Originals sent to FBI, DOJ
Research Project Files	CL + 2	GC34090	May include request forms, background materials, staff reports, final project reports and supporting data

PUBLIC SAFETY (CONTINUED)

Record Series	Retention	Citation	Descriptor
Sealed Adult Found Factually Innocent	Manda-tory Destruc-tion Upon and Pursu-ant to Court Order	PC 851.8	General provision: Upon petition, records of agency must be sealed and destroyed in accordance with the provisions set by court record; exceptions.
Juvenile	Manda-tory Destruc-tion upon and pursu-ant to court order	WIC 826 (a) & (b) WIC 781 (a)	Upon petition, local laws enforcement records within WIC 826(b) may be destroyed as ordered by the court, if related probation and juvenile court records have been destroyed by the probation officer. Records involving arrests, detention and/or petitioning juvenile before juvenile court
Subpoenas (Duplicate)	CU + 2	GC34090	
Tapes Audio, Telephone and Radio Communications	CU + 180 days	GC34090.6	Exception: Recordings used as evidence in a criminal prosecution or claim filed or litigation or potential claims and litigation shall be preserved for 100 days after conclusion of the court action
Surveillance/Se curity Video (Jail)	CU + 13 mos.	GC34090.6	
Use of Force Supervisory Review Files	CU + 2	GC34090	Includes review forms, arrest report copies, logs
Warrants Felony	Recall after 10 years. Excep-tion: Murder/ Escape		Recommended by the California Law Enforcement Warrant Officer's Association
Misdemeanor Criminal	Recall after 5 years		Recommended by the California Law Enforcement Warrant Officer's Association
Served	CU		Includes Warrant Service Information Card, alpha index card
Unserved (Local)	Until served, recalled or purged		
PATROL			
Cards Dispatch	CU + 2	GC34090	
Field Interview	CL + 2	GC34090	
Citations 11357(e), Juvenile	CL + 2	11361.5 H&S	
11357b H&S, 11357c H&S, 11360b H&S Violations	CL + 2	11361.5 H&S*	*CA Admin Code, Chapter 1, Title II, Sec. 708
Cite and Release	CL + 2	GC34090	

PUBLIC SAFETY (CONTINUED)

Record Series	Retention	Citation	Descriptor
California Vehicle Code Infractions (Duplicates)	CU + 90 days	GC34090	Original is forwarded to court.
Parking/Traffic, Duplicates	CU + 2	GC34090.7	Originals are forwarded to court after agency processing; includes citations electronically created
Transmittals	CU + 2	GC34090	Listing of citations forwarded to court, filed for reference
Equipment Radio Logs (Communication)	CU + 2	GC34090	Documents problems, malfunctions, resolution to provide equipment performance history
General Orders	P		
Patrol Requests (Correspondence)	CU + 2	GC34090	From citizens for patrol presence
Radar Calibration Records	T + 2	GC34090	Documentation of Radar instruments retained during use/ownership
Reports Accident	CL + 2	GC34090	Non-Jury
Traffic Collision Fatalities	P		
Vehicle Assignment Reports	S		Record of assignments
Down Reports	CU + 1		Printouts reporting which vehicles are down for repair, maintenance, etc.
Repossession/Private Impounds	CU + 2	GC34090	
Service Schedules	S	GC34090	
Vests, Bulletproof Letters	CU + 2	GC34090	Authorization to purchase
Warrants Parking	Recall after 1 year		Recommended by the California Law Enforcement Warrant Officer's Association
Traffic	Recall after 5 years		Recommended by the California Law Enforcement Warrant Officer's Association
Weapons, Database	P		Departmentally-owned weapons, personal weapons, alternate weapons, secondary handguns; produces inventory reports
SERVICES			
Chemicals/Film Inventories	S		
Equipment Inventory/Sign-out Cards- Photo Lab	T		
Operations Files - Photo Lab	T		Retain until equipment no longer owned/used by department; Manuals, instructions, procedures for use/operations of photographic equipment

PUBLIC SAFETY (CONTINUED)

Record Series	Retention	Citation	Descriptor
Grievance Files	CL + 2	GC34090	Grievance filed by employees, supporting documentation
Investigations, Background	CL + 2	GC34090	Non hired
Background Hired	P		Include original reports re: PC 832.5 investigations
Parades & Special Events File	CL + 2	GC34090	Reports, memos, correspondence, scripts, supplier information, assignments, deployments, supporting documentation
Permits Alcoholic Beverage Control License	L + 2	GC34090	Approval process
Concealed Weapons	CL + 2	GC34090	
Photographs Personnel	S + 2	GC34090	
Negative Log	CU + 2	GC34090	
Negatives, Misc.	CU + 2	GC34090	Not case-related (Public relations, promotions, events, ceremonies, staff photos)
Press Releases	CU + 2	GC34090	
Press, Video Programs (Community Relations)	CU + 2	GC34090	Collection of videos of programs and events; outside press coverage of department
Property Files	CU + 2	GC34090	Original reports and supplemental documentation (Lost, Found, Safekeeping)
Property, Pawn Broker/Secondhand	CU + 2	GC34090	Sales, slips. Dealer required to file duplicate with agency
Reports Dealer of Gun Sales, Duplicate	CU + 6 mos.	GC34090.7	Original maintained by DOJ. Dealer required to file duplicate with agency
Restraining Orders, Emergency Protective Orders, Temporary Restraining Orders, Legal Stipulations, Orders After Hearing	CU (See descriptor)		Destroy after law enforcement actions described in PC 273.5, 273.6, 646.9, 12028.5, 13700 and Family Code Sections 6380-6383 are fulfilled and effective date of restraining order has expired.
Rosters (Divisional)	S + 2	GC34090	Personnel assigned to division.
Schedules Daily	CU + 2	GC34090	Schedules of Officers on duty
Watch Assignment/ Timekeeping Records	CU + 2	GC34090	
Speaker Requests	CU + 2	GC34090	Community and business requests for public appearances, speakers
Tests, Densitometer Results (Photo Lab)	T + 2	GC34090	Daily tests of development chemicals/processes for quality control.

PUBLIC SAFETY (CONTINUED)

Record Series	Retention	Citation	Descriptor
Training Bulletins	P		
Event Files	CU + 2	GC34090	Correspondence, brochures, promotional materials, info on speakers, guests, supporting documents
Lesson Plans, Range	CL + 15		Scope, content, time period of courses
Personnel (by name)	T + 7	GC34090	Paperwork documenting officers' internal and external training
Schedules, Range	CU + 2	GC34090	Daily, weekly, monthly schedules of training events at range
Volunteer Card Files	T + 2	GC34090	Volunteers' identification, contact information

Note 1: The destruction of felony, misdemeanor and infraction Crime/Supplemental Reports is permitted providing:

1. **They do not relate to an unadjudicated arrest except for H&S 11357 or H&S 11360 violations;**
2. **They do not relate to unserved warrants;**
3. **They do not involve identifiable items which have not been recovered;**
4. **They do not relate to PC 290, PC 457.1, or H&S 11590 registrants;**
5. **They do not relate to violations listed in PC Sections 799 and 800;**
6. **The cases are not presently involved in either a civil or criminal litigation.**

PUBLIC WORKS

Record Series	Retention	Citation	Descriptor
PARKS			
Agendas, Board	**CU + 2**	**GC34090**	
Grants (*refer to Admin.*)			
Inventory, Equipment	**AU + 2**	**GC34090**	**Warranties, purchase orders**
Landscape	**CU + 2**	**GC34090**	**Drawings, contracts, complaints, specifications, photos, reports**
Maintenance/ Operations	**C + 2**	**GC34090**	**Includes work orders, inspection, repairs, cleaning, reports, complaints**
Maps	**P**	**GC34090**	**Irrigation, plot plans**
Minutes, Board	**P**	**GC34090**	
Photographs	**S + 2**	**GC34090**	
Plans, Proposed	**CU + 2**	**GC34090**	**Future plans, new sites, expansions**
Policies and Procedures	**S + 2**	**GC34090**	**Includes rules and regulations**
Railroad Right-of-way	**CL + 3**	**36 CFR 64.11**	**Land acquisitions, correspondence, improvements, statutory records**
Reports			
Accident	**CL + 2**	**GC34090**	**Patrons, employees**
Others	**CL + 2**	**GC34090**	
Studies	**CL + 2**	**GC34090**	**Future sites, expansions**
Resolutions, Board	**P**	**GC34090**	
Schedules, Class & Events	**CU + 2**	**GC34090**	**Enrollment, liability releases, evaluations, attendance, flyers**
SANITATION/ SOLID WASTE/ WASTEWATER			
Collections/Landfill	**CU + 2**	**GC34090**	**Daily records, usage**
Facilities	**CU + 2**	**GC34090**	**Correspondence, maps, patron list**
History, Sanitation	**P**	**GC34090**	**Where City-owned**
Incineration Plants, Sludge	**CU + 2**	**40 CFR 61.54**	**Sludge, sampling, charging rate to measure mercury content**
Incinerator Operations, Treatment Plant	**CU + 2**	**40 CFR 60.153**	**Gas flow through wet scrubbing, oxygen content of exhaust gas, sludge rate, temperatures, fuel flow, total solids and volatile solids**
Maintenance and Operations	**CU + 2**	**GC34090**	**Includes work orders, inspection, repairs, cleaning, reports, complaints**
Maps, Septic Tank	**P**	**GC34090**	**Location maps**
Rates	**CU + 2**	**GC34090**	
Recycling Programs	**S + 2**	**GC34090**	
Regulations	**S + 2**	**GC34090**	**Includes legislation**
Reports			
Studies	**CL + 2**	**GC34090**	
Tonnage	**CU + 2**	**GC34090**	

PUBLIC WORKS (CONTINUES)

Record Series	Retention	Citation	Descriptor
STREETS/ALLEYS			
Abandonment/ Vacations	**P**	**GC34090**	
Closures	**P**	**GC34090**	
Easements, Dedications, Rights-of-Way	**P**	**GC34090**	
Field Books	**P**	**GC34090**	
Grants *(see Admin.)*			
Intersection Records	**CU + 2**	**GC34090**	**Includes correspondence, volume counts, accident history**
Inventory, Traffic Control Device	**S + 2**	**GC34090**	**Signs, lights**
Landscaping	**CU + 2**	**GC34090**	**Plants, tree maintenance, work orders**
Lighting	**CU + 2**	**GC34090**	**Maintenance, work orders**
Maintenance/ Operations	**CU + 2**	**GC34090**	**Includes work orders, inspection, repairs, cleaning, reports, complaints, signals, striping**
Maps	**P**	**GC34090**	**Fire hydrants, lighting districts, wheel chair ramps, storm drains, streets, sidewalks, sewers**
Master Plans	**CU + 2**	**GC34090**	**Copies**
Parking			
Lots	**CU + 2**	**GC34090**	
Regulations	**S + 2**	**GC34090**	
Reports/Studies	**CL + 2**	**GC34090**	
Permits			
Encroachment	**P**	**GC34090**	
Improvement	**CL + 2**	**GC34090**	**May include curbs, sidewalks; Applications for excavation, fill, alterations**
Oversize Load	**CL + 2**	**GC34090**	
Parking	**CL + 2**	**GC34090**	**Residential**
Paving	**CL + 2**	**GC34090**	
Use (Temporary)	**CU + 2**	**GC34090**	**Includes Special Events**
Photographs	**S + 2**	**GC34090**	**Includes aerials**
Plans, Capital Improvement, Projects	**P**	**GC34090**	**Streets, curbs, gutters, sidewalks, storm drains**
Policies and Procedures	**S + 2**	**GC34090**	**Includes rules, regulations, standards**
Naming and numbering	**P**	**GC34090**	

PUBLIC WORKS (CONTINUES)

Record Series	Retention	Citation	Descriptor
Speed Limits	S + 2	GC34090	
Programs			
Federal Aid Urban	CL +	23 CFR 633 (a) & (c)	
Traffic Safety	S + 2	GC34090	Drivers Education, Pedestrian Safety, Bicycle Lanes
Reports			
Bridges & Overpasses	L	GC34090	Life of structure
Inspection	CU + 2	GC34090	Includes intersection, sidewalks. Bridges and Overpasses, keep life of structure
Studies	CL + 2	GC34090	Traffic volume, accident history, requests, statistics, drawings supporting traffic devices
Traffic Count	CL + 2	GC34090	Evaluation of traffic volume
Vehicle Accident	CL + 2	GC34090	
Routes, School Bus & Truck	S + 2	GC34090	Truck routes, access ramps, rest areas
Signage	L + 2	GC34090	Log books, index register cards, inventory lists, records of traffic signs
Traffic Signals	L		Logs, drawings, wiring diagrams, codes, circuit numbers, installation records, testing and maintenance.
Weigh Scales	S + 2	GC34090	
UTILITIES			
Facilities	T + 2	GC34090	If city owned
Gas & Electric Rates	S + 2	GC34090	
Underground	P	GC34090	GC4003, GC4004; H&S 19850
WATER			
Billing/Customer Records	CU + 2	GC34090	Billings, correspondence, complaints
Connection Records	P	GC34090	Maps, water line connections
Flood Control			
Drainage Facilities	P	GC34090	Includes dams, lakes, basins, creeks
Flood Zones	P	GC34090	Includes flood maps
Insurance Programs	S + 2	GC34090	Includes copies of policies, rules, programs

PUBLIC WORKS (CONTINUES)

Record Series	Retention	Citation	Descriptor
Policies/ Procedures	S + 2	GC34090	Rules and Regulations
Reports/ Studies	CL + 2	GC34090	
Grants *(see Admin.)*			
Inventory, Equipment	CU + 2	GC34090	
Locations	P	GC34090	Mains, valves, hydrants, wells
Maintenance and Operations	CU + 2	GC34090	Includes work orders, inspection, repairs, cleaning, reports, complaints
Service	CU + 2	GC34090	Includes work orders, entry cards, manholes, service to property owners
Well & Pumping	CU + 2	GC34090	Times operational, power used and quantity
Maps	P	GC34090	Line location; easements
Master Plans	CU + 2	GC34090	Copies
Meter Operations	CU + 2	GC34090	Reader reports, orders, tests Maintenance Reports
Permits			
National Pollutant Discharge Elimination System NPDES)	P	40 CFR 122.28	Municipalities of 100,000/more, compliance with Clean Water Act re: pollutants
Others	CU + 2	GC34090	May depend on terms of state or federal agency
Policies and Procedures	S + 2	GC34090	Includes rules and regulations
Rates	S + 2	GC34090	
Reclamation	CU + 5	40 CFR 122.41	Daily operations including sewage flow, grit removal, chlorine usage, lab analysis results, etc.
Reports			
Conservation	CU + 2	GC34090	
Consumption	CU + 2	GC34090	
Corrosion Control	CU + 12	40 CFR 141.91	Compliance documentation
Discharge Monitoring	CU + 5	40 CFR 122.41	Average amount of pollution discharged into waters of municipality.
Drinking Water Corrections	CU + 10	40 CFR 141.33	
Hydrograph	P	GC34090	Daily flow of streams
Lead Service Line	CU + 12	40 CFR 141.91	Compliance documentation

PUBLIC WORKS (CONTINUES)

Record Series	Retention	Citation	Descriptor
Public Education	CU + 12	40 CFR 141.91	Compliance documentation
Quality Parameters	CU + 12	40 CFR 141.91	Compliance documentation
Sanitary Surveys	CU + 10	40 CFR 141.33	Statistics, reports, correspondence
Source Water	CU + 12	40 CFR 141.91	Compliance documentation, e.g. lead & copper
State Certification	CU + 12	40 CFR 141.91	Compliance documentation
Variances, Water System	CU + 5	40 CFR 141.33	
Well Level	CU + 2	GC34090	
Sources	CU + 2	GC34090	May include wells, rivers, lakes, districts
Surveyor Field Notes	P	GC34090	Notes preparatory to maps of water installations
Surveys, Water System Sanitary	CU + 10	40 CFR 141.33	Statistics, reports, correspondence
Tests			
Bacteriological Analysis	CU + 5	40 CFR 141.33	Compliance records include location, date, method and results; corrections, analysis of bacterial content
Chemical Analysis	CU + 10	40 CFR 141.33	Compliance records include location, date, method used and results; corrections, analysis of chemical content
Quality	CU + 12	40 CFR 141.91	Compliance documentation including sampling data, analysis, reports, surveys, documents, evaluation, schedules, valves, etc.
Valve Main Records	P	GC34090	
Violations, Drinking Water	CU + 3	40 CFR 141.33	Retention applies to each violation

TRANSPORTATION

Record Series	Retention	Citation	Descriptor
ADMINISTRATION			
Agreements	**T + 4**	**CCP 337**	**Including concessionaire, slip rental, facility storage**
Applications **Aircraft Storage** **Parking** **Slip Rentals**	**T + 2**	**GC34090**	**Payment invoices, inventory listings, billing correspondence and other related documents**
Special Events	**CU + 2**	**GC34090**	**Permits, correspondence, related documents re use of rights of way**
Fueling	**AU + 3**	**CCP 337**	**Meter readings, fuel consumption reports, invoices, receipts and records pertaining to refueling operations**
Hazardous Waste Disposal	**CU + 10**	**CAL OSHA; 40 CFR 122.21**	**Documentation re: the handling and disposal of hazardous waste**
Inventory, Equipment Parts & Supplies	**L + 2**		**Includes vehicles, aircraft, vessels and related documents re repairs**
Inventory, Vehicle Ownership and Title	**L + 2**		**Owners manual, warranty documents, Department of Motor Vehicle title and registration, and related documents**
Licenses, Permits	**CU + 2**		**Forms, related documentation re: licenses and permits required by federal and state agencies**
Maintenance/ Operations	**L + 2**	**GC34090**	**Related to requests for service and work orders for fuel, vehicle and equipment maintenance and repairs**
Report, Accident (Copies)	**CU + 2**	**GC34090**	**Memos and working documents**
Vehicle Assignment	**CU + 2**	**GC34090**	**Log books, request forms, lists**
AIRPORT			
Airport Certification	**P**	**14 CFR 139.207b & 171.13-171.213**	**Federal Aviation Administration (FAA) required manuals**
Airport Noise Monitoring and Complaint	**CU + 10**		**Correspondence, studies, memos, reports, log books, documents related to assessment of noise levels at airports and resolution of complaints**
Inspection, Runway	**CU + 10**		**Maintenance including Inspection reports, work orders and related records**
Inspection, Safety Self	**CU + 2**	**CFR 139.327**	**Safety inspection and related document include reviews and analysis of all aspects of airport operation**
Maintenance, FAA	**P**	**14 CFR 171.13 - 171.213**	**Forms and reports required by FAA including Forms FAA-198, -418, -6030-1, -6790-4**

TRANSPORTATION (CONTINUED)

Record Series	Retention	Citation	Descriptor
Reports			
Accident and Incident (Aircraft)	**CL + 8**		**Accidents, injuries, property damages, general conditions re pilot and aircraft**
Airport Operational (Regulatory)	**P**		**Annual and special reports to federal and state regulatory agencies.**
Airport Operational (Administrative)	**CU + 2**		**Logs, statistical summaries; administrative records**
NOTAM (Notice to Airmen)	**CU + 3**		**Reports re: conditions affecting airport maintenance/operations**
GROUND TRANSPORTATION			
Auto for Hire	**T + 4**	**GC34090**	**License, permits for Taxicabs, shuttles, etc**
HARBOR			
Registers, Transient Vessel Reservation	**AU + 3**		**Reservation applications, receipts, and index registers relating to boats in transit, temporarily moored**
Slip Rental Index	**CU + 5**		**Annual and periodic reports of slip renters**
Slip Rental Permits	**CL + 2**		**Applications, statement of rental conditions, vessel inspection check sheets, copy of DMV registration, boat owner information, and other documents re: dock slip spaces**
Slip Rental Waiting List	**CU + 2**		

LOCAL GOVERNMENT RECORDS RETENTION GUIDELINES

County Records
June 2002
California State Archives

The document entitled "Local Government Records Retention Guidelines, County Records" at one time appeared on this website as Attachment D to Local Government Records Management Guidelines. Upon learning that Gladwell Governmental Services, Inc. asserts a copyright to the document's content, the Secretary of State has permanently removed the document from this website. If you received from our office, or utilized, downloaded or reproduced from this website any portion of Attachment D, we ask that you contact the business that asserts a copyright to this material, Gladwell Governmental Services, Inc. Gladwell Governmental Services, Inc. can be contacted through its attorney, Kevin D. Hughes, Esq., Tisdale & Nicholson, LLP, 2029 Century Park East, Suite 900, Los Angeles, CA, 90067; telephone (310) 286-1260; fax (310) 286-2351;
e-mail: KHughes@T-NLaw.com.

MEMORANDUM
Office of the Lodi City Clerk

TO: City Manager
City Attorney
Department Heads

FROM: Randi Johl
City Clerk

DATE: March 8, 2007

SUBJECT: Citywide Records Management Program and Policy

Please be advised that the City Council, at its regular meeting of March 7, 2007, adopted the Citywide Records Management Program and Policy, a copy of which is attached for your information. Should you need additional copies, please reproduce the document or visit the City Clerk's site on the Intranet.

Each department is to designate a staff member who will be responsible for managing its departmental records according to the guidelines and working with our office for annual records destruction. Please submit your name(s) directly to me no later than **Friday, March 23, 2007**, after which I will contact the representatives to schedule a training session on implementing the Policy.

Should you have any questions, please do not hesitate to contact me at x2609.

RJ/JMP

Attachment

cc: Department Secretaries w/o enc.