

DRAFT 10/27/2020 *RLM*

RESOLUTION NO. _____

**A RESOLUTION OF THE CITY COUNCIL OF THE CITY
OF SUNNYVALE APPROVING REVISIONS TO THE
CITYWIDE RECORDS RETENTION AND DESTRUCTION
SCHEDULE**

WHEREAS, pursuant to Government Code Section 12236 and Government Code Section 34090, et seq., the City Council adopted Resolution No. 420-10 on February 23, 2010, approving a City of Sunnyvale Records Retention Schedule to ensure that proper retention periods have been applied and that an adequate paper trail exists for all City materials and records prior to destruction; and

WHEREAS, to ensure a sound records management program, the Citywide Records Retention Policy shall be reviewed, amended and updated from time to time due to changes in the organization; and

WHEREAS, the Citywide Records Retention Schedule was last amended by Resolution 920-18 on December 18, 2018; and

WHEREAS, the City desires to amend the Records Retention and Destruction Program Policy and Schedule as outlined in the attached Exhibit A.

NOW, THEREFORE, BE IT RESOLVED BY THE CITY COUNCIL OF THE CITY OF SUNNYVALE THAT:

1. The City of Sunnyvale Records Retention and Destruction Program Policy and Schedule is hereby amended in its entirety, and attached hereto by Exhibit A.
2. This revised Records Retention and Destruction Program Policy and Schedule supersedes the Records Retention and Destruction Program Policy and Schedule approved on December 18, 2018, under Resolution No. 920-18.

Adopted by the City Council at a regular meeting held on _____, by the following vote:

AYES:
NOES:
ABSTAIN:
ABSENT:
RECUSAL:

ATTEST:

APPROVED:

City Clerk
(SEAL)

Mayor

APPROVED AS TO FORM:

City Attorney

LEGEND - RECORDS RETENTION SCHEDULE**FORMAT CODES**

HC - Hard Copy
E - Electronic/Image File
D - Database
M - Microfilm
S - Samples

DEPARTMENT OF RECORD (DOR)

CDD - Community Development Dept.
DPW - Department of Public Works
DPS - Department of Public Safety
ESD - Environmental Services Dept.
FIN - Finance Department
HRD - Human Resources Dept.
ITD - Information Technology Dept.
LRS - Library and Recreation Services Dept.
NOVA - NOVA Workforce Services
OCA - Office of the City Attorney
OCM - Office of the City Manager

VITAL RECORDS

A vital record is required for daily operations and to resume those operations after a catastrophic disaster.

DESCRIPTION OF RETENTION PERIOD CODES

AU - requires a record to be retained for a period beyond the most recent audit involving the materials noted. For example: AU+5 requires the record to be retained until the audit of that record is complete, plus 5 years.

RETENTION PERIOD CODES

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

LEGAL AND OTHER AUTHORITY CITATION CODES

B&P = Business & Professions Code
CA = California Administrative Code
CCP = Code of Civil Procedure
CCR = Code of California Regulations
CEQA = California Environmental Quality Act
CFR = Code of Federal Regulations
EC = Elections Code
FMLA = Family and Medical Leave Act of 1993
GC = Government Code
H&S = Healthy & Safety Code
HUD = Housing and Urban Development Code
SMC = Sunnyvale Municipal Code
OSHA = Occupational Safety and Health Act
PC = Penal Code
POST = Police Officers Standards and Training
UFC = Uniform Fire Code
USC = United States Code
WIC = Welfare and Institutions Code

CU - requires a record to be retained for a period beyond its current use. Discretion should be used to determine the useful life of a particular record(s). For example: CU+2 requires the record to be retained until it is no longer needed, plus two years. If a record dated June 23, 2019 is needed during the 2019 calendar year, it would be retained for the remainder of 2019, and through 2020 and 2021.

CL - requires a record to be retained for a period beyond its date of completion or closure. For example: CL+3 requires the record to be retained for three years beyond the date of completion. Records identified as "Logs" with a retention of "CL" indicate the date the log ends, such as the end of the fiscal or calendar year.

P - requires a record to be retained permanently (generally assumed to be 500 years) or indefinitely (until the record medium deteriorates beyond use).

S - requires a record to be retained until it is superseded by an updated version. For example: S+2 requires the record to be retained for two years beyond the date the document was superseded by an updated version.

T - requires a record to be retained for a period beyond the term of termination date. For example: T+8 requires the record to be retained for eight years beyond the end of a term.

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		CATEGORIES / RECORD SERIES	RETENTION PERIOD(S)	FORMAT	VITAL (Y=Yes)	DoR (Owner)	DESCRIPTOR / EXAMPLE	CITATION	FORMER RECORD SERIES #
			SEE LEGEND					SEE LEGEND	
100		GENERAL ADMINISTRATION							
101		OFFICE ADMINISTRATION AND MANAGEMENT							
101	-01	COPIES or DUPLICATES of documents for which a department is not the office of record.	C	All Formats		All Depts.	Copies distributed for informational/meeting purposes and drafts, notes, memoranda that are not retained in the ordinary course of business may be destroyed by the departments when they are no longer useful for reference.	GOV 6254(a) (drafts); GOV 34090.7 (copies)	NEW
101	-02	Agendas: Misc	CU+4	E, HC		Originating Department	Agendas for Child Care Advisory Board (CCAB) agenda and packets; Community Advisory Committee (CAC); Staff Advisory Committees; ELT strategic planning; School Districts; updates with City Manager; ad hoc committees; staff meetings.	GC 34090	ADMIN087.1
101	-03	Brochures, Publications, Newsletter, Bulletins - Miscellaneous	S+2			Originating Department	Miscellaneous publications from departments.	GC 34090	ADMIN120
101	-04	Citywide Employee Events or Special Programs	CU+2			HR, Originating Department	Example: Years of Service Awards, Employee Giving Campaign (except pledge forms).	GC 34090;GC12946	FIN030
101	-05	Correspondence, Originating Department	CU+2	E, HC		Originating Department	If not attached to agreement or project file. Examples: Correspondence not retained in a subject file; general internal or external correspondence; memos (internal); individual customer files kept as back-up for frequent customers; etc.	GC 34090(d)	ADMIN042
101	-06	Goals & Objectives, Departmental	CU+2	E, HC		Originating Department	Goals & objectives.	GC 34090	ADMIN043
101	-07	General Administrative Policies and Procedures	S+2	E, HC		OCM, Origination Department	All city policies and procedures (does not include Administrative Policy Manual).	GC34090(d)	ADMIN115
101	-08	Minutes: Misc	CU+4	E, HC		Originating Department	Minutes of miscellaneous committees, Staff Advisory Committees, staff meetings, etc.	GC 34090	ADMIN101.1
101	-09	Polices and Procedures, Departmental	S+5	E, HC		All Departments	Department and/or program polices and procedures; examples: Standard operating procedures; disaster recovery plan; policy manuals; board and commission handbook; procedure descriptions.	GC 34090(d)	ADMIN044
101	-10	Promotional Marketing: External	CU+5	E, HC		Originating Department	Marketing copy for external publicity or advertising. Examples: business retention marketing and recreational marketing for programs, classes, activities and events (reports, studies, original copies of pictures/art).	GC 34090	ADMIN045
101	-11	Promotional Marketing: Internal	CU+2	E, HC		Originating Department	Marketing copy for internal publicity or advertising.	GC 34090	ADMIN046
101	-12	Reports: Departmental	CU+2	E, HC		Originating Department	Special/or final summary, review or evaluation. Examples: Accounting period reports (i.e. actual to budget); City quarterly reports, etc.	GC 34090; GASB	ADMIN047
101	-13	Reports: Staff	CU+2	E, HC		Originating Department	Non-agenda related, includes supporting documentation. Examples: project reports; weekly ELT meetings; executive reports; etc.	GC 34090	ADMIN048
101	-14	Special Projects Documentation	CU+2	E, HC, D		Originating Department		GC 34090	ADMIN049
102		INFORMATION AND TECHNOLOGY SYSTEMS							
102	-01	Service Tickets and Project Portfolio Management (ITSM / PPM) system	CU+2	D		All Applicable Depts	Service requests and tickets related to technology issues or needs, project requests and tracking information. Includes notes, correspondence, approvals and resolution information.	GC 34090	ADMIN049
102	-02	Inventory, Information Systems	S+2; License agreements:T+4	D, E		ITD	Hardware/Software Inventory logs; systems manuals. Examples: hardware/software inventory logs; system manuals; warranties, specifications, maintenance records; software licenses; including License agreements.	GC 34090; CCP 337	ADMIN080

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			SEE LEGEND					SEE LEGEND	
102	-03	Software Setup/Install Programs (ITSM)	L+1	D, E		ITD	OS, desktop software or other vendor software.	GC 34090	ADMIN150
102	-04	Application Source Code, including database code	S+1 or L+1	D		ITD	Software / Application code for some of the City software. Maintained in Visual Sourcesafe.	GC 34090	ADMIN151
102	-05	Network Information Systems (LAN/WAN) Documentation	CU+4	E		ITD	Configuration maps and plans.	GC 34090; CCP 337.2; 343	ADMIN081
200		COMMUNITY DEVELOPMENT							
201		DEVELOPMENT ADMINISTRATION							
201	-01	General Information	CU + 2; HUD CU+5	E, HC		CDD	Correspondence: Community Development Administration, working documentation, internal working files including correspondence.	GC 34090(d)	DEV007, DEV013
201	-02	Conveyances to or from City (Deeds, Promissory Notes)	P	E, HC		CDD, DPW, OCA, OCM	Includes Deeds, Grant Deeds, Deeds of Trust and Assignment of Rents, Quitclaim Deeds, Deed Restrictions, Subordination Agreement with Deeds, Promissory notes secured by property, Substitution of Trustee, Trust Transfer Deeds, Installment Note, Easements, Full or Partial (re) conveyances, Covenant of Easement, Public Access Easements, Grant of Storm Drain Easements, Sanitary Sewer Connection Permit Agreements (Check originals for historic value), Covenant Restrictions on Property, Notices of Default.	GC 34090(a); 24 CFR 570.502; 24 CFR 85.42	DEV076
202		BUILDING							
202	-01	Seismic Retrofit Program	P	E, HC, M		CDD	Includes Certificates of Compliance.	GC 34090(a), SMC	DEV026
202	-02	Code Books	15 Years	E, HC		Originating Department	National Electrical Code, Uniform Building, Fire, Mechanical, Plumbing & Supplements.	GC 34090e, SMC	DEV005
202	-03	Contractors	CU+2	E, HC	Y	FIN, CDD, DPW, LRS, ESD	Contractor listing, Current listing.	GC 34090(d)	DEV006
202	-04	Building Permits and Plans	P	E, HC, M	Y	CDD, DPW, LRS	Permits and Permits Construction: Plans, building, signs, grading, encroachment, including blueprints and specifications; and Permits, other: Alterations, encroachment, excavations, road, street sidewalks & curb alterations, transportation, swimming pool drainage, temporary uses, asbestos documents, abatement projects, public buildings, soil analysis, construction recommendations, and final reports etc.: Compliance, elevation, occupancy which affect real property; Construction Approved: new commercial/residential construction, tenant improvements room additions, spa, signs, block wall, remodel incl. security bonds.	GC 34090(a), GC 34090, GC 34090(d); H&S19850, 19853; GC 4003; GC 4004	DEV021, DEV022, DEV031, DEV 032, DEV034, DEV051, DEV056, DEV057
202	-05	Blueprints and Specifications	CL+2	E, M		CDD	Submitted by contractors with application for permit and builds for Certificate of Occupancy.	GC 34090(d)	DEV030
202	-06	Street Names and House Numbers Designation and Status	P	E	Y	CDD	Street dedications, closings, address assignment/changes .	GC 34090a, Sunnyvale Municipal Code	DEV027
202	-07	Certificates: Building	L	E		CDD	Retain during life of structure.	GC 34090	DEV066
202	-08	Inspection Logs	P	E		CDD	Documentation: correspondence, fees, appeal requests, reports, construction tracking, daily logs and reports.	GC 34090(d)	DEV033
203		PLANNING							
203	-01	Drawings, Project Plan	CU+2	E, HC		CDD, DPW	Broad policies or topics not tied to a specific address (does not include those usually filed with a project).	GC 34090(d)	DEV011

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			SEE LEGEND					SEE LEGEND	
203	-02	Project files Planning and Zoning: Not Complete or Denied	CL+2	E, HC		CDD, DPW	Planning Permit applications not approved (plan versions with building, engineering, planning).	GC 34090(d)	DEV024
203	-03	Project Files, Planning and Zoning: Approved	P	E, HC		CDD, DPW	Planning Permit applications approved (plan versions with Planning) Pertains to real property. May include blueprints, drawings, maps, plans, reports, evaluations, permits,uses, correspondence, variances, studies, appeals, compliance certificates, lot line adjustments, asbestos documents, abatement projects, public buildings, soil analysis, construction recommendations, and final reports, or other planning-related matters brought before legislative body.	GC 34090(a), GC 34090 (d); H&S 19850; GC 4003; GC 4004	DEV065, DEV051, DEV056, DEV057
203	-04	Sample Materials Submitted with Planning Permit Applications for Approval	CL+2	E, HC		CDD	Roof, glass, paint, etc. samples - keep as long as project is in approval process plus 2 years. Original is then scanned or photographed, original destroyed, and photo or scan filed in project file.	GOV 34090	NEW
203	-05	Broad Policies or Topics (not tied to specific address)	S+2	E, HC		CDD	Regulations: Includes rules, codes, policy; Supporting documents including bidders list, specifications, reports, plans, work orders, schedules, blueprints, drawings, maps, etc.	GC 34090(d)	DEV040
203	-06	Sureties (Bonds, Cash Deposits)	CL+10, CL+4	E, HC		CDD	Housing; Industrial Development (CL+10); Revenue Bond documentation (CL+4).	CCP 337.5, CCP 337	DEV003, DEV058
203	-07	Development Conditions	L	E, HC		CDD	Mitigation measures: filed with case files.	GC 34090	DEV008
203	-08	Development Agreements and Franchises	P	E, HC		OCM, CDD, DPW, ESD	Agreements adopted by ordinance or resolution.	GC 34090	DEV009
203	-09	Development Standards	AD+20	E, HC		CDD, DPW	Landscape mediums, parkway landscape development, public works construction.	GC 34090(a)	DEV010
203	-10	Land Uses, Nonconforming	P	E, HC		CDD, DPW	Building or site usage which does not conform to current standards.	GC 34090(a)	DEV017
203	-11	Studies, Special Projects & Areas	CL+2	E, HC		CDD, DPW, OCM, ESD	Engineering, joint powers, noise, transportation Policy studies, area plans, background information.	GC 34090(d)	DEV028
203	-12	Plans - Regulatory	P	E, HC	Y	CDD	General Plan and Elements - Includes sphere of influence; Interpretations: Zoning code interpretations residing on City's intranet site; Maps, Plans, Drawings, Exhibits, Photos: Zoning, tentative subdivision, parcel, land use map, aerial photos, specific plans.	GC 34090	DEV068, DEV070, DEV071
203	-13	General Plan Amendments	P	E, HC		CDD	Approved and denied.	GC 34090 GC 65103; GC 50110	DEV069
203	-14	Annexation / Deannexations	P	E, HC		CDD, OCM	Case files: Reports, agreements, public notices. Official signed resolutions with OCA or City Clerk.	GC 34090(a)	DEV074
203	-15	Historic Adobes and Other Historic Buildings	P	E, HC		CDD	Historic preservation inventory, Historic structures & landmarks.	GC 34090(d)	DEV015
203	-16	California Environmental Quality Act (CEQA)	P	E, HC		CDD, DPW, LRS, ESD	Exemptions, Environmental Impact Report, Mitigation monitoring, negative declaration, notices of completion and determination, comments, statements of overriding considerations.	GC 34090(a) + CEQA Guidelines	DEV052
204		HOUSING							
204	-01	Grants: Community/Urban Development (includes CDBG)	CL+4 ; Certain HUD records: CL+5	E, HC		CDD, FIN	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.	24 CFR 570.502(b) (3); 241 CFR 85.42; 2 CFR 215.53	DEV014
204	-02	Grants: Community Development Block Grant and Urban Development documentation	T+5	E, HC		CDD, FIN	Applications, reports, contracts, supporting documents.	GC 34090; 24 CFR 570.502 24 CFR85.42* (*OMB Cir. A-102, A-110, A-128)	ADMIN052

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			SEE LEGEND					SEE LEGEND	
204	-03	CDBG Grants, Federal and State	CL+5	E, HC		CDD, FIN, Originating Department	Refer to grant application close-out procedure. Examples: Grant applications, supporting documents.	GC 34090	ADMIN053
204	-04	Programs	CL+4, certain HUD records: CL+5	E, HC		CDD, FIN	Includes comprehensive Housing Authority Strategy, Meeting Credit Certificate, Housing bond advisory, HOME, In-Lieu Housing Mitigation, Low/Moderate Housing, Rental Housing Assistance.	24 CFR 570.502; 24 CFR 85.42	DEV059
204	-05	Bond Issues	P	HC		CDD, FIN	Related to Housing Program.	GC 43900 et seq.	DEV061
300		LIBRARY AND RECREATION SERVICES							
301		LIBRARY AND RECREATION ADMINISTRATION							
301	-01	State Records	CU+3	E, HC		LRS	Services reimbursements, transaction reimbursements, MCLE records, state records, LSTA, grants.	GC 34090	ADMIN 139
301	-02	Reports: Circulation	CU+3	E, HC		LRS	Circulation activity, credit bureau, delinquency notices/fines, circulation reports.	GC 34090	ADMIN140
301	-03	Donation Letters	CU+3	HC		LRS	Receipt forms acknowledging patrons donations of materials or funds, donation letters.	26 CFR 301.6501(a)	ADMIN141
301	-04	Surveys	CU+4	E, HC		LRS	Completed surveys from customer appreciation day, program evaluations, etc.	GC 34090	ADMIN143
301	-05	Hazardous Material Plan	S+2	E, HC		LRS	Hazardous material plan.	OSHA,GC34090	ADMIN170
301	-06	Neighborhood Associations	CL+5	E, HC		LRS	Applications, grants, registry, agreements, reimbursements.	GC 34090	ADMIN180
301	-07	Photographs - LRS	CU+3	E, HC		LRS	Photographs for marketing, classes, events, etc.	GC 34090(d)	NEW
301	-08	Photographs - LRS	P	E, HC		LRS	Historical photographs	GC 34090(d)	NEW
301	-09	Schedules, Classes, Events	CU+3	E, HC		LRS	Recreation activities/classes/events registration. Ex: instructor agreements, registration, attendance, evaluations, surveys, rosters, fees schedules, fee waivers, promo materials; and, General use permits (ex: amplified sound, bounce house).	GC 34090	PW017
301	-10	Permits: Special Events	CU+3	E, HC		LRS	Temporary use permits. Ex: State of the City, Art and Wine Festival, Pet Parade, etc.	GC 34090	PW053
302		PROGRAMS/SERVICES							
302	-01	Active Aging	CU+3	E, HC		LRS	Items related to the active aging program.	GC 34090	PW017
302	-02	Care Management	CU+3	E, HC		LRS	Case records	GC 34090	PW017
303		LIBRARY SERVICES							
303	-01	Reports: State Library Reports	CU+2	E, HC		LRS	CA state Library Reports and supporting documents, State Library report.	GC 34090	ADMIN138
303	-02	Reports: Circulation Reports	CU+3	E, HC		LRS	Circulation activity, credit bureau, delinquency notices/fines, circulation reports.	GC 34090	ADMIN140
304		SPORTS AND FACILITIES							
304	-01	Facility Rentals/Use; Facility Maintenance and Operations	CU+2	E, HC		LRS	Permits, contracts, diagrams, schedules, insurance binders, facility rental applications, liability releases and receipts, maint and ops service requests, etc.	GC34090;GC 34090(d)	DEV063, DEV064
400		FINANCIAL AND FISCAL							

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			SEE LEGEND					SEE LEGEND	
401		ACCOUNTING							
401	-01	Accounts Payable	AU+4	E, HC	Y	FIN	Invoices, check copies, monthly purchasing card statements, correspondence with purchasing cardholder; payment documentation that includes checks with backup, one-time and blanket orders with payments logged, service agreements; timecards for temporary agency employees; departmental petty cash account detail; ACH records, supporting documents.	GC 34090; CCP 337	FIN001
401	-02	Accounts Receivable	AU+4	E, HC		FIN	Documentation of Accounts Receivable accounts.	GC 34090; CCP 337	FIN002
401	-03	Bank Reconciliation	AU+5	E, HC	Y	FIN	Statements, summaries for receipts, disbursements & reconciliation (includes all of the City's 14 bank accounts, including checking, and 7 trust accounts and reconciliation workpapers).	GC 34090; 26 CFR 16001-1	FIN005
401	-04	Checks	AU+6	E, HC		FIN	Includes payroll, canceled & voided checks (only those issued from the General account).	GC 34090; CCP 337	FIN009
401	-05	Deposits, Receipts	AU+5	E, HC		FIN	Checks, coins, currency. Daily Cash Receipt Vouchers submitted by departments that receive and deposit payments on behalf of the City. Payment stubs, batch reports, and check 10 key tapes.	GC 34090; CCP 337	FIN010
401	-06	Invoices	AU+2	E, HC		FIN	Copies sent for fees owed, billing, related documents. Backup for outsource bill print vendor payments, specialty garbage payments, etc.	GC 34090	FIN011
401	-07	General Ledger	P	E, HC	Y	FIN	City financial accounts and the record of transactions posted to them.	GC 34090; CCP 337	FIN013
401	-08	Financial, Annual	P	E, HC		FIN	Comprehensive Annual Financial Report (CAFR).	GC 34090.7	FIN039
401	-09	Investment Transactions	T+7	E, HC	Y	FIN	Summary of transactions, inventory & earnings report. Investment transaction files.	GC 34090; CCP 337; GC 53607	FIN040
401	-10	Bank Statements	AU+5	E, HC	Y	FIN	Workpapers and documentation for miscellaneous bank adjustments; band redemption, credit card merchant fee statements, and credit card chargeback. Documentation for all city bank accounts.	FC 3368, 30210; GC 43900 et seq.	FIN045
401	-11	Bonds: Account Statements	CL+10	E, HC		FIN	Monthly statement of transactions	GC 34090; CCP 337.5	FIN047
401	-12	Bonds: Administration, Policies and Procedures	CL+10	E, HC		FIN	Supporting documents	GC 34090; CCP 337.5	FIN048
401	-13	Bonds: Bonds and Coupons Paid or Canceled	CL+10	E, HC		FIN		GC 34090; 53921; CCP 337.5	FIN049
401	-14	Miscellaneous Returned Items	AU+5	E, HC		FIN	All documentation related to checks bounced to the City that are processed by the cashier.	GC 34090	FIN050
401	-15	Investment Reports	P	E, HC		FIN	Monthly reports of Investment Portfolio performance.	GC 34090	FIN053
401	-16	Statement of Indebtedness	CU+3; P for electronic	E, HC		FIN	Annually required regulatory report to the State and County reporting the City's RDA debt and cumulative tax increment.	GC 34090	FIN054
402		ADMINISTRATION / REPORTING							
402	-01	Contracts and Agreements Excluding Capital Improvement	T+5	E, HC		FIN, Originating Department	Includes agreements, leases, equipment, services or supplies. Examples: school district agreements; benefit contracts; service and service maintenance agreements with service providers; franchise agreements; tower lease agreements; instructor agreements; vendor agreements; community service organization agreements, purchase orders and associated attachments (FIN); memorandum of understanding (MOU); Friendship City agreements.	CCP 337.2, 343; GC 34090	ADMIN096

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			SEE LEGEND					SEE LEGEND	
402	-02	Contracts and Agreements Including Capital Improvement	P	E, HC		FIN, OCM	Construction. Examples: capital improvement project contracts.	H&S 19850; GC 34090	ADMIN097
402	-03	Assessment Districts Documentation	P	E, HC		FIN, Originating Department	Original documentation - Ex: engineer's report for Downtown Parking District Assessment.	GC 34090	ADMIN108
402	-04	Public Financing Authority Documentation and Management Reports	CL+10	E, HC		FIN	All records and documents associated with Public Financing Authority.	GC 34090, CCP337.5	ADMIN117, ADMIN119
402	-05	Public Financing Authority: Financial Records	P	E, HC		FIN	Bond issuance documents and disclosure documents.	GC 34090, 40802, 53901	ADMIN118
402	-06	Audits	P	E, HC		FIN	Single Audit Report, TDA Report, SMART Station, Asset Forfeiture, Prop 172, Library Certification, SLESF.	GC 34090	FIN036
402	-07	Federal and State Tax Forms	AU+4	E, HC		FIN	Forms 1096, 1099, W-4's, W-2's, W9's, City Sales & Use tax return, Form 941, DE6 with backup payroll reports and pay register.	GC 34090; 29USC 436 * (*26 CFR 31.6001.1-4; IRS REG 31.6001-1(e)(2) ;R&T 19530;29 CFR 516.5-	FIN038
402	-08	State Controller	CU+2	E, HC		FIN	Annual regulatory reports required to be submitted to the State. Reports include The State Controller's Report (documents the annual financial transactions for the City, RDA, and Financing Authority), The Street Report (documents use of Gas Tax funds and street expenditures).	GC 34090	FIN043
403		AUDIT							
403	-01	Annual Financial Report	CL+2	E		FIN	Records related to or needed for an Independent auditor analysis.	GC 34090	ADMIN001
403	-02	Audit Hearing or Review Documents	AU+2	E		FIN	Documentation created and/or received in connection with an audit hearing or review. Logs and notes from administrative appeals.	GC 34090; OMB A-128	ADMIN005
403	-03	Audit Reports	AU+6	E, HC		FIN	Internal and/or external; including back-up documentation. Examples: payroll audit reports; audit reports for golf course restaurants; budget audit reports; etc.	GC 34090; OMB A-128	ADMIN006
404		PAYROLL							
404	-01	Adjustments, Payroll	AU+4	E		FIN	Payroll adjustments from previous payrolls.	GC 34090 29 CFR 516.5 – 516.6; CCP 337; 22 CCR 1085-2	FIN026
404	-02	Deferred Compensation	T+5	E		FIN	Records of employee contributions and city payments; PERS Employee Deduction Reports.	GC 34090; 26 CFR 1.6001-1* (*29 CFR 1627.3(2))	FIN037
404	-03	Employee Time Sheets	AU+6	E, HC		FIN	Signed by employee for audit & FEMA Reports. Examples: Overtime reports; time cards; canine time cards (maintained by HRD).	GC 34090; 29 CFR 516.2* (*20 CFR 516.6(1); IRS Reg. 31.6001-1(e)(z); R&T 19530; LC 1174(d))	FIN027
404	-04	Paycheck Stuffers	CU+2	E		FIN		GC 34090	ADMIN158
404	-05	Register, Payroll	P	E, HC		FIN	Bi-weekly payroll audit reports, check register, pay register, empdist report, leave reports, employee contributions to PERS; ACH records.	GC 34090; GC 37207 , 22 CCR 1085-2	FIN029
404	-06	City Employee Reimbursements	CU+2	E, HC		FIN	Reimbursement includes travel advances and expenses, training expenses for staff and City Council, retiree medical reimbursement. (Excluding Tuition reimbursement - see Personnel).	GC 34090	ADMIN078
404	-07	Salary Records	T+3	E, HC		HR, FIN	Deduction authorization, garnishments (Includes Independent Contractor forms submitted to EDD reporting wages paid and address), employee giving campaign pledge forms (maintained by HRD).	GC 34090; 29 CFR 516.2; 29 CFR 516.6	FIN030
404	-08	Travel Records	CU+2	E, HC		FIN, Originating Department	Travel authorization requests, travel expense reimbursements, itineraries, supporting documentation, etc.	GC 34090	ADMIN051
404	-09	W-4 Statements, Wage Attachments	Taxes+4	E, HC		FIN	W-4 Statements (10+ exemptions).	26 CFR 301.6501(a)-1	ADMIN161, ADMIN162

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		CATEGORIES / RECORD SERIES	RETENTION PERIOD(S)	FORMAT	VITAL (Y=Yes)	DoR (Owner)	DESCRIPTOR / EXAMPLE	CITATION	FORMER RECORD SERIES #
			SEE LEGEND					SEE LEGEND	
405		PURCHASING							
405	-01	Inventory of Fixed Assets	AU+4	E, HC		FIN, Originating Department	Reflects purchase date, cost, account number. All documentation related to fixed asset acquisition and disposal that are entered into the fixed assets database.	GC 34090; 26 CFR 301 6501(a)	FIN020
405	-02	Bids & Proposals (Successful and Unsuccessful)	CL+2	E, HC		FIN	Competitive submittals that were submitted for the identified services. Unsuccessful proposals are considered closed at the time of award for the successful proposal.	GC 34090(d)	DEV002
405	-03	IFB's, RFQ's, RFP's	AU+5	HC		FIN, Originating Department	Invitation to Bid, Requests for Qualifications; Requests for Proposals or other formal solicitation documents regarding goods and services generated by the City (both successful and unsuccessful).	GC 34090; CCP 337	FIN031
405	-04	Central Stores Inventory Reports	CU + 5	HC		FIN	Period end reports and all back up documentation; items received and checked out; daily issued logs, receipts, requisitions; fuel reports.	GC 34090	FIN052
405	-05	Contractor Listing	CU+2	E		FIN, CDD, DPW, LRS, ESD	Current listing	GC 34090(d)	DEV006
405	-06	Purchasing cardholder documents	T+4	E, HC		FIN	Folder for each cardholder containing user agreement.	GC 34090; CCP 337	FIN051
405	-07	Requisitions and related Purchase Orders, Blanket Purchase Orders or Agreements issued	AU+4	E, HC		FIN, Originating Department	Related original documents.	GC 34090; CCP 337	FIN033
405	-08	Reproduction Support Services (printing, postage)	CU+2	HC		FIN	Reproduction; printing; postal/mailing services, other internal resources related to request. Examples: reproduction, printing requests; postal/mailing services, other internal resources.	GC 34090	ADMIN050
405	-09	Surplus Property: Auction	AU+2	HC		FIN, Originating Department	Listing of property.	GC 34090	FIN022
405	-10	Surplus Property: Disposal	AU+4	HC		FIN, Originating Department	Sealed bid sales of equipment; Back up related to disposal including deposit receipts, sales transaction.	GC 34090; CCP 337	FIN023
405	-11	Vendor Register	CU+7	E, HC		FIN	Alpha vendor listing of purchase orders, invoices, account numbers and check date. Backup for customers we regularly correspond with.	GC 34090	FIN035
406		BUDGET							
406	-01	Budget	AU+2	E, HC		FIN	Reports and related papers used during City Manager reviews; various staff notes, analyses and supporting docs generated during budget reviews; Accounting period reports provide budget to actual information for programs, funds, and transaction detail for the period; periodic fund allocations (interest, gas tax, DED indirect cost allocations); Automated Call Distributor reports.	GC 34090	FIN007
406	-02	Budget: Adopted	P	E, HC		FIN	Adopted budget, and all records pertaining to the adopted budget.	GC 34090	FIN019
406	-03	Financial Plans	S	E, HC		FIN	Working files for 20 year financial plans. Examples: operating budgets; IT rental rate schedules; Performance Budgeting Structure Related Reports, PAMS, PABS.	GC 34090.7	ADMIN004
406	-04	Redevelopment Agency Budgets	P	HC		FIN, CDD	Includes annual audit.	GC 34090, 40802, 53901	DEV060
406	-05	Redevelopment Relocation Files	CL+2	HC		FIN, CDD-RDA	e.g., Redevelopment.	GC 34090	DEV079
407		REVENUE							
407	-01	Bond documentation	CL+10	E, HC		FIN, DPW, CDD	Assessment district files, City Directors Mortgage Files, Account Statements, Bonds/Coupons paid or cancelled, final bond documentation.	GC 34090; CCP 337.5	ADMIN002

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			SEE LEGEND					SEE LEGEND	
407	-02	Business License	T+4	E, HC		FIN	Paid & reports. Also includes Bingo license paperwork.	GC 34090; CCP 337	FIN025
407	-03	Liens & Releases: Recorded Liens & Releases	P	E		FIN, CDD	Utilities, abatement, licenses. Record of information and correspondence for properties which receive a tax roll lien.	GC 34090	DEV038.1
407	-04	Liens & Releases: Supporting Recorded Documentation	CL+2	E		FIN, CDD	Utilities, abatement, licenses. Record of information and correspondence for properties which receive a tax roll lien.	GC 34090	DEV038
407	-05	Returned Mail	7 Years	HC		Originating Department	Backup for mail that has come back to the division undeliverable.	GC 34090	ADMIN171
407	-06	Taxes, Receivable	AU+3	E, HC		FIN	Includes all revenue remittances received from electric, gas, and phone service providers. Remittance documentation from other agencies. Monthly TOT remittances and other hotel documentation. Business Tax License documentation.	CCP338	FIN015
408		UTILITIES							
408	-01	Applications, Utility	CL+7	E, HC		FIN, DPW	Utility connections, disconnects, registers, service. Backup for RY service provided to disabled residents.	GC 34090	FIN003
408	-02	Billing Records	AU+2	E, HC		FIN	Customer name, service address, meter reading, usage, payments, applications/cancellations. Folder contains Access spreadsheets, billing, and journal vouchers. Includes abandoned vehicle abatement, SB90 state mandates, green certificates, sale of electricity, renewable energy, ABAG lease billing, alternative fuel tax credit; backup for billing adjustments. Utility shut off, noticing, and delinquency cycle system reports. Records of correspondence with customers.	GC 34090	FIN006
408	-03	Journals, Utility Billing	CU+7	E, HC		FIN	Billing including monthly activity. Record of utility billing activity from system; back up for revenue and trial balance posted to system; back up for write offs.	GC 34090	FIN012
408	-04	Meter Reading	CU+2	E, HC		FIN	Service on and off work orders, re-reads, lock offs, etc.	GC 34090	FIN042
408	-05	Utility Rebates	CU+2	E, HC		FIN		GC 34090	FIN044
409		GRANTS - DONATIONS							
409	-01	Grants, Federal and State	CL+5	HC		FIN, Originating Department	Refer to grant application close-out procedure. Examples: Grant applications, supporting documents.	GC 34090	ADMIN053
409	-02	Grant Financial Records	CL+5	HC		FIN	Complete file for each grant that includes back up documentation. Examples: grant document, expenditures, reimbursements, and grantee reports.	GC 34090	ADMIN054
409	-03	Grants, Unsuccessful	CL+2	E		FIN	Applications not entitled. Examples: grant documents.	GC 34090	ADMIN055
500		PERSONNEL							
501		PERSONNEL DATA							
501	-01	Applicant Fingerprint Records- Livescan Application- BCII-8016 Form	12 Months	E, HC		DPS, HR	Applicant Fingerprint Records- Livescan Application- BCII-8016 Form	California DOJ Guidelines for Submitting Applicant Live Scan Transactions, Section M - Proper Handling and Storage of Applicant Information (May 2007)	ADMIN169
501	-02	Federally Required Reporting	CU+3	E		HR	Includes EEO-4 Reports, VETS-4212 Report	29 CFR 1602.30; 29 CFR 1602.31	ADMIN070.01

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			SEE LEGEND					SEE LEGEND	
501	-03	Official Personnel Files	T+5	E, HC	Y	HR	Official personnel file for each employee. Documentation may include: Release Authorizations; Certifications; Reassignments; outside employment; commendations; disciplinary actions; terminations; Oaths of Office; evaluations; identification cards (ID's) Examples: Annual, three month, & six month performance evaluations for employee; personnel action forms; disciplinary actions; benefit election/change forms; beneficiary designations.	29 CFR 1627.3; CCR Sec 1174; 29 CFR 1602.30.32; GC 6250 et seq; 29 CFR; GC 12946, 34090* 1607.4; 29 CFR 655.202; 29 CFR 516.6 et seq; 45 CFR 1068.6(a)	ADMIN068
501	-04	Reports: Human Resources	CU+2	E		HR	Employee statistics, benefit activity; liability loss. Examples: vacation, floating holiday, comp time taken, and admin leave hours by employee (all non-disability leaves); disability leave reports; liability loss reporting.	GC 34090	ADMIN072
501	-05	Personnel Records (copies)	CU	E, HC		All Applicable Depts	Copies may be destroyed by departments once no longer useful for reference. Ex: attendance; evaluations; drafts; worksheets; postings. Examples: Departmental copies of leave request forms; disability leave requests; job postings; manager achievement plans; manager performance evaluations; SEIU/SEA/Confidential employees performance evaluations; department maintained personnel rosters.	GC 34090; GC 6250	ADMIN069
502		PERSONNEL MANAGEMENT							
502	-01	Bond, Personnel Fidelity	T+2	E, HC	Y	HR	Employee fidelity bonds	GOV 34090, City Charter	ADMIN058
502	-02	Classification and Compensation surveys	CU+2	E		HR	Includes classification, wage rates. Examples: job analysis; review of work; interviews of staff; job classifications and salaries from other agencies, union group, date established, EEOC code, etc.	GC 12946, 34090; 29 CFR 516.6(2); 29 CFR 1602.14	ADMIN074
502	-03	Federal I-9s	DOH+3 or T+1, (see Descriptor)	E, HC		HR	If hired, DOH + 3, or T+1, whichever longer. If not hired, but recruited for a fee, date of recruitment +3.	Immigration Reform/Control Act 1986 Pub. L 99-603, LC 1174, 8 USC 1324a(b)(3)	ADMIN064
502	-04	Leave - Medical	T+5	E, HC		HR	May include FMLA/CFRA/PDL; Medical certifications; Paid Medical Leave; employee emergency relief fund.	FMLA 1993 US OSHA; 29 CFR 1910.1020; 29 CFR 1602.30-	ADMIN065
502	-05	Pre-Employment Medical	CU+5	E, HC	Y	HR	Pre-employment Medical files- Hired and Not Hired.	CA222-0010-00; 22 CCR 1085-2; GC 12946	ADMIN163
502	-06	Recruitment Documentation	CL+3	E		HR	Applications, resumes, alternate lists/logs, indices; ethnicity disclosures; examination materials; examination answer sheets, job bulletins; eligibility; electronic database. Examples: applications; position recruitment records including: position requisition, advertising costs, exam results, copy of eligibility lists, referral lists, interview questions, candidate correspondence; reference checks; selection appeals.	Reference: GC 12946; GC 6250 et seq; 29 CFR 1602 et seq 29 CFR 1607; 29CFR 1627.3	ADMIN071
502	-07	Salary Information	P	E	Y	HR	Salary schedule, Salary Resolutions.	GC 34090; GC 12946; 29 CFR 516.6(2)	ADMIN041
502	-08	Unemployment Insurance	CL+2	E		HR	EDD unemployment insurance claim, determinations/rulings, benefit charges statements, benefit audits, any other correspondence related to unemployment insurance claims.	GC 34090	ADMIN068.04
503		RISK MANAGEMENT							
503	-01	Bonds, Insurance Policies	CL+10	E, HC	Y	HR, FIN	Insurance policies for General Obligation Bonds, Certificates of Participation (COPS), Lease-Revenue Bonds, Fidelity Bonds, Surety Bonds, and other financial instruments.	CCP 337.2; 343	ADMIN124
503	-02	Incident Reports	CL + 7	E, HC	Y	HR	Theft, arson, vandalism, property damage or similar occurrence (excluding fire/law enforcement).	CCP 338	ADMIN126

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			SEE LEGEND					SEE LEGEND	
503	-03	Insurance	P	E, HC	Y	HR, Various	Insurance certificates filed separately from contracts, includes insurance filed by licensees; May include liability, property, Certificates of Participation Examples: Bonds or Insurance for vendors who do business with the City. HR risk and insurance documents.	GC 34090	ADMIN128, ADMIN129
503	-04	Infectious Disease & Occupation Exposure Files	P	E	Y	HR	Employee exposure records	29 CFR 1910.1030(h); 29 CFR 1910.1020; 8CCR3204(d)(1)(B)	ADMIN166
503	-05	Liability Claims	CL+7	E	Y	HR	Claims against the City - General, Automobile, Property and Employment Liability Claims.	CCP 335.1	ADMIN167
503	-06	Liability Claims - Sexual Abuse and Molestation	CL+20	E, HC	Y	HR	Special liability claims against the City.	CCP 340.1, CCP 1002, CG Section 905	ADMIN068.02
503	-07	Occupational Medical Test	T+5	E	Y	HR	May include Hearing Conservation Test; respirator test; etc.	FMLA 1993 US OSHA; 29 CFR 1910.1020; 29 CFR 1602.30-1602.32; OSHA; 8CCR5100(d)(2)OSHA	ADMIN065
503	-08	Leave - Disability	T+5	E		HR	May include long term disability claims/applications; ADA; interactive processes/reasonable accommodations; State Disability Insurance claims.	FMLA 1993 US OSHA; 29 CFR 1910.1020; 29 CFR 1602.30-1602.32; OSHA 8CCR5100(d)(2)OSHA	ADMIN065
503	-09	Photographs, Negatives, Film	CL+2	HC	Y	HR	Related to risk management	GC 34090, CCP 335.1	ADMIN131
503	-10	Risk Management Reports	CL+5	E	Y	HR	Federal OSHA Forms; Loss Analysis Report; Safety Reports; Actuarial Studies.	29 CFR1904.4; GC 34090	ADMIN132
503	-11	Accident Reports - City Assets	CL+7	E, HC	Y	HR, Various	Reports and related records. Examples: workplace accident reports; accident reports for accidents involving City vehicles; reports related to accidents on City property.	29 CFR 1904.2; 29,* (* CFR 1904.6) CCP 338	ADMIN123
503	-12	Damage Claims	CL+7	E, HC	Y	HR	Paid/Denied. Examples: Claims against the City; liability claims.	GC 34090; GC 25105.5	ADMIN125
503	-13	Safety Program	CU+2	E, HC	Y	HR	Workplace inspections, training records, annual training in the contents of fire safety and evacuation plans, safety committee meeting records, and exposure control reports.	8 CCR 3203(b)(1)-(2), 8 CCR 3203(c)(2), CFC 406.2	ADMIN168
504		VOLUNTEERS							
504	-01	Volunteer Records	T+3: Placed CU+2: Not Placed	E, HC		HR	Volunteer recruitment, applications, records, volunteer agreements to serve (signed original), and volunteer timecards/timesheets.	GC 34090	ADMIN173, ADMIN174
504	-02	Volunteer Reports	CU+2	E, HC		HR	Mid-Year Report, End of Year Report.	GC 34090	ADMIN184
504	-03	Volunteer Fingerprint Records- Livescan Application- BCII-8016 Form	12 Months	E, HC		DPS,HR	Volunteer Fingerprint Records- Livescan Application- BCII-8016 Form.	California DOJ Guidelines for Submitting Applicant Live Scan Transactions, Section M - Proper Handling and Storage of Applicant Information (May 2007)	ADMIN169
504	-04	Volunteer Volgistics User Agreements	T+5	E, HC		HR	Volgistics User Agreement.	GC 34090	ADMIN186
505		BENEFITS							
505	-01	Benefits Guide	S+2	E		HR	General employee information including benefit plans.	GC 34090	ADMIN059
505	-02	Irrevocable Election Forms	Taxes+4	E		HR	Employee election of paid leave cash-out submitted in prior calendar year.	GC 34090; 26 CFR 301.6501(a)-1	ADMIN068.01
505	-03	Deferred Compensation Plan	CU+4	E, HC		HR	Plan document contracts.	26 CFR 301.6501(a)-1	ADMIN155

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			SEE LEGEND					SEE LEGEND	
506		WORKERS COMPENSATION							
506	-01	Workers Compensation Insurance & Documentation	P	E, HC	Y	HR	Indemnity; PERS -working files - originals with Administrator, claims files.	LC 6410 29 CFR 1910.1020	ADMIN130
507		EDUCATION AND TRAINING							
507	-01	Citywide Training Records	CU+5	E, HC	Y	HR	Class/training/workshop descriptions and schedules, rosters, sign-in sheets, evaluations, program information. Harassment training materials including sign-in sheets, copies of certificates of attendance, written or recorded training materials (including webinars), and any written questions employees submit.	GC 34090; GC 12950.1	ADMIN075
507	-02	Tuition Reimbursement	CU+2	E, HC		HR	Tuition Reimbursement documents.	GC 34090	ADMIN078
508		LABOR RELATIONS							
508	-01	Civil Service Rules	P	E, HC		HR	Civil Service Rules.	GC 34090	ADMIN153
508	-02	EEOC/ADEA/DFEH	P	E, HC		HR	EEOC/ADEA. Examples: EEOC/DFEH complaints and City response.	29 CFR 1627.3(2); GC 12946, 34090	ADMIN070
508	-03	Employee Rights: Safety and General Employees	T+5 - Sworn Employees T+3- General Employees	E, HC		HR	May include Arbitration, grievances, union requests, sexual harassment and Civil Rights, complaints, disciplinary actions.	GC 12946; 29 CFR 1602.12	ADMIN062, ADMIN062.1
508	-04	Personnel Drug Testing	CU+5	E	Y	HR	Records of employees randomly selected for drug and/or alcohol tests, random test results, Substance Abuse Professional (SAP) reports, follow-up test results, inspection records and information obtained by previous employers concerning drug and alcohol test results.	DOT 49 CFR Part 40 Subpart P Sect 40.333; 49 CFR 40.333 and Sect 40.25	ADMIN154
508	-05	Negotiation Documentation	CL+15	E, HC		HR	Notes, notebooks, correspondence, contracts, and Memorandums of Agreements. Examples: -negotiations notes, notebooks correspondence, contracts and Memorandum of Understandings; side letters.	29 USC Sections 211(c), 203(m), 207(g)	ADMIN067
600		CITY MANAGER ADMINISTRATION, LEGISLATIVE AND LEGAL							
601		CITY MANAGER ADMINISTRATION							
601	-01	Reports: City Manager	CU+5	E, HC		OCM	City Manager Bi-Weekly Reports (Update Sunnyvale).	GC 34090	ADMIN048.1
601	-02	Brochures, Publications, Newsletter, Bulletins	CU+3	E, HC		OCM, HRD	Examples: Harbinger/Sun Times, Quarterly Report/Horizon, Council One Sheet, Insights, etc.	GC 34090	ADMIN120.1, ADMIN120.2
601	-03	City Calendar	CU+1	E		OCM	Calendar entries maintained on the City's website.	GC 34090	ADMIN121
601	-04	Media Relations	CU+3	E		OCM	Content provided to media outlets, e.g., written replies, press releases and associated photos/photo releases, video or b-roll, etc.	GC 34090	ADMIN122, ADMIN122.2
601	-05	Media Contact Log	CU+3	E		OCM	Tracking for Performance Measures on replies.	GC 34090	ADMIN122.3
601	-06	News Release Log	CU+3	E		OCM	Index of news releases.	GC 34090	ADMIN122.4
601	-07	Correspondence: City Council	T+3	E, HC		OCM	Outgoing correspondence on behalf of City Council or Mayor.	GC 34090	ADMIN176
601	-08	Intergovernmental Relations (IGR): Subject files	CU+3	E, HC		OCM	IGR Subject files, tracking legislative issues.	GC 34090	ADMIN175, ADMIN172
601	-09	Policy, Administrative Policies	CU+2	E, HC		OCM, Originating Department	Administrative Policy Manual: Final, signed and posted to intranet.	GC 34090	ADMIN087.2

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			SEE LEGEND					SEE LEGEND	
601	-10	Policy, Council Policies	S+2	E, HC		OCM, OCA	Policies, directives, amendments rendered by Council not assigned a resolution or ordinance number. Examples: Council Policy Manual; Legislative Advocacy Positions.	GC 34090	ADMIN116
601	-11	Biographies	T+10	E, HC		OCM	Biographies, bios, or vitae for City Council, Mayor, City Manager.	GC 34090	ADMIN040
601	-12	Petitions: Not election-related	CU+2	E, HC		OCM	Submitted to legislative bodies. Examples: Neighborhood or special-interest group petitions; not election-related.	GC 34090; GC 50115	ADMIN105
601	-13	Delegation visits	CU+2	E, HC		OCM	Records of visiting delegations.	GC 34090	ADMIN182
601	-14	Special Orders of the Day (SOD)	CU+2	E, HC		OCM	Special Orders of the Day presented by the Mayor or Council; includes proclamations, certificates of appreciation / achievement / recognition, commendations, letters of recognition.	GC 34090	ADMIN181
601	-15	State of the City	CU+3	E, HC		OCM	Includes prepared State of the City Address by the Mayor, Awards, etc.	GC 34090	ADMIN186
601	-16	Recordings: tapes, audio, video for Minutes Preparation	CU+1	E, HC		OCM, Originating Department	Audio or video tapes, CDs, DVDs or other electronic media used for minutes preparation. Examples: recordings of City Council meetings, Planning Commission meetings, boards and commission meetings.	GC 34090.7; GC 54953.5.(b)	ADMIN107
601	-17	Recordings: tapes, audio, video: City Council Meetings	CU+10	E, HC		OCM	Audio or video tapes, CDs, DVDs or other electronic media for historical purposes. Example: Council meeting recordings.	GC 34090.7	ADMIN107.1
601	-18	Inventory, City Records	S+4	D, E		OCM	Inventory of non-current or inactive records holdings and location, indices. Examples: inventory from GRM offsite storage, department logs of records storage.	GC 34090; 80 OPS Atty. Gen. 106	ADMIN109
602		PUBLIC RECORDS REQUEST							
602	-01	Public Records Request	CL+2	HC, D, E		OCM, Originating Department	Public Records Requests. Examples: Written requests for public records; subpoena form and any attachments; request forms, logs or documentation.	GC 34090	ADMIN111
602	-02	Records Management Documents	CL+2	HC, E		OCM	Document includes retrieval, transfers - inactive.	GC 34090	ADMIN112
602	-03	Records Management Disposition Certification	P	HC, D, E		OCM	Documentation of final disposition or records. Examples: records destruction certificate or resolution.	GC 34090	ADMIN113
602	-04	Records Retention Schedules	P	E		OCM	Resolution adopting records retention and destruction schedule and policies.	CCP 343	ADMIN114
603		CITY ATTORNEY							
603	-01	Case Records - General	CL+7, CU+3	E, HC, D		OCA	Records of claims and litigation (actual or prospective) including claim forms, complaints, police reports, investigations, correspondence, evidence, pleadings, briefs, orders, judgments, settlements. If case involves injury to a minor, records should be retained for 3 years after minor turns 18 or permanently for cases involving sexual abuse/assault.	CCP 583.320(a)(3); GC 34090; 42 USC s1983	ADMIN089, ADMIN093, ADMIN095
603	-02	Case Records - Sexual abuse and assault	P	E, HC, D		OCA	Records related to sexual assault of a minor or adult within the meaning of CCP 340.1 or 340.16.	CCP 340.1, 340.16	NEW
603	-03	Case Records (Significant)	P	E, HC, D		OCA	Records that, within the judgment of the City Attorney, should be retained permanently due to historical importance or legal precedent.	GOV 6254	ADMIN094
603	-04	Opinions/ Memoranda	S+2	E, HC, D		OCA		GC 34090	ADMIN103
604		LEGISLATIVE AND/OR LEGAL DOCUMENTS							
604	-01	Articles of Incorporation	P	HC		OCM	Example: Documents of formation for a public entity or non-profit.	GC 34090; CCP 337.2	ADMIN092

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			SEE LEGEND					SEE LEGEND	
604	-02	Agendas: City Council, Boards, and Commissions	P	E, HC, D		OCM, Originating Department	Original agendas and special meeting notices: City Council, City Boards and Commissions, Ad Hoc Committees, Council Subcommittees, Redevelopment Agency (RDA), Local Redevelopment Authority (LRA) and Public Financing Authority; Redevelopment Successor Agency Oversight Board.	GC 34090	ADMIN087
604	-03	Agenda Reports - Report to Council (RTC) - Public Hearing, General Business and Consent Calendar items	P	E, HC, D		OCM	Reports to Council (RTC) for public hearing and consent calendar items; Study Issues/Budget Issues Workshop binders/materials, Reports to Commissions.	GC3409(d)	ADMIN088.01
604	-04	Archive: Including Info Only Reports	CU+10	E, HC, D		OCM	Information Only reports to Council, and Reports to Commissions, Agenda-related memos to Council.	GC 34090(d)	ADMIN088
604	-05	Advertising of Legal Notifications	CU+4	E, HC		OCM	Includes public notices, legal publications. Examples: ad copy, invoice, finance-(proofs of legal publications, ordinances, resolutions, etc.); public notices, Affidavit of publication, etc.	CCP 343, 349 et seq.; GC 911.2; GC 34090	ADMIN099
604	-06	Applications for Boards, Commissions: Not appointed	CL+2	E, HC		OCM, Originating Department	Not selected. Examples: applications; rejection letters; etc.	GC 34090	ADMIN090
604	-07	Applications for Boards, Commissions: Appointed	T+5	E, HC		OCM, Originating Department	Selected	GC 34090; GC 40801	ADMIN091
604	-08	Minutes: Council, Boards and Commissions	P	E, HC	Y	OCM, Originating Department	Official minutes and hearing proceedings of governing body or board, commission or committee. Examples: Minutes of the City Council, City Boards and Commissions, Ad Hoc Committees, Council Subcommittees, Redevelopment Agency (RDA), Local Redevelopment Authority (LRA) and Financing Authority; Redevelopment Successor Agency and Redevelopment Successor Agency Oversight Board.	GC 34090(d); GC 36814; GC 40801	ADMIN101
604	-09	Ordinances	P	E, HC		OCM, OCA	Legislative actions. Examples: original signed Ordinances; Charter amendments.	GC 34090(d) 40806	ADMIN104
604	-10	Resolutions	P	E, HC		OCM, OCA	Legislative actions. Examples: original signed resolutions.	GC 34090(d) 40801	ADMIN106
604	-11	Municipal Code	P	E, HC		OCM, OCA	Supplements included	GOV 34090	ADMIN110
605		ELECTIONS							
605	-01	Affidavit Index	CL+5	E, HC		OCM	Includes Statement of Registration Certification provided by the Registrar of Voters.	EC 17001	ADMIN011
605	-02	Ballots, Prop. 218 (Assessment Districts)	P	E, HC		OCM	Property related fees (Assessment Ballot proceeding)	California Constitution Art. XIII	ADMIN015
605	-03	Candidate Statements, Elected	P	E, HC		OCM	Written statement of candidates, elected.	GC 34090; GC 81009	ADMIN024
605	-04	Candidate Statements, Not Elected	E+8	E, HC		OCM	Example: Written statement of candidates, not elected (E= Election).	GC 34090; GC 81009	ADMIN024.01, ADMIN122.5
605	-05	Canvass of Returns	P	E, HC		OCM	Records used to compile final election results, including tally sheets, voting machine tabulation, detailed breakdown of results; special election results Examples: ROV certification of results; resolution certifying canvass of returns and results.	GC 22932; EC 17130; EC 2653	ADMIN017
605	-06	Certificates of Election	T+4	E, HC		OCM	Certificates of election; Original reports and statements.	GC 81009(a) (d)	ADMIN018
605	-07	Charter, Amendments / Measures	P	E, HC	Y	OCM, OCA	Charter; Charter Amendments; Charter Revisions; Chapter designations by Secretary of State following adoption of voters.	GC 34458-60; GC 34090	ADMIN019
605	-08	Lobbyist Registration	P	E, HC		OCM	Statements	EC 81009(b)	ADMIN028
605	-09	Maps, Precincts/Voter Information	E+2	E, HC		OCM	(E= Election)	GC 34090; EC 17503; EC 17302	ADMIN029

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			SEE LEGEND					SEE LEGEND	
605	-10	Nomination Papers: Successful	T+4	E, HC		OCM	Nomination documents, in-lieu petitions (T= completion of Council term).	EC 17100	ADMIN030
605	-11	Nomination Papers: Not Elected or Unsuccessful	E+8	E, HC		OCM	Nomination documents, in-lieu petitions (E= Election).	EC 17100	ADMIN031
605	-12	Notifications and Publications: Elections	E+2	E, HC		OCM	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, Affidavit of publication, notice of election, notice of nominees, Election Guide.	GC 34090	ADMIN032
605	-13	Oaths of Office	T+6	E, HC		OCM	Elected Officials (T = completion of Council term).	GC 34090; 29 USC 1113	ADMIN033
605	-14	Petitions	E+8 months	E, HC		OCM	Initiative, referendum, recall, Charter Amendments. Examples: initiative and referendum petitions; recall petitions; etc. (E= Election).	EC 17200, EC 17400	ADMIN034
605	-15	Petition Administration Records	P	E, HC		OCM	Initiative petition materials. Notice of Intention, written text of the initiative, written statement setting for the reasons for the proposed petition.	EC 9202.5	ADMIN034.01
605	-16	Precinct Records	E+5	E, HC		OCM	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 (E= Election).	EC 17503	ADMIN035
605	-17	Voter Roster	E+5	E, HC		OCM	From date of election; Initiative, referendum recall, general municipal election, Charter Amendments (E= Election).	EC 17300	ADMIN036
606		FAIR POLITICAL PRACTICES COMMISSION (FPPC)							
606	-01	FPPC: Conflict of Interest Code	P	E, HC		OCM	Conflict of Interest Code Resolution.	GC 34090	ADMIN020
606	-02	FPPC: Administration / Campaign Statements and Conflict of Interest materials	CU+5	E, HC		OCM	FPPC Opinions. Examples: Conflict of Interest Code biennial review; reporting forms and working documents.	GC 34090	ADMIN020.1
606	-03	FPPC: Campaign disclosure, Elected	P	E, HC, D		OCM	FPPC Filings. Examples: Form 460, 410, 501 etc.	GC 81009(b) (g)	ADMIN021
606	-04	FPPC: Campaign disclosure, Not Elected	E+8	E, HC, D		OCM	FPPC Filings. Examples: Form 460, 410, 501 etc. (E= Election)	GC 81009(b)	ADMIN022
606	-05	FPPC: Campaign disclosure - (all other committees)	E+8	E, HC, D		OCM	FPPC Filings. Examples: Form 460, 410 etc.(E= Election)	GC 81009(c)	ADMIN023
606	-06	FPPC: History	P	E, HC		OCM	History of elections, certificates of destruction, other resolutions re: elections.	GC 34090	ADMIN025
606	-07	FPPC: Statement of Economic Interests - Elected Officials	P	E, HC, D		OCM	Includes elected officials and GC 87200 filers. FPPC Filings Examples: Form 700.	GC 81009(e)	ADMIN026
606	-08	FPPC: Statement of Economic Interests - Conflict of Interest Code filers	CU+7	E, HC, D		OCM	FPPC Filings: includes Conflict of Interest Code Designated Positions or Employees, commissioners, consultants. Examples: Form 700.	GC 81009(e)	ADMIN027
700		PUBLIC SAFETY							
701		FIRE SAFETY ADMINISTRATION							
701	-01	Books, Fire Code	S+3	E, HC		DPS	Include OPS manual.	GC 340907.7CCP340.5	PS002
701	-02	General Orders, Policies/Procedures	CL+20	E	Y	DPS		GC 34090	PS003
701	-03	Inspections, Fire Prevention	CL+5	E	Y	DPS	Alarm sprinkler systems, prevention efforts.	CA Fire Code 104.6.2	PS004
701	-04	Investigation, Evidence of Arson	P	E		DPS	Support prosecution resulting in homicide.	PC799	PS005

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			SEE LEGEND					SEE LEGEND	
701	-05	Investigation, Evidence of Arson	CL+6	E		DPS	Great bodily harm, inhabited structure or property.	PC800	PS006
701	-06	Journals, Fire Station	CU+2	HC		DPS	Activities, personnel, engine company.	GC 34090	PS007
701	-07	Permits, Uniform Fire Code	CL+2	E, HC		DPS		GC 34090	PS008
702		FIRE PREVENTION/PUBLIC EDUCATION							
702	-01	Inventory Equipment &Supplies	CU+2	HC		DPS	Fire Inventory Equipment & Supplies.	GC 34090	PS015
702	-02	Logs of fire Equipment/Gear	CU+2	E, HC		DPS	Logs of fire Equipment/Gear; Managed through Sharepoint and through paper logs in each apparatus.	GC 34090	PS016
703		FIRE OPERATIONS							
703	-01	Exposure collection of samplings	T+30	E, HC		DPS	Sampling Resulting, collection methodology.	29 CFR 1910.1020	PS009
703	-02	Exposure sampling results	T+1	E, HC		DPS	Laboratory reports and worksheets.	29 CFR1910.1020	PS010
703	-03	Access to Employee Exposure and Medical Records	T+30	E, HC		DPS	Medical record for each employee must be preserved and maintained for at least the duration of employment plus 30 years, unless a specific occupational safety and health standard provides a different period of time.	29 CFR 1910.1020	PS011
703	-04	Access to Employee Exposure and Medical Records for employees less than	T+2	E, HC		DPS	Medical record for employees less than one year .	29 CFR 1910.1020; *GC 34090	PS012
703	-05	Training	T+2	E	Y	DPS	Certification/designations.	GC34090; POST	PS013
703	-06	Incident Logs	CL+3	E		DPS	Dispatch and daily Logs.	GC34090; CCP338*(*CCP)	PS017
703	-07	Fire, Non-arson and logs	CU+2	E		DPS	Non-arson fire cases - if related to criminal case, must be retained until case is adjudicated.	GC 34090	PS019
703	-08	Investigations, Evidence of Arson	CL+5	E, HC		DPS	Structure.	PC801;CA Fire Code 104.6.3 AND 104.10	PS020
704		HAZARDOUS MATERIALS							
704	-01	Hazardous Waste Disposal Documentation	CU+10	E, HC		DPS, DPW	Documentation re: handling and disposal of hazardous waste.	CAL OSHA;40 CER 122 21	PS022
704	-02	Permits, Hazardous Materials Storage	CU+2	E, HC		DPS, DPW, ESD, CDD-Building Safety	Department consistently recommend permanent retention of documentation of environmentally sensitive materials, MSDS (Material Safet Data Sheets) and permits.	GC 34090	PS023, P023.01
704	-03	Permits, Hazardous Materials Storage	P	E, HC	Y	DPS, DPW, ESD, CDD-Building Safety	Inspection reports; HMBP/Registration form, HMIS, maps, owner ID; Annual HMBP recerts; Correspondence; Closure application; Post closure report (may include manifests, sampling results and bills of landing); Application for public disclosure.	GC 34090	PS023.02, PS023.03, PS023.05, PS023.06, PS023.07,
704	-04	Permits, Hazardous Materials Storage	CU+5	E, HC		DPS, DPW, ESD, CDD-Building Safety	Contingency plan; PS200 - new business info.	GC34090	PS023.04, PS023.10
704	-05	Permits, Hazardous Materials Storage	CU+2	E, HC		DPS, DPW, ESD, CDD-Building Safety	Notification of contamination or environment impact release.	GC 34090	PS023.11
704	-06	Programs, Household Hazardous Waste	S+2	E, HC		DPS, ESD		GC 34090	PS024
704	-07	Training Materials	S+2	E, HC		DPS, DPW, ESD	Standard and Administration.	8CCR3204(d)	PS025
704	-08	Underground Storage tank -Compliance	P	E, HC	Y	DPS, DPW, ESD	Documents re: storage.	GC34090(a)	PS026

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			SEE LEGEND					SEE LEGEND	
704	-09	Underground Storage tank	CU+5	E, HC		DPS, DPW, ESD	UPCF Form - A: Facility Info; B: Tank Info; C: Cert of Installation; D: Monitoring Plan / Data Dictionary Elements / Inspection reports: Installation, Compliance, Removal / Enforcement records: AED, Red Tag, Civil/Criminal, NOV/NTC / Detailed records to report summaries - RPT 3,4,6 / Surcharge billing and collection records, Data Dictionary Elements.	GC 34090	PS026.01, PS026.02, PS026.04, PS026.05, PS026.06, PS026.07
704	-10	Underground Storage tank	CU+1	E, HC	Y	DPS, DPW, ESD	Permits/transfer of permits.	GC 34090	PS026.03
704	-11	Underground Storage tank	CU+2	E, HC		DPS, DPW, ESD	Additional info required by state and federal law, testing reports - secondary containment, tank line integrity, monitoring system cert, spill bucket test report, line leak detector report.	GC 34090	PS026.08, PS026.11, PS026.12
704	-12	Underground Storage tank	L	E, HC		DPS, DPW, ESD	ELD; Records to show structural soundness of tank ; Tank lining evaluations - structural support certification, coatings expert/special inspector certification 10/5 year ; Bladder systems material standards approval documents - independent testing org (etc) certification; Retain records until closure of tank.	GC 34090	PS026.13, PS026.16, PS026.17, PS026.18
704	-13	Underground Storage tank	CU+1	E, HC		DPS, DPW, ESD	SIR annual report.	GC 34090	PS026.14
704	-14	Underground Storage tank	CU+7	E, HC		DPS, DPW, ESD	Unauthorized release records.	GC 34090	PS026.15
704	-15	Underground Storage tank	P	E, HC	Y	DPS, DPW, ESD	Closure documents - proposal for compliance, noncorrosive liquid test results, proper disposal documents, soil/water analysis report.	GC 34090	PS026.19
704	-16	Underground Storage tank	S+2	E, HC		DPS, DPW, ESD	Compliance statement, designated operator designation, employee training approval for unstaffed sites.	GC34090	PS026.20, PS026.21
704	-17	Underground Storage tank	CU+1	E, HC		DPS, DPW, ESD	Miscellaneous - groundwater monitoring reports, gas sampling reports, proposed cleanup plan.	GC 34090	PS026.22
705		LAW ENFORCEMENT ADMINISTRATION							
705	-01	Accounting Cash Reconciliation	CU+2	E, HC		DPS		GC 34090	PS028
705	-02	Alarm Records	CU+2	HC		DPS	Alarm permit and false alarm records, police and fire service.	GC 34090	PS029
705	-03	Case Files - Code Enforcement	CL+2	E, HC, D		DPS	Complaints, case history, inspection notes, photographs, compliance letters, staff report.	GC 34090(d)	DEV037
705	-04	Logs - Code Enforcement	CU+6	E, HC, D		DPS	Citation, abatement.	GC 34090(d)	DEV039
705	-05	Department Manual	S+2	E	Y	DPS	Changes to manual are recorded in the General Orders (permanent).	GC 34090	PS031
705	-06	Licenses and Permits issued pursuant to SMC	T+4	E, HC		DPS	Licenses/permits for massage businesses, adult entertainment peddler, solicitor, firearms dealer, explosive handling, and taxicab driver permits.	GC 34090	PS058.01
705	-07	Licenses and Permits: Denied /Revoked Massage Establishment permits	CL+5	E, HC		DPS	Licenses/permits for enforcement of massage ordinance, notices and hearing documents.	GC 34090	PS058.02
705	-08	Employee Grievance Files	CL+2	E, HC		DPS	Grievance filed by employees, supporting documentation.	GC 34090	PS128
705	-09	Internal Affairs Administrative Investigative Files	CL+6	E, HC	Y	DPS		PC832.5, EVC1040, GC12946, PC801.5; 803(c)VC2547	PS037
705	-10	Internal Affairs: Administrative Investigative Files of Officer-involved Shooting Where a DPS Member is a Subject of a Criminal Investigation - Not Resulting in a Criminal Conviction.	CL+10	E, HC	Y	DPS		PC832.5, EVC1040, GC12946, PC801.5; 803(c)VC2547	NEW

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			SEE LEGEND					SEE LEGEND	
705	-11	Internal Affairs: Administrative Investigative Files Where a DPS Member is a Subject of a Criminal Investigation - Not Resulting in a Criminal Conviction	CL+10	E, HC, D	Y	DPS		PC832.5, EVC1040, GC12946, PC801.5; 803(c)VC2547	NEW
705	-12	Internal Affairs: Administrative Investigative Files Where a DPS Member is a Subject of a Criminal Investigation or Officer Involved Shooting - Resulting in a	P	E, HC, D	Y	DPS		PC832.5, EVC1040, GC12946, PC801.5; 803(c)VC2547	NEW
705	-13	Investigations: Background for Non-Hired Personnel	CL+5	E		DPS	Non hired.	GC 34090	PS129
705	-14	Investigations: Background for Hired Personnel	T+5	HC	Y	DPS	Include original reports re: PC832.5 investigations.	PC832.5	PS130
705	-15	Parades & Special Events Files	CL+2	E		DPS	Reports, memos, correspondence, scripts, supplier information, assignments, deployments, supporting documentation.	GC 34090	PS131
705	-16	Personnel Rosters (Divisional)	S+2	E	Y	DPS	Personnel assigned division.	GC 34090	PS143
705	-17	Schedules: Officers' Daily Schedule, Watch Assignment/Time Keeping	CU + 2	E		DPS	Schedules of Officers on duty.	GC 34090	PS144, PS145
705	-18	Training Bulletins	CU+10	E, HC		DPS	Notice of upcoming training for sworn personnel including date/time, location, and topic.	GC 34090	PS148
705	-19	Training: Event Files	CU+2	E, HC	Y	DPS	Correspondence, brochures, promotional materials, info on speakers, guests, supporting documents.	GC 34090	PS149
705	-20	Training Lesson Plans, Firing Range	CL+15	E	Y	DPS	Scope, content, time period of courses.	GC 34090	PS150
705	-21	Training Personnel (by name)	T+7	E, HC	Y	DPS	Paperwork documenting officers internal and external training.	GC 34090; Post	PS151
705	-22	Training Schedules, Firing Range	CU+2	E, HC		DPS	Daily, weekly, monthly schedules of training events at range.		PS152
706		POLICE INVESTIGATIONS							
706	-01	PUBLIC SAFETY RECORD NOTE 1: Any line item that references to Note 1 needs to meet all criteria mentioned in the descriptor prior to destruction of a record.	N/A	N/A	--	DPS	NOTE 1: The destruction of felony, misdemeanor and infraction crime /supplemental reports is permitted providing They do not: 1) relate to an adjudicated arrest except for H&S 11360 violations; 2) relate to unserved warrants; 3) involve identifiable items which have not been recovered; 4) related to PC290, PC457.1, or H&S 11590 registrants; 5) relate to violations listed in PC Sections.	N/A	PS155
706	-02	Asset Forfeiture: Investigations/Proceedings Case File	CL+2	E, HC		DPS		GC 34090	PS038
706	-03	Asset Forfeiture: Property Owner Notifications	CU+2	E, HC		DPS	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.	GC 34090	PS039
706	-04	Case Files: Investigators (Homicide)	P	E, HC		DPS		PC799	PS041
706	-05	Case Files:(No arrest, Narcotics Cases)	CL+2	E, HC		DPS	Retained by division until no longer useful for investigative purposes.	GC 34090	PS042
706	-06	Criminal Investigation of Officer Involved Shooting	CL+25	E, HC		DPS		GC 34090	PS043
706	-07	Fingerprint: Applicants Files	T+2	HC		DPS	All records related to applicant fingerprinting	GC 34090	PS048
706	-08	Criminal Fingerprint Records	P	E		DPS	Persons booked into detention facility (copies distributed to county, state, federal agencies) offense punishable by death or life imprisonment, or embezzlement of public funds under PC799.	799PC	PS049

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			SEE LEGEND					SEE LEGEND	
706	-09	Criminal Fingerprint Records	AC+20	E		DPS	Personal booked into detention facility (copies distributed to county, state, federal agencies) for offenses prosecuted under PC800 and PC801.	PC800; PC801	PS049.1
706	-10	Fingerprint: Records Latent	P	E		DPS	1) Retain for applicable case statute of limitation; 2) or until evidence in case is destroyed; Hard copy and digitized; for offenses prosecuted under PC799.	GC 34090; PC799	PS050
706	-11	Fingerprint: Records Latent	CU+6	E		DPS	1) Retain for applicable case statute of limitation; 2) or until evidence in case is destroyed; Hard copy and digitized; for offenses prosecuted under PC800.	GC 34090; PC800	PS050.1
706	-12	Fingerprint: Records Latent	CU+3	E		DPS	1) Retain for applicable case statute of limitation; 2) or until evidence in case is destroyed; Hard copy and digitized; for offenses prosecuted under PC801.	GC 34090; PC801	PS050.2
706	-13	Fingerprint: Suspect Adult/Juvenile	CL	E		DPS	Adults/Juveniles suspected of a crime, taken for comparison. Destroy after original purpose achieved.	Law Enforcement Management Guide by Post	PS051
706	-14	Informant Files	T+10	HC		DPS	Legal notifications, identification information, payment information, activities information.	GC 34090	PS053
706	-15	Jail: Daily Logs	CU+6	HC		DPS	Daily report of staffing, bookings/releases, transfers, transportation.	GC 34090	PS054
706	-16	Jail: Inmate Record	CU+6	HC		DPS	Dependent on facility's classification; see laws and guidelines for local detention facilities by Board of Corrections (State of California).	15 CCR 1041; GC 34090; Minimum Standards suggested by guidelines for local detention facilities by Board of Corrections	PS055
706	-17	Jail: Inspection files	CU+6	HC		DPS	Inspections by various agencies.	GC 34090	PS056
706	-18	Jail: Surveys	CL+2	HC		DPS	Prepared quarterly, forwarded to state board of corrections.	GC 34090	PS057
706	-19	Licenses: Secondhand Dealers, Pawn Brokers (Duplicate/Pink)	CU+2	HC		DPS	Original to licensee, blue duplicate to DOJ; pink duplicate retained by agency; renewals issued annually by local agency.	GC 34090	PS061
706	-20	Logs: Rap Sheet	CL+3	E		DPS	Requests for criminal history.	GC 34090; 11 CCR 702; 11 CCR 707 (c)	PS070
706	-21	Logs: Subpoena	CU+2	HC		DPS	Subpoenas received/served daily; officer appearance, criminal case - witness appearance or civil subpoena documents.	GC 34090	PS071
706	-22	Pawn Slips/Tickets	CU+3	E, HC		DPS		B&P 21633	PS072
706	-23	Photographs - DPS	CL	E, HC		DPS	Crime scene, photo file, accident, digital photos and other electronic media associated to a case. Retain according to practical and functional association. Retain as form of evidence, destroyed at same time evidence for associated case.	GC 34090	PS073
706	-24	Photographs-booking photos	P	E, HC		DPS	Photographs - booking photos for offenses prosecuted under PC799.	GC34090; PC799	PS075
706	-25	Photographs-Booking photos	CU+20	E, HC		DPS	Photographs - booking photos for offenses prosecuted under PC800 and PC801.	GC34090; PC800; PC801	PS075.1
706	-26	Registration files, Arson, Sex and Narcotics	L; Life of registrant within	E, HC		DPS	Fingerprint card, photos, information also forwarded to DOJ.	GC 34090	PS076
706	-27	Arrest/Conviction H&S Section 11357(b),(c),(d),(e) or H&S Section 11360(b) violations (Occurring after January 1, 1996)	CL	E, HC		DPS	Applicable to convictions occurring after January 1, 1996 or arrests not followed by a conviction occurring after January 1, 1996; Exception: H&S11357(e), the record shall be retained until a juvenile offender attains the age of 18 years, then destroyed pursuant to HS11361.5. (Mandatory destruction from date of conviction or date of arrest with no conviction).	H&S11361	PS077

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706	-28	Arrest/Conviction H&S Section 11357(b),(c),(d),(e) or H&S Section 11360(b) violations (Occurring after January 1,1996)	CL	E, HC		DPS	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.	H&S11361.5(c)	PS078
706	-29	Crimes: Felony with or without Arrests	CU+6	HC, E		DPS	Prosecution for an Offense punishable 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 PC803-Trolling /Extension of time periods; Appeals process and Three Strikes also considerations in assigning retention. Mandatory destruction (upon notice from DOJ).	PC800	PS079
706	-30	Crimes: Felony with or without Arrests	CU+3	E, HC		DPS	Prosecution for an offense punishable by imprisonment in state prison for less than eight years, with a retention of 3 years, unless tolling under PC803.	PC801	PS079.1
706	-31	Crimes: Misdemeanor/Infractions	CL+2	E, HC		DPS	No arrests, identifiable property or missing persons (see: Note 1).	GC 34090	PS080
706	-32	Crimes: Supplemental Felony Capital Crimes, Crimes Punishable by Death Life Imprisonment	P	E, HC		DPS	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 causing death (see: Note 1).	PC799	PS081
706	-33	Destruction: Guns	P	E, HC		DPS	Listing of firearms that were destroyed.	12030PC,12028PC,12032PC, Post Property & Evidence Manual	PS082
706	-34	Destruction: Narcotics	P	E, HC		DPS	Listing of narcotics that were destroyed.	11473.5;11479HS;Post Property & Evidence Manual	PS083
706	-35	Public Safety General File Records-Non-Criminal Occurrences	CU+2	E, HC		DPS	Injured or sick persons where person has been returned; traffic collision reports not used as the basis for criminal charges.	GC 34090	PS086
706	-36	Range (Firing) Inventory	S+2	E		DPS	Quarterly reports of inventories of weapons and ammunition held by Department Range.	GC 34090	PS088
706	-37	DOJ statistical Reports, Crime and Incident	CU+2	E, HC		DPS	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; DOJ Statistical Reports.	GC 34090	PS089
706	-38	Statistical Information(Crime Analysis)	CU+2	E, HC		DPS	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.	GC 34090	PS090
706	-39	Statistical (UCR), Uniform Crime Reports Mandatory to DOJ (LEIC)	CU+2	E, HC		DPS	Originals sent to FBI, DOJ, 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 Custody Reporting	GC 34090	PS091
706	-40	Sealed Files: Adult Found Factually Innocent	Mandatory Destruction Upon and Pursuant to Court Order	E, HC		DPS	General Provision: Upon petition, records of agency must be sealed and destroyed in accordance with the provisions set by court record; exceptions.	PC851.8	PS093

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			SEE LEGEND					SEE LEGEND	
706	-41	Sealed Files: Juvenile	Mandatory Destruction Upon and Pursuant to Court Order	E, HC		DPS	Upon petition, Local laws enforcement records within W&I 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.	W&I 826(a) & (b); W&I 781(a)	PS094
706	-42	Tapes: Audio, Telephone and Radio Communications	CU+180 Days	E, HC		DPS	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.	GC34090.6	PS096
706	-43	Tapes: Surveillance/Security video	CU+13 mos	E, HC		DPS	Surveillance / security video: jail, MVAR.	GC34090.6	PS097
706	-44	Use of Force Supervisory Review Files	CU+2	E		DPS	Includes review forms, arrest report copies, logs.	GC 34090	PS098
706	-45	Warrants: Felony	Until served or recall after 10 yrs. Exception: Murder/escape	HC	Y	DPS	Recommended by the California Law Enforcement Warrant Officer's Association.	GC 34090	PS099
706	-46	Warrants: Misdemeanor Criminal	Until served or recall after 5	HC		DPS	Recommended by the California Law Enforcement Warrant Officer's Association.	GC 34090	PS100
706	-47	Crimes: Misdemeanor /Infractions	CL+2	E, HC, D		DPS	With arrests, identifiable property or missing persons; Retain until case is adjudicated and criteria reference under Note 1 are met.	GC 34090	PS154
707		POLICE SERVICES							
707	-01	Cards: Field Interview	CL+2	E, HC		DPS	Information on subject, not arrested, encountered by officer.	GC 34090	PS104
707	-02	Citations: HS11357(e), Juvenile / HS11357(b), HS11357(c), HS11360(b) violations	CL+2	E, HC		DPS	Health & Safety violations involving HS11357(e), Juvenile / HS11357(b), HS11357(c), HS11360(b) violations; Retain until case is adjudicated.	11361.5H&S	PS105, PS106
707	-03	Citations: Cite and Release	CL+2	E, HC		DPS	Cite and Release cases; Retrain until case is adjudicated.	GC 34090	PS107
707	-04	Citations: California Vehicle Code Infractions (duplicates)	CU+90 days	E, HC		DPS	Original is forwarded to court.	GC34090.5	PS108
707	-05	Citations: Parking/Traffic, Duplicates	CU+2	E, HC		DPS	Originals are forwarded to court after agency processing; includes citations electronically created.	GC34090.7	PS109
707	-06	Citations: Transmittals	CU+2	E, HC		DPS	Listing of citations forwarded to court, filed for reference.	GC 34090	PS110
707	-07	Equipment Radio Logs (Communication)	CU+2	E		DPS	Documents problems, malfunctions, resolution to provide equipment performance history.	GC 34090	PS111
707	-08	Radar Calibration Records	T+2	E, HC		DPS	Documentation of radar instruments retained during use/ownership.	GC 34090	PS114
707	-09	Reports: Traffic Accident	CL+10	E, HC		DPS	Traffic accident reports.	GC 34090	PS115
707	-10	Reports: Traffic Collision Fatalities	P	E, HC		DPS	Traffic Collision Fatalities.	GC 34090	PS116
707	-11	Vehicle Assignment Reports	S+2	E		DPS	Record of assignments.	GC 34090	PS117
707	-12	Reports: Repossession/Private Impounds	CU+2	HC		DPS	Record of vehicle repossession or private property impounds.	GC 34090	PS119
707	-13	Vests, Bulletproof Letters/Authorization	CU+2	E		DPS	Authorization to purchase.	GC 34090	PS121
707	-14	Warrants: Traffic	Recall after 5 Years	HC		DPS	Recommended by the California Law Enforcement Warrant Officer's Association.	GC34090; Recommended by the California Law Enforcement Warrant Officer's Association	PS123

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			SEE LEGEND					SEE LEGEND	
707	-15	Weapons Database	P	E		DPS	Departmentally-owned weapons, personal weapons, alternate weapons, secondary handguns; produces inventory reports.	GC 34090	PS124
708		LOCAL/NATIONAL EMERGENCIES/DISASTERS							
708	-01	Mutual Aid, Strategic Plans	S+2	HC		DPS		GC 34090	PS001
800		PUBLIC WORKS							
801		GENERAL, ADMINISTRATION AND INFORMATION							
801	-01	Meetings: Tailgate and Safety	CU+1	E, HC		DPW, ESD, FIN	Safety Meeting/Tailgate Logs, Agendas, Training Material.	8CCR3203(b)(2)	PW123
801	-02	Application Special Events	CU+2	E, HC		DPW, OCM	Permits, correspondence, related documents regarding use of rights of way .	GC 34090	TRAN003
801	-03	Maps and Plans	P	E, HC	Y	DPW	Parcel Maps and subdivision maps, city boundaries, correspondence related to engineering conditions of approval, record drawing plans showing substantial new improvements in the ROW, franchise utility work for fiber optics, recorded maps, surveys, monuments, septic tanks, temporary traffic control, contains records regarding planning, design, construction, conversion or modification of local government-owned facilities, structures and systems, streets, curbs, gutters, sidewalks, storm drains.	GC 34090(a) , H&S19850; GC 4003; GC 4004	DEV019, DEV021, DEV045, DEV062, PW055
801	-04	Flood Control: Water Drainage Facilities	P	E, HC		DPW, ESD	Includes dams, lakes, basins, creeks.	GC 34090	PW078
801	-05	Flood Control: Flood Zones	P	E, HC	Y	DPW	Includes flood maps.	GC 34090	PW079
801	-06	Flood Control: Insurance Programs	S+2	E, HC	Y	DPW	Includes copies of policies, rules, programs.	GC 34090	PW080
801	-07	Flood Control: Policies and Procedures	S+2	E, HC	Y	DPW	Rules and Regulations.	GC 34090	PW081
801	-08	Flood Control: Reports/ Studies	CL+2	E, HC	Y	DPW	Reports from FEMA.	GC 34090	PW082
801	-09	Inventory: Equipment	CU +2	E, HC	Y	DPW	Examples: Includes hand tools, heavy equipment, tool truck and trailer.	GC 34090	PW084
801	-10	Maintenance and Operations Documents	P	E, HC	Yes	DPW, ESD, LRS	Examples include drawings, contracts, specifications, photos, reports, work orders, inspections, repairs, cleaning, complaints, signals, striping, street trees, facilities, swim pools, custodial service, vandalim, hazards, drainage plan, park lightning, golf hazard log book, future plans, new sites, expansions, site studies,streets, street lights, parking lots and concrete maintenance.	GC 34090	PW004, PW005, PW009, PW038, PW039, PW040, PW044,
801	-11	Photographs - Aerial	S+2	E, HC		CDD, DPW	Example: Aerial photographs, Real Estate.	GC 34090(d)	DEV023
801	-12	Special Districts	P	E, HC	Y	DPW, ESD	Supporting documents re: improvement, lighting, underground utility; bonds, taxes & construction, annual engineer's report of assessment for downtown parking district.	GC 34090(a)	DEV047
802		ENGINEERING - LAND DEVELOPMENT							
802	-01	Abandonments and Lot Splits/Mergers	P	E, HC		CDD, DPW	Buildings, Condemnation, Demolition.	GC 34090, GC 34090(a)	DEV072, DEV078
802	-02	Benchmark Data	P	E, HC		DPW	Horizontal, vertical & control.	GC 8771	DEV001

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			SEE LEGEND					SEE LEGEND	
802	-03	Bonds: Security	CL+2	E, HC		DPW	Documentation created and or received in connection with the performance of work/services for the city, or for parcel maps and subdivision work.	GC 34090	DEV004
802	-04	Franchises and Encroachment Agreements	S+2	E, HC	Y	DPW	Franchise Agreements with utility companies. Encroachment Agreements for private facilities in public right of way. Includes Small Cells Network Facilities.	GC 65864, GC 65869.5, GC 34090*(CCP 337.2, 343)	DEV012
802	-05	Agreements for Public Improvements	CL+2	E, HC		DPW	Improvement Agreement, Subdivision Agreement.	GC 65864, GC 65869.5, GC 34090*(CCP 337.2, 343)?	NEW
802	-06	Encroachment Permits, Easement Documents, Abandonments/Vacations	P	E, HC	Y	DPW	Record drawings for offsite improvements, easements accepted by the City (not via map), Relinquishment of public streets.	GC 65864, GC 65869.5, GC 34090* (*CCP 337.2, 343)	DEV012, PW031, PW048
802	-07	Encroachment Permits	CL+2	E, HC	Y	DPW	Plans and documentation for minor improvements to the public right of way.	GC 34090(a); H&S19850; GC 4003; GC 4004	DEV021, DEV022
802	-08	Land Development Project Documentation	CL+7	E, HC		DPW	Information and correspondence related to engineering conditions of approval for land development projects, including back up documentation for offsite improvements.	GC 8771	NEW
803		CAPITAL IMPROVEMENT PROJECTS							
803	-01	Reports: Bridges, Overpasses, City-owned Facilities	L	E, HC	Y	DPW	Caltrans bridge assessment reports.	GC 34090	PW063
803	-02	Project Documentation	CL+10	E	Y	DPW	Consultant Contracts, correspondence, Federal Aid documentation, construction documentation.	CC337.15	DEV043
803	-03	Studies: Masterplans and Condition Assessments	S+2	E, HC		DPW	Special or long range program plan for facilities – coordination of services; strategic planning.	GC 34090(d)	DEV028, DEV020
803	-04	Project Design and Construction Documentation	P	E	Y	DPW	Contains records regarding planning, design, construction, conversion or modification of local government-owned facilities, structures and systems.	GC 34090; GC 4004; H&S 19850	DEV062
803	-05	California Environmental Quality Act (CEQA) Information	p	E, HC	Y	CDD, DPW, LRS, ESD	Exemptions, Environmental Impact Report, Mitigation monitoring, negative declaration, notices of completion and determination, comments, statements of overriding considerations.	GC 34090(a) + CEQA Guidelines	DEV052
803	-06	Environmental Review Information	CU+6	E, HC		CDD, DPW, LRS, ESD	Correspondence, consultants, issues, water and energy conservation records.	GC 34090(d)	DEV054
804		PROPERTY MANAGEMENT							
804	-01	Real Property Acquisitions/Dispositions	CL+10	E, HC	Y	LRS, DPW	Land acquisitions, correspondence, improvements, statutory records, supporting documents re: sale, purchase, exchange, lease or rental of property by City.	GC 34090(a); GC 6254	PW011, DEV073
804	-02	Agreements	T+4	E, HC	Y	DPW	Including concessionaire, slip rental, facility storage.	CCP 337	TRAN001
804	-03	Appraisals	CL+2	E, HC		CDD, DPW	Exempt until final acquisition or contract agreement obtained.	GC 34090; GC 6254(h)	DEV075
804	-04	Deeds: City-Owned Properties	P	E, HC	Y	DPW	Property deeds, title insurance, environmental reports and all supporting documents related to the property.	GC 34090(a); 24 CFR 570.502; 24 CFR 85.42	DEV076
805		PARKS, GOLF AND TREES							
805	-01	Inventory, Equipment	CU+10	E, HC	Y	DPW	Equipment records covering purchase orders, inventory, replacement schedules, warranties, repairs, general file for each park.	GC 34090	PW003
805	-02	Irrigation Maps	P	E, HC	Y	DPW, ESD	Irrigation, plot plans.	GC 34090	PW006
805	-03	Policies and Procedures - Parks, Golf, Trees	S+2	E, HC	Y	DPW	Includes rules and regulations.	GC 34090	PW010

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			SEE LEGEND					SEE LEGEND	
805	-04	Vending Machines, Golf Course Restaurants	AU+4	E, HC		DPW	Vendor agreements, monthly income reports, record of payments, closeout reports, yearly financial statements and audit reports.	GC 34090	PW127
805	-05	Schedules, Class & Events - DPW	CU+2	E, HC		DPW	Documents pertaining to recreation activities/classes/events registration. Examples: Records covering instructor agreements, registration, attendance, tournaments, fee waivers, membership cards, membership roster.	GC 34090	PW017
806		TRANSPORTATION, TRAFFIC, STREETS, STREETLIGHTS AND							
806	-01	Traffic Signal Logs	CL+2	E, HC		DPW, DPS	Counts, collisions, accidents.	GC 34090(d)	DEV049
806	-02	Roadway Closures	P	E, HC	Y	DPW	Roadway closures, easements, Rights-of-way.	GC 34090	PW032, PW033
806	-03	Roadway Naming and numbering	P	E, HC	Y	DPW	Roadway Field Books, Naming and Numbering.	GC 34090	PW034, PW057
806	-04	Roadway Intersection Records and Parking Lots	CU+2	E, HC		DPW	Includes correspondence, volume counts, accident history.	GC 34090	PW036
806	-05	Traffic Control Devices	P	E, HC	Y	DPW	Warrant studies for installation of Regulatory, Warning, and Guide signs, Traffic signals including inventory of all.	GC 34090	PW037
806	-06	Permits: Improvements, Parking and Paving	CL+2	E, HC		DPW	May include curb, sidewalks; Applications for evacuation, fill, alterations and residential parking permits, oversize loads.	GC 34090	PW049, PW050, PW051
806	-07	Roadway Photographs	S+2	E, HC		DPW	Include aerials.	GC 34090	PW054
806	-08	Streets-Traffic Policies, Procedures and Ordinances	S+2	E, HC	Y	DPW, OCM	Includes Ordinances, rules, regulations, standards, aerial photographs, parking regulations, Routes.	GC 34090	PW056, PW045
806	-09	Policies and Procedures: Speed Limits	S+2	E, HC	Y	DPW	Engineering & Traffic Surveys - speed limit enforcement.	GC 34090	PW058
806	-10	Roadway Programs: Traffic Safety Reports and Studies	S+2	E, HC	Y	DPW	Drivers Education, Pedestrians and Bicyclist Safety, Safe Routes to School Bicycle Lanes, traffic claming, parking restrictions.	GC 34090	PW061, PW064
806	-11	Reports:Traffic Studies and Traffic Counts, Routes and Data Collection	CL+2	E, HC	Y	DPW	Traffic volume, collision history, statistics, turning movement counts (TMC), Evaluation of traffic volume, truck routes, streets, alleys.	GC 34090	PW065, PW066, PW046
806	-12	Traffic Signal and Signage Documentation	L+2	E, HC	Y	DPW	Log books, index register cards, inventory lists, records/studies of traffic signs, signal drawings, wiring diagrams, codes, traffic signal equipment, poles and standards, timing sheets, circuit numbers, installation records, and testing and maintenance.	GC 34090	PW069, PW070
806	-13	Congestion Management Programs	CU+2	E, HC		DPW	Ride sharing, trip reduction.	GC 34090(d)	DEV053
807		FLEET MAINTENANCE							
807	-01	Hazardous Waste Disposal Documentation	CU+10	HC		DPS, DPW	Documentation re handling and disposal of hazardous waste.	CAL OSHA; 40 CFR 122.21	TRAN005
807	-02	Fueling	AU+4	E		DPW	Meter readings, fuel consumption reports, invoices, receipts and records pertaining to refueling operations.	CCP 337	TRAN004
807	-03	Inventory, Equipment & Supplies	L+2	E	Y	DPW	Includes vehicles, aircraft, vessels and related documents re repairs, Owners manual, warranty documents, Department of Motor Vehicle title and registration, and related documents, Includes vehicles, aircraft, vessels and related documents re repairs, Related to requests for service and work orders for fuel, vehicle and equipment maintenance and repairs.	CG 34090	TRAN006, TRAN007, TRAN009

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			SEE LEGEND					SEE LEGEND	
807	-04	Licenses and Permits	CU+2	HC	Y	LRS, DPW	Forms, related documentation re: licenses and permits required by federal and state agencies, Permits, correspondence, related documents re use of rights of way, Applications Special Events, lists, reports, memos and working documents, Log books, request forms.	GC 34090, GC 34090.5	TRAN008, TRAN010, TRAN011
807	-05	Vehicle Ownership & Title	L	HC	Y	FIN, DPW	Title transfers when vehicle sold.	VC 9900 et seq.	FIN024
807	-06	Inventory: Equipment	CU+2	E	Y	DPW		GC 34090	PW084
900		ENVIRONMENTAL SERVICES							
901		COMPLIANCE/TESTING							
901	-01	Underground Utility Locating	AU+6	HC		ESD	USA Daily Ticket Recaps, Locator Logs, and Tickets.	Title 1 Division 5 Chapter 3.1 Article 2 Section 4216	PW074.01
901	-02	SSMP and Supporting Documents	L+10	E, HC	Y	ESD	SSMP, Annual Questionnaire, Bi-Annual Audit, Flushing Reports, Repair Reports, SSO Reports, Surcharge Reports, Daily Work Reports.	SWRCB Order #2006-0003 & WQ 2013-0058 EXEC	PW074.02
901	-03	Regulatory Compliance Records: NPDES Stormwater Permit; Annual/Semi-Annual Reports for NPDES, Stormwater/SCVURRP and Recycled Water	L+10	E, HC	Y	ESD	Yard SWPPP, Annual Corp Yard Stormwater Inspection Report, Annual Catch Basin Cleaning Logs, Annual Small trash capture device cleaning logs, HDS cleaning logs, Bio-retention Maintenance Reports, Outfall Inspection logs.	40 CFR 122.41	PW130, PW180
901	-04	Reclamation Documentation Reports; Pollution Discharge Monitoring Documentation	CU+5	E, HC	Y	ESD	Daily operations including sewage flow, grit removal, chlorine usage, lab analysis results, etc.	40 CFR 122.41	PW097, PW102
901	-05	Reports: Drinking Water Corrections & Sanitary Surveys/Surveys: Water System Sanitary.	CU+10	E, HC	Y	ESD	Statistics, reports, correspondence/Sanitary Survey and supporting documentation.	40 CFR 141.33,	PW103, PW108, PW115, PW111
901	-06	Reports: Lead Service Line; Public Education; Water Quality Parameters; Water Source Information; State Certifications	CU+12	E, HC	Y	ESD	Compliance documentation.	40 CFR 141.91	PW105, PW106, PW107, PW109, PW110.
901	-07	Violations, Drinking Water	CU+3	E, HC	Y	ESD	Retention applies to each violation.	40 CFR 141.33	PW121
901	-08	Training Materials	S+2	E, HC	Y	ESD	Training Materials (Internal & External).	GC 34090	PS025
901	-09	Meetings: Tailgate and Safety	CU+1	E, HC	Y	ESD	Tailgate and Safety Meetings/Materials.	8 CCR 3203(b)(2)	PW123
901	-10	Training Certificates and Records	CU+7	HC	Y	ESD	Training Certificates and Records.	GC 34090	PW144
901	-11	WPCP Regulatory Compliance Records: Confined Space	CU+10	HC		ESD	Confined Space Entry Permits.	40 CFR 122.41, 40 CFR 141.33	PW171
902		OPERATIONS/MAINTENANCE CONSERVATION							
902	-01	Infrastructure Condition Assessment Data	S	E, HC, D	Y	ESD	Examples include: CCTV Inspection Videos & Condition Assessment Database & Reports, Repair Priority Lists.	SWRCB Order #2006-0003 & WQ 2013-0058 EXEC	PW074.03
902	-02	Maintenance and Operations Documentation Water/Inventory: Equipment/Water Meter Operations/Water Well & Pumping/Reports: Water Conservation, Water Consumption	CU+3	E, HC, D	Y	ESD	Includes work orders, inspection, repairs, cleaning, reports, complaints/Times operational, power used and quantity/Reader reports, orders, tests, Maintenance Reports/Backflow Test, repair, installation reports and permits/Work orders/Daily work reports/Stand by documentation and logs/call back logs, OT documentatio /CCR /RW annual site inspections.	GC 34090, CCR Title 17 & Title 22	PW086, PW088, PW091, PW099, PW100, PW084, PW005.

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902	-03	Valve Maintenance Records	P	E	Y	ESD	Valve maintenance program/valve information and asset number.	GC 34090	PW120
903		REPORTS, STUDIES - SOURCE INFORMATION							
903	-01	Master Plans, Annual/Master Plans/Reports: Well Level Information/Water Sources/Permits, Others	S+2	E, HC, D	Y	ESD	Special or long range program plan for municipalities-coordination of services; strategic planning UWMP, ERP, PWCPD, WQ Monitoring Plan/Nitrification Plan/SOP's/Fire Flow info/RW applications, engineer reports, cross-connection test reports/Misc Permits Not Covered Elsewhere.	GC 34090, CCR Title 22	DEV020, PW090, PW112, PW11, PW094
903	-02	Master Plans (Copies)	CU+2	HC		ESD, DPW	Master Plan Copies.	GC34090	PW042
903	-03	Reports: Studies	CL+2	E, HC		ESD	Miscellaneous studies.	GC 34090	PW029
904		MAP, INFRASTRUCTURE, CONTRACTS							
904	-01	Maps & Plats	P	E, HC	Y	ESD, DPW	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, Block maps, septic tank maps, etc.	GC 34090(a)	DEV019
904	-02	Underground Utilities	P	E, HC		ESD	Water and sewer.	GC 34090; GC 4003, GC 4004; H&S 19850	PW074
904	-03	Water Connection Records, Device Locations and Water Maps	P	E, HC	Y	ESD	Maps, water line connection, 50 scale black maps/mains, valves, hydrants, wells, etc.	GC 34090	PW076, PW085, PW089
904	-04	Reports: Corrosion Control	CU+12	E		ESD	Compliance documentation.	40 CFR 141.91	PW101
904	-05	Surveyor Field Notes	CL+10	HC	Y	ESD	Notes preparatory to maps of water installations.	GC 34090	PW114
904	-06	Infrastructure Plan Related	CU+2	E, HC		ESD	Long range infrastructure plan and supporting documentation.	GC 34090	PW122
904	-07	Water/Sewer Infrastructure Data in GIS	S	D	Y	ESD	Geographic Information System (GIS) Database.	GC 34090	NEW
904	-08	GIS Asset Record Change Documentation	P	E, HC		ESD	Documentation for changes to the City's GIS asset database.	GC 34090	NEW
905		WPCP OPERATIONS, MAINTENANCE RECORDS AND REPORTS							
905	-01	Underground Utility Locating	AU+6	E, HC		ESD	Examples include: USA Daily Ticket Recaps, Locator Logs, and Tickets.	CAGC Title 1 Division 5 Chapter 3.1 Article 2 Section 4216	PW074.01
905	-02	Exception Collection Reviews, Waste Logs	CU+2	E, HC		ESD	(exception Collection Reviews, Waste Logs).	GC 34090	PW125
905	-03	Biosolids	CU+5	E, HC	Y	ESD	Record keeping.	40 CFR 503.17	PW126
905	-04	Data-Operations and Maintenance (Paper)	CU+10	E, HC	Y	ESD	WPCP Operations, Stormwater, Pretreatment, CMMS (Maximo), Title V Permit, Ops / Scada, Equipment Manufacturer's Specifications, Drinking water well monitoring; Groundwater well monitoring.	GC 34090	PW146
905	-05	Special Studies & System History	L	E, HC	Y	ESD	Project files, contracts, grant documents, applications, inventory, Well Logs, As- Builts, Operator Designations, Significant Events.	BMP - Department Policy, GC 34090	PW166
906		REGULATORY - ENVIRONMENTAL LABORATORY							
906	-01	State Monthly Reports: Wastewater	CU+5	E, HC	Y	ESD	SMR & DMR NPDES Reports.	40 CFR 122.41	PW129
906	-02	State Monthly Reports: Water	CU+10	E, HC	Y	ESD	Drinking Water Compliance Reports.	40 CRF 141.33	NEW

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		CATEGORIES / RECORD SERIES	RETENTION PERIOD(S)	FORMAT	VITAL (Y=Yes)	DoR (Owner)	DESCRIPTOR / EXAMPLE	CITATION	FORMER RECORD SERIES #
			SEE LEGEND					SEE LEGEND	
906	-03	Laboratory Data Documentation	CU+5	E, HC	Y	ESD	Lab Worksheets, Instrument Response Data, Calibration Data, QC Data, Chain of Custody (COCs), PT Sample Data (WP & WS), IDOC data, MDL Data.	2016 TNI Std. Vol 1, Module 1 & 2; 40 CFR 141.33	PW145
906	-04	Laboratory Data Documentation - Drinking Water	CU+10	E, HC	Y	ESD	Lab Worksheets, Instrument Response Data, Calibration Data, QC Data, Chain of Custody (COCs), PT Sample Data (WP & WS), IDOC data, MDL Data.	40CFR 141.33; 40CFR 141.91	PW117, PW118, PW119.
906	-05	Laboratory Data Results	P	D, E	Y	ESD	Electronic database or equivalent, e.g., LIMS.	GC 34090, BMP	NEW
906	-06	Laboratory Certification Documents	CU+5	E, HC	Y	ESD	PT Study Reports, Quality Assurance Manuals, SOPs, Training Records, ELAP Application, 3rd Party Audit Reports, Corrective Action Reports, ELAP Certificates and Chemical Hygiene Plan.	2016 TNI Standard Volume 1	PW147, PW149, PW150, PW151, PW152.
906	-07	Laboratory State Certificates	P	E, HC	Y	ESD	Analytical License issued by State.	40CFR 141.33; 40CFR 141.91	PW148
906	-08	Laboratory Documents	CU+30	E, HC		ESD	MSDS; Current chemical products in use and those used in the past.	29 CFR 1910.1200	PW153
906	-09	Lead & Copper Rule Records	CU+12	E, HC	Y	ESD	Lab reports, COCs, and data for Lead & Copper Rule implementation.	40 CFR 141.91	PW179
907		WPCP AND REGULATORY PROGRAM COMPLIANCE							
907	-01	Regulations	S+2	E, HC	Y	ESD, CDD, OCM	Includes legislation.	GC 34090	PW027
907	-02	Permits	L+10	E, HC	Y	ESD	Title V Air Permits Bay Area Air Quality Management District: Permit to Operate NPDES (WPCP, Municipal Stormwater) Hazardous Waste Generator 401 Certifications Biosolids Landfill COE and BCDC Maintenance Dredging Pressure Vessel Permit to Operate City of Sunnyvale: Fire and Environmental Services.	40 CFR 63.10(b) PTO 40 CFR 122.41 22 CCR 66262.40 GC 34090 GC 34090 8 CCR 461; LC 7680; GC 34090 SMC 16.53; SMC 20.32; GC 34090	PW132, PW133, PW134, PW135, PW136, PW137, PW138, PW139, PW140, PW141.
907	-03	Permits Issued by WPCP	L+3	E, HC	Y	ESD	Pretreatment Discharge Permits, applications, approvals (including groundwater).	40 CFR 403.8 (f) (2)	PW142, PW143
907	-04	Special Study Reports	L+10	E, HC	Y	ESD	Studies conducted to address regulatory requirements or operational needs.	40 CFR 122.41	PW131, PW151
907	-05	Reports to Regulatory Agencies	L+10	E, HC	Y	ESD	Reports to regulators demonstrating compliance, e.g., Annual NPDES, Annual and Semiannual Pretreatment, Stormwater, Title V annual certificaion and semi-annual monitoring reports, BCDC dredging, hazwaste generator and biennial).	40CFR 122.41 GC 34090	PW154, PW155, PW156, PW157, PW158, PW159, PW160, PW161, PW162, PW163, PW164, PW165, PW130.
907	-06	Correspondence with Regulatory Agencies	L+10	E, HC	Y	ESD	Correspondence regarding permitting, compliance, and regulatory development.	CGC 30490, BMP, Department Policy	PW167, PW168
907	-07	Regulatory Inspections and Audits	L	E, HC	Y	ESD	Examples: NPDES, Title V, Haz-mat, Safety, Risk Management Plan, OSHA. Includes reports, findings, and documentation of corrective actions.	BMP Department Policy, GC 34090, CFR 122.41, 40 CFR 141.33, 40 CFR 141.91, 19 CCR 2760.8	PW169

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907	-08	Regulatory Compliance Records	CU+10	E, HC	Y	ESD	OSHA - Respiratory protection Confined Space Entry Permits Community Right to Know Spill Prevention Control and Countermeasures Plan AB-32 - Green House Gas Reporting Title V Permit Sanitary Sewer System WDR Stormwater Permit.	40 CFR 122.41 8 CCR 5157.d.14 & e.6 19 CCR 2651 40 CFR 112 17 CCR 95105 40 CFR 63.10(b) WQ 2013-0058-EXEC Order R2-2015-0049	PW170, PW171, PW172, PW174, PW175, PW176, PW178, PW180, PW181.
907	-09	WPCP Hazardous Waste Manifests	CU+3	E, HC	Y	ESD	Hazardous Waste Manifests & Inspections.	22 CCR 66262.40401(a)	PW177
908		SUSTAINABILITY							
908	-01	Climate Action Plan Reporting	CU+25	E, HC		ESD	CAPs, GHG Inventories, annual progress reports, program performance reports.	GC 34090, BMP	NEW
908	-02	Sustainability Project Documentation	CU+10	E, HC		ESD	Administrative and operating information for implementation of climate programs.	GC 34090, BMP	NEW
909		SOLID WASTE							
909	-01	Collections	CU+2	E, HC	Y	ESD	Daily Records, Usage, Operations, Franchise.	GC 34090	PW018
909	-02	Exception Collection Reviews, Waste Logs	CU+2	E, HC	Y	ESD	(exception Collection Reviews, Waste Logs).	GC 34090	PW125
909	-03	Facilities Information	CU+2	HC	Y	ESD	Correspondence, Patron List.	GC 34090	PW019
909	-04	History, Sanitation	P	HC		ESD	Where City-owned.	GC 34090	PW020
909	-05	Landfill	P	E, HC	Y	ESD	Sunnyvale Landfill closure, administration, inspections, gas collection system, slope stability, water quality, miscellaneous projects.	GC 34090	PW018
909	-06	Maintenance and Operations	CU+2	HC	Y	ESD	Includes work orders, inspections, repairs, reports and audits, Kirby Canyon Landfill agreement and fee payments.	GC 34090	PW018
909	-07	Maps	P	HC	Y	ESD	Location maps.	GC 34090	PW020
909	-08	Public Education	CU+2	E, HC	Y	ESD	Compliance documentation.	AB 32, AB 341, AB 1826, SB 1383	PW095
909	-09	Rates & Services	CU+2	E		ESD	Rate setting.	GC 34090	PW025
909	-10	Recycling Programs	S+2	E, HC	Y	ESD	AB 939, SRRE, Sub-element.	GC 34090	PW026
909	-11	Studies	CL+2	E, HC	N	ESD	Includes consultants.	GC 34090	PW029
909	-12	Tonnage Reports	CU+2	E, HC	Y	ESD	Franchise, haulers.	GC 34090	PW030
910		SMART STATION							
910	-01	Tonnage Reports	CU+3	E		ESD	SMaRT Scale records Inbound/outbound; SMaRT Logs.	Title 14, CCR Article 6.3, Section 17414	PW030, PW124
910	-02	Permits	CU+3	E, HC		ESD	CalRecycle SWFP 43-AA-0009, 43-AA-0040 (LOSO, Complaints, Approvals), Hazardous Materials Storage CSV Permit (Manifests) UST inspections/testing.	GC 34090	PW094
910	-03	Agreements	T+5	E, HC		ESD	SMaRT Operating Agreement, change in scope.	CCP 343	PW030

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910	-04	Permits	CU+5	E, HC		ESD	TV BAAQMD - Source data pertaining to Permit Conditions (E-Gen Maint, tonnage data, abatement device maint and ops records).	TV 5905 -Permit Conditions	PW133
1000		NOVA WORKFORCE SERVICES - (NEW Category)							
1000	-01	Workforce Innovation and Opportunity Act Grants	CL+3	E,HC, D	Y	NOVA	Includes Grant, grant agreements, interagency agreements, contracts or any other award, including financial, statistical, participant, monitoring, and property records including supporting documentation.	2 CFR 200.333	NEW
1000	-02	Non-WIOA programs not otherwise specified	CL+3	E, HC, D	Y	NOVA	Includes Grant, grant agreements, interagency agreements, contracts or any other award, including financial, statistical, participant, monitoring, and property records including supporting documentation.	2 CFR 200.333, GC 34090	NEW