

RECORDS RETENTION MANUAL



Approved: March 12, 2019
Resolution No. 19-035

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INTRODUCTION

STATEWIDE RETENTION SCHEDULES

Through the adoption of Senate Bill 742 on September 7, 1999, the California Legislature added Section 12236 to the Government Code. Government Code section 12236, subdivision (a) states “[t]he Secretary of State shall establish the Local Government Records Program to be administered by the State Archives to establish guidelines for local government retention and to provide archival support to local agencies in this state. The Secretary of State shall establish, publish, update, and maintain on a permanent basis, guidelines for local government records retention.” In a collaborative effort, the California Secretary of State’s Office and the City Clerks Association of California developed the Local Government Records Retention Guidelines, endorsed by the General Assembly of the League of California Cities, for use by local agencies throughout the State of California. The guidelines provide recommended periods of retention of local government records and do not reflect the administrative, operational, financial or historical needs of the jurisdiction.

The recommendation from the Records Management - Archives and Museum Division of the California Secretary of State’s Office, and the City Clerks Association of California to local agencies, was to adopt and incorporate the statewide guidelines into the local agency’s own retention policies and procedures. The recommendation is well-founded, as the statewide guidelines on their own are difficult to maneuver through and the minimum retention periods are often too short to satisfy the city's need for administrative, operational, financial, or historical information presumed to be valuable for future reference material.

In developing this Records Retention Policy (“Manual”) for the City of Dixon (“City”), the City Attorney utilized the following resources: (1) the Secretary of State’s Local Government Records Retention Guidelines, February 2006 (Appendix A); (2) the City’s current records retention policy and retention schedule; and (3) relevant statutory and regulatory sources including the California Government Code, California Code of Regulations, the United States Code, and the Code of Federal Regulations.

OVERVIEW OF RECORDS MANAGEMENT

One of the purposes for records management is to ensure that information is available when it is needed. To do this efficiently and thoroughly, records must be identified, organized, maintained for the requisite number of years, and then documented when destroyed. Records management encompasses all the record-keeping requirements that allow an organization to establish and maintain control over information flow and administrative operations, seeking to control and manage records through the entirety of their life cycle, from creation to final disposition.

In today's litigious society, records management is more important than ever. In court, an astute attorney can discredit an agency in the eyes of a judge or jury by attacking the way the agency handles its records. The fact that the records may refute or support a particular position is obscured by the attack on how the agency accounts for and handles those records. In addition, an agency's

failure to maintain records for the requisite statutory or regulatory period can subject the agency to evidentiary sanctions at trial. The agency's legal position in litigation may be influenced by how well or how poorly they comply with accepted records management practices.

A sound records management program does not cost—it pays. It pays by improving customer service, increasing staff efficiency, allocating scarce resources, and providing a legal foundation for how an agency conducts its daily mission. It helps identify and justify opportunities for new technology. Microfilm, optical disk, optical character recognition, workflow, email, bar code, and other related technologies cannot be adequately evaluated and cost-justified without a good records management program. Other benefits include:

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

To better understand the importance of a good records management program, this Manual establishes policies and procedures for the efficient and economical management of the creation, utilization, maintenance, retention, preservation, and disposal of City records, based on federal and state statutes governing public records; and, further, to ensure that a responsible program for records management is practiced within the City organization, serving the best interest of the City and its citizens.

DISCLAIMER STATEMENT

This document was developed with as much forethought as possible to include every City record and document. A thorough review of this Manual was completed and approved by the City Council, City Manager, City Attorney, City Clerk, and in relation to specific departmental schedules, the appropriate Department Head. As with any document of this complexity, it is anticipated that there may be errors and omissions within its covers. It is presumed that this Manual, with its retention schedules contained therein, will need review or revision from time to time to include additional records or to keep current with changes in the laws governing retention periods and local policy changes.

Neither this document, nor the record descriptions, nor the retention periods provided herein, shall constitute acknowledgment of the existence or non-existence of any record. Neither this document, nor the record descriptions, nor the retention periods provided herein, shall constitute the public's right to view, inspect, copy, or otherwise access the records listed herein. Rather, such access is governed by the California Public Records Act, the federal Freedom of Information Act, and other pertinent statutes and regulations governing public access to governmental records.

This document is intended only to assist the City in managing its records in a manner consistent with federal and state law. This document does not constitute City policy with regard to public access of the records listed herein.

City makes no warranty of any kind regarding material and information identified in this document. City shall not be responsible or liable for any inaccurate information, changes in document categorization or naming, or any errors or omissions which may arise from use of this document. City shall not be liable for any actions taken or omissions made from reliance on any information contained herein from whatever source, nor shall City be liable for any other consequences from any such reliance. While every effort is made to keep such information accurate and up-to-date, City does not certify the authenticity of information that originates from third parties.

In the event that a record's retention is inconsistent with the Secretary of State's Local Government Records Retention Guidelines, retention provided by the Secretary of State shall govern.

GUIDELINES FOR USING THIS MANUAL

The City Council, City Manager, City Attorney, and City Clerk created, developed, and agreed upon the principles, guidelines, and procedures presented below and throughout this Manual. These are to be consistently applied throughout the organization to ensure the integrity of the City's records management system. Understanding the following principles and guidelines will enable the reader to handle documents and record keeping procedures as the Manual was intended and, in doing so, will ensure compliance with state and federal laws.

What is a Record?

Records are discussed in this section of the Manual, governmental definitions are provided in full under Key References and followed by informal definitions (Key Terms), which are helpful in categorizing documents and understanding why various retention schedules were applied.

Original Record

For the purposes of this Manual, an "original record" includes the following: (1) original hardcopies; and (2) electronic reproductions that are fully legible in a medium that is a trusted system, and that does not permit modifications to the original hardcopy. (Gov. Code, § 12168.7, subd. (c).)

In the event that the original record is kept as an electronic reproduction, the following requirements must be met:

1. The device used to reproduce the record is one which accurately and legibly reproduces the original hardcopy thereof in all details and does not permit modifications to the original document images;

2. The electronic reproduction is made accessible to the public as the original hardcopies were; and
3. A true copy of archival quality is kept in a safe and separate place for security purposes.

Copies of Original Records

Copies of original records that are maintained by Department Heads, other than the City Clerk:

1. May not be kept longer than the City's retention period set forth herein, unless instructed by the City Manager, in consultation with the City Attorney.
2. May not be destroyed at any time on or prior to the end of the retention period unless consented to by the City Manager, in consultation with the City Attorney.

Notwithstanding the provisions herein and in accordance with California law, the City is not authorized to destroy any records of any kind, for whatever reason, without written approval from the City Manager, in consultation with the City Attorney.

Non-Record

Materials not addressed in this Manual's retention schedule, nor in Secretary of State's Local Government Records Retention Guidelines, should be identified as non-records. If a non-record is retained as an integral part of a file or in conjunction with original records, it shall be retained in accordance with the appropriate retention schedule. As non-records are not retained in the normal course of business, they may be disposed of at any time. However, retention for these files should be at least two (2) years unless specific laws, decisions, or opinions would apply to the record series.

Non-records, such as transitory correspondence files consisting of correspondence, routine transactions, memoranda, or emails of short-term interest, which all hold no administrative, legislative, historical, legal, significant or lasting value, should not be kept in working files. Examples of transitory documents may be, but are not limited to, transmittal letters, forms or emails, requests for routine information or publications, announcements, acknowledgments, drafts, rough notes or calculations created and used in the preparation or analysis of other documents, and all other documents not requiring action by the receiving office. If the City has a document that is not transitory in nature, and is not addressed in this Manual's retention schedule, and the City believes that there are legal requirements, or that the record is essential either for legal, historical, fiscal, or administrative value, then that series can be added in this Manual as part of the retention schedule by and through a resolution of the City Council.

Electronic Mail (Email)

The definition of writings that constitute public records now expressly includes "transmitting by electronic mail." Thus, City and its employees are required by law to retain all electronic mail that is an official public record. Any electronic mail that: (1) relates or pertains to the formation or

implementation of official public business, policies, and decisions; or (2) initiates, authorizes, or completes a transaction of official public business constitutes an official public record and should be retained in accordance with the appropriate retention schedule in conjunction with the original record it references. Otherwise, retention for electronic mail should be at least two (2) years unless specific laws, decisions, or opinions would apply to the record series.

In order to retain these records, City must preserve the electronic mail message sent or received under the appropriate City file created for electronic purposes.

It is the City's policy that City email and email systems are intended to be used as a medium of internal and external communication. City email systems are not intended to be, and may not be, used for the electronic storage or maintenance of City records. The email system, to function as intended, requires that employees regularly delete non-record communications from the system, and does not utilize the system as a record repository.

Email messages and attachments comparable to hard copy documents that would be retained pursuant to this Manual should be retained as follows: The document must be categorized in the appropriate record series and converted to the appropriate electronic format or printed in hard copy and retained for the required time period as outlined in this Manual's records retention schedule. No matter what form in which the record is retained, proper procedures as outlined in this Manual must be followed prior to the destruction of any record. Routine email messages, comparable to telephonic communications, are deemed non-records. As such, they are not intended to be retained in the ordinary course of City business, and the informational content of such communications is neither necessary nor intended to be preserved for future City use or reference. This includes items in "received" and "sent" folders as well as any folders set up by individual users. Upon removal from the City's electronic mail system, the non-records will be disposed of in the City's ordinary course of business. An email is considered destroyed as soon as it has been deleted from a user's mailbox, even though it is temporarily stored in the trash folder before being purged from the email system. Backup copies are for system restoration, disaster recovery, and are not designed to facilitate retrieval of deleted messages. Each email user will be trained in the application and implementation of this procedure. This procedure does not prohibit employees from maintaining temporary working files or folders to allow for quick reference to recent emails.

Record Keeping Responsibilities

The City Council, City Manager, City Attorney, and City Clerk shall each be responsible for future records management policy development and procedural implementation as follows:

City Council – The City Council shall approve, by resolution, all records management policies, changes to retention schedules, and any amendments thereto.

City Manager – The City Manager shall:

1. Periodically confirm that all departments comply with the records management policy;

2. Present to the City Council recommendations for policy amendments; and
3. Perform the responsibilities of department heads listed below.

City Attorney – The City Attorney shall:

1. Review recommendations to the City Council regarding amendments to records management policies, document retention schedules, or destruction of records;
2. Review and approve the Department Head's requests to dispose of records in accordance with this Manual's retention schedule;
3. Provide legal guidance to the City Clerk in any review of, and amendment to, the retention schedule, in accordance with federal, state, and city regulations;
4. Notify the City Clerk's department immediately of all document discovery requests or any other situations which may arise that would require the City to refrain from destroying records; and
5. Provide written approval or denial of each request for destruction of records related to original agreements, ongoing litigation, or litigation holds.

City Clerk – The City Clerk, or his/her designee, shall be responsible for the following:

1. In consultation with the City Attorney, present recommendations to the City Manager for amendments to records management policies or records retention schedules;
2. Create, maintain, and distribute forms necessary to implement the records management program;
3. Supervise the destruction of records, ensuring that confidential records are destroyed by shredding;
4. Certify the destruction of records; and
5. Perform the responsibilities of department heads listed below.

Department Heads – The designated heads of each City department shall:

1. Create and maintain reliable and accurate filing systems to ensure the efficient maintenance, retrieval, and disposition of records under their control;
2. On an ongoing basis, identify records for destruction;
3. Ensure that no City records are destroyed prior the expiration of their required retention period or approval from the City Attorney; and
4. Submit requests to the City Clerk's department for records management policy or retention schedule amendments.

Following receipt of written approval from the City Attorney, City records are authorized to be destroyed. Said destruction shall be witnessed by the City Clerk or a designated representative. The City Clerk shall maintain a file of approved destruction requests.

Records Pertaining to Litigation

City documents which qualify as “records,” but which pertain to pending, ongoing, or recently-concluded litigation, are exempt from the retention periods provided in this Manual. All such records are maintained by the City Attorney, or his/her designee, or by the legal counsel retained by the City for such litigation.

Upon conclusion of the litigation, and following the City Attorney’s direction, such records may be returned to the City’s designated record-keeping department, at which time they shall be retained for such period as may be directed by the City Attorney. However, in no event shall such records be retained for a period less than the City’s retention requirement in this Manual’s retention schedule. If the records are not identified in this Manual’s retention schedule nor in Secretary of State’s Local Government Records Retention Guidelines, such records shall be maintained by the City Attorney, or his/her designee, for no less than two (2) years following the litigation’s conclusion.

In addition, should the City Attorney determine that it is legally necessary or prudent for records pertaining to concluded litigation to be maintained separately from other City records, the City Attorney may, at his/her discretion, authorize the following: (1) that such records be retained for a period longer than otherwise required; (2) that such records be retained by a person or department other than the designated Department Head; or (3) that such records be maintained confidential or subject to protective measures.

Destruction of City Documents

At least annually, each Department Head is responsible for reviewing all records in its custody. Records that have reached the end of their retention period are to be destroyed pursuant to this Manual’s retention schedule. Electronic versions of those records must also be deleted at the same time.

The City Council, by adopting this Manual’s retention schedule, authorizes Department Heads to destroy duplicate records less than two (2) years old, if the records are no longer required in accordance with adopted retention schedules.

All original records to be destroyed must be listed. Requests for the destruction of original records must be approved by the responsible Department Head and the City Attorney prior to destruction. A Request for Records Destruction/Certificate of Destruction (Appendix B, sample 1 at p. i) and listing of documents to be destroyed (Appendix B, sample 1 at p. ii), and copy of the appropriate page(s) from the records retention schedule shall be filed in the Office of the City Clerk.

Note: Once authority has been received to destroy records, all forms of that record must be destroyed (or deleted): paper, microfilm/fiche, electronic format.

This section does not authorize the destruction of the following original records:

- A. Records affecting the title to real property or liens thereon;
- B. Records required to be kept by statute;
- C. Records less than two years old; or
- D. Minutes, ordinances, or resolutions of the City Council.

City has identified that shredding and recycling the paper produced from the destruction of these records is the most appropriate method of disposal. Accordingly, although the specific method used for destruction shall be at the discretion of the Department Head, it shall reflect a method of destruction that recycles any paper products and avoids the use of sanitary landfill sites.

Updating Records Management Manual

To ensure that the list of records and retention periods are current and comply with the latest legal requirements, the City Attorney shall review and update the Manual every two (2) years. When revisions are necessary, the City Clerk shall present a resolution to the City Council authorizing the amendment(s) to this Manual.

Converting Hard Copy to Electronic Formats

Government Code section 34090.5 authorizes the conversion of hard copy materials and records onto other electronic mediums (i.e., burning CDs or DVDs or other format reasonably accepted within the industry, as may be determined by the City Clerk from time to time) as long as the following conditions are met:

- (a) The record, paper, or document is photographed, microphotographed, reproduced by electronically recorded video images, recorded in electronic data processing system, recorded on optical disk, or any other medium that is a trusted system and that does not permit additions, deletions, or changes to the original document;
- (b) The device or method used to reproduce the record, paper, or document reproduces the original in all details and does not permit additions, deletions, or changes to the original document images;
- (c) The reproductions are made accessible for public reference as the original records were; and
- (d) A true copy of archival quality shall be kept in a safe and separate place for security purposes. For the purposes of this provision, a safe and separate place is any electronic medium approved by the City Council.

If the above conditions are met, the public official having custody of the records (Department Head) may convert the hard copy to a permissible electronic format and destroy the hard copy without the approval of the City Council or the City Attorney, with the exception of those documents that are required to be kept permanently in their original format as outlined in this Manual's retention schedule.

After converting the hard copy materials into the approved electronic format, the department converting the hard copy to electronic format shall save the “original” electronic record in the designated location on the City’s system and in the manner established by the City Clerk, with prior approval from the City Council.

INTRODUCTION TO RETENTION SCHEDULES

The following retention schedules are presented departmentally and in some cases by subject matter that may apply in several departments, in alphabetical order, and have been developed to ensure that legal, regulatory, fiscal, historical, and administrative retention requirements are met.

A. LEGEND

Immediately following this page is a legend of the initials, abbreviations, and symbols used throughout the retention schedules, as well as a listing of the various state and federal codes addressing records retention.

B. COMMON CITYWIDE DOCUMENTS

The list of Common Citywide Documents contains items found in almost every department. They are listed here as a convenience and to avoid the redundancy of listing them under every department.

C. CITY’S RETENTION REQUIREMENT

Records listed in this Manual’s retention schedule may have a recommended retention period that either mirrors or exceeds the state recommended retention period. Where the City’s retention period is indicated, such staff recommendation shall control and all employees shall maintain responsive records accordingly. Where there is no City retention period indicated, the state recommended retention shall control. Where there is a statutorily required minimum retention period, the statute is listed for reference. **Remember, records cannot be retained less than the statutory minimum retention period.**

D. STATUTORY REQUIREMENT

The fifth column is helpful to the reader in understanding the legal basis for the specific lengths of retention, if applicable. While general government code sections can be found in this Manual under “References,” other statutes or regulations are record/document specific and the reader may wish to look those up.

E. RECORDS CAN BE ADDED TO THE SCHEDULES

From time to time, departments may create or find records in their departments that are not listed on the following pages. These can be added to the schedules, as this is not a “permanent”

document, but flexible in nature to accommodate legal, administrative, or fiscal policy changes.

Departments desiring to add or delete documents from retention schedules applicable to their respective departments shall prepare a memorandum signed by the Department Head, City Attorney, and City Clerk identifying the (i) records series title; (ii) state minimum retention period; (iii) City's retention period (if greater than state minimum); (iv) statute or regulation (if applicable); and (v) description of the record or records series. The City Clerk will present revisions to this Manual's retention schedule to the City Manager, as needed. Upon the approval of the City Manager, the City Clerk, in consultation with the City Attorney, shall present a resolution to the City Council authorizing the addition or deletion of documents from their respective retention schedules.

LEGEND & CODE ABBREVIATIONS

LEGEND

Active (AC)	=	The period of time that a record has yet to fulfill its administrative, fiscal, and/or legal function/purpose.
Adoption (AD)	=	That point in time which a record, document, proposal, plan, or amendment is approved and given operative effect.
Affordability Period (AP)	=	The period of time during which assisted property is encumbered by rent and occupancy restrictions/covenants
Audit (AU)	=	The effective date of the annual audit (i.e., June 30). This term will generally be used in connection with financial documents.
Closed/Completed (CL)	=	The point in time which there is no further work to be done in connection with the task, project, or subject matter of the record.
Current (CU)	=	A record is current throughout the calendar year in which it was created.
Date of Birth (DOB)	=	Date of Birth
Election (E)	=	Election shall mean the election for which the materials were created.
Life (L)	=	The period of time during which a record or document has administrative, fiscal or legal significance or effect.
Permanent (P)	=	Records that are required to be kept in perpetuity, usually identified by statute or other written guidance.
Repayment (R)	=	The full repayment of funds previously borrowed or owed to the City.
Supersede (S)	=	The point in time in which a record is replaced or made obsolete, useless in favor of a new record.
Termination (T)	=	The point in time constituting the end, conclusion, resolution, or decision not to continue a policy, condition or relationship.
Original may be stored electronically (☼)	=	A document which may be reproduced and stored electronically as the original record in compliance with Government Code section 34090.5. Following electronic conversion, the original hardcopy may be destroyed upon approval of City Manager or City Attorney.

CODE ABBREVIATIONS

B&P	=	California Business & Professional Code
CAC	=	California Administrative Code
CCP	=	Code of Civil Procedure
CCR	=	Code of California Regulations
CEQA	=	California Environmental Quality Act
B&P	=	Code of Federal Regulations
EC	=	California Elections Code
GC	=	California Government Code
H&S	=	California Health & Safety Code
HUD	=	Housing and Urban Development
OSHA	=	Occupational Safety & Health Agency
PC	=	California Penal Code
POST	=	Police Officers Standards Training
UFC	=	Uniform Fire Code
USC	=	United States Code
WIC	=	Welfare & Institutions Code

COMMON CITYWIDE DOCUMENTS

Items listed below can be found in almost every City department. The assigned retention period for any particular item is the same, regardless of the department in which it resides. By listing the frequently occurring documents here, they need not be listed individually under each department. Further, most of the listed items refer to copies. However, a reader interested in learning the retention period for an original is encouraged to check the retention schedule of the Primary Record-Keeping Department. If no department is indicated under the Primary Record-Keeping Department column, there is no department for that item.

Subject/Item	Retention Period	Primary Record-Keeping Department
Accounts Payable	AU+5	Finance
Admin. Policies, citywide	S+2	City Manager's Office
Agreements/Contracts (includes leases, service, equip., & supplies)	P	City Clerk's Office
Audio and Video Recordings – City Council Board & Commission Meetings	90 days	City Clerk's Office.
Awards/Certificates (departmental)	CU+3	Keep longer, if historically significant
Bids, RFPs, RFQs - Successful	AU+5	Finance/Public Works/City Clerk
Bids, RFPs, RFQs - Unsuccessful	CU+2	Finance/Public Works/City Clerk
Brochures, publications, newsletters	S+2	
Budget Files (Departmental Work Files)	AU+2	
Cash Receipts (copies)	AU+4	Finance
CEQA Documentation	P	
Chronological/Miscellaneous Correspondence files (departmental)	CL+2	
Legislative Body Agendas	CU+5	Initiating Department (City Council, Commissions, Committees, etc.)
Legislative Body Staff Reports	CU+5	Initiating Department (City Council, Commissions, Committees, etc.)
Legislative Body Minutes	P	City Clerk's Office
City Council communication	CU+3	
Closed Session confidential memos	AC+2	City Manager's Office
Conflict of Interest Statements (includes FPPC Annual Filing)	CU+7	City Clerk
Departmental personnel files of employees transferred to another dept.	Transfer Date +2	Human Resources
Departmental personnel files of terminated employees (copies)	T+2	Human Resources
Fee Schedules	CU+2	
Grant Files (subject to grant requirements)	CL+4	
Grants – CDBG	P	
Litigation Hold Notices	CL+2	
Material Requisition Forms (copies)	AU+4	Finance

Common Citywide Documents Continued...

Subject/Item	Retention Period	Department/Division (or Comments)
Miscellaneous correspondence, if not attached to a working file (non-record)	CU+2	Non-records retained as an integral part of a file or in conjunction with original records shall be retained in accordance with the appropriate retention schedule
Municipal Code/Ordinances	P	City Clerk's Office
Operating Budget document (copies)	S+2	Finance (Department Reference)
Operating Budget working files	AC+2	Finance (Department Reference)
Payroll Printouts (copies)	AU+4	Finance
Payroll Timesheets (copies)	AU+6	Finance
Payroll Adjustment Forms (copies)	AU+4	Finance
Policies & procedures (departmental)	S+5	
Press Releases	CU + 2	City Manager's Office
Purchase Orders (copies)	AU+2	Finance
Safety Committee files (copies)	CL+2	HR/Risk Management
Telephone message pads/logs	CU+1	
Travel reimbursement (copies)	AU+2	Finance

DEPARTMENT SCHEDULES

City Attorney's Office

Records Series Title	SOS Retention	City Retention Policy	Optical	Statutory Requirement (if applicable)	Description
Case Records	T+2				Logs, complaints, police reports, court orders, motions, notes, briefs, closing statements, and litigated investigation files
Confidential Incident Reports	CL+2				
Fair Campaign Political Practices Commission Opinions and correspondence	CU+5	CL+5	☼		
Formal Written Correspondence	CL+2		☼		If not attached to agreement or project file.
Foreclosures	P				(i.e. • Home improvement loan defaults, trustee sales, notice of liens)
General Research Project Files	CL+2		☼		May include request forms, background materials, staff reports, final project reports and supporting data
Labor Grievances	CL+2				Grievance filed by employees, supporting documentation; labor arbitration, all other cases related to MOUs
Legal Advertising	CU+4	CL+4	☼		Includes public notices, legal publications
Non-Litigated Investigation Files	CL+2				Potential claim files, civil claims files not resulting in litigation, any other investigation records not resulting in litigation
Personnel Action Files	T+2				Disciplines, grievances, terminations
Public Records Requests for Information	CL+2		☼		
Settlement Agreements	P		☼		Final settlement agreement managed as a separate record. Closure occurs at fulfillment of terms

City Clerk's Office

Records Series Title	SOS Retention	City Retention Policy	Optical	Statutory Requirement	Description
<i>ADMINISTRATIVE</i>					
Address Assignment	P		☼		Assigned address number
Address Change	P		☼		Change address number
Address Correction	P		☼		Correction to address number
Annexation case files	P		☼	GC 34090(a)	Reports, agreements, public notices, correspondence
Applications for commissions, committees	CL+2				Candidates not selected
Applications for commissions, committees	T+5				Candidates selected
Articles of Incorporation	P		☼		City's birth certificate
Assessment Districts	P		☼		Includes Engineer's Report, staff report, roll, etc.
Certifications/Declarations (copies)		CU+2	☼		Copies used as samples; originals are presented or mailed
City Clerk's budget binder (copies)	S	S+2			Copies of adopted budget for public review
Contracts and Agreements (Excl. Capital Improvements)	T+5		☼	CCP 337.2	Leases, equipment, services, supplies
Contracts and Agreements Including CIP	CL+10		☼	CCP 337.15	Construction, reconstruction, modifications, upgrades; particularly CIP projects
DMV Correspondence	CU+2		☼		If not attached to agreement or project file
Litigated cases	P		☼	GC 34090(b)	Court documents/agreement re: final actions/settlements (received from legal counsel after disposition)
Life Certificates (copies)	P				Originals are prepared & given to pensioners from other countries
Maintenance Districts	P		☼		Original documentation
Chronological/miscellaneous Correspondence	CU+2		☼		Originating department not a part of an agreement or project file
Municipal Code	P		☼		Supplements included
Program Work Files	CU+2		☼		
Proclamations copies	CU+2		☼		Originals are presented in person or mailed
Proofs of Publication (Notifications and Publications)	E+2				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

City Clerk's Office Continued...

Records Series Title	SOS Retention	City Retention Policy	Optical	Statutory Requirement	Description
Public Records Act requests	CL+2		☼		
Subject files, generally	CU+2		☼		
Subpoenas	P		☼	GC 34090(b)	
Summons	P			GC 34090(b)	
Recorded Documents	P		☼	GC 34090(a)	Original documents with Solano County's recorded information, & our unique tracking number
Recorded Documents Filed with Solano County Recorder	P		☼	GC 34090(a)	City's evidence of documents submitted and those never returned
Recorded Documents Tracking Log	P		☼	GC 34090(a)	Listing of all recorded documents with identifying information
<i>CITY COUNCIL</i>					
Agendas, Council	CU+2	CU+5	☼		City Council Agendas
Agenda Staff Reports	CU+2	CU+5	☼		Staff reports, backup for agendas
Ordinances	P		☼	GC 34090(e)	
Ordinance Posting Affidavits	P		☼		
Public Comment & Speaker Cards	CU + 2				
Resolutions	P		☼	GC 34090(e)	Original legislative actions for City Council, RDA, Planning Commission, etc.
Tapes – audio/video	CU+90 days	CU+2	☼	GC 34090.7	Tapes, discs, or other media recordings of Council meetings, when minutes for meeting exist.
Studies and Reports (adopted)	CL+2				
<i>ELECTIONS</i>					
Ballots - Prop 218 (Assessment Districts)	CL+2			GC 53753	
Canceled affidavits of registration		E+5	☼	EC 17000	Original may be digitized and destroyed following the first general election after the date of cancellation
Code of Fair Campaign Practices	30 days	T+4		EC 20442	Form is kept with office holder's campaign files
Election Work Files	CU+2	CU+5			Except papers with historical value; remove and retain
History	P		☼		Historical value: resolutions, canvass, sample ballot, precinct map, staff reports, costing memo

City Clerk's Office Continued...

Records Series Title	SOS Retention	City Retention Policy	Optical	Statutory Requirement	Description
Materials used in conducting elections	E+6 mos.			EC 17302, 17304, 17306, 17503, 17505	Voted ballots, vote by mail and provisional ballot voter identification envelopes, spoiled ballots, canceled ballots, unused vote by mail ballots surrendered by the voter, ballot receipts, tally sheets (two), roster, challenge lists, assisted voters' list, ballot cards, precinct officer & polling place appointment records
Materials used in conduction elections where candidates for President, Vice President, U.S. Senator, and U.S. State Representative are voted upon	E+22 mos.			EC 17301, 17303, 17305, 17502, 17504	Voted ballots, vote by mail and provisional ballot applications & voter identification envelopes, spoiled ballots, canceled ballots, unused vote by mail ballots surrendered by the voter, ballot receipts, tally sheets (two), roster, challenge lists, assisted voters' list, ballot cards, precinct officer & polling place appointment records
Nomination papers	T+4			EC 17100	
Notices & Publications	E+2	CU+5		GC 34090	Proofs of publication & posting, notices, etc.
Petitions: Initiative, Referendum, Recall	8 mos.			EC 17200, 17400	After certification of election or if no election is held 8 months after the clerk's final examination of the petition
Roster and Voter Lists	E+5			EC 17300	
FPPC FILINGS					**May be digitized and destroyed after 2 years
Statements of Economic Interest	T+7		☼	GC 81009(e)	Form 700 (and outdated 721)
Council campaign statements Elected Officials	P		☼	GC 81009(b)	Including committees supporting the officeholder or candidate
Council campaign statements (not elected)	CU+5		☼	GC 81009(b)	Including committees supporting the officeholder or candidate
Campaign statements for all other officials	CU+7		☼	GC 81009(c)	Council filing as candidates for higher office
Misc. reports or statements received by the City Clerk	CU+4		☼	GC 81009(f)	
FPPC Forms 801 & 802	T+7		☼	GC 81009(e)	Forms published online to remain on City website for 4 years
MISCELLANEOUS					
Certificates of Insurance (General)	AC+4		☼	CCP 339	General certificates of insurance in connection with goods and services

City Clerk's Office Continued...

Records Series Title	SOS Retention	City Retention Policy	Optical	Statutory Requirement	Description
Certificates of Insurance (construction related)	CL+10		☼	CCP 337.15	Certificates of insurance related to capital improvement projects or other city construction projects
City Council Member Biographies/ Photographs	CU+2		☼		City Council, present and past; Photos of past council members (historical value)
City Proclamations	S+2		☼		Includes original request. Final proclamations are presented in person or mailed
Performance, Surety Bond Documents	CL+10			CCP 337.15	Original documents to be retained for 10 years after completion of improvement(s)
Newspaper Articles - copies	5		☼		City community news articles submitted to Council and filed

City Manager's Office

Records Series Title	SOS Retention	City Retention Policy	Optical	Statutory Requirement	Description
ADMINISTRATIVE					
Administrative Policies originals	S+2	S+5	✻		All City Council administrative, departmental policies & procedures
Calendars - City	CU+2		✻		Council, City Manager's, building -scheduling of meetings, appointments, events, room reservations
Complaints	CL+2		✻		Complaints to the City Manager's Office
Conference/Travel arrangements	CU+2		✻		Registration for hotel, conferences, travel arrangements, reimbursement travel reports, etc.
Correspondence	CU+2		✻		Departmental incoming mail
Franchise Agreements	P				Original agreements authorizing franchises
Project Files	CL+2		✻		Current projects,
Public Records Acts Requests	CL+2		✻		Copies or requests for public records received from City Clerk's office.
Reports - departmental	CU+2		✻		Special, routine, or status reports created within the City Manager's office, including supporting documentation (non-agenda related)
Subject Files –general and miscellaneous	CU+2	CL+3	✻		City Manager's internal working regular files/project files on going for future references, including correspondence.
Subject Files - Redevelopment Agency	CU+2		✻		City Manager's internal working RDA project files for future reference, includes correspondence
Transmittal for materials for Destruction & Storage	5	P	✻		Originals to City Clerk to accompany boxes of materials for storage and/or destruction.
Work Order Requests	CU+2		✻		Requested work to be done by the Maintenance Department
CITY COUNCIL					
Closed Session reports	P		✻		Confidential reports prepared by various departments for City Council closed session meetings
Community Meetings, Event Documents	CU+2		✻		

City Manager's Office Continued...

Records Series Title	SOS Retention	City Retention Policy	Optical	Statutory Requirement	Description
Framed - Awards, certificates, Resolutions		CU+6	☼		Awards presented to the City by sponsors, community, legislators, etc.
Proclamations, Certificates, awards	S+2		☼		Those presented by the City Council to the public
Resolutions of Commendation	P		☼	GC 34090	Originals presented and submitted at Council meetings, events, picked up, or mailed
Weekly Reports to City Council	CU+2	CU+6	☼		City Manager's weekly reports to Council on projects, updates, etc.
<i>LEGAL LEGISLATIVE</i>					
Legal Opinions	AC+1	CL+7	☼		Confidential correspondence from attorneys
Legislation	CU+2		☼		Bills passed affecting the City of Dixon
<i>MISCELLANEOUS</i>					
History File	CU+2	P	☼		Historical value: books, booklets, photos, etc.
City Newsletter (Dixon Happenings)	S+2		☼		
Media Relations	CU+2		☼		Includes cable, newspaper, radio message boards, and presentations

Code Enforcement

Records Series Title	SOS Retention	City Retention Policy	Optical	Statutory Requirement	Description
Code Enforcement Reports	T+2				Federal and state reports
Correction Notices/Administrative Citation	CL+2		✻		Orders, Notices & Requests for Correction
Criminal Municipal Code Violations	CL+2				Code violations, generally (includes building, housing and mobile home violations; public nuisance and abatement)
Daily Field Activity Reports	CU+2		✻		Log Sheets
Monthly Activity Report	CU+2		✻		Monthly Report for reference which includes how many cases have been received for that month and what type of case
Notice of Pendency (copies)	CL+5		✻		Retain for 5 years after the release of Notice of Pendency (original with City Clerk). Includes all zoning, building code, and weed abatement Notices
Notice of Pendency Release (copies)	CL+5		✻		Retain for 5 years after the release of Notice of Pendency (original with City Clerk). Includes all zoning, building code, and weed abatement Notices
Prosecution and Court Case Summary		CL+5	✻		A summary of active prosecution and court cases showing names/addresses/violations/status/totals
Perpetual Monthly Activity Report	CU+2		✻		Monthly Report for reference which includes how many cases have been received from January to present and what type of case
Weed Abatement	CL+2		✻		Reports, assessments, resolutions, documentation

Community Development

Records Series Title	SOS Retention	City Retention Policy	Optical	Statutory Requirement	Description
ADMINISTRATIVE					
Building Code Adoption (see also Fire)	CU+2				Working file re adoption of building codes: includes staff reports, memos, publications, etc.
Building Permits	P			GC 34090	
Community Development Block Grant (Public Services)	CL+3		☼	OMB Circular A-110	Public service agency funding applications, documentation, billing
Contracts & Agreements	T+5			CCP 337.2, 343	Leases, services, supplies
Dept. Policies & Procedures	S+2		☼	GC 34090	
Development Agreement & amendments	P				Agreements and subsequent amendments
Monthly Building Reports	CU + 2			GC 34090	
Parcel Maps	P				
Project Files	AC+2		☼		Internal working files
Grant Files	AC+2	AU+4			Destroy 4 years after life of grant ends; may be til after grant is audited
Specific Plans	P				
Travel Records	CU+2		☼		

Engineering

Records Series Title	SOS Retention	City Retention Policy	Optical	Statutory Requirement	Description
Agreements/Contracts 1. Executed 2. Unsuccessful bidders	T+5 CU+2			CCP 337.2, 343	
Annexation File - General	P		☼	GC 34090(a)	General correspondence; request for annexation; approved notices/correspondence from County of Stanislaus
Assessment Districts	CU+2	CU+10			
Base Maps	P		☼		Cross-section of roads, streets, rights-of-way, tract #, addresses
Benchmark Data	CU+2	P	☼		Elevation points different locations throughout the City; horizontal and vertical control
Bridges - General Inspections/Seismic retrofit inventory form	L	P	☼	GC 34090(a)	Life of structure. Includes intersection, sidewalks, bridges and overpasses
Caltrans - Freeway maintenance		P			Dept. of Transportation - City's maintenance of Caltrans's facility
Capital Improvement Program Budget	CU + 10				Same as operating budget retention
CIP Projects List		P	☼		Approved CIP projects for each fiscal year
CIP Project Files		CL+10	☼		Includes: original contract, specs, bid documents; correspondence between contractor and City, change orders, progress payments, performance bonds, staff reports, notice of completion, proof of publication
Certificates of Compliance	L				Certificate of Compliance which affect real property
Construction Tracking Daily	CU+2			CCR 337.15	Daily tracking of field construction
Fee & Charge (revenue)	CU+2			GC 34090	Engineering fees/schedules
GIS Aerial Photography	P				

Finance

Records Series Title	SOS Retention	City Retention Policy	Optical	Statutory Requirement	Description
1099s	AU+4				
Accounts Payable	AU+5		☼		
AP (Warrant) Registers	AU+2	AU+4	☼	GC 34090.7	Register of Warrants/Demands
AP Backup	AU+2	AU+3	☼		Invoice and check copy
Accounts Receivable (Billing and Backup)	AU+2	AU+2			
Accrued Leave Reports, Payroll Records	AU+4				
Accounting Documentation/Journal Entries/Posting Reports	AU+2				
Adopted Budget (City, RDA, DPFA)	CU+10			GC 34090	
Annual Street Report	CL+2	AU			Annual financial report, until audited by State
Armored Transport Receipts	AU+4				
Assessment Delinquency Files		CU+4			
Assessment District Records		P	☼		
Assessment Payoffs		AU+2			
Audit Proposals		AU+3			Past end of initial contract
Audit Work papers		AU+2	☼		
Audit Information (internal & external reports)	AU+2				Internal/External reports
Bank Statements	AU+2	AU+4	☼		Statements & summaries
Bank Reconciliations	AU+2	AU+4			Disbursements & reconciliations
Banking Agreements	P	L+4	☼		
Bond Authorizations & related Public Hearing Records	P	L+4	☼		
Bond Indentures/Official Statements	CL+10	P		CCP 337.5	
Budget adjustments, journal entries	AU+2				Account fund transfers. Originals sent to Finance for processing
Budget Transfer Requests	AU+2				
Budget Work Files	CU+2				
Business License Application/License	P	T+4	☼		
Business License Related – Miscellaneous	T+4	T+4	☼		

Finance Continued...

Records Series Title	SOS Retention	City Retention Policy	Optical	Statutory Requirement	Description
Business License Renewals	T+3		☼		
Cash Receipts including Daily Cash Receipts	AU + 3		☼		
Comprehensive Annual Financial Report - all agencies	AU+7	P	☼	GC 34090.7	
Deductions Authorizations	T+3				Salary record
Demand Checks	AU+2	CU+5		CCP 337	Copies of checks issued (payment of services/goods)
Deposit Slips/Receipts/Correction Notices		AU+2			
Disposition of Surplus Personal Property/Authorization		AU+2			Surplus property disposal
Disposition of Surplus Real Property/Authorizations		P	☼		
Employee Payroll Adjustment Forms	T+3			29 CFR 516.5 29 USC 436	
Employee Payroll Records	T+3		**	29 CFR 516.5 29 USC 436	
Facsimile Signature/Signature Cards	S				
Federal & State Employment Tax Records	AU+5			26 CFR 31.6001-1	
Fee Studies	S	S	☼		
Fiscal Agent Reports - Monthly Statements	CL+6				6 years past life of the debt
Fiscal Agent Reports - Summary of Year	CL+6				
Fixed Asset Records	AU+4				
GANN Limit Calculations and Resolutions	P		☼		
Grant Files	AC+2	AU+4			Destroy 4 years after life of grant ends; may be til after grant is audited
Investment Purchase/Trade Details	L+2				2 years after expiration of investment
Labor Distribution	AU + 3				
Lease/Purchase Agreements	CU + 2				
Miscellaneous Spreadsheets & Work Files	CU + 2	CU + 5			Can include Utility Bills, TOT as examples

Finance Continued...

Records Series Title	SOS Retention	City Retention Policy	Optical	Statutory Requirement	Description
Pass Through Agreements/ Related Records	T+4				
Payroll Check & Direct Deposit Registers	T+3		☼	29 CFR 516.5	
PERS Employee Deduction Reports	T+4			GC 34090; CAC 22-1085-2	
PERS Retirement Reports	T+4	P	☼		
Petty Cash Receipt Book and Demands	AU+2	AU+4	☼		
Proposed Budget City, RDA, DPFA	CU+2				
Purchase Orders	AU+3	AU+5	☼		Journals AP/AR
Remittance Data (franchise fees, TOT, Etc.)		CU+2			
Sales Tax Agreements/Related Records	P		☼		
Sales Tax data-consultant meetings	CU+2				Confidential files shared from quarterly meetings
State and Federal Grant Materials	CL+5	AU+5			Destroy 5 years after life of grant ends; again more appropriate may be once grant audited
State Controller's - Report of Financial Transactions	P		☼		
Stop Payment Notices	CU+2				
Time Transaction Reports- Payroll Copy	CU+2				Employee timesheets
Treasurer's Quarterly Investment Report	P		☼		Investment transactions
Voluntary Deduction Reports	T+6	T+3			Salary records
W-2s	AU+4			GC 34090 29 CFR 6001.1(e)(1)	4 years after tax is due or 4 years after tax is paid, whichever is later
W-9's	CU+6				

Fire Department

Records Series Title	SOS Retention	City Retention Policy	Optical	Statutory Requirement	Description
Arson Investigations - Evidence	P	P		PC 799	Homicide
Arson Investigations - Evidence	CL+6	CL+6		PC 800	Great bodily harm/injury; inhabited structure or property
Captain's Log	CU+2	P	☼	GC 34090	Fire Station Journals: activities, personnel, engine company--historical
Disaster - Major Event Log	2	P	☼	GC 34090	
Emergency Operations Guidelines	AC	S+2		GC 34090	Active until revised.
Employee Records	T+1	T		29 CFR 1602.14 29 CFR 1627.3 CCR 1174	Then transferred to Human Resources
EMS/Liability Reports	CU+2	CU+4			
Equipment & Supplies Inventory	CU+2	CU+3			
Exposure - Personnel	T+1	T+2		29 CFR 1910.1020	Laboratory reports and worksheets
Exposure - Personnel		T+30		29 CFR 1910.1020	Sampling results, collection, methodology, background
Fire Code Adoption (see also Comm Dev)	CU+2				Working file re adoption of fire codes: includes staff reports, memos, publications, etc.
Fire Code Books	S+3	S+5		GC 34090.7	Include OPS manuals
Fire Dept. Staff Reports	CU+2		☼		Non-Council agenda related, includes supporting documentation
Fire Equipment/Gear Logs	CU+2	CU+3		GC 34090	
Fire Station Construction and Acquisition	P		☼		Construction and acquisition, generally
Fumigations	CU+2			GC 34090	Pest control, generally (pesticide applications, inspections & sampling, documents)
General Information	S+2	2		GC 34090	Brochures, publications, newsletter, bulletins
General Operations Guidelines	CU+2	S+2		GC 34090	Includes work orders, inspection, repairs, cleaning, reports, complaints, signals, striping
Hazardous Materials-Storage Permits	CU+2	CL+2		GC 34090; CAL OSHA; 40 CFR 122.21	Departments consistently recommend permanent retention of environmentally sensitive materials
Hazardous Materials-Underground Storage Tank	P		☼	GC 34090(a)	Documents regarding storage

Fire Department Continued...

Records Series Title	SOS Retention	City Retention Policy	Optical	Statutory Requirement	Description
Hazardous Materials-Underground Storage Tank (Compliance Maintenance & Operation)	CU+2	P	☼		Location, installation, removal, remediation
Incident Reports	CL+7	CL+7		12 CFR 1904.2; 29 CFR 1904.6	Theft, arson, vandalism, property damage or similar occurrence (excluding fire/law enforcement)
Inspections - Fire Prevention	CL+3	CL+3		GC 34090	Alarm/sprinkler systems, prevention efforts
Mutual Aid Strategic Plans	S+2	S+3		GC 34090	
OES Strike Team Reimbursement		CU+2			
Patient Care Reports		C+7			
Personnel Training Records	T+2	T+5			Paperwork documenting officers internal and external training
Staff Logs	CL+3		☼	CCP 338, 340.5	Dispatch and daily logs

Fleet

Records Series Title	SOS Retention	City Retention Policy	Optical	Statutory Requirement	Description
Air Pressure Tank Permits	AC+2	AC+3			Retain 3 years after expiration of permit
Diesel Fuel Return	P		☼		Quarterly Return, original Government Entity Diesel Fuel Tax Returns and underground storage tank fees
DMV - Certificates of Title	L+2			VC 9900	Titles transfer when vehicles are sold – kept in Finance Vault
Fuel Customers	CU+2			CCP 337	Computer print-outs with attachments
Fuel Delivery Receipts	CU+2			CCP 337	Fuel receipts
Fuel Information	CU+2				Correspondence, information on diesel, natural gas & propane
Fuel Inventories	AU+3				
Fuel Miscellaneous	AU+3				Information on fuel controller and site preparation
Fuel Ordering	CU+2				Information, forms, Proof of Insurance
Fuel Records & Logs	AU+3				
Identifications (Pink Slips)	L				Retain for life of the equipment or at least 2 years, whichever is later
Inventories	CU+2	S			Destroy when no longer relevant plus 2 years
Maintenance/Repair Records	L				Keep records for life of equipment or at least 3 years, whichever is later
Operating Instruction Manuals	L				Keep for life of equipment or at least 2 years, whichever is later
Smog Certificates	CU+2	S			Destroy when superseded or after 2 years, whichever is later
Vehicle Maintenance Records**	CU+2	S			Destroy when superseded or after 2 years, whichever is later
Vehicle Information	L+2	CU+5			City fuel reports
Vehicle Inspection Records**	CU+2	L			Destroy after life of vehicle or after 2 years, whichever is later

Housing

Records Series Title	SOS Retention	City Retention Policy	Optical	Statutory Requirement	Description
HOME Program LOW-MOD Program	AP+3 or R+3 whichever is shorter	AP+5 or R+5 whichever is shorter		24 CFR 570.502(b)(3) 24 CFR 85.42	HOME Fund program files (application, notes, etc.) Normal AP is 40-45 yrs. for Low- Mod; Normal AP for HOME is 5- 15 yrs.
Housing Files	CL+3	CL (5 YRS)		24 CFR 570.502(b)(3) 24 CFR 85.42 & OMB Cir. A-110, #C	Agency-assisted (to buy land, build, or rehabilitate) low-income apartment complexes. At Risk Element, bond related, First Time Homebuyer/Mortgage Credit Certificate Implementation Plan
Home Improvement Loan Program Work Files (CDBG funds)	AP+3 or R+3 whichever is shorter	AP+5 or R+5 whichever is shorter		24 CFR 570.502(b)(3) 24 CFR 85.42 & OMB Cir. A-110, # C	Applicant files on CDBG, Includes original application, photos, deed copy, bid estimates
First-Time Home Buyer Program (original files) (HOME or LOW-MOD)	AP+3 or R+3 whichever is shorter	AP+5 or R+5 whichever is shorter		24 CFR 570.502(b)(3) 24 CFR 85.42 & OMB Cir. A-110, # C	Normal AP is 40-45 yrs. for Low- Mod; HOME AP is 5-15 yrs.
Lead Hazard Control Program Files	AC+3	AC+3		24 CFR 570.502(b)(3) 24 CFR 85.42 & OMB Cir. A-110, # C	If any litigation, claim, negotiation, audit, or other action has been started, the grantee must retain records until completion of the action
CDBG Program Files	CL+4	CL+ 7		24 CFR 570.490	Destroyed (7) years after close of project

Human Resources and Risk Management

Records Series Title	SOS Retention	City Retention Policy	Optical	Statutory Requirement	Description
<i>ADMINISTRATION</i>					
General Subject Files	CU+2		☼		Internal working files including correspondence
Department Reports	CU+2		☼		Non-Agenda related, includes supporting documentation
Human Resources Dept. Correspondence	5	AC+5	☼		If not attached to agreement or project file
Human Resources Project Files	CU+2	CU+3	☼		May include reclassification studies, salary surveys
Travel Records	AC+2		☼		
<i>LIABILITY CLAIMS</i>					
Claims Against the City	CL+5			GC 25105.5	Paid/denied (damage claims only)
Loss Runs	CU+2	AU+10	☼		General Liability and Workers' Compensation loss history. Monthly reports
General Liability Claims	CL+5		☼		Personal injury, property damage, paid and denied
General Liability Lawsuits	CL+5		☼	GC 25105.5	Personal injury, property damage
Self-Insurance annual reports		P	☼		State mandated annual reports relating to workers' compensation claims and experience
<i>WORKERS' COMPENSATION</i>					
Workers' Compensation Claim files	CL+5		☼	8 CCR 15400.2	Work-related injuries. Claim file including medical reports, payments and WCAB Awards
Workers' Compensation Claim Log	CL+5		☼	8 CCR 15400.2	Injury claim log including employee name, date of injury, etc.
Workers' Compensation Employee Calendars	CL+5		☼	8 CCR 15400.2	Individual employee calendars for tracking time off work and modified duty assignments due to a work-related injury
Workers' Compensation accident appeals	CL+5		☼	29 CFR 1904.2; 29 CFR 1904.6	Injury investigations to determine preventability
<i>EMPLOYEE RECORDS</i>					
COBRA Notices	T+6		☼	COBRA 1990; 29 U.S.C. 1027	Notices sent by the City and employees' selection

Human Resources and Risk Management Continued...

Records Series Title	SOS Retention	City Retention Policy	Optical	Statutory Requirement	Description
FMLA Records	CL+30		☼	FMLA 1993 US OSHA; 29 CFR*	May include family leave; certifications; tests; *1910.20; 29 CFR 1602.30.32; 49 CFR 193-9
Permanent Employment Records for current and terminated employees: full-time and hourly/part-time - (originals)	T+2	T+5	☼	GC 34090 GC 12946; 29 CFR 516.6(2); 29 CFR 1602.4	Includes employee employment history: Personnel Action Forms; application; evaluations; PERS retiree and health enrollment; dental, life and other benefit enrollment and change forms; classifications; disciplinary actions; terminations
Non-Permanent Employment Records for current and terminated employees: full-time and hourly/part-time (originals)	T+2	T+3	☼	29 CFR 1627.3; Labor Relations Sec 1174; 29 CFR 1602.30.32; GC 6250 et seq.; 29 CFR; GC 12046, 34090*	May include: Release Authorizations; reassignments; outside employment; commendations; Oaths of Office; fingerprints; ID cards, arbitration, complaints, union requests, civil rights, sexual harassment, reclassification studies, departmental transfer files *1607.4; 29 CFR 655-202; 29 CFR 516.6 et seq.; 45 CFR 10686(a)
Disciplinary matters re: sworn employees	T+5		☼	PC 832.5(b); GC 3300; GC 12946	These matters kept separate from regular personnel files. If discipline is upheld, then placed in personnel file
Disciplinary matters re: non-sworn employees	T+2		☼	PC 832.5(b); GC 3300; GC 12946	These matters kept separate from regular personnel files (not necessarily, if discipline was upheld all records are placed in personnel file) If discipline is not upheld then it is not placed in personnel file)
Background Files - Applicants Not Hired	AC+2				Background information on applicants (includes poly/psych results)
Background Files - Terminated Employees	T+2		☼		Background investigation - PD keeps their own background files, HR only keeps reference check materials.

Human Resources and Risk Management Continued...

Records Series Title	SOS Retention	City Retention Policy	Optical	Statutory Requirement	Description
<i>INSURANCE</i>					
Benefit plan claims	P		☼	25105.5	State disability, life, long term disability (paid and denied)
Bonds, Personnel Fidelity	T+2		☼		Employee Fidelity Bonds - City Treasurer, Key Employee, & Full-time Employees
Bonds, Insurance	P		☼	CCP 337.2; 343	Bond and insurance policies insuring City property and other assets
Insurance Reports	CL+7				Accident reports and related records (Risk Management)
Liability Insurance	AC+2	P	☼		Includes policies, applications, etc.
Property Insurance	AC+2	P	☼		Includes policies, applications, property schedules, etc.
Joint Powers Agreements	AC+ 2	P	☼		JPA Agreements
Contracts	AC+2	P	☼		Life, LTD, Liability, Excess Workers' Compensation e.g.
<i>LEGAL LEGISLATIVE</i>					
Case Records, including grievances	CL	CL+10	☼	42 USC 1983	*Closed+10 and after termination of both parties. Includes hearing transcripts; Final Determinations
Legal Opinions (Risk Management or contracted counsel)	S+2		☼		Confidential
<i>PERSONNEL</i>					
EEOC Reports	CU+3		☼	29 CFR 516.5; 1627.3(2)	EEOC 2-year reports based on affirmative action forms
Employee Benefit Plans	S+2		☼	GC 34090	General Employee Information regarding benefit plans, includes open enrollment notices
I-9 Forms - Employment Verification forms	CU+3 or T+1	T+3	☼	8 CFR 274a.2 (b)(2)(i)(A)	INS Regulations
MOU Negotiation	P	Life of Union Relationship	☼		Contracts and Memoranda of Understanding
Recruitment	CL+3			GC 12946; GC 6250 et seq; 29 CFR 1602 et seq; 29 CFR 1607; 49*	Applications, resumes, alternate lists/logs, indices; examination materials; examination answer sheets; job bulletins; eligibility; electronic database, reference checks, affirmative action forms *USC 2000(e)-8; 2000c-12

Human Resources and Risk Management Continued...

Records Series Title	SOS Retention	City Retention Policy	Optical	Statutory Requirement	Description
Recognition Programs	CL+2		☼	GC 12946	Criteria, awardees, sponsors
<i>SAFETY AND LOSS PREVENTION</i>					
Departmental Reports	CL+5		☼	OMS 1220-0029:29 CFR 1904.4; 8 CCR §14300.33	Federal OSHA, CAL OSHA, Loss Analysis Reports, Safety reports, Actuarial reports
Vehicle Accident Review	CL+5			PC 832.5	Investigation of employee-involved vehicle accidents and actions
Material Safety & Data Sheets	AC+2				2 years after MSDS sheets are updated or 2 years after materials are no longer stored
Safety Training Records	CU+2		☼		Class training materials, sign-in sheets, handouts, etc.
Safety Committee	CU+2		☼	29 CFR 1904.2, 29 CFR 1904.6	Member lists, minutes, agenda, information materials, reports
Uninsured Loss claim files	CL+2	CL+5	☼		City property damage and recovery
<p>Minimum retention period. Due to public safety issues surrounding law enforcement personnel, it is anticipated that certain of these records will need to be retained for a longer period, for the purpose of assisting law enforcement staffing and personnel decisions. Such decisions ensure the effective and safe provision of law enforcement, and hence, are important components of safeguarding the health, safety and welfare of the community. To that end, the Chief of Police shall retain discretion to extend the retention period beyond this minimum for any such record(s) in order to meet these goals. Handling and retention of police personnel records shall also be subject to the provisions of the Public Safety Officers Procedural Bill of Rights (Gov. Code, § 3300, et seq.), which shall supersede any inconsistent provisions in this Manual or otherwise.</p>					

Information Technology

Records Series Title	SOS Retention	City Retention Policy	Optical	Statutory Requirement	Description
Data Tapes backups	90 days			GC 34090.7	Tapes of daily backups

Planning

Records Series Title	SOS Retention	City Retention Policy	Optical	Statutory Requirement	Description
<i>BUILDING DIVISION</i>					
California Code of Regulations	S+2	P			California Family of Codes (Title 24)
Certificates of Occupancy	CU+5	L+2	☼		Completion of a commercial building. Certificates run life of a building
Permits	P	P	☼	GC 34090(a); H&S 19850	Permits issued for building, electrical, plumbing, mechanical and engineering
Plan Review Files & Supporting Documents for Commercial Buildings	CL+180 days	P	☼	24 CCR 107.5	Miscellaneous materials preceding final permit
Commercial Plans	P	P	☼	GC 34090(a); H&S 19850; Replaced by State Assembly	Plans issued for building, electrical, plumbing, mechanical and engineering
Plans for Single Family Dwellings, Duplex & Triplex	CL+180 days	CL+1		24 CCR 107.5	Plans issued for building, electrical, plumbing, mechanical and engineering
<i>PLANNING COMMISSION</i>					
Agendas	CU+2	CU+5	☼		Commission, sub-committee agendas
Staff Reports	CU+2		☼		Documentation received, created and/or submitted to Commissions
Notices for Meetings	CU+2	CU+5	☼		
Public Comment & Speaker Cards	CU+ 2				
Commissioner Information		T+5	☼		Appt., resignations, misc. correspondence
Misc. staff reports/memos	CU+2				Reports/info not related to a specific case
<i>MISCELLANEOUS PLANNING</i>					
Temporary Use Permits	AC+2	AC+2			
Admin. Use Permits	P	P	☼	GC 34090(a)	Permit granted by Comm Dev Director
Conditional Use Permits	P	P	☼	GC 34090(a) H&S 19850	
Minor Deviation Variances	P	P	☼	GC 34090(a)	

Planning Continued...

Records Series Title	SOS Retention	City Retention Policy	Optical	Statutory Requirement	Description
Variances	P	P	☼	GC 34090(a)	
Determination of Similarity	P	P	☼	GC 34090(a)	
Development Review	P	P	☼		
Zone Changes	P	P	☼	GC 34090(a) H&S 19850	
Tentative Tract Maps	P	P	☼	GC 34090(a) H&S 19850	
Tentative Parcel Maps	P	P	☼	GC 34090(a) H&S 19850	
Special Event Permits	AC+2	AC+2			
Banner permits	AC+2	T+2			Permits allowing businesses to display a banner for a special event related to the business
Sign permits	AC+2	T+2			Permits allowing the display of business signs on miscellaneous businesses
Film permits	AC+2	T+2			Permits allowing filming on property located within the City
Recreational Vehicle Permits	AC+2	AC+2			
Wireless Communication Facility Permits	AC+2	AC+2			
General Plan & Elements, including Amendments		P	☼		Includes Sphere of Influence
Code Amendments		P	☼	GC 34090(e)	
MISCELLANEOUS FILES					
Fax files copies	CU+2				Items that have been faxed from Dept.
Chronological Files I Correspondence	CU+2				Non-case related correspondence

Police Department

Records Series Title	SOS Retention	City Retention Policy	Optical	Statutory Requirement	Description
ADMINISTRATIVE					
ABC Licenses	AC+2	AC+2			Alcohol Beverage Control
Alarm Activation Incidents	CU+2		☼		Retained in the alarm data base indefinitely. Hard copy destroyed after 1 year
Alarm Permits	P		☼		Retained in the alarm data base indefinitely. Hard copy destroyed after 1 year
Background Investigation - Hired	T+2			GC 12946	
Background Investigation - Non-Hired	CL+2			GC 12496	
Grants/Audits/Successful Applications/Program Rules and Regulations	CU+3	AU+3		2 CFR 200.333	CFR Requirements for Individual Grants to Local Governments are 3-5 years depending on Grant
Internal Affairs Investigations - Annual Reports to the State	CU+5			GC 34090	
Internal Affairs Investigation - Citizen's Complaints	CL+5			EVC 1045 PC 832.5	State requires minimum 5 years
Internal Affairs Investigations - Internal Complaints	CL+5			PC 801.5	State and federal laws require retention until final disposition of formal complaint; state requires 2 years after action is taken
Internal Affairs Investigations -Officer Involved Death Investigations	CL+25				
Range Records of Training and Shoots	5	CU+5			Sign in Sheets, Hold Harmless, Firearms Training Records
Range Inventory	S+2				Inventory of Range Firearms
Reports and studies of police operations	CL+2				
Timesheets and Time Request Slips	AU+6				See Finance Retention Schedule
Training Files	T+5				
Training Attendance Rosters, Outline Material and agreements	CU+2				
Volunteer Files	T+2				Volunteer Files/Background
COMMUNICATIONS					
Vehicle and Radio Equipment Logs, Manuals and Records	T+2				Minimum 2 years. Retained until termination of equipment use; manuals, instructions, procedures

Police Department Continued...

Records Series Title	SOS Retention	City Retention Policy	Optical	Statutory Requirement	Description
<i>DISPATCH</i>					
Audio Recordings, tapes, telephone and radio communications	CU+100 DAYS			GC 34090.6(a)	With exception of recordings used as evidence/litigation or potential claims shall be preserved for 100 days after conclusion of court action
<i>INVESTIGATION</i>					
Asset Forfeiture - Proceeding and Documentation	CL+2				
Detective Investigative Files - Homicides	P			PC 799	
Intelligence Files	Inactive +2	Inactive +5			
Sex Registrant Files	P			PC 290	Permanent or Registrant Deceased
<i>JAIL</i>					
Daily Synopsis	CU+2				Shift Inspections by Supervisor
Daily Transportation Logs	CU+2				Daily transportation
Inspection Files	CL+2				Inspection by various Agencies
Surveys - statistics of arrests, escapes and unusual occurrences	CU+2				Prepared monthly, quarterly and annually and forwarded to California Standards Authority
Video Recordings: Jail Monitoring	CU+1			GC 34090.6(c)	Recordings used as evidence, litigation or potential claims shall be preserved for 100 days after conclusion of court action
<i>PATROL</i>					
Daily Roster and Assignments	CU+2				Stored in Records
Recordings: Mobile Video System (MVS) in Vehicle	CU+1			GC 34090.6(c)	Not including Video determined to be evidence
Video Recordings: Front Desk, Public Areas and Parking Lot monitoring	CU+1			GC 34090.6(c)	With exception of recordings used as evidence/litigation or potential claims shall be preserved for 100 days after conclusion of court action
Body Worn Camera Audio and Video (Evidentiary)	CL+2			PC 832.18(b)	Incidents involving use of force, officer-involved shooting, incidents that lead to detention or arrest, relevant to a formal or informal complaint against a law enforcement officer or law enforcement agency, or relevant to a criminal prosecution

Police Department Continued...

Records Series Title	SOS Retention	City Retention Policy	Optical	Statutory Requirement	Description
<i>PROPERTY & EVIDENCE</i>					
Evidence Disposition forms and Court Disposition forms Property and Evidence sheets		CL	☼		Attached to hard copy of property report and scanned with electronic file in records when no longer needed or case closed
Video Recordings: Property and Evidence Video Monitoring	CU+1			GC 34090.6(c)	Routine Video Monitoring
<i>RECORDS</i>					
Annual Policy Review Forms		CU+5			
Audio Recordings, tapes, telephone and radio communications	CU+100 days			GC 34090.6(a)	With exception of recordings used as evidence/litigation or potential claims shall be preserved for 100 days after conclusion of court action
Stolen Vehicle Reports (CHP 180)	CU+10		☼		DOJ Requires 10-year retention in Database
Citations Hardcopies	CU+2				Including moving and parking violations
Court Tracking System	CU+2				Subpoena database containing subpoena number, officer name, case number, defendant information and status
Criminal History Files	CU+2				Maintained for Audits
Daily Patrol Rosters	CU+2				
District Attorney Prosecution and Discovery Request	CU+2		☼		
Field Investigation Cards	CL+2				
Fingerprint Applicants Files	CU+2				Paperwork authorizing fingerprinting and background checks for
Impounded Vehicle Logs	CU+2				
Incident Reports: Arrest, Sealed Reports	Court Order/ Date of Arrest+3		☼	PC 851.8	Upon petition and court order records must be destroyed after 3 years from date of arrest
Incident Reports: Arrest, Sealed Reports/Juveniles	Order/ Sealing Date+5		☼	WIC 826(a)&(b)	Upon petition and Court Order records must be destroyed after 5 years from Sealing Date
Incident Reports: Felonies (Capital Crimes)	P		☼	PC 799	All Capital Crime Reports retained permanently

Police Department Continued...

Records Series Title	SOS Retention	City Retention Policy	Optical	Statutory Requirement	Description
Incident Reports: Felony/Aggravated Sex Crimes	P		☼	PC 290, 800	
Incident Reports: Firearms Lost or Stolen/not recovered	P		☼	DOJ	DOJ requires retention permanent if not recovered
Incident Reports: Missing Persons/found	CU+2		☼		
Incident Reports: Missing Persons/not found	P		☼	DOJ	DOJ requires retention permanent if not found
Incident Reports: Non-Criminal	CU+2		☼		Does not involve identifiable property
Non-evidentiary data	CU+60 days			PC 832.18(b)	Including video and audio recorded by body-worn camera
Notice of mental health detainee release or notice of non-detainment	CU+2			W&I 5152.1	
Officer Subpoenas	CU+2		☼		
Permits and Expired Business Licenses - Vendors (taxi, massage therapist, swap meet, etc.)	T+2				Receipt required by Section 21663 of the Business and Professions Code
Press Releases	CU+2				
Registrants: Arson (Adults and Juvenile)	P			PC 457.1	Unless Court Order to Seal Juvenile Record
Registrants: Narcotic	P			H&S 11590, 11594(a)	Unless no longer required to register+5 years
Repossession Reports/Private Property Towed and Stored	C +30 DAYS				
Restraining Orders	CU	T+30 days			
Statistical Reports submitted to DOJ: Uniform Crime Reports (UCR), Homicide Report, etc.	CU+2				Reports are submitted monthly to Department of Justice (DOJ)
Traffic Collision Reports	CU+2		☼		
Traffic Collision Reports/Fatal	CU+2		☼		

Police Department Continued...

Records Series Title	SOS Retention	City Retention Policy	Optical	Statutory Requirement	Description
<i>TRAFFIC</i>					
Parking and Impound Hearings	CU+2		☼		
Radar Calibration Records	T+2				Retained until calibration certificate expires

Public Utilities

Records Series Title	SOS Retention	City Retention Policy	Optical	Statutory Requirement	Description
ADMINISTRATIVE					
Applications	CU+2				
Reports & Studies, Special City	CU+2				
Correspondence, memos, letters	CU+2				
Equipment Manuals	AC+2				Keep as long as manual is current and pertinent to equipment
Grants	L+2				Maintain for life of the grant plus 2 years
Legal Issues/Claims/Lawsuits	CL+2				Dept. may destroy 2 years after close of litigation or claim
Logs	CU+2				
Photographs, Department/City Related	CU+2				
Work Orders/Service Orders	CU+2				
FINANCIAL					
Billing Documents & Receipts	CU+2				
Capital Project Records	L	P	☼	GC 34090(a)	Retain for life of structure
Invoices, Demands, Requisitions, Purchase Orders (copies)	CU+2				
Reports, Financial	CU+2				
Requests (CC&Rs)	CU+2				
COMMUNICATIONS					
Contract Administration	AC+2	T+3			Until contract termination; 3 years after termination
Reference Information, Other Agency	CU+2	S	☼		Destroy after 2 years or when superseded, whichever is longer
Regulations & Policies	CU+2	S+2	☼		Destroy after 2 years after being superseded
Special City Reports & Studies		P	☼		Permanent for research and historical value
Cal OSHA	AC+5			8 CCR 14300.33	Citations - Permits to operate liquefied petroleum gas tanks and air pressure tank
DMV Pull Program Department of Motor Vehicles	CL+7			GC 12946, CA 91009; 8 USC 1324(a)	Employee's driver license Information
Health & Welfare	CU+12		☼	40 CFR 141.91	Annual water quality reports
Lead and Copper Testing	CU +12		☼	40 CFR 141.91	Water testing chemical analysis

Public Utilities Continued...

Records Series Title	SOS Retention	City Retention Policy	Optical	Statutory Requirement	Description
<i>MISCELLANEOUS</i>					
AQMD-Air Quality Mgmt. Dist.	AC+7			CCP 338(k)	Permits, emissions reports, annual fees, regulations, and updates
Storm Water Permits	P		☼	40 CFR 122.28	Annual storm water reports and lab results
Vehicle Reports	S		☼		Smog and yearly inspections
<i>SOLID WASTE MANAGEMENT</i>					
City Master Plans		P	☼		Permanent for research and historical value
Program Reference Information	T+2				
Recycling Program Documents	S+2				
Receipts & Contractor Logs; Daily Reports and Logs	CU+2				
Reference Information, Other Agency	CU+2				Destroy after 2 years or after no longer relevant, whichever is later
<i>UNDERGROUND UTILITIES</i>					
Conversion District Records		P	☼		
Deferments & Waivers		P	☼		
General Correspondence	CU+2	CU+3			
Reference Information, General	CU+2	CU+3			
Regulations & Policies, City	2	P	☼		Permanent for research and historical value

Public Works

Records Series Title	SOS Retention	City Retention Policy	Optical	Statutory Requirement	Description
ADMINISTRATIVE					
CIP Plans		P	☼		Drawings of construction including CIP (i.e., streets, sidewalk, curbs, gutters, storm drains, etc.)
CIP Projects List		P	☼		Approved CIP projects for each fiscal year
CIP Project Files		CL+10	☼		Includes: original contract, specs, bid documents; correspondence between contractor and City, change orders, progress payments, performance bonds, staff reports, notice of completion, proof of publication
Certificates of Compliance	L			GC 34090(a)	Certificate of Compliance which affect real property
Complaint Log Book	CL+2		☼		Complaint Form (two-part NCR forms) maintained in the Complaint Log Book
Chron Disks Files	CU+2				Computer backup disk by calendar year
Congestion Management System	CU+2			GC 34090(d)	Updated yearly
Construction Tracking Daily	CU+2			CCR 337.15	Daily tracking of field construction
County of Solano Auditor- Controller		P	☼		Pertaining to tax assessments
County of Solano Resource Management Dept. - Industrial Waste-water Discharge Regulations/Permits	CU+2				Authorization to discharge into the sewer
Curb Address Painting	CU+2	CU+5			For reference
Fee & Charge (revenue)	CU+2				Engineering fees/schedules including, development impact fees
General Subjects	CU+5	CL+5			Internal working files including correspondence, not part of a Capital Improvement Program project file
Grant of Easement - Miscellaneous	P		☼		Approval of various grants of easements
Grants - Federal/State <ul style="list-style-type: none"> • Approved • Denied 	CL+3 CL+3	CL+10 CL+7		OMB Circular A-110	Supporting documents - applications, reports, contracts Federal: FEMA, DOT, TEA 21, CDBG, FAU; State: Prop A, Prop C, Gas Tax

Public Works Continued...

Records Series Title	SOS Retention	City Retention Policy	Optical	Statutory Requirement	Description
Maintenance Work Orders	CU+2				Copies of work order requests
Plan Reviews - Maps, Plans, Drawings, Exhibits, Photos	L		☼	GC 34090(a), 34090.7 H&S 19850	Maintain for life of building/structure; Zoning, tentative subdivision, parcel, land use map, aerial photos, specific plan; Sewer/Water Development
Pavement Management System Certification		CU+5			Annual certification with MTA for funding
Routes, school bus & trucks	S+2				Truck Routes, access ramps
Sewer Connections		P	☼		Work file, staff reports - not including permits
Solano Resource Management Dept. - General	CU+2				General correspondence between City and County of Solano
Solano Resource Management Dept., Division of Public Works - General	CU+2				General correspondence between City and County of Solano
Soil Reports	P		☼		Final report
Slope Failures		CU+10			Various citywide slope failures
Standard specs for Public Works Construction Book	S+2				
Street Vacations, Easements, Dedications	P		☼	GC 34090(a)	Relinquishment of right-of-way
Surveys	P		☼	GC 34090(a)	Recording data & maps; corner records; locate property corners/monuments; centerline ties
Trash Services - General	CU+2			GC 34090	Ongoing file including memos, staff reports, etc.
US Dept. of Housing & Urban Development (HUD)		CU+5			Semi-annual Labor Standards Enforcement Report
Vehicle Code Book	S+2				Traffic regulations
<i>MAINTENANCE DIVISION</i>					
Agreements/Contracts 1. Executed 2. Unsuccessful bidders	T+5 CU+2			CCP 337.2343 GC 53066	
Equipment Specifications		CU+7			Specifications for bidding on equipment & vehicles
Lead and Copper Testing	CU+12		☼	40 CFR 141.91	Water testing chemical analysis

Public Works Continued...

Records Series Title	SOS Retention	City Retention Policy	Optical	Statutory Requirement	Description
State Water Resources Control Board Underground Storage Tank Cleanup Fund		P			Correspondence, forms for reimbursement for removal of underground storage tanks
Project Cost Sheets		CU+5			Cost of repairs for damaged City property.
Safety Training	CU+7				Employee safety training materials, sign in sheets, etc.
Work Management Requests	CU+2				Service requests from residents & City employees
Work Orders	CU+2				Daily Maintenance work orders - details complete work day for each employee
<i>UNDERGROUND STORAGE TANKS/HAZMAT</i>					
Clarifier	CU+5	CU+5			Cleaning records, inspection reports
Hazardous Materials Permits/Storage	CU+2	P			Fees/waste surcharge fees
Hazardous Materials Report - Edgewood Pool	CU+2	P			Hazardous material - State reporting forms
HAZMAT (Hazardous Materials)		CU+7			Manifests - miscellaneous hazardous materials
Underground Storage Tanks	P			GC 34090(a)	Plans/specifications & annual test certification

Recreation

Records Series Title	SOS Retention	City Retention Policy	Optical	Statutory Requirement	Description
Class Registration	CU+2				List of classes & participants
Contract Instructors	AC+1	T+2			Contract Instructors' class information
Facility Use Agreements	T+5				Agreements for rental of facilities
Facilities Use-Rooms Reservations Applications	CU+2				Applications for reserving meeting rooms, diagrams, schedules, insurance binders, contracts.
Stored Electronic Class Registration Software	CU+2				List of classes, reservations, participants, instructors
<i>SPECIAL EVENTS</i>					
Contracts	AC+2				Misc. contracts (instructors)
Individual Event Information	CL+2				Vendor Info, Detailed Event Info.
Volunteer Records	T+2				Volunteer Records

Redevelopment & Successor Agency

Records Series Title	SOS Retention	City Retention Policy	Optical	Statutory Requirement	Description
<i>AGENCY BOARD CITY COUNCIL</i>					
Agendas, Agency Board/SA (copies)	CU+2	CU+5			Copies of documents created & submitted to the RDA/SA: includes staff reports & minutes
Minutes, Agency Board/SA (copies)	CU+2	CU+5			Originals maintained by City Clerk
Resolutions (copies)	CU+2	CU+5			Originals maintained by City Clerk
Resolution Titles	CU+2	CU+30			Reference file - listing of resolution number & title
<i>BONDS</i>					
Bond Binders - Development Related	CL+10	P	☼	GC 34090(a); CCP 337.5	Documents authorizing the sale of bonds (RDA/SA financial obligation) to effectuate the Redevelopment Plan. Final bond documentation
Bond Binders - Housing Related	P		☼		Documents authorizing the sale of bonds. Final bond documentation
<i>ECONOMIC DEVELOPMENT</i>					
Economic Development	CU+2	S+2			marketing firm information
Promotional Materials	S+2	S+2			Brochures (including Economic Profile), CDC/RDA project flyers (including RFQ/RFP), City Hall Directory, project area maps, etc.
Property Flyers	CU+2				Description of various properties (development opportunities, and properties for sale or lease)
<i>FISCAL</i>					
Audits	AC+2	AC+5			RDA audit part of citywide audit contract
Federal Grants & Awards	T+4	CL+5		OMB Circular A-110; 24 CFR 570.502	Financial records, supporting documents, statistical records, and all other pertinent records.
Recognized Obligation Payment Schedule (ROPS)	CU+2				Prepared by successor agency – approved by DOF
State Grants, Successful	CL+5	CL+2			Grants, such as: Community, Urban Development, Recreation, and Environmental Development
Notes Receivable	CL+2	CL+5			Copies of different agreements (i.e., promissory notes, small business assistance agreements) Finance is primary record keeper

Redevelopment & Successor Agency Continued...

Records Series Title	SOS Retention	City Retention Policy	Optical	Statutory Requirement	Description
LEGAL					
Agreements & Contracts (excludes Capital Improvement)	T+5			CCP 337.2, 343, B&P 7042.5; PU 7685; 48 CFR 2 GC 53066	Includes leases, equipment, services and supplies
Legal Opinions	S+2	P	☼		Confidential, attorney-client privilege
PROGRAM FILES					
First Time Home Buyer Program files	P		☼	GC 34090(a)	Loan recipient files, containing pertinent loan documents, promissory note, work sheets
PROJECT AREAS					
Long Range Property Management Plan	P		☼		Contains documents listing the agency/SA goals & objectives for project areas, specific proposed programs and expenditures, explanation of how goals and objectives will eliminate blight and implement the housing requirements of the community redevelopment law and notes etc.
PROJECTS					
Appraisals	CL+2				Appraisal reports prepared for on specific properties. Exempt until final acquisition or contract agreement obtained
Disposition & Development Agreement (DOA), approved	P		☼	GC 34090(a)	Notes, etc., leading up to execution of a DOA. Contains original legal documents
DOA, unapproved	CL+2	CL & 5			Since award date to competitor
Owner Participation Agreements (OPA), approved	P	P	☼	GC 34090(a)	Working file leading up to the execution of an OPA
OPA, unapproved	CL+2	CL+5			
Parcel Information	CU+2				Meeting notes inquiries on property/land
Photographs & slides (project related)	S+2	P	☼		Historical value includes aerials;
Project Binders		P	☼		Binder for each completed Agency project, contains all official & original legal documents
Project/Study	AC+2	AC+10	☼		Files on possible RDA projects
Working Files	AC+2	AC+5			Internal working files on possible future projects, includes correspondence

Traffic

Records Series Title	SOS Retention	City Retention Policy	Optical	Statutory Requirement	Description
Traffic Counts	CL+2	P	☼		Evaluation of traffic volume
Traffic Signals	L+2		☼		Drawing, wiring diagrams, codes, circuit numbers
Traffic, Miscellaneous	CU+2	CU+10	☼		Misc. documents re: traffic situations and requests for TS's

Water/Wastewater Operations

Records Series Title	SOS Retention	City Retention Policy	Optical	Statutory Requirement	Description
<i>ADMINISTRATIVE</i>					
Applications	CU+2				
Reports & Studies, Special City	CU+2				Example: WW 2010 Headworks Project
CIP Projects List		P	☼		Approved CIP projects for each fiscal year; Why Permanent??
CIP Project Files		CL+10	☼		Includes: original contract, specs, bid documents; correspondence between contractor/City, change orders, progress payments, performance bonds, staff reports, notice of completion, proof of publication
Correspondence	CU+2				Includes memos & letters
Equipment Manuals	S	AC+2			Keep as long as manual is current and pertinent to equipment
Grants	AC+2				Maintain for life of the grant plus 2 years; grant may have until audited
Logs	CU+2		☼		
Photographs (Department/City Related)	CU+2	CU+5			
Work Orders/Service Orders	CU+2	CU+5			
<i>FINANCIAL</i>					
Capital Project Records		P	☼	GC 34090(a)	Retain for life of structure
Invoices, Demands, Requisitions, Purchase Orders (Copies)	CU+2				Keep at the CU + 2
Reports, Financial	CU+2				
<i>COMMUNICATIONS</i>					
Contract Administration	AC+2	T+3			Until contract termination; 3 years after termination
Reference Information, Other Agency	CU+2	S	☼		Destroy after 2 years or when superseded, whichever is longer
Regulations & Policies	CU+2	S+2	☼		Destroy after 2 years after being superseded
<i>WATER MANAGEMENT</i>					
Bacteriological Reports	CU+2	CU+5			Basis for 3 additional years
Complaints & Investigations	CL+2	CL+3			3 years after settled/closed
City Master Plans	P	P	☼		Permanent for research and historical value
Daily Logs & Reports	CU+2	CU+3			
Equipment Records	CU+2	CU+3			

Water/Wastewater Operations Continued...

Records Series Title	SOS Retention	City Retention Policy	Optical	Statutory Requirement	Description
Fire Hydrant Flow Tests	CU+2	CU+3			
Other Agency Master Plans		S			May destroy after 2 years or after superseded, whichever is later
Other Agency Reference Information	CU+2				Destroy if when no longer relevant if older than 2 years old
Other Agency Rates, Water		S	☼		
Other Contaminant Reports		CU+40	☼		* May be transferred to Federal Environmental Pro Agency after 10 years
Production Records, Plans & Blue Prints		P	☼		
RWQCB Permits		P	☼		Permanent for research and historical value
Sanitary Surveys	CU+10			40 CFR 141.91	
Service Requests, Service/Work Orders	CU+2	CU+3			
Service Records	CU+2	CU+3			
Special City Reports & Studies		P	☼		Permanent for research and historical value
State Approvals of System	CU+2	CU+10		GC 34090	Does the GC require the 10 years
Water Line Construction	P	P	☼		
WASTEWATER MANAGEMENT					
Complaints & Investigation	CL+2	CL+3			3 years after settlement or close
Correspondence & Memoranda	CU+2	CU+10	☼		No only CU + 2
Daily Logs & Reports	CU+2	CU+10	☼		
Maintenance Records	CU+2	CU+5	☼		Retain for minimum of 5 years;
Master Plans		P	☼		Permanent for research and historical value
Other Agency Reference Information	CU+2				Destroy when no longer relevant if older than 2 yrs.
Special City Reports & Studies		P	☼		Permanent for Research and historical value
Sewer Audits	CU+2	CU+3			Minimum of 3 years
Sewer Availability Reports	CU+2	S			Minimum of 2 years
Sewer Connection Rights	P	P	☼	GC 34090(a)	
Sewer Monitoring Records	CU+2	CU+3			Minimum of 3 years;
Sewer Service Variances & Exemptions	L+2	L+3			3 years after life/expiration of variance or exemption

KEY REFERENCES¹

Government Code Excerpts

Gov. Code, § 34090. Destruction of city records; excepted records; construction

Unless otherwise provided by law, with the approval of the legislative body by resolution and the written consent of the city attorney the head of a city department may destroy any city record, document, instrument, book or paper, under his charge, without making a copy thereof, after the same is no longer required.

This section does not authorize the destruction of:

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

This section shall not be construed as limiting or qualifying in any manner the authority provided in Section 34090.5 for the destruction of records, documents, instruments, books and papers in accordance with the procedure therein prescribed.

Gov. Code, § 34090.5. Destruction of city records; conditions

Notwithstanding the provisions of Section 34090, the city officer having custody of public records, documents, instruments, books, and papers, may, without the approval of the legislative body or the written consent of the city attorney, cause to be destroyed any or all of the records, documents, instruments, books, and papers, if all of the following conditions are complied with:

(a) The record, paper, or document is photographed, microphotographed, reproduced by electronically recorded video images on magnetic surfaces, recorded in the electronic data processing system, recorded on optical disk, reproduced on film or any other medium that is a trusted system and that does not permit additions, deletions, or changes to the original document, or reproduced on film, optical disk, or any other medium in compliance with Section 12168.7 for recording of permanent records or nonpermanent records.

(b) The device used to reproduce the record, paper, or document on film, optical disk, or any other medium is one which accurately and legibly reproduces the original thereof in all details and that does not permit additions, deletions, or changes to the original document images.

¹ As of January 18, 2019.

(c) The photographs, microphotographs, or other reproductions on film, optical disk, or any other medium are made as accessible for public reference as the original records were.

(d) A true copy of archival quality of the film, optical disk, or any other medium reproductions shall be kept in a safe and separate place for security purposes.

However, no page of any record, paper, or document shall be destroyed if any page cannot be reproduced on film with full legibility. Every unreproducible page shall be permanently preserved in a manner that will afford easy reference.

For the purposes of this section, every reproduction shall be deemed to be an original record and a transcript, exemplification, or certified copy of any reproduction shall be deemed to be a transcript, exemplification, or certified copy, as the case may be, of the original.

Gov. Code, § 34090.6. Destruction of recorded routine video monitoring, telephone, and radio communications

(a) Notwithstanding the provisions of Section 34090, the head of a department of a city or city and county, after one year, may destroy recordings of routine video monitoring, and after 100 days may destroy recordings of telephone and radio communications maintained by the department. This destruction shall be approved by the legislative body and the written consent of the agency attorney shall be obtained. In the event that the recordings are evidence in any claim filed or any pending litigation, they shall be preserved until pending litigation is resolved.

(b) For purposes of this section, “recordings of telephone and radio communications” means the routine daily recording of telephone communications to and from a city, city and county, or department, and all radio communications relating to the operations of the departments.

(c) For purposes of this section, “routine video monitoring” means video recording by a video or electronic imaging system designed to record the regular and ongoing operations of the departments described in subdivision (a), including mobile in-car video systems, jail observation and monitoring systems, and building security recording systems.

(d) For purposes of this section, “department” includes a public safety communications center operated by the city or city and county.

Gov. Code, § 34090.7. Duplicate records less than two years old; destruction; video recording media

Notwithstanding the provisions of Section 34090, the legislative body of a city may prescribe a procedure whereby duplicates of city records less than two years old may be destroyed if they are no longer required.

For purposes of this section, video recording media, such as videotapes and films, and including recordings of "routine video monitoring" pursuant to Section 34090.6, shall be considered duplicate records if the city keeps another record, such as written minutes or an audiotape recording of the event that is recorded in the video medium. However, a video recording medium shall not

be destroyed or erased pursuant to this section for a period of at least 90 days after occurrence of the event recorded thereon.

Gov. Code, § 6252(e).

(e) “Public records” includes any writing containing information relating to the conduct of the public's business prepared, owned, used, or retained by any state or local agency regardless of physical form or characteristics. “Public records” in the custody of, or maintained by, the Governor's office means any writing prepared on or after January 6, 1975.

Gov. Code, § 6252(g).

(g) “Writing” means any handwriting, typewriting, printing, photostating, photographing, photocopying, transmitting by electronic mail or facsimile, and every other means of recording upon any tangible thing any form of communication or representation, including letters, words, pictures, sounds, or symbols, or combinations thereof, and any record thereby created, regardless of the manner in which the record has been stored.

Gov. Code, § 12168.7. Standards for recording permanent and nonpermanent documents in electronic media; trusted system

(a) The California Legislature hereby recognizes the need to adopt uniform statewide standards for the purpose of storing and recording permanent and nonpermanent documents in electronic media.

(b) In order to ensure that uniform statewide standards remain current and relevant, the Secretary of State shall approve and adopt appropriate standards established by the American National Standards Institute or the Association for Information and Image Management.

(c) The standards specified in subdivision (b) shall include a requirement that a trusted system be utilized. For this purpose and for purposes of Sections 25105, 26205, 26205.1, 26205.5, 26907, 27001, 27322.2, 34090.5, and 60203, Section 102235 of the Health and Safety Code, and Section 10851 of the Welfare and Institutions Code, “trusted system” means a combination of techniques, policies, and procedures for which there is no plausible scenario in which a document retrieved from or reproduced by the system could differ substantially from the document that is originally stored.

(d) In order to develop statewide standards as expeditiously as possible, and until the time that statewide standards are adopted pursuant to subdivision (b), state officials shall ensure that microfilming, electronic data imaging, and photographic reproduction are done in compliance with the minimum standards or guidelines, or both, as recommended by the American National Standards Institute or the Association for Information and Image Management for recording of permanent records or nonpermanent records.

California Attorney General

The Attorney General's definition of a record is "[a]ny writing or recording of an event or information which was made or retained for the purpose of preserving its information content for future reference." (64 Cal.Ops.Atty.Gen. 317,326 (1981)).

KEY TERMS

To more accurately calculate retention periods for the documents listed in this manual, several of these definitions were developed by the Secretary of State's Office and extracted from the Local Government Records Management Guidelines.

Active Records

In reference to retention periods for a Perpetual Record that remains "active" until some event occurs to change its status, at which time it has fulfilled its function. (See also Perpetual Record)

Administrative Records

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

Archival Historical Records

Records with enduring value because they reflect significant historical events, document the history and development of an agency, or contain accumulated data that can be useful for research purposes.

Audit

As used in the City's retention schedules, audit refers to the annual auditing process conducted by the City's auditors following the close of the fiscal year, usually arranged through the Administrative Services Department.

Discovery

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

Fiscal Records

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

Inactive Record

Any public record that is transferred to storage until it has met its specific retention requirement and may be destroyed. "Inactive record" does not include any public record which is permanent or historic in nature and which must be protected and preserved from destruction.

Inventory

The process of examining records on hand to determine their function, content, and dates in order to assign retention/disposition information.

Legal Value

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

Non-Record

Materials not usually included within the definition of records, such as unofficial copies of documents kept only for convenience, working papers, appointment logs, stocks of publications and processed documents, transmittal letters, and acknowledgements. Also, documents such as rough notes, calculations or drafts assembled or created and used in the preparation or analysis of other documents. (See also Discovery)

Original Records

The original or originally signed record. The original record may be a copy that acts as the original for the City if there is no other original on file.

Permanent Records

Records that are required in perpetuity, usually identified by statute (such as Gov. Code, § 34090) or other written guidance. Examples include Council/Commission minutes, documents effecting real property (such as easement, grant deeds, assessment districts), general ledger, etc.

Perpetual Records

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

Program Records

These are records that relate to the primary function of the agency in response to its daily mission. They represent the reason the office exists, and their retention is usually specified in some statute or regulation that established the program.

Records Series

A record series is a group of similar records arranged under a single filing system or kept together as a unit. They deal with a particular subject (budgets, personnel, etc.), result from the same activity (assessment districts, code enforcement complaints, etc.), or have a special form (blueprints, maps, etc.). The title of each record series should be as accurate as possible, since future references to the records will be made via the record series name. This is the first left- hand column on the retention schedule pages.

Public Records

Any information relating to the conduct of the public's business prepared, owned, used, or retained by any state or local agency regardless of physical form or characteristic.

Records Coordinator

Each department has a records coordinator who is responsible for ensuring his/her department's records are labeled, filed, boxed, identified, tracked, and logged. The Records Coordinator works with the City Clerk's Office personnel in having those records transferred, maintained, and destroyed in compliance with the retention schedules and the procedures found in this manual. The Records Coordinator is the first person the City Clerk contacts in connection with records management and the first person his/her department personnel will contact concerning records for transferring for storage or destruction.

Retention Period

The length of time a record must be retained to fulfill its administrative, fiscal and/or legal function. The period of time usually begins at the close of a file or project, or from the date of the last entry in the file. There are other files that are created on a calendar or fiscal year basis, and in those cases the retention period begins at the end of that particular calendar or fiscal year. After the holding time (retention period) specified in the retention schedule has passed, the record should then be disposed of as soon as practicable, following the proper destruction procedures.

APPENDIX A

SECRETARY OF STATE LOCAL GOVERNMENT RECORDS MANAGEMENT GUIDELINES

FEBRUARY 2006

APPENDIX B

SAMPLE MEMORANDUMS

MEMORANDUM

DATE: XX/XX/XX

TO: Department Head
City Attorney
City Clerk

FROM: Department Head, City Attorney, or City Clerk

SUBJECT: REQUEST FOR RECORDS DESTRUCTION

On _____, 20___, the City Council adopted Resolution No. _____ establishing the City of Dixon’s Records Retention Policy. In accordance with that policy and schedule, certain records have been identified as eligible for destruction. A listing of those records and relevant sections from the records retention schedule are attached.

Provide general information about the request: *(Example: 15 boxes of records exceeding the retention requirements and, as such, are being prepared for destruction. The method of destruction will be via recycling.)*

Please sign below indicating your approval for the destruction of the attached listing of records.

Department Head

City Attorney

CERTIFICATE OF DESTRUCTION

I, (employee name), do hereby certify that the records listed on the attached were properly disposed of on (date).

Original: City Clerk’s Office
Copy: Department

Attachments:

1. List of records to be destroyed
2. Relevant sections of the records retention schedule

**RECORD FOR DESTRUCTION
TO BE DESTROYED MARCH 2017**

DEPT/DIV	CREATION YEAR	DESTROY YEAR	DESCRIPTION
Accounting	2000	2005	Receipt Journals, Budget Amendments
Accounting	2001	2006	Receipt Journals, Budget Amendments
Accounting	2002	2007	Receipt Journals, Budget Amendments
Accounting	2003	2008	Receipt Journals, Budget Amendments
Accounting	2004	2009	Receipt Journals, Budget Amendments
Accounting	2000	2010	Receipt Journals, Budget Amendments
Admin	2000	2010	Department Policies
Admin	2000	2010	City Manager Reports
Admin	2000	2010	Staff Meeting Notes
Admin	2000	2010	In House Committees
AP	2003	2006	General Correspondence
AP	2004	2007	General Correspondence
AP	2005	2008	General Correspondence
AP	2006	2009	General Correspondence

MEMORANDUM

DATE XX/XX/XX

TO: Department Head
 City Clerk
 City Attorney

FROM: Department Head, City Clerk, or City Attorney

SUBJECT: CONVERSION OF HARD COPY TO ELECTRONIC RECORDS

In accordance with the City of Dixon’s Records Retention Policy, certain records have been identified as being eligible for conversion from hard copy to electronic copy and will be maintained with a trusted system as described in the Secretary of State Guidelines for Trustworthy Electronic Document or Records Preservation Standards.

Record Titles to be eligible for electronic retention:

Example:

Payroll

- Payroll Charges
- Payroll Reports
- Time Sheets

Please sign below indicating that the record titles are appropriate for electronic retention and the retention system meets the requirements of the records retention policy.

Department Head

City Attorney

City Clerk

Original: City Clerk’s Office
Copy: Department

MEMORANDUM

DATE XX/XX/XX

TO: City Manager
 City Attorney

FROM: City Clerk

SUBJECT: ADDITION TO RETENTION SCHEDULE

In accordance with federal, state, and local regulations the following records titles should be incorporated into the City of Dixon’s Records Retention Policy.

Record Series	Record Title	Retention Period	Dept. Responsible	Code Section / Remarks
100	Action Update	2	Administration	GC34090

Please sign below indicating your approval for the addition of the above listed records titles.

Department Head

City Attorney

City Clerk

Original: City Clerk’s Office
Copy: Department