

RESOLUTION NO. 12-7965

**A RESOLUTION OF THE CITY OF SANTA CLARA,
CALIFORNIA, SUPERSEDING RESOLUTION NO. 08-7576
AND ADOPTING REVISED RECORDS RETENTION
SCHEDULES FOR CITY RECORDS**

BE IT RESOLVED BY THE CITY OF SANTA CLARA AS FOLLOWS:

WHEREAS, state and federal law require cities to maintain and preserve certain documents for various periods of time; and

WHEREAS, the City of Santa Clara currently has a Records Retention Schedule that identifies various types of documents and the period of time that they must be maintained by the City (“Records Retention Schedule”); and

WHEREAS, the City last updated its Records Retention Schedule in 2008 by Resolution No. 08-7576; and

WHEREAS, the City has now updated its Records Retention Schedule for each City department and for documents that apply City-wide to reflect and comply with changes in records retention laws; and

WHEREAS, the City now desires to approve and adopt these updated Records Retention Schedules for the orderly and lawful maintenance of its record-keeping system.

**NOW THEREFORE, BE IT FURTHER RESOLVED BY THE CITY OF SANTA CLARA
AS FOLLOWS:**

1. That the updated Records Retention Schedules for all City departments and for documents that apply City-wide, attached hereto and incorporated herein as Exhibit A, be approved and adopted, effective immediately.

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2. Constitutionality, severability. If any section, subsection, sentence, clause, phrase, or word of this resolution is for any reason held by a court of competent jurisdiction to be unconstitutional or invalid for any reason, such decision shall not affect the validity of the remaining portions of the resolution. The City of Santa Clara, California, hereby declares that it would have passed this resolution and each section, subsection, sentence, clause, phrase, and word thereof, irrespective of the fact that any one or more section(s), subsection(s), sentence(s), clause(s), phrase(s), or word(s) be declared invalid.

3. Effective date. This resolution shall become effective immediately.

I HEREBY CERTIFY THE FOREGOING TO BE A TRUE COPY OF A RESOLUTION PASSED AND ADOPTED BY THE CITY OF SANTA CLARA, CALIFORNIA, AT A REGULAR MEETING THEREOF HELD ON THE 28th DAY OF AUGUST, 2012, BY THE FOLLOWING VOTE:

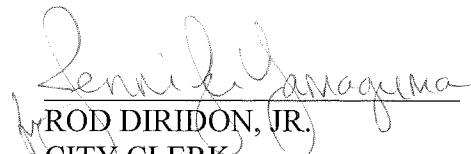
AYES:	COUNCILORS:	Gillmor, Kennedy, Kolstad, Mahan, McLeod and Moore and Mayor Matthews
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NOES:	COUNCILORS:	None
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ABSENT:	COUNCILORS:	None
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ABSTAINED:	COUNCILORS:	None
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ATTEST:



ROD DIRIDON, JR.
CITY CLERK
CITY OF SANTA CLARA

Attachments incorporated by reference:
Records retention schedules

**RECORDS RETENTION SCHEDULE: CITY-WIDE STANDARDS
SANTA CLARA, CA.**

CW-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
				Active (in office)	Inactive (Records Center)	Total Retention	
	(OFR)						
<i>Retentions apply to the department that is NOT the Office of Record (OFR), or the "Lead Department". If you are the OFR, refer to your department retention schedule.</i>							
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>							
<i>Litigation, claims, complaints, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>							
CW-001	Lead Dept.	Correspondence	Accident, Incident, Injury reports: PUBLIC or EMPLOYEES	2 years		2 years	Send Significant Events to City Attorney; GC §34090
CW-002	Admin. Services / Finance / Accounting	Correspondence	Accounts Payable, Invoices, Petty Cash, Warrant Requests, Purchase Card Statements, etc. (copies) If ALL backup is forwarded to Finance	2 years		2 years	All originals go to Finance (these are copies); GC §34090.7
CW-003	City Clerk	Correspondence	Administrative Hearings / Appeals (copies)	2 years		2 years	All originals go to City Clerk (these are copies); GC §34090.7
CW-004	City Clerk	Correspondence	Agenda Packets / Staff Reports: City Council, Redevelopment & SOSA (copies)	2 years		2 years	GC §34090.7
CW-005	City Clerk	Correspondence	Agreements & Contracts, Leases, MOUs, etc. - Includes all contractual obligations (copies) <i>(Specifications / Scope of Work, Service Agreements, Notices of Completion, Insurance etc.)</i>	2 years		2 years	All agreements, service agreements, and contracts are sent to the City Clerk; GC §34090.7
CW-006	Lead Dept.	Agreements	Agreements & Contracts: <u>ADMINISTRATIVE FILES</u> - NOT funded by a grant (Correspondence, Project Administration, Project Schedules, Invoices, Logs, etc.)	Completion	5 years	Completion + 5 years	Department preference; Statute of Limitations: Contracts & Spec's=4 years, Wrongful Death=Comp. + 5 years, Developers=Comp. + 10 years; E&O =Comp + 10 years; Published Audit Standards=4-7 years; Statewide guidelines propose termination + 5 years; CCP §§336(a), 337 et. seq., GC §34090

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CW-007	Lead Dept.	Agreements	Agreements & Contracts: <u>ADMINISTRATIVE FILES</u> - WITH grant funding (Correspondence, Project Administration, Project Schedules, Invoices, Logs, etc.)	Completion	5 years or After Funding Agency Audit, if required, whichever is longer	Completion + 5 years or After Funding Agency Audit, if required, whichever is longer	Some grant funding agencies require audits; Published Audit Standards=4-7 years; Statute of Limitations: Contracts & Spec's=4 years, Wrongful Death=comp. + 5 years, Errors & Omissions is 10 years; Developers=comp. + 10 years; Statewide guidelines propose termination + 5 years; CCP §§336(a), 337 et. seq., 21 CFR 1403.36 & 1403.42(b); 24 CFR 85.42(b), 91.105(h), 92.505, & 570.502(b), 28 CFR 66.42; 29 CFR 97.42(b); 40 CFR 31.42; 44 CFR 13.42; 45 CFR 92.42; OMB Circular A-133GC §34090
CW-008	Lead Dept.	Correspondence	Agreements & Contracts: <u>UNSUCCESSFUL BIDS or RESPONSES to RFPs</u> (Request for Proposals) and/or RFQs (Request for Qualifications) that don't result in a contract	2 years		2 years	The RFP / RFQ and the successful proposal becomes part of the agreement or contract (City Clerk is OFR); GC §34090
CW-009	Admin. Services / Finance / Accounting	Correspondence	Audits / Audit Reports / CAFR - Comprehensive Annual Financial Reports (copies)	2 years		2 years	GC §34090.7
CW-010	Lead Dept.	Correspondence	Awards	2 years		2 years	City preference; GC §34090
CW-011			Bids: See Agreements & Contracts				
CW-012	Lead Dept.	Correspondence	Board, Commissions and Committees: <u>AUDIO Recordings / Audio Tapes or Audio DVDs</u> Except Planning Commission, ARC & HLC - see Planning & Inspection's schedule	2 years		2 years	City preference; State law only requires for 30 days; GC §54953.5(b)

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CW-013	Lead Dept.	Reference	Board, Commissions and Committees: Recordings / Tapes of City Council Meetings - VIDEO Recordings / Video Tapes or Video DVDs	P		P	City preference; GC §34090.7
CW-014	Lead Dept.	Correspondence	Board, Commissions, & Committees: Formed by CITY COUNCIL AGENDAS, AGENDA PACKETS	2 years		2 years	Brown Act challenges must be filed within 30 or 90 days of action; GC §§34090, 54960.1(c)(1)
CW-015	City Clerk	Correspondence	Board, Commissions, & Committees: Formed by CITY COUNCIL MINUTES & BYLAWS	2 years (Forward Originals to City Clerk)		2 years (Forward Originals to City Clerk)	Notes taken to facilitate the writing of the minutes can be destroyed after minutes have been adopted; GC §34090
CW-016	Lead Dept.	Reference	Board, Commissions, & Committees: Formed by CITY COUNCIL MINUTES NOT GOING TO COUNCIL	P		P	City preference; GC §34090
CW-017	Lead Dept.	Correspondence	Board, Commissions, & Committees: City Council Subcommittees (Composed solely of less than a quorum of the City Council)	2 years		2 years	All recommendations are presented to the City Council; GC §34090 et seq.
CW-018	Lead Dept.	Non-Record	Board, Commissions, & Committees: External Organizations (e.g. County Board of Supervisors)	None		None	Non-records
CW-019			Brochures: See Reference Manuals				
CW-020	City Clerk	Correspondence	Budgets - Finals (copies)	2 years		2 years	Final must be filed with County Auditor; GC §34090.7, 40802, 53901

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CW-021	Automotive Services	Temporary Holding	Carpool Logs	Send to Auto upon completion of form		Send to Auto upon completion of form	GC §34090.7
CW-022	Finance Dept.	Correspondence	Cash Receipts Detail / Petty Cash Reports / Backup / Accounts Receivable Detail / Refund Detail / Deposit Backup	2 years		2 years	Department preference (not all detail is sent to Finance); GC §34090
CW-023	City Manager	Correspondence	City Council Assignments (copies of response)	2 years		2 years	GC §34090
CW-024	City Manager	Correspondence	City Manager Assignments (copies of response)	2 years		2 years	GC §34090
CW-025	City Manager	Temporary Holding	City Manager Directives	Until Superseded		Until Superseded	GC §34090.7
CW-026	City Attorney	Correspondence	Claims & Litigation (copies)	2 years (Upon Settlement)		2 years (Upon Settlement)	City Attorney is OFR for lawsuits; Risk Management administers claim; GC §§34090.7, 34090.6
CW-027	Lead Dept.	Correspondence	Committees Internal - Attended by employees: All Records (e.g. Records Management Committee, In-House Task Forces, etc.)	2 years		2 years	GC §34090
CW-028	Lead (Responding) Dept.	Correspondence	Complaints / Concerns from Citizens (operational)	2 years		2 years	City preference; Statute of Limitations for personal property, fraud, etc. is 3 years; Claims must be filed in 6 months; CCP §§338 et seq., 340 et seq., 342, GC §§945.6, GC §34090

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CW-029	Lead (Responding) Dept.	Correspondence	Complaints / Concerns from Citizens Computer Tracking Software (Comcate)	2 years		2 years	City preference; Statute of Limitations for personal property, fraud, etc. is 3 years; Claims must be filed in 6 months; CCP §§338 et seq., 340 et seq., 342, GC §§945.6, GC §34090
CW-030	Lead Dept.	Contracts	Contracts: ADMINISTRATIVE FILES - NOT funded by a grant (Correspondence, Project Administration, Project Schedules, Certified Payrolls, Invoices, Logs, etc.)	Completion	10 years	Completion + 10 years	Department preference; Statute of Limitations: Contracts & Spec's=4 years, Wrongful Death=Comp. + 5 years, Developers=Comp. + 10 years; E&O =Comp + 10 years; Published Audit Standards=4-7 years; Statewide guidelines propose termination + 5 years; CCP §337 et. seq., GC §34090
CW-031			Contracts: See Agreements				
CW-032	Dept. that Authors Document or Receives the City's Original Document	Correspondence	Correspondence - ROUTINE (e.g. Administrative, Chronological, General Files, Letters, Memorandums, Miscellaneous Reports, Press Releases, Media, Public Releases, Public Records Requests, Reading File, Working Files, Received and Referred to other Departments, Calendars, duplicates of any record, Fax Logs, etc.)	2 years		2 years	GC §34090

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CW-033	Dept. that Authors Document or Receives the City's Original Document	Non-Record	Correspondence - TRANSITORY / PRELIMINARY DRAFTS , Interagency and Intraagency Memoranda not retained in the ordinary course of business (e.g. calendars, checklists, e-mail that does not have a material impact on the conduct of business, invitations, instant messaging, logs, mailing lists, meeting room registrations, photographs, supply inventories, transmittal letters, thank yous, requests from other cities, undeliverable envelopes, visitors logs, voice mails, etc.)	None		None	Preliminary versions of a written document, such as a staff report or unsigned letter that is ready for revision or correction and not a final document of record. It also includes mail / e-mail that does not contain substantive information concerning City policies, decision-making, proceedings, projects, contractors, or practices; and does not relate to threatened or active litigation. As long as the drafts and notes are not retained in the "Regular Course of Business". Consult the City Attorney to determine if a record is considered a draft. GC §34090, GC §6252 6254(a)
CW-034	City Clerk	Correspondence	Deeds, Easements, Final Orders of Condemnations (All) (copies)	2 years		2 years	Send all originals to the City Clerk; GC §34090.7
CW-035	City Auditor	Correspondence	Department Activity Reports / Performance Benchmark Reports / Performance Measurement Reports / Monthly Activity Reports (copies)	2 years		2 years	Send all originals to the City Clerk, who compiles the reports GC §34090.7

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CW-036	Lead Dept.	Non-Record	Drafts / Notes / Preliminary Drafts: Drafts that are revised (retain final version)	None		None	Preliminary versions of a written document, such as a staff report or unsigned letter that is ready for revision or correction and not a final document of record. It also includes mail / e-mail that does not contain substantive information concerning City policies, decision-making, proceedings, projects, contractors, or practices; and does not relate to threatened or active litigation. As long as the drafts and notes are not retained in the "Regular Course of Business". Consult the City Attorney to determine if a record is considered a draft. GC §34090, GC §6252 6254(a)
CW-037	Lead Dept.	Reference	Drawings/Plans/Maps/As-Built (Recorded)	P		P	GC §34090(a)(d)
CW-038	Dept. that Authors Document or Receives the City's Original Document	Temporary Holding	E-mail	Retention Based Upon the Content of the Record		Retention Based Upon the Content of the Record	E-mails that contain information relating to the conduct of the public's business are saved outside the e-mail system by printing them out and placing them in a file folder, or saving them electronically; If not mentioned here, consult the City Attorney to determine if a record is considered transitory / preliminary drafts. GC §34090, GC §6252
CW-039	Lead Dept.	Correspondence	Facility Use Applications / Facility Use Permits	2 years		2 years	GC §34090
CW-040	Lead Dept.	Correspondence	Forms (Blank)	Superseded + 2 years		Superseded + 2 years	GC §34090

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CW-041	Lead Dept.	Source	GIS Database / Data / Layers (both City-wide and Specialized)	Indefinite		Indefinite	The Lead Department should print out historical documents (or save source data) prior to replacing the data, if they require the data or output for historical purposes; Department Preference (Preliminary documents); GC §34090 et seq.
CW-042	Lead Dept.	Correspondence	Grants (UNSUCCESSFUL Applications, Correspondence)	2 years		2 years	GC §34090
CW-043	Lead Dept.	Report	Grants / Reimbursable Claims / Subventions (SUCCESSFUL Reports, other records required to pass the funding agency's audit, if required) Applications (successful), program rules, regulations & procedures, reports to grant funding agencies, correspondence, audit records, completion records	2 years	After Funding Agency Audit, if Required - 5 years	After Funding Agency Audit, if required - 5 years	Meets auditing standards; Grants covered by a Consolidated Action Plan are required for 5 years; Uniform Admin. Requirements for Grants to Local Governments is 3 years from expenditure report or final payment of grantee or subgrantee; statewide guidelines propose 4 years; 7 CFR 3016.42; 21 CFR 1403.36 & 1403.42(b); 24 CFR 85.42(b), 91.105(h), 92.505, & 570.502(b), 28 CFR 66.42; 29 CFR 97.42(b); 40 CFR 31.42; 44 CFR 13.42; 45 CFR 92.42; OMB Circular A-133; GC §34090
CW-044	Human Resources	Correspondence	Grievances and Informal Complaints (Employees) (copies)	2 years		2 years	Send all grievances to Human Resources; All State and Federal laws require retention until final disposition of formal complaint; State requires 2 years after action is taken; GC §§12946, 34090 et seq.

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CW-045	Finance (IDS/Ebix-BPO)	Non-Record	Insurance Certificates for Agreements, Contracts, Leases and Encroachment Permits Insurance Certificates maintained by IDS/Ebix-BPO should not be received by the City (or any department). The City Clerk's Office may assist departments with the redirecting of insurance certificates to IDS/Ebix-BPO.	None		None	Send to City Clerk's Office for the removal of the City's address and to redirect to IDS/Ebix-BPO
CW-046	Lead Dept.	Temporary Holding	Insurance Certificates NOT maintained by IDS/Ebix-BPO	Filed with pertinent file		Filed with pertinent file	Tracked with pertinent file.
CW-047	City Clerk	Correspondence	Minutes - City Council (copies)	2 years		2 years	Originals maintained by City Clerk Permanently; GC §34090.7
CW-048	City Clerk	Correspondence	Municipal Code (including inserts) (copies)	None		None	Return any whole unused codes to the City Clerk; Originals maintained by City Clerk Permanently; GC §34090
CW-049	City Clerk	Non-Record	Newspaper Clippings (copies)	None		None	Non-records - may be obtained from the newspaper company; GC §34090
CW-050	Lead Dept.	Correspondence	Notices: Public Hearing Notices Posted and Proofs of Publications, Public Notices	2 years		2 years	Statute of Limitations on Municipal Government actions is 3 - 6 months; CCP§337 et seq; GC §34090
CW-051	City Clerk	Correspondence	Ordinances - City Council (copies)	2 years		2 years	Originals maintained by City Clerk Permanently; GC §34090
CW-052	Human Resources	Temporary Holding	Personnel Files (When an employee transfers to a different department, the file should go to the new department)	Upon Separation, Send to Human Resources		Upon Separation, Send to Human Resources	Ensure records kept in Department files comply with City policy (all originals are sent to Human Resources); GC §34090.7
CW-053	Lead Dept.	Correspondence	Personnel Files (Supervisor's Notes)	2 years		2 years	Notes maintained in a separate folder to be incorporated into performance evaluation, or to document progressive discipline; GC §34090 et seq.

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CW-054	Lead Dept.	Correspondence	Personnel Work Schedules	2 years		2 years	GC §34090
CW-055	Lead Dept.	Citizen Petition	Petitions (Examples: parking requests, traffic calming requests, etc.). NOT Election Related Petitions - for Initiative, Recall or Referendum petitions, see the City Clerk schedule	1 year		1 year	Not related to elections; Law requires 1 year for petitions; GC §50115
CW-056	Lead Dept.	Correspondence	Public Records Act Requests	2 years		2 years	GC §34090
CW-057	Lead Dept.	Correspondence	Public Relations / Press Releases	2 years		2 years	GC §34090
CW-058	Finance / Purchasing	Correspondence	Purchase Orders, Procurement & Contracting Records (RFPs, Specifications, Contracts, Amendments, Successful Bids, Notice of Award, RFQs, etc.) (copies)	2 years		2 years	GC §34090.7
CW-059	Lead Dept. (Who Ordered the Appraisal)	Correspondence	Real Estate Appraisal Reports: Property NOT purchased, Loans not funded, etc.	2 years		2 years	Not accessible to the public; Statewide Guidelines show 2 years; GC §§34090, 6254(h)
CW-060	Lead Dept. (Who Ordered the Appraisal)	Report	Real Estate Appraisal Reports: Purchased Property, Funded Loans	2 years	3 years	5 years	Not accessible to the public until purchase has been completed; meets grant auditing requirements; 24 CFR 85.42(b), 24 CFR 91.105(h), 24 CFR 97.42(b), 24 CFR 570.502(b); 29 CFR 97.42, GC §34090
CW-061	City Clerk	Correspondence	Records Destruction Lists / Certificate of Records Destruction (copies)	2 years		2 years	GC §34090.7
CW-062	Lead Dept.	Routine	Recruitment and Testing File (As-Needed Employees Only) (Includes Applications for Unsuccessful Applicants, Advertisements, Job Brochures, Test Data, etc.)	4 years		4 years	Department preference; EEOC / FLSA / ADEA (Age) requires 1-3 years; State Law requires 2 - 3 years; 29 CFR 1602 et seq & 1627.3(a)(5) and (6), 2 CCR 7287.0(c)(2), 8 CCR §11040.7(c), GC §§12946, 34090

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CW-063	Lead Dept.	Non-Record	Reference Materials: Policies, Procedures, Brochures, Flyers, Manuals, etc.: Produced by OTHER DEPARTMENTS OR OUTSIDE ORGANIZATIONS (League of California Cities, Chamber of Commerce, etc.)	None		None	Non-Records
CW-064	Lead Dept.	Correspondence	Reference Materials: Policies, Procedures, Brochures, Flyers, Manuals, etc.: Produced by YOUR Department	Superseded + 2 years		Superseded + 2 years	Statewide guidelines propose superseded + 2 or 5 years; GC §34090
CW-065	Lead Dept.	Reference	Reports and Studies (Historically significant - e.g., Zoning Studies)	10 years	P	P	Administratively and Historically significant, therefore retained permanently; GC §34090
CW-066	Lead Dept.	Report	Reports and Studies (other than Historically significant reports - e.g. Annual Reports)	5 years		5 years	Information is outdated after 10 years; statewide guidelines propose 2 years; If historically significant, retain permanently; GC §34090
CW-067	City Clerk	Correspondence	Resolutions - City Council (copies)	2 years		2 years	Originals maintained by City Clerk Permanently; GC §34090.7
CW-068	Lead Dept.	Report	Safety: OSHA Inspections & Citations, Log 200 and Log 300, 301, 301A	5 years		5 years	Calif. Labor Division is required to keep their records 7 years; OSHA requires 5 years; State law requires 2 years; 8 CCR §3203(b)(1), GC §34090; LC §6429c
CW-069	Lead Dept.	Correspondence	Service of Legal Documents (copies)	2 years		2 years	GC §34090
CW-070	Lead Dept.	Reference	Service of Legal Documents (LOG)	P		P	City preference; GC §34090
CW-071	Lead Dept.	Non-Record	Speaker Cards (submitted at public meetings)	None		None	Transitory records not retained in the ordinary course of business (used to accurately produce minutes); GC §§34090 et seq., 6254(a)
CW-072	Lead Dept.	Correspondence	Special Event Permits	Expiration + 2 years		Expiration + 2 years	GC §34090
CW-073	Lead Dept.	Subject	Special Projects / Subject Files / Issue Files	5 years		5 years	Department Preference; GC §34090 et seq.

**RECORDS RETENTION SCHEDULE: CITY-WIDE STANDARDS
SANTA CLARA, CA.**

CW-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
				Active (in office)	Inactive (Records Center)	Total Retention	
	(OFR)						
<i>Retentions apply to the department that is NOT the Office of Record (OFR), or the "Lead Department". If you are the OFR, refer to your department retention schedule.</i>							
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>							
<i>Litigation, claims, complaints, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>							
CW-074	Lead Dept.	Correspondence	Subpoenas	2 years		2 years	GC §34090
CW-075	Lead Dept.	Correspondence	Surveys / Questionnaires (that the City issues). If a summary of the data is compiled, the survey forms are considered a draft or transitory record, and can be destroyed as drafts	2 years		2 years	GC §34090
CW-076			Tapes: See Board & Commissions				
CW-077	Lead Dept.	Timekeeping	Timekeeping: Time Sheets / Time Cards / Overtime Sheets / Overtime Cards (Including Leave Slips & Vacation Requests Forms)	4 years		4 years	City Preference for FLSA; Originals maintained by Payroll; GC §34090.7
CW-078	Lead Dept.	Training	Training - ALL <u>COURSE</u> RECORDS (Attendance Rosters, Outlines and Materials; includes Ethics & Safety training)	2 years	5 years	7 years	Department Preference; OSHA requires 5 years for safety records; Statewide guidelines propose 7 years; Calif. Labor Division is required to keep their OSHA records 7 years; Ethics Training is 5 years; EEOC/FLSA/ADEA (Age) requires 3 years for promotion, demotion, transfer, selection, or discharge; State Law requires 2 -3 years; 8 CCR §3203 et seq., 8 CCR 14300.33(a); 29 CFR 1627.3(b)(2), 29 CFR 1904.33, 29 CFR 1904.44; LC §6429(c); GC §§12946, 34090, 53235.2(b)
CW-079	Lead Dept.	Correspondence	Vehicle Safety Checks / Daily Vehicle Inspections / Daily Equipment Checks	2 years		2 years	GC §34090

**RECORDS RETENTION SCHEDULE: CITY-WIDE STANDARDS
SANTA CLARA, CA.**

CW-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
	(OFR)			Active (in office)	Inactive (Records Center)	Total Retention	
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CW-080	City Manager	Volunteer	Volunteer / Unpaid Intern / Work Study Applications & Agreements - Successful	Inactive / Separation + 5 years		Inactive / Separation + 5 years	Department preference (Courts treat volunteers as employees); EEOC/FLSA/ADEA (Age) requires 3 years for promotion, demotion, transfer, selection, or discharge; 29 CFR 1602.31 & 1627.3(b)(1)(i)&(ii), GC §§12946, 34090
CW-081	City Manager	Volunteer	Volunteer / Unpaid Intern / Work Study Applications & Agreements - Unsuccessful or Pending Applicants	5 years		5 years	Department preference (Courts treat volunteers as employees); EEOC/FLSA/ADEA (Age) requires 3 years for promotion, demotion, transfer, selection, or discharge; 29 CFR 1602.31 & 1627.3(b)(1)(i)&(ii), GC §§12946, 34090
CW-082	Depart. Providing Service / Work	Source	Work Orders / Service Requests CMMS DATABASE (Computerized Maintenance Management System) (Hansen)	Indefinite		Indefinite	Data is interrelated; GC §34090
CW-083	Depart. Providing Service / Work	Non-Record	Work Orders / Service Requests - All Information Entered in CMMS Database	None		None	Preliminary drafts (the database is the original); GC §34090
CW-084	Depart. Providing Service / Work	Correspondence	Work Orders / Service Requests - NOT entered in CMMS Database (or partial information entered into CMMS Database) (Division providing service retains originals; Division requesting service is considered a copy)	2 years		2 years	City preference; CCP §§338 et seq., 340 et seq., 342, GC §§945.6, GC §34090

**RECORDS RETENTION SCHEDULE: CITY ATTORNEY
SANTA CLARA, CA.**

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CA-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
	(OFR)			Active (in office)	Inactive (Records Center)	Total Retention	
If the record is not listed here, refer to the Retention for City-Wide Standards							
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Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).							
CA-001	City Attorney	Correspondence	Accident/Incident Reports: Automobile Loss Notice, General Liability Notice of Occurrence (Significant Events)	2 years		2 years	GC §34090
CA-002	Admin. Services / Finance / Accounting	Correspondence	Accounts Payable (copies)	2 years		2 years	GC §34090.7
CA-003	City Attorney	Correspondence	Administrative Hearings	Resolution + 2 years		Resolution + 2 years	Department preference; GC §34090
CA-004	City Attorney	Subject	Amicus Briefs	2 years	3 years	5 years	Department Preference; GC §34090
CA-005	City Attorney	Project Admin	Assignment Log	10 years		10 years	Department Preference; GC §34090
CA-006	City Attorney	Litigation	Attorney Work Product (Electronic Files on I: Drive)	Resolution + 5 years		Resolution + 5 years	Department Preference; GC §34090
CA-007	City Attorney	Subject	Assignment Binders	3 years	2 years	5 years	Department Preference; GC §34090
CA-008	City Attorney	Claim	Claims / Damage Claims	Upon Resolution	Resolution + 5 years	Resolution + 5 years	Claim must be filed within 1 year, lawsuit within 2 years; complaints against peace officers within 5 years; Statute of Limitations for contracts is 4 years; wrongful death for construction is completion + 5 years; CCP §§ 337 et seq.; GC §§ 911.2, 945.6, 34090, 34090.6; PC §832.5(b)
CA-009	City Attorney	Subject	Elections	2 years	3 years	5 years	Department Preference; GC §34090
CA-010	City Attorney	Source	Legal Opinions	P		P	Department Preference; GC §34090
CA-011	City Attorney	Litigation	Litigation / Lawsuits (Final Settlement Documents and Judgments are maintained by the City Clerk)	Upon Resolution	5 years	Resolution + 5 years	Department Preference; Covers various statute of limitations; CCP §§ 337 et seq.; GC §§ 911.2, 945.6, 34090, 34090.6; PC §832.5(b)
CA-012	City Attorney	Reference	Litigation (Eminent Domain/Final Order of Condemnation)	P		P	Department Preference; Covers various statute of limitations; CCP §§ 337 et seq.; GC §§ 911.2, 945.6, 34090, 34090.6; PC §832.5(b)
CA-013	City Attorney	Subject	Loss Run Reports (George Hills Company)	5 years		5 years	Meets auditing standards; GC §34090

**RECORDS RETENTION SCHEDULE: CITY ATTORNEY
SANTA CLARA, CA.**

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CA-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
				Active (in office)	Inactive (Records Center)	Total Retention	
	(OFR)						
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<i>Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>							
CA-014	City Attorney	Subject	Municipal Code & Charter Administration, Distribution, etc.	2 years	3 years	5 years	GC § 34090
CA-015	City Attorney	Muni	Municipal Code Violations	2 years		2 years	Department Preference; GC §34090
CA-016	City Attorney	Subject	Subject Not of Significant Historical Value: - Various Subjects (review, research, public records requests and responses, background files, budget working papers, outside counsel)	5 years		5 years	Department Preference; GC §34090
CA-017	City Attorney	Reference	Subject Significant Historical Value: Various Subjects (Cemetery, NCPA, M-S-R, PG&E, RDA, SOSA, Water Pollution Control Plant (WPCP), etc.)	2 years	P	P	Department Preference; GC §34090

**RECORDS RETENTION SCHEDULE: CITY CLERK
SANTA CLARA, CA.**

CC-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
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CITY AUDITOR							
CC-001	City Auditor	Auditor Reports	Audit Policies & Procedures (Mileage and Meal Reimbursement)	7 years		7 years	GC §34090
CC-002	City Auditor	Auditor Reports	Annual City Auditor Report / Performance Benchmarks	7 years		7 years	Department Preference; meets municipal government auditing standards; GC §34090
CC-003	City Auditor	Auditor Reports	Audits of Payroll Payment Requests	7 years		7 years	Department Preference; meets municipal government auditing standards; GC §34090
CC-004	City Auditor	Correspondence	Check Stock Log	2 years		2 years	Department Preference; meets municipal government auditing standards; GC §34090
CC-005	City Auditor	Correspondence	Reimbursement Log / Allocation Tracking (Boot/Clothing/Safety Geer)	2 years		2 years	GC §34090
CC-006	City Auditor	Temporary Holding	Travel Advances	Upon receipt forward to Finance		Upon receipt - forward to Finance	Department Preference
CC-007	City Auditor	Correspondence	Warrants Payroll Vendor Voids Reprints - Destroyed	2 years		2 years	GC §34090

**RECORDS RETENTION SCHEDULE: CITY CLERK
SANTA CLARA, CA.**

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CITY CLERK							
CC-008	City Clerk	Correspondence	Affidavit of Posting Agendas, Notices of Public Hearings, Continuances, Notice of Adjournments City Council, Board & Commissions and Committees, Miscellaneous	2 years		2 years	Brown Act challenges must be filed within 30 or 90 days of action; Statute of Limitations on Municipal Government actions is 3 - 6 months; CCP §§337 et seq, 349.4; GC §§34090, 54960.1(c)(1)
CC-009	City Clerk	Reference	Agenda Packets / Staff Reports / Correspondence Regarding Agenda Items - Imaged: City Council, Redevelopment Agency, Sports and Open Space Authority, Industrial Development Authority, Joint Financing Authority, Public Facilities Financing Authority, Santa Clara Stadium Authority, City of Santa Clara Housing Authority and Bayshore North Project Enhancement Authority	P		P	Department Preference (The minutes are the permanent record); GC §34090 et seq.
CC-010	City Clerk	Agenda Material	Agenda Packets / Staff Reports / Correspondence Regarding Agenda Items - Hardcopy: City Council, Redevelopment Agency, Sports and Open Space Authority, Industrial Development Authority, Joint Financing Authority, Public Facilities Financing Authority, Santa Clara Stadium Authority, City of Santa Clara Housing Authority and Bayshore North Project Enhancement Authority	1 year	9 years	10 years	Department Preference (The minutes are the permanent record); GC §34090 et seq.

**RECORDS RETENTION SCHEDULE: CITY CLERK
SANTA CLARA, CA.**

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CC-011	City Clerk	Reference	Agendas & Agenda Summary of Action City Council, Redevelopment Agency, Sports and Open Space Authority, Industrial Development Authority, Joint Financing Authority, Public Facilities Financing Authority, Santa Clara Stadium Authority, City of Santa Clara Housing Authority and Bayshore North Project Enhancement Authority	P		P	Department Preference (The minutes are the permanent record); GC §34090 et seq.
CC-012	City Clerk	Agreements	Agreements - Not Significant - NOT IMAGED. <i>Agreement or Contract includes all contractual obligations (e.g. Amendments, Scope of Work or Successful Proposal)</i> Examples of NON-Infrastructure : Consulting, grants, disposal, franchises, housing, leases, legal services, litigation settlements, loans, paving, painting, professional services, services, slurry seals, tree trimming, Solar - Right of Entry/Lease, etc.	Completion	5 years	Completion + 5 years	Department preference; Statute of Limitations: Contracts & Spec's=4 years, Wrongful Death=Comp. + 5 years, Developers=Comp. + 10 years; E&O =Comp + 10 years; Published Audit Standards=4-7 years; Statewide guidelines propose termination + 5 years; CCP §337 et. seq., GC §34090
CC-013	City Clerk	Agreements and Leases Significant	Agreements - SIGNIFICANT - IMAGED - Disposition Development Agreements, Joint Powers Authority, Owner Participation Agreements, Memorandum of Understanding, Housing Regulatory Agreements, Property owned by the City or Redevelopment Agency, those determined as Significant by the Lead Department, Letters of Credit, Consent Order <i>Agreement includes all contractual obligations (e.g. Amendments, Scope of Work or Successful Proposal)</i>	Completion	P	P	Department Preference; All infrastructure, JPAs, & Mutual Aid contracts should be permanent for emergency preparedness; Statute of Limitations is 4 years; 10 years for Errors & Omissions; land records are permanent by law; CCP §§337. 337.1(a), 337.15, 343; GC §34090, Contractor has retention requirements in 48 CFR 4.703(a)

**RECORDS RETENTION SCHEDULE: CITY CLERK
SANTA CLARA, CA.**

CC-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
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<i>Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>							
CC-014	City Clerk	Agreements and Leases Significant	Agreements: Litigation Releases	Final Resolution	P	P	Department Preference; GC §34090
CC-015	City Clerk	Correspondence	Bid Opening Lists/Unsuccessful Bids	2 years		2 years	GC §34090
CC-016	City Clerk	Reference	Board, Commissions & Committees: Historical List	P		P	Department Preference; GC §34090
CC-017	City Clerk	Correspondence	Board, Commission & Committees: Committee Rosters / Maddy Act List	2 years		2 years	GC §34090
CC-018	City Clerk	Bonds	Bonds Fortune Telling Soliciting	After cessation + 1 year		After cessation + 1 year	City Code: 5.45.060
CC-019	Finance / Financial Services & City Clerk	Bonds Debt / Interest	Bond Official Statements / Certificates of Participations (COPs)	Cancellat., Redemption or Maturity	10 years	Cancellat. Redemption or Maturity + 10 years	Department Preference; Statute of Limitations for bonds, mortgages, trust deeds, notes or debentures is 6 years; Bonds issued by local governments are 10 years; There are specific requirements for disposal of unused bonds; CCP §§336(a)(1) & (2), 337.5(2); GC §43900 et seq.
CC-020	Planning & Inspection	Correspondence	Building Inspection Address List (copies)	2 years		2 years	GC §34090.7
CC-021	City Clerk	Historical Documents / Artifacts	Budget (Final / Adopted)	2 years		P	Department Preference; GC §34090
CC-022	City Clerk	Reference	Bylaws	P		P	Department Preference; GC §34090
CC-023	City Clerk	Correspondence	City Council Committees: Revision History	2 years		2 years	GC §34090 et seq.
CC-024	City Clerk	Reference	City Council: Historical Lists	P		P	Department Preference; GC §34090

**RECORDS RETENTION SCHEDULE: CITY CLERK
SANTA CLARA, CA.**

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CC-025	City Clerk	Claim	Claim Forms & Log City Council, Redevelopment Agency & Sports and Open Space Authority	5 years		5 years	Department Preference; GC §34090 et seq.
CC-026	City Clerk	Contracts	Contracts - Infrastructure, Capital Improvement Projects (Public Works Awarded as a result of a Bid) <i>Contract includes all contractual obligations (e.g. Amendments, Scope of Work or Successful Proposal)</i> Examples of Infrastructure: Architects, Buildings, bridges, covenants, development, environmental, park improvements, reservoirs, sewers, sidewalks, street & alley improvements, subdivisions, utilities, water, etc.	Completion	P	P	Department Preference; All infrastructure, JPAs, & Mutual Aid contracts should be permanent for emergency preparedness; Statute of Limitations is 4 years; 10 years for Errors & Omissions; land records are permanent by law; CCP §§337. 337.1(a), 337.15, 343; GC §34090, Contractor has retention requirements in 48 CFR 4.703
CC-027	City Clerk	Council Attendance and Payroll	City Council / Redevelopment Agency, Sports and Open Space Authority, Industrial Development Authority, Joint Financing Authority, Public Facilities Financing Corporation, Santa Clara Stadium Authority, and City of Santa Clara Housing Authority and Bayshore North Project Enhancement Authority Attendance Records	10 years		10 years	Department Preference; GC §34090 et seq.
CC-028	City Clerk	Correspondence	Council Chambers, Use of (License Permit)	2 years		2 years	GC §34090 et seq.
CC-029	City Clerk/Lead Dept.	Temporary Holding	Escrow Bid Documents	Upon Completion		Forward to Dept. upon Completion	Department Preference
CC-030	City Clerk	Ethics Training	Ethics Training - Certificates / Logs	4 years	6 years	10 years	Department Preference; GC §§34090, 53235.2(b)

**RECORDS RETENTION SCHEDULE: CITY CLERK
SANTA CLARA, CA.**

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				Active (in office)	Inactive (Records Center)	Total Retention	
	(OFR)						
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CC-031	City Clerk	Reference	Files Management Manual / Records Retention Schedules (if not always filed with the Resolution of Adoption)	P		P	Statewide guidelines propose superseded + 2 or 5 years; GC §34090
CC-032	City Clerk	Statement of Economic Interests City Filers	FPPC Form 801 (Gift to Agency Report)	8 years		8 years	Must post on website; 2 CCR 18944.2(C)(3)(G)
CC-033	City Clerk	Gifts received by City	Gifts given to the City	10 years		10 years	Department Preference; GC §34090 et seq.
CC-034	City Clerk	Historical Documents/ Artifacts	Historical Records/Artifacts/ Publications Written by the City of Significant Historic Value Incorporation, City Seal, Awards of significant historical interest, Handbooks, Maps, Budget Books, etc.	P		P	City Clerk determines historical significance; records can address a variety of subjects and media formats; GC §34090
CC-035	City Clerk	Correspondence	Index for Electric Estimates, Engineering Sites, Planning Files, Human Resources Terminations and Water Jobs	Superseded + 2 years		Superseded + 2 years	Department Preference (preliminary draft / transitory record used to locates records, which can be destroyed after the subject record is destroyed); GC §34090 et. seq.
CC-036	City Clerk	Correspondence	Index of Boxes in Records Center	Superseded + 2 years		Superseded + 2 years	Department Preference (preliminary draft / transitory record used to locates records, which can be destroyed after the subject record is destroyed); GC §34090 et. seq.
CC-037	City Clerk	Reference	Insurance Policies (City Owned Policies that are presented to Council. Excludes Electric Utility) - GENERAL LIABILITY, PROPERTY, FIRE, THEFT, ETC.	P		P	Department preference for liability purposes; CCP §337 et seq.; GC §34090
CC-038	City Clerk	Correspondence	Microfilm Processing Record Log	Superseded + 2 years		Superseded + 2 years	Department Preference (preliminary draft / transitory record used to locates records, which can be destroyed after the subject record is destroyed); GC §34090 et. seq.

**RECORDS RETENTION SCHEDULE: CITY CLERK
SANTA CLARA, CA.**

CC-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
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CC-039	City Clerk	Minutes	Minutes City Council, Redevelopment Agency, Sports and Open Space Authority, Industrial Development Authority, Joint Financing Authority, Public Facilities Financing Authority, Santa Clara Stadium Authority, City of Santa Clara Housing Authority, Bayshore North Project Enhancement Authority and Closed Sessions	P		P	GC §34090
CC-040	City Clerk	Reference	Municipal Code and Charter (1 copy of each supplement) <i>Including revision inserts</i>	Final Resolution	P	P	Department Preference; GC §34090
CC-041	City Clerk	Reference	Newspaper Clippings of Significant Historic Value	1 year	P	P	Non Records - Department preference
CC-042	City Clerk	Reference	Oaths of Office - Elected Officers, Board and Commission Members	While in Office		P	Department Preference; Statute of Limitations: Public official misconduct is discovery of offense + 4 years, retirement benefits is 6 years from last action; statewide guidelines propose Termination + 6 years; GC §§36507, 34090; PC §§801.5, 803(c); 29 USC 1113
CC-043	City Clerk	Ordinances	Ordinances & Indexes	P		P	GC §34090 et. seq.
CC-044	City Clerk	Reference	Outgoing Awards and Gifts List/Log	P		P	Department Preference; GC §34090
CC-045	City Clerk	Correspondence	Petty Cash (Receipts & Log Book)	2 years		2 years	Department Preference; GC §34090

**RECORDS RETENTION SCHEDULE: CITY CLERK
SANTA CLARA, CA.**

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CC-046	City Clerk	Agreements and Leases Significant	Real Property - Records that Affect the Title to Real Property Abandonments, Deeds, Deed Restrictions, Easements, Liens, Resale Restrictions, Vacations, etc. Includes Title Insurance	2 years	P	P	GC §34090
CC-047	City Clerk	Recorded Documents	Recorded Documents (Including Log): Deeds, Easements, Rights of Ways, Notice of Completion, etc.	1 year	P	P	GC §34090 et. seq.
CC-048	City Clerk	Correspondence	Recordings / Tapes of City Council Meetings - AUDIO Recordings / Audio Tapes or Audio DVDs City Council, Redevelopment Agency, Sports and Open Space Authority, Industrial Development Authority, Joint Financing Authority, Public Facilities Financing Authority, Santa Clara Stadium Authority, Housing Authority and Bayshore North Project Enhancement Authority	2 years		2 years	Department preference; State law only requires for 30 days; GC §54953.5(b)
CC-049	City Clerk	Historical Documents / Artifacts	Recordings / Tapes of City Council Meetings - VIDEO Recordings / Video Tapes or Video DVDs City Council, Redevelopment Agency, Sports and Open Space Authority, Industrial Development Authority, Joint Financing Authority, Public Facilities Financing Authority, Santa Clara Stadium Authority, Housing Authority and Bayshore North Project Enhancement Authority	2 years	P	P	Department preference; GC §34090.7 (Beginning April 2007)
CC-050	City Clerk	Destruction Notices	Records Destruction Lists / Certificates of Records Destruction	P		P	Department Preference; GC §34090 et. seq.

**RECORDS RETENTION SCHEDULE: CITY CLERK
SANTA CLARA, CA.**

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CC-051	City Clerk	Resolutions	Resolutions & Indexes City Council, Redevelopment Agency, Sports & Open Space Authority, Industrial Development Authority, Joint Financing Authority, Public Facilities Financing Authority, Santa Clara Stadium Authority and City of Santa Clara Housing Authority and Bayshore North Project Enhancement Authority	P		P	GC §34090 et. seq.
CC-052	City Clerk	Correspondence	Revisions History (Board, Commissions, Council Committees, Publications and City Council Roster)	2 years		2 years	GC §34090
CC-053	City Clerk	Temporary Holding	Vehicle Titles ("Pink Slips")	Ownership		Until Sale or Disposal	Given to Auction House / New Owner; GC §34090

**RECORDS RETENTION SCHEDULE: CITY CLERK
SANTA CLARA, CA.**

CC-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
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	(OFR)						
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ELECTIONS - CONSOLIDATED							
CC-054	City Clerk	Campaign Disclosure Successful Candidates Orig	Campaign Filings (FPPC 400 Series Forms & Local Campaign Forms): SUCCESSFUL CANDIDATES (Elected Officials) - ORIGINALS	5 years	P	P	Paper must be retained for at least 2 years; GC §81009(b)(g)
CC-055	City Clerk	Campaign Disclosure Copies	Campaign Filings (FPPC 400 Series Forms & Local Campaign Forms): SUCCESSFUL CANDIDATES (Elected Officials) - COPIES	5 years		5 years	GC §81009
CC-056	City Clerk	Campaign Disclosure Unsuccessful Candidates Orig	Campaign Filings (FPPC 400 Series Forms & Local Campaign Forms): UNSUCCESSFUL CANDIDATES - ORIGINALS	5 years		P	Paper must be retained for at least 2 years; GC §81009(b)(g)
CC-057	City Clerk	Campaign Disclosure Copies	Campaign Filings (FPPC 400 Series Forms & Local Campaign Forms): UNSUCCESSFUL CANDIDATES - COPIES	5 years		5 years	GC §81009
CC-058	City Clerk	Campaign Disclosure All Others Orig	Campaign Filings (FPPC 410, 461, 465 & 496 Forms, Santa Clara Committees & Local Campaign Forms): THOSE NOT REQUIRED TO FILE ORIGINAL WITH CITY CLERK (copies - Council Members running for State or County offices, etc.) - ORIGINALS	P		P	Department preference; Paper must be retained for at least 2 years; GC §81009(b)(g)
CC-059	City Clerk	Campaign Disclosure Copies	Campaign Filings (FPPC 402 & 460 Forms, Non Santa Clara Committees & Local Campaign Forms): THOSE NOT REQUIRED TO FILE ORIGINAL WITH CITY CLERK (copies - Council Members running for State or County offices, etc.) - COPIES	5 years		5 years	GC §81009
CC-060	City Clerk	Campaign Disclosure All Others Orig	Campaign Filings (FPPC 400 Series Forms & Local Campaign Forms): OTHER COMMITTEES (PACS - not candidate-controlled) - ORIGINALS	7 years		P	Paper must be retained for at least 2 years; GC §81009(c)(g)
CC-061	City Clerk	Campaign Disclosure Copies	Campaign Filings (FPPC 400 Series Forms & Local Campaign Forms): OTHER COMMITTEES (PACS - not candidate-controlled) - COPIES	5 years		5 years	GC §81009

**RECORDS RETENTION SCHEDULE: CITY CLERK
SANTA CLARA, CA.**

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CC-062	City Clerk	Reference	Candidate File: Nomination Papers, Candidate Statements, Acceptance of Voluntary Expenditure Limit, Oath of Office, etc. - SUCCESSFUL CANDIDATES	8 years		P	Department Preference; Nomination Papers: Statewide guidelines proposes 4 years for successful candidates, 2 years for unsuccessful; CA law states term of office and 4 years after the expiration of term and does not delineate between the two; EC §17100 Oaths of Office: Statute of Limitations: Public official misconduct is discovery of offense + 4 years, retirement benefits is 6 years from last action; statewide guidelines propose Termination + 6 years; GC §§34090, 36507; PC §§801.5, 803(c); 29 USC 1113
CC-063	City Clerk	Reference	Candidate File: Nomination Papers, Candidate Statements, Acceptance of Voluntary Expenditure Limit, etc. - UNSUCCESSFUL CANDIDATES	Election + 4 years		P	Statewide guidelines proposes 4 years for successful candidates, 2 years for unsuccessful; CA law states term of office and 4 years after the expiration of term and does not delineate between the two; EC §17100
CC-064	City Clerk	Reference	Elections - GENERAL, WORKING or ADMINISTRATION Files Correspondence, Election Calendars, Precinct Maps, Proof of Publications, County Election Services, etc.	2 years		P	GC §34090
CC-065	City Clerk	Reference	Elections - HISTORICAL Sample ballot	6 years	P	P	Retained for Historical Value, GC §34090
CC-066	City Clerk	Petitions	Petitions (Initiative, Recall or Referendum)	8 months		8 months	<u>Not accessible to the public</u> ; The 8 month retention applies after election results, or final examination if no election, unless there is a legal or FPPC proceeding. EC §§17200, 17400

**RECORDS RETENTION SCHEDULE: CITY CLERK
SANTA CLARA, CA.**

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CC-067	City Clerk	Statement of Economic Interests City Filers	Statement of Economic Interest Filings (FPPC Forms - 700 Series): DESIGNATED EMPLOYEES (specified in the City's Conflict of Interest code. Includes advisory bodies except for the Planning Commission and consultants) - ORIGINALS	2 years	5 years	7 years	City maintains original statements; GC §81009(e) & (g)
CC-068	City Clerk	Statement of Economic Interests City Filers	Statement of Economic Interest Filings (FPPC Forms - 700 Series): DESIGNATED EMPLOYEES (specified in the City's Conflict of Interest code. Includes advisory bodies except for the Planning Commission and consultants) - COPIES	2 years	5 years	7 years	City maintains original statements; GC §81009(e) & (g)
CC-069	City Clerk	Statement of Economic Interests City Filers	Statement of Economic Interest Filings (FPPC Forms - 700 Series): PUBLIC OFFICIALS (elected & not elected. Includes City Council Members, Planning Commission Members, City Manager, City Treasurer & City Attorney) - ORIGINALS	4 years	3 years	7 years	Department Preference; City maintains copies only; original statements are filed with FPPC; GC §81009(f) & (g)
CC-070	City Clerk	Statement of Economic Interests City Filers	Statement of Economic Interest Filings (FPPC Forms - 700 Series): PUBLIC OFFICIALS (elected & not elected. Includes City Council Members, Planning Commission Members, City Manager, City Treasurer & City Attorney) - COPIES	4 years	3 years	7 years	Department Preference; City maintains copies only; original statements are filed with FPPC; GC §81009(f) & (g)

**RECORDS RETENTION SCHEDULE: CITY CLERK
SANTA CLARA, CA.**

CC-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
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CITY CLERK / ELECTIONS - STAND-ALONE (in the event the County does not conduct a Consolidated Election)							
CC-071	City Clerk	Election Correspondence	Absentee Applications, Roster of Absentee Applications		6 months	6 months	EC §17505
CC-072	City Clerk	Election Correspondence	Absentee Identification Envelopes		6 months	6 months	EC §17302
CC-073	City Clerk	Election Initiatives	Annexation Petitions, Protests and Withdrawals		1 year	1 year	Law requires 1 year for petitions; GC §50115
CC-074	City Clerk	Election Correspondence	Assessment District Ballots & Envelopes - Prop. 218 proceedings		6 months	6 months	Department preference to be consistent with other types of ballots; Statewide guidelines propose permanent; EC §§ 17302, 17306; CA Constitution Art. XIII
CC-075	City Clerk	Election Correspondence	Ballots - After Election		6 months	6 months	EC §17302
CC-076	City Clerk	Election Correspondence	Ballots - After Recount		6 months	6 months	EC §17306
CC-077	City Clerk	Election Correspondence	Challenged & Assisted Voters List		6 months	6 months	If uncontested, EC §17304
CC-078	City Clerk	Election Correspondence	Inspector Receipts for Ballots		6 months	6 months	EC 17302, 17306
CC-079	City Clerk	Election Correspondence	Precinct Officer Appointments		6 months	6 months	EC §17503
CC-080	City Clerk	Report	Roster of Voters		5 years	5 years	EC §17300
CC-081	City Clerk	Election Correspondence	Tally Sheets		6 months	6 months	EC §17304
CC-082	City Clerk	Election Correspondence	Voter Index Copies used as the Voting Record at Polling Places		6 months	6 months	EC §17304
CC-083	City Clerk	Report	Voter Index Original		5 years	5 years	EC §17001

RECORDS RETENTION SCHEDULE: CITY MANAGER SANTA CLARA, CA.

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	(OFR)						
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CITY MANAGER							
CM-001	City Manager	Non-Record	Associations / Outside Organizations (Chamber of Commerce, ICMA, League of California Cities, etc.)	None		None	Non-records
CM-002	Finance / City Clerk	Correspondence	Budgets (copies)	2 years		2 years	GC §34090.7
CM-003	City Manager	Complaints	Cable TV - Complaints regarding Cable Services	2 years		2 years	GC §34090 et seq.
CM-004	City Manager	Non-Record	Cable TV - Video Recordings - Public Service Announcements, Special Events, Non-City Business, Community Programming.	None		None	Non-records; GC §34090 et seq.
CM-005	City Clerk	Correspondence	Cable TV - Video Recordings / Tapes of Board and Commission meetings - City Council, RDA, SOSA, Stadium Authority, HA Meetings (copies)	2 years		2 years	Department preference; Video tapes are required for only 90 days; GC §34090.7
CM-006	City Manager	Subject	City Council Assignments	5 years		5 years	Department preference; GC §34090
CM-007	City Manager	Subject	City Manager Assignments	5 years		5 years	Department preference; GC §34090
CM-008	City Manager	Correspondence	City Manager Directives / Policy & Procedure Handbook (Revision History)	Superseded + 2 years		Superseded + 2 years	Department preference; GC §34090
CM-009	City Manager	Correspondence	City Manager Reports to Council	2 years		2 years	GC §34090
CM-010	City Manager	Correspondence	Closed Session Binders	Completion + 2 years		Completion + 2 years	Department Preference; GC §34090
CM-011	City Manager	Correspondence	Committee Files	2 years		2 years	Department Preference; GC §34090
CM-012	City Manager	Complaints	Complaints / Concerns / CMAs / Non-CMAs	2 years		2 years	Department Preference; GC §34090
CM-013	City Manager	Reference	Complaints Log	P		P	Department Preference; GC §34090
CM-014	City Manager	Correspondence	Council Files	2 years		2 years	Department Preference; GC §34090
CM-015	City Manager	Correspondence	Department Files / Department Head Meeting Files	2 years		2 years	Department Preference; GC §34090
CM-016	City Manager	Correspondence	Employee Relations Oversight Files	2 years		2 years	Department Preference; GC §34090
CM-017	City Manager	Correspondence	Employee Suggestion Files	2 years		2 years	GC §34090
CM-018	City Manager	Correspondence	Ethics Training (AB1234)	2 years		2 years	City Clerk maintains Training Certificates; GC §34090

**RECORDS RETENTION SCHEDULE: CITY MANAGER
SANTA CLARA, CA.**

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CM-019	City Manager	Correspondence	Events Take our Children to Work Day, Public Safety providers Week, Public Employees Recognition Week, Service Award Luncheon, Volunteer Recognition Combined Giving Campaign, Outgoing Council Event, Holiday Decorations, Those Who Inspire Award, Neil Henry Volunteer Award, All Fired Up Sculpture Show, Art & Sculpture Show, Street Dance, Concerts in the Park, Art in the Air, Santa Clara Chorale, Santa Clara Ballet, Mission City Opera, Santa Clara Players, keep Santa Clara Clean, Oaths of Office Ceremonies, etc.	2 years		2 years	Department Preference; GC §34090
CM-020	City Manager	Correspondence	Filming Permits	2 years		2 years	GC §34090
CM-021	City Manager	Grand Jury	Grand Jury Reports Pertaining to City Operations	10 years		10 years	Department Preference (consistent with Grand Jury requirements); GC §34090
CM-022	City Manager	Correspondence	Legislative Correspondence Information, Positions, League Conference Resolutions	2 years		2 years	GC §34090
CM-023	City Manager	Correspondence	Local Emergency Services Oversight Files	2 years		2 years	Department Preference; GC §34090
CM-024	City Manager	Subject	Redevelopment Agency Project Oversight Files Includes Downtown Revitalization Project	5 years		5 years	Department Preference; GC §34090
CM-025	City Manager / Lead Dept.	Subject	Special Projects, Research, Programs, Subject & Issues (Issues and/or projects will vary over time) Airport, Annexations, Arena, APPA, Bayshore North, Bowers Avenue, El Camino Re-Route, Federal Power, 49ers, Hotels, Urban Renewal, etc.)	5 years		5 years	GC §34090
CM-026	City Manager	Non-Record	State, County, Other Cities (San Jose, etc.), San Jose - Santa Clara Water Pollution Control Plant, School District, etc.	None		None	Non-records
CM-027	City Manager	Correspondence	Training and Safety Oversight Files	2 years		2 years	Department Preference; GC §34090

**RECORDS RETENTION SCHEDULE: CITY MANAGER
SANTA CLARA, CA.**

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CM-028	City Manager	Volunteer	Volunteer Forms	5 years		5 years	Department Preference; GC §34090
CM-029	City Manager	Timekeeping	Volunteer Timecards	4 years		4 years	Department Preference; GC §34090

RECORDS RETENTION SCHEDULE: CITY MANAGER SANTA CLARA, CA.

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COMMUNITY RELATIONS							
CM-030	City Manager / Commun. Relations	Correspondence	City Store Products <i>Santa Clara Chamber of Commerce</i>	2 years		2 years	GC §34090
CM-031	City Manager / Commun. Relations	Historical Documents/ Artifacts	Photographs of Significant Historical Value (Council Members, City Staff, etc.)	P		P	Department preference; GC §34090
CM-032	City Manager / Lead Dept.	Subject	Projects, Programs, Subject & Issues (Issues and/or projects will vary over time) Includes Newsletters	Completion + 5 years		Completion + 5 years	GC §34090
CM-033	City Clerk	Correspondence	Publications (copies) Inside Santa Clara, City Corner, Mission City Scenes, City Calendar and etc.	2 years		2 years	Transfer historical publications to the City Clerk; GC §34090
CM-034	City Manager / Commun. Relations	Correspondence	Sister City Program Izumo, Coimbra & Ireland	2 years		2 years	GC §34090
CM-035	City Manager / Commun. Relations	Non-Record	Speeches	None		None	Notes, drafts, or preliminary documents; GC §34090 et seq.

RECORDS RETENTION SCHEDULE: CITY MANAGER SANTA CLARA, CA.

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ECONOMIC DEVELOPMENT							
CM-036	City Manager / Econ. Develop.	Correspondence	Business Retention / Business Recognition	2 years		2 years	Department Preference; GC §34090
CM-037	City Manager / Econ. Develop.	Subject	Economic Development Projects / Programs	5 years		5 years	Department Preference; GC §34090
CM-038	City Clerk	Correspondence	Property Management Files: Deeds, Title Insurance, Easements, etc. (copies)	2 years		2 years	GC §34090.7
CM-039	City Clerk	Subject	Property Management Files: Leases, Tenants, etc. (Original contracts to City Clerk)	Completion + 5 years		Completion + 5 years	Department Preference; Statute of Limitations is 4 years; CCP §§337. 337.1(a), 337.15, 343; GC §34090
CM-040	City Manager / Econ. Develop.	Correspondence	Prospects: Economic Development Projects / Correspondence	2 years		2 years	Department Preference; GC §34090
CM-041	City Manager / Econ. Develop.	Correspondence	Public Affairs (Correspondence regarding legislation / State & Federal bills)	2 years		2 years	Department Preference; GC §34090
CM-042	City Manager / Econ. Develop.	Reference	Real Estate Acquisition Files - Purchased Property May Include Original Deeds and Title Insurance - Send originals to the City Clerk	P		P	Department preference (deeds and title insurance may not have been consistently sent to the City Clerk in the past); GC §34090
CM-043	City Manager / Econ. Develop.	Correspondence	Real Estate Appraisal Reports - Property NOT Purchased	2 years		2 years	Department preference (not accessible to the public); GC §§34090, 6254(h)
CM-044	City Manager / Econ. Develop.	Subject	Real Estate Appraisal Reports - Purchased Property	5 years		5 years	Department preference (not accessible to the public until close of escrow); USPAP (Uniform Standards of Professional Appraisal Practice) ethical standards require appraisers to retain records for at least 5 years, or final disposition + 2 years, if used in a judicial proceeding; statewide guidelines show 2 years; GC §§34090, 6254(h)
CM-045	City Manager / Econ. Develop.	Reference	Redevelopment Project Files	5 years	P	P	Department Preference (original DDAs and OPAs are maintained by the City Clerk) GC §34090

**RECORDS RETENTION SCHEDULE: CITY MANAGER
SANTA CLARA, CA.**

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CM-046	City Manager / Econ. Develop.	Reference	Redevelopment Project Files: Convention Center, Great America	Project Completion + 5 years	P	P	Department Preference; GC §34090
CM-047	City Manager / Econ. Develop.	Reference	Site Clearance / Soils Remediation / Mitigation	P		P	Department preference; GC §34090

RECORDS RETENTION SCHEDULE: ELECTRIC UTILITY SANTA CLARA, CA.

EU-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
				Active (in office)	Inactive (Records Center)	Total Retention	
	(OFR)						
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ADMINISTRATIVE SERVICES & FIBER ENTERPRISE							
EU-001	Electric Utility / Admin. Services & Fiber Enter.	Correspondence	Bill Inserts / Mission City Scenes, etc.	2 years		2 years	GC §34090
EU-002	Electric Utility / Admin. Services & Fiber Enter.	Reference	California Energy Commission (CEC) Licenses and Regulatory	P		P	Department Preference; GC §34090
EU-003	Electric Utility / Admin. Services & Fiber Enter.	Report	California Energy Commission (CEC) Reports	5 years		5 years	Department Preference; GC §34090
EU-004	Electric Utility / Admin. Services & Fiber Enter.	Project Admin	Capital Improvement Projects (CIP) / Jobs: <u>Administration File</u> Project Administration, Certified Payrolls, Construction Management Logs, Daily Inspection Diary, Project Schedules, Progress meetings, etc.	Upon Completion	10 years or After Funding Agency Audit, if required, whichever is longer	Completion + 10 years or After Funding Agency Audit, if required, whichever is longer	Some grant funding agencies require audits; Statute of Limitations for Errors & Omissions is 10 years; Published Audit Standards=4-7 years; Statute of Limitations: Contracts & Spec's=4 years, Wrongful Death=comp. + 5 years, Developers=comp. + 10 years; Statewide guidelines propose termination + 5 years; CCP §§336(a), 337 et. seq., GC §34090
EU-005	Electric Utility / Admin. Services & Fiber Enter.	Project	Capital Improvement Projects (CIP) / Jobs: Permanent File Plans, Record Drawings / "As Builts", Specifications, Bids/RFPs, Successful Proposal, Change Orders, Inspections, Materials Testing Reports, Grading Permits, Hazardous Materials Reports, Notice of Completion, O&M Manuals, Photos, Real Estate Appraisals, Soils Reports, Studies, Submittals, Surveys, etc.	Upon Completion	P	P	Department preference; retained for disaster preparedness purposes; Statewide guidelines propose Permanent for Infrastructure plans; GC §34090

RECORDS RETENTION SCHEDULE: ELECTRIC UTILITY SANTA CLARA, CA.

EU-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
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EU-006	Electric Utility / Admin. Services & Fiber Enter.	Correspondence	Chronological File	2 years		2 years	GC §34090
EU-007	Electric Utility / Admin. Services & Fiber Enter.	Report	Correspondence with Regulatory Agencies	5 years		5 years	Department Preference; GC §34090
EU-008	Street & Automotive Services	Temporary Holding	Daily Vehicle & Equipment Safety Checks / Vehicle Inspections / Daily Equipment Checks	Send to Automotive Services		Send to Automotive Services	GC §34090 et seq.
EU-009	Electric Utility / Admin. Services & Fiber Enter.	Reference	Drawings / Record Drawings / "As Builts" Drawing List	P		P	Department Preference; GC §34090
EU-010	Electric Utility / Admin. Services & Fiber Enter.	Estimates	Estimates - Preliminary, In Process, Completed Estimate Logs	Upon Completion	P	P	Department Preference; GC §34090
EU-011	Electric Utility / Admin. Services & Fiber Enter.	Reference	Facility Histories / Infrastructure (Black Butte, Stoney Gorge, Highline, Grizzly, etc.)	P		P	Department Preference; GC §34090
EU-012	Electric Utility / Admin. Services & Fiber Enter.	Inspections	FERC (Federal Energy Regulatory Commission) Inspections	10 years	Life of Facility + 10 years	Life of Facility + 10 years	Department Preference; GC §34090

RECORDS RETENTION SCHEDULE: ELECTRIC UTILITY SANTA CLARA, CA.

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EU-013	Electric Utility / Admin. Services & Fiber Enter.	Reference	FERC (Federal Energy Regulatory Commission) Licenses and Regulatory Correspondence	P		P	Department Preference; GC §34090
EU-014	Electric Utility / Admin. Services & Fiber Enter.	N/A	Maps: Block, Tract	Superseded		Superseded	Non-records
EU-015	Electric Utility / Admin. Services & Fiber Enter.	Reference	Maps: System (Windmills, etc.)	P		P	Department Preference; GC §34090
EU-016	Electric Utility / Admin. Services & Fiber Enter.	Project Admin	Preliminary Studies / Project Assessments (Not Acquired / Not Constructed)	10 years		10 years	Department Preference; GC §34090
EU-017	City Clerk	Correspondence	Rates (copies)	2 years		2 years	GC §34090.7
EU-018	Electric Utility / Admin. Services & Fiber Enter.	Reference	Research of Significant Historical Value	P		P	Department Preference; GC §34090
EU-019	Electric Utility / Admin. Services & Fiber Enter.	Non-Record	Research: Co-Generation, Geothermal, etc.	None		None	Preliminary drafts not retained in the ordinary course of business; GC §34090
EU-020	City Clerk	Reference	Right of Ways / Easements	P		P	Department Preference; GC §34090.7

**RECORDS RETENTION SCHEDULE: ELECTRIC UTILITY
SANTA CLARA, CA.**

EU-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
				Active (in office)	Inactive (Records Center)	Total Retention	
	(OFR)						
<i>If the record is not listed here, refer to the Retention for City-Wide Standards</i>							
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>							
<i>Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>							
EU-021	Public Works / Engineering	Correspondence	Street Lights / Traffic Signals (copies)	2 years		2 years	GC §34090.7

RECORDS RETENTION SCHEDULE: ELECTRIC UTILITY SANTA CLARA, CA.

EU-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
				Active (in office)	Inactive (Records Center)	Total Retention	
	(OFR)						
<i>If the record is not listed here, refer to the Retention for City-Wide Standards</i>							
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>							
<i>Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>							
CUSTOMER SERVICE & MARKETING							
EU-022	Finance / Accounting	Correspondence	Accounts Receivable Administration (Memoranda regarding Fiber, Pole Contacts, etc.)	2 years		2 years	GC §34090.7
EU-023	Electric Utility / Customer Services & Marketing	Correspondence	Education Programs / Marketing Programs (booths at Art & Wine, Advanced Metering Program, etc.)	2 years		2 years	Department Preference; GC §34090
EU-024	Electric Utility / Customer Services & Marketing	Correspondence	Home Energy Audits	2 years		2 years	GC §34090
EU-025	Electric Utility / Customer Services & Marketing	Correspondence	Large Customer Meetings, Public Relations	2 years		2 years	Department Preference; GC §34090
EU-026	Electric Utility / Customer Services & Marketing	Correspondence	Public Benefit Programs (Residential Rebates, Financial Rate Assistance Aps)	2 years		2 years	Department Preference; GC §34090
EU-027	Lead Dept.	Correspondence	Public Relations / Press Releases	2 years		2 years	Department Preference; GC §34090
EU-028	Electric Utility / Customer Services & Marketing	Subject	Rebate Programs (Commercial Rebates)	5 years		5 years	Department Preference (meets municipal government auditing standards); GC §34090

RECORDS RETENTION SCHEDULE: ELECTRIC UTILITY SANTA CLARA, CA.

EU-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
	(OFR)			Active (in office)	Inactive (Records Center)	Total Retention	
If the record is not listed here, refer to the Retention for City-Wide Standards							
Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.							
Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).							
ENERGY DISTRIBUTION							
EU-029	Electric Utility / Energy Distribution	Correspondence	Complaint Tags / Service Tags (Short circuit inquiries, fault current studies, voltage complaints)	2 years		2 years	GC §34090
EU-030	Street & Automotive Services	Temporary Holding	Daily Vehicle & Equipment Safety Checks / Vehicle Inspections / Daily Equipment Checks	Send to Automotive Services		Send to Automotive Services	GC §34090 et seq.
EU-031	City Clerk	Correspondence	Department Activity Reports / Performance Benchmark Reports / Performance Measurement Reports / Monthly Activity Reports (copies)	2 years		2 years	Send all originals to the City Clerk, who compiles the reports GC §34090.7
EU-032	Lead Dept.	Regulatory Timekeeping	DOT Timecards (Department of Transportation)	10 years		10 years	Department preference (DOT request); GC §34090 et seq.
EU-033	Electric Utility / Energy Distribution	Source	Driver's License Tracking Database	Indefinite		Indefinite	Data is interrelated; GC §34090
EU-034	Electric Utility / Energy Distribution	Correspondence	Emergency On-Call / Sign-up List, Tracking	2 years		2 years	GC §34090
EU-035	Electric Utility / Energy Distribution	Correspondence	Emergency Plans	Superseded + 2 years		Superseded + 2 years	Department Preference; GC §34090
EU-036	Electric Utility / Maint & Ops	Correspondence	Equipment Maintenance History	Life of Equipment + 2 years		Life of Equipment + 2 years	Department Preference; GC §34090
EU-037	Electric Utility / Maint & Ops	Correspondence	Equipment Manuals	Life of Equipment + 2 years		Life of Equipment + 2 years	Department Preference; GC §34090
EU-038	Electric Utility / Energy Distribution	Correspondence	Estimates - Preliminary, In Process, Completed (Redlines) After entry into GIS Preliminary Project Clearance Files	2 years		2 years	Preliminary documents; GC §34090

RECORDS RETENTION SCHEDULE: ELECTRIC UTILITY SANTA CLARA, CA.

EU-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
	(OFR)			Active (in office)	Inactive (Records Center)	Total Retention	
If the record is not listed here, refer to the Retention for City-Wide Standards							
Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.							
Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).							
EU-039	Electric Utility / Energy Distribution	Reference	Insurance Policies (Electric Utility Only) - GENERAL LIABILITY	P		P	Department preference for liability purposes; CCP §337 et seq.; GC §34090
EU-040	Electric Utility / Energy Distribution	Correspondence	Insurance Policies (Electric Utility Only) - PROPERTY, FIRE, THEFT, etc.	Expiration + 2 years		Expiration + 2 years	Department preference; GC §34090
EU-041	Electric Utility / Energy Distribution	Correspondence	Labor Management Minutes	2 years		2 years	GC §34090
EU-042	Fire, Electric Utility / Maint & Ops	Reference	Maintenance History Records (Power Plants, Generators, Transformers, etc.)	P		P	Department Preference; GC §34090
EU-043	Electric Utility / Energy Distribution	Subject	Manifest (EPA Standard)	5 years		5 years	Department preference; GC §34090
EU-044	Electric Utility / Energy Distribution	Source	Meter Databases: Data pulse, Remote Locations, Tampering, Time of Day, etc. (Load Forecasts)	Indefinite		Indefinite	Data is interrelated; GC §34090
EU-045	Electric Utility / Energy Distribution	Safety	MSDS (Material Safety Sheets)	30 years		30 years	Department Preference; GC §34090
EU-046	Electric Utility / Energy Distribution	Subject	Oil Analysis Results (Transformers have PCBs)	5 years once removed from City		5 years once removed from City	Department Preference; PCB records are 3 - 5 years; Used Oil is 3 years; 40 CFR 761.180; 22 CCR 66266.130(c)(5), H&S §25250.18(b)(3), 25250.19(a)(2)(B) et seq.; GC §34090

RECORDS RETENTION SCHEDULE: ELECTRIC UTILITY SANTA CLARA, CA.

EU-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
	(OFR)			Active (in office)	Inactive (Records Center)	Total Retention	
If the record is not listed here, refer to the Retention for City-Wide Standards							
Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.							
Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).							
EU-047	Human Resources / Risk Manag.	Citations	OSHA Insurance Certificates, Inspections & Citations, Log 300	5 years		5 years	Per 1904.4 of 29CFR; GC §34090.7
EU-048	Electric Utility / Energy Distribution	Source	Power Outage Report Database	Indefinite		Indefinite	Data is interrelated; GC §34090
EU-049	Electric Utility / Energy Distribution	Correspondence	Power Outage Reports (copies)	2 years		2 years	GC §34090.7
EU-050	Electric Utility / Energy Distribution	Source	SCADA Database (Supervisory Control and Data Acquisition) - Electric	Indefinite		Indefinite	Data is interrelated; system qualifies as a "trusted system"; GC §§34090, 12168.7
EU-051	Electric Utility / Energy Distribution	Inspections	Street Light Repairs	10 years		10 years	Department preference; GC §34090
EU-052	Electric Utility / Energy Distribution	Subject	Substations, Receiving Stations, Switching Stations: Daily Operation Logs & Reports (Control)	5 years		5 years	Department Preference; GC §34090
EU-053	Electric Utility / Energy Distribution	Correspondence	Substations, Receiving Stations, Switching Stations: Equipment Drawings and Maintenance Records	Life of Equipment + 2 years		Life of Equipment + 2 years	Department Preference; GC §34090
EU-054	Electric Utility / Energy Distribution	Reference	Substations, Receiving Stations, Switching Stations: Test Reports, Station Log, Inspection Sheets and Breaker Change Outs	P		P	Department Preference; GC §34090

RECORDS RETENTION SCHEDULE: ELECTRIC UTILITY SANTA CLARA, CA.

EU-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
	(OFR)			Active (in office)	Inactive (Records Center)	Total Retention	
If the record is not listed here, refer to the Retention for City-Wide Standards							
Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.							
Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).							
EU-055	Electric Utility / Energy Distribution	Subject	Switching Orders	5 years		5 years	Department Preference; GC §34090
EU-056	Electric Utility / Energy Distribution	Reference	Traffic Signal Log Book	P		P	Department Preference; GC §34090
EU-057	Electric Utility / Energy Distribution	Reference	Traffic Signal Repairs	P		P	Department Preference; GC §34090
EU-058	Electric Utility / Energy Distribution	Subject	Tree Trimming	5 years		5 years	Department Preference; GC §34090
EU-059	Electric Utility / Energy Distribution	Reference	Underground & Overhead: Inspections Maps UG & OH	P		P	Department Preference; GC §34090
EU-060	Electric Utility / Energy Distribution	Source	Underground & Overhead: Repair / Maintenance Tags (Database) UG & OH	Indefinite		Indefinite	Department Preference; GC §34090
EU-061	Electric Utility / Energy Distribution	Subject	Underground Service Alerts (USA) Locates: Utility Cuts, etc.	5 years		5 years	Department Preference (the warrantee period for work done is 5 years); GC §34090
EU-062	Electric Utility / Energy Distribution	Correspondence	Utility Standards (Core Process Workshop)	Superseded + 2 years		Superseded + 2 years	Department Preference; GC §34090
EU-063	Lead Dept.	Incident Reports	Vehicle Accidents	2 years		2 years	Send significant accident events to City Attorney.

**RECORDS RETENTION SCHEDULE: ELECTRIC UTILITY
SANTA CLARA, CA.**

EU-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
				Active (in office)	Inactive (Records Center)	Total Retention	
	(OFR)						
<i>If the record is not listed here, refer to the Retention for City-Wide Standards</i>							
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>							
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EU-064	Finance	Correspondence	Weed Abatement Charges (copies)	2 years		2 years	GC §34090.7
EU-065	Depart. Providing Service / Work	Source	Work Orders / Service Requests CMMS DATABASE (Computerized Maintenance Management System)	Indefinite		Indefinite	Data is interrelated; GC §34090
EU-066	Depart. Providing Service / Work	Subject	Work Orders / Service Requests - NOT entered in CMMS Database (or partial information entered into CMMS Database) (Division providing service retains originals; Division requesting service is considered a copy)	5 years		5 years	City preference; CCP §§338 et seq., 340 et seq., 342, GC §§945.6, GC §34090

RECORDS RETENTION SCHEDULE: ELECTRIC UTILITY SANTA CLARA, CA.

EU-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
	(OFR)			Active (in office)	Inactive (Records Center)	Total Retention	
If the record is not listed here, refer to the Retention for City-Wide Standards							
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Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).							
HYDRO ENGINEERING PLANTS and SUBSTATIONS (DVR / Pico, Grizzly, etc.)							
EU-067	Electric Utility / Hydro Eng. Plants	Project Admin	Capital Improvement Projects (CIP) / Jobs: <u>Administration File</u> Project Administration, Certified Payrolls, Construction Management Logs, Daily Inspection Diary, Project Schedules, Progress meetings, etc.	Upon Completion	10 years or After Funding Agency Audit, if required, whichever is longer	Completion + 10 years or After Funding Agency Audit, if required, whichever is longer	Some grant funding agencies require audits; Statute of Limitations for Errors & Omissions is 10 years; Published Audit Standards=4-7 years; Statute of Limitations: Contracts & Spec's=4 years, Wrongful Death=comp. + 5 years, Developers=comp. + 10 years; Statewide guidelines propose termination + 5 years; CCP §§336(a), 337 et. seq., GC §34090
EU-068	Electric Utility / Hydro Eng. Plants	Project	Capital Improvement Projects (CIP) / Jobs: Permanent File Plans, Record Drawings / "As Builts", Specifications, Bids/RFPs, Successful Proposal, Change Orders (Work Authorizations), Inspections, Materials Testing Reports, Grading Permits, Hazardous Materials Reports, Notice of Completion, O&M Manuals, Photos, Real Estate Appraisals, Soils Reports, Studies, Submittals, Surveys, etc.	Upon Completion	P	P	Department preference; retained for disaster preparedness purposes; Statewide guidelines propose Permanent for Infrastructure plans; GC §34090
EU-069	Electric Utility / Hydro Eng. Plants	Correspondence	CEMS Data (Continuous Emissions Monitoring System)	Life of the Plant + 2 years		Life of the Plant + 2 years	Department preference; GC §34090 et seq.
EU-070	Lead Dept.	Logs	Confined Space Entries & Logs (Permitted entries into confined spaces such as sewers and storm drains in order to comply with regulations)	3 years		3 years	Code of Federal Regulations requires 3 years; 40 CFR 122.41(j)(2)
EU-071	Electric Utility / Hydro Eng. Plants	Training	Contract Employee Training Files	Separation + 7 years		Separation + 7 years	Department preference; OSHA requires safety training 5 years; EEOC/FLSA/ADEA (Age) requires 3 years for promotion, demotion, transfer, selection, or discharge; State Law requires 2 -3 years; 29 CFR 1627.3(b)(ii), 8 CCR §3204(d)(1) et seq., GC §§12946, 34090

RECORDS RETENTION SCHEDULE: ELECTRIC UTILITY SANTA CLARA, CA.

EU-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
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EU-072	Electric Utility / Hydro Eng. Plants	Correspondence	Daily Vehicle & Equipment Safety Checks / Vehicle Inspections / Daily Equipment Checks (Forklifts, etc.)	2 years		2 years	GC §34090 et seq.
EU-073	Electric Utility / Hydro Eng. Plants	Correspondence	Equipment Certifications, Inspections, Testing, Base Readings, etc.	Life of Equipment + 2 years		Life of Equipment + 2 years	Department preference; GC §34090 et seq.
EU-074	Electric Utility / Hydro Eng. Plants	Reference	Gas Pipelines, Maintenance, X-rays	P		P	Department Preference; GC §34090
EU-075	Electric Utility / Hydro Eng. Plants	Correspondence	Logs: Visitor Log, Operator Log, Hydro / Substation Logs, Shift Turnovers, etc.	2 years		2 years	GC §34090 et seq.
EU-076	Electric Utility / Hydro Eng. Plants	Report	NPDES Monitoring Reports	5 years		5 years	NPDES Monitoring records required for 3 years in Federal law; 40 CFR §§122.21, 122.41
EU-077	Electric Utility / Hydro Eng. Plants	Correspondence	Permits - Various (Pressure Vessels, etc.)	Expiration + 2 years		Expiration + 2 years	Department preference; GC §34090 et seq.
EU-078	Electric Utility / Hydro Eng. Plants	Reference	Plans & Drawings / Records Drawings / "As Builts"	Completion + 5 years	P	P	Drafts should be destroyed; GC §34090, 34090
EU-079	Electric Utility / Hydro Eng. Plants	Reference	Projects & Facilities: INFRASTRUCTURE Final Specifications and Plans (Power Plants, Generators, Property Improvements, etc.)	Completion + 2 years	P	P	Statewide guidelines propose 7 years; 2 years for blueprints & specifications; Statute of Limitations is 4 years; 10 years for Errors & Omissions; CCP §§337. 337.1(a), 337.15, GC §34090

RECORDS RETENTION SCHEDULE: ELECTRIC UTILITY SANTA CLARA, CA.

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				Active (in office)	Inactive (Records Center)	Total Retention	
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EU-080	Electric Utility / Hydro Eng. Plants	Correspondence	Regulatory Agency Correspondence	Life of the Plant + 2 years		Life of the Plant + 2 years	Department Preference; GC §34090
EU-081	Electric Utility / Hydro Eng. Plants	Subject	Round Sheets (Fire Extinguishers)	5 years		5 years	Department Preference; GC §34090
EU-082	Electric Utility / Hydro Eng. Plants	Correspondence	Self-contained Breathing Apparatus (SCBA)	Expiration of Certificate + 2 years		Expiration of Certificate + 2 years	Certificates are issued for 3-5 years; GC §34090 et. seq.
EU-083	Electric Utility / Hydro Eng. Plants	Subject	Underground Service Alerts (USA) Locates: Utility Cuts, etc.	5 years		5 years	Department Preference (the warrantee period for work done is 5 years); GC §34090

RECORDS RETENTION SCHEDULE: ELECTRIC UTILITY SANTA CLARA, CA.

EU-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
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RESOURCES							
EU-84	Electric Utility / Resources	Project Admin	Capital Improvement Projects (CIP) / Jobs: <u>Administration File</u> Project Administration, Certified Payrolls, Construction Management Logs, Daily Inspection Diary, Project Schedules, Progress meetings, etc.	Upon Completion	10 years or After Funding Agency Audit, if required, whichever is longer	Completion + 10 years or After Funding Agency Audit, if required, whichever is longer	Some grant funding agencies require audits; Statute of Limitations for Errors & Omissions is 10 years; Published Audit Standards=4-7 years; Statute of Limitations: Contracts & Spec's=4 years, Wrongful Death=comp. + 5 years, Developers=comp. + 10 years; Statewide guidelines propose termination + 5 years; CCP §§336(a), 337 et. seq., GC §34090
EU-085	Electric Utility / Resources	Project	Capital Improvement Projects (CIP) / Jobs: Permanent File Plans, Record Drawings / "As Builts", Specifications, Bids/RFPs, Successful Proposal, Change Orders, Inspections, Materials Testing Reports, Grading Permits, Hazardous Materials Reports, Notice of Completion, O&M Manuals, Photos, Real Estate Appraisals, Soils Reports, Studies, Submittals, Surveys, etc.	Upon Completion	P	P	Department preference; retained for disaster preparedness purposes; Statewide guidelines propose Permanent for Infrastructure plans; GC §34090
EU-086	Electric Utility / Resources	Claim	Claims / Litigation (Specialized for Electric Utility FERC, etc)	Resolution + 5 years		Resolution + 5 years	Claim must be filed within 1 year, lawsuit within 2 years; complaints against peace officers within 5 years; Statute of Limitations for contracts is 4 years; wrongful death for construction is completion + 5 years; CCP §§ 337 et seq.; GC §§ 911.2, 945, 34090, 34090.6; PC §832.5
EU-087	Electric Utility / Resources	Power Trading	Power Trading / Power Scheduling Counterparty Status Report	2 years	8 years	10 years	Department Preference; GC §34090
EU-088	Electric Utility / Resources	Power Trading	Power Trading / Power Scheduling Month End Risk Position and VaR Reports	2 years	8 years	10 years	GC §34090

RECORDS RETENTION SCHEDULE: ELECTRIC UTILITY SANTA CLARA, CA.

EU-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
	(OFR)			Active (in office)	Inactive (Records Center)	Total Retention	
If the record is not listed here, refer to the Retention for City-Wide Standards							
Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.							
Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).							
EU-089	Electric Utility / Resources	Power Trading	Power Trading / Power Scheduling (Check Out Worksheets)	Completion + 3 years	7 years	Completion + 10 years	Department Preference (auditing standards are 5 years); GC §34090
EU-090	Electric Utility / Resources	Power Trading	Power Trading / Power Scheduling (Confirmations, Invoices)	3 years	7 years	10 years	Department Preference (auditing standards are 5 years); GC §34090
EU-091	Electric Utility / Resources	Power Trading	Power Trading / Power Scheduling (Generation Worksheets)	2 years	8 years	10 years	Department Preference; GC §34090
EU-092	Electric Utility / Resources	Power Trading	Power Trading / Power Scheduling (Pathing Sheets)	3 years	7 years	10 years	Department Preference (auditing standards are 5 years); GC §34090
EU-093	Electric Utility / Resources	Power Trading	Power Trading / Power Scheduling (Voice Recordings)	5 years	5 years	10 years	Department Preference (auditing standards are 5 years); GC §34090
EU-094	Electric Utility / Resources	Reference	Properties - Records of Significant Historical Value (Altamont, Benicia, Loyalton)	P		P	Department Preference; GC §34090
EU-095	Electric Utility / Resources	Subject	Regulatory Agency Correspondence	5 years		5 years	Department Preference; GC §34090
EU-096	Electric Utility / Resources	Regulatory Filings	Regulatory Filings (FERC, CEC, NERC, etc.)	7 years		7 years	Department Preference; GC §34090
EU-097	Electric Utility / Resources	Power Trading	Renewables	10 years		10 years	17 CCR 95105
EU-098	Electric Utility / Resources	Subject	Risk Management Meeting Minutes / Risk Oversight Committee Meeting Minutes	5 years		5 years	Department Preference; GC §34090
EU-099	Electric Utility / Resources	Reference	Systems Support: Fiber optics / Communications / Leases	P		P	Department Preference; GC §34090

RECORDS RETENTION SCHEDULE: ELECTRIC UTILITY SANTA CLARA, CA.

EU-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
				Active (in office)	Inactive (Records Center)	Total Retention	
	(OFR)						
<i>If the record is not listed here, refer to the Retention for City-Wide Standards</i>							
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>							
<i>Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>							
EU-100	Depart. Providing Service / Work	Source	Work Orders / Service Requests CMMS DATABASE (Computerized Maintenance Management System)	Indefinite		Indefinite	Data is interrelated; GC §34090
EU-101	Depart. Providing Service / Work	Subject	Work Orders / Service Requests - NOT entered in CMMS Database (or partial information entered into CMMS Database) (Division providing service retains originals; Division requesting service is considered a copy)	5 years		5 years	City preference; CCP §§338 et seq., 340 et seq., 342, GC §§945.6, GC §34090

RECORDS RETENTION SCHEDULE: FINANCE SANTA CLARA, CA.

FIN-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
	(OFR)			Active (in office)	Inactive (Records Center)	Total Retention	
If the record is not listed here, refer to the Retention for City-Wide Standards							
Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.							
Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).							
FINANCE / ACCOUNTING SERVICES							
FIN-001	Finance / Accounting Services	Regulatory Filings	1099's Issued / W-9s	2 years	5 years	7 years	Department Preference; IRS: 4 years after tax is due or paid (longer for auditing & contractor delinquency); Ca. FTB: 3 years; 26 CFR 31.6001-1, R&T §19530, GC §34090
FIN-002	Finance / Accounting Services	AP Payments	Accounts Payable / Invoices and Backup "Pinks" and Purchase Card Statements - Originals (Includes Invoices, Travel Expense Reimbursements, Warrant Request, etc.)	2 years	5 years	7 years	Department Preference (meets municipal government auditing standards); Statewide guidelines propose audit + 4 years; Published articles show 3 - 7 years; GC §34090
FIN-003	Finance / Accounting Services	Accounts Receivable	Accounts Receivable / Refunds & Credits: Web Credit Card Payment Transfers, A/R Description Listing, Bank Group Setup, Payment Methods Setup, etc.	2 years	5 years	7 years	Department Preference to meet municipal government auditing standards and IRS guidelines for records supporting employee and federal taxes (4 yrs after tax is due or paid); 26 CFR 31.6001-1; GC §34090
FIN-004	Finance / Accounting Services	Accounts Receivable	Accounts Receivable: Rent / Property Management, Damage to Public Property, Invoices to Outside Entities, Transient Occupancy Tax (TOT),BINGO..., etc.	3 years	4 years	7 years	Department Preference; (meets municipal government auditing standards); Statewide guidelines propose audit + 4 years; Published articles show 3 - 7 years; GC §34090
FIN-005	Finance / Financial Services	Auditor Reports	Audit Reports / CAFR - Comprehensive Annual Financial Reports WORKING PAPERS	3 years	4 years	7 years	Department Preference to meet municipal government audit standards; GC §34090
FIN-006	Finance / Financial Services	Reference	Audit Reports / CAFR - Comprehensive Annual Financial Reports and related Audit Opinions	5 years	P	P	Department Preference; GC §34090
FIN-007	Finance / Financial Services	Reference	Audit Reports / Single Audits / Transportation Audits / PERS Audit, et.	5 years	P	P	Department Preference (meets municipal government auditing standards); GC §34090
FIN-008	Finance / Accounting Services	Cashiering Management	Bank and Trustee Statements, Outstanding Check Lists, Daily Cash Summaries, Bank Deposits, Bank Transmittal Advice, Cashier's Reports	2 years	3 years	5 years	Department Preference; Published articles show 3 - 4 years; GC §34090, 26 CFR 31.6001-1
FIN-009	Finance / Accounting Services	Cashiering Management	Checks / Warrants (Cashed)	2 years	3 years	5 years	Department Preference; meets municipal government auditing standards; GC §34090, CCP § 337
FIN-010	Finance / Accounting Services	Reference	Conversion of FMIS Data (Legacy Financial Application)	5 years	P	P	Department Preference; GC §34090

RECORDS RETENTION SCHEDULE: FINANCE SANTA CLARA, CA.

FIN-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
				Active (in office)	Inactive (Records Center)	Total Retention	
	(OFR)						
<i>If the record is not listed here, refer to the Retention for City-Wide Standards</i>							
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>							
<i>Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>							
FIN-011	Finance / Accounting Services	Cashiering Management	Escheat (Unclaimed money / uncashed checks)	2 years	3 years	5 years	Department preference; All tangible property held by government agencies escheats after 3 years; Statute of Limitations is 1 year for seized property; Meets auditing requirements; CCP §§340(4), 1519; GC §34090
FIN-012	Finance / Accounting Services	Source	Financial Systems Databases PEOPLESOFT/HARRIS	Indefinite		Indefinite	Data Fields / Records are interrelated; GC §34090
FIN-013	Finance / Accounting Services	Auditor Reports	Fixed Assets - Annual Listing (Source Documents)	7 years		7 years	Includes permanent assets (for compliance with GASB 34); GC §34090
FIN-014	Finance / Accounting Services	General Ledger	General Ledger: Final year-end AND Chart of Accounts / Organization Structure (Print out when Rollover is Done)	5 years	5 years	10 years	Published articles show 3 -10 years; GC §34090
FIN-015	Finance / Accounting Services	General Ledger	Journal Entries / Journal Vouchers / Budget Transfers Includes Supporting Documentation	3 years	7 years	10 years	Department Preference; meets municipal government auditing standards; Statute of Limitations is 4 years; statewide guidelines propose Audit + 5 years; GC §34090, CCP § 337
FIN-016	Finance / Accounting Services	Report	Metaviewer Reports	5 years		5 years	Department preference; statewide guidelines propose 2 years; GC §34090
FIN-017	Finance / Accounting Services	Auditor Reports	Reports, Subsidiary Ledgers, Reconciliations, Registers, Transaction Histories, Balance Sheets, Proof & Merge Reports, Labor Distribution, etc. (MONTHLY OR PERIODIC) Does NOT include year-end General Ledger, or those in the Metaviewer database.	7 years		7 years	Transitory records not retained in the ordinary course of business Financial system qualifies as a trusted system and can re-create reports accurately; statewide guidelines propose 2 years; GC §34090
FIN-018	Finance / Accounting Services	Report	Reports: Annual State or Federal: State Controller's Report, Street Report, etc.	5 years		5 years	Department Preference; Meets auditing standards; GC §34090
FIN-019	Finance / Accounting Services	Subject	Special Assessments: Engineers Report & Correspondence, Audit Records, Treasurer Records	2 years	3 years	5 years	Department Preference; (meets municipal government auditing standards); Statewide guidelines propose audit + 4 years; Published articles show 3 - 7 years; GC §34090

RECORDS RETENTION SCHEDULE: FINANCE SANTA CLARA, CA.

FIN-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
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<i>Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>							
FINANCE / ACCOUNTING SERVICES / PAYROLL							
FIN-020	Finance / Accounting Services / Payroll	Subject	Checks / Warrants - Cancelled - Payroll Only	2 years	3 years	5 years	Department Preference; Published articles show 3 - 4 years; GC §34090, 26 CFR 31.6001-1
FIN-021	Finance / Accounting Services / Payroll	Regulatory Filings	DE-6 & 941 Forms - Quarterly Payroll Tax Returns / OASDI	2 years	5 years	7 years	Department Preference; IRS: 4 yrs after tax is due or paid; Ca. FTB: 3 years; Articles show 7 years; IRS Reg §31.6001-1(e)(2), R&T §19530; 29 CFR 516.5 - 516.6, 29 USC 436, GC §34090
FIN-022	Finance / Accounting Services / Payroll	Auditor Reports	Deduction Files (Deferred Compensation, PERS, etc.	7 years		7 years	Department Preference; Preliminary documents used to facilitate Payroll deductions; GC §34090 et seq.
FIN-023	Finance / Accounting Services / Payroll	Auditor Reports	Deferred Compensation (City Statements)	2 years	5 years	7 years	Produced by Deferred Comp. Provider; consistent with proposed statewide guidelines; published articles for bank statements show 4 -7 years; GC §304090, 26 CFR 16001.1
FIN-024	Human Resources	Temporary Holding	Payroll Employee File	Separation + 2 years		Send to Human Resources	Department preference; Meets auditing standards (audit + 4 years); IRS requires 4 years; Ca. requires 2 yr min.; FTB keeps 3 years; Published articles show 4 - 10 years; 26 CFR 31.6001-1, R&T §19530; LC § 1174(d); 29 CFR 516.5; GC §34090
FIN-025	Finance / Accounting Services / Payroll	Temporary Holding	Payroll Employee File	2 years	3 years	Send to Human Resources	Department preference; PERS Buy-backs are reconstructed through Human Resources; Department preference; Meets auditing standards (audit + 4 years); IRS requires 4 years; Ca. requires 2 yr min.; FTB keeps 3 years; Published articles show 4 -10 years; 26 CFR 31.6001-1, R&T §19530; LC § 1174(d); 29 CFR 516.5; GC §34090
FIN-026	Finance / Accounting Services / Payroll	Auditor Reports	PERS Statements	2 years	5 years	7 years	Department Preference; GC §34090
FIN-027	Finance / Accounting Services / Payroll	Routine	Salary Schedules	4 years		4 years	Department Preference; GC §34090

**RECORDS RETENTION SCHEDULE: FINANCE
SANTA CLARA, CA.**

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				Active (in office)	Inactive (Records Center)	Total Retention	
	(OFR)						
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FIN-028	Finance / Accounting Services / Payroll	Regulatory Timekeeping	Time Sheets / Time Cards / Overtime Sheets / Overtime Cards - Hardcopies	2 years	8 years	10 years	Department preference to facilitate grant audits or claim reimbursements; Meets auditing standards (audit + 4 years); IRS requires 4 years; Ca. requires 2 yr min.; FTB keeps 3 years; Published articles show 4 - 10 years; 26 CFR 31.6001-1, R&T §19530; LC § 1174(d); GC §34090
FIN-029	Finance / Accounting Services / Payroll	Source	Time Sheets / Time Cards / Overtime Sheets / Overtime Cards - Peoplesoft (electronically)	Indefinite		Indefinite	Department Preference; GC §34090
FIN-030	Finance / Accounting Services / Payroll	Reference	W-2's	2 years	P	P	Department Preference; IRS: 4 yrs after tax is due or paid; Ca. FTB: 3 years; Articles show 7 years; 26 CFR 31.6001-1, R&T §19530; 29CFR 516.5 - 516.6, 29USC 436, GC §34090

**RECORDS RETENTION SCHEDULE: FINANCE
SANTA CLARA, CA.**

FIN-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
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FINANCE / BUDGET & TREASURY							
FIN-031	Finance / Budget & Treasury & City Clerk	Bonds Debt / Interest	Bond Official Statements / Certificates of Participations (COPs) See Bank Statements for statement retention.	Cancellation, Redemption or Maturity	10 years	Cancellation, Redemption or Maturity + 10 years	Department Preference; Statute of Limitations for bonds, mortgages, trust deeds, notes or debentures is 6 years; Bonds issued by local governments are 10 years; There are specific requirements for disposal of unused bonds; CCP §§336(a)(1) & (2), 337.5(2); GC §43900 et seq.
FIN-032	City Clerk	Correspondence	Budgets - Adopted / Final copies	2 years		2 years	Copies; GC §34090.7
FIN-033	Finance / Budget & Treasury	Subject	Budgets - Preliminary, Backup Documents, Working Papers	2 years	3 years	5 years	Department Preference; GC §34090
FIN-034	Finance / Budget & Treasury	Reference	Compliance Reports (Arbitrage Audits, etc.)	5 years	P	P	Department Preference; GC §34090
FIN-035	City Clerk	Correspondence	Financial Status Reports (to Council) copies	2 years		2 years	Copies; GC §34090.7
FIN-036	Finance / Budget & Treasury	Agreements	Ground Lease Tracking	Completion + 5 years		Completion + 5 years	Department preference; GC §34090
FIN-037	Finance / Budget & Treasury	Reference	Insurance Policies for Electric Utility Plants (Alliant)	5 years	P	P	Department preference for liability purposes; CCP §337 et seq.; GC §34090
FIN-038	Finance / Budget & Treasury	Reference	Insurance (Self-Insurance)	P		P	Department preference; GC §34090
FIN-039	Finance / Budget & Treasury	Bonds Debt / Interest	Investments / Arbitrage / Bonds (Receipts / Advisor Reports and Statements / Trade Tickets / LAIF (Local Agency Investment Fund)	Maturity	10 years	Maturity + 10 years	Department Preference; Meets auditing standards; Published articles show disposal + 7 years for security brokerage slips; statewide guidelines propose permanent; FTC Reg's rely on "self-enforcement"; GC§§ 34090, 43900
FIN-040	Finance / Budget & Treasury	Regulatory Filings	Statement of Indebtedness / Annual Report to State / State Controllers Report	7 years		7 years	Department preference; GC §34090
FIN-041	Finance / Budget & Treasury	Subject	User Fee Studies/ Cost Allocation Plan / Right-of-Way Studies	5 years		5 years	Department preference; GC §34090

**RECORDS RETENTION SCHEDULE: FINANCE
SANTA CLARA, CA.**

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FIN-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
				Active (in office)	Inactive (Records Center)	Total Retention	
	(OFR)						
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<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>							
<i>Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>							
FINANCE / MUNICIPAL SERVICES / CASHIERING & CONTACT CENTER							
FIN-042	Finance / Municipal Services / Cashiering	Cashiering Management	Cashiering Management: Applications for Credit Cards, Applications of CC Change, PAP Applications or changes, PC Charges, Daily Balancing Worksheets, Transit-log Report / CRC Worksheet, HB Electronic Hardcopy, VR/WEB POS Sales Reports / Excel Worksheets, Auto Credit Card Receipts, Armored Truck Manifests Log Books	2 years	3 years	5 years	Department Preference to meet municipal government auditing standards and IRS guidelines for records supporting employee and federal taxes (4 yrs after tax is due or paid); 26 CFR 31.6001-1; GC §34090
FIN-043	Finance / Municipal Services / Cashiering	Correspondence	Stubs with Change Requests and Incoming White Mail/Written Requests (when payment is submitted)	Final Audit + 2 years		Final Audit + 2 years	Preliminary Documents; GC §34090 et seq.

**RECORDS RETENTION SCHEDULE: FINANCE
SANTA CLARA, CA.**

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FIN-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
				Active (in office)	Inactive (Records Center)	Total Retention	
	(OFR)						
<i>If the record is not listed here, refer to the Retention for City-Wide Standards</i>							
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>							
<i>Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>							
FINANCE / MUNICIPAL SERVICES / TAX & LICENSE							
FIN-044	Finance / Municipal Services / Tax & License	Business Taxes	Business License Applications, Registrations and Renewals, Affidavit of Business License	2 years	3 years	5 years	Meets auditing standards; GC §34090 et seq.
FIN-045	Finance / Municipal Services / Tax & License	Logs	Business License Citation Logs	3 years		3 years	Department preference; GC §34090
FIN-046	Finance / Municipal Services / Tax & License	Source	H.D.L. Business License Files	Indefinite		Indefinite	Department preference; GC §34090
FIN-047	Finance / Municipal Services / Tax & License	Non-Record	Reports, Subsidiary Ledgers, Reconciliations, Registers, Transaction Histories, Balance Sheets, Proof & Merge Reports, etc. (MONTHLY OR PERIODIC)	None		None	Transitory records not retained in the ordinary course of business Financial system qualifies as a trusted system and can re-create reports accurately; statewide guidelines propose 2 years; GC §34090

**RECORDS RETENTION SCHEDULE: FINANCE
SANTA CLARA, CA.**

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FIN-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
				Active (in office)	Inactive (Records Center)	Total Retention	
	(OFR)						
<i>If the record is not listed here, refer to the Retention for City-Wide Standards</i>							
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>							
<i>Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>							
FINANCE / MUNICIPAL SERVICES / UTILITY BILLING							
FIN-048	Finance / Municipal Services / Utility Billing	Non-Record	Accounts Receivable - Utility Accounts Receivable: A/R Aging, Account Deposits, Archived G/L Postings, Trial Balance, Credit Balance Detail Report, Credit Balance Summary, G/L Posting Accounts, Trial Balance by Detail, A/R Aging	None		None	Transitory records not retained in the ordinary course of business Financial system qualifies as a trusted system and can re-create reports accurately; statewide guidelines propose 2 years; GC §34090
FIN-049	Finance / Municipal Services / Utility Billing	Collections	Bankruptcies	7 years		7 years	Department Preference to meet municipal government auditing standards; GC §34090
FIN-050	Finance / Municipal Services / Utility Billing	Collections	Collection Agency Assignments / List of Unpaid Accounts Debt Collection Listing, Debt Collector Payments, Return Payments	7 years		7 years	Department Preference; Negative credit information remains on credit reports for 7 - 10 years; Meets auditing standards; City does not Lien property (Liens are good for 10 years from recording date, and may be extended by re-recording lien); WC 36729; GC §34090
FIN-051	Finance / Municipal Services / Utility Billing	Agreements	CSA Agreements	Completion + 5 years		Completion + 5 years	Department preference; GC §34090
FIN-052	Finance / Municipal Services / Utility Billing	Subject	Medical Rate Assistance Applications	5 years		5 years	Department preference (meets auditing standards); GC §34090
FIN-053	Finance / Municipal Services / Utility Billing	Report	Metaviewer Reports - Utility Billing Only/Meter Reading Meter Reading Verification, MVRs Code / Messages Report, Cycle/Rout/Walk Verify Lists, Demand History Report, Electric Meter Adjustment Listing, Electric Meter Listing, Electric Reading History	5 years		5 years	Department preference; statewide guidelines propose 2 years; GC §34090

**RECORDS RETENTION SCHEDULE: FINANCE
SANTA CLARA, CA.**

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FIN-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
	(OFR)			Active (in office)	Inactive (Records Center)	Total Retention	
If the record is not listed here, refer to the Retention for City-Wide Standards							
Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.							
Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).							
FIN-054	Finance / Municipal Services / Utility Billing	Source	Municipal Services Database (Itron)	Indefinite		Indefinite	Data Fields / Records are interrelated; GC §34090
FIN-055	Water Utility	Correspondence	Portable Water Permits (copies)	2 years		2 years	GC §34090.7
FIN-056	City Clerk	Correspondence	Rates Electric Rates Listing, Fault Rates Listing, Sewage Exempt & Discount List, Sewage Rates, Water Rates Listing (copies)	2 years		2 years	GC §34090.7
FIN-057	Finance / Municipal Services / Utility Billing	Agreements	Refuse Agreements On Call Bin Contracts, Long Term and Temp Bind Contracts, Temporary Cart Change Authorization Forms	Completion + 5 years		Completion + 5 years	Department preference; GC §34090
FIN-058	Finance / Municipal Services / Utility Billing	Non-Record	Reports, Subsidiary Ledgers, Reconciliations, Registers, Transaction Histories, Balance Sheets, Proof & Merge Reports, etc. (MONTHLY OR PERIODIC) Does NOT include those in the Metaviewer database.	None		None	Transitory records not retained in the ordinary course of business Financial system qualifies as a trusted system and can re-create reports accurately; statewide guidelines propose 2 years; GC §34090
FIN-059	Depart. Providing Service / Work	Correspondence	Service Orders (copies)	2 years		2 years	GC §34090.7

**RECORDS RETENTION SCHEDULE: FINANCE
SANTA CLARA, CA.**

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FIN-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
				Active (in office)	Inactive (Records Center)	Total Retention	
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FINANCE / PURCHASING							
FIN-060	Finance / Purchasing	Subject	Purchase Orders / Requisitions / Successful Bids	3 years	2 years	5 years	Department Preference (Professional Services always have a contract, therefore Errors & Omissions are not applicable); Statewide guidelines propose completion + 5 years for non-capital improvement contracts & completion + 4 years for transportation and concessionaire agreements. Statute of Limitations is 4 years; 10 years for Errors & Omissions; CCP §§337.337.1(a), 337.15, 343; GC §34090
FIN-061	Finance / Purchasing	Correspondence	Purchasing - Bidder / Vendor List (Companies that want to receive RFPs / RFQs)	2 years		2 years	Transitory Record used to mail out requests; GC §34090 et seq.

RECORDS RETENTION SCHEDULE - FIRE SANTA CLARA, CA.

FR-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
				Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	
	(OFR)						
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ADMINISTRATIVE SERVICES							
FR-001	Fire / Admin.	Reference	Annual Reports / Fire Incident Statistics	P		P	Retained for historical and administrative value; GC §34090
FR-002	Building	Reference	Building Plans for Each Fire Station copies	P		P	Department preference; GC §34090.7
FR-003	Fire / Admin.	Regulatory Filings	Department of Homeland Security (DHS)/FEMA Reimbursements	7 years		7 years	Department preference to allow for FEMA audits (up to 6 years & 3 months from the date of the final inspection report); Uniform Admin. Requirements for Grants to Local Governments is 3 years from expenditure report or final payment of grantee or subgrantee; statewide guidelines propose 4 years; (Also See Grants on City-wide); GC §34090 et seq.
FR-004	Fire / Admin.	Correspondence	Emergency Plans / Disaster Preparedness Manuals, etc.	Superseded + 2 years		Superseded + 2 years	Department Preference; GC §34090 et seq.
FR-005	Fire / Admin.	Reference	Fire Chief Directives	P		P	Department preference; GC §34090
FR-006	Fire / Admin.	Report	ISO Insurance Ratings (Insurance Services Office)	Superseded + 5 years		Superseded + 5 years	Department Preference (rated every 10 years); GC §34090
FR-007	Fire / Lead Division	Report	Monthly Division Reports	5 years		5 years	GC §34090 et seq.
FR-008	City Clerk	Correspondence	Monthly Run Reports / Department Activity Reports copies	2 years		2 years	Preliminary draft / copy; GC §34090 et seq.
FR-009	City Clerk	Correspondence	Mutual Aid Agreements, Joint Power Authorities	2 years		2 years	Originals Maintained by City Clerk Permanently; GC §34090.7
FR-010	Fire / Admin.	Correspondence	Release of Liability Forms	2 years		2 years	Ride-a-long/Observer Applications HEAT Program Participants; GC §34090 et seq.
FR-011	Fire / Admin.	Incident Reports	Request for Incident Report Form	2 Years		2 Years	Department preference; GC §34090

RECORDS RETENTION SCHEDULE - FIRE SANTA CLARA, CA.

FR-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
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FIRE PREVENTION							
FR-012	Fire / Fire Prevention	California Unified Program Agency	Above ground storage tank program	5 years		P	Department preference; GC §34090
FR-013	Fire / Fire Prevention & Operations / Suppression (Stations)	Inspections	Annual Fire Life & Safety Inspections: Notice of Violations / Citations	10 years		10 years	Department Preference; California Fire Code requires 5 years; Allows the removal and purging of these records in the event the address file is too large; CFC §104.3.2, §104.3.4, GC §34090
FR-014	Finance / Municipal Services / Tax & License	Inspections	Annual Fire Life & Safety Inspections: Business Inspections (Maps, Photos & Plans)	Life of Building + 10 years		Life of Building + 10 years	California Fire Code requires 5 years; Allows the removal and purging of these records in the event the address file is too large; CFC §104.3.2, §104.3.4, GC §34090
FR-015	Fire / Fire Prevention	Correspondence	Fire Code Permits / Special Event Permits (assembly permits, candle permits, fireworks permits tent permits, fire hydrant use, open flame, etc.)	Expiration + 2 years		Expiration + 2 years	GC §34090 et seq.
FR-016	Fire / Fire Prevention	Reference	Fire Incident Reports - Capital Crimes (Arson, etc)	P		P	Department Preference (no statute of limitations on these incidents/crimes); California Fire Code requires 3 years; CFC §104.3.2, §104.3.4, GC §34090
FR-017	Fire / Fire Prevention	Report	Fire Incident Reports - Other than Capital Crimes	Life of Building + 5 years		Life of Building + 5 years	California Fire Code requires 3 years; CFC §104.3.2, §104.3.4, GC §34090
FR-018	Fire / Fire Prevention	Reference	Fire Lane Program	P		P	Department preference; GC §34090 et seq.
FR-019	Fire / Fire Prevention	Correspondence	Fire Marshal Approvals	Completion + 2 years		Completion + 2 years	Department preference; GC §34090 et seq.
FR-020	Fire / Admin.	Source	Fire Prevention Database (HdL)	Indefinite		Indefinite	Data is interrelated; GC §34090 et seq.
FR-021	Fire / Fire Prevention	Reference	Fire Prevention Permits	P		P	Department preference; GC §34090 et seq.
FR-022	Fire / Fire Prevention	Source	Inspection Database	Indefinite		Indefinite	Data Fields / Records are interrelated; GC §34090
FR-023	Fire / Fire Prevention	Reference	Investigation Reports - Capital Crimes & Suspected Capital Crimes (Arson, etc)	P		P	Department Preference (no statute of limitations on these incidents/crimes); California Fire Code requires 3 years; CFC §104.3.2, §104.3.4, GC §34090

RECORDS RETENTION SCHEDULE - FIRE SANTA CLARA, CA.

FR-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
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	(OFR)						
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<i>Litigation, claims, complaints, audits and/or investigations suspend normal retention periods (retention begins after settlement).</i>							
FR-024	Fire / Fire Prevention	Report	Investigation Reports - Criminal & Citations (Administrative, Infraction, or Misdemeanor), Service Requests	5 years		5 years	Department Preference; California Fire Code requires 3 years; CFC §104.3.2, §104.3.4, GC §34090
FR-025	Fire / Fire Prevention	Report	Investigation Reports - Industrial Accidents (in Private Businesses)	5 years		5 years	Department Preference; California Fire Code requires 3 years; CFC §104.3.2, §104.3.4, GC §34090
FR-026	Fire / Fire Prevention	Subject	Knox Box Program (Copy of Application, Site Map, Original Hold Harmless Agreement and Inventory Update Forms)	Life of Building + 5 years		Life of Building + 5 years	Preliminary Drafts or Copies (Knox Box has the original Applications); GC §34090 et seq.
FR-027	Fire / Fire Prevention	Correspondence	Programs and Projects (e.g. Fire Service Day, EMS, etc.)	2 years		2 years	Department Preference; GC § 34090 et seq.
FR-028	Fire / Fire Prevention	Correspondence	Public Information / Education (when produced internally)	2 years		2 years	Department Preference; GC §34090
FR-029	Lead Dept.	Correspondence	Vehicle Log / Daily Safety Checks / Daily Work Reports / Vehicle Inspections / Daily Equipment Checks	2 years		2 years	GC §34090
FR-030	Fire / Fire Prevention OR Electric Utility	Subject	Weed Abatement / Complaints	5 years		5 years	Department preference; GC §34090

RECORDS RETENTION SCHEDULE - FIRE SANTA CLARA, CA.

FR-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
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HAZARDOUS MATERIALS							
FR-031	Fire / Hazardous Materials	California Unified Program Agency	Above ground storage tank program	5 years		P	Department preference; GC §34090
FR-032	Fire / Hazardous Materials	Citations	Administrative Enforcement Orders & Citations	5 years		5 years	Department Preference; GC §34090 et seq.
FR-033	Fire / Hazardous Materials	California Unified Program Agency	Cal-Arp Risk Plans	5 years	P	P	Department Preference; GC §34090 et seq.
FR-034	Fire / Hazardous Materials	Regulatory Correspondence	Correspondence with Regulatory Agencies	25 years		25 years	Department Preference; GC §34090
FR-035	Fire / Hazardous Materials	Reference	CUPA Audits	10 years	P	P	Department Preference; GC §34090 et seq.
FR-036	Fire / Hazardous Materials	Regulatory Filings	CUPA Self-Audit, State Summary Report (CUPA - Certified Unified Program Agencies)	7 years		7 years	Department Preference (5 years is required); GC §§34090, 60201 et seq.; 27 CCR 15188(a), 15280(a)(2)
FR-037	Fire / Hazardous Materials	California Unified Program Agency	Financial Assurance Records	5 years	P	P	Department Preference (5 years meets municipal government auditing standards); GC §34090
FR-038	Fire / Hazardous Materials	Report	Groundwater Remediation / Quarterly Groundwater Reports	Remediation Complete + 5 years		Remediation Complete + 5 years	Department Preference; GC §34090 et seq.
FR-039	Fire / Hazardous Materials	California Unified Program Agency	Hazardous Material Business Plans (HMBPs and SPCC)	5 years	P	P	Department Preference; GC §34090 et seq.
FR-040	Fire / Hazardous Materials	California Unified Program Agency	Hazardous Waste Inspections	9 years	P	P	Department Preference; GC §34090 et seq.
FR-041	Fire / Hazardous Materials	Regulatory Filings	Quarterly State Surcharge Records (SB14)	7 years		7 years	Department Preference (5 years meets municipal government auditing standards); GC §34090
FR-042	Fire / Hazardous Materials	California Unified Program Agency	Tiered Permitting / Permitted Industrial User Files - ALL Classes and Types of Businesses	Close of Business + 5 years	P	P	Department preference; NPDES Monitoring records required for 3 years; 40 CFR §§122.21, 122.41, 40 CFR 792.195

**RECORDS RETENTION SCHEDULE - FIRE
SANTA CLARA, CA.**

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FR-043	Fire / Hazardous Materials	California Unified Program Agency	Underground Storage Tank & Annual Inspections & Permits (excluding monitoring certificates)	5 years	P	P	Department Preference; GC §34090 et seq.

RECORDS RETENTION SCHEDULE - FIRE SANTA CLARA, CA.

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OPERATIONS / EMERGENCY MEDICAL SERVICES							
FR-044	Fire / Operations / EMS	Personnel	Continuous Quality Improvement (CQI) / Quality Assurance	P		P	Statute of Limitations for health providers is 3 years; 13 CCR 1100.7, UFC §104.3.2, §104.3.4, GC §34090
FR-045	Fire / EMS	Subject	Controlled Drug Logs Narcotic Usage Cards	5 years		5 years	Department Preference - Controlled substances are required for 2 years after inventory or transaction; 21 CFR §1304.04, 1310.04
FR-046	Fire / Operations / EMS	Correspondence	Defibrillator Equipment and Maintenance	Life of the Equipment + 2 years		Life of the Equipment + 2 years	Department preference; GC §34090
FR-047	Fire / Operations / EMS	EMS Complaints	EMS Complaints	P		P	Department preference; GC §34090
FR-048	Fire / Operations / EMS	Regulatory Filings	HIPAA Policies and Procedures (Health Insurance Portability and Accountability Act)	Superseded + 7 years		Superseded + 7 years	24 CFR 164.530(j)
FR-049	Fire / Operations / EMS	Report	Monthly Statistical Report / Run Statistics	Life of the Contract + 5 years		Life of the Contract + 5 years	Required by the Contract with ALS; GC §34090 et seq.
FR-050	Fire / Operations / EMS	Medical Coordination	Prehospital Care Reports / PCRs / Paramedic Release Forms (EMS transportation): ALL (medical and non-medical.) Includes Paramedic Release Forms, AMAs / Refusal of Service, First Responder Worksheets, PCR QI / QA Peer Review Forms, EKG Strips, etc.	3 years	17 years	20 years	Department Preference; 10 years is recommended by AHIMA for "healthcare providers"; California Healthcare Association recommends Acute Care Facilities retain adult records for ten years following discharge; Juvenile records are required until patient becomes 18 years old; law requires 7 years for clinics, health facilities, hospitals, adult day health care centers, and in-home skilled nursing services, and is actually based upon "if the licensee ceases operations"; Statute of Limitations for health providers is 3 years; Federal law requires 3 years, statewide guidelines propose 3 years; HIPAA provides privacy regulations for patient's health records; 13 CFR 1100.7, CCP §340.5, GC §34090; H&S §123145

RECORDS RETENTION SCHEDULE - FIRE SANTA CLARA, CA.

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OPERATIONS / SUPPRESSION (STATIONS)							
FR-051	Fire / Fire Prevention & Operations / Suppression (Stations)	Inspections	Annual Fire Life & Safety Inspections: Notice of Violations / Citations	10 years		10 years	Department Preference; California Fire Code requires 5 years; Allows the removal and purging of these records in the event the address file is too large; CFC §104.3.2, §104.3.4, GC §34090
FR-052	Fire / Operations / Suppression	Correspondence	Apparatus Pumper Test Data (FS170), Annual Ladder Certification, Air Compressor Quality Compliance Certification & Equipment Records & Testing	Disposal of equipment + 2 years		Disposal of equipment + 2 years	Department Preference; Statute of Limitations for Health Providers is 3 years; OSHA requires 1 year; State requires 2 years; Statewide guidelines propose 2 years; 8 Cal Code Reg. §3203(b)(1), CCP §340.5, GC §34090
FR-053	Fire / Operations / Suppression	Logs	Daily Equipment Check-off Sheet (FS150) / Daily Check-off Sheet (FS102) / Generator Test (FS152) Jobs of the month - Engine Co. (FS105)/Advanced Life Support Check-off Basic Life Support Check-off	3 years		3 years	GC §34090
FR-054	Fire / Operations / Suppression	Correspondence	DMV Pull Notices (Fire Employees Only)	When Superseded + 2 years		When Superseded + 2 years	Transitory or source records not retained in the ordinary course of business; CHP audits every 2 years; Bureau of National Affairs recommends 2 years for all supplementary Personnel records; GC §34090
FR-055	Fire / Operations / Suppression	Source	Fire Incident RMS Database (Includes Incidents and Inspections)	Indefinite		Indefinite	Data is interrelated; GC §34090 et seq.
FR-056	Fire / Operations / Suppression	Reference	Station Log Books	7 years	P	P	Department Preference; Retained for historical and administrative value; GC §34090. Secretary of State recommends all Fire Journals (activities, personnel, engine company) be kept for 3 years.

RECORDS RETENTION SCHEDULE - FIRE SANTA CLARA, CA.

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OPERATIONS / TRAINING							
FR-057	Fire / Operations / Training	Subject	Citizen's Emergency Response Training / Neighborhood Training Course Records, Roster, etc.	5 years		5 years	Department Preference; GC §34090
FR-058	Fire / Operations / Training	Correspondence	Fire Station Requests (Tours, Visits, etc.)	2 years		2 years	GC §34090
FR-059	Fire / Operations / Training	Source	Monthly Activity Reports (Training Database)	Indefinite		Indefinite	Department preference; GC §34090
FR-060	Fire / Operations / Training	Routine	Physical Ability Evaluation Worksheets	Until Separation + 4 years		Until Separation + 4 years	Department preference; GC §34090
FR-061	Fire / Operations / Training	Training	Safety Team Minutes	2 years	5 years	7 years	Department Preference; California Labor Department maintains their records for 7 years; OSHA requires 5 years for safety records; State law requires 2 years; EEOC/FLSA/ADEA (Age) requires 3 years for promotion, demotion, transfer, selection, or discharge; State Law requires 2 -3 years; 8 CCR §3203 et seq., 8 CCR 14300.33(a); 29 CFR 1627.3(b)(ii), 29 CFR 1904.33, 29 CFR 1904.44; GC §60201 et seq.; LC §6429(c), GC §§12946, 34090, 53235.2(b)
FR-062	Fire / Operations / Training	Medical Clearance	SCBA (Self-Contained Breathing Apparatus) & Respiratory Fit Tests for Breathing Apparatus	Separation + 30 years		Separation + 30 years	Department Preference; Claims can be made for 30 years for toxic substance exposure; Claims are required for five years after the end of compensation, or injury, whichever is longer; 8 CCR §3204(d)(1) et seq., 8 CCR 10102, 15400.2; GC §§12946, 34090

RECORDS RETENTION SCHEDULE - FIRE SANTA CLARA, CA.

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FR-063	Fire / Operations / Training	Training	Training - ALL <u>COURSE</u> RECORDS (Attendance Rosters, Outlines and Materials; includes Safety training)	2 years	5 years	7 years	Department Preference; California Labor Department maintains their records for 7 years; OSHA requires 5 years for safety records; State law requires 2 years; EEOC/FLSA/ADEA (Age) requires 3 years for promotion, demotion, transfer, selection, or discharge; State Law requires 2 -3 years; 8 CCR §3203 et seq., 8 CCR 14300.33(a); 29 CFR 1627.3(b)(ii), 29 CFR 1904.33, 29 CFR 1904.44; GC §60201 et seq.; LC §6429(c), GC §§12946, 34090, 53235.2(b)
FR-064	Fire / Operations / Training	Training	Training - ALL <u>EMPLOYEE FILES</u> (Including Certifications)	Separation + 2 years	5 years	Separation + 7 years	Department Preference; California Labor Department maintains their records for 7 years; OSHA requires 5 years for safety records; State law requires 2 years; EEOC/FLSA/ADEA (Age) requires 3 years for promotion, demotion, transfer, selection, or discharge; State Law requires 2 -3 years; 8 CCR §3203 et seq., 8 CCR 14300.33(a); 29 CFR 1627.3(b)(ii), 29 CFR 1904.33, 29 CFR 1904.44; GC §60201 et seq.; LC §6429(c), GC §§12946, 34090, 53235.2(b)
FR-065	Fire / Operations / Training	Source	Training Database (Employees and Volunteers)	Indefinite		Indefinite	Data is interrelated; GC §34090 et seq.

RECORDS RETENTION SCHEDULE - FIRE SANTA CLARA, CA.

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OPERATIONS / VOLUNTEER RESERVE							
FR-066	Fire / Lead Division	Volunteer	Volunteer / Unpaid Intern Applications & Agreements - Successful	Inactive / Separation + 5 years		Inactive / Separation + 5 years	Department preference (Courts treat volunteers as employees); EEOC/FLSA/ADEA (Age) requires 3 years for promotion, demotion, transfer, selection, or discharge; 29 CFR 1602.31 & 1627.3(b)(ii), 8 CCR §3204(d)(1) et seq., GC §§12946, 34090
FR-067	Fire / Lead Division	Volunteer	Volunteer / Unpaid Intern Applications & Agreements - Unsuccessful or Pending Applicants	5 years		5 years	Department preference (Courts treat volunteers as employees); EEOC/FLSA/ADEA (Age) requires 3 years for promotion, demotion, transfer, selection, or discharge; 29 CFR 1602.31 & 1627.3(b)(ii), 8 CCR §3204(d)(1) et seq., GC §§12946, 34090

RECORDS RETENTION SCHEDULE: HUMAN RESOURCES SANTA CLARA, CA.

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HUMAN RESOURCES							
HR-001	Human Resources	Report	Applicant Tracking Database (Recruitment Activity Reports and Requisition Status Reports)	5 years		5 years	Department preference; GC §34090
HR-002	Human Resources	Recruitment Background	Background Packets - Employees (hired)	3 years	P	P	Department preference (the personnel files are maintained Permanently); EEOC / FLSA / ADEA (Age) requires 1-3 years for selection records; State Law requires 2 - 3 years; 29 CFR 1602 et seq & 1627.3(a)(5) and (6), 2 CCR 7287.0(c)(2), 8 CCR §11040(7.(c)), GC §§12946, 34090
HR-003	Human Resources	Logs	Background Packets - Unsuccessful Candidates (not hired)	3 years		3 years	Department preference; EEOC / FLSA / ADEA (Age) requires 1-3 years for selection records; State Law requires 2 - 3 years; 29 CFR 1602 et seq & 1627.3(a)(5) and (6), 2 CCR 7287.0(c)(2), 8 CCR §11040(7.(c)), GC §§12946, 34090
HR-004	Human Resources	Non-Record	Benefit Brochures & Forms Brochures for: CalPERS Retirement Benefit, CalPERS Health Insurance, Delta Dental, Life Insurance, Employee Assistance Program, Deferred Compensation, Flexible Spending Account, State Disability Insurance & Paid Family Leave.	None		None	Non-records
HR-005	Human Resources	Subject	Benefit Plan Documents (Dental, Life, Long Term Disability, Flexible Spending Accounts, etc)	Duration of the Contract + 5 years		Duration of the Contract + 5 years	EEOC / ADEA (Age) requires 1 year after benefit plan termination; Federal law requires 6 years after filing date for retirement; State Law requires 2 years after action; 29 CFR 1627.3(b)(2); 29 USC 1027; GC §§12946, 3409

RECORDS RETENTION SCHEDULE: HUMAN RESOURCES SANTA CLARA, CA.

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HR-006	Human Resources	EEO Cases	Board of Review Packets	3 years		3 years	Department preference; GC §34090
HR-007	Human Resources	Reference	City Dental Booklet	5 years	P	P	Meets auditing standards; GC §34090
HR-008	Human Resources	Correspondence	City Dental Plan Agenda & Packets	2 years		2 years	GC §34090
HR-009	Human Resources	Subject	City Dental Plan Claim Forms	5 years		5 years	Meets auditing standards; GC §34090
HR-010	Human Resources	Correspondence	City Dental Plan Employee Memos	2 years		2 years	GC §34090
HR-011	Human Resources	Minutes	City Dental Plan Meeting Minutes	P		P	Department preference; GC §34090
HR-012	Human Resources	Reference	Civil Service Commission Agenda Packets	P		P	Department preference; GC §34090
HR-013	Human Resources	Minutes	Civil Service Commission Minutes	P		P	Department preference; GC §34090
HR-014	City Clerk	Reference	Civil Service Rules & Regulations copies	P		P	Department preference; GC §34090
HR-15	Human Resources	Subject	Classification / Reorganization Studies (for employee classifications and department structures)	5 years		5 years	Bureau of National Affairs recommends 2 years for all supplementary Personnel records; Wage rate tables are 1 or 2 years; State requires 2 years; 29 CFR 516.6, 29 CFR 1602.14, GC §§12946, 34090
HR-016	Human Resources	Correspondence	Compensation Surveys & Studies Not Related to Labor Relations (conducted on behalf of the City)	2 years		2 years	Bureau of National Affairs recommends 2 years for all supplementary Personnel records; Wage rate tables are 1 or 2 years; State requires 2 years; 29 CFR 516.6, 29 CFR 1602.14, GC §§12946, 34090

RECORDS RETENTION SCHEDULE: HUMAN RESOURCES SANTA CLARA, CA.

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HR-017	Human Resources	EEO Cases	Department of Fair Employment & Housing/Equal Employment Opportunity Commission (DFEH or EEOC) Claims	Final Disposition + 3 years		Final Disposition + 3 years	All State and Federal laws require retention until final disposition of formal complaint; State requires 2 years after "fully and finally disposed"; 2 CCR 7287.0; GC §§12946, 34090
HR-018	Human Resources	Correspondence	DMV Pull Notices / Printouts (Excludes Fire & Police - Pre-employment & Pull Notice Only)	2 years		2 years	Transitory or source records not retained in the ordinary course of business; CHP audits every 2 years; Bureau of National Affairs recommends 2 years for all supplementary Personnel records; GC §34090
HR-019	Human Resources	Subject	DOT Drug & Alcohol Program / Test Results & Supporting Test Documentation (All - Positives and Negatives)	2 years	3 years	5 years	D.O.T. Requires 5 years for positive tests, refusals, annual summaries, etc, 1 year for negative tests; EEOC / FLSA / ADEA (Age) requires 3 years physical examinations; State Law requires 2 years; 29 CFR 1627.3(b)(1)(v), GC §§12946, 34090; 49 CFR 655.71 et seq.; 49 CFR 382.401 et seq.
HR-020	Human Resources	EEO Cases	EEO-4 Reports and records required to generate EEO-4 report (Self-Identification Form, etc.)	3 years		3 years	29 CFR 1602.30
HR-021	Human Resources	EEO Cases	EEO Investigations and Claims	Final Disposition + 3 years		Final Disposition + 3 years	Department preference; GC §34090
HR-022	Human Resources	Subject	Employee Suggestion Program Excel log, original suggestion form, copy of memo to referred Department(s), and Memo to City Manager's Office.	5 years		5 years	Department preference; GC §34090
HR-023	Human Resources	EEO Cases	Grievances and Informal Complaints (all) and Investigations	Separation + 3 years		Separation + 3 years	Department preference; All State and Federal laws require retention until final disposition of formal complaint; State requires 2 years after action is taken; GC §§12946, 34090

RECORDS RETENTION SCHEDULE: HUMAN RESOURCES SANTA CLARA, CA.

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HR-024	Human Resources	Training	Harassment Prevention Training (materials/Sign-in Sheets)	7 years		7 years	2 CCR 7288.0
HR-025	Human Resources	Logs	Hepatitis B Vaccinations	3 years		3 years	Department preference (required of selected employees every 2 years; GC §34090
HR-026	Human Resources	Source	Human Resources Database (PeopleSoft)	Indefinite		Indefinite	Data Fields / Records are interrelated; GC §34090
HR-027	Human Resources	Logs	I-9's	Employee Separation + 3 years		Employee Separation + 3 years	Non-citizens must re-certify periodically; RICA recommends 1 year from termination or 3 years from hiring, whichever is later; EEOC / FLSA / ADEA (Age) requires 3 years for "any other forms of employment inquiry"; State Law requires 2 -3 years; 29 CFR 1627.3(b)(i), GC §§12946, 34090
HR-028	Human Resources	Source	Identification Badge Database	Indefinite		Indefinite	Data Fields / Records are interrelated; GC §34090
HR-029	Human Resources	Recruitment	Job Specifications / Job Analysis / Classification Specifications	P		P	Department preference; EEOC/FLSA/ADEA (Age) requires 3 years for promotion, demotion, transfer, selection, or discharge; State Law requires 2 -3 years; retirement benefits is 6 years from last action; 29 CFR 1602.31 & 1627.3(b)(2), 8 CCR §3204(d)(1) et seq., GC §§12946, 34090; 29 USC 1113
HR-030	Human Resources	Labor Relations	Labor Relations Files, All Related Compensation Data (Negotiation Notes, Correspondence, Interpretation of MOU Provisions, Documentation, etc.)	P		P	Department Preference; GC §34090
HR-031	Human Resources	Labor Relations	Labor Relations: Benefit Administration (Includes contract amendment, actuarial reports, service credit reports, annual employee listing, correspondence, etc.)	P		P	Department Preference; Bureau of National Affairs recommends 2 years for all supplementary Personnel records; GC §34090

RECORDS RETENTION SCHEDULE: HUMAN RESOURCES SANTA CLARA, CA.

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HR-032	Human Resources	Labor Relations	Labor Relations: Benefit Plan Documents (CalPERS, etc.)	P		P	Department preference; EEOC / ADEA (Age) requires 1 year after benefit plan termination; Federal law requires 6 years after filing date for retirement; State Law requires 2 years after action; 29 CFR 1627.3(b)(2); 29 USC 1027; GC §§12946, 3409
HR-033	Human Resources	Subject	LiveScan Responses or Logs (CORI Responses) for Employees	Separation + 5 years		Separation + 5 years	Department Preference to cover the possible length of employment of any employee or volunteer (DOJ allows retention for legitimate business needs); must be maintained in a secure and confidential file; DOJ Information Bulletin No. 02-17-BCII; § 34090 et seq.
HR-034	Human Resources	Non-Record	LiveScan Responses or Logs (CORI Responses) for Unsuccessful Candidates	None		None	Department Preference (preliminary records not retained in the ordinary course of business; § 34090 et seq.
HR-035	Human Resources	Correspondence	Monthly Reports / As-Needed Increment Raises, AFSCME (Memoranda)	2 years		2 years	Bureau of National Affairs recommends 2 years for all supplementary Personnel records; Wage rate tables are 1 or 2 years; State requires 2 years; 29 CFR 516.6, 29 CFR 1602.14, GC §§12946, 34090
HR-036	Human Resources	Non-Record	Monthly Reports / Post-PeopleSoft Implementation Monthly Change of Status Report, Vacancy Report, Employee Activity Report, AFSCME Memo, and Interdepartmental Changes Memo	None		None	Preliminary drafts / transitory records (the database is the original); GC §34090, GC §6252
HR-037	Human Resources	Correspondence	Non-Qualified Leave Audit Bi-weekly report ran in PeopleSoft with handwritten notes regarding how much sick and vacation accruals to deduct from employees who do not meet the requirement to earn their accrual(s).	2 years		2 years	Bureau of National Affairs recommends 2 years for all supplementary Personnel records; 29 CFR 516.6, 29 CFR 1602.14, GC §§12946, 34090
HR-038	Human Resources	Correspondence	Outside Employment (Logs, Correspondence, Reports)	2 years		2 years	Department preference; GC §34090

RECORDS RETENTION SCHEDULE: HUMAN RESOURCES SANTA CLARA, CA.

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HR-039	Human Resources	Personnel	Personnel Files - Benefits File	Separation + 2 years	P	P	Department preference; GC §§12946, 34090
HR-040	Human Resources	Personnel	Personnel Files - Employees (Regular, As-Needed and Public Safety Volunteers) Including exit interview records	Separation + 2 years	P	P	Department Preference; EEOC/FLSA/ADEA (Age) requires 3 years for promotion, demotion, transfer, selection, or discharge; State Law requires 2 -3 years; retirement benefits is 6 years from last action; 29 CFR 1602.31 & 1627.3(b)(2), 8 CCR §3204(d)(1) et seq., GC §§12946, 34090; 29 USC 1113
HR-041	Human Resources	Personnel	Personnel Files - Medical File	Separation + 2 years	P	P	Department preference; Files maintained separately; Claims can be made for 30 years for toxic substance exposure; 8 CCR §3204(d)(1) et seq., GC §§12946, 34090
HR-042	Human Resources	Logs	Recruitment and Testing File (Except As-Needed Employees) (Includes Advertisements, Job Brochures, Test Data, Applications, Testing Analysis & statistical Metric, Rating Sheets, Scantrons, Rater's Profile & Confidentiality Agreement, Eligible Lists, Correspondence, etc.)	3 years		3 years	Department preference; EEOC / FLSA / ADEA (Age) requires 1-3 years; State Law requires 2 - 3 years; 29 CFR §1602 et seq & 1627.3(a)(5) and (6), 2 CCR 7287.0(c)(2), 8 CCR §11040(7.(c)), GC §§12946, 34090
HR-043	Human Resources	Logs	Recruitment Number List (Primarily a log of the recruitment numbers)	3 years		3 years	Department preference; GC §34090
HR-044	Finance / Admin. Services	Claim	Retiree Medical Reimbursement Claims	5 years		5 years	Department preference; GC §34090
HR-045	Human Resources	Subject	Retiree Medical Reimbursement Program (Applications and Spreadsheets)	2 years	3 years	5 years	Department preference; GC §34090
HR-046	Human Resources	Correspondence	Studies & Surveys Conducted on Behalf of the City (Sick Leave, Attrition, Benefits, etc.) Excludes classification and reorganization studies	2 years		2 years	Department preference; GC §34090

RECORDS RETENTION SCHEDULE: HUMAN RESOURCES SANTA CLARA, CA.

HR-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
	(OFR)			Active (in office)	Inactive (Records Center)	Total Retention	
<i>If the record is not listed here, refer to the Retention for City-Wide Standards</i>							
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>							
<i>Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>							
HR-047	Human Resources	Report	Time & Labor Adjustment Record Excel Workbook and paper logs that list all timesheet adjustments made by Human Resources per pay period during the auditing process.	5 years		5 years	Meets auditing standards; GC §34090
HR-048	Human Resources	Source	Training Database	Indefinite		Indefinite	Data is interrelated; GC §34090
HR-049	Human Resources	Claim	Unemployment Insurance Claims and Appeals DE 1101 Claim Forms, DE 4601 forms, Notices of Determination / Ruling, CUIAB Appeals, CUIAB Decision, petitions, Correspondence, etc.	Final Disposition + 5 years		Final Disposition + 5 years	Department preference (meets municipal government auditing standards); GC §§12946, 34090
HR-050	Human Resources	Inspections	Validation Studies for Examinations	last test administered + 5 years	5 years	10 years	Department preference; GC §34090
HR-051	Human Resources	Non-Record	Verifications of Employment / Logs	None		None	Transitory records not retained in the ordinary course of business (does not materially impact the public's business) GC §34090 et seq.

RECORDS RETENTION SCHEDULE: HUMAN RESOURCES SANTA CLARA, CA.

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HR-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
	(OFR)			Active (in office)	Inactive (Records Center)	Total Retention	
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<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>							
<i>Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>							
RISK MANAGEMENT							
HR-052	Human Resources / Risk Manag.	Inspections	Injury Log	10 years		10 years	Department Preference; Preliminary draft not retained in the ordinary course of business; GC §34090
HR-053	Human Resources / Risk Manag.	Safety	MSDS (Material Data Safety Sheet) / Chemical Use Report Form (or records of the chemical / substance / agent, where & when it was used)	30 years		30 years	Previous MSDS may be obtained from a service; <u>MSDS may be destroyed as long as a record of the chemical / substance / agent, where & when it was used is maintained for 30 years;</u> Applies to qualified employers; 8 CCR 3204(d)(1)(B)(2 and 3), GC §34090
HR-054	Human Resources / Risk Manag.	Regulatory Filings	OSHA Insurance Certificates, Inspections & Citations, Log 200, 300, 300A, 301, etc.	7 years		7 years	Department Preference; Calif. Labor Division is required to keep their records 7 years; OSHA requires 5 years; State law requires 2 years; 8 CCR 14300.33(a); 29 CFR 1904.33, 29 CFR 1904.44; GC §34090 et seq.; LC §6429c
HR-055	Human Resources / Risk Manag.	Correspondence	OSHA Internal Safety Meeting Correspondence (including notes)	2 years		2 years	Department preference; GC §34090
HR-056	Human Resources / Risk Manag.	Medical Coordination	Settlement Log	20 years		20 years	Department Preference; Preliminary draft not retained in the ordinary course of business; GC §34090
HR-057	Human Resources / Risk Manag.	Regulatory Timekeeping	Temporary Disability Hours (TDH) and Modified Duty Logs	10 years		10 years	Department Preference; Preliminary draft not retained in the ordinary course of business; GC §34090

**RECORDS RETENTION SCHEDULE: HUMAN RESOURCES
SANTA CLARA, CA.**

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HR-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
				Active (in office)	Inactive (Records Center)	Total Retention	
	(OFR)						
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<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>							
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HR-058	Human Resources / Risk Manag.	Non-Record	Temporary Disability Hours (TDH) Worksheets	None		None	Preliminary draft not retained in the ordinary course of business; GC §34090
HR-059	Human Resources / Risk Manag.	Report	Workers Compensation Claim Runs / Experience Reports	5 years		5 years	Department preference (meets auditing standards and allocation formulas); GC §34090
HR-060	Human Resources / Risk Manag.	Logs	Workers Compensation Equipment Purchase Log	3 years		3 years	Department preference (meets auditing standards and allocation formulas); GC §34090
HR-061	Human Resources / Risk Manag.	Workers Comp Claims	Workers Compensation Files	Separation + 2 years	P	P	Department preference; Claims can be made for 30 years for toxic substance exposure; Claims are required for five years after the end of compensation, or injury, whichever is longer; the Workers Compensation Appeals Board may destroy their records after 5 years; 8 CCR §3204(d)(1) et seq., 8 CCR 10102, 10755, 10758, 15400.2; 29 CFR 1910.1020(d); GC §§12946, 34090

RECORDS RETENTION SCHEDULE: INFORMATION TECHNOLOGY SANTA CLARA, CA.

IT-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
				Active (in office)	Inactive (Records Center)	Total Retention	
	(OFR)						
<i>If the record is not listed here, refer to the Retention for City-Wide Standards</i>							
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>							
<i>Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>							
IT-001	Information Technology	Recordings	Backup Tapes - DAILY (Monday - Thursday)	4 weeks		4 weeks	Used for Disaster Recovery Purposes Only; Considered a copy and can be destroyed None; tapes are in aut changers and are overwritten; GC §34090 et seq.
IT-002	Information Technology	Recordings	Backup Tapes - WEEKLY (Friday)		4 weeks	4 weeks	Used for Disaster Recovery Purposes Only; Store off-site in commercial storage for disaster recovery; Considered a copy and can be destroyed None; retention based on administrative value; recycle tapes; GC §34090 et seq.
IT-003	Information Technology	Non-Record	Inventory, Information Systems (Drafts not accessible to the public)	Until Superseded		None	Preliminary documents not retained in the ordinary course of business; GC §34090 et seq.
IT-004	Information Technology	Non-Record	Network Configuration Maps & Plans (Drafts not accessible to the public)	Until Superseded		None	Preliminary documents not retained in the ordinary course of business; GC §34090 et seq.
IT-005	Information Technology	Correspondence	Project Management (Project Workbook, Implementation Plans, etc)	2 years		2 years	Department preference; GC §34090 et seq.
IT-006	Information Technology	AP Payments	Telephone Bill Detail Backup	7 years		7 years	Department preference (meets municipal government auditing standards); GC §34090 et seq.

RECORDS RETENTION SCHEDULE: LIBRARY SANTA CLARA, CA.

LIB-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
				Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	
	(OFR)						
<i>If the record is not listed here, refer to the Retention for City-Wide Standards</i>							
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>							
<i>Litigation, claims, complaints, audits, public records requests, and/or investigations suspend normal retention periods (retention resumes after settlement).</i>							
LIB-001	Library	Reference	Board of Library Trustees AGENDAS, AGENDA PACKETS	P		P	Brown Act challenges must be filed within 30 or 90 days of action; GC §§34090, 54960.1(c)(1)
LIB-002	Library	Correspondence	Board of Library Trustees MINUTES & BYLAWS copies	2 years (Forward Originals to City Clerk)		2 years (Forward Originals to City Clerk)	Notes taken to facilitate the writing of the minutes can be destroyed after minutes have been adopted; GC §34090
LIB-003	Library	Collections	Collection Agency Assignments, Lists & Statements	7 years		7 years	Department preference to meet auditing periods and to keep for the same period of time negative information remains on credit ratings; GC §34090
LIB-004	Lead Dept.	Correspondence	Deposit Backup / Detail for Cash Deposits	2 years		2 years	GC §34090
LIB-005	Library	Correspondence	Facility Rental Applications (Room Reservations, etc. - also see Insurance on City-wide)	2 years		2 years	GC §34090
LIB-006	Library	Grants	Grants - Library (Successful)	Final Expenditure + 5 years		Final Expenditure + 5 years	Per California State Library Records Management Program Requirements (April 27, 1998); GC §34090
LIB-007	Library	Correspondence	Grants - Library (Unsuccessful)	2 years		2 years	GC §34090
LIB-008	Library	Correspondence	Handouts: Adult and Children's Programs	2 years		2 years	GC §34090
LIB-009	Library	Correspondence	Interlibrary Loan Requests / ILL Requests	2 years		2 years	GC §34090
LIB-010	Planning & Inspection / Building	Reference	Library Building Plans / Specifications	P		P	Department preference; GC §34090
LIB-011	Library	Source	Library Management System / Database COLLECTION	Indefinite		Indefinite	Department preference; Data Fields / Records are interrelated; GC §34090
LIB-012	Library	Source	Library Management System / Database OTHER THAN PATRON or COLLECTION	Indefinite		Indefinite	Department preference; Data Fields / Records are interrelated; GC §34090
LIB-013	Library	Correspondence	Library Management System / Database (No Debt) PATRONS	Expired with No Debt + 2 years		Expired with No Debt + 2 years	Department preference; Data Fields / Records are interrelated; GC §34090
LIB-014	Library	Collections	Library Management System / Database (Debt) PATRONS	Expired with Debt + 7 years		Expired with Debt + 7 years	Department preference; Data Fields / Records are interrelated; GC §34090
LIB-015	Library	Correspondence	LMT (Library Management Team) Minutes	2 years		2 years	GC §34090
LIB-016	Library	Non-Record	Patron Applications for Library Cards	None		None	Department Preference; Preliminary Drafts / Transitory records not retained in the ordinary course of business; GC §34090

RECORDS RETENTION SCHEDULE: LIBRARY SANTA CLARA, CA.

LIB-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
				Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	
	(OFR)						
<i>If the record is not listed here, refer to the Retention for City-Wide Standards</i>							
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>							
<i>Litigation, claims, complaints, audits, public records requests, and/or investigations suspend normal retention periods (retention resumes after settlement).</i>							
LIB-017	Library	Correspondence	Performance Agreements (no consideration)	2 years		2 years	GC §34090
LIB-018	Library	Incident Reports	Problem Patrons / Incident Reports	Inactive + 2 years		Inactive + 2 years	Department preference; GC §34090
LIB-019	Library	Non-Record	Program Sign Ups (e.g. Children's Programs, Summer Reading)	None		None	Preliminary / Transitory documents not retained in the ordinary course of business; GC §34090
LIB-020	Library	Report	Receipts for Lost Books, etc.	2 years	3 years	5 years	Meets municipal government auditing standards; GC §34090
LIB-021	Library	Historical Documents / Artifacts	Records of Significant Historical Value	P		P	Department preference; GC §34090
LIB-022	Library	Correspondence	Release Forms / Exhibit Waivers / Photo Releases (Artists / Exhibitor's)	2 years		2 years	GC §34090
LIB-023	Library	Non-Record	Reports: Library Statistics / Circulation Reports	None		None	Copies / Preliminary Drafts; GC §34090.7
LIB-024	Library	Non-Record	Reports: Other than Annual Report - Library	None		None	Transitory records not retained in the ordinary course of business; Library system qualifies as a trusted system and can re-create reports accurately; GC §34090
LIB-025	Library	Non-Record	Sign-In / Sign Out or Log-in / Log-out Includes Internet Access Logs Summer Reading, etc.	None		None	Department Preference; Preliminary Drafts / Transitory records not retained in the ordinary course of business; GC §34090
LIB-026	Library	Routine	State Library Report	4 years		4 years	Department preference; GC §34090
LIB-027	Library	Report	TBR (Transaction Based Reimbursement) & ILL (Interlibrary Loans) Statistics	5 years		5 years	Department preference to track reimbursement; GC §34090
LIB-028	Library	Subject	Tutors and Learners Individual Case Files	Inactive + 5 years		Inactive + 5 years	Department preference; GC §34090
LIB-029	Library	Recordings	Video Recordings of Library Activity	28 days		28 days	Does not record regular and ongoing operations; GC §34090.6(a)(d)

RECORDS RETENTION SCHEDULE: MAYOR & CITY COUNCIL SANTA CLARA, CA.

MCC-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
				Active (in office)	Inactive (Records Center)	Total Retention	
	(OFR)						
<i>If the record is not listed here, refer to the Retention for City-Wide Standards</i>							
<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>							
<i>Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>							
MCC-001	Mayor & City Council	Awards & Mementos	<u>AWARDS & MEMENTOS:</u> Received by the City (Physical Item)	P		p	Department preference; GC §34090
MCC-002	Mayor & City Council	Reference	<u>REFERENCE:</u> Significant Historical Value Awards/Mementos List (received by the City), Proclamations List (given by the City) etc	current + 4 years	P	P	Department preference; GC §34090
MCC-003	Mayor & City Council	Routine	<u>ROUTINE:</u> Copies of originals created in the Mayor and Council offices Recognition Items given by the City: Proclamations, Certificates, Letters of Recognition, Appreciation Plaques Listing: timekeeping entries	4 years		4 years	Department preference; GC §34090
MCC-004	Mayor & City Council	Correspondence	<u>CORRESPONDENCE:</u> Incoming/outgoing, general information (copies) Mayor and Council Chron, Complaints/Concerns, Calendars, Condolences, Adjournments, Schedule of Events, Council Reading, City Depts & Agencies, 49ers, etc	current + 2 years		2 years	Department preference; GC §34090
MCC-005	Mayor & City Council	Non-Record	<u>NON-RECORD:</u> Organizations, Commissions, Committees, Districts, Social Organizations Council Committees (internal and external), City Commissions, League of California Cities, State, Federal and County, Miss Santa Clara Pageant, Sister Cities, Awards/Mementos (received by individuals), Copies of Newspaper Clippings, DVD's of City Council Meetings (copies), etc	None		None	Department preference; GC §34090

RECORDS RETENTION SCHEDULE: PARKS & RECREATION SANTA CLARA, CA.

P&R-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
				Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	
	(OFR)						
<i>If the record is not listed here, refer to the Retention for City-Wide Standards</i>							
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ADMINISTRATION							
P&R-001	Parks & Recreation / Admin.	Reference	Park History File (Building Dedications, Facility Evaluations, etc.)	P		P	Department preference; GC §34090
P&R-002	Parks & Recreation / Admin.	Project Admin	Capital Improvement Projects (CIP) / Jobs: <u>Administration File</u> Project Administration, Certified Payrolls, Construction Management Logs, Daily Inspection Diary, Project Schedules, Progress meetings, Real Estate Appraisals, etc.	Upon Completion	10 years or After Funding Agency Audit, if required, whichever is longer	Completion + 10 years or After Funding Agency Audit, if required, whichever is longer	Some grant funding agencies require audits; Statute of Limitations for Errors & Omissions is 10 years; Published Audit Standards=4-7 years; Statute of Limitations: Contracts & Spec's=4 years, Wrongful Death=comp. + 5 years, Developers=comp. + 10 years; Statewide guidelines propose termination + 5 years; CCP §§336(a), 337 et. seq., GC §34090
P&R-003	Parks & Recreation / Admin.	Contracts	Capital Improvement Projects (CIP) / Jobs: <u>Permanent File</u> Plans, Record Drawings / "As Builts", Specifications, Bids/RFPs, Successful Proposal, Change Orders, Inspections, Materials Testing Reports, Grading Permits, Hazardous Materials Reports, Notice of Completion,)&M Manuals, Photos, Real Estate Appraisals, Soils Reports, Studies, Submittals, Surveys, etc.	Upon Completion	P	P	Department preference; retained for disaster preparedness purposes; Statewide guidelines propose Permanent for Infrastructure plans; GC §34090
P&R-004	Parks & Recreation / Admin.	Agreements	Agreements: <u>Maintenance Agreements (Creeks, Trails, etc.)</u>	Completion	5 years	Completion + 5 years	Department preference; Statute of Limitations: Contracts & Spec's=4 years, Wrongful Death=Comp. + 5 years, Developers=Comp. + 10 years; E&O =Comp + 10 years; Published Audit Standards=4-7 years; Statewide guidelines propose termination + 5 years; CCP §§336(a), 337 et. seq., GC §34090
P&R-005	Parks & Recreation / Admin.	Correspondence	Parks and Recreation Commission AGENDAS, AGENDA PACKETS	2 years		2 years	GC §34090
P&R-006	City Clerk	Correspondence	Parks and Recreation Commission MINUTES & BYLAWS Copies - Forward Originals to City Clerk	2 years		2 years	GC §34090

RECORDS RETENTION SCHEDULE: PARKS & RECREATION SANTA CLARA, CA.

SAINT CLAIR, CA

P&R-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
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Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).							
CEMETERY							
P&R-007	Parks & Recreation / Cemetery	Reference	City Cemetery Internment Records (Ownership / Plot location / relocation, date of receipt and internment, etc.)	P		P	No specific time period mentioned in law; HS §§8330, 8331
P&R-008	Parks & Recreation / Cemetery	Reference	Deed Books (Cemetery Deeds)	P		P	GC §34090
P&R-009	Parks & Recreation / Cemetery	Agreements and Leases Significant	Endowment Care Agreements	P		P	Department preference; CCP §337 et seq., GC §34090
P&R-010	Parks & Recreation / Cemetery	Reference	Indexes: Burial Index / Cremation Index, etc.	P		P	Department preference; GC §34090
P&R-011	Parks & Recreation / Cemetery	Reference	Lot Books (Cemetery)	P		P	GC §34090
P&R-012	Parks & Recreation / Cemetery	Reference	Plot Books	P		P	GC §34090
P&R-013	Parks & Recreation / Cemetery	Reference	Repurchase of Graves	P		P	Department preference; CCP §337 et seq., GC §34090
P&R-014	City Clerk	Correspondence	Schedule of Fees (Copies)	2 years		2 years	GC §34090.7
P&R-015	Finance	Reference	Statement of Sale	P		P	Department preference; GC §34090.7
P&R-016	Parks & Recreation / Cemetery	Project Admin	Worksheets (Detail of Arrangements)	10 years		10 years	Department preference; GC §34090

RECORDS RETENTION SCHEDULE: PARKS & RECREATION SANTA CLARA, CA.

P&R-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
				Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	
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PARKS & PLAYGROUND / PARKS SERVICES							
P&R-017	Parks & Rec / Parks & Playground / Parks Services	Correspondence	Equipment Materials & Instructions	Life of Equipment + 2 years		Life of Equipment + 2 years	GC §34090 et seq.
P&R-018	Parks & Rec / Parks & Playground / Parks Services	Source	Key Management / Tracking Log	Indefinite		Indefinite	Department Preference (data is interrelated); GC §34090
P&R-019	Parks & Rec / Parks & Playground / Parks Services	Correspondence	Paints & Finishes, Janitorial Supplies, etc. Also see MSDS on City-wide	2 years		2 years	GC §34090
P&R-020	Parks & Rec / Parks & Playground / Parks Services	Reference	Park Sites / Historical Files	P		P	Department preference; GC §34090
P&R-021	Parks & Rec / Parks & Playground / Parks Services	Correspondence	Pesticide Applications Also see MSDS on City-wide	2 years		2 years	Department Preference (agricultural pesticide records are required for 2 years); GC §34090; 3 CCR 6623, 40 CFR 171.11 et seq.
P&R-022	Parks & Rec / Parks & Playground / Parks Services	Correspondence	Playground Inspections	2 years		2 years	GC §34090

RECORDS RETENTION SCHEDULE: PARKS & RECREATION SANTA CLARA, CA.

P&R-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
				Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	
	(OFR)						
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<i>Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.</i>							
<i>Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>							
P&R-023	Engineering	Reference	Record Drawings / "As Built" of Parks Facilities (Copies)	P		P	Department preference; GC §34090.7
P&R-024	Parks & Rec / Parks & Playground / Parks Services	Correspondence	Swimming Pool Chemical Readings	2 years		2 years	DHS requirement; GC §34090

**RECORDS RETENTION SCHEDULE: PARKS & RECREATION
SANTA CLARA, CA.**

P&R-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
				Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	
	(OFR)						
<i>If the record is not listed here, refer to the Retention for City-Wide Standards</i>							
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RECREATION - CRC - COMMUNITY RECREATION CENTER							
P&R-025	Parks & Rec. / Recreation / CRC	Incident Reports	Accident Reports - Not Significant - First Aid (bandages, scratches, etc)	2 years		2 years	Significant Accident Reports are sent to the City Attorney; GC §34090
P&R-026	Parks & Rec. / Recreation / CRC	Correspondence	Activity / Special Programs / Special Event Files	2 years		2 years	Department preference; GC §34090
			Classes				
P&R-027	City Clerk	Correspondence	Activity Guides Copies	2 years		2 years	City Clerk maintains originals; GC §34090.7
P&R-028	Parks & Rec. / Recreation / CRC	Agreements	Agreements for Contractors: Class Instructors, Sports Leagues, etc.	Completion + 2 years	3 years	Completion + 5 years	The statute of limitation for errors and omissions is not applicable; Statewide guidelines propose completion + 5 years for non-capital improvement contracts & completion + 4 years for transportation and concessionaire agreements; CCP §§336(a), 337 et. seq., GC §34090
P&R-029	Parks & Rec. / Recreation / CRC	Correspondence	Banner Permits	2 years		2 years	GC §34090
P&R-030	Parks & Rec. / Recreation / CRC	Reference	CRC Historical Records	P		P	Department Preference; GC §34090
P&R-031	Parks & Rec. / Recreation / CRC	Non-Record	Evaluations/Surveys (Program Evaluations)	None		None	Department Preference (Transitory record not retained in the ordinary course of business); GC §34090
P&R-032	Parks & Rec. / Recreation / CRC	Correspondence	Facility Use Agreements / Room Reservations / Equipment Applications or Books, Alcoholic Beverage Applications	2 years		2 years	GC §34090

RECORDS RETENTION SCHEDULE: PARKS & RECREATION SANTA CLARA, CA.

SAN FRANCISCO, CA

P&R-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
	(OFR)			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	
If the record is not listed here, refer to the Retention for City-Wide Standards							
Retentions begin when the act is completed, and imply a full file folder (e.g. last document + 2 years), since destruction is normally performed by file folder.							
Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).							
P&R-033	Parks & Rec. / Recreation / CRC	Grants	Grant Program (Grants to Others through Friends of Parks & Recreation)	5 years		5 years	Meets auditing standards; Grants covered by a Consolidated Action Plan are required for 5 years; Uniform Admin. Requirements for Grants to Local Governments is 3 years from expenditure report or final payment of grantee or subgrantee; HUD requires 3 years; statewide guidelines propose 4 years; 21 CFR 1403.36 & 1403.42(b); 24 CFR 85.42, & 570.502(b), 29 CFR 97.42; GC §34090
P&R-034	Parks & Rec. / Recreation / CRC	Source	Recreation Database	Indefinite		Indefinite	Department Preference; data is interrelated; GC §34090
P&R-035	Parks & Rec. / Recreation / CRC	Correspondence	Registration Forms / Fee & Charge / Liability Forms / Release of Liability Forms / Permissions etc.: Camps, Field Trips, Authorization to give Medicine, etc.	2 years		2 years	GC §34090
P&R-036	Parks & Rec. / Recreation / CRC	Non-Record	Sign-in / Sign-out sheets Drop in Tennis, Ceramics, Babysitting	None		None	GC §34090
P&R-037	Parks & Rec. / Recreation / CRC	Subject	Subject / Reference Files: Subjects other than Specifically Mentioned in Retention Schedules	5 years		5 years	Department Preference; GC §34090 et seq.

RECORDS RETENTION SCHEDULE: PARKS & RECREATION SANTA CLARA, CA.

P&R-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
	(OFR)			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	
If the record is not listed here, refer to the Retention for City-Wide Standards							
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Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).							
RECREATION - SENIOR CENTER							
P&R-038	Parks & Rec. / Recreation / Senior Center	Subject	Activity / Special Programs / Special Event Files Tour Programs, etc.	5 years		5 years	Department preference; GC §34090
P&R-039	Parks & Rec. / Recreation / Senior Center	Agreements	Agreements for Nurses	Completion + 2 years	3 years	Completion + 5 years	Department preference; Statute of Limitations is 4 years; CCP §337; §343
P&R-040	Parks & Rec. / Recreation / Senior Center	Non-Record	Evaluations/Surveys (Program Evaluations)	None		None	Department Preference (Transitory record not retained in the ordinary course of business); GC §34090
P&R-041	Parks & Rec. / Recreation / Senior Center	Correspondence	Facility Use Agreements / Room Reservations / Equipment Applications or Books, Alcoholic Beverage Applications	2 years		2 years	GC §34090
P&R-042	Parks & Rec. / Recreation / Senior Center	Correspondence	Lapidary / Woodshop Sign-Ups	Inactive + 2 years		Inactive + 2 years	Department preference; GC §34090
P&R-043	Parks & Rec. / Recreation / Senior Center	Routine	Nutrition / Food / Lunch Program Registrations (Confidential)	4 years		4 years	City administers program for the County; meets Uniform Grant Requirements; Uniform Admin. Requirements for Grants to Local Governments is 3 years from expenditure report; statewide guidelines propose 4 years; 24 CFR 85.42 & 570.502(b), 29 CFR 97.42, GC §34090
P&R-044	Parks & Rec. / Recreation / Senior Center	Correspondence	Registration Forms / Fee & Charge / Liability Forms / Release of Liability Forms / Permissions etc.: Camps, Field Trips, Authorization to give Medicine, etc.	2 years		2 years	GC §34090

RECORDS RETENTION SCHEDULE: PARKS & RECREATION SANTA CLARA, CA.

P&R-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
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P&R-045	Parks & Rec. / Recreation / Senior Center	Correspondence	Senior Commission AGENDAS, AGENDA PACKETS	2 years		2 years	Brown Act challenges must be filed within 30 or 90 days of action; GC §§34090, 54960.1(c)(1)
P&R-046	City Clerk	Correspondence	Senior Commission MINUTES & BYLAWS Copies - Forward Originals to City Clerk	2 years		2 years	Notes taken to facilitate the writing of the minutes can be destroyed after minutes have been adopted; GC §34090
P&R-047	Parks & Rec. / Recreation / Senior Center	Non-Record	Sign-in / Sign-out sheets Computer Lab, Fitness Center, Swim Center, etc.	None		None	GC §34090
P&R-048	Parks & Rec. / Recreation / Senior Center	Subject	Subject / Reference Files: Subjects other than Specifically Mentioned in Retention Schedules	5 years		5 years	Department Preference; GC §34090 et seq.

RECORDS RETENTION SCHEDULE: PARKS & RECREATION SANTA CLARA, CA.

P&R-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
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RECREATION - TEEN CENTER							
P&R-049	Parks & Rec. / Recreation / Teen Center	Subject	Activity / Special Programs / Special Event Binders Various Teen Programs. Includes As-Needed Staff Recruitment, Time Sheets	5 years		5 years	Department preference; EEOC / FLSA / ADEA (Age) requires 1-3 years; State Law requires 2 - 3 years; 29 CFR 1602 et seq & 1627.3(a)(5) and (6), 2 CCR 7287.0(c)(2), 8 CCR §11040.7(c), GC §§12946, 34090
P&R-050	Parks & Rec. / Recreation / Teen Center	Non-Record	Evaluations/Surveys (Program Evaluations)	None		None	Department Preference (Transitory record not retained in the ordinary course of business); GC §34090
P&R-051	Parks & Rec. / Recreation / Teen Center	Correspondence	Facility Use Agreements / Room Reservations / Equipment Applications or Books, Alcoholic Beverage Applications	2 years		2 years	GC §34090
P&R-052	Parks & Rec. / Recreation / Teen Center	Correspondence	Registration Forms / Fee & Charge / Liability Forms / Release of Liability Forms / Permissions etc.: Camps, Field Trips, Authorization to give Medicine, etc.	2 years		2 years	GC §34090
P&R-053	Parks & Rec. / Recreation / Teen Center	Correspondence	Scholarship Applications	2 years		2 years	GC §34090
P&R-054	Parks & Rec. / Recreation / Teen Center	Non-Record	Sign-in / Sign-out sheets Computer Lab, Summer Program Attendance Sheets, etc.	None		None	GC §34090
P&R-055	Parks & Rec. / Recreation / Teen Center	Subject	Subject / Reference Files: Subjects other than Specifically Mentioned in Retention Schedules	5 years		5 years	Department Preference; GC §34090 et seq.

**RECORDS RETENTION SCHEDULE: PARKS & RECREATION
SANTA CLARA, CA.**

P&R-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
				Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	
	(OFR)						
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P&R-056	Parks & Rec. / Recreation / Teen Center	Reference	Teen Center Historical Records	P		P	Department Preference; GC §34090
P&R-057	Parks & Rec. / Recreation / Youth Center	Correspondence	Youth Advisory Commission AGENDAS, AGENDA PACKETS	2 years		2 years	Brown Act challenges must be filed within 30 or 90 days of action; GC §§34090, 54960.1(c)(1)
P&R-058	City Clerk	Correspondence	Youth Advisory Commission MINUTES & BYLAWS Copies - Forward Originals to City Clerk	2 years		2 years	Notes taken to facilitate the writing of the minutes can be destroyed after minutes have been adopted; GC §34090

RECORDS RETENTION SCHEDULE: PARKS & RECREATION SANTA CLARA, CA.

P&R-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
	(OFR)			Active (in office)	Inactive (Off-site, OD or Mfr)	Total Retention	
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RECREATION - YOUTH ACTIVITY CENTER							
P&R-059	Parks & Rec. / Recreation / Youth Center	Subject	Activity / Special Programs / Special Event Files After School Classes, Sports, Skate Park, Special Events	5 years		5 years	Department preference; GC §34090
P&R-060	Parks & Rec. / Recreation / Youth Center	Non-Record	Evaluations/Surveys (Program Evaluations)	None		None	Department Preference (Transitory record not retained in the ordinary course of business); GC §34090
P&R-061	Parks & Rec. / Recreation / Youth Center	Correspondence	Facility Use Agreements / Room Reservations / Equipment Applications or Books, Alcoholic Beverage Applications	2 years		2 years	GC §34090
P&R-062	Parks & Rec. / Recreation / Youth Center	Source	Participant Database (Access)	Indefinite		Indefinite	Department Preference; data is interrelated; GC §34090
P&R-063	Parks & Rec. / Recreation / Youth Center	Correspondence	Registration Forms / Fee & Charge / Liability Forms / Release of Liability Forms / Permissions etc.: Camps, Field Trips, Authorization to give Medicine, etc.	2 years		2 years	GC §34090
P&R-064	Parks & Rec. / Recreation / Youth Center	Non-Record	Sign-in / Sign-out sheets (Passage Point Software)	None		None	GC §34090
P&R-065	Parks & Rec. / Recreation / Youth Center	Subject	Subject / Reference Files: Subjects other than Specifically Mentioned in Retention Schedules	5 years		5 years	Department Preference; GC §34090 et seq.

**RECORDS RETENTION SCHEDULE: PARKS & RECREATION
SANTA CLARA, CA.**

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P&R-066	Parks & Rec. / Recreation / Youth Center	Reference	Youth Activity Center Historical Records	P		P	Department Preference; GC §34090

RECORDS RETENTION SCHEDULE: PLANNING & INSPECTION SANTA CLARA, CA.

P&I-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
				Active (in office)	Inactive (Records Center)	Total Retention	
	(OFR)						
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BUILDING INSPECTION							
P&I-001	Planning & Inspection / Building Inspection	Reference	Alternate Methods Database (Alternate Material for Buildings)	P		P	Department Preference; GC §34090
P&I-002	Planning & Inspection / Building Inspection	Correspondence	Bonds / Refundable Deposits / Refunds	Release of Bond / Security + 2 years		Release of Bond / Security + 2 years	Securities (Performance Bonds, Letters of Credit, CD's, etc.) are released after completion; GC §34090
P&I-003	Planning & Inspection / Building Inspection	Correspondence	Building Permit Applications where the Permit was Never Issued	2 years		2 years	Department preference; Preliminary drafts not retained in the ordinary course of business; GC §34090
P&I-004	Planning & Inspection / Building Inspection	Source	Building Permit Database Includes Certificates of Occupancies and Complaints	Indefinite		Indefinite	Department Preference - Data is interrelated; GC §34090, H&S §19850
P&I-005	Planning & Inspection / Building Inspection	Reference	Building Permits (All) / "Address File" Includes Certificates of Compliance	P		P	Statewide guidelines propose permanent; GC §34090
P&I-006	Planning & Inspection / Building Inspection	Reference	Building Plans and Construction Documents - Finalled - SINGLE FAMILY RESIDENTIAL - SFR (less than 2 stories) and APPURTENANCES	P		P	Department preference; Law requires plans be retained for the life of the building for other structures; Statewide guidelines propose 2 years for blueprints & specifications; CBC §108.4.3.1; H&S §19850, GC §34090
P&I-007	Planning & Inspection / Building Inspection	Reference	Building Plans and Construction Documents - Finalled - INDUSTRIAL, COMMERCIAL, MULTI-FAMILY DWELLINGS, PLACES OF PUBLIC ACCOMMODATION, TENANT IMPROVEMENTS, PRODUCTION HOMES (includes commercial structural plans, Hazardous Materials Questionnaire, etc.)	P		P	Department Preference; Law requires for the life of the building for commercial only; Statewide guidelines propose 2 years for blueprints & specifications; CBC §108.4.3.1; H&S §19850, GC §34090

RECORDS RETENTION SCHEDULE: PLANNING & INSPECTION SANTA CLARA, CA.

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P&I-008	Planning & Inspection / Building Inspection	Reference	Certificates of Occupancy	P		P	Department Preference; GC §34090
P&I-009	Planning & Inspection / Building Inspection	Reference	Complaints / Service Orders	P		P	GC §34090
P&I-010	City Clerk	Reference	Covenants / Easements (Openings across property lines, etc.) copies	P		P	Department preference; GC §34090.7
P&I-011	Planning & Inspection / Building Inspection	Reference	Miscellaneous Permits - "TRADE PERMITS" - Mechanical, Plumbing, Electrical trades, etc.	P		P	Department Preference (scanned); GC §34090
P&I-012	Planning & Inspection / Building Inspection	Reference	Miscellaneous Permits: House Moving, Party Tents, etc.	P		P	Department Preference (scanned); GC §34090
P&I-013	Planning & Inspection / Building Inspection	Correspondence	Performance Bonds	Release of Security + 2 years		Release of Security + 2 years	Securities (Performance Bonds, Letters of Credit, CD's, etc.) are released after the Notice of Completion is issued and replaced with the Warranty Bond, which is released 1 year after the Notice of Completion date. GC §34090
P&I-014	Planning & Inspection / Building Inspection	Correspondence	Reports: Building Activity (Annual) (copies)	2 years		2 years	Department Preference; GC §34090
P&I-015	Planning & Inspection / Building Inspection	Correspondence	Reports: Building Activity (Monthly)	2 years		2 years	Department Preference; GC §34090
P&I-016	Planning & Inspection / Building Inspection	Correspondence	Requests & Permissions to Receive Copies of Plans	2 years		2 years	GC §34090 et seq.

**RECORDS RETENTION SCHEDULE: PLANNING & INSPECTION
SANTA CLARA, CA.**

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P&I-017	Planning & Inspection / Building Inspection	Reference	Soils Reports, Special Studies (Earthquake, etc.)	P		P	Department Preference; GC §34090
P&I-018	Planning & Inspection / Building Inspection	Non-Record	Title 24 Energy Calcs, Structural Calcs	None		None	Department preference (preliminary drafts not retained in the ordinary course of business), GC §34090
P&I-019	Planning & Inspection / Building Inspection	Reference	Uniform Codes (UBC, UPC, UEC. Etc.)	P		P	GC §50022.6
P&I-020	Planning & Inspection / Building Inspection	Reference	Violations (correction notices, compliance orders, stop work notices, etc.)	Until Cleared or Project Completion - P		Until Cleared or Project Completion - P	Department Preference; GC §34090

RECORDS RETENTION SCHEDULE: PLANNING & INSPECTION SANTA CLARA, CA.

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PLANNING							
P&I-021	Planning & Inspection / Planning AND City Clerk	Reference	Annexations / Boundaries / Consolidations / LAFCO	5 years	P	P	Land Records; GC §34090
P&I-022	Planning & Inspection / Planning	Correspondence	Architectural Review Committee (ARC) Agendas and Agenda Packets	2 years		2 years	Department Preference (the Staff Reports are filed in the Project Entitlement Folder); GC §34090
P&I-023	Planning & Inspection / Planning	Reference	Architectural Review Committee Approvals / Letters	P		P	Department Preference; GC §34090
P&I-024	Planning & Inspection / Planning	Minutes	Architectural Review Committee Minutes	P		P	Department preference; Notes taken to facilitate the writing of the minutes can be destroyed after minutes have been adopted; GC §34090.7
P&I-025	Planning & Inspection / Planning	Reference	Berryessa Adobe Property Files	P		P	Department preference; GC §34090
P&I-026	Planning & Inspection / Planning	Non-Record	Census, Demographics	None		None	Department preference (Non-Records - Census Bureau is OFR)
P&I-027	Planning & Inspection / Planning	Reference	City of Santa Clara Architecturally or Historically Significant Properties	P		P	Department preference; GC §34090
P&I-028	Planning & Inspection / Planning	Logs	Code Enforcement / Abatement Case Files (Includes appeals and Code Enforcement Complaint Letters)	3 years		3 years	Department preference; Case is open until satisfactorily resolved (some cases are not resolved); City Clerk maintains original staff reports and resolutions that are presented to Council; CFC §104.3.4, GC §34090
P&I-029	Planning & Inspection / Planning	Reference	Environmental Determinations: Environmental Impact Reports (EIRs), Negative Declarations, etc.) Inside City boundaries	P		P	Usually filed in the project file; Final environmental determinations are required to be kept a "reasonable period of time"; 14 CCR §15095(c); GC §34090

RECORDS RETENTION SCHEDULE: PLANNING & INSPECTION SANTA CLARA, CA.

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P&I-030	Planning & Inspection / Planning	Non-Record	Environmental Determinations: Environmental Impact Reports (EIRs), Negative Declarations, etc.) Outside City boundaries (no City comments)	None		None	Non-records; EIRs and Negative Declarations within the City Boundaries are with the project file
P&I-031	Planning & Inspection / Planning	Correspondence	Environmental Determinations: Environmental Impact Reports (EIRs), Negative Declarations, etc.) Outside City boundaries (where the City submits comments)	2 years		2 years	GC §34090
P&I-032	Planning & Inspection / Planning	Reference	General Plan, Elements and Amendments	P		P	GC §34090
P&I-033	Planning & Inspection / Planning	Reference	Harris Lass Property Files	P		P	Department preference; GC §34090
P&I-034	Planning & Inspection / Planning	Correspondence	Historical & Landmarks Commission (HLC) Agendas and Agenda Packets	2 years		2 years	Department Preference (the Staff Reports are filed in the Project Entitlement Folder); GC §34090.7
P&I-035	Planning & Inspection / Planning	Reference	Historical & Landmarks Commission Approvals / Letters	P		P	Department Preference; GC §34090
P&I-036	Planning & Inspection / Planning	Reference	Historical & Landmarks Commission Audio Recordings	P		P	Department preference; State law only requires for 30 days; GC §54953.5(b)
P&I-037	City Clerk	Minutes	Historical & Landmarks Commission Minutes	P		P	Department preference (copies); Notes taken to facilitate the writing of the minutes can be destroyed after minutes have been adopted; GC §34090.7
P&I-038	Planning & Inspection / Planning	Reference	Jamison Brown House Property Files	P		P	Department preference; GC §34090
P&I-039	Planning & Inspection / Planning	Reference	Master Plans, Specific Plans, Bikeway Plans, etc.	P		P	Department Preference; GC §34090

RECORDS RETENTION SCHEDULE: PLANNING & INSPECTION SANTA CLARA, CA.

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P&I-040	Planning & Inspection / Planning	Correspondence	Permits: Parties, Noise, etc.	2 years		2 years	GC §34090
P&I-041	Planning & Inspection / Planning	Correspondence	Planning Commission Agendas, Agenda Packets	2 years		2 years	Department Preference (the Staff Reports are filed in the Project Entitlement Folder); GC §34090.7
P&I-042	Planning & Inspection / Planning	Reference	Planning Commission Audio Recordings	P		P	Department preference; State law only requires for 30 days; GC §54953.5(b)
P&I-043	City Clerk	Minutes	Planning Commission Minutes	P		P	Department preference (minutes are copies) Notes taken to facilitate the writing of the minutes can be destroyed after minutes have been adopted; GC §34090 et seq.
P&I-044	Planning & Inspection / Planning	Resolutions	Planning Commission Resolutions	P		P	GC §34090 et seq.
P&I-045	Planning & Inspection / Planning	Reference	Planning Commission, Summary of Actions	P		P	Department preference; GC §34090
P&I-046	Planning & Inspection / Planning	Correspondence	<u>Planning Project Files - Approved & Unapproved Special Permits:</u> Christmas Tree Lots, Temporary Barricades with Artwork, Debris Boxes, Pumpkin Lots, Temporary Signs, Garage Sale Permit, After Hour Permits, Party Tents, etc.	Termination + 2 years		Termination + 2 years	Temporary uses; Department maintains complete files for administrative purposes; GC§§34090

RECORDS RETENTION SCHEDULE: PLANNING & INSPECTION SANTA CLARA, CA.

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P&I-047	Planning & Inspection / Planning	Project	<p><u>Planning Project Files - Approved, Denied, Withdrawn or Expired Permanent Entitlements</u></p> <p>(Includes Associated CEQA Noticing, Conditions of Approval, Public Noticing, Affidavits of Publications/Legal Advertising, Environmental Determinations, Staff Reports, Plans & Maps</p> <p>Examples: Architectural Control, Conditional Use Permits (CUPs), Design Review, Lot Line Adjustments, Parcel Maps, Planned Unit Developments (PUD), Site Plans, Tentative Subdivisions, Variances, Zone Changes, Copies of Development Agreement, etc.</p>	Project Completion	P	P	Projects have a 2 year vesting (applicant must pull permit within 2 years) -- those applications in which the applicant does not follow through with permit may be destroyed after the vesting period has expired. Department maintains complete files for administrative purposes; Final environmental determinations are required to be kept a "reasonable period of time"; 14 CCR §15095(c); GC§§34090, 34090.7
P&I-048	Planning & Inspection / Planning	Non-Record	Preliminary Review File	None		None	Preliminary Documents (no application submitted); GC §34090
P&I-049	Planning & Inspection / Planning	Correspondence	Project Clearance Committee (internal staff)	2 years		2 years	GC §34090
P&I-050	Planning & Inspection / Planning	Reference	Project Log Index / Spreadsheet / Binders of Historic Actions	P		P	Department Preference; GC §34090
P&I-051	Planning & Inspection / Planning	Non-Record	Regional Organizational Studies & Programs where other Agencies are the Lead (e.g. Air Quality Studies, etc.)	None		None	Non-records; GC §34090 et seq.
P&I-052	Planning & Inspection / Planning	Reference	Santa Clara Railroad Property Files	P		P	Department preference; GC §34090
P&I-053	Planning & Inspection / Planning	Reference	Special Studies	P		P	Department Preference; GC §34090
P&I-054	Planning & Inspection / Planning	Correspondence	Subdivision Committee / Project Clearance Committee Agenda	2 years		2 years	GC §34090

RECORDS RETENTION SCHEDULE: PLANNING & INSPECTION SANTA CLARA, CA.

P&I-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
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P&I-055	Planning & Inspection / Planning	Minutes	Subdivision Committee / Project Clearance Committee Minutes	P		P	Department Preference; GC §34090
P&I-056	City Clerk	Reference	Zoning Amendments, Zoning Text Amendments copies	P		P	Department Preference; GC §34090.7
P&I-057	Planning & Inspection / Planning	Reference	Zoning Maps	P		P	Department Preference; City Clerk Maintains originals of all documents that were presented to Council; GC §34090.7

RECORDS RETENTION SCHEDULE: PLANNING & INSPECTION SANTA CLARA, CA.

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HOUSING AND COMMUNITY SERVICES							
P&I-058	Planning & Inspection / Housing & Community Services	AP Payments	Accounts Payable / Invoices and Backup / Warrants Requests NOT forwarded to Finance	2 years	5 years	7 years	Department preference; GC §34090
P&I-059	Planning & Inspection / Housing & Community Services	Subject	AHS Agency - Affordable Housing Services - All May contain Home Ownership Housing Projects with Recapture / Resale Restrictions (Contract Agreements, Compliance Monitoring)	5 years After the Affordability Period Terminates, or the Written Agreement Terminates, Whichever is Longer		5 years after the Affordability Period Terminates, or the Written Agreement Terminates, Whichever is Longer	HUD requires 5 years after the project completion; documents imposing recapture / resale restrictions are 5 years after the affordability period terminates; Uniform Admin. Requirements for Grants to Local Governments is 3 years from expenditure report; statewide guidelines propose 4 years; 24 cfr 85.42(b), 92.508(a) & (c)(2) & 570.502(b), 29 CFR 97.42(b), GC §34090
P&I-060	Planning & Inspection / Housing & Community Services	Subject	AHS Agency - Affordable Housing Services - HOME OWNERSHIP HOUSING PROJECTS NO RECAPTURE / RESALE RESTRICTIONS (Contract Agreements, Compliance Monitoring)	Project Completion + 5 years		Project Completion + 5 years	HUD requires 5 years after the project completion; documents imposing recapture / resale restrictions are 5 years after the affordability period terminates; Uniform Admin. Requirements for Grants to Local Governments is 3 years from expenditure report; statewide guidelines propose 4 years; 24 cfr 85.42(b), 92.508(a) & (c)(2) & 570.502(b), 29 CFR 97.42(b), GC §34090

RECORDS RETENTION SCHEDULE: PLANNING & INSPECTION SANTA CLARA, CA.

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P&I-061	Planning & Inspection / Housing & Community Services	Subject	AHS Agency - Affordable Housing Services - HOME OWNERSHIP HOUSING PROJECTS WITH RECAPTURE / RESALE RESTRICTIONS (Contract Agreements, Compliance Monitoring)	5 years After the Affordability Period Terminates, or the Written Agreement Terminates, Whichever is Longer		5 years after the Affordability Period Terminates, or the Written Agreement Terminates, Whichever is Longer	HUD requires 5 years after the project completion; documents imposing recapture / resale restrictions are 5 years after the affordability period terminates; Uniform Admin. Requirements for Grants to Local Governments is 3 years from expenditure report; statewide guidelines propose 4 years; 24 cfr 85.42(b), 92.508(a) & (c)(2) & 570.502(b), 29 CFR 97.42(b), GC §34090
P&I-062	Planning & Inspection / Housing & Community Services	Subject	AHS Agency - Affordable Housing Services - RENTAL HOUSING PROJECTS (Contract Agreements, Compliance Monitoring)	Project Completion + 5 years		Project Completion + 5 years	HUD requires 5 years after the project completion; documents imposing recapture / resale restrictions are 5 years after the affordability period terminates; Uniform Admin. Requirements for Grants to Local Governments is 3 years from expenditure report; statewide guidelines propose 4 years; 24 cfr 85.42(b), 92.508(a) & (c)(2) & 570.502(b), 29 CFR 97.42(b), GC §34090
P&I-063	Planning & Inspection / Housing & Community Services	Subject	AHS Agency - Affordable Housing Services - TENANT-BASED RENTAL ASSISTANCE (Contract Agreements, Compliance Monitoring)	Termination of Rental Assistance + 5 years		Termination of Rental Assistance + 5 years	HUD requires 5 years after the rental assistance terminated; documents imposing recapture / resale restrictions are 5 years after the affordability period terminates; Uniform Admin. Requirements for Grants to Local Governments is 3 years from expenditure report; statewide guidelines propose 4 years; 24 cfr 85.42(b), 92.508(a) & (c)(2) & 570.502(b), 29 CFR 97.42(b), GC §34090

RECORDS RETENTION SCHEDULE: PLANNING & INSPECTION SANTA CLARA, CA.

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P&I-064	Planning & Inspection / Housing & Community Services	Analysis	Annual Plans - Reports 5-year Hud Consolidated Plan RDA Implementation Plan HUD Annual Plan HCD Report - HUD Caper Housing Authority - Includes working Copies and back-up	10 years		10 years	Department Preference; GC §34090
P&I-065	Planning & Inspection / Housing & Community Services	Subject	Applications for Projects or Loans: Rejected (Rental Rehabilitation, etc.)	3 years	2 years	5 years	GC §34090
P&I-066	Planning & Inspection / Housing & Community Services	Subject	BMP - Below Market Program (First Time Home Buyer, etc.)	5 years After the Affordability Period Terminates, or the Written Agreement Terminates, Whichever is Longer		5 years after the Affordability Period Terminates, or the Written Agreement Terminates, Whichever is Longer	HUD requires 5 years after the project completion; documents imposing recapture / resale restrictions are 5 years after the affordability period terminates; Uniform Admin. Requirements for Grants to Local Governments is 3 years from expenditure report; statewide guidelines propose 4 years; 24 cfr 85.42(b), 92.508(a) & (c)(2) & 570.502(b), 29 CFR 97.42(b), GC §34090

RECORDS RETENTION SCHEDULE: PLANNING & INSPECTION SANTA CLARA, CA.

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P&I-067	Planning & Inspection / Housing & Community Services	Subject	Capital Projects: Contactor Agreements, Compliance Monitoring, Financial Accounting, etc.	Project Completion + 5 years		Project Completion + 5 years	Required for Contracts Meets auditing standards; Grants covered by a Consolidated Action Plan are required for 5 years; Uniform Admin. Requirements for Grants to Local Governments is 3 years from expenditure report or final payment of grantee or subgrantee; statewide guidelines propose 4 years; 7 CFR 3016.42; 21 CFR 1403.36 & 1403.42(b); 24 cfr 85.42(b), 91.105(h), 92.505, 92.508(a)(c), & 570.502(b), 28 CFR 66.42; 29 CFR 97.42(b); 40 CFR 31.42; 44 CFR 13.42; 45 CFR 92.42; OMB Circular A-133; GC §34090
P&I-068	City Clerk	Agreements	CDBG Agreements copies	5 years		5 years	GC §34090.7
P&I-069	Planning & Inspection / Housing & Community Services	Report	Draw-Downs / IDIS	5 years		5 years	Department Preference (meets municipal government auditing standards); GC §34090
P&I-070	Planning & Inspection / Housing & Community Services	Report	Fair Housing / Analysis of Impediments Section 3 Plans Draw-down Plan LEP Plan Citizen Participation Plan Other Plans, Procedures & documents required by appropriate regulatory agencies	5 years		5 years	Department Preference; GC §34090
P&I-071	Planning & Inspection / Housing & Community Services	Analysis	Homelessness County Homeless Plans Reports Census Surveys	7 years	3 years	10 years	Department Preference; GC §34090

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P&I-072	Planning & Inspection / Housing & Community Services	Report	Housing Rehabilitation Loan Committee - Agendas, Agenda Packets	5 years		5 years	Department Preference; GC §34090
P&I-073	Planning & Inspection / Housing & Community Services	Minutes	Housing Rehabilitation Loan Committee - Minutes	P		P	GC §34090
P&I-074	Planning & Inspection / Housing & Community Services	Subject	Housing Development Projects: Development Agreement, Compliance Monitoring	5 years After the Affordability Period Terminates, or the Written Agreement Terminates, Whichever is Longer		5 years after the Affordability Period Terminates, or the Written Agreement Terminates, Whichever is Longer	HUD requires 5 years after the project completion; documents imposing recapture / resale restrictions are 5 years after the affordability period terminates; Uniform Admin. Requirements for Grants to Local Governments is 3 years from expenditure report; statewide guidelines propose 4 years; 24 cfr 85.42(b), 92.508(a) & (c)(2) & 570.502(b), 29 CFR 97.42(b), GC §34090
P&I-075	Planning & Inspection / Housing & Community Services	Subject	Housing Development Projects: Funding / Silent Seconds / Loans, Reconveyances, Deed Restrictions, Covenants, etc. Agreements, Compliance, Environmental, Finance, General / Correspondence, Monitoring & Monitoring Visits, Relocation, Silent Seconds	Loan Pay-off + 5 years		Loan Pay-off + 5 years	Department Preference; Statute of Limitations for bonds, mortgages, trust deeds, notes or debentures is 6 years; Bonds issued by local governments are 10 years; There are specific requirements for disposal of unused bonds; CCP §§336(a)(1) & (2), 337.5(2); 24 cfr 85.42(b), 92.508(a) & (c)(2); GC §43900 et seq.
P&I-076	Planning & Inspection / Housing & Community Services	Regulatory Filings	HUD Correspondence	7 years		7 years	Department Preference; GC §34090

RECORDS RETENTION SCHEDULE: PLANNING & INSPECTION SANTA CLARA, CA.

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P&I-077	Planning & Inspection / Housing & Community Services	Subject	<p>Neighborhood Conservation Improvement Program (NCIP) / Rehabilitation Files (homeownership projects without resale restrictions)</p> <p>Clients, Contractors, Loan Servicing, Funding, Silent Seconds, etc.</p> <p>Agreements, Compliance, Environmental, Finance, General / Correspondence, Monitoring & Monitoring Visits, etc.</p>	Loan Pay-off + 5 years		Loan Pay-off + 5 years	Meets auditing standards; Grants covered by a Consolidated Action Plan are required for 5 years; Uniform Admin. Requirements for Grants to Local Governments is 3 years from expenditure report or final payment of grantee or subgrantee; statewide guidelines propose 4 years; 7 CFR 3016.42; 21 CFR 1403.36 & 1403.42(b); 24 cfr 85.42(b), 91.105(h), 92.505, & 570.502(b), 28 CFR 66.42; 29 CFR 97.42(b); 40 CFR 31.42; 44 CFR 13.42; 45 CFR 92.42; OMB Circular A-133; GC §34090
P&I-078	Planning & Inspection / Housing & Community Services	Subject	<p>Neighborhood Conservation Improvement Program (NCIP) / Rehabilitation Files</p> <p>Procedures</p>	5 years		5 years	Meets auditing standards; Department preference; GC §34090
P&I-079	Planning & Inspection / Housing & Community Services	Reference	NEPA - National Environmental Protection Agency - Environmental Determinations (EIRs, Negative Declarations, etc.)	Completion + 5 years	P	P	Department Preference; State documents (CEQA) are provided by Planning; State EIRs are required to be kept a "reasonable period of time;" 14 CCR §15095(c); GC §34090
P&I-080	Planning & Inspection / Housing & Community Services	Subject	Promissory Notes	Loan Pay-off + 5 years		Loan Pay-off + 5 years	GC §34090(a)

RECORDS RETENTION SCHEDULE: POLICE SANTA CLARA, CA.

PD-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
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ADMINISTRATION and/or CHIEF OF POLICE							
PD-001	Police / Admin. / Chief	Correspondence	Annual Summary of Use of Force	2 years		2 years	GC §34090
PD-002	Police / Admin. / Chief	Inspections	Carry Concealed Weapon Permits (CCW) - Approved	Expiration + 10 years		Expiration + 10 years	Department preference; GC §34090
PD-003	Police / Admin. / Chief	Correspondence	Carry Concealed Weapon Permits (CCW) - Denied	2 years		2 years	Department preference; GC §34090
PD-004	Police / Admin. / Chief	Correspondence	DMV Pull Notices (Police Employees Only)	Superseded + 2 years		Superseded + 2 years	Department preference (Transitory or source records not retained in the ordinary course of business); CHP audits every 2 years; Bureau of National Affairs recommends 2 years for all supplementary Personnel records; GC §34090
PD-005	Police / Admin. / Chief	Subject	Internal Affairs Investigations / Complaints: Except Officer Involved Shootings	5 years		5 years	State requires for at least 5 years for Citizen's complaints; other State & Federal laws require retention until final disposition of formal complaint; State requires 2 years after action is taken; Statute of Limitations is 4 years for misconduct; IA and Statewide guidelines recommend 25 years for officer involved shootings; EVC §1045(b)(1), GC §§12946, 34090, PC §§801.5, 803(c), 832.5, VC §2547
PD-006	Police / Admin. / Chief	Regulatory Filings	Internal Affairs Investigations / Complaints: Officer Involved Shootings	25 years		25 years	State requires for at least 5 years for Citizen's complaints; other State & Federal laws require retention until final disposition of formal complaint; State requires 2 years after action is taken; Statute of Limitations is 4 years for misconduct; IA and Statewide guidelines recommend 25 years for officer involved shootings; EVC §1045(b)(1), GC §§12946, 34090, PC §§801.5, 803(c), 832.5, VC §2547
PD-007	Police / Lead Div.	Timekeeping	Overtime Slips	4 years		4 years	GC §34090

RECORDS RETENTION SCHEDULE: POLICE SANTA CLARA, CA.

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PD-008	Police / Admin. / Chief	Subject	Personnel Background Packet - POLICE Unsuccessful (not hired)	5 years		5 years	Department preference; EEOC / FLSA / ADEA (Age) requires 1-3 years for selection records; State Law requires 2 - 3 years; 29 CFR 1602 et seq & 1627.3(a)(5) and (6), 2 CCR 7287.0(c)(2), 8 CCR §11040(7.(c)), GC §§12946, 34090
PD-009	Police / Admin. / Chief	Temporary Holding	Personnel Files - Police Department Employees Includes Evaluations, Training Certificates, Evaluations, Medical Records, etc.	Upon Separation, Send to Human Resources		Upon Separation, Send to Human Resources	Department preference; Statewide guidelines propose 7 years; Calif. Labor Division is required to keep their records 7 years; OSHA requires safety training 5 years; EEOC/FLSA/ADEA (Age) requires 3 years for promotion, demotion, transfer, selection, or discharge; State Law requires 2 -3 years; 29 CFR 1627.3(b)(ii), 8 CCR §3204(d)(1) et seq., GC §§12946, 34090
PD-010	Police / Admin. / Chief	Correspondence	Policies & Procedures / Operation Directives / General Orders (Department Policies and Procedures)	Superseded + 2 years		Superseded + 2 years	Department Preference; GC § 34090 et seq.
PD-011	Police / Admin. / Chief	Routine	Public Relations / Citizens Police Academy	4 years		4 years	Department preference; GC §34090
PD-012	Police / Admin. / Chief	Non-Record	Time Off Requests / Sick Slips	None		None	Department Preference; preliminary drafts; GC §34090 et seq.
PD-013	Police / Admin. / Chief	Reference	Training - Department Training Records - <u>COURSE RECORDS</u> (Attendance Rosters, Outlines and Materials; includes Use of Force training, safety training, etc.)	5 years	P	P	Department preference; Rosters are sent to POST; Statewide guidelines propose 7 years; Calif. Labor Division is required to keep their records 7 years; OSHA requires safety training 5 years; EEOC/FLSA/ADEA (Age) requires 3 years for promotion, demotion, transfer, selection, or discharge; State Law requires 2 -3 years; 29 CFR 1627.3(b)(ii), 8 CCR §3204(d)(1) et seq., GC §§12946, 34090
PD-014	Police / Admin. / Chief	Source	Weapons Database / Department Weapons / Qualifications (Employees)	Indefinite		Indefinite	Data Fields / Records are interrelated; GC §34090

**RECORDS RETENTION SCHEDULE: POLICE
SANTA CLARA, CA.**

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ADMINISTRATIVE SERVICES / PERMITS & ALARMS							
PD-015	Police / Records	Correspondence	Alarm Billing	2 years		2 years	GC §34090
PD-016	Police / Admin. Services / Permits & Alarms	Correspondence	Business Permits (Regulatory) - BUSINESS OWNER: Massage, Taxi, etc. (Includes Digital Images)	Expiration + 2 years		Expiration + 2 years	GC §34090
PD-017	Police / Admin. Services / Permits & Alarms	Correspondence	Business Permits (Regulatory) - TECHNICIAN / DRIVERS: Massage Technician, Taxi Driver, etc. (Including Digital Images)	Expiration + 2 years		Expiration + 2 years	GC §34090
PD-018	Police / Admin. Services / Permits & Alarms	Correspondence	Guns: Dealers Record of Sale (DROS)	2 years		2 years	GC §34090
PD-019	Police / Admin. Services / Permits & Alarms	Correspondence	Secondhand Dealer Permits / Pawn Broker Permits & Licenses	Close of Business + 2 years		Close of Business + 2 years	Department Preference; GC §34090

RECORDS RETENTION SCHEDULE: POLICE SANTA CLARA, CA.

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ADMINISTRATIVE SERVICES / PROPERTY & EVIDENCE							
PD-020	Finance	Correspondence	Auction Record Sales copies	2 years		2 years	GC §34090.7
PD-021	Police / Admin. Services / Property & Evidence	Subject	Audits - Drug, Weapons & Money	5 years		5 years	Department Preference; GC §34090
PD-022	Police / Records	Crime Reports	Crime Report Photos (Evidence) / Crime Scene Photos	2 years		2 years	Department Preference; GC §34090; except for PC 187, 273.5, 243(e)(i), fatal accident investigations and outstanding missing persons reports.
PD-023	Police / Records	Reference	Detectives Investigation Files and Arrest Files (Notes) - Homicides	Close Case	P	P	Department preference (preliminary drafts) GC §34090 et seq.
PD-024	Police / Admin. Services / Property & Evidence	Collections	Empty Envelopes / Backup for Money Sent to Finance	7 years		7 years	Department Preference; GC §34090
PD-025	Police / Admin. Services / Property & Evidence	Source	Evidence Register Database	Indefinite		Indefinite	Department Preference (data is interrelated); GC §34090
PD-026	Police / Admin. Services / Property & Evidence	Logs	Gun and Narcotics Destruction Log (Documents related to)	3 years		3 years	Department Preference; GC §34090
PD-027	Police / Admin. Services / Property & Evidence	Historical Documents/ Artifacts	Negative Photo File (older analog photos) Unrelated to crime reports and evidence	P		P	Department Preference; GC §34090

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RECORDS							
PD-028	Police / Records	Correspondence	Bail / Bond Transmittals (If not associated with a City Crime Report)	2 years		2 years	GC §34090
PD-029	Police / Records	Correspondence	Bicycle Licenses	After Entry into RMS + 2 years		After Entry into RMS + 2 years	Preliminary drafts; GC §34090
PD-030	Police / Records	Correspondence	CAD Daily Logs	2 years		2 years	GC §34090
PD-031	Police / Records	Muni	Citations - Parking, Traffic, Moving Violations Includes corrections	2 years		2 years	GC §34090 et seq.; PC 19.7, 802
PD-032	Police / Records	Muni	CRIME REPORTS: Misdemeanor - Adult Marijuana - H&S §11357(b)(c)(d)(e) or H&S §11360(b) (with procedure in H&S §11361.5)	2 years		2 years	("Shall" Destroy); GC §68152(e)(8)
PD-033	Police / Records	Crime Reports	CRIME REPORTS / ARREST JACKETS: ALL, Except Those Specifically Mentioned in the Schedule e.g., 5150, Detention Reports, etc.	25 years		25 years	Department Preference; Provided there are no outstanding warrants, unrecovered identifiable items, criminal deaths, they are not historically significant, and it is not classified under PC §800 & 290 and H&S §11850; Stat. of Limit. is 2 yrs; Destroy juvenile marijuana after age 18; H&S §11361.5, GC §34090, PC §802, PC §§187, 800 et seq.
PD-034	Police / Records	Reference	CRIME REPORTS: Homicide, Manslaughter (including vehicle), Outstanding Missing Persons	P		P	Department Preference; No limitations on commencement of action; Courts keep permanently PC §§ 261, 286, 288, 288a, 288.5, 289, 289.5, 290, and 799
PD-035	Police / Records		CRIME REPORTS: Factually Innocent Petition Accepted Records Sealed Pending Destruction - Except those with outstanding stolen property, including firearms, or lost firearms	Date of Arrest + 3 years		Date of Arrest + 3 years	Individual petitions District Attorney; Sheriff concurs that person is factually innocent, then seals record ("Shall" Destroy); GC §34090; PC §851.8(a)
PD-036	Police / Records		CRIME REPORTS: Misdemeanor - Juvenile Marijuana - H&S §11357(E) - Except those with outstanding stolen property, including firearms, or lost firearms	Conviction or Arrest (if No Conviction) + 2 years		Conviction or Arrest (if No Conviction) + 2 years	(Courts and other Agencies "Shall" destroy); H&S §11361.5 et seq., GC §68152(e)(8)

RECORDS RETENTION SCHEDULE: POLICE SANTA CLARA, CA.

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PD-037	Police / Records		CRIME REPORTS: Misdemeanor Marijuana §11357(e) - Juvenile on School Grounds during School Hours (with procedure in H&S §11361.5)	Offender is 18 Years Old		Offender is 18 Years Old	(Courts and other Agencies "Shall" destroy); H&S §11361.5 et seq., 11357(e)
PD-038	Police / Records		CRIME REPORTS: Outstanding Missing Persons	Until Located		Until Located	Department Preference; GC §34090
PD-039	Police / Records	Subject	CRIME REPORTS: Sealed Juvenile and Ward Cases - Except those with outstanding stolen property, including firearms, or lost firearms	Sealing Date + 5 years (Or Court Order)		Sealing Date + 5 years (Or Court Order)	Statute of Limitations runs up to age of majority + 8 years; sealed records for juveniles and wards of the Court must be destroyed 5 years after sealing date; CCP §§340.1, GC §34090; W&I §§389(a), 781(d)
PD-040	Police / Records	Reference	Crime Statistics / Uniform Crime Reports (UCR) - Summaries (BCS)	P		P	Department preference; GC §34090
PD-041	Police / Records	Logs	Field Investigation Cards (FIs)	3 years		3 years	Preliminary documents; GC §34090 et seq.
PD-042	Police / Records	Correspondence	NCIC Validation	2 years		2 years	GC §34090
PD-043	Police / Records	Non-Record	Officer Recordings: Mobile Audio/Video Recordings that are not evidence ("hip recorders", etc.)	None		None	Department preference; Recordings that become evidence are stored with evidence - these are preliminary documents / transitory recordings not retained in the ordinary course of business; GC §34090.6(a)
PD-044	Police / Lead Div.	Timekeeping	Overtime Slips	4 years		4 years	GC §34090
PD-045	Police / Lead Div.	Timekeeping	Overtime Slips & Special / Extra Duties / Paid Time (Copy of Data Input Records)	4 years		4 years	GC §34090
PD-046	Police / Records	Correspondence	Parking Permits / Preferential Parking Licenses	2 years		2 years	GC §34090
PD-047	Police / Records	Correspondence	Patrol Ride-A-Long Waiver Form	2 years		2 years	GC §34090 et seq.
PD-048	Police / Records	Logs	Pawn Slips	3 years		3 years	Department Preference to provide information to other agencies; Non-records used for investigations; Originals entered into the State Automated Property System; most agencies retain for 2 years; GC §34090

RECORDS RETENTION SCHEDULE: POLICE SANTA CLARA, CA.

PD-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
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PD-049	Police / Records	Correspondence	Public Information Requests	2 years		2 years	GC §34090
PD-050	Police / Records	Reference	Registrants: Arson - Adults	5 years	P	P	Department preference; Pursuant to PC §457.1 et seq.; required to register for life; If released from CYA, records are destroyed after age 25 or sealing pursuant to W&I §781; GC §34090.7
PD-051	Police / Records	Registrants	Registrants: Arson - Juveniles released from California Youth Authority	Age 25 or Sealing Date + 5 years		Age 25 or Sealing Date + 5 years	Pursuant to PC §457.1 et seq.; If released from CYA, records are destroyed after age 25 or sealing pursuant to W&I §781; GC §34090.7
PD-052	Police / Records	Registrants	Registrants: Narcotic	5 years		5 years	Department Preference; Registration is required for 5 years; GC §34090, H&S §11590 et seq., H&S §11594(a)
PD-053	Police / Records	Reference	Registrants: Sex Offenders - Adults	P		P	Department Preference; Pursuant to PC §290 et seq.
PD-054	Police / Records	Registrants	Registrants: Sex Offenders - Juveniles	P or Sealing Date + 5 years (or Court Order)		P or Sealing Date + 5 years (or Court Order)	Pursuant to PC §290 et seq.; W&I §781;
PD-055	Police / Records	Source	RMS Database	25 years		25 years	Data Fields / Records are interrelated; GC §34090; except records marked permanent
PD-056	Police / Records	Correspondence	Subpoenas (Duces Tecum)	2 years		2 years	GC §34090
PD-057	Police / Records	Crime Reports	Video Recordings - Interview Rooms	50 years		50 years	Department preference; Recordings that become evidence are stored with evidence; the system is not designed to and does not record regular and ongoing operations; GC §34090.6(a)
PD-058	Police / Records	Recording Media	Video Recordings - Public Facing	3 months		3 months	Department preference; Recordings that become evidence are stored with evidence - these are preliminary documents / transitory recordings not retained in the ordinary course of business; the system is not designed to and does not record regular and ongoing operations; GC §34090.6(a)

**RECORDS RETENTION SCHEDULE: POLICE
SANTA CLARA, CA.**

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PD-059	Police / Records	Recording Media	Video Recordings - Temporary Holding Facility	3 months		3 months	Department preference; Recordings that become evidence are stored with evidence - these are preliminary documents / transitory recordings not retained in the ordinary course of business and the system is not designed to and does not record regular and ongoing operations; GC §34090.6(a)

RECORDS RETENTION SCHEDULE: POLICE SANTA CLARA, CA.

PD-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
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ADMINISTRATIVE SERVICES - OPERATIONS / DISPATCH (COMMUNICATIONS / CAD / DISPATCH)							
PD-060	Police / Admin. Services / Operations / Dispatch	Correspondence	Assignments Sheets	2 years		2 years	GC §34090 et seq.
PD-061	Police / Admin. Services / Operations / Dispatch	Recording Logs	Audio Recordings or Tapes - (CAD/RMS) Recordings of Telephone & Radio Communications Dispatch Tapes (CAD)	1 year		1 year	Department Preference; Statewide guidelines propose 180 days (legally mandated for 100 days); (may be discoverable or made public in some circumstances), GC §§34090, 34090.6

RECORDS RETENTION SCHEDULE: POLICE SANTA CLARA, CA.

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ADMINISTRATIVE SERVICES - TEMPORARY HOLDING FACILITY							
PD-062	Police / Admin. Services / Temp. Holding Facility	Logs	Logs: Temporary Holding Facility / Booking	3 years		3 years	GC§ 34090 et seq.
PD-063	Police / Admin. Services / Temp. Holding Facility	Correspondence	LiveScan Applications / Fingerprint Applications (public)	2 years		2 years	GC§ 34090 et seq.
PD-064	Police / Field Operations	Muni	PAS Device Calibration Logs	2 years		2 years	GC §34090 et seq.

RECORDS RETENTION SCHEDULE: POLICE SANTA CLARA, CA.

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FIELD OPERATIONS							
PD-065	Police / Field Operations	Correspondence	Canine (Police Dogs) Program Files: Action Reports, Monthly Reports	2 years		2 years	GC §34090
PD-066	Police / Field Operations	Logs	Canine (Police Dogs) Program Files: Animal Files	Separation + 3 years		Separation + 3 years	3 years is required for animal care / treatment records; FA §32003(e), PC §597.1(d); GC §34090 et seq.
PD-067	Police / Field Operations	Muni	Citation Log Books (#s / ranges) - Parking, Traffic	2 years		2 years	GC §34090 et seq.
PD-068	Police / Lead Div.	Timekeeping	Overtime Slips	4 years		4 years	GC §34090
PD-069	Police / Field Operations	Timekeeping	Payroll Daily Shift Rosters / Master Deployment Schedule / Vehicle Assignments, etc.	4 years		4 years	Department preference (preliminary drafts); GC §34090 et seq.
PD-070	Police / Field Operations	Subject	Pursuit Critiques	5 years		5 years	Department Preference; EEOC/FLSA/ADEA (Age) requires 3 years for promotion, demotion, transfer, selection, or discharge; State Law requires 2 -3 years; retirement benefits is 6 years from last action; 29 CFR 1602.31 & 1627.3(b)(ii), 8 CCR §3204(d)(1) et seq., GC §§12946, 34090; 29 USC 1113
PD-071	Police / Field Operations	Non-Record	Range Schedules	None		None	Preliminary documents not retained in the ordinary course of business; GC §34090 et seq.
PD-072	Police / Field Operations	Correspondence	Special Events / Ops Plan	2 years		2 years	Department preference; GC §34090 et seq.
PD-073	Police / Field Operations	Correspondence	Traffic Control: Radar Calibration Records	Life of the Equipment + 2 years		Life of the Equipment + 2 years	Department preference; GC §34090 et seq.
PD-074	Police / Field Operations	Correspondence	Traffic Control: Radar Trailer Surveys, etc.	2 years		2 years	Department preference; GC §34090 et seq.
PD-075	Police / Field Operations	Correspondence	Vehicle Log/Daily Safety Checks/Daily Work Reports/Vehicle Inspections/Daily Equipment Checks	2 years		2 years	Department preference; GC §34090 et seq.

RECORDS RETENTION SCHEDULE: POLICE SANTA CLARA, CA.

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INVESTIGATIONS BUREAU							
PD-076	Police / Investigat. Bureau	Non-Record	Detectives Investigation Files and Arrest Files (Notes) - Except Homicides	None		None	Department preference (preliminary drafts) GC §34090 et seq.
PD-077	Police / Investigat. Bureau	Temporary Holding	Detectives Investigation Files and Arrest Files (Official Reports)	Transferred into Record's Files		Transferred into Record's Files	Transfer all Official Reports to Records to be placed in the Master Case Files.
PD-078	Police / Investigat. Bureau	Correspondence	Financial Forms - Asset Seizure: Payment requests and deposit forms	Completion + 2 years		Completion + 2 years	Department Preference; GC § 34090 et seq.
PD-079	Police / Investigat. Bureau	Correspondence	Financial Forms - Undercover buy money: receipts and reports	Completion + 2 years		Completion + 2 years	Department Preference; GC § 34090 et seq.
PD-080	Police / Investigat. Bureau	Correspondence	Informant Files	2 years		2 years	Department Preference; GC §34090 et seq.
PD-081	Police / Investigat. Bureau	Subject	Intelligence Files	5 years		5 years	Misleading, obsolete or unreliable information is required to be destroyed; remaining records must not be retained longer than 5 years; 28 CFR 23.20(h); GC §34090
PD-082	Police / Investigat. Bureau	Timekeeping	Overtime Slips	4 years		4 years	GC §34090
PD-083	Police / Investigat. Bureau	Correspondence	Subpoenas (Personal Appearance)	2 years		2 years	GC §34090

**RECORDS RETENTION SCHEDULE: PUBLIC WORKS
SANTA CLARA, CA.**

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BUILDING MAINTENANCE							
PW-001	Public Works / Building Maint.	Correspondence	Equipment History Files	Disposal of Equipment + 2 years		Disposal of Equipment + 2 years	Department preference; If a motor carrier, required for 18 months after vehicle is sold; CHP requires life of vehicle; OSHA requires 1 year; 8 CCR § 3203(b)(1); 49 CFR 396.21(b)(1); 49 CFR 396.3(c); CCP §337 et. Seq., GC §34090
PW-002	Public Works / Building Maint.	Correspondence	Keys Form	Inactive + 2 years		Inactive + 2 years	GC §34090
PW-003	Public Works / Building Maint.	Correspondence	O&M Manuals / Operations & Maintenance Manuals / Submittals	Disposal of Equipment + 2 years		Disposal of Equipment + 2 years	Department preference; GC §34090
PW-004	Depart. Providing Service / Work	Source	Work Orders / Service Requests CMMS DATABASE (Computerized Maintenance Management System)	Indefinite		Indefinite	Data is interrelated; GC §34090
PW-005	Depart. Providing Service / Work	Non-Record	Work Orders / Service Requests - All Information Entered in CMMS Database	None		None	Preliminary drafts (the database is the original); GC §34090
PW-006	Depart. Providing Service / Work	Routine	Work Orders / Service Requests - NOT entered in CMMS Database (or partial information entered into CMMS Database) (Division providing service retains originals; Division requesting service is considered a copy)	4 years		4 years	City preference; CCP §§338 et seq., 340 et seq., 342, GC §§945.6, GC §34090

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ENGINEERING / LAND & PROPERTY DEVELOPMENT							
PW-007	Public Works / Engineering	Project	Abandonments / Vacations (Streets) - Private Development Projects	P		P	GC §34090 et seq.
PW-008	Public Works / Engineering	Reference	Annexations	P		P	Department preference; GC §34090 et seq.
PW-009	Public Works / Engineering	Reference	Assessment / Maintenance / Landscape & Lighting / Street Improvement District Projects / Community Facilities Districts (FORMATION, BOUNDARIES)	P		P	Department Preference; Statute of Limitations is 4 10 years (for Errors & Omissions); CCP §§337.337.1(a), 337.15, 343; GC §34090.7
PW-010	Public Works / Engineering	Subject	Assessment / Maintenance / Landscape & Lighting / Street Improvement District Projects / Community Facilities Districts (ASSESSMENT ROLLS)	District Fully Paid + 5 years		District Fully Paid + 5 years	Department Preference (meets auditing standards); GC §34090.7
PW-011	Public Works / Engineering	Non-Record	Assessor's Maps	None		None	County is originator of record
PW-012	Public Works / Engineering	Correspondence	Bonds: Subdivision Bonds , Logs and Correspondence City Clerk holds these and provides to Engineering upon request	Release of Bond / Security + 2 years		Release of Bond / Security + 2 years	Securities (Performance Bonds, Letters of Credit, CD's, etc.) are released after the Notice of Completion is issued and replaced with the Warranty Bond, which is released 1 year after the Notice of Completion date. GC §34090
PW-013	Public Works / Engineering	Reference	Covenants / Easements Documentation	P		P	Department preference; GC §34090 et seq.
PW-014	Public Works / Engineering	Subject	Developer Payment / Trusts (Contractor's Trusts)	Project Close + 5 years		Project Close + 5 years	Census Bureau is OFR; GC §34090 et seq.

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SANTA CLARA, CA.**

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PW-015	Public Works / Engineering	Reference	Encroachment Permits	P		P	Department Preference; GC §34090
PW-016	Public Works / Engineering	Routine	Engineering Comments: Planning & Building Projects / Plan Check Comments	4 years		4 years	Department Preference; GC §34090
PW-017	Public Works / Engineering	Historical Documents/ Artifacts	Field Survey Books	P		P	Department Preference; GC §34090
PW-018	Public Works / Engineering	Reference	Geotechnical and Soils Reports	P		P	Department Preference; GC §34090
PW-019	Public Works / Engineering	Reference	Grading Permits & Plans	P		P	Department Preference; GC §34090
PW-020	Public Works / Engineering	Reference	Improvement Plans	P		P	Department Preference; GC §34090
PW-021	Public Works / Engineering	Project	Large (Buildings, Bridges, etc) Capital Improvement Projects (CIP) / Jobs: <u>Permanent File</u> Plans, Record Drawings / "As Builts", Specifications, Bids/RFPs, Successful Proposal, Change Orders, Inspections, Materials Testing Reports, Grading Permits, Hazardous Materials Reports, Notice of Completion, O&M Manuals, Photos, Real Estate Appraisals, Soils Reports, Studies, Submittals, Surveys, etc.	Upon Completion	P	P	Department preference; retained for disaster preparedness purposes; Statewide guidelines propose Permanent for Infrastructure plans; GC §34090

**RECORDS RETENTION SCHEDULE: PUBLIC WORKS
SANTA CLARA, CA.**

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PW-022	Public Works / Engineering	Project Admin	Large (Buildings, Bridges, etc) Capital Improvement Projects (CIP) / Jobs: <u>Administration File</u> Project Administration, Bid Summary, Bid Proposal Form, Bid Opening Exhibits A&B, Certified Payrolls, Construction Management Logs, Daily Inspection Diary, List of Bidders, Project Schedules, Progress meetings, RFIs, Requests for Bid & Specs, etc.	Upon Completion	10 years or After Funding Agency Audit, if required, whichever is longer	Completion + 10 years or After Funding Agency Audit, if required, whichever is longer	Some grant funding agencies require audits; Statute of Limitations for Errors & Omissions is 10 years; Published Audit Standards=4-7 years; Statute of Limitations: Contracts & Spec's=4 years, Wrongful Death=comp. + 5 years, Developers=comp. + 10 years; Statewide guidelines propose termination + 5 years; CCP §337 et. seq., GC §34090
PW-023	Public Works / Engineering & Planning & Inspection	Reference	Parcel Maps	P		P	Department Preference; GC §34090
PW-024	Public Works / Engineering	Permits	Permits: Street Opening / Street cuts	5 years		5 years	Department Preference (the warrantee period for work done is 5 years); GC §34090
PW-025	Public Works / Engineering	Reference	Rights of Way, Easements	P		P	Department Preference; GC §34090.7
PW-026	Public Works / Engineering	Non-Record	Sanitary Sewer Map Index, Storm Map Index, Storm Drain Block Book, Street Map Index	None		None	Preliminary drafts not retained in the ordinary course of business; GC §34090 et seq.
PW-027	Public Works / Engineering	Reference	Sanitary Sewer Permits, Record Drawings ("As-Builts")	P		P	Department Preference; GC §34090

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PW-028	Public Works / Engineering	Correspondence	Simple Civil (Sewer, Street Improvements, etc.) Capital Improvement Projects (CIP) / Jobs: <u>Bid Support File</u> Correspondence, Requests for Bid & Specs, Bid Summary, List of Bidders, Bid Proposal Form, Bid Opening Exhibits A & B	2 years		2 years	GC §34090
PW-029	Public Works / Engineering	Project Admin	Simple Civil (Sewer, Street Improvements, etc.) Capital Improvement Projects (CIP) / Jobs: <u>Administration File</u> Notice to Proceed, Engineers Estimate, Quantities & Extensions for Progress Payment, Process Payment Spreadsheet	Upon Completion	10 years or After Funding Agency Audit, if required, whichever is longer	Completion + 10 years or After Funding Agency Audit, if required, whichever is longer	Some grant funding agencies require audits; Statute of Limitations for Errors & Omissions is 10 years; Published Audit Standards=4-7 years; Statute of Limitations: Contracts & Spec's=4 years, Wrongful Death=comp. + 5 years, Developers=comp. + 10 years; Statewide guidelines propose termination + 5 years; CCP §337 et. seq., GC §34090
PW-030	Public Works / Engineering	Project	Simple Civil (Sewer, Street Improvements, etc.) Capital Improvement Projects (CIP) / Jobs: <u>Permanent File</u> Plans, Record Drawings / "As Builts", Invitation, Bid and Award Packet (Bid Addendum, Notice of Award), Contract Documents, Notice of Completion, Change Orders, Agenda Reports	Upon Completion	P	P	Department preference; retained for disaster preparedness purposes; Statewide guidelines propose Permanent for Infrastructure plans; GC §34090
PW-031	Public Works / Engineering	Site Clearance	Site Clearances (Preparation of Easements, etc. for Building Permits)	P		P	Department Preference; GC §34090
PW-032	Public Works / Engineering	Reference	Standard Specifications	P		P	Department Preference; GC §34090

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SANTA CLARA, CA.**

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PW-033	Public Works / Engineering	Reference	Storm Drains, City Map, As-Builts	P		P	Department Preference; GC §34090
PW-034	Public Works / Engineering	Reference	Streets, Curbs & Gutters, Sidewalks, Map	P		P	Department Preference; GC §34090
PW-035	Public Works / Engineering & Planning & Inspection / Planning	Reference	Subdivisions / Tract Maps / Final Maps	P		P	Department Preference; GC §34090

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SANTA CLARA, CA.**

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TRAFFIC ENGINEERING							
PW-036	Public Works / Traffic Engineering	Correspondence	Capital Improvement Projects (CIP) / Jobs - TRAFFIC PROJECTS: <u>Bid Support File</u> Correspondence, Requests for Bid & Specs, Bid Summary, List of Bidders, Bid Proposal Form, Bid Opening Exhibits A & B	2 years		2 years	GC §34090
PW-037	Public Works / Traffic Engineering	Project Admin	Capital Improvement Projects (CIP) / Jobs - TRAFFIC PROJECTS: <u>Administration File</u> Notice to Proceed, Engineers Estimate, Quantities & Extensions for Progress Payment, Process Payment Spreadsheet	Upon Completion	10 years or After Funding Agency Audit, if required, whichever is longer	Completion + 10 years or After Funding Agency Audit, if required, whichever is longer	Some grant funding agencies require audits; Statute of Limitations for Errors & Omissions is 10 years; Published Audit Standards=4-7 years; Statute of Limitations: Contracts & Spec's=4 years, Wrongful Death=comp. + 5 years, Developers=comp. + 10 years; Statewide guidelines propose termination + 5 years; CCP §337 et. seq., GC §34090
PW-038	Public Works / Traffic Engineering	Project	Capital Improvement Projects (CIP) / Jobs - TRAFFIC PROJECTS: <u>Permanent File</u> Plans, Record Drawings / "As Builts", Invitation, Bid and Award Packet (Bid Addendum, Notice of Award), Contract Documents, Notice of Completion, Change Orders, Agenda Reports	Upon Completion	P	P	Department preference; retained for disaster preparedness purposes; Statewide guidelines propose Permanent for Infrastructure plans; GC §34090
PW-039	Public Works / Traffic Engineering	Recordings	Hearing Officer Audio Tapes	4 weeks		4 weeks	Department preference; State law only requires 30 days; GC §54953.5(b)
PW-040	Public Works / Traffic Engineering	Reference	Master Plans - Transportation	P		P	Department preference; Drafts should be destroyed; GC §34090

**RECORDS RETENTION SCHEDULE: PUBLIC WORKS
SANTA CLARA, CA.**

PW-No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
				Active (in office)	Inactive (Records Center)	Total Retention	
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<i>Litigation, complaints, claims, public records act requests, audits and/or investigations suspend normal retention periods (retention resumes after settlement or completion).</i>							
PW-041	Public Works / Traffic Engineering	Correspondence	Permits: Transportation Permits / Wide Load Permits / Overweight Loads	Expiration + 2 years		Expiration + 2 years	GC §34090
PW-042	Public Works / Traffic Engineering	Correspondence	Speed Surveys	Superseded + 2 year		Superseded + 2 year	Department preference; GC §34090
PW-043	Public Works / Traffic Engineering	Subject	Street Files	5 years		5 years	Department preference; GC §34090
PW-044	Public Works / Traffic Engineering	Correspondence	Studies - Transportation	2 years		2 years	Drafts / source records entered into database and not retained in the ordinary course of business; GC §34090
PW-045	Public Works / Traffic Engineering	Subject	Traffic Counts and Turning Movements	5 years		5 years	Department preference; GC §34090
PW-046	Public Works / Traffic Engineering	Project Admin	Traffic Signals	10 years After Funding		10 years After Funding	Department preference; GC § 34090
PW-047	Public Works / Traffic Engineering	Project Admin	Traffic Studies / Traffic Calming Requests	10 years		10 years	Department preference; GC §34090

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SANTA CLARA, CA.**

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PW-048	Public Works / Traffic Engineering	Citations	Warrants: Four-way Stop, School Crossing Guard, Traffic Signal	5 years		5 years	Department preference; GC §34090

RECORDS RETENTION SCHEDULE: STREETS & AUTOMOTIVE SERVICES SANTA CLARA, CA.

ST&AU No.	Office of Record	Record Type	Records Description	Retention / Disposition			Comments / Reference
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AUTOMOTIVE SERVICES							
ST&AU-001	Automotive Services	Correspondence	AQMD Permits - BAAQMD (Generators, etc.)	Disposal + 2 years		Disposal + 2 years	Department preference; (2 years is required by AQMD); GC §34090
ST&AU-002	Finance	Correspondence	Auction Records copies	2 years		2 years	GC §34090.7
ST&AU-003	Automotive Services	Vehicle Conditions	Daily Vehicle & Equipment Safety Checks / Vehicle Inspections / Daily Equipment Checks	4 months		4 months	Sent by other departments; 49 CFR 396.12 requires 90 day retention
ST&AU-004	Automotive Services	Source	Fuel Activity Tracking (meter readings, consumption reports) DATABASE	Indefinite		Indefinite	Finance has original invoices; GC §34090 et seq.
ST&AU-005	Automotive Services	Correspondence	Carpool Logs	Disposal of Vehicle or Equipment + 2 years		Disposal of Vehicle or Equipment + 2 years	Department preference; GC §34090
ST&AU-006	Lead Dept.	Correspondence	Pressure Vessel Certifications or Permits (Air Compressors, Propane, etc.)	Expiration of Certificate or Permit + 2 years		Expiration of Certificate or Permit + 2 years	Department preference; GC §34090 et. seq.
ST&AU-007	Automotive Services	Logs	Smog Reports	3 years		3 years	Health & Safety 44019(b) requires 3 years
ST&AU-008	Automotive Services	Regulatory Filings	Underground Storage Tanks (City Owned) – UST Monitoring and Maintenance, Release Detection Systems, Cathodic Protection Maintenance Records	7 years		7 years	Monitoring and Maintenance records are required on site for 3 years, 6 ½ years for cathodic protection maintenance, 5 years for calibration & maintenance of release detection systems; 23 CCR 2712(b); H&S §25284.2(i)
ST&AU-009	Automotive Services	Reference	Underground Storage Tanks (USTs) Permits	10 years	P	P	Department Preference (required for the life of the tank); 23 CCR 2712(b), H&S §25284.2(i); GC §34090 et. seq.
ST&AU-010	Automotive Services	Correspondence	Vehicle & Equipment History Files (includes cranes)	Disposal of Vehicle or Equipment + 2 years		Disposal of Vehicle or Equipment + 2 years	If a motor carrier, required for 18 months after vehicle is sold; CHP requires life of vehicle; OSHA requires 1 year; 8 CCR § 3203(b)(1); 49 CFR 396.21(b)(1); 49 CFR 396.3(c); CCP §337 et. Seq., GC §34090
ST&AU-011	Automotive Services	Source	Vehicle & Equipment Management Database	Indefinite		Indefinite	Data is Interrelated; GC §34090

**RECORDS RETENTION SCHEDULE: STREETS & AUTOMOTIVE SERVICES
SANTA CLARA, CA.**

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STREET DEPARTMENT / CITY HALL							
ST&AU-012	Street Dept. (City Hall)	Subject	Assessment District Fees	5 years		5 years	Department Preference (meets auditing standards); GC §34090
ST&AU-013	Street Dept. (City Hall)	Subject	Business Improvement District (BID) Fees	5 years		5 years	Department Preference (meets auditing standards); GC §34090
ST&AU-014	Street Dept. (City Hall)	Reference	Business Improvement District (BID) Formation & Boundaries	P		P	Department Preference; GC §34090
ST&AU-015	Street Dept. (City Hall)	Permits	Landfill Permits	Expiration + 5 years		Expiration + 5 years	Department preference; Landfill Operators must retain records for 3 years; Solid Waste Transfer / Processing is 3 years; Electronic Waste Recycling is 3 years; Non-hazardous Ash Disposal is 5 years; Covers various statute of limitations; 14 CCR 17379(a); 14 CCR 18660.8(d); 14 CCR 17414(b); 14 CCR 18810.4(a)(4); CCP §337 et seq.; GC §34090
ST&AU-016	Street Dept. (City Hall)	Permits	Permits from Regulatory Agencies (BAAQMD, EPA, etc.)	Expiration + 5 years		Expiration + 5 years	Department preference; GC §34090
ST&AU-017	Finance	Correspondence	Wire Transfers (for Garbage & Recycling Franchise) copies	2 years		2 years	GC §34090.7

RECORDS RETENTION SCHEDULE: STREETS & AUTOMOTIVE SERVICES SANTA CLARA, CA.

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STREET DEPARTMENT / YARD							
ST&AU-018	Street Dept. (Yard)	Report	AB 939 Compliance	5 years		5 years	Department Preference; GC §34090
ST&AU-019	Street Dept. (Yard)	Subject	Clean-Up Campaign Program	5 years		5 years	Department Preference; GC §34090
ST&AU-020	Street Dept. (Yard)	Reference	Hazardous Waste Manifests	P		P	Department Preference; GC §34090
ST&AU-021	Street Dept. (Yard)	Subject	Household Hazardous Waste Program Implementation	5 years		5 years	Department Preference (County-wide program); GC §34090
ST&AU-022	Street Dept. (Yard)	Inspections	Inspection Forms: Streets	10 years		10 years	Department preference; GC §34090
ST&AU-023	Street Dept. (Yard)	Reference	Landfills (City-owned)	P		P	Department preference; Landfill Operators must retain records for 3 years; Solid Waste Transfer / Processing is 3 years; Electronic Waste Recycling is 3 years; Non-hazardous Ash Disposal is 5 years; Covers various statute of limitations; 14 CCR 17379(a); 14 CCR 18660.8(d); 14 CCR 17414(b); 14 CCR 18810.4(a)(4); CCP §337 et seq.; GC §34090
ST&AU-024	Street Dept. (Yard)	Report	Landfills (City-owned): Closure & Monitoring Reports	5 years		5 years	Department preference; Landfill Operators must retain records for 3 years; Solid Waste Transfer / Processing is 3 years; Electronic Waste Recycling is 3 years; Non-hazardous Ash Disposal is 5 years; Covers various statute of limitations; 14 CCR 17379(a); 14 CCR 18660.8(d); 14 CCR 17414(b); 14 CCR 18810.4(a)(4); CCP §337 et seq.; GC §34090
ST&AU-025	Street Dept. (Yard)	Permits	NPDES Permits - Stormwater	Expiration + 5 years		Expiration + 5 years	Department Preference; NPDES Monitoring records required for 3 years; 40 CFR §§122.21, 122.41; CCP §337 et seq.

RECORDS RETENTION SCHEDULE: STREETS & AUTOMOTIVE SERVICES SANTA CLARA, CA.

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ST&AU-026	Street Dept. (Yard)	Source	Pavement Conditions Database	Indefinite		Indefinite	Data is Interrelated; GC §34090
ST&AU-027	Street Dept. (Yard)	Report	Reports to Regulatory Agencies (California integrated Waste Management Board, etc.)	5 years		5 years	Department Preference; GC §34090
ST&AU-028	City Clerk	Agreements	Solid Waste & Recycling Franchise Agreement Administration (Mission Trail Garbage Co, Stevens Creek Disposal & Recycling, Non-exclusive franchise hauler agreements) Copies	Completion	5 years	Completion + 5 years	Statute of Limitations: Contracts & Spec's=4 years, (E&O does not apply); Published Audit Standards=47 years; Statewide guidelines propose termination + 5 years; CCP §§336(a), 337 et. seq., GC §34090
ST&AU-029	Street Dept. (Yard)	Citations	Solid Waste Violations & Citations	5 years		5 years	Department Preference; GC §34090
ST&AU-030	Street Dept. (Yard)	Logs	Storm Drain and Catch Basin Cleaning and Flushing	3 years		3 years	Department preference; NPDES Monitoring records required for 3 years; 40 CFR §§122.21, 122.41
ST&AU-031	Street Dept. (Yard)	Correspondence	Storm Drain Pump Station Operation & Maintenance Manuals	Superseded or Pump Replaced + 2 years		Superseded or Pump Replaced + 2 years	Department Preference; GC §34090
ST&AU-032	Street Dept. (Yard)	Correspondence	Storm Drain Pump Station Service	Life of the Pump + 2 years		Life of the Pump + 2 years	Department Preference; GC §34090
ST&AU-033	Street Dept. (Yard)	Permits	Stormwater Annual and NPDES Monitoring Reports	5 years		5 years	Department preference; NPDES Monitoring records required for 3 years; Monitoring records required for 3 years in Federal law; 40 CFR §§122.21, 122.41
ST&AU-034	Street Dept. (Yard)	Citations	Stormwater Program: Unauthorized Discharges / Violations / Spills / ICID (Illicit Connection / Illicit Discharge)	No Activity + 5 years		No Activity + 5 years	Department preference; NPDES records are required for 3 years; 40 CFR 122.41(j)(2)
ST&AU-035	Street Dept. (Yard)	Logs	Street Sweeping Activity	3 years		3 years	Department Preference; NPDES Monitoring records required for 3 years; 40 CFR §§122.21, 122.41; CCP §337 et seq.

**RECORDS RETENTION SCHEDULE: STREETS & AUTOMOTIVE SERVICES
SANTA CLARA, CA.**

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ST&AU-036	Street Dept. (Yard)	Timekeeping	Time Cards / Task Assignments / Work Schedules (NPDES)	4 years		4 years	40 CFR 122.41(j)
ST&AU-037	Street Dept. (Yard)	Source	Tree Database (Locations, species)	Indefinite		Indefinite	Data is interrelated; GC §34090
ST&AU-038	Street Dept. (Yard)	Reference	Tree Work Orders (filed by address)	P		P	Department preference; GC §34090
ST&AU-039	Depart. Providing Service / Work	Source	Work Orders / Service Requests CMMS DATABASE (Computerized Maintenance Management System) (Hansen)	Indefinite		Indefinite	Data is interrelated; GC §34090
ST&AU-040	Depart. Providing Service / Work	Non-Record	Work Orders / Service Requests - All Information Entered in CMMS Database	None		None	Preliminary drafts (the database is the original); GC §34090
ST&AU-041	Depart. Providing Service / Work	Subject	Work Orders / Service Requests - NPDES Activities NOT entered in CMMS Database (or partial information entered into CMMS Database) (Division providing service retains originals; Division requesting service is considered a copy)	5 years		5 years	Department preference; NPDES Monitoring records required for 3 years; 40 CFR §§122.21, 122.41
ST&AU-042	Depart. Providing Service / Work	Correspondence	Work Orders / Service Requests - Site Clearances (for Agriculture Department) NOT entered in CMMS Database (or partial information entered into CMMS Database) (Division providing service retains originals; Division requesting service is considered a copy)	2 years		2 years	City preference; GC §34090

**RECORDS RETENTION SCHEDULE: STREETS & AUTOMOTIVE SERVICES
SANTA CLARA, CA.**

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ST&AU-043	Depart. Providing Service / Work	Reference	Work Orders / Service Requests - Traffic Maintenance (Signs, Signals, Legends, MTCD) NOT entered in CMMS Database (or partial information entered into CMMS Database) (Division providing service retains originals; Division requesting service is considered a copy)	P		P	Department preference; NPDES Monitoring records required for 3 years; 40 CFR §§122.21, 122.41

RECORDS RETENTION SCHEDULE: WATER & SEWER UTILITIES SANTA CLARA, CA.

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ADMINISTRATION							
W&S-001	Water & Sewer Utilities / Admin.	Correspondence	Administrative Procedures (Including Rules and Regulations for Water Service)	Superseded + 2 years		Superseded + 2 years	Department preference; GC §34090
W&S-002	Water & Sewer Utilities / Admin.	Reference	Block Books (Maps of System)	P		P	Department preference; GC §34090
W&S-003	City Clerk	Correspondence	Rates copies	2 years		2 years	GC §34090.7

RECORDS RETENTION SCHEDULE: WATER & SEWER UTILITIES SANTA CLARA, CA.

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RECYCLED WATER							
W&S-004	Recycled Water	Reference	Recycled Water - Permits	P		P	Department Preference; GC §34090
W&S-005	Recycled Water	Project Admin	Recycled Water - Annual Report, Correspondence, Recycled Water User Files, Water Analysis	10 years		10 years	Department Preference; GC §34090

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SEWER UTILITY							
W&S-006	Sewer Utility	Reference	Air Quality Permit - Operations (BAAQMD)	P		P	Department preference; GC §34090
W&S-007	Sewer Utility	Complaints	Complaints - Sewer	2 years		2 years	City preference; Statute of Limitations for personal property, fraud, etc. is 3 years; Claims must be filed in 6 months; CCP §§338 et seq., 340 et seq., 342, GC §§945.6, GC §34090
W&S-008	Lead Dept.	Logs	Confined Space Entries & Logs (Permitted entries into confined spaces such as sewers and storm drains in order to comply with regulations)	3 years		3 years	Code of Federal Regulations requires 3 years; 40 CFR 122.41(j)(2)
W&S-009	Lead Dept.	Regulatory Filings	Correspondence - Regulatory Agencies	7 years		7 years	Department preference; Some correspondence from Regulatory Agencies need to be retained for long periods of time; GC §34090
W&S-010	Street & Automotive Services	Temporary Holding	Daily Vehicle & Equipment Safety Checks / Vehicle Inspections / Daily Equipment Checks	Send to Automotive Services		Send to Automotive Services	GC §34090 et seq.
W&S-011	Lead Dept.	Regulatory Timekeeping	DOT Timecards (Department of Transportation)	10 years		10 years	Department preference (DOT request); GC §34090 et seq.
W&S-012	Sewer Utility	Correspondence	Flow Measurements	2 years		2 years	GC §34090
W&S-013	Sewer Utility	Logs	Generator Operation Logs (for fixed / stationary generators) / Inspections	3 years		3 years	Department preference (2 years is required by AQMD); GC §34090
W&S-014	Sewer Utility	Safety	Hazardous Waste Manifests	30 years		30 years	Department Preference; Consistent with statute of limitations for employee exposure to hazardous materials (test results for hazardous waste generators are required for 3 years); 40 CFR 262.40, 8 CCR 3204(d)(1)(A), 22 CCR 66262.40
W&S-015	Sewer Utility	Report	Industrial Wastewater Discharge Permits (copies) and related documents	Until closure of permit	5 years	Until closure of permit + 5 years	Department preference; NPDES records are required for 3 years; 40 CFR 122.41(j)(2)
W&S-016	Sewer Utility	Report	Inspector Reports: Violations, Inspection Notices, Citations, Inadvertent Spills	Resolution + 5 years		Resolution + 5 years	Department preference; NPDES records are required for 3 years; 40 CFR 122.41(j)(2)

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W&S-017	Sewer Utility	Correspondence	Operations & Maintenance Manuals / O & M Manuals	Superseded - 2 years		Superseded - 2 years	Department preference; GC §34090
W&S-018	Sewer Utility	Source	Operator's Certification Database	Separation of Employee		Separation of Employee	Department Preference; GC §34090 et seq.
W&S-019	Human Resources	Temporary Holding	Operator's Certifications	Send Copy to Human Resources		Send Copy to Human Resources	Copies are maintained at the plant; GC §34090.7
W&S-020	Sewer Utility	Reference	Permits - Various Operating Permits	5 years	P	P	Department preference; GC §34090
W&S-021	Lead Dept.	Correspondence	Pressure Vessel Certifications or Permits (Air Compressors, Propane, etc.)	Expiration of Certificate or Permit		Expiration of Certificate or Permit	Department preference; GC §34090 et. seq.
W&S-022	Sewer Utility	Reference	Pumping Stations / Sewer Lift Stations / Motor Logs, etc.	P		P	Department Preference; GC §34090
W&S-023	Sewer Utility	Regulatory Filings	Reports to Regulatory Agencies (California Integrated Waste Management Board, etc.)	7 years		7 years	Department Preference; GC §34090
W&S-024	Sewer Utility	Project Admin	Root Control Program	10 years		10 years	Department Preference; GC §34090
W&S-025	City Clerk	Agreements and Leases Significant	San Jose / Santa Clara Water Pollution Control Plant (Agreements)	P		P	Department Preference; GC §34090.7
W&S-026	Sewer Utility	Reference	Sewer Jetting Reports	P		P	Department preference; GC § 34090
W&S-027	Sewer Utility	Subject	Sewer System Management Plans (SSMP) and Audits, Sanitary Sewer Overflows (SSOs)	5 years		5 years	Department preference; plans must be updated every 5 years, audits are required every 2 years; GC §34090
W&S-028	Sewer Utility	Non-Record	South Bay Dischargers Authority: Aquatic Habitat, Monitoring Program	None		None	Department Preference; GC §34090
W&S-029	Sewer Utility	Reference	TV Collection Line Inspection Tapes / Video Inspections / Video Tapes or Digital Recordings (all lines)	P		P	Department Preference; GC §34090 et seq.
W&S-030	Sewer Utility	Subject	Underground Service Alerts (USA's) -- City	5 years		5 years	Department Preference (the warrantee period for work done is 5 years); GC §34090

**RECORDS RETENTION SCHEDULE: WATER & SEWER UTILITIES
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W&S-031	Depart. Providing Service / Work	Source	Work Orders / Service Requests CMMS DATABASE (Computerized Maintenance Management System) (Hansen)	Indefinite		Indefinite	Data is interrelated; GC §34090
W&S-032	Depart. Providing Service / Work	Non-Record	Work Orders / Service Requests - All Information Entered in CMMS Database	None		None	Preliminary drafts (the database is the original); GC §34090
W&S-033	Depart. Providing Service / Work	Subject	Work Orders / Service Requests - NOT entered in CMMS Database (or partial information entered into CMMS Database) (Division providing service retains originals; Division requesting service is considered a copy)	5 years		5 years	City preference; CCP §§338 et seq., 340 et seq., 342, GC §§945.6, GC §34090

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SOLAR							
W&S-034	Solar	Correspondence	Solar / Domestic Water Heating / Swimming Pools: Inquiries	2 years		2 years	Department preference; GC §34090
W&S-035	Solar	Source	Solar / Domestic Water Heating / Swimming Pools: Manufacturers, PG&E, Rates, Systems Analysis, Resources	Indefinite		Indefinite	Non-records
W&S-036	Solar	Reference	Solar / Domestic Water Heating / Swimming Pools: Subscribers	P		P	Department preference; GC §34090

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WATER UTILITY							
W&S-037	Water Utility	Subject	Backflow Test Forms	5 years		5 years	Department Preference; Meets California Department of Health requirements (3 years); GC §34090
W&S-038	Water Utility	Project Admin	Capital Improvement Projects (CIP) / Jobs: <u>Administration File</u> Project Administration, Certified Payrolls, Construction Management Logs, Daily Inspection Diary, Project Schedules, Progress meetings, etc.	Upon Completion	10 years or After Funding Agency Audit, if required, whichever is longer	Completion + 10 years or After Funding Agency Audit, if required, whichever is longer	Some grant funding agencies require audits; Statute of Limitations for Errors & Omissions is 10 years; Published Audit Standards=4-7 years; Statute of Limitations: Contracts & Spec's=4 years, Wrongful Death=comp. + 5 years, Developers=comp. + 10 years; Statewide guidelines propose termination + 5 years; CCP §§336(a), 337 et. seq., GC §34090
W&S-039	Water Utility	Project	Capital Improvement Projects (CIP) / Jobs: <u>Permanent File</u> Plans, Record Drawings / "As Builts", Specifications, Bids/RFPs, Successful Proposal, Change Orders, Inspections, Materials Testing Reports, Grading Permits, Hazardous Materials Reports, Notice of Completion, J&M Manuals, Photos, Real Estate Appraisals, Soils Reports, Studies, Submittals, Surveys, etc.	Upon Completion	P	P	Department preference; retained for disaster preparedness purposes; Statewide guidelines propose Permanent for Infrastructure plans; GC §34090
W&S-040	Water Utility	Subject	Chains of Custody (Water testing instructions)	5 years		5 years	22 CCR 64453(b) et seq.; 40 CFR 141.33(a)
W&S-041	Water Utility	Subject	Complaints - Water Quality / Drinking Water Customer Concerns: Odor / Taste / Visual Complaints	5 years		5 years	5 years is required in State and Federal law for any complaints; 40 CFR 122.41(j)(2) & 40 CFR 141.33(b); 22 CCR 64453(a)
W&S-042	Lead Dept.	Logs	Confined Space Entries & Logs (Permitted entries into confined spaces such as sewers and storm drains in order to comply with regulations)	3 years		3 years	Code of Federal Regulations requires 3 years; 40 CFR 122.41(j)(2)
W&S-043	Lead Dept.	Project Admin	Correspondence - Regulatory Agencies California, State of, Department of Health, EPA, etc	10 years		10 years	Department preference; Some correspondence from Regulatory Agencies need to be retained for long periods of time; GC §34090

RECORDS RETENTION SCHEDULE: WATER & SEWER UTILITIES SANTA CLARA, CA.

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W&S-044	Water Utility	Subject	Cross Connection Test Forms	5 years		5 years	Department Preference; Meets California Department of Health requirements (3 years); GC §34090
W&S-045	Street & Automotive Services	Temporary Holding	Daily Vehicle & Equipment Safety Checks / Vehicle Inspections / Daily Equipment Checks	Send to Automotive Services		Send to Automotive Services	GC §34090 et seq.
W&S-046	Lead Dept.	Regulatory Timekeeping	DOT Timecards (Department of Transportation)	10 years		10 years	Department preference (DOT request); GC §34090 et seq.
W&S-047	Water Utility	Source	Employee Roster & Certificates Database	Indefinite		Indefinite	Data is interrelated; GC §34090
W&S-048	Water Utility	Reference	Fire Hydrant Inspections / Flushing - History Cards	P		P	Department preference; GC §34090 et seq.
W&S-049	Water Utility	Subject	Fire Service Test Forms	5 years		5 years	Department preference; GC §34090 et seq.
W&S-050	Water Utility	Reference	Leak Reports	P		P	Department preference; GC §34090 et seq.
W&S-051	Water Utility	Correspondence	Maintenance Procedures	Superseded + 2 years		Superseded 2 years	Department Preference; GC §34090 et seq.
W&S-052	Water Utility	Reference	Meter Replacement Program	P		P	GC §34090
W&S-053	Water Utility	Source	Meter Shop Database (meters & backflow devices)	Indefinite		Indefinite	Data is interrelated; GC §34090
W&S-054	Water Utility	Reference	Meters / Meter History Cards <u>(not</u> Portable Meters)	P		P	Department Preference; GC §34090
W&S-055	Water Utility	Correspondence	Meters / Portable Meters	Returned + 2 years		Returned + 2 years	GC §34090
W&S-056	Water Utility	Correspondence	Operations & Maintenance Manuals / O & M Manuals	Superseded - 2 years		Superseded - 2 years	Department preference; GC §34090
W&S-057	Water Utility	Reference	Permits - Various Operating Permits	5 years	P	P	Department preference; GC §34090
W&S-058	Water Utility	Correspondence	Portable Water Permits	Expiration + 2 years		Expiration + 2 years	Department Preference; GC §34090
W&S-059	Water Utility	Reference	Pump Production Reports	P		P	Department preference; GC §34090
W&S-060	Water Utility	Routine	Pump Status Reports	4 years		4 years	Department preference; GC §34090

RECORDS RETENTION SCHEDULE: WATER & SEWER UTILITIES SANTA CLARA, CA.

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W&S-061	Water Utility	Report	Regulatory Agency Reports / Compliance Reports: Monthly and Quarterly Reports, including backup data	5 years		5 years	Department Preference; Hazmat discharge records are required for 3-5 years; 40 CFR 122.41(j)(2)
W&S-062	Water Utility	Subject	San Francisco Water Co.	5 years		5 years	Department Preference; GC §34090
W&S-063	Water Utility	Subject	San Jose Water Works	5 years		5 years	Department Preference; GC §34090
W&S-064	Water Utility	Subject	Santa Clara County Water Commission	5 years		5 years	Department Preference; GC §34090
W&S-065	Water Utility	Subject	Santa Clara Valley Water District	5 years		5 years	Department Preference; GC §34090
W&S-066	Water Utility	Source	SCADA Database (Supervisory Control and Data Acquisition) - Water	Indefinite		Indefinite	Data is interrelated; system qualifies as a "trusted system"; GC §§34090, 12168.7
W&S-067	City Clerk	Agreements	Solar RDE/Lease Agreement copies	5 years		5 years	Department preference; GC §34090
W&S-068	Water Utility	Subject	Underground Service Alerts (USA's) -- City	5 years		5 years	Department Preference (the warrantee period for work done is 5 years); GC §34090
W&S-069	Water Utility	Correspondence	Vulnerability Assessment	Superseded - 2 years		Superseded - 2 years	Confidential; GC §34090
W&S-070	Water Utility	Subject	Water Analysis / Reports & Sampling: (Bacteriological, Organics)	5 years		5 years	Bacteriological & Organics are required for 5 years; 40 CFR 141.33(a); 22 CCR §64470
W&S-071	Water Utility	Water Analysis	Water Analysis / Reports & Sampling: (Chemical, Pesticide, Lead & Copper, Radiological, Trihalomethanes, etc.)	4 years	14 years	18 years	Department preference; a significant portion of water is supplied by untreated well water; Lead and Copper are required for 12 years or 2 compliance cycles (some compliance cycles are nine years); Chemical is required for 10 years; 22 CCR 64400.20; 22 CCR 64690.80; 40 CFR 141.33(a); 22 CCR §64470
W&S-072	Water Utility	Correspondence	Water Conservation	2 years		2 years	Department preference; GC §34090 et seq.
W&S-073	Water Utility	Report	Water Pressure Charts	5 years		5 years	Department Preference; GC §34090 et seq.
W&S-074	Water Utility	Reference	Water Quality Reports / Consumer Confidence Reports	12 years	P	P	Department preference; State law requires 12 years, federal 10 years; 40 CFR 141.33(a); 22 CCR §64470

**RECORDS RETENTION SCHEDULE: WATER & SEWER UTILITIES
SANTA CLARA, CA.**

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W&S-075	Water Utility	Subject	Water Standards and Specifications	5 years		5 years	Department Preference; GC §34090
W&S-076	Water Utility	Correspondence	Water Usage Reports	2 years		2 years	Department preference; GC §34090 et seq.
W&S-077	Water Utility	Reference	Well Status Reports & Well Production Reports	P		P	Department preference; GC §34090
W&S-078	Water Utilities	Reference	Wells, Well Permits, Well Water Samples	P		P	Department preference; GC §34090
W&S-079	Depart. Providing Service / Work	Source	Work Orders / Service Requests CMMS DATABASE (Computerized Maintenance Management System) (Hansen)	Indefinite		Indefinite	Data is interrelated; GC §34090
W&S-080	Depart. Providing Service / Work	Non-Record	Work Orders / Service Requests - All Information Entered in CMMS Database	None		None	Preliminary drafts (the database is the original); GC §34090
W&S-081	Depart. Providing Service / Work	Subject	Work Orders / Service Requests - NOT entered in CMMS Database (or partial information entered into CMMS Database) (Division providing service retains originals; Division requesting service is considered a copy)	5 years		5 years	City preference; CCP §§338 et seq., 340 et seq., 342, GC §§945.6, GC §34090