

**RESOLUTION NO. 20-\_\_\_\_**

**A RESOLUTION OF THE CUPERTINO CITY COUNCIL  
RESCINDING RESOLUTION NO. 17-088 AND ADOPTING AN UPDATED  
RECORDS RETENTION SCHEDULE FOR THE CITY OF CUPERTINO AND  
AUTHORIZING THE DESTRUCTION OF RECORDS**

WHEREAS, Section 34090 of the Government Code of the State of California provides a procedure whereby any City record which has served its purpose and is no longer required by law or business need may be destroyed; and

WHEREAS, there are both State and Federal requirements for the retention of government records; and

WHEREAS, the City of Cupertino recognizes the importance of providing clear, specific record descriptions and retention periods for current law to City records; and

WHEREAS, the Records Retention Schedule was designed to enable the efficient application of these rules for the management, maintenance, retention, destruction, and disposal of City records; and

WHEREAS, on March 4, 2002, the Cupertino City Council adopted Resolution No. 02-037 adopting the Local Government Records Retention Guidelines administered by the California State Archives Division of the Secretary of State's office as the Records Retention Schedule for the City of Cupertino; and

WHEREAS, on May 1, 2012, the Cupertino City Council rescinded Resolution No. 02-037 and adopted Resolution No. 12-039 amending the Records Retention Schedule to add specific record types and extend timelines on certain record types; and

WHEREAS, on November 19, 2013, The Cupertino City Council rescinded Resolution No. 12-039 and adopted Resolution No. 13-094 adopting a Records Retention Schedule for the City of Cupertino; and

WHEREAS, on September 5, 2017, The Cupertino City Council rescinded Resolution No. 13-04 and adopted No. 17-088 adopting a Records Retention Schedule for the City of Cupertino; and

WHEREAS, the City Clerk and City Attorney will have the authority to periodically review and approve minor updates to the Records Retention Schedule as necessary with input from the departments; and

WHEREAS, the term “records” as used herein shall comply with the definition for “official records” in the City’s Trusted Electronic System Policy.

NOW, THEREFORE, BE IT RESOLVED that the City Council of the City of Cupertino hereby takes the following action:

Section 1: Rescinds Resolution No. 17-088

Section 2: The records of the City of Cupertino, as set forth in the Records Retention Schedule Exhibit A, attached hereto and incorporated herein by this reference, are hereby authorized to be destroyed as provided by Government Code Section 34090 and 34090.5 and in accordance with the provision of said Schedule without further action by City Council, provided that no records shall be destroyed without the prior review of the owning Department Head and City Clerk, and review and approval of the City Attorney.

Section 3: Litigation, claims, complaints, audits, Public Records Act requests, and/or investigations suspend normal retention periods until the issue is resolved then the record is subject to the stated retention period.

BE IT FURTHER RESOLVED that this Resolution is not a project under the requirements of the California Quality Act of 1970, together with related State CEQA Guidelines (collectively, “CEQA”) because it has no potential for resulting in physical change in the environment. In the event that this Resolution is found to be a project under CEQA, it is subject to the CEQA exemption contained in CEQA Guidelines section 15061(b)(3) because it can be seen with certainty to have no possibility that the action approved may have a significant effect on the environment. CEQA applies only to actions which have the potential for causing a significant effect on the environment. Where it can be seen with certainty that there is no possibility that the activity in question may have a significant effect on the environment, the activity is not subject to CEQA. In this circumstance, adopting a resolution to rescind Resolution No. 17-088 and adopting an updated retention schedule for the City of Cupertino and authorizing the destruction of records would have no or only a de minimis impact on the environment. The foregoing determination is made by the City Council in its independent judgment.

PASSED AND ADOPTED at a regular meeting of the City Council of the City of Cupertino this 21st day of January 2020 by the following vote:

Vote

Members of the City Council

AYES:

NOES:

ABSENT:

ABSTAIN:

SIGNED:  _____ Steven Scharf, Mayor City of Cupertino	_____ Date
ATTEST:  _____  Kirsten Squarcia, Acting City Clerk	_____ Date

ACRONYMS USED IN LEGAL CITATIONS AC = While Active    CL = Closed    CU = Current Year    D = Day    FR = Final Resolution    LA = Limitation on Action    LI = Life (of program, asset) M = Month    MA = Maturity    MAINT = Maintain Records    PR = Permanent    S = Superseded    T = Termination    Y = Year							
Record No.	Business Process	Record Name and Description	Example Records	Department/Office of Record	Retention	Regulatory Citations	Notes and Comments
001	Building, Development, Planning & Engineering	<b>Building Plans, Building Permits, and Related Documents</b>  Permits, plans, and related documents associated with Cupertino's building construction for non-residential and residential building and structures. Records include plans, permits, and documents related to the following:  - New Construction - Additions - Alterations - Repairs - Demolitions - Swimming Pools / Spas - Signs - Alternative Energy Systems (Solar Panels, EV Charging, Solar Heating, etc.) - On-site Retaining Walls	Approved Building Plans Building Board of Appeals Building Inspections Building Permits Certificate of Compliance Forms Certificates of Occupancy Construction Applications Elevation Certificates ( <i>under construction, construction drawing</i> ) Flood Proof Certificates Geotechnical Reports Refundable Deposits Soils Reports Smoke Detector/ Carbon Monoxide Affidavits Structural Calculations Subcontractor List HOA Letters	Building	Permanent	CA - CRC 106.5 - (180D) CA - CBC 107.5 - (180D) CA - CCP 337.1 - (LA4Y) CA - CCP 337.15 - (LA10Y) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 34090 - (2Y) CA - HSC 19850 - (LI)	
002	Building, Development, Planning & Engineering	<b>Building, Facilities</b>  Records and information regarding the structure of City buildings and facilities.	Construction Records Electrical Wiring Schematics Floor Plans Project Specifications Property Inventory	CIP	Life*+10Y	CA - CCP 337.1 - (LA4Y) CA - CCP 337.15 - (LA10Y) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 34090 - (2Y) CA - HSC 19850 - (LI)  * LI = Life of Building or Facility	
003	Building, Development, Planning & Engineering	<b>Code Compliance and Enforcement</b>  Records and information documenting compliance with City codes, including such issues as:  - Abandoned vehicles - Building violations - Conditions of approval - Excess garbage - Excessive noise - Graffiti - Nuisance animals - Parking enforcement - Protected trees - Right-of-way obstructions - Sign violations - Trash - Unlicensed home-based businesses - Weed abatement - Zoning violations	Alarm Cards Certificates of Nuisance and Abatement Citations Complaint Forms Compliance with Conditions of Approval Inspections / Enforcement ( <i>business, residential</i> ) Investigations Notices of Noncompliance Notices of Violation Photographs Political Sign Registration Proofs of Service	Code Enforcement	5Y	CA - California Highway Patrol Abandoned Vehicle Abatement (AVA) Program Handbook, HPH 87.1, Chapter 3 - (CU+4Y) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 34090 - (2Y) CA - PEN 802 - (2Y) CA - Law Enforcement Evidence and Property Management Guide Cupertino Municipal Code 1.10.040 - (MAINT)  NOTE: Records for repeat offenders may be retained longer to document a history of violations	NOTE: Records for repeat offenders may be retained longer to document a history of violations
004	Building, Development, Planning & Engineering	<b>Encroachments</b>  Records documenting encroachments upon City property.	Approval Letter for Completion and Release of Bond Bond Refunds Private Encroachment Permits, Certificates Site Plans	Engineering	Permanent	CA - CCP 337.1 - (LA4Y) CA - CCP 337.15 - (LA10Y) CA - GOV 34090 - (2Y)	
005	Building, Development, Planning & Engineering	<b>Engineering Project Files - Construction and Administrative Records - Non-Permanent</b>  Working records and information related to the administration, analysis, design, development, planning, and construction of public works, Capital Improvement (CIP) and engineering projects for City facilities and infrastructure. Includes:  - Projects funded from various sources including bonds, grants, capital improvement and general fund - Review of private improvements that connect to public infrastructure - Working development projects that touch public land or right-of-way	Certificates of Compliance/Notice of Non-Compliance Field Inspections, Closures Hydrology and Hydraulic Calculations Inspections and Progress Meetings Photos/Pictures Project Budgets, Plans and Schedules Real Estate Appraisals Semi-annual Labor Reports Specifications, Calculations Stop Notices Studies and Surveys	Public Works	While Active+10Y	CA - CCP 337.1 - (LA4Y) CA - CCP 337.15 - (LA10Y) CA - 14 CCR 15095 - (Reasonable) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 8546.7 - (CL+3Y) CA - GOV 34090 - (2Y) US - 2 CFR 200.333 - (AC+3Y) US - 24 CFR 92.508(c) - (AC+5Y) US - 24 CFR 570.502(a)(7)(i)(A) - (LA4Y) US - 29 CFR 97.42(b) - (AC+3Y)	

Record No.	Business Process	Record Name and Description	Example Records	Department/Office of Record	Retention	Regulatory Citations	Notes and Comments
006	Building, Development, Planning & Engineering	<b>Engineering Project Files - Final Documents - Permanent</b>  Records and information related to completed public works, Capital Improvement (CIP) and engineering projects for City facilities and infrastructure.	Affidavits As-Built Designs, Drawings, Plans, Specifications, City Facility Blueprints Calculations CEQA/NEPA Compliance Records Certificates and Certifications Completion Reports Development Impact Fees and Reconciliations Environmental Documents and Reports Geotechnical Reports Grading Plans Impact Fee Related Studies and Reports Improvement Projects (bicycles, pedestrian) Insurance ( <i>endorsements, waivers, limits</i> ) Mitigated Negative Declaration Notices of Determination & Exemption Quality Control Plan Site Plans Title Reports Underground Utilities Maps	Public Works	Permanent	CA - CCP 337.1 - (LA4Y) CA - CCP 337.15 - (LA10Y) CA - 14 CCR 15095 - (Reasonable) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 8546.7 - (CL+3Y) CA - GOV 34090 - (2Y) CA - HSC 19850 - (LI) US - 2 CFR 200.333 - (AC+3Y) US - 24 CFR 92.508(c) - (AC+5Y) US - 24 CFR 570.502(a)(7)(i)(A) - (LA4Y)	
007	Building, Development, Planning & Engineering	<b>Hazardous Waste - Monitoring and Remediation</b>  Planning, monitoring and contingency/emergency action plans for hazardous waste, emergency and spill response, natural and exposure emergencies, notifications and response; environmental action plans and supporting documentation; hazardous communications plans, including labeling, and SDS controls.	Employee Hazardous Chemical Exposure Hazardous Material Incident Reports Hazardous Material Inspection Hazardous Substances Shipping Manifests Hazardous Waste Proposition 65 Monitoring Response Plans, Programs Safety Data Sheets (SDS) Site Mitigation & Remediation Toxic Substance Inventory	Operations Environmental Programs	While Active+30Y	CA - 8 CCR 3204(d) - (CL+30Y) CA - CCP 338.1 - (LA5Y) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 34090 - (2Y) US - 29 CFR 1910.1020(d)(ii) - (CL+30Y)	
008	Building, Development, Planning & Engineering	<b>Housing &amp; Human Services Program Files</b>  Records and information regarding programs that provide assistance to home purchasers and home owners, including:  - Below Market Rate (BMR) purchase and rental program - Human service grant program to non-profits	Applications Below Market Rate Housing Program Documents (purchase, refinance, rental) Community Development Block Grant Project Files Correspondence Metrics Reporting	Housing	While Active+5Y	CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 8546.7 - (CL+3Y) CA - GOV 34090 - (2Y) US - 24 CFR 5.514 - (5Y) US - 24 CFR 570.502 - (AC+3Y;AC+4Y) US - 24 CFR 908.101 - (AC+3Y)	
009	Building, Development, Planning & Engineering	<b>Planning and Zoning Projects and Services</b>  Records and information pertaining to all planning and zoning activities, including:  - Approved and denied permanent entitlements - Cultural resources designations/alterations (CRD) - General plan amendments - Minor exceptions - Planned unit developments (PUD) - Residential planned developments (RPD) - Subdivisions - Transfer development credits - Urban service area amendments - Variances - Williamson Act cancellations	Administrative Meeting Minutes, Decisions, and Appeals ABC Notifications for Liquor Licenses CEQA Noticing Conditions of Approval Conditional Use Permits Design Review Development Regulations Entitlements ( <i>administrative, planning</i> ) Environmental Documents and Reports General Plan Home Occupancy Permits Impact Fee Related Studies and Reports Land Use Permits, Studies Live Entertainment Permits Master Plans and Specific Plans ( <i>parking, sign, streets, trees</i> ) Mitigated Negative Declaration Notices of Determination & Exemption Planning Project Files ( <i>approved applications, architectural &amp; design reviews, plan reviews, project maps, tentative maps,</i> Sign/Banner Permits Special Events (on City, public or private property) Subdivisions (major, minor) Temporary Use Permits Tree Removal Permits Zoning, Rezoning and Map Amendments	City Clerk Planning	Permanent	CA - CCP 337.1 - (LA4Y) CA - CCP 337.15 - (LA10Y) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 12981 - (FR+1Y) CA - GOV 34090 - (2Y) CA - HSC 19850 - (LI)	

Record No.	Business Process	Record Name and Description	Example Records	Department/Office of Record	Retention	Regulatory Citations	Notes and Comments
010	Building, Development, Planning & Engineering	<b>Property, Infrastructure Maps, Plans and Drawings</b>  Final maps, plans and drawings pertaining to City properties and infrastructure.	Aerial Photos Approved Plans ( <i>Traffic Signal Plans, Interconnect Plans, ADA Transition Plan, Bike/Pedestrian Plan</i> ) Assessor Parcel Maps Annexation Maps Drainage Flood Elevation Certificates Functional Classification Maps Improvement Plans, Drawings Lot Line Adjustment Maps Lot Numbers Master Maps ( <i>CIP, historic, drainage</i> ) Mylars Parcel Mergers Parcel Maps Record of Survey Rights of Way Signal Plans Signing and Striping Plans Sphere of Influence Street Address Files Streetlights Tract Maps Traffic Signal Plans, Interconnect Plans Water and Wastewater Systems	Community Development Innovation Technology Public Works	Permanent	CA - CCP 337.15 - (LA10Y) CA - GOV 34090(a) - (PR) CA - HSC 19850 - (LI) US - 44 CFR 60.3 - (MAINT)	
011	Building, Development, Planning & Engineering	<b>Traffic and Transportation Planning</b>  Records and information of traffic engineering and transportation programs and planning activities, including:  - Safe route to school program - Education and outreach to schools and parents - Efforts to improve traffic and circulation	ADA Compliance ( <i>ramps, sidewalks</i> ) Bicycle Plans Investigations Recommendations Signs Signals Street/Highway Studies/Surveys ( <i>speed studies</i> ) Surveys and Studies( <i>engineering, feasibility, speed, traffic</i> ) Temporary Street Closures Traffic Counts/Surveys/Studies Traffic Plans ( <i>management, master</i> )	Public Works	While Active+2Y	CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 34090 - (2Y)	
012	Building, Development, Planning & Engineering	<b>Water, Solid Waste, and Storm Water</b>  Records and information associated with compliance and maintenance for stormwater conveyance system and solid waste. Includes:  - Compliance with San Francisco Regional Water Quality Control Board (76 agencies) - Compliance with Santa Clara Valley Urban Runoff Pollution Prevention Program (14 agencies) - Inspection program records (construction sites, landscape treatment, etc.) - Resource recovery program (garbage, composting, recycling, CalRecycle)	Audits and Audit Reports Drinking Water Violations ( <i>per lease agreement</i> ) Environmental Conservation, Programs Monitoring and Testing ( <i>stormwater, water quality, runoff</i> ) NPDES Permits Pollution Control Permits Recycling ( <i>campaigns, e-waste, events, reports, CalRecycle Annual Report</i> ) Storm Water Management Plan and Pollution Reports Trash Management Plan Water Quality Management Plan ( <i>WQMP</i> ) Cupertino's Municipal Annual Lease Report IND-IDDE Proactive & Reactive Stormwater Inspections & Citations	Environmental Programs Public Works	While Active+5Y	CA - CCP 338 - (LA3Y) CA - CCP 338.1 - (LA5Y) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 34090 - (2Y) CA - HSC 25244.19 - (4Y) CA - HSC 25244.20 - (4Y) US - 40 CFR 70.6 - (CL+5Y) US - 40 CFR 122.21 - (3Y) US - 40 CFR 122.41 - (3Y) US - 40 CFR 122.44 - (3Y) US - 40 CFR 261.32 - (3Y)	
013	Elections	<b>Election Records - Administrative Files</b>  Documentation of the administration of City elections.	Correspondence Research Notes	City Clerk	4Y	CA - GOV 34090 - (2Y) CA - GOV 81009(f)(g) - (4Y; 2Y)	
014	Elections	<b>Election Records - Assessment Districts - For Future Use</b>  Documentation of elections pertaining to assessment districts.	Ballots Tally Sheets	City Clerk	8M	CA - ELEC 17200 - (8M) CA - ELEC 17302 - (6M) CA - ELEC 17304 - (6M) CA - ELEC 17306 - (6M) CA - ELEC 17503 - (6M)	
015	Elections	<b>Election Records - Candidates Nominated, Elected and Not Elected</b>  Records and information related to the filing of nominations, candidate and election documentation for City offices.	Candidate Statements Nomination Papers Registrar of Voters Required Documents Supplemental Nomination Papers	City Clerk	Term of Office+4Y	CA - ELEC 17100(a) - (T+4Y)	
016	Elections	<b>Election Records - Committees</b>  Records and information related to the filing of FPPC forms for Political Action Committees and General Purpose Committees.	FPPC Series 400, 500, 600 Forms	City Clerk	7Y	CA - GOV 81009(c) - (7Y)	

Record No.	Business Process	Record Name and Description	Example Records	Department/Office of Record	Retention	Regulatory Citations	Notes and Comments
017	Elections	<b>Election Records - Initiative, Recall, or Referendum Administration</b>  Records related to the submission and processing of initiative, referendum, recall, or ballot measures, excluding petitions.	City Attorney Opinions Ballot Measure (Arguments For / Against, Full Text, Rebuttals, Impartial Opinion) Election Results Petition Administration	City Clerk	4Y	CA - GOV 81009(f)(g) - (4Y; 2Y)	
018	Elections	<b>Election Records - Initiative, Recall, or Referendum Petitions</b>  Petitions for initiative, referendum, recall, or ballot measures, whether successful or not.	Petitions	City Clerk	8M	CA - ELEC 17200 - (8 Months) CA - ELEC 17400 - (8 Months)	
019	Elections	<b>Election Records - Proposition 218 Protest Procedure</b>  Records related to administration of notifications and protests associated with taxes, assessments, and fees subject to Prop 218.	Ballots Notices Protest Letters Public Hearing Material	Citywide	Permanent	California Constitution Art. XIII	
020	Elections	<b>FPPC Forms - Mandated Reporting</b>  Forms mandated by state law related to receipt and redistribution of gifts and honoraria, ceremonial roles, and holding of multiple positions for certain employees, elected or appointed officials, or consultants.	FPPC Series 800 Forms	City Clerk	7Y	CA - GOV 34090 - (2Y) CA - GOV 81009(e) - (7Y)	
021	Elections	<b>FPPC Forms - Statements of Economic Interest</b>  Statements of economic interest mandated by state law for certain employees, elected or appointed officials, or consultants.	Form 700	City Clerk	Term*+7Y	CA - GOV 34090 - (2Y) CA - GOV 81009 - (4Y, 7Y)  *Term = Term of Office, Term of Service or Termination of Employment	
022	Financial	<b>Accounts Payable and Receivable</b>  Records and information related to the accounting of monies paid or received by the City including payment for financial obligation and Citywide revenue receipts.	Aging Reports Bankruptcy Proofs of Claim Cash Records ( <i>cash disbursement, cash register receipts, cash receipts</i> ) Collections Construction Performance Bond Reimbursements Credit Memos Expense Reports, Reimbursements for Employees and Officials Fees and Taxes FEMA Reimbursements Fines, Forfeitures and Penalties Form 1099 Records and Form W-9 Records Invoices and Vouchers Payables Purchasing Card Expense Reconciliation/Allocations Receivables Reconciliations Refunds Sales and Use Taxes Paid Tax Revenue ( <i>property taxes, transient occupancy taxes, utility user taxes</i> ) Utility Fees Billed by City ( <i>water, waste water, calculations</i> ) Utility Bills Paid by City	Finance	6Y	CA - CCP 337 - (LA4Y) CA - CCP 338 - (LA3Y) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 8546.7 - (CL+3Y) CA - GOV 34090 - (2Y) US - 26 CFR 31.6001 - (CU+4Y) US - 26 USC 6531 - (LA6Y) US - 48 CFR 4.705-1 - (4Y)	
023	Financial	<b>Bank Account Information</b>  Records and information related to banking authorities, activities, transactions and correspondence. This category includes reconciliations.	Bank Account Administration Bank Statements Checks, ( <i>canceled, copies</i> ) Check Registers, Journals Corrections / Returns / Adjustments Deposit Slips/Receipts Electronic Banking Transactions Purchasing Card Statements Reconciliations Signature Cards Transfers/Wires Treasurer Receipts	Finance	4Y	CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 34090 - (2Y) US - 48 CFR 4.705-1 - (4Y)	
024	Financial	<b>Budget Planning</b>  Records and information regarding the development and tracking of City budgets.	Budget Development Documents Trial Balance/Balance Sheets (Finals)	Finance	4Y	CA - GOV 34090 - (2Y)	

Record No.	Business Process	Record Name and Description	Example Records	Department/Office of Record	Retention	Regulatory Citations	Notes and Comments
025	Financial	<b>Business Licenses</b>  Records and information documenting the issuance of City business licenses.	Annual Licenses Applications Business Licenses ( <i>applications, fees, financial history, reports</i> ) Home Business Licenses Short-term Rentals	Finance	While Active+4Y	CA - CCP 337 - (LA4Y) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 34090 - (2Y)	
026	Financial	<b>Debt, Investments</b>  Records and information relating to City financing and debt activities.	Annual Reports Arbitrage Reports Bond Insurance Transcripts Bonds ( <i>CFD, continuing disclosures, bond rating reports, official statements</i> ) Certificates of Deposit ( <i>CDs</i> ) Fiduciary Debt and Investments Financial Investment Planning General Obligation Bonds Investment Reporting and Portfolio Management Local Agency Investment Fund ( <i>LAIF</i> ) Payment History/Schedules Quarterly Investment Report Recognized Obligation Payment Schedules ( <i>ROPS</i> ) Reporting ( <i>continuing disclosure, Mello-Roos, state reports</i> ) Security Instruments Third Party Trustee Account Statements	Community Development Finance	Maturity*+10Y	CA - CCP 336 - (LA5Y) CA - CCP 337 - (LA4Y) CA - CCP 337.5 - (LA10Y) CA - CCP 338 - (LA3Y) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 8546.7 - (CL+3Y) CA - GOV 34090 - (2Y) US - 26 CFR 301.6501 - (CU+3Y)  *Maturity includes cancellation and redemption	
027	Financial	<b>Financial Reporting - Annual, Periodic</b>  Annual and periodic financial reports, whether required by regulations or generated to track financial transactions and achievements by the City.	CAFR Workpapers Payroll Reports ( <i>HRA, RMT, ICMA 457 accounts, Nationwide, deferred compensation</i> ) Revenue/Expenditures Reports Treasurer's Report Workers Compensation Reports	Finance	6Y	CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 34090 - (2Y) US - 26 CFR 1.1461-2 - (CU+1Y) US - 26 USC 6531 - (LA6Y)	
028	Financial	<b>Financial Reporting - Official</b>  Official financial reports of the City.	Annual Budget Annual Report of Financial Transactions To State Annual State Controller Filings Audited Financial Statements CAFR ( <i>final</i> ) Local Government Compensation Report PERS Reports State Controller's Report	Finance	Permanent	CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 34090 - (2Y) US - 26 CFR 1.1461-2 - (CU+1Y) US - 26 USC 6531 - (LA6Y)	
029	Financial	<b>Financial, Strategic Planning</b>  Records and information relating to financial planning and forecasting future costs.	Business Plans Financial Plans Forecasts Rate/Fee Schedules ( <i>development, utilities, licenses, permits</i> ) Strategic Plans ( <i>technology, CIP</i> )	Citywide	2Y	CA - GOV 34090 - (2Y)	
030	Financial	<b>Fixed Assets</b>  Records and information related to the ownership, transfer, acquisition, disposition, capital leased, or improvement of fixed assets owned by or used by the City.	Acquisitions Amortization Asset Retirement Records Dispositions Capital Asset Records Capital Improvements Depreciation Schedules Equipment Rental/Usage Reports Fixed Asset Reports Fixed Asset Ledger Fixed/Capital Asset Accounting Possessory Interest Sales Valuation Information	Finance	Life*+10Y	CA - CCP 337.15 - (LA10Y) CA - GOV 34090 - (2Y) US - 26 CFR 1.1461-2 - (CU+1Y) US - 26 USC 6531 - (LA6Y)  * Life of Asset	



Record No.	Business Process	Record Name and Description	Example Records	Department/Office of Record	Retention	Regulatory Citations	Notes and Comments
031	Financial	<b>General Ledger, Journal Entries, Budget Adjustments</b>  Records and information related to the transfer of charges between accounts and summaries of account information, including year end summaries of general ledger transactions.	Account Ledgers Balance Sheets Budget Adjustments Cash Journal Entries Chart of Accounts Downloads / Data Exports Expenditure Reports General Ledger Journal Entries and Backup Documentation Revenue and Expense Reports Sub-Ledgers Summary Reports Trial Balance Year -End / Account Detail History Report	Finance	6Y	CA - GOV 34090 - (2Y) US - 26 CFR 1.1461-2 - (CU+1Y) US - 26 CFR 31.6001 - (CU+4Y) US - 26 USC 6531 - (LA6Y)	
032	Financial	<b>Grants and External Funding Sources</b>  Documents the application, evaluation, awarding, administration, monitoring, reporting, and status of grants and other funding sources in which the City is the recipient or administrator. Includes:  - Community Development Block Grant (CDBG) (State Funded Program) - Combined Federal, State, Local Grants - Federal Grants - Local Grants - State Grants - Transportation Agencies Grant Funding (VTA, MTC, ABAG, BAAQMD)	Applications ( <i>including project proposals</i> ) Audits Award Notification Funding Requests ( <i>State Funded</i> ) Grant Administration Grant Funding Grant Evaluations Payroll ( <i>certified, Davis Bacon</i> ) Program Rules, Regulations, Procedures Reports to Funding Agencies Semi-annual Labor Reports	Citywide	While Active+7Y	CA - GOV 34090 - (2Y) CA - Office of Emergency Services 2019 Subrecipient Handbook §11210 - (AC+7Y) US - 2 CFR 200.333 - (CL+3Y) US - 24 CFR 570.502(a)(7)(i)(A) - (LA4Y)  Unsuccessful applications are retained for 2 years.  NOTE: If a grant requires longer retention, its specific requirements will take precedence.	
033	Financial	<b>Payroll</b>  Records and information related to the accounting of payroll earnings, deductions, and issuance. This also includes records and information reflecting all earnings and benefits paid to each employee, including:  - Name, address, SSN - Total amount and date of payments - Period of service covered for each - Withholding - Tax collected	Deduction Authorizations, Registers, Reports Deferred Compensation Educational Reimbursements Employee Master File Federal and State Tax Payroll Checks, Copies, Stub Reports Payroll Certifications, Controls, Earnings Payroll Taxes PERS Reporting ( <i>earnings and benefits for a pay period</i> ) Timekeeping Records ( <i>timecards, out of class forms/reports, extra help requests</i> ) W-2, W-4	Finance	6Y	CA - 2 CCR 570.5 - (5Y) CA - 2 CCR 571(b)(1)(E) - (5Y) CA - 22 CCR 1085-2(c) - (CU+4Y) CA - GOV 12946 - (2Y; T+2Y) CA - LAB 226a - (3Y) CA - LAB 1174 - (3Y) CA - LAB 1197.5 - (LA2Y, LA3Y) CA - UIC 1132 - (LA3Y) Cupertino Municipal Code 3.37.060 - (4Y) US - 26 CFR 31.6001 - (CU+4Y) US - 26 USC 6531 - (LA6Y) US - 29 CFR 516.5 - (3Y) US - 29 CFR 516.6 - (2Y) US - 29 CFR 1620.32 - (2Y) US - 29 CFR 1627.3 - (3Y) US - 48 CFR 4.705-2 - (4Y; 2Y)	
034	Financial	<b>Real Property Transactions</b>  Records and information related to the ownership, acquisition, disposition, transfer of, lease of, or improvement of real property, infrastructure and facilities including grant deeds, owned by or used by the City.	Acquisitions Attachments Buildings Community Development Block Grant ( <i>CDBG</i> ) Property Acquisitions Deeds of Trust Development Agreements Dispositions Grant Deeds Housing Authority Owned Properties Land Loans Mortgages Notice of Pendency of Actions Possessory Interest Promissory Notes Property Transaction ( <i>DDA, DA, etc.</i> ) Right of Way Sales Subdivision Improvement Agreements ( <i>SIAs</i> ) Valuation Information	City Clerk Community Development Finance Public Works	Permanent	CA - CCP 315 - (LA10Y) CA - CCP 337 - (LA4Y) CA - CCP 337.1 - (LA4Y) CA - CCP 337.15 - (LA10Y) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 8546.7 - (CL+3Y) CA - GOV 34090(a) - (PR)	

Record No.	Business Process	Record Name and Description	Example Records	Department/Office of Record	Retention	Regulatory Citations	Notes and Comments
035	Financial	<b>Unclaimed Funds</b>  Records and information pertaining to periodic publication of outstanding checks that are 3 years or older. After the City goes through its due diligence of trying to find the rightful owner, Finance returns any unclaimed funds to the City.	Uncashed Checks Unclaimed Funds	Finance	10Y	CA - CCP 1513 - (3Y) CA - GOV 34090 - (2Y) US - Uniform Unclaimed Property Act (2016), Section 404 - (10Y)	
036	General & Administrative	<b>Agreements, Contracts and Leases - Construction, Development, Improvements to Infrastructure, Real Property and Facilities</b>  Executed agreements and contracts for construction and/or improvements to the City's infrastructure, real property and facilities. Examples include:  - Affordable Housing Agreements - Below Market Rate Housing Agreements - Housing & Human Services Grant Contracts - Lease Acquisitions Leasehold/Tenant Improvements - Notice of Restriction - Property Improvement Contracts - Regulatory Agreements - Water Agreements - Water Supply Agreements	Addendums and Amendments Agreements/Contracts Attachments / Exhibits Bonds (copies) Certificates of Completion (COCs) Insurance Documentation Change Orders, Side Letters, Task Orders Disclosures Letters of Intent Memoranda of Understanding (MOUs) Notices of Completion (NOCs) Plans and Specifications Statements of Work (SOWs) Warranties	City Clerk Community Development	Permanent	CA - CCP 315 - (LA10Y) CA - CCP 337.1 - (LA4Y) CA - CCP 337.15 - (LA10Y) CA - CCP 343 - (LA4Y) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 8546.7 - (CL+3Y) CA - GOV 34090(a) - (PR) US - 29 CFR 516.5 - (3Y) US - 40 CFR 122.21(p) - (3Y) US - 40 CFR 122.41(j) - (3Y)	
037	General & Administrative	<b>Agreements, Contracts and Leases - Goods and Services and Other Non-Infrastructure</b>  Executed agreements and contracts for goods and services (which includes all types of contracts and agreements, including franchise, purchase orders, or non-real property leases) and associated ancillary documents, between the City and other parties.	Addendums and Amendments Attachments / Exhibits Bonds Certificates of Insurance Contract Releases ( <i>resale, refinance, option to purchase, restriction, assignment of option</i> ) Disclosures Letters of Intent License Agreements, Licenses Licensing, Licenses (general) Maintenance Agreements Memoranda of Agreement (MOAs) Memoranda of Understanding (MOUs) - other than labor MOUs Standard Consultant Agreement Services Agreement Services Agreement for Design Professionals Rental Agreements Statements of Work (SOWs) Warranties	City Clerk	Permanent	CA - CCP 337 - (LA4Y) CA - CCP 337.1 - (LA4Y) CA - CCP 343 - (LA4Y) CA - GOV 8546.7 - (CL+3Y) CA - GOV 34090 - (2Y) US - 29 CFR 516.5 - (3Y) US - 40 CFR 122.21(p) - (3Y) US - 40 CFR 122.41(j) - (3Y)	
038	General & Administrative	<b>Asset Management, Maintenance - Furniture, Fixtures, and Other Equipment</b>  Records related to the installation, management, and maintenance of City fixed and movable assets, including real property and infrastructure, such as:  - Backflow devices - Bridges - Cameras - City-owned buildings and structures, computing devices, and infrastructure over \$5,000 - City-owned trees - Elevators - Equipment and vehicles - Fiber optics - Landscape irrigation - Parks, sports fields, paths/trails, and pools - Playgrounds - Sidewalks and curbs - Solar panels - Stormwater system - Streetlights - Streets (roadways, medians, street signs, street sign supports, striping, legends, calming devices) - Traffic Signals	Actions Taken Air Quality Permits and Inspections Backflow Inspections Certifications and Inspections Complaints and Trouble Reports Daily Work Reports Custodial Services Equipment Certifications and Inspections Issues Log Inventories Maintenance, Repair, & Replace Work Orders, Inspections & Service Requests Maintenance Reports Pesticide ( <i>treatments, applications</i> ) Tree Removals Utilities Meter Records ( <i>including deposits</i> )	Innovation & Technology Public Works	Life*+10Y	CA - CCP 337 - (LA4Y) CA - CCP 337.15 - (LA10Y) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 8546.7 - (CL+3Y) CA - GOV 34090 - (2Y)	* Life of Asset

Record No.	Business Process	Record Name and Description	Example Records	Department/Office of Record	Retention	Regulatory Citations	Notes and Comments
039	General & Administrative	<b>Audits - Internal, External and Administration</b>  Records and information related to internal, external and regulatory audits and administration of associated auditing activities, including reviewing and documenting operational, compliance, or financial information created as a part of an audit.	Annual Audit Reports Audit Files, Plans Audit Schedules Audit Workpapers Auditors Reports Biennial Reviews Flood Insurance Rate Credit Audits General Purpose Financial Audits, Single Audits Grand Jury Reports Management Responses Petty Cash Audits Responses Results Workpapers	Citywide	6Y	CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 8546.7 - (CL+3Y) CA - GOV 34090 - (2Y) US - 26 USC 6531 - (LA6Y)	
040	General & Administrative	<b>City Website</b>  Content of the City's website and web pages.	Website Content Web Pages	Citywide	2Y	CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 34090 - (2Y)	
041	General & Administrative	<b>Communication, Outreach, Media and Public Relations</b>  Records and information regarding internal and external-facing communications, advertising and press relations materials, and community programs including operation of the local Government access cable television station, the City's radio station, and documentation of outreach activities/events held in cooperation or for the benefit of City staff and for the local community.	Block Leader Records Brochures, Flyers Cable Television Station Operating Records Community Surveys Events ( <i>sign-in sheets</i> ) FCC License Health Fairs Housing Workshop Mailers Neighborhood Watch Records Parks and Recreation Commission Video Recordings Press Releases Public Information / Outreach / Education Publications Produced by the City ( <i>City Manager items of interest, newsletter</i> ) Social Media Posts Speeches Videos for Public Events Waivers of Liability Website Documentation	Citywide	4Y	CA - CCP 337 - (LA4Y) CA - GOV 8546.7 - (CL+3Y) CA - GOV 34090 - (2Y)	
042	General & Administrative	<b>Economic Development Programs</b>  Records and information documenting the City's economic development programs, including:  - Business improvement districts (property based - PBID, tourism based - TBID) - Parklet program - Façade program	Applications Brochures Correspondence Economic Development Strategy Impact Fee Schedule Market Studies Pilot Programs Website	City Manager Community Development	While Active+4Y	CA - CCP 337 - (LA4) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 8546.7 - (CL+3Y) CA - GOV 34090 - (2Y) US - 2 CFR 200.333 - (CL+3Y)	
043	General & Administrative	<b>Emergency Management</b>  All documentation for dealing with preparation for and responses to emergencies, disasters and/or system failures for City facilities. Includes the Emergency Response Programs, the Citizen Corps Program, and the Emergency Operations Center.	Annexes ( <i>internal operational instructions on how to respond to emergency situations</i> ) Business Continuity Plans Disaster Council Disaster Recovery Plan Drill Records Emergency Alerts Emergency Contact Lists, Employee Lists, Roster of Workers Emergency Evacuation Procedures Emergency Preparedness Team Evacuation Plans Hazard Mitigation Plan	City Manager	While Active+2Y	CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 34090 - (2Y)	
044	General & Administrative	<b>Fuel Expense Management</b>  Records related to the purchase, tracking and management of expenses for fuel for City vehicles.	Fuel Card Authorizations Fuel Reports, Billing Reports, Journals	Finance	2Y	CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 34090 - (2Y)	

Record No.	Business Process	Record Name and Description	Example Records	Department/Office of Record	Retention	Regulatory Citations	Notes and Comments
045	General & Administrative	<b>Fuel Tank Management</b>  Records related to the management of City fuel storage tanks.	California Air Resources Board Certificate Fuel Storage Tanks ( <i>above ground, underground</i> )	Public Works	Life*+10Y	CA - 23 CCR 2712 - (Life of tank) CA - CCP 338.1 - (LA5Y) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 34090 - (2Y) CA - HSC 25285 - (5Y) CA - HSC 25292 - (1Y) CA - HSC 25293 - (MAINT)	* Life of Tank
046	General & Administrative	<b>General Administration</b>  General internal administrative records of City departments, including: - Documentation of department activities - Routine reports generated by the City - Information captured on a log or a list - Routine correspondence, memos, notes and emails that do not pertain to another category (including responses to public records requests) - Department projects, including unsuccessful project documentation	Budget Workpapers City Generated Routine Studies / Reports ( <i>e.g., rate studies, vacant land inventory studies</i> ) Confidential Invoice Backup ( <i>outside counsel billing</i> ) Department Administrative Documents ( <i>calendars, committees, goals, objectives, meeting agendas, meeting minutes, meeting tapes/recording, plans</i> ) Employee Communication Letters ( <i>announcements, new programs, notices</i> ) In-House Committees / Employee Committees Logs ( <i>bid openings, booking number, case number, daily DR#, subpoenas received</i> ) Office Files, Office Manager Files Organization Charts Research on Pending Legislation Supplies Management Zoning Confirmation Letters	Citywide	While Active+2Y	CA - GOV 34090 - (2Y)	
047	General & Administrative	<b>Historical Documents, Events, Memorabilia, Collections, Artifacts</b>  Records and information documenting the history and significant milestones of the City such as when a significant decision was made, a momentous weather event, or noteworthy event (e.g., Steve Jobs presenting to City Council), the 1st of an event such as Sister City initial formation or recognition, but not an annual recording of the event or activities thereafter.	Biographies of City Officials Census Information City Council Meeting Video Recordings City Generated Historical Studies / Reports City Incorporation City Manager, City Official Communications, Speeches, Videos (historic, significant, State of the City) City Publications ( <i>historic, significant, examples: Scene, Parks and Recreation Catalog</i> ) City Seal Council District Maps Demographics Elections ( <i>historic, significant</i> ) Grand Jury Documentation History Cards ( <i>historical personnel rosters</i> ) Historical Facilities News, Press Releases ( <i>historic, significant</i> ) Photo Collections and Publicity Photographs Planning Commission Meeting Video Recordings Proclamations/Ceremonial Documents Registered Logos	City Clerk City Manager Communications Video	Permanent	CA - GOV 34090 - (2Y)	
048	General & Administrative	<b>Incident Reports</b>  Records and information associated with department responses to fires and emergency incidents, including medical emergencies.  NOTE: This category does not pertain to incident reports that become part of a Police case file.	Emergency Services False Alarm Reports Hazardous Waste Spills Incident Reports Investigation Reports Mandated Reporting: Child Abuse, Elder Abuse Potholes Sewer Overflow Suspicious Activity Reports (SARs) Tree Down	Citywide	2Y	CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 34090 - (2Y)	
049	General & Administrative	<b>Operational Maps</b>  Informal maps and geographical information pertaining to City operations and constituent services.	Community Outreach Fiber Optic Road Closures Street Sweeping Schedule Tree Maintenance Zones Trash Pick-up Zoning/General Plan	Innovation Technology	While Active+2Y	CA - GOV 34090 - (2Y)	

Record No.	Business Process	Record Name and Description	Example Records	Department/Office of Record	Retention	Regulatory Citations	Notes and Comments
050	General & Administrative	<b>Permits Issued</b>  Documentation of permits issued by the City, other than building and planning permits.	Applications Field Use Permits Fire Handbill Permits Hydrant Permits Massage Therapist Permits ( <i>and annual health certificates</i> ) Parade Permits Solicitor Permits Street Permits Taxi Permits Temporary Open Air Activities Permits Temporary Parking Permits Tent Permits Transportation Permits ( <i>oversize, overweight, wide load</i> )	Citywide	While Active+4Y	CA - CCP 337 - (LA4Y) CA - GOV 34090 - (2Y) Cupertino Municipal Code 11.24.220 - (MAINT)	
051	General & Administrative	<b>Policies and Procedures</b>  All administrative documentation of City policies and procedures.	Administrative Policies and Procedures Brand Guidelines City Council Policies and Procedures Department Policies and Procedures Directives Facility Rental Policy and Procedures General Orders Guidelines Handbooks Policies Procedure Manuals Procedures Program / Initiative Plans SOPs Standards	Citywide	While Active+4Y	CA - CCP 337 - (LA4Y) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 34090 - (2Y)	
052	General & Administrative	<b>Procurement - Agreements and Contracts <u>Not</u> Awarded</b>  Records and information created or retained in the preparation of purchasing or acquisition of goods and services, but where the purchase order, contract, or agreement was not awarded.	Bids, Awards ( <i>unaccepted, rejected</i> ) Exhibits Price Lists Quotations Requisitions Requests for Information ( <i>RFI</i> ) Requests for Proposal ( <i>RFP</i> ) Requests for Quote ( <i>RFQ</i> ) Scorecards Specifications	Citywide	2Y	CA - GOV 34090 - (2Y)	
053	General & Administrative	<b>Procurement - Purchasing and Requisitioning</b>  Records and information created or retained in the purchasing or acquisition of goods and services. Documentation that includes the terms and conditions under which vendors will provide goods or services.	Bids, Awards Bonds Change Orders Evaluation Sheets Exhibits Notices of Intent ( <i>to award, to bid</i> ) Price Lists Proof of Insurance Certificates Proposals Purchase Orders Quotations Receiving Reports Requisitions Requests for Proposal ( <i>RFP</i> ) Requests for Qualifications ( <i>RFQ</i> ) Specifications	Citywide	4Y	CA - CCP 337 - (LA4Y) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 8546.7 - (CL+3Y) CA - GOV 34090 - (2Y) US - 29 CFR 516.5 - (3Y)	
054	General & Administrative	<b>Public Information Requests</b>  Records requested by the public, required for provision to the public, and related inquiries.	Formal Public Records Requests Subpoenas for records and/or testimony (cases in which City is not a party)	City Attorney City Clerk	2Y	CA - GOV 34090 - (2Y)	
055	General & Administrative	<b>Public Notices</b>  Records documenting compliance with laws requiring public notice of government activities. Subjects include assessments, elections, land use changes, public meetings and hearings, sale of property, and other legal notices.	Affidavits of Mailing Affidavits of Posting Affidavits of Publication/Legal Notices Public Hearing Notices Public Meeting Notices	Citywide	2Y	CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 34090 - (2Y)	

Record No.	Business Process	Record Name and Description	Example Records	Department/Office of Record	Retention	Regulatory Citations	Notes and Comments
056	General & Administrative	<b>Records, Information Management - Active and Inactive Records</b>  Documentation of the management of active and inactive records in compliance with Records and Information Management policy and procedures.	Document Hold Notices, Updates Inactive Records Storage Information ( <i>inventories, indexes, transmittals</i> ) Lists of Stored Records Records Transfers ( <i>to storage, to other depts.</i> )	City Clerk	10Y	CA - CCP 315 - (LA10Y) CA - CCP 337 - (LA4Y) CA - CCP 337.15 - (LA10Y) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 8546.7 - (CL+3Y) CA - GOV 34090 - (2Y)	
057	General & Administrative	<b>Records, Information Management - Records of Destruction</b>  Documentation of records destroyed in accordance with Records and Information Management policy and procedures.	Certificates of Destruction Lists of Destroyed Records	City Clerk	Permanent	CA - CCP 315 - (LA10Y) CA - CCP 337 - (LA4Y) CA - CCP 337.15 - (LA10Y) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 8546.7 - (CL+3Y) CA - GOV 34090 - (2Y)	
058	General & Administrative	<b>Security Closed Circuit Television Recordings</b>  Closed circuit TV video recordings made to monitor the security of City facilities and operations.	CCTV Security Video	Innovation Technology Public Works Operations	1Y	CA - GOV 34090.6 - (1Y)	
059	General & Administrative	<b>Security, Access Operations</b>  Records and information regarding physical access controls and protection for City buildings and facilities.	Access Controls ( <i>active and inactive</i> ) Access Reports Card Key System Records ( <i>active and inactive</i> ) Daily Activity Logs Facility Key Lists ( <i>active and inactive</i> ) Key Cards Transaction Logs	Innovation Technology Public Works Operations	While Active+2Y	CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 34090 - (2Y)	
060	General & Administrative	<b>Sustainability</b>  Records and information of the City's programs and activities to provide greater environmental accountability and encourage green business practices.	Climate Action Plan (CAP) - linked to General Plan Climate Greenhouse Gas Inventory Report Utility Cost & Consumption Tracking ( <i>energy, water, sewer</i> ) - Baseline year and all intervening years leading up to goal as related to CAP	Sustainability	While Active+5Y	CA - GOV 34090 - (2Y)	
061	General & Administrative	<b>Vendor, Supplier Files</b>  Records and information of suppliers and vendors to all City organizations created or retained in the purchasing or acquisition of goods and services.	Contractors - Vendor List Vendor Packets Vendor Applications, Profiles	Citywide	2Y	CA - GOV 34090 - (2Y)	
062	Human Resources	<b>Benefit Plans</b>  Plans established to provide employee benefits and associated administrative documents, including:  - Dental - Vision - Life insurance - Long-term care - Deferred compensation - Section 125 plan (flex spending) - Disability (short/long time) - PARS retirement for unbenefited part time employees - EAP - CalPERS Retirement & CalPERS Health	Broker Correspondence Group Insurance Cost Data CalPERS Actuarial Reports CalPERS Medical Plan CalPERS Retirement Plan Summary Plan Descriptions Wellness Program Records	Human Resources	Life*+6Y	CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 8546.7 - (CL+3Y) CA - GOV 34090 - (2Y) US - 29 CFR 1602.30 - (3Y) US - 29 USC 1027 - (6Y) US - 29 USC 1059 - (T+1Y) US - 29 USC 1113 - (LA6Y) US - 29 USC 1451 - (LA6Y)  *Life of Plan or Benefit	
063	Human Resources	<b>Employee Benefit Files</b>  Employee election (selection), enrollment or termination forms and related correspondence, including transmissions to carriers of additions, changes, claims and deletions (may include employee records subject to HIPAA requirements).	Benefits Files, Enrollments, Appeals Beneficiary Designations CalPERS Service-Prior-to-Membership Death Claims, Life Event Documents Disability Claims Employee Cost-Sharing Amounts Employment Status, Changes ( <i>authorizations, terminations, confirmations, status changes, coverage changes</i> ) Flexible Spending Enrollment Life Insurance Notification Letters/EOI Pension Plan Applications, Claims Premium Information Required Benefits Reporting Supplemental Forms	Human Resources	While Active+6Y	CA - 22 CCR 1085-2 - (CU+4Y) CA - GOV 34090 - (2Y) US - 26 CFR 301.6501 - (CU+3Y) US - 29 CFR 825.500 - (3Y) US - 29 USC 1027 - (6Y) US - 29 USC 1059 - (T+1Y)	



Record No.	Business Process	Record Name and Description	Example Records	Department/Office of Record	Retention	Regulatory Citations	Notes and Comments
064	Human Resources	<b>Labor Relations</b>  Documentation related to the negotiations between labor unions for collective bargaining purposes.	Confidential Memos Costing Ground Rules Handouts Information Requests Miscellaneous Information Notes Proposals - City Proposals - Union	Human Resources	While Active+6Y	CA - CCP 337 - (LA4Y) CA - GOV 8546.7 - (CL+3Y) CA - GOV 12946 - (2Y) CA - GOV 34090 - (2Y) US - 29 CFR 516.5 - (3Y)	
065	Human Resources	<b>Labor Relations Grievances</b>  Documentation related to labor grievances filed under current collective bargaining agreements.	Grievance Files/Commission Hearing Grievance/Hearing Logs Union Grievances	Human Resources	Final Resolution+6Y	CA - CCP 337 - (LA4Y) CA - GOV 12946 - (2Y) US - 26 CFR 31.6001-1 - (CU+4Y) US - 29 CFR 1602.31 - (FR+2Y)	
066	Human Resources	<b>Occupational Health Records</b>  Documents pertaining to worker health and safety, including drug screening records of City employees, and workers compensation (may include employee records subject to HIPAA requirements).	Drug Screening Ergonomic Evaluations Noise Exposure, Audiometric Testing Records Pre-Employment Physicals Safety Committees TB Tests Workers Compensation	Human Resources	Closed + 6Y	CA - 8 CCR 10102 - (Injury+5Y or Closed+1Y) CA - 8 CCR 14300.33 - (5Y) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 34090 - (2Y) CA - LAB 5406 - (LA1Y; LA240W) CA - LAB 5410 - (LA5Y) CA - LAB 6401.7 - (MAINT) CA - 29 CFR 1904.33 - (CU+5Y) US - 29 CFR 1910.95 - (2Y)	
067	Human Resources	<b>Personnel Files - Employees</b>  All documents related to paid employees (full and part-time) including but not limited to:  - selection/hiring - assignments - promotion - demotion - transfer - layoff - termination / resignation - pay rates / other terms of compensation - work authorizations - reclassifications	Applications, Applicant Reference Verifications Awards, Rewards, Commendations, Certificates Department of Justice Reports and Clearances Disciplinary Actions Drivers License Data - Class C Employee Policy Acknowledgements Employment Authorizations (confirmations, status changes, terminations) Exit Records Individual Education, Development, Training Records Job Offer Letters Leave of Absence Documentation, FMLA Medical Restrictions Oaths of Office Performance Evaluations, Reviews or PIPs Personnel Transaction Forms Policy Acknowledgements Recognition	Human Resources	Termination+6Y	CA - 2 CCR 11013 - (FR+2Y) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 12946 - (2Y; T+2Y) CA - GOV 34090 - (2Y) CA - VEH 1808.1(c) - (1Y) US - 29 CFR 825.500 - (MAINT) US - 29 CFR 1602.14 - (FR+1Y) US - 29 CFR 1602.31 - (T+2Y) US - 29 CFR 1627.3 - (T+1Y) US - 41 CFR 60-1.12(a) - (2Y) US - 41 CFR 60-741.80 - (2Y)	
068	Human Resources	<b>Risk Management - Insurance Coverage</b>  Records detailing the City's general coverage against property damage and liability, including renewal submission information, insurance quotes, & broker correspondence. (NOTE: Third party proofs-of-insurance associated with facility rentals or City projects are retained with those rental or project files.)	Binding Information Binders Broker Correspondence Certificates of Insurance Completed Applications Flood Insurance Insurance Policies Insurance Quotes Insurance Submissions Liability Insurance Pooled Liability Assurance Network Joint Powers Authority (PLAN JPA) Renewal Strategy	City Attorney Human Resources	While Active+6Y	CA - 22 CCR 3267-2 - (MAINT) CA - CCP 337 - (LA4Y) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 8546.7 - (CL+3Y) CA - GOV 34090 - (2Y)	
069	Human Resources	<b>Salary, Compensation</b>  Documentation of job classification compensation.	Classification Studies Compensation Program, Planning, Analysis Cost of Living Adjustments Job Descriptions Job Evaluation Documentation Salary Range History Salary Schedules Salary Surveys Salary Table	Human Resources	6Y	CA - GOV 34090 - (2Y) US - 29 CFR 1602.14 - (FR+1Y) US - 29 CFR 1602.31 - (2Y)	

Record No.	Business Process	Record Name and Description	Example Records	Department/Office of Record	Retention	Regulatory Citations	Notes and Comments
070	Human Resources	<b>Staffing and Recruitment</b>  Records and information related to recruitment of qualified persons for both paid and unpaid position with the City, whether full time or part-time temporary, including:  - Applications and related records of candidates interviewed but not hired or accepted - Applications received but not acted upon	Applications, CVs, Resumes ( <i>rejected, unsolicited</i> ) Applicant Tracking Records ( <i>hired, rejected</i> ) Background Checks, Investigations - candidates not hired/accepted Examination Results and Rankings Interview Notes Job Descriptions Job Postings, Announcements Job Specifications Miscellaneous Hiring Process Notes Personnel Requisitions Position Information Pre-Hire Screening - candidates not hired/accepted Test Results ( <i>non-hires</i> ) Test and Examination Materials	Human Resources Parks & Recreation	3Y	CA - 2 CCR 11013(c)(2) - (2Y) CA - GOV 12946 - (2Y) CA - GOV 34090 - (2Y) US - 29 CFR 1602.31 (2Y) US - 29 CFR 1627.3(b)(1) - (1Y)	NOTE: Background checks for personnel hired are part of the personnel file.
071	Human Resources	<b>Training Records - City Staff (Full and Part-time) and Officials</b>  All documents related to general and specialized technical education and training taken by officials, paid employees and unpaid volunteers, including:  - Child Protective Services & Boundaries - Cybersecurity - Ethics - Fire Extinguisher - First Aid/CPR - Harassment - Lifeguard Certification - Safe Food - Specialized Equipment - Supervisor - Violence in the Workplace	Attendance Briefing/Unit Training Certification Records Compliance Training Individual Education, Development Tailgates	Citywide	6Y	CA - 8 CCR 3203 - (CU+1Y) CA - GOV 34090 - (2Y) CA - GOV 53235.2b - (5Y) CA - GOV 53237.2(b) - (5Y)	
072	Human Resources	<b>Training Records - Materials, Courses, Scheduling</b>  Documentation regarding the content of courses and schedules for training offered to employees, officials and volunteers.	Attendance Lists Employee Development Presentation Materials PowerPoint Slide Decks Rosters Sign-in Sheets Testing/Qualifications Training Bulletins	Citywide	While Active+6Y	CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 12946 - (2Y) CA - GOV 34090 - (2Y) US - 29 CFR 1602.14 - (FR+1Y)	
073	Human Resources	<b>Volunteers and Unpaid Interns - Recruitment and Personnel Files</b>  All documents related to unpaid volunteers and interns including but not limited to:  - selection - assignments - termination / resignation	Applications, Applicant Reference Verifications Medical Restrictions Policy Acknowledgements Volunteer Acknowledgements	Citywide	Termination+2Y	CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 12946 - (2Y) CA - GOV 34090 - (2Y) US - 29 CFR 1602.31 (2Y) US - 29 CFR 1627.3(b)(1) - (1Y)	
074	Human Resources	<b>Work Authorizations and Supporting Documentation</b>  Employment eligibility verification forms collected for active employees and supporting documentation regarding immigration status.	I-9 Documents and copies of associated documents Immigration Supporting Documentation	Human Resources	Termination+3Y	CA - GOV 34090 - (2Y) US - 8 CFR 274a(2) - (3Y or T+1Y, whichever is longer) US - 20 CFR 655.760 - (T+1Y)	
075	Innovation Technology	<b>Application, System Development and Maintenance</b>  Technical documentation related to development of City technology processes, applications, GIS, Telecommunications Systems, or the City's website, as well as conversions, changes or modifications to existing applications or systems.	Business, Functional Requirements Change Requests Data Element Attribute Reports Data Migration Documentation Database Dictionary / Schema End User Documentation, User Manuals Hardware Configurations Mobile Services Network Circuits Inventories Network/Equipment Control Support Documentation Source Code System Documentation ( <i>codebooks, record layouts, reference guides, schematics, specifications</i> ) System, Application Maintenance Documentation ( <i>hardware/operating system requirements, monitoring logs, operating manuals</i> )	Innovation Technology	Life*+2Y	CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 34090 - (2Y)  *Life of Application.	



Record No.	Business Process	Record Name and Description	Example Records	Department/Office of Record	Retention	Regulatory Citations	Notes and Comments
076	Innovation Technology	<b>Business Continuity Records - Computing Equipment and Network Operations</b>  All documentation for dealing with preparation for and responses to emergencies, disasters and/or system failures for City computing resources.	Business Continuity Plans Disaster Recovery Plan Emergency Response	City Manager Innovation Technology	Until Superseded or 2Y, Whichever is Longer	CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 34090 - (2Y)	
077	Innovation Technology	<b>Technology Help Desk, Access and Security</b>  Records and technical documentation of system access, internal controls and system security. Includes data / information security breaches, notifications, and supporting documentation.	Audit Trail Files Automated Logs Change Management Case Files Computer Usage Files Data Breaches ( <i>notifications, reports, responses</i> ) Data Sets, Extracted Data Summaries Firewall Special Access Approvals Trouble Tickets Usage Reports ( <i>summary, system</i> ) User Access Records ( <i>passwords, requests, accounts</i> ) User Incident, Response Files	Innovation Technology	3Y	CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 34090 - (2Y) CA - CIV 1798.27 - (3Y)	
078	Innovation Technology	<b>Telecommunications Records</b>  Records and information associated with the planning, management and maintenance of the City's VOIP phone system.	Phone Services Records	Innovation Technology	2Y	CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 34090 - (2Y)	
079	Legal & Compliance	<b>Internal Legal Advice and Opinions</b>  Memoranda containing legal advice prepared by the City Attorney's for City departments. (NOTE: Legal advice and opinions associated with specific projects will be retained with the project file.)	Confidential Memos Opinions	Citywide	2Y	CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 34090 - (2Y)	
080	Legal & Compliance	<b>Joint Powers Authority Agreements</b>  Executed agreements between the City and one or more public agencies that share a common power and want to jointly implement programs, build facilities, or deliver services.	Addendums and Amendments Attachments / Exhibits JPA	City Clerk	Permanent	CA - CCP 337.1 - (LA4Y) CA - CCP 343 - (LA4Y) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 8546.7 - (CL+3Y) CA - GOV 34090 - (2Y)	
081	Legal & Compliance	<b>Litigation and Third Party Claims</b>  Records generated for or related to any case or action before a judicial, arbitral, or administrative officer or body.	Complaints Court Orders Discovery Exhibits Judgments Pleadings Related Correspondence Releases Summons Tort Claims	City Attorney	Final Resolution+10Y	CA - 2 CCR 11013 - (FR+2Y) CA - 8 CCR 10102 - (5Y; CL+1Y) CA - 22 CCR 1085-2 - (CU+4Y) CA - CCP 315 - (LA10Y) CA - CCP 337.15 - (LA10Y) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 8546.7 - (CL+3Y) CA - GOV 34090 - (2Y) CA - LAB 5410 - (LA5Y) CA - RTC 19704 - (LA6Y) CA - UIC 1132 - (LA3Y) US - 26 CFR 31.6001 - (CU+4Y) US - 26 CFR 301.6501 - (3Y) US - 26 CFR 301.6532-1 - (LA2Y) US - 26 CFR 301.6532-2 - (LA5Y) US - 26 USC 6531 - (LA6Y) US - 26 USC 6532 - (LA2Y) US - 29 USC 255 - (LA2Y) US - 29 USC 626(d) - (LA300D) US - 42 USC 2000e-5(e) - (LA180D) US - 42 USC 2000e-5(f) - (LA180D)	

Record No.	Business Process	Record Name and Description	Example Records	Department/Office of Record	Retention	Regulatory Citations	Notes and Comments
082	Legal & Compliance	<b>Recorded Documents</b>  Records and information pertaining to those original key documents recorded on behalf of the City.	Abandonments Annexations Condemnations Conveyances Covenants Deeds Deed Restrictions Easements Liens Lot Line Adjustments Promissory Notes Quitclaims Reconveyances Resale Restrictions Rights-of-Way Vacations	City Clerk Planning Public Works	Permanent	CA - GOV 34090(a) - (PR)	
083	Legal & Compliance	<b>Regulatory Reporting</b>  Official non-financial reports issued by City organizations to comply with regulatory requirements.	Census Reports (C-404) EEOC Reports Labor Reports OSHA 300 Reports Strong Motion Instrumentation Program (SMIP) Reports	Citywide	6Y	CA - 8 CCR 14300.33(a) - (CU+5Y) CA - GOV 34090 - (2Y) US - 29 CFR 405.9 - (5Y) US - 29 CFR 1602.14 - (FR+1Y) US - 29 CFR 1602.30 - (3Y) US - 29 CFR 1602.32 - (3Y) US - 29 CFR 1904.33 - (5Y)	
084	Legal & Compliance	<b>Risk Management - Claims By or Against the City</b>  Records detailing claims lodged by or against the City, other than for Workers Compensation.	Accident/Incident Reports Actuarial Reports Annual Audit of Open Claims Appraisals Claims By/Against the City Closing Letters Damage Estimate Reports Supporting Documentation Insurance Claims, Appraisals, Reports Investigations	City Attorney Citywide	Final Resolution+5Y	CA - CCP 337 - (LA4Y) CA - CCP 338.1 - (LA5Y) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 34090 - (2Y)	
085	Legal & Compliance	<b>Settlement Agreements</b>  Records of final settlement agreements.	Settlement Agreements ( <i>confidential and non-confidential</i> )	City Attorney City Clerk	Permanent	CA - CCP 337 - (LA4Y) CA - GOV 8546.7 - (CL+3Y) CA - GOV 34090 - (2Y)	
086	Legislative	<b>Appointments to Boards, Commissions and Committees</b>  Staff records related to appointments made by authorized elected officials to councils, committees, boards, and commissions.	Applications ( <i>appointed, unsuccessful</i> ) Ballots Interview Notes Letters of Appointment Letters of Recommendation Maddy Act Lists Oaths of Office Policy Acknowledgments Resumes Submitted Documents	City Clerk	Term of Office+2Y	CA - GOV 34090 - (2Y)	
087	Legislative	<b>Audio Recordings of Public Meetings</b>  Audio recordings of meetings of City advisory and legislative bodies made solely for the purposes of transcribing meeting actions for written minutes.	Audio Recordings	Communications Innovation Technology Video	30D or Until Minutes are Approved, Whichever is Longer	CA - GOV 54953.5(b) - (30D)	

Record No.	Business Process	Record Name and Description	Example Records	Department/Office of Record	Retention	Regulatory Citations	Notes and Comments
088	Legislative	<b>Legislative and Advisory Councils, Boards Committees &amp; Commissions - Legislative Affairs</b>  Records of actions taken by City boards, commissions, committees, councils, subcommittees, and task forces, whether having legislative authority of their own (i.e., subject to the Brown Act), or for the purposes of informing or advising the City Council or other City legislative bodies. Includes:  - Administrative Hearing Committee - Audit Committee - Bicycle Pedestrian Commission - City Council - Design Review Committee - Economic Development Committee - Environmental Review Committee - Fine Arts Commission - Housing Commission - Legislative Review Committee - Library Commission - Parks and Recreation Commission - Planning Commission - Public Safety Commission - Sustainability Commission - Technology, Information & Communication Commission - Teen Commission	Agenda Packets (includes staff reports) Agenda Summary Reports Agendas Appeals Bylaws City-wide Plans/Programs Adopted Correspondence Formation Documents ( <i>including 501 C3 and IRS documents</i> ) Legislative Packets Meeting Minutes Minute Books & Index Municipal Code Opinions on Pending Legislation Ordinances Petitions and Decisions Resolutions Transcriptions of audio recordings of meetings	City Clerk Citywide	Permanent	CA - CCP 315 - (LA10Y) CA - CCP 321 - (LA5Y) CA - CCP 336 - (LA5Y) CA - CCP 336a - (LA6Y) CA - CCP 337 - (LA4Y) CA - CCP 337.5 - (LA10Y) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 34090(e) - (PR)	
089	Legislative	<b>Oaths of Office - Elected Officials</b>  Documentation of oaths of office taken by elected officials.	Oaths of Office	City Clerk	While Active+2Y	CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 34090 - (2Y)	
090	Legislative	<b>Video Recordings of Public Meetings</b>  Video recordings of meetings of City advisory and legislative bodies, City Council appointed Committees, and other official public meetings subject to the Brown Act, excluding City Council, Planning Commission, & Park and Recreation Commission	Video Recordings	Communications Video	30D	CA - GOV 54953.5(b) - (30D)	
091	Parks & Recreation	<b>Kitchens at Blackberry Farms, Quinlan, and Senior Center</b>  Records and information associated with operating the kitchen facilities at Blackberry Farms, Quinlan, and the Senior Center.	Food Handler Cards Health Inspections	Parks & Recreation	While Active+2Y	CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 34090 - (2Y) CA - HSC 113725.1 - (MAINT) CA - HSC 113948(f) - (MAINT) CA - HSC 114381(e) - (MAINT)	
092	Parks & Recreation	<b>Recreation Facility Rentals and Reservations</b>  Records and information documenting rental arrangements for the City's parks and recreational facilities.	501 C3 Affirmation Letters 501 C3 Forms Facility Rentals ( <i>use applications - approved and unapproved, permits, reservation books, insurance certificates, event representative, reports, sports field rosters</i> ) Facility Reservations Inspection Reports ( <i>pre-rental, post-rental</i> ) Set-up Charts	Parks & Recreation	While Active+4Y	CA - CCP 337 - (LA4Y) CA - CCP 338 - (LA3Y) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 8546.7 - (CL+3Y) CA - GOV 34090 - (2Y)	

Record No.	Business Process	Record Name and Description	Example Records	Department/Office of Record	Retention	Regulatory Citations	Notes and Comments
093	Parks & Recreation	<b>Recreation Programs and Services - City Programs</b>  Records and information documenting the City's recreational programs and community services, including:  - Aquatics - Golf course - Athletic fields - Blackberry Farm - Community gardens - McClellan Ranch Preserve - Quinlan center - Recreational child care - Senior center - Senior Advisory Council - Sport center - Sports leagues - Stephens Creek corridor facility - Teen center - Youth camps	Applications Art Display Waivers Authorizations to Give Medicine to Minors ( <i>applying sunscreen, Epi Pens, etc. </i> ) Before/After School Care Participant Records ( <i>emergency information cards, behavior write-ups </i> ) Bingo Item Incorporation (Senior Advisory Council) Bingo State Permit Check/Credit Card Refunds ( <i>not sent to Finance </i> ) City-run Sports Team Rosters Drop-in Passes, Guest Passes Financial Assistance Forms Health Insurance Counseling and Advocacy Program (HICAP) Housing Appointment Sign-in Sheets Membership Records Program/Event Evaluations Registrations Forms Senior Adults Legal Assistance (SALA) Sign-in, Sign-out Sheets Volunteer Applications Waivers and Waiver Releases ( <i>classes, programs, trips</i> ) Withdrawal Forms	Parks & Recreation	While Active+3Y	CA - 22 CCR 65523 - (2Y) CA - 22 CCR 101221 - (AC+3Y) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 34090 - (2Y)	
094	Parks & Recreation	<b>Senior Case Management Records</b>  Case management files for services provided to seniors (may include records subject to HIPAA requirements).	Case Files Intake Forms	Parks & Recreation	Closed+7Y	CA - BPC 2919 - (7Y) CA - BPC 4980.49 - (7Y) CA - BPC 4993 - (7Y) CA - CCP 335.1 - (LA2Y) CA - CCP 340.15 - (LA3Y) CA - GOV 945.6(a)(2) - (LA6M; LA2Y) CA - GOV 34090 - (2Y)	