

Records Management

Scope: CITYWIDE

Policy Contact

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Regulatory References

City of Sacramento City Charter §71 City Clerk

California Government Code §34090 (How Long Records are Held-Records Retention)

California Government Code §6250 (California Public Records Act)

Policy Statement

The City Council *shall appoint a city clerk who shall have custody of and shall be responsible for the official seal and records of the city.* The City of Sacramento (City) is committed to effective records management including but not limited to:

- 1) Meeting legal requirements for record retention,
- 2) Managing record holds,
- 3) Protecting privacy,
- 4) Optimizing the use of space,
- 5) Minimizing the cost of record retention,
- 6) Providing open access to public records,
- 7) Releasing open data sets, and
- 8) Disposing of outdated records properly.

I. APPLICABILITY

Records policies apply to all records, whether they are maintained in hard (paper) copy, electronically, or in some other fashion. Each department shall develop, implement, maintain, and adhere to a records management plan appropriate for the particular records it maintains, in cooperation with the Office of the City Clerk.

The City is subject to a range of statutes and rules regarding record retention and disclosure.

2. RESPONSIBILITY

The City Clerk is responsible for the development and implementation of a records management program (RMP) consisting of procedures for the management of records from their creation to their disposition.

The City Clerk is also responsible for the development of the City's retention schedules and for setting best practices for the management of records in accordance with the requirements outlined in applicable law and statutes. The City's RMP requires that the City manage records, in an efficient and economical manner to ensure records are readily available for inspection and duplication as required by the California Public Record Act. This policy and the City's Retention Schedule is reviewed annually and updated as needed.

3. ENFORCEMENT

Failure to follow the Records Management Program may result in excessive costs, litigation, loss of productivity, etc.

4. RETENTION AND MAINTENANCE OF RECORDS

The City requires the maintenance of City records in a consistent and logical manner so that the City:

- Meets legal standards for public examination, protection, storage and retrieval;
- Protects the privacy of citizens, and staff;
- Optimizes the use of space;
- Minimizes the cost of record retention; and
- Disposes of outdated records in accordance with the City's Retention Schedule and applicable statutes.

Departments that maintain City records are responsible for establishing appropriate records management procedures and practices. Each department's administrative manager or a designee must:

- Be familiar with the City's Records Management Policy;
- Develop the department's and/or office's record management procedures and practices, consistent with this policy;
- Educate staff within the department about sound record management practices;
- Coordinate the disposition of records as provided in the City's Retention Schedule;
- Restrict access to confidential records and information appropriately; and
- Ensure staff acknowledges and signs the *Access to Citywide Records Confidentiality Agreement*.

5. STORAGE OF RECORDS

The City of Sacramento is committed to effective records management and appropriate utilization of city resources. Proper storage of records in all stages of a record's lifecycle, regardless of format, aids in the allocation of space and reduces liability and cost to the organization. City records should only be stored on approved devices and in appropriate storage locations. For additional requirements see Document Storage Requirements.

5.1 Electronically

State laws generally preclude the destruction of a public record less than two years old unless the record has been reproduced in some manner, properly stored, and is available for public disclosure to the same extent as the original. Accordingly, the Citywide Content Management System (CCM) shall be the official repository used to retain and store electronic copies of City records. Use of any other system or device to store electronic copies in lieu of an original, must be approved by the City Clerk prior to destruction of the original record. No page of any record shall be destroyed if the page cannot be reproduced electronically with full legibility. Every irreproducible page shall be permanently preserved in a manner that shall afford easy reference for the retention period set forth in the retention schedule. Every reproduction made pursuant to this section shall be deemed to be an original record.

5.2 Offsite

The City will make every effort to avoid storing records in offsite storage facilities. Whenever possible, records will be held in the department responsible for the document (Office of Record) in their original form or in the (CCM).

5.3 Duplicate Records

When a duplicate of an official record exists, it may be destroyed at the discretion of the department director when the original record is on file electronically in CCM or in original format in the Office of Record, without further authorization from the City Clerk or City Attorney.

5.4 Records Disposition

Record disposition applies to all records, regardless of the physical form or location of the record. At the conclusion of a record's retention period, the record shall be disposed of in accordance with this Policy. Unless the document is retained permanently, records shall be destroyed, destroyed securely or transferred to the Center for Sacramento History.

6. RECORDS HOLD

When a City department receives notice of an existing or anticipated lawsuit, that notice shall be immediately communicated to the City Attorney's Office. Upon notice of existing or anticipated litigation or upon request from a Department Director or Charter Officer for investigative or review purpose, the Office of the City Attorney shall initiate a record hold to suspend operation of the applicable record retention schedule. Each department within the City shall have a designated person responsible for conveying this notice and implementing a record hold.

7. RECORDS DESTRUCTION

The records classification and retention periods outlined in the City's Record Retention Schedule constitute legal authority for retention and disposal of official records. No records shall be destroyed until they meet the minimum retention period listed on the currently approved record retention schedule, and destruction is approved by the City Clerk and City Attorney. If the Retention Schedule does not include a particular record series, contact the City Clerk for assistance. Records that are securely destroyed shall either be done under the supervision of a City employee or by an approved agency. The City's records destruction procedures shall be followed.

8. EMAILS

No City employee shall use his or her personal e-mail account(s) to send emails relating to or containing city business. All employees shall have access to city email on their personal devices or accounts. This can

be accomplished by utilizing the Office 365 mobile app or by connecting to the City email server via the native email client on the employee's mobile device.

If an employee inadvertently transmits an email or receives an email that relates to or contains city business outside of the city email server, that employee shall immediately transmit an unaltered copy of the message(s) to his or her city email account as soon as possible.

If a board member or commissioner sends or receives an email message relating to or containing city business, the member shall forward the received message to the city email address for the appropriate board/commission contact. For any responding or outgoing communications, the board/commission member shall include the board/commission contact in the communication by way of copying (using the "cc" feature of email) the contact at their city email address.

All emails shall comply with the City of Sacramento Graphic Standards Policy. Backgrounds should not be used.

All email shall comply with the Information Technology Resource Policy. Email must not be used for or contain any material that may reasonably be considered offensive, disruptive, harassing, discriminatory, defamatory or threatening towards the City, any user, or any third party. Furthermore, users are prohibited from engaging in any internal or external communications that refer to violence, racism, sexism, drugs, illegal conduct, pornography, gambling, betting, or other subjects that would be offensive to a reasonable adult in the work environment. Nothing in this section shall be construed to preclude any use that is objectively reasonably necessary for the performance of an employee's job responsibilities.

9. Text Messages

Employees and appointed board members and commissioners are responsible for retaining all text messages relating to or containing city business, in their native form, for the duration set forth by the City's Retention Schedule. This means that the message may not be altered in any way, and must include all attachments, links, and original metadata.

When a public record request is received by the City, employees and appointed board and commission members who have potentially responsive documents will be contacted by the City Clerk's Office. The

employee, board member, or commissioner is responsible for determining if he or she has public records that are potentially responsive to the request. If the employee, board member, or commissioner does not have any potentially responsive records, the employee shall acknowledge in writing to the City Clerk, that they do not have any responsive messages.

If the employee, board member, or commissioner has public records that are potentially responsive to the request the employee shall either provide the device to the Clerk's Office where all messages will be downloaded and prepared for review or personally utilize the downloading programs provided by Clerk's Office to produce messages responsive to the request.

All text messages relating to or containing city business shall comply with the Information Technology Resource Policy. Text messages must not be used for or contain any material that may reasonably be considered offensive, disruptive, harassing, discriminatory, defamatory or threatening towards the City, any user, or any third party. Furthermore, users are prohibited from engaging in any internal or external communications that refer to violence, racism, sexism, drugs, illegal conduct, pornography, gambling, betting, or other subjects that would be offensive to a reasonable adult in the work environment. Nothing in this section shall be construed to preclude any use that is objectively reasonably necessary for the performance of an employee's job responsibilities.

DEFINITIONS

California Public Records Act (CPRA)

The California Public Records Act (California Government Code Section 6250 et seq) provides for public access to governmental records, upon request, unless there is a legal basis not to disclose the records.

Citywide Content Management System (CCM)

The digital repository for City records.

Center for Sacramento History

The Center is the official repository for the archival, or non-current records of the City and County of Sacramento. The preservation of these public documents is often required by state and federal law. The Center also maintains privately donated manuscripts and personal papers from individuals, businesses, and organizations in the community.

Custodian

A person responsible for something valuable: somebody responsible for holding or looking after valuable property on behalf of an organization or another person.

Cloud Computing

The practice of storing regularly used computer data on multiple servers that can be accessed through the Internet is an example of cloud computing.



Destroy

Destroy means the paper copy may be disposed of by recycling or placing in a trash bin. Electronic copies may be deleted and then written over at a later date.

Destroy Securely

To protect their security and confidentiality, some records may be shredded, erased or otherwise modified to make the records unreadable or by otherwise modifying the protected information to make it unreadable or undecipherable through any means.

Discovery

Part of the pre-trial litigation process during which each party requests relevant information and documents from the other side in an attempt to "discover" pertinent facts. Generally, discovery devices include depositions, interrogatories, requests for admissions, document production requests and requests for inspection.

Freedom of Information Act (FOIA)

The Freedom of Information Act (FOIA), 5 U.S.C. § 552, is a federal freedom of information law that allows for the full or partial disclosure of previously unreleased information and documents controlled by the United States government. The Act defines agency records subject to disclosure, outlines mandatory disclosure procedures and grants nine exemptions to the statute.

City records disclosures are managed under the California Public Records Act (CPRA) which mandates the rules regarding the disclosure of California public records.

Metadata

Metadata is data about data. It is data that serves to provide context or additional information about other data. For example, information about the title, subject, author, typeface, enhancements, and size of the data file of a document constitute metadata about that document. It may also describe the conditions under which the data stored in a database was acquired, its accuracy, date, time, method of compilation and processing, etc.

Newsletter/Subscription

A newsletter is a regularly distributed publication either printed or digitally received that is generally about one main topic of interest to its subscribers.

Offsite Storage

Physically remote facility or site equipped to provide protected storage for magnetic/optical media, microfilm, and paper records.

Open Data

Open data is data that is made available by organizations, businesses and individuals for anyone to access, use

and share.

Record

A “record” is any writing made by an employee or official which is necessary or convenient to the discharge of the employee’s or official’s duty and which is created for the purpose of preserving the information for future reference.

Record Hold

A record hold to suspend operation of the applicable record retention schedule is initiated when the City receives notice of existing or anticipated litigation in the form of a lawsuit, governmental claim, administrative claim, preservation of evidence letter, demand letter or other correspondence or source. The notice may be received by various City departments including, but not limited to, the Clerk’s Office (for governmental claims); Human Resources (administrative claims); or the City Attorney’s Office (lawsuits filed against or by the City, preservation or demand letters or other correspondence).

Record Lifecycle

The active period, inactive period, and final disposition period are three commonly used lifecycle terms. The active period will vary according to the record, but is generally characterized as a record that is used or referred to frequently during the course of business and should be readily accessible. The inactive period is when the record’s regular use declines or ends; however, the record is still required to be held. The final disposition is generally the end of the record’s life and a final decision is made about the record. This can include the scanning of a record for electronic storage, destruction of the record, or transfer to The Center for Sacramento History.

Redaction

The process of removing the sensitive or protected information in a document is called redaction.

Responsible

- Answerable to somebody; -accountable to somebody for an action or for the successful carrying out of a duty.
- Being to blame for something; being the cause of something, usually something wrong or disapproved.
- Important; conferring the authority to make decisions independently and requiring conscientiousness and trustworthiness.

Retention Schedule

A set of guidelines that an organization follows to determine how long it should keep certain records, including e-mail and web pages. The policy is important for many reasons, including legal requirements that apply to some documents.

SPAM

Spam is e-mail that is not wanted, consists of mostly advertising and is often sent to large numbers of people.

Subpoena

A subpoena is a writ issued by a government agency, most often a court, to compel testimony by a witness or production of evidence under a penalty for failure.

Transitory Communication

Communications that are temporary or of a brief duration that do not contain decisions or actions pertaining to official City business.

Writing

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

INITIAL TRANSFER OF RECORDS TO OFFSITE RECORD STORAGE FACILITY

When Department Record Coordinators identify records for transfer to an offsite record facility they advise the Office of the City Clerk, following the steps below. The Clerk's Office reviews the request and responds to the Department Records Coordinator and Department Director with a cost estimate to store the record in an offsite facility for the remainder of the records life according to the retention schedule and a cost estimate to convert the record to digital format for storage in CCM.

Step	Responsibility	Action
1.	Department Staff and/or Department Record Coordinator	Identifies records that are not in CCM and cannot be stored onsite.
2.	Department Record Coordinator	Completes Authorization to Transfer Records form to Offsite Storage Facility, and forward to clerk electronically.
3.	City Clerk	<p>The City Clerk reviews the request and determines the records lifecycle/remaining required retention.</p> <ul style="list-style-type: none"> • If the record has not exceeded its lifecycle the Clerk prepares an estimate of the cost to store offsite and store electronically, and forwards back to the Department's Record Coordinator. • If the record's lifecycle has expired the Clerk shall deny the request for transfer and instead will instruct the department to destroy the record.
4.	Department Director	The Department Director shall review both cost estimates and advise the City Clerk how to proceed with record storage (offsite or electronic).
5.	City Clerk	<ul style="list-style-type: none"> • If the Director advises that the records be transferred to a digital format, the Clerk will arrange for the records to be transferred to the Office of the Clerk and oversee the preparation, scanning, and quality control review of electronic records and transfer into CCM. <ul style="list-style-type: none"> ♦ The Clerk shall also then dispose of the original paper records as appropriate. ♦ If appropriate and resources are available the Clerk will prepare and make the records available in the Online Records Library. • If the Director advises that the records be transferred to an offsite storage facility, the Clerk will: <ul style="list-style-type: none"> ♦ Coordinate with the Department's Record Coordinator to prepare and stage the record for pick up by the City's Offsite Record Storage

		Vendor <ul style="list-style-type: none"> Update the Offsite Records Storage Log indicating the date the records are eligible for disposition.
6.	City Clerk	City Clerk will update the location of these records on the Record Retention Schedule.

REQUEST FOR RECORD RETRIEVAL FROM OFFSITE STORAGE

Department staff who need to remove a record from an offsite storage facility shall make the request electronically to the City Clerk. Whenever possible the Clerk will provide the record to the requesting staff electronically. If the record is too large, fragile, or the original is required the Clerk will coordinate the delivery of the original copy to the department.

Step	Responsibility	Action
1.	Department Staff and/or Department Record Coordinator	Identifies a record that is needed for the course of business that is housed in offsite storage.
2.	Department Record Coordinator	Coordinator sends an email request to records@cityofsacramento.org that includes the following information: <ul style="list-style-type: none"> Name of Record Date (or date range) of Record. Any case, file, job, or project number and the number of the offsite storage box (if known) Any other information that will identify the record.
3.	City Clerk	Will review request and contact the offsite storage and coordinate the delivery of the record. The Clerk will request records every Monday and Wednesday for delivery to departments before close of business on Tuesdays and Thursdays.
4.	Department Record Coordinator	If the request is a rush or emergent the request must be authorized by the Department Director due to the significantly increased costs of these types of deliveries.
5.	City Clerk	Updates and manages the Offsite Records Log
6.	City Clerk	When the record is received: the Clerk will transfer the record to digital format and forward to the requestor whenever possible, or If the record cannot be converted to electronic format the City Clerk shall coordinate delivery of the original to the department.

7.	Department Record Coordinator	If a paper record is delivered, the Coordinator will receive the record and if necessary forward or deliver to the requesting staff.
8.	City Clerk	The Clerk will review the Offsite Storage Log monthly, and if hard copy records are at the department for more than 15 days contact the Department Coordinator and request record return.
9.	Department Coordinator	Will receive and handle Clerk requests for record return.
10.	City Clerk	Clerk will evaluate each requested record and determine if record is eligible for disposition and/or entry into CCM.

DISPOSITION OF OFFSITE RECORDS

The City Clerk maintains a log of the City's Offsite Records that includes:

- ♦ Record name;
- ♦ Series number;
- ♦ Name of offsite vendor;
- ♦ Date/date range of records;
- ♦ Any other record identification (such as case, job, or project number), and
- ♦ Date record is eligible for disposition.

Additionally, the City Clerk monitors and tracks the removal and return of any record stored at an Offsite facility. The Clerk reviews the log annually to determine if any records are eligible for disposition. When a record is eligible for destruction the following steps are followed.

Step	Responsibility	Action
1.	City Clerk	Annually reviews the Offsite Record Storage Log, and identify records that are eligible for destruction.
2.	City Clerk	Prepares the appropriate disposition forms for eligible records and forward to the department record coordinator.
3.	Department Record Coordinator and Department Director	Reviews the request and forwards to the department director for approval. Once department director approval is secured the coordinator returns the signed disposition forms to the Clerk.
4.	City Clerk	Completes the disposition process as outlined in Policy.

The proper dispositioning of records protects vital and historic records and ensures compliance with regulatory retention requirements. Proper record retention also improves the City's efficiency and management of record maintenance, retrieval, and storage.

AUTHORIZATION TO DISPOSE OF RECORDS AFTER IMAGING

CCM Storage Medium

The City recognizes the CCM as the official electronic repository of the City. This system complies with requirements regarding electronic record storage as set forth in section 34090.5 of the California State Government Code. Records that are stored or transferred to CCM are eligible for destruction 30 days after entry into CCM with no further approval required provided the following criteria is met.

Step	Responsibility	Action
1.	Department Staff and/or Department Record Coordinator	Identifies records that are imaged and stored in a medium other than CCM and also stored in CCM.
2.	Department Record Coordinator	Confirms that quality control process is completed on designated records and that 30 days has elapsed from entry into CCM.
3.	Department Record Coordinator	Destroys records as outlined in the City's record retention Schedule

Storage Medium Other than CCM

Obtain authorization prior to the destruction of an imaged record, when the image is being stored in any repository, hard drive, network server, or other storage medium other than CCM.

Step	Responsibility	Action
1.	Department Staff and/or Department Record Coordinator	Identifies records that are imaged and stored in an electronic medium other than CCM.
2.	Department Record Coordinator	Prepares records for destruction by inventorying records on either <i>Employee Records Worksheet</i> or <i>Non-Employee Records Worksheet</i> . (whichever is appropriate)
3.	Department Record Coordinator	<ul style="list-style-type: none"> • Prepares <i>Disposition after Imaging Authorization form</i> • Attaches the populated record inventory worksheet • Gathers appropriate department level approval (electronic signatures) • Electronically forwards the request to the City Clerk.
4.	City Clerk	<ul style="list-style-type: none"> • Reviews, updates and authorizes or denies the request

		for record destruction, <ul style="list-style-type: none"> Records the request in record tracking system, and Forwards request to the Office of the City Attorney for review and authorization.
5.	City Attorney	<ul style="list-style-type: none"> Reviews, updates and authorizes or denies the request for record destruction, and Returns the request to the City Clerk.
6.	City Clerk	Advises the department of authorization status. <ul style="list-style-type: none"> Approval: gives authorization to department record coordinator to initiate record destruction. Declined/Partial Destruction Approval: provides department staff direction on how to proceed.
7.	Department Record Coordinator	<ul style="list-style-type: none"> Approval: Coordinates the destruction of records in the manner specified on the City's Record Retention Schedule. Declined/Partial Approval: Follows direction of the City Clerk relevant to declined records.
8.	Department Record Coordinator	<ul style="list-style-type: none"> Completes Authorization to Destroy Records form with destruction information. Electronically signs and returns completed form to the City Clerk
9.	City Clerk	Upload the completed form <i>Authorization to Destroy Records form</i> and any supporting documentation into CCM for permanent retention.

AUTHORIZATION TO TRANSFER RECORDS TO THE CENTER FOR SACRAMENTO HISTORY

The Center was recognized by the City and County of Sacramento in 1976 as their official repository for historical records. Records of historic or intrinsic value shall be transferred to The Center for safe keeping and preservation.

The retention schedule typically identifies records eligible for transfer to The Center although it is difficult to foresee today what records may in the future be of historical value. When a record is being evaluated for final disposition, City staff may contact The Center to determine the Center's interest in taking possession of the record. The Center will evaluate all records transfer recommendations even if the retention schedule

identifies that they are eligible.

Step	Responsibility	Action
1.	Department Record Coordinator	Identifies department records that are eligible for transfer to The Center using the City's Retention Schedule.
2.	Department Record Coordinator	<p>Prepares records for transfer:</p> <ul style="list-style-type: none"> • Inventories records on either <i>Employee Records Worksheet</i> or <i>Non-Employee Records Worksheet</i> (whichever is appropriate); • Boxes and clearly labels the boxes with the date of records and record series name; • Prepares <i>Transfer Records to Center form</i> and attaches <i>completed record worksheet</i> (inventory) form; • Gathers appropriate department level approval electronic signatures electronically; • Forwards the request to the City Clerk.
3.	City Clerk	<ul style="list-style-type: none"> • Reviews, updates and authorizes; or • Denies the request for record disposition; • Forwards to the Center for review and authorization.
4.	Center for Sacramento History	<p>Reviews request for transfer form and either:</p> <ul style="list-style-type: none"> • Approves the request in full; or • Approves a partial transfer; • Declines transfer of records • Returns completed transfer request to the City Clerk
5.	City Clerk	<p>Approved transfer:</p> <ul style="list-style-type: none"> • Advises the department; • Authorizes coordination of physical transfer of the records to The Center. <p>Declined transfer:</p> <ul style="list-style-type: none"> • Advises department of disposition options for the records.
6.	Department Record Coordinator	<p>Approval or Partial Approval:</p> <ul style="list-style-type: none"> • Coordinates the physical transfer of records to The Center <p>Declined Transfer:</p> <ul style="list-style-type: none"> • Reviews disposition options for the records with the City Clerk; • Electronically return completed <i>Disposition Records After Imaging form</i> to the City Clerk.

AUTHORIZATION TO DESTROY RECORDS

Records that are no longer required to be retained by the City retention schedule may be destroyed. Destroying a record includes destruction of all copies of the record in all formats in which it may exist. Records should either be destroyed or destroyed securely as specified in the retention schedule.

Records that are destroyed securely must either be shredded by a city employee with another city employee present as witness or destroyed by a third party specializing in secure destruction.

Step	Responsibility	Action
1.	Department Staff and/or Department Record Coordinator	Identifies records that are past their retention period. (If staff is other than Department Record Coordinator, staff shall advise Department Record Coordinator who initiates destruction request.)
2.	Department Record Coordinator	Prepares records for destruction by inventorying records on either Employee Records Worksheet or Non-Employee Records Worksheet. (whichever is appropriate)
3.	Department Record Coordinator	<ul style="list-style-type: none"> Prepares <i>Authorization to Destroy form</i> Attaches the populated record inventory worksheet; Gathers appropriate department level approval (electronic signatures); Electronically forwards the request to the City Clerk.
4.	City Clerk	<ul style="list-style-type: none"> Reviews, updates and authorizes or denies the request for record destruction; Records the request in record tracking system; and Forwards request to the Office of the City.
5.	City Attorney	<ul style="list-style-type: none"> Reviews, updates and authorizes or denies the request.
6.	City Clerk	<p>Advises the department of authorization status.</p> <ul style="list-style-type: none"> Approval: gives authorization to department record coordinator to initiate record destruction. Declined/Partial Destruction Approval: provides instructions on retention or partial destruction.
7.	Department Record Coordinator	<ul style="list-style-type: none"> Approval: Coordinates the destruction of records in the manner specified on the City's Record Retention Schedule. Declined/Partial Approval: Follows direction of the City Clerk relevant to declined records.
8.	Department Record Coordinator	<ul style="list-style-type: none"> Complete Authorization to Destroy Records form

ANN		with destruction certificate; <ul style="list-style-type: none"> • Electronically sign; and • Return completed form to the City Clerk.
	9. City Clerk	Upload the completed Authorization to Destroy Records form and any supporting documentation into CCM for permanent retention.

ANNUAL AUTHORIZATION TO DESTROY RECORDS


Certain records based on their volume, storage, and content may be eligible for an annual destruction approval that permits records within that series to be destroyed throughout the year. This is especially true for systematic records such as logs, reports, and emails.

Step	Responsibility	Action
1.	Department Record Coordinator	Identifies records that may be eligible for an annual blanket destruction authorization and notifies City Clerk.
2.	City Clerk	<ul style="list-style-type: none"> • Identifies/confirms records that may be eligible for an annual blanket destruction authorization; • Completes Annual Justification and Certification form; • Forwards to Department Record Coordinators.
3.	Department Record Coordinators	<ul style="list-style-type: none"> • Forwards Annual Justification and Certification form to their Department Head for review and electronic signature; • Returns completed form to the City Clerk.
4.	City Clerk	<ul style="list-style-type: none"> • Reviews, updates and authorizes; • Forwards request to the Office of the City Attorney for review and authorization.
5.	City Attorney	<ul style="list-style-type: none"> • Reviews, updates and authorizes or denies the request for record destruction; and • Returns the request to the City Clerk.
6.	City Clerk	Advises the department of authorization status. <ul style="list-style-type: none"> • Approval: gives authorization to initiate record destruction. • Declined/Partial Destruction Approval: provides direction on how to proceed.

System	Lifecycle	Retention Standard
CCM/CARA	Active/Inactive	+ 5 Years
CARA/CCM is recommended for records that are accessed by City staff throughout multiple departments and/or by the public as well as records with long retention periods.		
Network Folders	Active/Inactive	- 5 Years
Network folders are recommended for files that are extremely large and may be difficult to work with in an alternate storage location as well as records that require departmental sharing but where collaboration and versioning are not needed.		
OneDrive	Active	- 5 Years
OneDrive is recommended for documents where minimal sharing and collaboration is required.		
SharePoint	Active	- 2 Years
SharePoint is recommended for collaboration and frequent internal and external document sharing.		
Software/Database	Active/Inactive	- 5 Years
Case management software, workflow systems, and databases should not be used for long term storage of records. These records should be migrated into or integrated with CARA/CCM to ensure adequate preservation of the records.		
Internet/Intranet	Duplicates	N/A
The Internet and Intranet should only contain duplicate copies of City records, and links to the official copy shall be provided wherever possible.		
Email	Active	- 2 Years
Emails are stored in the City email system for 2 years. All email records requiring longer retention shall be moved to an alternate location and stored based on their content and the associated retention period.		
Text Messages	Active	-2 Years
Text messages relating to or containing city business shall be stored in their unaltered state based on their content and the associated retention period but for no less than 2 years. For assistance migrating and preserving text messages located on a personal device, please contact the Office of the City Clerk.		
Local Machine	Active	N/A
Only drafts, duplicates and transitory documents shall be stored on a desktop or C: Drive.		
External Media	Active	N/A
Only drafts, duplicates and transitory documents shall be stored on an external media device such as a flash drive, CD, DVD, or external hard drive.		
Onsite Physical Storage	Active	- 5 Years
Physical records that are cost prohibitive to digitize due to limited need for access, a short retention period, or media type may be stored onsite.		
Offsite Storage	Inactive	+ 5 Years
Physical records that are cost prohibitive to digitize due to limited need for access or media type may be stored offsite.		
City Archives	Inactive	Permanent
Records with historical value included the original version of records that have been digitalized, shall be sent to the Sacramento Center for History.		


Charter Officer Review and Acknowledgement Signing Authority Policy

City Manager

e-Signed by Howard Chan
on 2018-02-13 21:35:14 GMT


Interim City Manager February 13, 2018

City Attorney

e-Signed by Brett Witter
on 2018-01-23 22:08:21 GMT


Supervising Deputy City Attorney January 23, 2018

City Clerk

e-Signed by Mindy Cuppy
on 2018-02-13 21:39:16 GMT

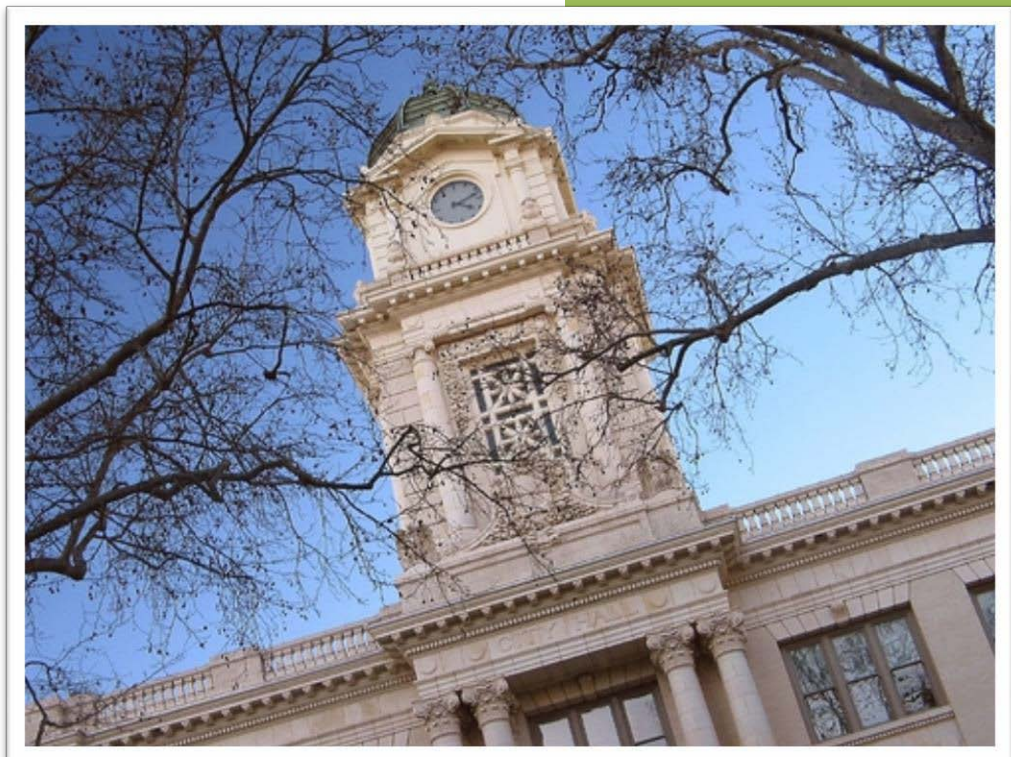
City Clerk February 13, 2018

City Treasurer

e-Signed by John Colville
on 2018-02-13 21:36:18 GMT

City Treasurer February 13, 2018

Records Management Manual



City of
SACRAMENTO
Office of the City Clerk

08/22/2017

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Introduction

Records should be easily accessible, aid staff in completing their work, and not be cumbersome. They should not be an impediment to work, but instead facilitate the efficient operation of the city. A sound records management system provides many benefits to the staff that use it and the public who have a right to examine the City's records. This manual is designed to assist city staff and department level record coordinators in the management of the City's records, and to ensure the preservation of records that document the history of the City.

In addition to the City's own established policies on records management, the City is obligated to ensure that it complies with state and federal mandates regarding record retention.

In 1968, the California State Legislature passed the California Public Records Act (CPRA, Government Code [§6250et seq.](#)) which was modeled after the federal Freedom of Information Act and details what government information is available to the public. In general, most records created and held by the City are subject to examination by the public with the exception of 28 specific exemption categories. These exemptions are discussed in further detail in this manual and are described in California Government Code [§6254](#).

In California, the Secretary of State is charged with establishing a Local Government Records Program ([CA GC§12236](#)). The program was established, with the assistance of the City Clerk Association of California, in 1999 and is overseen by the State Archives.

Locally, the Sacramento City Council and the City Clerk provide direction and adopt policies regarding the production, maintenance, preservation, and disposition of records. This is mainly accomplished by adherence to the City's Record Retention Schedule. The City's Retention Schedule is maintained and updated as necessary by the City Clerk. ([SCCR2007-0276](#)).

Scope, Modifications and Additions of This Manual

This manual is intended to be a reference guide for City staff whose job includes the management of City records. It is intended to be used as part of the Records Management Policy. Staff with questions after reviewing the records management policy and procedures should contact the City Clerk for additional assistance. Because records reflect activities that are constantly changing, the retention requirements for records frequently require revision as well. Consequently, this manual and the records retention schedule often need modification in order to be effective. There may be some retention periods and disposition requirements that may change between major reviews of the schedule. The Office of the City Clerk welcomes all comments and suggestions concerned with improvement of the record retention schedule through modifications.

Acknowledgments

Many people assisted with the creation and design of this manual, we appreciate their time, input and expertise. The Office of The City Clerk would like to extend special thanks to the office of Robin Carnahan, Missouri Secretary of State, for their assistance reformatting the City of Sacramento Retention Schedule.

Contact Us

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Email: records@cityofsacramento.org

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Chapter 1 - Establishing a Records Management System

Records management is more than retention, storage, and disposition of records; it entails all record-keeping practices that allow an organization to maintain control over information flow. Complete records management systems manage records throughout their lifecycle, from their creation through active use, inactive storage, and final disposition. Records retained beyond their value “just in case” only extend the agency’s legal liability in the event of adverselitigation.

Objectives of a Records Management System:

- Develop policies and procedures for records management;
- Conduct a survey or inventory of records in all formats;
- Use technology to create, store, and retrieve records;
- Destroy records at the end of their retention period and document destruction;
- Store inactive records in a cost-effective and secure location;
- Identify and preserve vital records;
- Identify and preserve permanent records;
- Develop a disaster preparedness plan to protect and recover records;
- Implement filing and indexing systems.

Benefits of a Strong Records Management Program:

- Space savings;
- Reduced expenses for filing equipment;
- Increased efficiency of information retrieval;
- Compliance with records retention requirements;
- Identification and protection of vital records;
- Control over creation of new records;
- Identification of historical records.

Designating a Records Coordinator

Each department should identify a person who serves at the department’s primary Records Coordinator. This person should coordinate the department’s record program, coordinate the disposition of department records, oversee public record requests made to the department, and serve as a liaison between the City’s Record Manager and the department. This position does not have to be a formal designated position whose sole responsibility is records oversight. Often this person is a manager or Supervisor in an administrative unit to whom the Department Director can delegate decision making authority over the department’s records. However, depending on the complexity or volume of a department’s records, the Department Director may choose to hire a Records Coordinator.

Record Inventories

Record management systems must identify existing records. Agencies need to know what records they have, where they are kept, the volume of records, and how they are used. Inventories are not a list of every single page or document. Instead an inventory is done at the record series level and should include:

- Record series – this should match the City’s Record Retention Schedule. During an inventory, a new record series might be identified and need to be added to the retention schedule.
- What format(s) the record is kept in – it is important to note if the record is in multiple places and/or formats. For example, is the record kept in hard copy in the file room and kept electronically on a computer drive. Ultimately records should not be held in more than one location. During an inventory, it is important to note where all records are so as to identify duplications.
- The date range of the records – it is important to be as specific as possible, making sure to include any gaps in the record series.
- Level of Use – is the record frequently in use, inactive storage, or at/near final disposition.
- Volume of collection – approximate the size of the record collection. Are there 12 boxes of records, 9 file cabinets, etc.

Record inventories, when well planned; need not take weeks of staff time to conduct. The City’s Record Manager is available to assist staff with conducting record inventories and creating a record management system. We recommend that the inventory begin with active records and those that are unique to the function of the department. Include all records in the inventory regardless of format or storage location. Once these series are identified it should be described in such a way so that a person who has no knowledge of the department or city can easily understand what is contained in the series.

[See Record Inventory Worksheet](#)

Chapter 2 - Filing & Storage Practices

When discussing filing or records, generally thoughts turn to paper filing systems; however, in the City of Sacramento, filing and retention practices are applicable to both electronic and paper records. All of the principles applicable to the paper filing system are also important to an electronic filing system and should be applied the same way. Departments should create filing systems that are simple, easily accessible by all staff, used department wide, and closely monitor items filed to ensure timely disposition.

There are several different ways to establish a filing system: alphabetical, numerical, alphanumeric, or series driven. There are pros and cons to each type of filing systems and one solution has not been set, nor is appropriate, for citywide implementation. Regardless of what type of filing system a department uses, records must be kept in accordance to the City’s Record Retention Schedule. Contact the City’s Record Manager for assistance developing a filing system.

Choosing Files to Maintain

Maintaining filing systems can be very costly; particularly paper filing systems as they require the purchase of filing supplies, space, and staff time to establish, manage, and retrieve/file materials. Record coordinators should consider these issues when determining which records to maintain. Coordinators should consider the following:

- Is this record listed on the City’s Record Retention Schedule? All records maintained at the department level should be listed on the citywide or department specific portion of the record retention schedule.
- Does this record exist electronically? Records that exist electronically should not be printed for the sole purpose of maintaining a paper copy.
- Is my department the office of record? If another department is responsible for maintaining a

record a department may choose to keep it for a short time in a working file but there is no need to maintain duplicate files. For example, the Office of the City Clerk is the office of record for city council staff reports, resolutions, and ordinances. Departments do not need to keep these records in paper or electronic files as the records are easily accessible through CCM.

Selecting Storage Areas

When deciding where files are going to be located, several things should be considered:

- Is the file area easily accessible by record staff, centrally located to the workgroup that will be using the files?
- Is the room appropriate for records (i.e., space for the cabinets to be opened and closed with ease, climate-controlled, well-lit and free of critters)?
- Can the room be secured to permit the storage of sensitive or confidential records? Can the access be restricted to prevent unauthorized removal and orderly return of files?

Only shelving designed for file storage should be used. Paper is very heavy and files can add up quickly. Shelving and cabinets should be anchored to prevent toppling or collapse. Select shelving that can hold a total of 50 pounds per square foot. The shelves should be spaced so that record storage boxes can be easily placed and removed.

It is not ideal to store frequently accessed records in storage boxes. Reserve the use of storage boxes for records at or nearing the end of their active period or that are going into long term storage. Boxes should be uniform. We recommend use of boxes 15"X10"X12". Boxes that are larger are more difficult to manage and move. Odd or multiple sized boxes do not stack well, and can cause a dangerous collapse or damage records.

Boxes should be filled but not packed so tightly that records cannot be easily removed or inserted into the box. When storing records in boxes, record coordinators should be sure to leave room for any records that might need to be inserted into the box at a later date. Do not stack boxes directly on the floor, instead elevate them on shelves in case of flooding. Boxes should be clearly labeled with the contents and disposition information on the outside of the box, on both short ends so that it is always showing.

[See Appendix C for box label suggestions](#)

Naming Conventions

When creating a naming convention system, the Record Coordinator should consider utilizing commonly understood words and terms for file naming, refraining from using abbreviations or jargon. The naming convention established for a paper filing system should be designed so that it can be used in an electronic filing environment and vice versa. There should be no more than five components/keywords/metadata sections to a file name. Traditionally two of these items are the record category and date. Dates should always consist of a four-digit year; the recommended date format is MMDDYYYY. When departments issue project numbers, permit numbers, or something similar where the year is used, the year should be a four-digit date. For example, a police report should be 2011-0001, not 11-0001. We recommend that departments use categories established in the Record Retention Schedule, but they may choose to develop their own category list. For example, departments filing grant records might choose the following convention.

Grant Name / Date Grant Issued

COPPSGrant_12012010

However, a file name may be more extensive. For example, a file regarding a building permit may contain the date issued, the permit number, and the location of the permit.

Permit Number / Date Issued / Location

COM2010-0001_12012010_1234MainSt

Note in this example that a four-digit year is used but the word street is abbreviated. Generally, all words should be spelled out, as different people will abbreviate the same words differently; however, see [Appendix B](#) for additional naming convention standards and approved city abbreviations. Consult the Records Manager for assistance as there are some universal records management abbreviations.

File System Index

When a filing system is established, the department should index what records are filed and where they are filed. File location information is contained on the City's Record Retention Schedule. The index can be as high level as listing the category of the record and the address of the files location, or as specific as listing the room, file cabinet, and drawer where the file is kept. This index should be updated as records are added or removed from the system and reviewed annually.

File Tracking

It is important to track files as they temporarily leave the filing cabinet, room, or are recalled from off-site storage. A sign out card should be used and inserted into the location where the file was removed. A sign out card will show the date of the removal and who has the file. This will maintain the integrity of the system and aid in the retrieval of the record should it be needed while it was checked out.

Audits

Regardless of what filing system is selected by the department, regular record audits must be conducted. This will alert the record coordinator of the need to add a record series to the retention schedule as well as purge records at the end of their life cycle.

Disposition

In a paper filing system, the Record Coordinator should note the date that the record is eligible for disposition on the outside of the folder along with the record series number from the retention schedule. If the folder contains records that will have different disposition dates, note that on the exterior of the folder. This will alert the Record Coordinator that the folder will need to be reviewed periodically for disposable items. For electronic records in CCM, this date is automatically assigned when the record is entered in the system. If the department is using an electronic system other than CCM, this information should be added to the file title or in the metadata/properties of the file.

It is important to remember that just because a record exists, it is not required, to live in perpetuity. Filing systems need to be annually reviewed and records disposed of in accordance with the records retention schedule. Permission must be requested prior to the disposition of records, and the approval paperwork will then serve as the record of what occurred.

Chapter 3 - Electronic Files

The City uses Citywide Content Management (CCM) as the official electronic repository to store both permanent and provisional documents. All electronic records are subject to the retention schedule and

shall be disposed of in accordance with the retention schedule.

Electronic File Storage

While in the previous chapter it was noted that the guiding principles of file management are the same for paper files as they are for electronic files, some differences still remain. While electronic files should be treated the same way as paper files when considering naming conventions, accessibility, retention and disposition; electronic files can be assigned additional information known as metadata.

According to the [National Information Standard Organization](#), “Metadata is structured information that describes, explains, locates, or otherwise makes it easier to retrieve, use, or manage an information resource.” The City uses sets of clear metadata to categorize records stored in CCM. This is called descriptive metadata used for identification through preset fields.

Strong metadata sets are constructed from universally understood vocabularies. No more than five fields of metadata should be required for a record category. It is important to identify the most likely material that would assist a person searching for a record. The metadata requirements should not be so extensive that it is difficult to maintain.

File Formats

When selecting the format that will be used for document storage there are **two** main considerations:

1. What electronic format is permitted for archival storage or records by the California Secretary of State?
2. What format is universally accepted for use by staff and the public?

When selecting from the file formats permitted by the Secretary of State, it is important to consider the accessibility of the format: is it something that is commonly understood? Most importantly, is the format that has been selected something that has had market longevity and proven migration examples?

Electronic records can become obsolete if the format they are stored in cannot migrate to new versions of software. CCM allows storage of many different formats including files originating in Microsoft Office, Portable Document Format and Format/A (PDF and PDF/A), eXtensible Markup Language (XML), and Rich Text Format (RTF), as well as video and audio files.

Storage

There are a variety of ways to store electronic files and media:

- CD/DVD or other removable drive;
- On a local computer;
- On the City network via a network drive folder;
- CCM.

Storage on CD/DVD, removable drives, and/or a local staff computer is inadvisable. Records stored on these mediums are vulnerable and often impossible to restore if lost, stolen, or damaged. File storage on the City’s Network via a network drive provides more security and is backed up for disaster recovery, but still is not the optimal storage place. Network drives usually have specific or limited access, thereby preventing easy access to City Records. Additionally, records stored on network drives are rarely purged

and are not automatically retained. Ideally, all of the City's electronic records would be stored in CCM. CCM provides security and redundancy as well as tracking retention requirements for the items stored in it.

Email

All correspondence with external parties shall contain an official signature that includes name, title, department, address, phone number with area code, and the City's email correspondence disclaimer.

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E-mail correspondence with the City of Sacramento (and attachments, if any) may be subject to the California Public Records Act, and as such may therefore be subject to public disclosure unless otherwise exempt under the Act.

Subject lines should be clear, concise and twenty-five (25) words or less. When the content of the message chain changes the subject line should also be modified to reflect new content. Clear and concise subject lines aide in search, determination of retention periods, litigation hold, and efficient and appropriate response to public records act requests.

When crafting emails use professional business writing containing complete thoughts. Consider sending separate emails instead of mixing issues to ensure information noted in the subject is accurate. Emails shall not contain graphics, images, or language inappropriate for the workplace. Always assume the recipient will forward the email message.

Chapter 4 - Identifying Records

The simplest way to identify if material is a record is to consult the City's Retention Schedule. If the material in question is identified on the schedule, records coordinators are obligated to maintain the record in accordance with the schedule. One of the most challenging aspects of records management can be determining if a document is a record when it is not identified on the schedule. In these situations, Records Coordinators should conduct the records test on the following page to assist them in making an initial finding regarding the record's status. If it is still unclear if the material is a record or if it is clear that the material is a record, but is not included on the schedule, the coordinator should contact the City's Record Manager for additional assistance.

What is a Record?

Some records, because of their enduring administrative, fiscal, legal or historical value, should be permanently retained. These records require that special care be given to their storage conditions. Examples of permanent records include year-end reports; meeting minutes from Brown Act governed bodies; resolutions, and ordinances. In many cases the City of Sacramento will transfer these historically valuable records to The Center of Sacramento History for safe keeping after their active use period has passed. Most records do not have value that warrant their permanent preservation. Those records with short-term value should, upon reaching the end of the retention period, be destroyed.

Records are any writing or recording that contains information related to the conduct of the public's business prepared, owned, used, or retained by the City regardless of physical form or characteristics. "Regardless of physical form" means that video, audio file and data in a computer system used to conduct business are also records.

Non-Records

Even though records include a broad spectrum of recorded information, not all information held by the City is a record. Examples of non-records include the following materials:

- Identical copies of documents maintained in the same file;
- Blank forms;
- Extra copies of widely dispersed or processed materials;
- Superseded manuals and other directives (maintained outside the office of record);
- Materials received from other agencies, people, or businesses that require no action;
- Catalogs, trade journals and other publications or papers received from government agencies, commercial firms or private institutions that require no action and are not part of an action case record.

Non-records do not require retention scheduling or destruction authorization. To control excessive accumulation, it is necessary to keep only current, useful materials and to destroy non-records immediately after needs have been satisfied. Staff should take care not to file non-record material with records.

What is a Record?

1. Was material mandated by statute or regulation?
2. Does the material support a financial or legal claim/obligation?
3. Is the material required to operate a City program or provide program support?
4. Was the material created or received during the conduct of City business?
5. Does the material document or facilitate:
 - a. The City's actions
 - b. Formulation of policies & decisions
 - c. City's directives
 - d. Board, committee meeting notes
6. Does the material protect government and individual rights and interests?
7. Was the material filed, stored, or otherwise systematically maintained by the City?
8. Is the material appropriate for either permanent or temporary preservation by the City?
9. Does the material have administrative fiscal or legal value?

If you answered yes to any of the questions the material is most likely an official record. This could include but is not limited to:

- Decision Papers;
- Correspondence;
- Video or Audio Files;
- Data Bases, and Data Storage Files;
- Reports;
- Publications.

If you answered no to the questions the material is most likely a non-record. This could include but is not limited to:

- Materials that do not contribute to an understanding of the City's operations or decision-making processes;
- Materials that have no substantial programmatic value;
- Extra copies of official records that are retained elsewhere.
- Transitory communications that do not contain decisions or actions pertaining to official City business.

Chapter 5 - Access, Privacy and Freedom of Information

The City supports the public's **right** to access the majority of the records maintained by the City. The City Clerk shall accept, review, and respond to all public record requests received, regardless of how they were submitted, by whom they are received from or the reason the request was submitted in accordance with the California Public Record Request Act. (CPRA, [California Government Code §6250](#)) The City Clerk will assist in identifying responsive records by, where appropriate, describing the City's records, location of records, and providing suggestions in order to avoid obstacles to records. Staff other than the City Clerk receiving PRAs shall immediately forward the request to the Office of the City Clerk in accordance with City's Public Record Requests Policy.

What is a Public Record?

The California Public Records Act (CA CG §6250 - 6270) defines a "public record" to include any writing containing information relating to the conduct of the public's business prepared, owned, used or retained by the City of Sacramento regardless of physical form or characteristics. Records are not just printed or hand-written documents, they may be video recordings or information in a database. "Writing" means handwriting, typewriting, printing, photo stating, photocopying, photographing, transmitting by electronic mail or facsimile, and every other means of recording upon any tangible thing, any form of communication or representation, including letters, words, pictures, sounds or symbols or any combination thereof, and any record thereby created, regardless of the manner in which the record has been stored.

What Records are Exempt from Disclosure?

While the intent of the California Public Record Act is to protect the public's access to records, it also outlines what information is not covered by the Act. The Act exempts certain records from disclosure in whole or in part in section [6254](#) of the code. The City may withhold exempt records, but may disclose them if it wishes. (CA GC§ 6253(e)). However, "selective" or "favored" access is prohibited; once it is disclosed to one requester, the record is public for all. ([CA GC§ 6254.5](#)). Many categories of records are exempt, some by the Act itself, ([CA GC§§ 6254\(a\)-\(z\)](#)) and some by other laws (CA GC§§6275-6276.48). Below is a partial listing of exemptions:

- Employees' private papers, unless they "relat[e] to the conduct of the public's business [and are] prepared, owned, used, or retained by the agency." ([CA GC §6252\(e\)](#)).
- Computer software "developed by a state or local agency ... includ[ing] computer mapping systems, computer programs, and computer graphic systems." ([§§ 6254.9\(a\),\(b\)](#)).
- Records not yet in existence: The CPRA covers only records that already exist, and an agency cannot be required to create a record, list, or compilation. "Rolling requests" for future-generated records are not permitted.
- Attorney-Client discussions are confidential, even if the City is the client. ([§§ 6254\(k\), 6254.25, 6276.04](#))
- Preliminary drafts, notes and memos may be withheld only if: (1) they are "not retained...in the ordinary course of business" and (2) "the public interest in withholding clearly outweighs the public interest in disclosure." Drafts are not exempted if: (1) staff normally keep copies; or (2) the report or document is final even if a decision is not. ([§ 6254\(a\)](#)) Where a draft contains both facts and recommendations, only the latter may be withheld. The facts must be disclosed. (CBE v. CDFA., 171 Cal.App.3d 704 (1985)).

- Home Addresses in DMV, voter registration, gun license, public housing, local agency utility and public employee records are exempt, as are addresses of certain crime victims. ([§§6254\(f\), \(u\), 6254.1, 6254.3, 6254.4, 6254.16, 6254.21](#)).
- Records concerning agency litigation are exempt, but only until the claim is resolved or settled. The complaint, claim, or records filed in court, records that pre-date the suit (e.g., reports about projects that eventually end in litigation), and settlement records are public. ([§§ 6254\(b\), 6254.25](#); Register Div. of Freedom Newspapers, Inc. v. County of Orange, 158 Cal. App. 3d 893 (1984)).
- Personnel, medical and similar files are exempt only if disclosure would reveal intimate, private details. ([§ 6254\(c\)](#)). Employment contracts are not exempt. ([§ 6254.8](#)).
- Police Incident reports, rap sheets and arrest records are exempt ([Penal Code §§ 11075, 11105, 11105.1](#)), but information in the "police blotter" (time and circumstances of calls to police; name and details of arrests, warrants, charges, hearing dates, etc.) must be disclosed unless disclosure would endanger an investigation or the life of an investigator. Investigative files may be withheld, even after an investigation is over. ([CA GC § 6254\(f\)](#)). Identifying data in police personnel files and misconduct complaints are exempt, but disclosure may be obtained using special procedures under Evidence Code section 1043.
- Financial data submitted for licenses, certificates, or permits, or given in confidence to agencies that oversee insurance, securities, or banking firms; tax, welfare, and family/adoption/birth records are all exempt. ([§§ 6254\(d\), \(k\), \(l\), 6276](#)).

Records Coordinators in doubt of whether a record should be released, exempted, or redacted should contact the City's Record Manager.

Preparing a Record Request Response

The California Public Records Act requires the City to respond to requests for public records within ten days. This does not always mean that the records will be produced for the requestor, although the City Clerk shall not wait until the tenth day to provide a response if it can be done sooner. In some instances, a response might advise the requestor the records are available for review, notify them that the city does not hold any responsive records, or initiate an extension of the response period. Responses are generally done in writing (either traditional mail or email), when possible. If the requestor cannot be reached in writing, staff should make a note on the request form of any telephone or in person communication.

Once the potentially responsive documents are collected, they must be reviewed to ensure that only records permitted to be disclosed are released, and redacted if required. The City Clerk will notify the requestor that the records are available for review, or prepare them in accordance with the initial request.

The California Public Record Act requires that the City must provide records to the public in the format in which the City maintains the records. This does not prevent the City from offering the requestor a different format, but does prevent the City from requiring a requestor to take a document in an alternative format. For example, if a record only exists in paper, the City is not required to put it into any other format and may not require the requestor to take it in any other format other than paper. However, the requestor may prefer and the City is permitted to provide, an electronic copy of the record.

The City is not required to create a record when a request is made. For example, a requestor may ask for a list of the address of all city buildings. If a list does not exist, staff is not required to make a list.

However, if there are records in the City's possession that contain the requested information (such as a map that marks each location, or property deeds), the records must be provided. There are very limited situations where creating a record may be appropriate. Consult with the City's Record Manager to determine the best response.

If a request has been made for copies, the City Clerk shall require that payment is received prior to making copies. In the response letter, advise the requestor that the records responsive to their request have been identified, the total cost of reproduction, and that copies will be made once payment has been received.

Fees

Access to review or examine public records is free. Requestors may review the requested items during regular business hours, at a time and place that will not disrupt day-to-day operations in the presence of a city employee, at no charge. Records may be duplicated. Duplication fees are listed on the City's Fee and Charge Report and should be paid prior to providing copies of records. Duplication of official building plans will not be produced by the City until the City receives written permission to do so from the licensed professional who prepared the plans and the building owner.

A requestor cannot be charged for the staff time it takes to complete a request, the cost of retrieving files from offsite storage, or any incidental research fee.

Chapter 6 - Disposition of Records

There are several periods in the lifecycle of a record. They are commonly referred to as the active period, inactive period, and final disposition period. The active period varies according to the record, but is generally characterized as a record that is used frequently during the course of business and should be readily accessible. The inactive period is when the record's regular use declines but the record is still required to be held. The final disposition is generally the end of the record's life and a final decision is made about the record. This can include the scanning of a record for electronic storage, destruction of the record, or the transfer to The Center for Sacramento History (the "Center").

The proper disposition of records helps protect vital records and ensures compliance with retention requirements. Proper record retention also helps improve the City's efficiency and lower the costs of file maintenance, retrieval, and storage.

There are three types of record dispositions utilized by the City: transfer of records to the Center for archival preservation, imaging of records in order to purge existing hard copy records, and the destruction of non-historical records at the end of the specified retention period. Authorization must be obtained from the City Department Head, Office of the City Clerk, and Office of the City Attorney prior to any destruction of records or transfer of records to the Center. This is achieved by the proper completion of proper record management forms.

Preservation of Permanent Records

A fundamental obligation of local government is to care for its permanent records. The records that have been identified as permanent require special storage if they are to be preserved. The Center was developed to meet this need. The Center assists with coordinating, indexing, and managing permanent records.

Most records eligible for transfer to the Center are indicated on the retention schedule. However, it is difficult to foresee what records may be of historical value in the future. When a record is being evaluated for final disposition, City staff may contact the Center to determine if the Center would like to take possession of the record.

Imaging of Records

The California Government code permits the City to destroy some original documents after they have been scanned in accordance with the code. CCM meets the requirements of this code section. However, some records of historical nature, which began as hardcopy records should be retained regardless if they have been scanned. This includes resolutions, ordinances, and minutes of Brown Act governed bodies.

Before embarking on a major project to scan records, staff should consult with the CCM Team. This team can evaluate your current records and assist you in developing a plan to convert existing documents into electronic files, and migrate the files to CCM. There are strict parameters surrounding the migration of records into CCM. Staff needs to ensure all of the conditions have been met, including cost, time and accuracy, prior to imaging records.

Records ideal for CCM are ones that may be:

- Used by many departments or many people in the same department;
- Permanent records, particularly those that are accessed regularly;
- Records that have a long retention period;
- Records that start and end in an electronic format;
- Records that are frequently requested by the public;
- Record series that are voluminous, making onsite storage impossible, but that are accessed often creating offsite storage and retrieval fees.

Staff should not scan and store records on local or internal drives. These drives often do not provide the same searching, storage, or security features as CCM. Most importantly these drives are often not purged, which strains the City's Information Technology infrastructure, and violates the City's Record Retention Schedule.

To image records to CCM and subsequent destruction, staff must first complete the CCM Project Request Form; and subsequently receive authorization from the CCM Team. Once the imaging is completed and the images have been reviewed for quality, staff can destroy the original documents without further authorization.

Destruction of Records

The records classification and retention periods in this manual constitute legal authority for retention and disposal of official records. No records shall be destroyed until they have met the minimum retention period listed in this manual and disposition has been approved by the Office of the City Clerk and City Attorney or they have been scanned into CCM and reviewed for quality. In cases where there is no schedule for a particular record series, contact the City's Records Manager for assistance.

The retention schedule prescribes the method of disposition (destruction, secure destruction, or transfer to the Center). Records requiring "destruction" may be disposed of by traditional recycling. Records requiring "secure destruction" must be disposed of in a way that the record is no longer recognizable or

usable by any means. Records that are destroyed securely shall either be destroyed under the supervision of a City employee or by an approved agency. Upon completion of the destruction the supervising employee will attest to the destruction by signing the destruction request form or the approved agency will supply the City with a Certificate of Destruction.

Staff can request authorization to destroy records that are at the end of their retention schedule by following the Disposition Procedure.

Chapter 7 - City of Sacramento Retention Schedule

The City's Record Retention Schedule establishes the retention periods for records and authorizes their disposition. Retention periods are based upon federal, state, and local mandates, business needs, and general knowledge as to how long records should be kept. Staff shall implement the schedule as it applies to their department's records. The schedule is subject to the following exceptions and limitations:

- Before retaining a record longer than the specified retention period, the department should contact the City's Record Manager for assistance. Records should not be maintained longer than the retention period indicated on the schedule. The unnecessary retention of records can be expensive in space and filing equipment, and costly litigation or discovery processes.
- This schedule generally reflects audit requirements in its prescribed retention periods, but audits are not always completed in a timely fashion. Therefore, any record that has an audit requirement, or becomes subject to audit, must be retained until completion of that audit regardless of its stated retention period in the general schedule.
- This schedule does not authorize destruction of records that could be deemed relevant to current or pending litigation or investigations.

Retention and disposition of records that are common to many departments are included in the Citywide Schedule. Records unique to particular City Departments are addressed in individual department schedules. The City's Record Retention Schedule is a comprehensive list of the records retained by the City.

Maintenance of the City's Record Retention Schedule

As the way the City conducts business changes, we recognize that records, record types, and record retentions will need to be periodically updated. A comprehensive overhaul and review of the schedule is planned for every five years. However, minor revisions and additions may need to occur. When these situations are identified, staff should contact the City's Record Manager who will initiate the schedule revision. Revisions are generally submitted by staff at the department level, and then are reviewed by the City's Record Manager and the Office of the City Attorney.

Use of the Record Retention Schedule

The retention schedule is intended to direct City Staff on how long to hold City records, and how to dispose of the records after they have exceeded their retention period. Below is a sample of a record from the schedule, with category explanations.

Record #	Record and Series Name
	File record numbers are composed of the department abbreviation and are followed by four numbers. Whenever possible records have been combined into a series of like items for example "Ceremonial Documents". In some cases records are so unique that their record name stands alone such as "Building Permit".
<i>Also Called:</i>	When records go by more than one name, the alternative names are listed here.
<i>Function:</i>	In this section the purpose or function of the record is described.
<i>Content:</i>	A series of records may be comprised of several document types, documents that most likely will be found in this series are listed.
<i>Total Retention:</i>	This is the total amount of time that the City is required, either by federal, state, local statute or internal policy.
<i>Disposition:</i>	Disposition refers to what will be done at the end of a records lifecycle; either: destroyed, destroyed securely, or transferred to The Center for Sacramento History.
<i>Statutory Reference:</i>	This section will be used to note any applicable government code related to the record's
<i>Location</i>	Where the record is stored/can be found.
<i>Note:</i>	Any other notes, exceptions, or special instructions relating to the record or record series are listed here.
<i>Approval Date:</i>	This is the date that the specific record or record series was approved or updated.

CW-0004	Calendar and Scheduling Records
<i>Also Called:</i>	Appointment books, work schedules, planners, daily assignment sheets, shift schedules.
<i>Function:</i>	Records kept that document and facilitate the routine planning and scheduling of meetings, appointments, daily tasks, work assignments, shift assignments, vacation and/or day off schedules.
<i>Content:</i>	May include, but is not limited to weekly schedule sheets, work schedules, appointment logs, and work assignment memos.
<i>Total Retention:</i>	2 years
<i>Disposition:</i>	Destroy
<i>Statutory Reference:</i>	CA GC §34090
<i>Location:</i>	CCM
<i>Approval Date:</i>	October 21, 2010

Appendix A - Record Disposition Authorization

Detailed instructions for records disposition authorization are provided in the disposition procedures section of the records management policy document.

All records management forms have been created using Adobe, are completely fill-able, and utilize electronic signature. For staff unfamiliar with how to use adobe signatures, please visit the City Clerk's Tech Training Page on the City's Intranet. Forms must be signed using the electronic signature feature and submitted electronically to the City's Record Manager.

Authorization is required for the disposition of any and all records. Non-records such as copies of original documents and transitory communications as described in the City's retention schedule do not require record disposition authorization.

The forms for record disposition, can be found on the City Clerk's Intranet Page under records management. When requesting authorization to image and disposition, transfer or destroy records a coversheet must be completed and accompanied by the appropriate record inventory. The coversheet and inventory will then serve as the official record and are permanent documents, which will record the City's history of record management.

Authorization to Disposition After Imaging

Use *Authorization to Disposition Records after imaging* form to request authorization to disposition records after they are imaged. Once authorization has been granted to image, index, and properly quality check the original records, they may then be dispositioned.

Authorization to Transfer Records to The Center for Sacramento History

Use *Authorization to Transfer Records to The Center for Sacramento History* to request authorization for The Center for Sacramento History to transfer records. This form must be completed and authorization granted prior to delivering records to The Center. Delivery shall be coordinated by the department's record coordinator and Center staff.

Authorization to Destroy Records

Use *Authorization to Destroy Records* to request authorization to destroy records that are at the end of their retention period. Destruction may be "destroy" or "destroy securely." Records requiring secure destruction must be shredded or otherwise rendered unidentifiable or usable.

Record Inventory Worksheet – Employee Records

Use *Record Inventory Worksheet – Employee Records* to list all employee records that are being recommended for disposition. Each employee must be listed with his or her start date.

Record Inventory Worksheet – Non-Employee Records

Use *Record Inventory Worksheet – Non-Employee Records* to list all record series being recommended for disposition. Each series must be listed, not each record.

Appendix B - File System Naming Conventions

Clear file names are the key to file accessibility. We no longer have a limited number of characters available for a file name and no longer have a need for acronyms and made up abbreviations. *(See more about abbreviations below)* A good rule of thumb is to limit the name to five (5) or less metadata fields and twenty-five (25) characters or less. Files and records are increasingly electronic and used by multiple staffers, because of this a file should not only be readily accessible but easily identifiable as well. It is time consuming and frustrating to have to open numerous files looking for the right one because the file was poorly named.

Regardless of what naming convention is utilized by the department or City; to be effective it must be consistent throughout its application. This includes not only what is contained in the file name, but the order as well. Contact the City's Record Manager for assistance developing naming conventions and/or how to manage exceptions and other naming convention issues.

Special Characters

In general avoid special characters such as / \ : * ? < > | [] & \$, etc. In many systems, these symbols already have a meaning or specific task, and using these symbols can alter your record and in some instances errors or lost files. It is best to avoid using spaces or dashes in file names. If a delineator is needed to provide clarity in a file name use underscore "_". (ex: Budget_Journal_2011)

Date

As the City of Sacramento is well over 100 years old, using a dating system that does not include a four-digit year can be confusing. For example, the when the date 01/01/09 is used is the record from January 1, 2009 or January 1, 1909? To alleviate this confusion dates including only a four-digit year should be used. The dating convention approved for records being held in the CCM system is: MM/DD/YYYY or 01/01/2011.

Multiple Versions

When a file has multiple versions, note the version number in the file name, utilizing a version control number. A version control number is typically expressed as "v1.0". The initial version would be v1.0 and any subsequent minor changes expressed as v1.1, v1.2, v1.3 etc. Major revision or updates would be expressed by changing the first number: v2.0, v3.0. When previously versioned records are complete remove the version number and replace with "FINAL." The record should retain the "FINAL" designation in the title when the versions are also being retained. If the previous versions are purged, the final record name can be changed to remove any status indicators (version number or final designation).

Abbreviations

In general abbreviations are not appropriate for use in record and or naming conventions. Abbreviations can have multiple meanings and over time may become obsolete or confusing. In some instances, multiple abbreviations can be used for the same word or phrase, which can lead to misunderstandings. In limited circumstances, the use of abbreviations may be necessary or required. In those circumstances, ensure that naming conventions and record standards stand the test of time and transparency, only the following approved abbreviations should be utilized.

Abbreviations not on this list will not be accepted for records held in CCM or for use on the City's Record Retention Schedule.

Abbreviation	Meaning
APT	Apartment
AUD	City Auditor
AV	Avenue
AY	Alley
B&P	California Business & Professions Code
BLDG	Building BLVD Boulevard BUSN Business
CAO	Office of the City Attorney
CBC	California Building Code
CC	California Civil Code
CCS	Convention and Cultural Services
CCM	Citywide Content Management System
CCO	Office of the City Clerk
CCP	California Code of Civil Procedure
CCR	California Code of Regulations
CDD	Community Development Department
CFC	California Fire Code
CFR	US Code of Federal Regulations
CMO	Office of the City Manager
COM	Commercial
COMMON	Common or Commons
CPC	City Planning Commission
CPRA	California Public Records Act CRCircle
CT	Court
CTO	Office of the City Treasurer
CTR	Center CUST Customer CW Citywide
DGS	Department of General Services
DOU	Department of Utilities
DPR	Department of Parks and Recreation
DWAY	Driveway
EB	Eastbound
EC	California Election Code
ECD	Economic Development Department
EMP	Employee
EVC	California Evidence Code
EXPY	Expressway
EXT	Extension
FA	California Food & Agriculture
FC	California Family Code
FIN	Finance Department
FTB	California Franchise Tax Board
FWY	Freeway
FYARD	Front Yard

Abbreviation	Meaning
GC	California Government Code
H&S	California Health and Safety Code HR Human Resources Department
HUD	US Housing & Urban Development
HWY	Highway
I-	Interstate: Letter I followed by a dash and the interstate number ex I-80, I-5.
INT	Interior
IT	Information Technology Department
LC	California Labor Code
LN	Lane
MCC	Office of the Mayor and City Council
MHP	Mobile Home Park
NB	Northbound
OFFC	Office
OPAS	Overpass
PC	California Penal Code
PKWY	Parkway
PL	Place
PLOT	Parking Lot
PW	Public Works (Previously DOT-Department of Transportation)
PZ	Plaza
R&T	California Revenue & Taxation Code
RD	Road
RES	Residence
ROW	Row
SCC	Sacramento City Council
SFD	Sacramento City Fire Department
SPD	Sacramento City Police Department
SQ	Square
ST	Street
UAC	Uniform Administrative Code
UBC	Uniform Building Code
UFC	Uniform Fire Code
USC	United States Code
VC	California Vehicle Code
W&I	California Welfare & Institutions Code
WB	Westbound
WY	Way
XING	Crossing

Appendix C - Box Label

When preparing records to be stored in record boxes it is crucial that boxes are clearly labeled and organized so that they can be easily accessed. It is recommended that labels be applied to the short end of each box so that the contents can be easily reviewed. Records boxes should be filled, but not packed so tightly that records cannot be retrieved or inserted into the box. A copy of the inventory should also be placed inside the box on top of the records. Below is a sample box label. Minimally the box should be labeled with the record series number, record description, date range, and the date the entire box is eligible for destruction.

Department & Division:		Box #
Contents		
Record Series Number	Record Series Description/Note	Date Range
Inventoried By (Print Name)/Date:		Date Eligible for Destruction:

Department & Division: Transportation/Office of Director		Box # 4 of 13
Contents		
Record Series Number	Record Series Description/Note	Date Range
DOT-0001	City Infrastructure Project (admin)	1/1978 – 12/1990
Inventoried By (Print Name)/Date: Tom Smith 4/5/1995		Date Box Eligible for Destruction: 1/2011

Appendix D - Conducting a Records Inventory

A records inventory is the systematic collection of information for each file folder. A thorough inventory process can **free up to two-thirds** of storage space devoted to active files. Typically, one-third of the files will be destroyed; one-third transferred to inactive storage, and one-third will remain in prime office space. The process has also been designed to use the information you gather in many ways. The information will be used in subsequent years for the following purposes:

- Locate and track old records stored in boxes or other inactive storage areas;
- Find misfiled or lost file folders;
- Identify and correct inconsistencies in your filing systems;
- Electronic master index (you can do text searches to find the file you want);
- Create destruction lists in future years by “cut & paste”;
- Create box labels by “cut & paste”;
- Manage the location of records stored in off-site locations, and changes to location of records;
- Will meet the requirements for an index for the purposes of the new law requiring staff to assist the public in locating records;
- Provides an index to use in the event of a disaster so that the most valuable records are located and protected;
- The inventory will be utilized to develop your retention schedule, and will ensure the schedule covers all of your records and will meet your needs.

Do **NOT move** boxes, files, or cabinets from another department unless you receive permission from the Department first.

D **NOT destroy ORIGINAL** records until the disposition procedure has been followed. State law allows *copies or drafts to be destroyed “when no longer required”*.

Copies and drafts can be destroyed as they are inventoried, provided:

- You are **certain** the record is a copy, draft, or is not a City record;
- If the record contains any confidential data (e.g. citizen’s names, phone numbers, etc.), it must be shredded or obliterated.

Inventory Worksheet

When conducting a records inventory, it is recommended that you utilize the Records Inventory Worksheets for a consistent accounting of the files on hand. Unlike the inventory for destruction, this inventory is meant to be conducted down to the file level and should contain the exact location of the record. Use whatever information is available to concisely identify the location of the records. This may be the names of a room, a room number, a geographical notation such as north or east. When inventorying a record room, it is a good idea to start by labeling the file cabinets and then the drawers. For example, the file cabinet you start with would be FC1. Then the drawers (starting at the top) would be a, b, c, etc; Files in file cabinet 1 drawer b would be expressed: FC1-b.

Appendix E – Government Code Section

There are two primary California Government Codes that govern the holding and dissemination of the City's Records: CA GC §34090 (how and how long records are held); and CA GC §6250 (California Public Records Act).

CALIFORNIA CODES: GOVERNMENT CODE SECTION 6250-6270

CALIFORNIA CODES: GOVERNMENT CODE SECTION 34090

RECORD RETENTION SCHEDULE

2019



City of
SACRAMENTO
Office of the City Clerk

Table of Contents

Citywide Schedule

City Attorney

City Auditor

City Clerk

City Manager

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Community Development Department

Convention, Culture and Leisure

Economic Development

Finance

Fire

Human Resources

Information Technology

Mayor/City Council

Police

Public Works

Utilities

Youth, Parks and Community Enrichment

Using the Record Retention Schedule

The retention schedule is intended to direct City Staff on when and how to disposition City records after they have exceeded their lifecycle. Below is a sample of a record from the schedule, with category explanations:

Record #	Record and Series Name
	File record numbers are composed of the department abbreviation and are followed by three numbers. Whenever possible records have been combined into a series of like items for example "Ceremonial Documents". In some cases records are so unique that their record name stands alone such as "Building Permit".
<i>Also Called:</i>	When records go by more than one name, the alternative names are listed here.
<i>Function:</i>	In this section the purpose or function of the record is described.
<i>Content:</i>	A series of records may be comprised of several document types, documents that most likely will be found in this series are listed.
<i>Total Retention:</i>	This is the total amount of time that the City is required, either by federal, state, local statute or internal policy.
<i>Disposition:</i>	Disposition refers to what will be done at the end of a records lifecycle; either: destroyed, destroyed securely, or transferred to The Center for Sacramento History.
<i>Statutory Reference:</i>	This section will be used to note any applicable government code related to the record's retention.
<i>Note:</i>	Any other notes, exceptions, or special instructions relating to the record or record series are listed here.
<i>Approval Date:</i>	This is the date that the specific record or record series was approved or updated.

Modifications and Additions

Because records reflect activities that are constantly changing, the retention requirements for records sometimes require revision as well. Consequently, records retention and disposition schedules often need modification or additions in order to be realistic and effective. There may be some retention periods and disposition requirements within this schedule that may change between major reviews of the schedule. In accordance with Resolution 2007-0276 the City Clerk is authorized to adopt and amend the City's Retention Schedule as necessary. The Office of the City Clerk welcomes all comments and suggestions concerned with improvement of record retention schedules through modifications and additions.

Contact Us

For further information on any records management or record preservation issues, please contact:

Office of the City Clerk
 915 I Street
 New City Hall, 5th Floor
 Sacramento, CA 95814
 (916) 808-5002
 Email: records@cityofsacramento.org

Citywide Schedule

CW-001*Also Called:**Function:**Content:**Total Retention:**Disposition:**Statutory Reference:**Note:**Approval Date:***Administrative Policies & Procedures**

Standard Operating Procedures, General Orders

Documents the policies, procedural directives and manuals developed by the City to govern its internal management functions.

May include, but is not limited to, internal rule and regulations.

Superseded +2 years

Destroy

GC §34090(d) (2 years)

October 21, 2010

CW-002*Also Called:**Function:**Content:**Total Retention:**Disposition:**Statutory Reference:**Note:**Approval Date:***Annual & Special Reports**

Reports documenting the program or primary activities and/or accomplishment of the City of a program, division, department, of the City.

May include, but is not limited to: statistical analysis, narratives, graphs, diagrams, annual reports, status or progress reports, and similar information.

Permanent

Transfer to The Center for Sacramento History after 10 years.

GC §34090(d) (2 years)

This does not include staff reports created and/or presented by to the City Council or other legislative body. See CW-0016

October 21, 2010

CW-003*Also Called:**Function:**Content:**Total Retention:**Disposition:**Statutory Reference:**Note:**Approval Date:***Banking Records**

Account Statements, Deposit Books, Deposit and Withdrawal Slips, Cancelled checks, Check registers, passbooks, statements and receipts for interest income, bank signature cards.

Records documenting the banking transactions of government offices with financial institutions, and the current status of public funds.

May include, but is not limited to: bank and account numbers, transaction dates, beginning balance, check or deposit amount, document numbers, refunds under \$100, adjustments, description of transaction, ending balance, and other related information.

5 years

Destroy securely

GC §34090(d) (2 years)

These are original records that reside in at the department level and are not forwarded or sent, or otherwise recorded in the City's Finance Department.

October 21, 2010

CW-004*Also Called:***Calendar and Scheduling Records**

Appointment books, work schedules, planners, daily assignment sheets, shift schedules

Citywide Schedule

Function: Records kept that document and facilitate the routine planning and scheduling of meetings, appointments, daily tasks, work assignments, shift assignments, vacation and/or day off schedules.

Content: May include, but is not limited to: weekly schedule sheets, work schedules, appointment logs, and work assignment memos.

Total Retention: 2 years

Disposition: Destroy

Statutory Reference: GC §34090(d) (2 years)

Note:

Approval Date: October 21, 2010

CW-005**Chemical and Hazardous Material Inventories**

Also Called:

Function: Documents chemicals and hazardous materials owned, used, in the City's possession during the course of business.

Content: May include, but is not limited to: material safety data sheets; disposal, use, and storage records.

Total Retention: Last Use +30 years

Disposition: Destroy

Statutory Reference: 8 CCR §3204(d) (30 years)

Note:

Approval Date: October 21, 2010

CW-006**Complaint Files - Personnel**

Also Called:

Function: Documents complaints about customer service, employees, employee actions or employee conduct.

Content: May include, but is not limited to: complaint forms and correspondence.

Total Retention: Resolution of complaint +5 years

Disposition: Destroy Securely

Statutory Reference: PC §801.5 (3 years after the offense); EVC §1045(b)(1) (exclusion from relevance for complaints concerning investigations more than 5 years old); GC §12946 (personnel records: 2 years)

Note: This does not include complaints or investigations of a peace officer involved shooting.

Approval Date: October 21, 2010

CW-007**Complaint Files - Operations**

Also Called:

Function: Documents complaints about customer service, maintenance, repairs, or materials.

Content: May include, but is not limited to: complaint forms, service requests, and correspondence.

Total Retention: Resolution of complaint +3 years

Disposition: Destroy Securely

Statutory Reference: CCP §338 (3 years)

Note:

Citywide Schedule

Approval Date: October 21, 2010

CW-008**Contracts, Leases, and Agreements (Department Level Administration File)**

Also Called:

Memorandum of Understanding, leases, rental agreements.

Function:

Official agreements enforceable by law to acquire or provide services, equipment, or maintenance. Documents the terms and conditions of agreements between the City, private companies, other public agencies, and individuals.

Content:

May include, but is not limited to: contracts, exhibits, bid documents, change orders and amendments and significant related correspondence. Information in contracts usually includes contract number, certificate of required insurance, dates, terms, parties involved, period covered, and signatures. May also include copies of payments, receipts, and other supporting papers used in managing the contract.

Total Retention:

End of Contract Term + 10 years. If contract requires an audit the records shall be held the total retention + completion of the audit;

Disposition:

Destroy Securely

Statutory Reference:

CCP §337(4 years). CCP §337.1(a) (4 years), CCP §337.15 (10 years), CCP §343 (4 years); GC §34090(d) (2 years)

Note:

Contracts authorized by the City Council are held by the Office of the City Clerk. See CCO-007 Contracts, Leases, and Agreements for retention.

Approval Date:

October 21, 2010

CW-009**Correspondence**

Also Called:

Correspondence that pertains to routine matters.

Function:

Content:

May include, but is not limited to: incoming and going letters, email, memoranda, notes, acknowledgements, notices, or requests.

Total Retention:

2 years

Disposition:

Destroy Securely

Statutory Reference:

GC §34090(d) (2 years)

Note:

Correspondence may be held longer than the two-year period if it falls into another record series on the schedule.

Approval Date:

October 21, 2010

CW-010**Employee Records (Department Level)**

Also Called:

Records document an employee's history at the department level.

Function:

Content:

May include, but is not limited to: copies of personnel action form, leave of absence forms; safety and training records, correspondence, time off requests, documented counseling, commendations, citations, and other employee related information.

Total Retention:

Separation +3 years

Police and Fire Department: separation + 10 years

Citywide Schedule

Disposition: Destroy Securely
Statutory Reference: GC §12946 (personnel records: 2 years); GC §34090(d) (2 years)
Note:
Approval Date: October 21, 2010

CW-011 Employee Recruiting Records (Department Level)

Also Called:
Function: Records relating to employment recruiting not submitted to Human Resources.
Content: May include, but is not limited to: rating sheets, reference checks, and interview questions.
Total Retention: End of recruitment process +2 years
Disposition: Destroy Securely
Statutory Reference: GC §12946 (personnel records: 2 years); GC §34090(d) (2 years)
Note:
Approval Date: October 21, 2010

CW-012 Equipment Ownership and Maintenance Records

Also Called: Legal titles, warranties, maintenance log
Function: Records documenting the legal ownership and maintenance of all office-owned equipment.
Content: May include, but is not limited to: date of purchase or lease; purchase price; warrantee information; ownership information, make and model, owner's manual, maintenance/service agreements, and maintenance logs.
Total Retention: Life of the Equipment (minimum 2 years)
Disposition: Destroy
Statutory Reference: GC §34090(d) (2 years)
Note: See also CW-031 Vehicle Maintenance Ownership and Maintenance Record.
Approval Date: October 21, 2010

CW-013 Events – City Sponsored

Also Called: Festival, Galas, Anniversary Celebrations, Receptions
Function: Records the planning and history of events sponsored by the City.
Content: May include, but is not limited to: mailing lists, invitations, photographs, media releases, correspondence, and event diagrams.
Total Retention: 5 years
Disposition: Destroy; events of historical significance such as anniversaries shall be transferred to The Center for Sacramento History after 5 years.
Statutory Reference: GC §34090(d) (2 years)
Note:
Approval Date: October 21, 2010

CW-014 Gifts, Contributions, and Donations

Also Called: Memorials, Fundraising Records

Citywide Schedule

<i>Function:</i>	Records document gifts and contributions to the City that result from fundraising efforts, donations, memorials, or tributes by private individuals or corporations.
<i>Content:</i>	May include, but is not limited to: donor and acknowledgement letters, acquisition lists itemizing purchased made with contributed money (books, art, equipment, etc.), checks, receipts, conditions or restrictions, history of fundraising events and related administrative records.
<i>Total Retention:</i>	Permanent
<i>Disposition:</i>	Transfer to The Center for Sacramento History after 10 years.
<i>Statutory Reference:</i>	GC §34090(d) (2 years)
<i>Note:</i>	
<i>Approval Date:</i>	October 21, 2010

CW-015**Grant Records***Also Called:*

<i>Function:</i>	Documents the application, evaluation, awarding, administration, monitoring, and status of grants in which a local government entity is the recipient, grantor, allocator, or administer. Grants may come from federal or state governments, foundations or other private funding sources.
<i>Content:</i>	May include, but is not limited to: applications including project proposals, summaries, objectives, activities, budgets, exhibits, an aware notification, grant evaluation records and recommendations concerning grant applications, grant administration records including progress reports, budgets, project objectives, proposals, and summaries, records documents allocation of funds, contracts, records monitoring project plans and measuring achievement, equipment inventories, financial reports, accounting records, audit reports, expenditure reports, and related correspondence and documentation.
<i>Total Retention:</i>	Unsuccessful Grant Records: 2 years Successful Grant Records: per the requirements and audit period of the grant program, but not less than 3 years
<i>Disposition:</i>	The following grant records shall be transferred to The Center for Sacramento History: Grant application package, award documents, and any summary, paper, or closing documents; all remaining records shall be destroyed.
<i>Statutory Reference:</i>	GC §34090(d) (2 years); 21 CFR §1403.36(i)(11) (closure +3 years); 21 CFR §1403.42(b) (3 years); 24 CFR §85.42 (3 years), 24 CFR §91.105(h) (Assessment of Fair Housing: 5 years); 24 CFR 570.502(b) (Community Development Block Grants: execution of the close out agreement +4 years); 29 §CFR 97.42 (3 years)
<i>Note:</i>	
<i>Approval Date:</i>	October 21, 2010

CW-016**Meeting Records for Brown Act Bodies (for Council, and Council Appointed Boards, Commissions, and Committees)***Also Called:*

Citywide Schedule

<i>Function:</i>	Documents the proceedings of public bodies governed by the Brown Act.
<i>Content:</i>	May include, but is not limited to: minutes, agendas, exhibits, staff reports*, affidavits, correspondence, speaker slips, closed session meeting materials, rules of procedure, audio or visual recordings; proof of publication or notice; and meeting administration records (such as mailing lists used for noticing, or meeting room scheduling).
<i>Total Retention:</i>	Meeting Administration Records: 2 years All other records: permanent
<i>Disposition:</i>	Original documents may be transferred to The Center for Sacramento History after 10 years.
<i>Statutory Reference:</i>	GC §34090(d) (2 years); GC §34090(e) (permanent)
<i>Note:</i>	The Office of the City Clerk is the office of record for meeting records pertaining to the City Council and the standing committees of the council. All other meeting records are held in the department that supports the board or commission. * Thirty days after publication of a staff report all draft versions are deleted.
<i>Approval Date:</i>	March 16, 2011

CW-017**Meeting Records for Non-Brown Act Bodies***Also Called:*

<i>Function:</i>	Documents the proceedings of meeting bodies that are not governed by the Brown Act.
<i>Content:</i>	May include, but is not limited to: minutes, agendas, correspondence, and audio or visual recordings.
<i>Total Retention:</i>	2 years
<i>Disposition:</i>	Destroy
<i>Statutory Reference:</i>	GC §34090(d) (2 years)
<i>Note:</i>	These are meetings of any meeting body that is not open to the public and/or subject to the Brown Act.
<i>Approval Date:</i>	October 21, 2010

CW-018**News Releases***Also Called:*

<i>Function:</i>	Prepared statements and announcements issued to the news media by the City.
<i>Content:</i>	May include, but is not limited to: news releases or media advisories.
<i>Total Retention:</i>	5 years
<i>Disposition:</i>	Transfer records to The Center for Sacramento History after 5 years. The Center shall retain historically significant news releases, the remaining shall be destroyed.
<i>Statutory Reference:</i>	GC §34090(d) (2 years)
<i>Note:</i>	
<i>Approval Date:</i>	October 21, 2010

CW-019**Participant Registration and Attendance Records**

Citywide Schedule

Also Called:

Function: Documents the registration and attendance of participants in sponsored events, activities, and classes.

Content: May include, but is not limited to: registration forms or cards, class or activity rosters, consent/waiver forms and related documents.

Total Retention: 2 years

Disposition: Destroy

Statutory Reference: GC §34090(d) (2 years)

Note:

Approval Date: October 21, 2010

CW-020**Project & Administrative Files – (Charter Officers and Department Directors)***Also Called:*

Function: Records created by executive city staff that documents the research, creation, application of community projects, programs, or that document the leadership role and decision-making process of city executives.

Content: May include, but is not limited to: project or program files, executive administration files.

Total Retention: Project Completion +2 years

Disposition: Files ready for disposition shall be reviewed by The Center for Sacramento History for determination of disposition.

Statutory Reference: GC §34090(d) (2 years)

Note:

Approval Date: October 21, 2010

CW-022**Publications***Also Called:*

Function: Publications produced by the City and made available to the public.

Content: May include, but is not limited to: newsletters, pamphlets, brochures, leaflets, reports, studies, proposals, and similar published records.

Total Retention: Superseded +2 years

Disposition: Destroy

Statutory Reference: GC §34090(d) (2 years)

Note:

Approval Date: October 21, 2010

CW-023**Purchasing Records (Department Level)***Also Called:*

Function: Purchase orders, purchasing requests, receipts
Records orders, authorizations, and evidence of receipt of the purchase of goods and services by the City.

Content: May include, but is not limited to: description of goods and services, shipping instructions, bills of lading, and receipts.

Total Retention: 4 years

Disposition: Destroy

Statutory Reference: CCP 337 (4 years); GC §34090(d) (2 years)

Citywide Schedule

Note: These are original records that reside in at the department level and are not forwarded or sent, or otherwise recorded in the Finance Department.

Approval Date: October 21, 2010

CW-024**Requests for Qualifications, Proposals & Bids**

Also Called:

RFP, RFQ, or Bids

Function:

Records related to unsuccessful contracted proposals for City projects and/or purchases.

Content:

May include, but is not limited to: requests for proposals (RFP), requests for qualifications (RFQ), bid exemption documents, bid and quote lists, notices of bid opening and award, comparison summaries, spreadsheets, tabulation worksheets, bid advertising records, tally sheets, bid specifications, bid award letter and other related correspondence or records.

Total Retention:

Unsuccessful: close of solicitation period +2 years

Successful: completion of contract + 10 years. If contract requires an audit the records shall be held the total retention + completion of the audit; whichever is longer.

Disposition:

Destroy

Statutory Reference:

CCP §337(4 years). CCP §337.1(a) (4 years), CCP §337.15 (10 years), CCP §343 (4 years); GC §34090(d) (2 years)

Note:

Approved:

October 21, 2010

CW-025**Scrapbooks, Photographs, and Clippings**

Also Called:

News clipping file

Function:

Documents an event, time period, department, or the city, generally in chronological order, or similar records of the City's history.

Content:

May include, but is not limited to: news clippings, photographs, timeline graphs, and other memorabilia that commemorates an event.

Total Retention:

Permanent

Disposition:

Transfer to The Center for Sacramento History after 10 years.

Statutory Reference:

GC §34090(d) (2 years)

Note:

Approval Date:

October 21, 2010

CW-026**Speeches**

Also Called:

Function:

Documents the history of speeches delivered by City staff.

Content:

May include, but is not limited to: notes or text of speeches, papers, or reports delivered in conjunction with City business.

Total Retention:

Speeches delivered by Charter Officers and Department Directors: permanent

All other speeches, notes, or reports: 2 years.

Disposition:

Destroy. Charter Officer and Department Director Speeches shall be transferred to The Center for Sacramento History

Statutory Reference:

GC §34090(d) (2 years)

Citywide Schedule

Note:

Approval Date: October 21, 2010

CW-027**Surveys and Questionnaires**

Also Called:

Function:

Includes:

Records related to data collection.

May include, but is not limited to: notes or papers used to develop survey tools, data collection tools, results or analysis of collected data, and reports.

Total Retention:

2 years

Disposition:

Destroy

Statutory Reference:

GC §34090(d) (2 years)

Note:

Approval Date:

October 21, 2010

CW-028**Technical Manuals, Specifications, and Warranties**

Also Called:

Function:

Content:

Owner's manuals and warranties for government-owned vehicles and equipment.

Manuals often include specifications, operating instructions, and safety information. Warranties include terms of coverage for repair or replacement of equipment.

Total Retention:

Manuals: life of the equipment, but not less than 2 years

Warranties: expiration, but not less than 2 years

Disposition:

Destroy

Statutory Reference:

GC §34090(d) (2 years)

Note:

Approval Date:

October 21, 2010

CW-030**Training Course and Academy Records**

Also Called:

Function:

Content:

Records associated with or documenting the job-related instruction of employee/officials for job proficiency, enhancement or for the promotion of skill attainment or improvement.

May include, but is not limited to: course descriptions, manuals, textbooks, worksheets, handouts, films, videos, and course outlines, instructor rosters, certifications, course planning and development documentation; course evaluations, class enrollment and attendance records.

Total Retention:

Class enrollment and attendance records: 5 years

Academy course work, tests, quizzes; and certificates of completion: separation +3 years

Police and Fire Department academy course work, tests, quizzes; and certificates of completion: separation + 10 years

Disposition:

All other course materials: until superseded but not less than 2 years

Statutory Reference:

CA GC §12946 (personnel records 2 years), GC §34090(d) (2 years)

Note:

*See also, CW-010 Department Level Employee Records.

Citywide Schedule

Approval Date: October 21, 2010

CW-031**Vehicle Ownership and Maintenance Records**

Also Called:

Function:

Documents the purchase, ownership, licensing and maintenance of all office-owned vehicles.

Content:

May include, but is not limited to: legal titles, registration documents, purchase invoice, contracts, warranties, inspections, maintenance logs.

Total Retention:

Life of the vehicle +2 years

Disposition:

Destroy

Statutory Reference:

GC §34090(d) (2 years)

Note:

Approval Date:

October 21, 2010

CW-032**Work Orders**

Also Called:

Maintenance requests; Service requests

Function:

Internal records documenting requests and authorizations for needed services, including repair of government owned property.

Content:

May include, but is not limited to: service and installation requests, repair authorizations, orders for scheduled and unscheduled maintenance, and similar records.

Total Retention:

2 years

Disposition:

Destroy

Statutory Reference:

GC §34090(d) (2 years)

Note:

Most work order data bases are permanently retained see the specific department schedule.

Approval Date:

October 21, 2010

CW-033**Telephone and Radio Communications**

Also Called:

Function:

Recordings that document routine communications.

Content:

May include, but is not limited to: routine daily recording of telephone communications including deleted voicemail messages and all radio communications.

Total Retention:

100 days

Disposition:

Destroy Securely

Statutory Reference:

GC §34090.6 (100 days)

Note:

Approval Date:

February 5, 2015

CW-034**Video Recordings**

Also Called:

Closed Circuit Television (CCTV), Flash Cams, Digital Video Recorder (DVR), Police Observation Device (POD)

Function:

Recordings that document actions that have occurred within the City and/or pertain to City business.

Content:

May include, but is not limited to: video of public activities and video monitoring.

Citywide Schedule

Total Retention: 90 days pursuant to conditions imposed by California Government Code § 34090.7. Individually retained events or actions shall be retained in accordance with their retention period as provided in the Retention Schedule.

Disposition: Destroy Securely

Statutory Reference: GC §34090.7 (90 days)

Note: See SPD-021

Approval Date: January 30, 2018

CW-035

Subpoenas

Also Called:

Function: Records relating to subpoenas served on the City for documents and witnesses.

Content: Records include, but are not limited to, subpoenas received by City departments.

Total Retention: 2 years

Disposition: Destroy securely

Statutory Reference: GC § 34090

Note:

Approval Date: October 29, 2012

Office of the City Attorney

CAO-001*Also Called:**Function:**Content:**Total Retention:**Disposition:**Statutory Reference:**Note:**Approval Date:***Advice files**

Advisory files

Legal advice to departments

All documents relating to subject

5 years

Destroy Securely

GC §34090 (2 years)

May 17, 2012

CAO-002*Also Called:**Function:**Content:**Total Retention:**Disposition:**Statutory Reference:**Note:**Approval Date:***Advice – Assessment District Bonds**

Bond files

Legal advice on assessment district bond issues

All documents relating to project

Termination of District + 5 years

Destroy

CCP §336 (5 years); CCP §337 et seq. (4 years); GC §34090 (2 years); GC §43900 et seq. (when bond has been voted to be issued for municipal purposes, executed but not sold and disposed of, and the sale and disposal of the bonds is deemed by the legislative body to have become inexpedient, and their destruction desirable)

May 17, 2012

CAO-003*Also Called:**Function:**Content:**Total Retention:**Disposition:**Statutory Reference:**Note:**Approval Date:***Criminal Prosecution Files**

Misdemeanor Files; Infraction Files

Criminal case files

Citations, complaints, warrants, other case documents

1 year active; 4 years inactive; total 5 years

Destroy Securely

GC §34090 (2 years)

Presiding Court is office of record.

May 17, 2012

CAO-004*Also Called:**Function:**Content:**Total Retention:**Disposition:**Statutory Reference:**Note:**Approval Date:***Litigation Files**

Lawsuits

Civil case files

All documents relating to case

Until no longer required (minimum 5 years)

Destroy Securely

CCP §337 et seq. (4 years); GC §911.2 (cause of action +1 year); GC §34090 (2 years); PC §832.5 (5 years)

CAO is office of record for discovery materials, presiding court all others

May 17, 2012

Office of the City Attorney

CAO-005**Closed Session Materials***Also Called:**Function:**Content:**Total Retention:**Disposition:**Statutory Reference:**Note:**Approval Date:*

Brown Act requirement and tracking Council actions

Itemized actions requested

Until no longer required (minimum 2 years)

Destroy Securely

GC §34090 (2 years)

May 17, 2012

CAO-006**Pitchess Motions***Also Called:**Function:**Content:**Total Retention:**Disposition:**Statutory Reference:**Note:**Approval Date:*

Case file

Moving papers and other case related documents

Until no longer required (minimum 5 years)

Destroy

GC §34090 (2 years)

Presiding court is office of record.

May 17, 2012

CAO-007**Weapons Petitions***Also Called:**Function:**Content:**Total Retention:**Disposition:**Statutory Reference:**Note:**Approval Date:*

Case file

Moving papers and other case related documents

Until no longer required (minimum 2 years)

Destroy

GC §34090 (2 years)

Presiding court is office of record.

May 17, 2012

CAO-008**Legal Opinions***Also Called:**Function:**Content:**Total Retention:**Disposition:**Statutory Reference:**Note:**Approval Date:*

Opinion memos

Advice memoranda to client departments

Memoranda in written or electronic format

Permanent

GC §34090 (2 years)

May 17, 2012

CAO-009**Code Files (Civil)***Also Called:**Function:**Content:*

Abatements; Injunctions; Nuisance; Gun and Drug Evictions

Case file

Moving papers and other case related documents

Office of the City Attorney

Total Retention: Case Resolution + 5 years
Disposition: Destroy
Statutory Reference:
Note: Presiding court and lead agency are the office of record.
Approval Date: May 17, 2012

CAO-010

Also Called:
Function:

Content:

Total Retention:

Disposition:

Statutory Reference:

Note:

Approval Date:

Tenders of Defense

Tender letters

Request and agreement for representation between City employee and the City Attorney.

Original Consent to Representation/Waiver of Conflict and Notification of Lawsuit/Request for Defense forms.

Until no longer required (minimum 5 years)

Destroy

CCP §337 et seq. (4 years); GC §911.2 (cause of action +1 year); GC §34090 (2 years); PC §832.5 (5 years)

May 17, 2012

CAO-011

Also Called:
Function:

Content:

Total Retention:

Disposition:

Statutory Reference:

Note:

Approval Date:

Outside Counsel Agreements

Retainer letters; RFQ/Proposal for legal services

Active list of counsel which provide specific expertise

RFQ and current retainer agreements

Lifetime of matter for which firm is retained

Destroy

GC §34090 (2 years)

Office of the City Clerk is the office of record for executed city contracts, see CCO-007 *Contracts, Leases, and Agreements*.

May 17, 2012

City Auditor

AUD-001**Audit Work Papers***Also Called:**Function:*

Records used to develop and support reports and review of the Office of the City Auditor. Supports the implementation of Auditor's recommendations and recommendation follow up.

Content:

May include, but is not limited to reports, studies, correspondence, and other materials that would support the audit function.

Total Retention:

Until superseded, but not less than 5 years

Disposition:

Destroy Securely

Statutory Reference:

GC §34090 (2 years)

Note:

Audit, quarterly, and follow up reports written by the Office of the City Auditor are submitted to either or both the Audit Committee and City Council. These reports are considered staff reports to a legislative body. See CW-016 Meetings of Brown Act Bodies, for retention.

Approval Date:

July 5, 2011

Office of the City Clerk

CCO-001**Annexations***Also Called:**Function:**Content:**Total Retention:**Disposition:**Statutory Reference:**Note:**Approval Date:*

Documents the history of land annexations.

May include, but is not limited to: correspondence, recorded maps, and reports.

Permanent

Transfer to The Center for Sacramento History after 10 years.

GC §34090(a) (permanent)

October 25, 2010

CCO-002**Assessment Proceedings***Also Called:**Function:**Content:**Total Retention:**Disposition:**Statutory Reference:**Note:**Approval Date:*

PBIDS

Documents the tabulation of ballots relating to assessment districts including, but not limited to: annexation into assessment districts, landscape and lighting districts, and property and business improvement districts.

Ballots and Certification

Vote Tabulation, Ballots, and Proceeding: certification +2 years

Destroy Securely

GC §53753(e)(2) (2 years); EC §17302; EC §17306; CA Constitution Article XIII

November 18, 2013

CCO-003**Board, Commission, and Committee Recruitment***Also Called:**Function:**Content:**Total Retention:**Disposition:**Statutory Reference:**Note:**Approval Date:*

Documents the recruitment process of persons who have applied to serve on a City board, commission, or committee.

May include, but is not limited to: applications of City board, commission, or committee applicants, recruitment administrative records, announcements, and correspondence.

Unsuccessful Applications: selection process +2 years

Destroy Securely

GC §34090(d) (2 years)

See CCO-013 for records of successful applicants.

February 17, 2011

CCO-004**Charters and Articles of Incorporation***Also Called:**Function:**Content:**Total Retention:**Disposition:**Statutory Reference:*

A written instrument that creates and defines the rights and privileges of the City.

May include, but is not limited to: original charter, petitions for incorporation, constitution, by-laws, and amendments.

Permanent

Transfer to The Center for Sacramento History after 10 years.

GC §34460 (permanent), GC §34090(d) (2 years)

Office of the City Clerk

Note:

Approval Date: October 25, 2010

CCO-005**City Seal and Flag**

Also Called:

Function:

Record the history of currently in use City Seal and Flag.

Content:

Total Retention:

Permanent

Disposition:

When superseded, originals will be transferred to The Center for Sacramento History.

Statutory Reference: GC §34090(d) (2 years)

Note:

The City Seal is the official mark of the City, generally used in embossed form to guarantee the authenticity of a City document. This is different than a logo or brand, which is held by the City's Public Information Officer.

Approval Date:

October 25, 2010

CCO-007**Contracts, Leases, and Agreements**

Also Called:

Function:

Memorandum of Understanding, leases, and rental agreements.

Official agreements enforceable by law to acquire or provide services, equipment, or maintenance. Documents the terms and conditions of agreements between the City, private companies, other public agencies, and individuals.

Content:

May include, but is not limited to: contracts, exhibits, bid documents, change orders and amendments and significant related correspondence. Information in contracts usually includes contract number, certificate of required insurance, dates, terms, parties involved, period covered, and signatures. May also include copies of payments, receipts, and other supporting papers used in managing the contract.

Total Retention:

Permanent

Disposition:

Transfer to The Center for Sacramento History after 10 years.

Statutory Reference:

CCP §337(4 years), CCP §337.1(a) (4 years), CCP §337.15 (10 years), CCP §343 (4 years); GC §34090(d) (2 years)

Note:

For contract administration file see CW-008 Contracts, Leases, and Agreements (Department Level Administration File) on the Citywide Schedule.

Approval Date:

October 25, 2010

CCO-008**Domestic Partnership**

Also Called:

Function:

Records domestic partnerships of persons residing within the City of Sacramento, notarized and filed by the Office of the City Clerk.

Content:

May include, but is not limited to: Domestic Partnership Declaration Form, Declaration Amendments, and Domestic Partnership Termination Form.

Total Retention:

Program Sunset +100 years

Disposition:

Destroy Securely

Office of the City Clerk

Statutory Reference: GC §34090(d) (2 years)
Note: This program sunset on January 1, 2016.
Approval Date: October 25, 2010

CCO-009**Elections**

Also Called:

Function:

Content:

Records the activities of primary and general elections.

May include, but is not limited to: nomination papers, candidate statements, ballot designation worksheet, statement of acceptance or rejection of public financing, code of fair campaign practices form, oath of office, manner of payment form, biographical form, candidate image, and arguments/rebuttals for measures.

Total Retention:

Permanent

Disposition:

Transfer to The Center for Sacramento History after 10 years.

Statutory Reference:

GC §34090(d) (2 years)

Note:

A historical file will be established for each election at the conclusion of the election. This file shall contain the election certificate and sample ballot and shall be retained permanently.

Approval Date:

October 25, 2010

CCO-010**Fair Political Practices Commission (FPPC) Filings**

Also Called:

Function:

Content:

FPPC Filings: Form Series 400, Form 700, and Form Series 800.

Documents the history of candidate financing and economic interest statements of elected officials, appointed members, and employees specified in the Conflict of Interest Resolution.

May include, but is not limited to: FPPC Form Series 400 – Campaign Disclosure Forms, Form 700 – Statements of Economic Interest, Form Series 800 – Gifts, Tickets, Behest Payments.

Total Retention:

Form Series 400

Officeholders including committees supporting or opposing: permanent

Unsuccessful candidates: filing date + 5 years

All others not listed above: filing date + 7 year

Form 700: filing date + 7 years

Form Series 800: filing date + 7 years

Disposition:

Transfer to The Center for Sacramento History after 10 years.

Statutory Reference:

GC §81009(a-g) (Office holders: permanent, unsuccessful candidates: 5 years, and others 7 years) (originals 2 years)

Note:

These records must be maintained in hard copy/paper form for at least two years

Approval Date:

November 18, 2013

CCO-011**History of Elected Officials and Charter Officers**

Also Called:

Function:

Content:

Documents the names and terms of elected City officials and appointed Charter Officers.

May include, but is not limited to: a listing of officials and dates of service.

Office of the City Clerk

Total Retention: Permanent
Disposition:
Statutory Reference: GC §34090(d) (2 years)
Note:
Approval Date: October 25, 2010

CCO-012**Initiative, Recall, or Referendum Petitions**

Also Called:
Function:

Documents the submission and processing of initiatives, recall efforts, or referendum petitions.

Content: May include, but is not limited to: published certification, petition, ballot turn in, correspondence, notice of intent, and ballot title.

Total Retention: Petitions: until election results are certified, or final examination if no election + 8 months

Petition Administration Records: permanent

Disposition: Destroy Securely

Statutory Reference: EC §17200 (certification +8 months), EC §17400 (final examination +8 months); (originals 2 years)

Note:

Approval Date: October 25, 2010

CCO-013**Members Appointed to a City Board or Commission**

Also Called:
Function:

Administrative files of persons appointed to a City of Sacramento board, commission, or committee.

Content: May include, but is not limited to: the member's application, oaths of office, ethics training certificate, and correspondence.

Total Retention: Ethics Certificates: 5 years from date of training;
All other records: duration of appointed service + 4 years

Disposition: Destroy securely

Statutory Reference: GC §34090(d) (2 years); GC §53235.2(b) (5 years)

Note: See CCO-0009 Elections for administrative files of elected officials

Approval Date: February 17, 2011

CCO-014**Lobbyist Records**

Also Called:
Function:

Document registration of lobbyists in accordance with Sacramento City Code 2.15.010.

Content: Lobbyist registration records and quarterly lobbyist reports.

Total Retention: 4 years

Disposition: Destroy Securely

Statutory Reference: GC §34090(d) (2 years); SCC §2.15.150 (4 years)

Note:

Approval Date: October 25, 2010

CCO-015**Municipal Code**

Also Called:

Office of the City Clerk

<i>Function:</i>	The Municipal Code documents all ordinances passed by the Sacramento City Council. The Municipal Code is updated as new ordinances are adopted by the City Council.
<i>Content:</i>	City of Sacramento Municipal code contains all ordinances for the City of Sacramento.
<i>Total Retention:</i>	Code including all Updates: Permanent Code Administration Records: 2 years
<i>Disposition:</i>	The code and updates may be transferred to The Center for Sacramento History after 10 years, all other records may be destroyed.
<i>Statutory Reference:</i>	GC §34090(e) (permanent)
<i>Note:</i>	
<i>Approval Date:</i>	October 25, 2010

CCO-016**Redistricting***Also Called:*

<i>Function:</i>	Documents the process of defining and/or changing of City Council Districts.
<i>Content:</i>	May include, but is not limited to: maps, reports, studies, and correspondence.
<i>Total Retention:</i>	Permanent
<i>Disposition:</i>	Records may be transferred to The Center for Sacramento History after 10 years.
<i>Statutory Reference:</i>	GC §34090(d) (2 years)
<i>Note:</i>	
<i>Approval Date:</i>	October 25, 2010

CCO-017**Records Management***Also Called:*

<i>Function:</i>	Documents the authorized retention, scheduling, inventory and disposition of public records.
<i>Content:</i>	May include, but not limited to: procedural guidelines, records retention schedules, inventory reports, transfer agreements, disposal lists, and destruction authorizations.
<i>Total Retention:</i>	Record Retention Schedules, Disposal Lists, Destruction Authorizations and Record Transfers: permanent All other records: 2 years
<i>Disposition:</i>	Destroy
<i>Statutory Reference:</i>	GC §34090(d) (2 years)
<i>Note:</i>	
<i>Approval Date:</i>	October 25, 2010

CCO-018**Resolution and Ordinances***Also Called:*

<i>Function:</i>	Resos Legislative and non-legislative actions that document the City's policy development. An ordinance defines a law set forth by the City Council, a resolution is formal expression of opinion, will, or intent voted by the official body.
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Office of the City Clerk

Content: Final, numbered, signed resolutions and ordinances.
Total Retention: Permanent
Disposition: Transfer to The Center for Sacramento History annually.
Statutory Reference: GC §34090(e) (permanent)
Note:
Approval Date: October 25, 2010

CCO-019

Public Record Requests

Also Called: Sunshine Law Requests, Open Records Requests, Public Record Act Requests, California Public Record Request, PRA, and CPRA
Function: Requests for information pursuant to California Government Code §6250.
Content: May include, but is not limited to: a description of the records being requested, City's Public Record Request Form, correspondence, and request tracking records.
Total Retention: 2 years
Disposition: Destroy
Statutory Reference: GC §34090(d) (2 years)
Note:
Approval Date: October 21, 2010

Office of the City Manager

CMO-001**Ann Land/Bertha Henschel Memorial Funds Commission**

Also Called:
Function:

Documents the disbursement of the income of the Ann Land Memorial Fund and the Bertha Henschel memorial fund. The fund was established for the benefit, aid and assistance of the destitute men, women and children of the city.

Content: May include, but is not limited to: funding distribution records, commission funding history

Total Retention: Permanent

Disposition:

Statutory Reference: GC §34090(d) (2 years)

Note: See also CW-016 Meeting Records for Brown Act Bodies

Approval Date: March 16, 2011

CMO-002**Lobbyist Employer**

Also Called:
Function:

FPPC Form 635

The California Fair Political Practices Commission requires City to file FPPC Form 635 in accordance with their filing schedule any time the City employs a lobbyist or contracts with a lobbying firm for economic consideration for the purpose of influencing legislative or administrative action.

Content: May include, but is not limited to: FPPC Form 635-Report of Lobbyist Employer.

Total Retention: 7 years (hard copy shall be retained for 2 years)

Disposition: Destroy Securely

Statutory Reference: GC §81009(e) (7 years); GC §81009(g) (original 2 years)

Note:

Approval Date: August 30, 2010

CMO-003**Worker Adjustment and Retraining Notification (WARN Notices)**

Also Called:
Function:

Notices received by the City from businesses advising of qualified plant closings, and/or mass layoffs affecting the Sacramento area/region.

Content: May include, but is not limited to: WARN Notices

Total Retention: 2 years

Disposition: Destroy

Statutory Reference: GC §34090(d) (2 years)

Note:

Approval Date: August 30, 2010

CMO-004**Office of Public Safety Accountability Investigation Files**

Also Called:

Office of the City Manager

<i>Function:</i>	Records created during the course of investigating complaints about the City of Sacramento's Public Safety Departments, received via the Office of Public Safety Accountability.
<i>Content:</i>	May include, but is not limited to: copies of complaint intake sheet, OPSA audit sheet, any summary investigation memos.
<i>Total Retention:</i>	Officer Involved Shootings: final disposition + 25 years All other Investigations: final disposition + 5 years
<i>Disposition:</i>	Destroy Securely
<i>Statutory Reference:</i>	PC § 832.5(b) (5 years); GC §12946 (personnel records: 2 years); VC §2547 (complaints can be filed for 3 years from alleged action)
<i>Note:</i>	
<i>Approval Date:</i>	August 30, 2010

Office of the City Treasurer

CTO-001*Also Called:**Function:**Content:**Total Retention:**Disposition:**Statutory Reference:**Note:**Approval Date:***Bond Administration Files**

Post-Issuance

Documents related to activity post issuance of bonds or financing.

May include, but is not limited to: documents evidencing expenditure of bond proceeds, use of bond-financed property by public and private sources, and investment of bond proceeds.

Final Maturity (inclusive of refundings) + 3 years

Destroy Securely

IRS Reg §6001 (per Secretary requirements, long enough to show person is liable); 26 CFR §1.148-5(d)(6)(iii)(E) (last outstanding bond is redeemed +3 years)

August 10, 2015

CTO-002*Also Called:**Function:**Content:**Total Retention:**Disposition:**Statutory Reference:**Note:**Approval Date:***Bond Transcripts and Legal Documents**

Legals

Documents necessary for the legal issuance of a bond or other financing transaction.

May include, but is not limited to: special district formation documents, authorizing resolutions, project leases, site leases, loan agreements, indentures, bond counsel opinions, continuing disclosure certificates, and bond purchase contracts.

Permanent

Transfer to The Center for Sacramento History after Final Maturity (inclusive of refundings) + 3 years

IRS Reg §6001 (per Secretary requirements, long enough to show person is liable); 26 CFR §1.148-5(d)(6)(iii)(E) (last outstanding bond is redeemed +3 years)

August 10, 2015

CTO-003*Also Called:**Function:**Content:**Total Retention:**Disposition:**Statutory Reference:**Note:**Approval Date:***Investment Agreements**

These are the official records of all banking and investment agreements.

May include, but is not limited to: Investment agreements with outside agencies such as: United Way, Sac Library, Natomas Basin, and the American River Flood Control District.

Permanent

Transfer to The Center for Sacramento History after 2 years

GC §34090(d) (2 years); CCP§ 337(a) (5 years)

September 30, 2014

CTO-004*Also Called:***Investment Records**

Office of the City Treasurer

<i>Function:</i>	These records document all investment activity and may include daily, monthly, and Investment Committee records.
<i>Content:</i>	May include, but is not limited to: monthly statements, monthly and quarterly reports, non-negotiable CDs, securities litigation claim forms and settlements, securities lending reports, performance history reports, wire requests and transfers, directives, approved and affirmed fixed and equity trade tickets, and DTCC Trade Confirmations.
<i>Total Retention:</i>	10 years
<i>Disposition:</i>	Destroy Securely
<i>Statutory Reference:</i>	GC §34090(d) (2 years)
<i>Note:</i>	
<i>Approval Date:</i>	September 30, 2014

CTO-005**Project Feasibility Files**

<i>Also Called:</i>	Pre-issuance
<i>Function:</i>	Documents related to the preliminary planning stages up to the issuance of bonds or other financing instruments.
<i>Content:</i>	May include, but is not limited to: appraisals, demand surveys or feasibility studies, title reports, rating agency presentations, and other documents that might be significant to the bond financing.
<i>Total Retention:</i>	Final maturity (inclusive of refundings) + 3 years or if a financing is not executed, until no longer needed, but not less than 2 years
<i>Disposition:</i>	Destroy Securely
<i>Statutory Reference:</i>	IRS Reg §6001 (per Secretary requirements, long enough to show person is liable); 26 CFR §1.148-5(d)(6)(iii)(E) (last outstanding bond is redeemed +3 years)
<i>Note:</i>	
<i>Approval Date:</i>	August 10, 2015

Community Development Department

CDD-001*Also Called:**Function:**Content:**Total Retention:**Disposition:**Statutory Reference:**Note:**Approval Date:***Planning Project File**

P-Files

Records documenting planning applications for entitlements required by Title 16 or Title 17 of the City Code.

File routing documents, noticing documents, project correspondence, records of decision*, council and commission staff reports and exhibits*, invoices, receipts, environmental documents (if required by project), and all required forms.

Project Completion + 10 years*

Records pertaining to property owned by the City or that are on the National Register of Historic Places, California Register of Historic Resources, or Sacramento Register shall be transferred to The Center for Sacramento History. All other records shall be destroyed securely.

GC §34090(d) (2 years)

*See also CW-016 Meeting Records for Brown Act Bodies and CDD-009 Environmental Project Documents

March 16, 2011

CDD-002*Also Called:**Function:**Content:**Total Retention:**Disposition:**Statutory Reference:**Note:**Approval Date:***Design Review Project File**

DR-Files

Records relating to building structures or modifying existing structures in design review districts.

File routing documents, noticing documents, project correspondence, records of decision*, council and commission staff reports and exhibits*, invoices, receipts, environmental documents (if required by project), and all required forms.

Project Completion + 10 years*

Records pertaining to property owned by the City or that are on the National Register of Historic Places, California Register of Historic Resources, or Sacramento Register shall be transferred to The Center for Sacramento History. All other records shall be destroyed securely.

GC §34090(d) (2 years)

*See also CW-016 Meeting Records for Brown Act Bodies and CDD-009 Environmental Project Documents

March 16, 2011

CDD-003*Also Called:**Function:**Content:**Total Retention:**Disposition:***Expanded Review Project Files**

ER-Files

Records documenting requests and authorizations for staff-level design review of single-family dwellings.

File routing documents, noticing documents, project correspondence, records of decision*, council and commission staff reports and exhibits*, invoices, receipts, environmental documents (if required by project), and all required forms.

Project Completion + 10 years*

Records pertaining to property owned by the City or that are on the National Register of Historic Places, California Register of Historic

Community Development Department

Resources, or Sacramento Register shall be transferred to The Center for Sacramento History. All other records shall be destroyed securely.
Statutory Reference: GC §34090(d) (2 years)
Note: *See also CW-016 Meeting Records for Brown Act Bodies and CDD-009 Environmental Project Documents
Approval Date: March 16, 2011

CDD-004

Long Range Planning Project File

Also Called:

M-Files

Function:

Records documenting preparation and adoption of the general plan, housing element, community plans, neighborhood plans, specific plans, functional master plans, and land use and infrastructure studies, policies and ordinances.

Content:

File routing documents, noticing documents, project correspondence, records of decision*, council and commission staff reports and exhibits*, invoices, receipts, environmental documents (if required by project), and all required forms.

Total Retention:

Project Completion + 10 years*

Disposition:

Records pertaining to property owned by the City or that are on the National Register of Historic Places, California Register of Historic Resources, or Sacramento Register shall be transferred to The Center for Sacramento History. All other records shall be destroyed securely.

Statutory Reference:

GC §34090(d) (2 years)

Note:

*See also CW-016 Meeting Records for Brown Act Bodies and CDD-009 Environmental Project Documents

Approval Date:

March 16, 2011

CDD-005

Investigation and Report Project File

Also Called:

I&R Files

Function:

Records documenting staff research, findings and recommendations.

Content:

File routing documents, noticing documents, project correspondence, records of decision*, council and commission staff reports and exhibits*, invoices, receipts, environmental documents (if required by project), and all required forms.

Total Retention:

Project Completion + 10 years*

Disposition:

Records pertaining to property owned by the City or that are on the National Register of Historic Places, California Register of Historic Resources, or Sacramento Register shall be transferred to The Center for Sacramento History. All other records shall be destroyed securely.

Statutory Reference:

GC §34090(d) (2 years)

Note:

*See also CW-016 Meeting Records for Brown Act Bodies and CDD-009 Environmental Project Documents

Approval Date:

March 16, 2011

CDD-006

Miscellaneous Project Files

Also Called:

M-Files

Community Development Department

Function: These are project files that fall outside the other planning project classifications.

Content: File routing documents, noticing documents, project correspondence, records of decision*, council and commission staff reports and exhibits*, invoices, receipts, and all required forms.

Total Retention: Project Completion + 10 years*

Disposition: Records pertaining to property owned by the City or that are on the National Register of Historic Places, California Register of Historic Resources, or Sacramento Register shall be transferred to The Center for Sacramento History. All other records shall be destroyed securely.

Statutory Reference: GC §34090(d) (2 years)

Note: *See also CW-016 Meeting Records for Brown Act Bodies and CDD-009 Environmental Project Documents

Approval Date: March 16, 2011

CDD-007

Preservation Project File

Also Called:

PB-Files

Function:

These files include records relating to building structures or modifying existing structures in historic preservation districts.

Content:

File routing documents, noticing documents, project correspondence, records of decision*, council and commission staff reports and exhibits*, invoices, receipts, and all required forms.

Total Retention:

Project Completion + 10 years*

Disposition:

Records pertaining to property owned by the City or that are on the National Register of Historic Places, California Register of Historic Resources, or Sacramento Register shall be transferred to The Center for Sacramento History. All other records shall be destroyed securely.

Statutory Reference:

GC §34090(d) (2 years)

Note:

*See also CW-016 Meeting Records for Brown Act Bodies and CDD-009 Environmental Project Documents

Approval Date:

March 16, 2011

CDD-008

Zoning Project File

Also Called:

ZA-File

Function:

Records regarding, but not limited to, the regulation and use of land, buildings, or other structures for residences, commerce, industry, and other uses required by the community; the regulation of the location, height, and size of buildings or structures.

Content:

File routing documents, noticing documents, project correspondence, records of decision*, council and commission staff reports and exhibits*, invoices, receipts, environmental documents (if required by project), and all required forms.

Total Retention:

Project Completion + 10 years*

Disposition:

Records pertaining to property owned by the City or that are on the National Register of Historic Places, California Register of Historic Resources, or Sacramento Register shall be transferred to The Center for Sacramento History. All other records shall be destroyed securely.

Community Development Department

Statutory Reference: GC §34090(d) (2 years)
Note: *See also CW-016 Meeting Records for Brown Act Bodies and CDD-009 Environmental Project Documents
Approval Date: March 16, 2011

CDD-009**Environmental Project Documents**

Also Called:

Function:

Content:

Records that pertain to the review of environmental project factors.
Notice of Intent (NOI)/Notice of Availability (NOA), Negative Declaration (Neg Dec)/Mitigated Negative Declaration (MND), Notice of Determination (NOD)/Notice of Exemption (NOE), Environmental Impact Report (EIR)/Draft Environmental Impact Reports (DEIR)

Total Retention:

NOI/NOA: project completion + 5 years
Neg Dec/MND: project completion + 10 years
NOD/NOE: permanent
EIR/DEIR (also includes appendices): permanent

Disposition:

Destroy securely

Statutory Reference:

CA GC §34090(d); 14 CCR §15095(c) (EIR shall be retained for a "reasonable period of time")

Note:

Approval Date:

November 18, 2013

CDD-010**Commercial Building File and Residential Structures 3 Stories or More, Master Planned Developments**

Also Called:

Function:

Records documenting requests and authorizations for property owners to erect new structures, including signs, or make structural modifications to existing ones. Serves as official authorization for construction including installation of plumbing, electrical and mechanical equipment and other related work.

Content:

Permit application, plan sheets and supporting documents, receipts, project correspondence, building permit*, inspection certifications, certification of occupancy, hold harmless agreement*, flood certification*, alternative means, accessibility hardship, and all required forms.

Total Retention:

Permanent

Disposition:

Plans may be transferred to The Center of Sacramento History 10 years after completion.

Statutory Reference:

GC §34090(d) (2 years); H&S §19850.a-d (life of building); CBC 1.8.4.3.1(life of building)

Note:

Not all files will contain a building permit, certificate of occupancy, and/or inspection certifications unless a permit was issued for the project and subsequent inspections were conducted.

*See also: CDD-015 Hold Harmless Agreements, CDD-0016 Flood Certification, CDD-019 Building Permits

Approval Date:

January 6, 2011

Community Development Department

CDD-011**Residential Building File***Also Called:**Function:*

Records documenting requests and authorizations for property owners to erect new structures, including signs, or make structural modifications to existing ones. Serves as official authorization for construction including installation of plumbing, electrical and mechanical equipment and other related work.

Content:

Permit application, plan sheets and supporting documents, receipts, project correspondence, building permit*, inspection certifications, hold harmless agreement*, flood certification*, alternative means, accessibility hardship, and all required forms.

Total Retention:

Project Application +5 years*

Disposition:

Records pertaining to property owned by the City or that are on the National Register of Historic Places, California Register of Historic Resources, or Sacramento Register shall be transferred to The Center for Sacramento History. All other records shall be destroyed securely.

Statutory Reference:

GC §34090(d) (2 years) CBC 1.8.4.3.1 (exemption of single or multiple dwellings not more than 2 stories & basement in height); CA H&S §19850.a-d (exemption of single or multiple dwellings not more than 2 stories & basement in height).

Note:

Residential building files are for structures two stories and a basement or less. Three story residential structures follow the commercial building retention.

Not all files will contain a building permit, and/or inspection certifications unless a permit was issued for the project and subsequent inspections were conducted.

*See also: CDD-015 Hold Harmless Agreements, CDD-0016 Flood Certification; CDD-019 Building Permits

Approval Date:

January 6, 2011

CDD-012**Expired, Withdrawn, Voided, or Abandoned Building Plan Permits, Plan Review, and Applications***Also Called:**Function:*

Records that have not met the required time period thresholds set forth in the City code to continue through the permitting and inspection process.

*Content:**Total Retention:*

Expiration Date +2 years

Disposition:

Destroy

Statutory Reference:

GC §34090(d) (2 years)

*Note:**Approval Date:*

January 6, 2011

CDD-013**Expired, Withdrawn, Voided, or Abandoned Planning Plan Permits, Plan Review, and Applications***Also Called:*

Community Development Department

<i>Function:</i>	Records that have not met the required time period thresholds set forth in the City code to continue through the planning and entitlement process.
<i>Content:</i>	
<i>Total Retention:</i>	Expiration Date +2 years*
<i>Disposition:</i>	Destroy
<i>Statutory Reference:</i>	GC §34090(d) (2 years)
<i>Note:</i>	*See City Council Ordinance 2011-021 & 2012-003 pertaining to the extension of certain land use entitlements.
<i>Approval Date:</i>	January 6, 2011

CDD-014**Historical Property Information***Also Called:*

<i>Function:</i>	These files include historical preservation programs and projects in the city. The records consist of files used in the restoration of individual historical structures or restoration projects encompassing an entire area of the city.
<i>Content:</i>	Surveys, property research, nominations, historical designations, council and commission staff reports*, project correspondence, related media articles.
<i>Total Retention:</i>	Permanent
<i>Disposition:</i>	Records may be transferred to The Center of Sacramento History after 10 years.
<i>Statutory Reference:</i>	GC §34090(d) (2 years)
<i>Note:</i>	*See also CW-016 Meeting Records for Brown Act Bodies
<i>Approval Date:</i>	January 6, 2011

CDD-015**Commercial and Residential Building Hold Harmless Agreements***Also Called:*

<i>Function:</i>	Records of executed agreements that hold the City harmless relative to building and development.
<i>Content:</i>	
<i>Total Retention:</i>	Permanent
<i>Disposition:</i>	
<i>Statutory Reference:</i>	CA GC §34090(d) (2 years)
<i>Note:</i>	
<i>Approval Date:</i>	January 6, 2011

CDD-016**Commercial and Residential Building Elevation Certificate***Also Called:*

<i>Function:</i>	Flood Certificates Records used to provide elevation information necessary to ensure compliance with community flood plain management ordinances.
<i>Content:</i>	
<i>Total Retention:</i>	Permanent

Community Development Department

*Disposition:**Statutory Reference:* GC §34090(d) (2 years)*Note:**Approval Date:* January 6, 2011**CDD-018****Home Occupancy Permit Application***Also Called:*

HOPs

Function:

Applications for conducting a business out of a residence within the City of Sacramento.

Content:

Home occupancy permit application.

Total Retention:

Submission +2 years

Disposition:

Destroy Securely

Statutory Reference:

GC §34090(d) (2 years)

*Note:**Approval Date:*

January 6, 2011

CDD-019**Building Permits***Also Called:**Function:*

Records serve as official authorization for construction including installation of plumbing, electrical and mechanical equipment and other related work.

*Content:**Total Retention:*

Permanent

Disposition:

Records may be transferred to The Center of Sacramento History 10 years after completion.

Statutory Reference:

GC §34090(d) (2 years)

*Note:**Approval Date:*

January 6, 2011

CDD-020**Community Development Database Records***Also Called:**Function:*

Databases used by the Community Development Department to track tasks, issue permits, and manage and retrieve information used during the course of business.

Content:

Records in CitizenServe and Accela may include, but are not limited to: building and planning applications, inspection reports, photographs, certified mailing receipts, or fees.

Total Retention:

Permanent

*Disposition:**Statutory Reference:*

GC §34090(d) (2 years)

*Note:**Approval Date:*

May 5, 2014

CDD-021**Code Enforcement Case Files***Also Called:*

Community Development Department

Function: Records that document the activity associated with a cited City code violation.
Content: May include, but not limited to: violations lists, officer comments, photographs, certified mailing receipts, notices, and fees.
Total Retention: Project Completion + 2 years
Disposition: Destroy Securely
Statutory Reference: GC §34090(d) (2 years)
Note:
Approval Date: May 5, 2014

CDD-033

Weed / Refuse Abatement

Also Called:
Function: Documents weed and refuse abatement
Content: May include, but is not limited to: complaints, letters of protest, response to protests, and returned correspondence
Total Retention: Project Completion + 2 years
Disposition: Destroy Securely
Statutory Reference: GC §34090(d) (2 years)
Note: See CDD-021 Community Development Database Records: documents stored in CitizenServe are retained permanently
Approval Date: June 6, 2012

CDD-022

Entertainment Permit Files

Also Called:
Function: Records pertaining to a permit for an entertainment event or venue.
Content: Entertainment permit applications, permits and conditions, inspection reports, SPD case information, ABC license.
Total Retention: Close of Business/ Revocation of Permit + 2 years
Disposition: Destroy Securely
Statutory Reference: GC §34090(d) (2 years)
Note: See CDD-021 Community Development Database Records: documents stored in CitizenServe are retained permanently
Approval Date: May 5, 2014

CDD-023

Housing and Dangerous Buildings Case Files

Also Called:
Function: Records that document the activity associated with a cited building code violation.
Content: May include, but not limited to: violations lists, inspector comments, photographs, certified mailing receipts, notices, and fees.
Total Retention: Project completion + 2 years
Disposition: Destroy Securely
Statutory Reference: GC §34090(d) (2 years)
Note: See CDD-021 Community Development Database Records: documents stored in CitizenServe are retained permanently

Community Development Department

Approval Date: May 5, 2014

CDD-024**Real Property/ Vehicle Abatement Files**

Also Called:

Function:

Records that document the activity associated with real property or vehicle abatement code violation.

Content:

May include, but not limited to: violations lists, officer comments, photographs, certified mailing receipts, and fees.

Total Retention:

Project Completion/Payment + 2 years

Disposition:

Destroy Securely

Statutory Reference:

GC §34090(d) (2 years)

Note:

See CDD-021 Community Development Database Records: documents stored in CitizenServe are retained permanently

Approval Date:

May 5, 2014

CDD-025**Rental Housing Inspection Program File**

Also Called:

RHIP Files

Function:

Records that document the activity associated with a rental complex, home, or unit.

Content:

May include, but not limited to: inspection/violations lists, inspector comments, certified mailing receipts, fees, and program registration and exemption packets.

Total Retention:

Use as a Rental Property as defined by City Code + 2 years

Disposition:

Destroy Securely

Statutory Reference:

GC §34090(d) (2 years)

Note:

See CDD-021 Community Development Database Records: documents stored in CitizenServe are retained permanently

Approval Date:

May 5, 2014

CDD-026**Tobacco Retail Licensing**

Also Called:

Function:

Records that are associated with tobacco retail licensing.

Content:

Tobacco retail application, license, and GIS maps.

Total Retention:

2 years

Disposition:

Destroy Securely

Statutory Reference:

GC §34090(d) (2 years)

Note:

See CDD-021 Community Development Database Records: documents stored in CitizenServe are retained permanently

Approval Date:

May 5, 2014

CDD-027**Animal Adoption Records**

Also Called:

Function:

Records that document the adoption of animals from the City Animal Care Center.

Content:

May include, but is not limited to: adoption applications, adoption agreements, receipts, or invoices.

Total Retention:

3 years

Community Development Department

Disposition: Destroy
Statutory Reference: FA §32003(e) (end of impoundment +3 years); PC §597.1(d) (end of impoundment +3 years); GC §34090(d) (2 years)

Note:
Approval Date: December 14, 2010

CDD-028 Animal Care Center Administrative Records

Also Called:
Function:

Records that are used and created during the course of routine business at the City's Animal Care Center.

Content: May include, but is not limited to: kennel cards, lost and found animal reports; owner surrender forms, and Sacramento County Sheriff's property release forms.

Total Retention: 2 years
Disposition: Destroy
Statutory Reference: GC §34090(d) (2 years)
Note:
Approval Date: December 14, 2010

CDD-029 Animal Code & Regulation Enforcement

Also Called:
Function:

Documents efforts to enforce animal codes & regulations, including the investigation of infractions and other records.

Content: May include, but is not limited to: notification of violations, citations, warning notices, barking dog letters, animal bite reports, impound notices, weapons discharge reports, and investigation reports.

Total Retention: 5 years
Disposition: Destroy Securely
Statutory Reference: CCP §336(a) (5 years), *See also CW-016 Meeting Records for Brown Act Bodies 337 et. seq. (4 years), FA §32003(e) (end of impoundment +3 years); PC §597.1(d) (end of impoundment +3 years); GC §34090(d) (2 years)

Note:
Approval Date: December 14, 2010

CDD-030 Animal Microchip Records

Also Called:
Function:
Content:

Animal contact information

May include, but is not limited to: microchip records and animal emergency contact information.

Total Retention: 15 years
Disposition: Destroy
Statutory Reference: FA §32003(e) (end of impoundment +3 years); PC §597.1(d) (end of impoundment +3 years); GC §34090(d) (2 years)

Note:
Approval Date: December 14, 2010

Community Development Department

CDD-031

Animal Permit & Licensing

Also Called:

Function:

Content:

Total Retention:

Disposition:

Statutory Reference: GC §34090(d) (2 years)

Note:

Approval Date: December 14, 2010

Documents the City's issuance of animal permits and licenses. May include, but is not limited to: the animal permit database Chameleon.

Permanent

CDD-032

Animal Treatment Records

Also Called:

Function:

Content:

Total Retention:

Disposition:

Statutory Reference: FA §32003(e) (end of impoundment +3 years); PC §597.1(d) (end of impoundment +3 years); GC §34090(d) (2 years)

Note:

Approval Date: December 14, 2010

Documents the care provided to animals at the City's Animal Care Center.

May include, but is not limited to: vaccination records, medical treatment information, spay/neuter information, euthanasia records, animal evaluations, and rabies records.

3 years

Destroy

Convention and Cultural Services Department**CCS-001****Art Exhibits and Collections - Temporary***Also Called:**Function:*

Records that document the acquisition, temporary display, exhibiting, and maintenance of art exhibits and collections (not including the actual artwork).

Content:

May include, but is not limited to: drawings and photographs, plans and elevations, correspondence, applications, and copies of agreements.

Total Retention:

Duration of the exhibit +2 years

Disposition:

Destroy

Statutory Reference:

GC §34090(d) (2 years)

Note:

Actual artwork shall be returned to the artist or lender in accordance with the applicable agreement.

Approval Date:

January 31, 2012

CCS-002**Art Exhibits and Collections – Permanent***Also Called:**Function:*

Records that document the acquisition, permanent display, exhibiting, and maintenance of art exhibits and collections (not including the actual artwork).

Content:

May include, but is not limited to: drawings and photographs, plans and elevations, 3-dimensional models, engineering documentation, correspondence, maintenance and conservation records.

Total Retention:

Collection Records: permanent.

Initial Administration or Selection of Artists and Art Pieces: 2 years

Disposition:

Destroy

Statutory Reference:

GC §34090(d) (2 years)

Note:

Questions concerning the disposition of the actual artwork should be referred to the Office of the City Attorney.

Approval Date:

January 31, 2012

CCS-003**City Cemetery Site & Interment Records***Also Called:**Function:**Content:*

Documents the history, events, and internments of the City Cemetery. May include, but is not limited to: plans of cemetery, map of interment plots, plot locations, cemetery administration and event files*, plot ownership records, or other cremation, burial, and interment information.

Total Retention:

Administrative and Event Files which do not include Records Affecting the Title to Real Property or Liens thereon: 2 years

All other records: permanent

Disposition:

Destroy securely

Permanent records may be transferred to The Center for Sacramento History after 10 years.

Statutory Reference:

GC §34090(d) (2 years); HS §8330-8331 (permanent)

Note:

*See also CW-013 Events – City Sponsored

Approval Date:

January 31, 2012

Convention and Cultural Services Department**CCS-004****Collections Records***Also Called:**Function:*

These records provide the “intellectual control” of the collections by tracking the provenance, location, description, condition, maintenance, use, and licensing of the archival and artifact collections held at The Center for Sacramento History.

Content:

May include, but is not limited to: accession logbooks; condition reports; registers, finding aids & guides; collections, databases (PastPerfect, Archivists’ Toolkit, OAC, Access, Excel); out-loan form; copyright understanding form; film licensing agreements; user statistics; researcher registration form; and pull-slips.

Total Retention:

Researcher Registration Form and Pull-slips: 5 years

Disposition:

All other records: permanent

Destroy securely

Permanent records may be transferred to The Center for Sacramento History after 10 years.

Statutory Reference:

GC §34090(d) (2 years)

*Note:**Approval Date:*

January 31, 2012

CCS-005**Convention Center Box Office***Also Called:**Function:*

Documents transactions of the Convention Center Box office.

Content:

May include, but is not limited to: accounts payable ledger, box office settlement sheet, and ticket sales information.

Total Retention:

5 years

Disposition:

Destroy securely

Statutory Reference:

GC §34090(d) (2 years)

*Note:**Approval Date:*

January 31, 2012

CCS-006**Convention Center Events***Also Called:**Function:*

Documents history of events hosted at the Convention Center Complex

Content:

May include, but is not limited to: event business data base, summary of events, event planning records, copies of contracts, receipts, invoices manifests, and correspondence for booked and potential events.

Total Retention:

Event Business Management Database: permanent

Administrative Event Files: event + 2 years

Disposition:

Destroy

Statutory Reference:

GC §34090(d) (2 years)

*Note:**Approval Date:*

January 31, 2012

*Convention and Cultural Services Department***CCS-009****Horse Drawn Carriage Operations***Also Called:**Function:*

Records that document the operations and permits for horse drawn carriage operations.

Content:

May include, but is not limited to: permits and administration files for carriage operations.

Total Retention:

3 years

Disposition:

Destroy

Statutory Reference:

GC §34090(d) (2 years)

*Note:**Approval Date:*

January 31, 2012

CCS-010**Programs and Exhibits Records***Also Called:*

Exhibit Files

Function:

These records document the physical and conceptual planning, research, development and implementation of public programs and exhibits created/conducted by The Center for Sacramento History.

Content:

May include, but is not limited to: in-loan form; condition reports; conservation reports & work; facility reports; insurance statements & waivers; pull-slips; research files, correspondence, photographs, publicity materials (press releases, invitations, postcards, posters, programs); education guides and materials; budgets, expense reports, receipts, fundraising materials, and contracts and honorariums (consultants, designers, fabricators, printers, speakers, photographers).

Total Retention:

Permanent

Disposition:

All files retained permanently at The Center for Sacramento History.

Statutory Reference:

GC §34090(d) (2 years)

*Note:**Approval Date:*

January 31, 2012

*Economic Development***EDD-001***Also Called:**Function:**Content:**Total Retention:**Disposition:**Statutory Reference:**Note:**Approval Date:***Economic Development Department Project Files**

Citywide and Redevelopment Project Files

Records document project research, project planning and project development

May include, but is not limited to: correspondence, individual project agreements, funding records

Permanent

May be transferred to The Center for Sacramento History after 10 years.

GC §34090(d) (2 years)

December 1, 2010

EDD-002*Also Called:**Function:**Content:**Total Retention:**Disposition:**Statutory Reference:**Note:**Approval Date:***Prospect Development Files**

Prospect Citywide and Redevelopment Project Files

Records document project research, project planning and project pre-development efforts

May include, but is not limited to: correspondence, individual project agreements, funding records

Until no longer needed; but not less than 2 years

Destroy securely

GC §34090(d) (2 years)

December 1, 2010

EDD-003*Also Called:**Function:**Content:**Total Retention:**Disposition:**Statutory Reference:**Note:**Approval Date:***Emerging Small Business Development Files**

Office of Small Business Development

Supports required documentation for small business certifications

May include, but is not limited to: applications, tax information, CA State quarterly reports and business license

Program Closure + 8 years

Destroy securely

GC §34090(d) (2 years)

Program Expired on November 19, 2013

December 1, 2010

EDD-004*Also Called:**Function:**Content:**Total Retention:**Disposition:**Statutory Reference:**Note:**Approval Date:***Business Transaction Documents**

Economic Development Transaction Documents

Records transactions and documentations relative to leases, projects and corporation business

May include, but is not limited to agreements, leases, certification, consent forms, accounting, taxes, corporation documents

Termination of Agreement + Audit Time + 7 years

Destroyed securely

GC §34090(d) (2 years)

December 13, 2016

Finance Department

FIN-001**Accounting Journals***Also Called:*

Journal entries, journal vouchers

Function:

Documents financial transactions.

Content:

May include, but is not limited to: accounting journals.

Total Retention:

5 years

Disposition:

Destroy securely

Statutory Reference:

GC §34090(d) (2 years)

*Note:**Approval Date:*

January 3, 2012

FIN-002**Accounting Records***Also Called:*

Accounting Year-end Files

Function:

Documents financial information necessary to prepare financial statements and demonstrate adequate internal controls over accounting and financial reporting.

Content:

May include, but is not limited to: financial statement compilations, lead and detail schedules, trial balance reports, bank statements, general ledger reconciliations, capital asset schedules, debt amortization schedules, unclaimed property records, State Controller's Office annual reports, sales and use tax returns, and EDD DE542 Forms.

Total Retention:

5 years

Disposition:

Destroy securely

Statutory Reference:

IRS Reg §31.6001-1(e)(2) (tax records, due date+ 4 years); 26 CFR §1.6001-1(e) (as long as needed for administration of any IRS law); R&T §19530 (reports & tax returns, due date +3 years); GC §34090(d) (2 years)

*Note:**Approval Date:*

January 3, 2012

FIN-003**Accounts Payable Records***Also Called:*

Vouchers, vendor payments

Function:

Documents vendor information and support for payments to vendors for goods, services, or other obligations.

Content:

May include, but is not limited to: vendor invoices, payment vouchers, cleared checks, check registers, IRS 1099 Forms, IRS W9 Forms, CA Forms 587 and 590.

Total Retention:

5 years

Disposition:

Destroy securely

Statutory Reference:

IRS Reg §31.6001-1(e)(2) (tax records, due date+ 4 years); R&T §19530 (reports & tax returns due date +3 years); GC §34090(d) (2 years)

*Note:**Approval Date:*

January 3, 2012

FIN-004**Assessment and Mello-Roos District Administration**

Finance Department

<i>Also Called:</i>	Maintenance Districts, Bond Districts, Acquisition Districts, PBIDS, CFDs
<i>Function:</i>	Records the levying of taxes and assessments for maintenance and construction; and distribute funds.
<i>Content:</i>	May include, but is not limited to: annual reports; tax rolls; maps; consultant contracts; engineer's reports; acquisition and shortfall agreements; cost verification letters and binders; budget journals; cost accounting records.
<i>Total Retention:</i>	Termination of District + 7 years
<i>Disposition:</i>	Destroy
<i>Statutory Reference:</i>	GC §34090(d) (2 years)
<i>Note:</i>	
<i>Approval Date:</i>	January 3, 2012

FIN-005 Assessment and Mello-Roos District Formations and Annexations

<i>Also Called:</i>	Maintenance Districts, Bond Districts, Acquisition Districts, PBIDS, CFDs
<i>Function:</i>	Records that create authority to levy taxes and assessments for maintenance and construction.
<i>Content:</i>	May include, but is not limited to: resolution of intentions; hearing reports; engineers reports; petitions; maps; resolutions of formation; ballot election results reports; certifications of noticing and mailings; recorded boundary maps and notices of tax lien.
<i>Total Retention:</i>	Permanent
<i>Disposition:</i>	Transfer to The Center for Sacramento History after 10 years.
<i>Statutory Reference:</i>	GC §34090(d) (2 years)
<i>Note:</i>	See CCO-009 for ballot and election records.
<i>Approval Date:</i>	January 3, 2012

FIN-006 Budget Journals

<i>Also Called:</i>	
<i>Function:</i>	Records used to establish, move, or change budgets.
<i>Content:</i>	May include, but is not limited to: organization number (Org Number), Project Child (Proj_Chld); Revenue; or Project Revenue (ProjRev) data.
<i>Total Retention:</i>	Permanent
<i>Disposition:</i>	
<i>Statutory Reference:</i>	GC §34090(d) (2 years)
<i>Note:</i>	
<i>Approval Date:</i>	January 3, 2012

FIN-007 City Budget

<i>Also Called:</i>	
<i>Function:</i>	Records documenting the final annual financial plan approved by the City Council.

Finance Department

Content: May include, but is not limited to: final adopted budget, capital improvement program; mid-year budget review and reports; budget operating adjustments, labor projection reports and budget forecasts.

Total Retention: Final Budget Reports: permanent
Mid-year Budget Reports: 10 years
Budget Forecasts: 2 years
All other records: 5 years

Disposition: Destroy

Statutory Reference: GC §34090(d) (2 years)

Note:

Approval Date: January 3, 2012

FIN-008**Comprehensive Annual Financial Reports**

Also Called: CAFRs, annual financial statements

Function: Documents the fiscal condition, results of operations, and fiscal accountability.

Content: Comprehensive Annual Financial Reports

Total Retention: Permanent

Disposition:

Statutory Reference: GC §34090(d) (2 years)

Note:

Approval Date: January 3, 2012

FIN-009**Finance Department Databases**

Also Called:

Function: Documents databases used by the Finance Department.

Content: May include, but is not limited to, the following databases: eCaps; Cashiering; Business Taxes.

Total Retention: Cashiering Records: 5 years
All other records: permanent

Disposition: Destroy securely

Statutory Reference: GC §34090(d) (2 years)

Note:

Approval Date: January 3, 2012

FIN-010**Finance Plans, Nexus Studies, and Development Impact Fees, Development Fee Districts**

Also Called:

Function: Records used to develop and administer developer impact fees for various programs to mitigate the impact of development.

Content: May include, but is not limited to: certifications of noticing; maps; consultant contracts; finance plan and nexus study documents.

Total Retention: End of Plan or Fee + 5 years

Disposition: Destroy

Statutory Reference: GC §34090(d) (2 years)

Note:

Approval Date: January 3, 2012

Finance Department

FIN-011**Finance Plans, Nexus Studies, and Development Impact Fees Administration***Also Called:**Function:*

Records used to manage cash and developer credits, adjust fees, developer cost verification letters and binders.

Content:

May include, but is not limited to: credit reimbursement agreements; cost verification letters; binders and credit release letters.

Total Retention:

End of Fee or Fee Credit Balances +5 years

Disposition:

Destroy

Statutory Reference:

GC §34090(d) (2 years)

*Note:**Approval Date:*

January 3, 2012

FIN-012**Payroll Records***Also Called:**Function:*

Documents the earnings, deductions, and withholdings of employees.

Content:

May include, but is not limited to: quarterly payroll tax returns (DE-6 & 941 Forms), direct deposit forms, garnishments records, labor distribution reports, cleared payroll checks, IRS W-2 Forms, and employee payroll forms (IRS W-4 Forms, address changes, and election forms).

Total Retention:

5 Years

Disposition:

Destroy securely

Statutory Reference:

IRS Reg §31.6001-1(e)(2) (tax records, due date+ 4 years); 26 CFR §1.6001-1(e) (as long as needed for administration of any IRS law); R&T §19530 (reports & tax returns, due date +3 years); GC §34090(d) (2 years)

*Note:**Approval Date:*

January 3, 2012

FIN-013**Payroll Retirement Records***Also Called:*

Deferred compensation statements, payroll registers

Function:

Documents pension and deferred compensation contributions.

Content:

May include, but is not limited to: payroll registers and deferred compensation statements.

Total Retention:

50 years

Disposition:

Destroy securely

Statutory Reference:

GC §34090(d) (2 years)

*Note:**Approval Date:*

January 3, 2012

FIN-014**Project Documents***Also Called:*

CIP Documents

Function:

These records include documentation that establish, change, amend, or close projects. Projects refer to, but are not limited to the following:

Finance Department

Content: capital projects, assessment districts capital improvement projects, private development funds, operating grants, external funded program, special program donations, and non-capital multi-year projects.
Total Retention: Permanent
Disposition: Destroy
Statutory Reference:
Note: January 3, 2012

FIN-015**Revenue Records**

Also Called:
Function:

Records documenting revenues owed to the City by citizens, organizations, vendors and others to be credited to accounts. Also documents billing and collection of monies.

Content: May include, but is not limited to: account adjustment sheets; business tax files (applications, renewal forms); collection enforcement; collection agency records; liens; parking ticket processing; payment stubs; return check processing; cash receipts; credit; debit; purchase card receipts; authorization forms; business, transfer; and utility users tax records; transient occupancy tax; Sacramento tourism business improvement district; utility user tax rebate; deposit slips; business tax correspondence & affidavits; payment reports (web, IVR, lockbox); monthly BIA and parking agency reports.

Total Retention: Liens: permanent
Collection Agency Records: 7 years
All other records: 5 years
Disposition: Destroy securely
Statutory Reference: GC §34090(d) (2 years)
Note:
Approval Date: January 3, 2012

FIN-016**Special Permits**

Also Called:
Function:

Documents the application and review process for special permits such as billiards, mobile vendors, taxi drivers, tow truck drivers, etc.

Content: May include, but is not limited to: application form; police department forms; DMV forms; pictures; and copies of actual permit.

Total Retention: Permit expiration +5 years
Disposition: Destroy securely
Statutory Reference: GC §34090(d) (2 years)
Note:
Approval Date: January 3, 2012

FIN-017**Transfer Tax Invoices**

Also Called:

Transfer Tax bills, payments, court action

Finance Department

<i>Function:</i>	Records used to track the monies due the City for transfer of real property.
<i>Content:</i>	May include, but is not limited to: a copy of a deed, copy of a 1 st , 2 nd , or 3 rd bill, or a payment.
<i>Total Retention:</i>	Paid Bills: 5 years Bills sent to Collections: collections assignment + 7 years
<i>Disposition:</i>	Destroy securely
<i>Statutory Reference:</i>	GC §34090(d) (2 years)
<i>Note:</i>	
<i>Approval Date:</i>	January 3, 2012

Fire Department

SFD-001*Also Called:**Function:**Content:**Total Retention:**Disposition:**Statutory Reference:**Note:**Approval Date:***Citations**

Violations

Documents department investigations of infractions solved and unsolved, that occurred within the department's jurisdiction.

May include, but is not limited to: traffic, parking, or criminal citations or administrative penalties.

3 years

Destroy securely

GC §34090(d) (2 years)

June 6, 2012

SFD-002*Also Called:**Function:**Content:**Total Retention:**Disposition:**Statutory Reference:**Note:**Approval Date:***Code Violations**

Documents code violations occurring within the department's jurisdiction.

5 years

Destroy securely

GC §34090(d) (2 years); CFC 104.6 (5 years)

June 6, 2012

SFD-003*Also Called:**Function:**Content:**Total Retention:**Disposition:**Statutory Reference:**Note:**Approval Date:***Crime Reports**

Arson Reports

Documents the department investigations of crimes, solved and unsolved, that occurred within the department's jurisdiction.

May include, but is not limited to: recordings of interviews, case files, fingerprint cards or live scan records, photographs, forensic scene records, arrest logs, arrest files, booking sheet, and audio of radio or telephone calls.

Arson & Capital Crimes: permanent

Juvenile Sealings: mandatory destruction upon and pursuant to court order (generally 5 years post order)

Factual Innocence Sealings: mandatory destruction upon and pursuant to court order (generally 3 years post order)

All other criminal investigations by the department: 10 years

Destroy securely

GC §34090(d) (2 years); W&I §826(a)-(b) (for wards and dependent children records, 5 years after juvenile court jurisdiction over minor is terminated)

June 30, 2016

SFD-004*Also Called:**Function:***Department Databases**

Databases used by the department

Fire Department

Content: Databases include, but are not limited to: Fire incident Reports, RMS Database, TeleStaff, FDM Database, Health EMS, HelpStar, FIPS, Equipment Database, Knox Box Inventory; Violation Database, Vehicle maintenance database, Hose Lots, I.T. Supplies/Equipment Database.
Total Retention: Permanent
Disposition:
Statutory Reference: GC §34090(d) (2 years), CFC 104.6 (5 years)
Note:
Approval Date: June 6, 2012

SFD-005**Fire Captain Log Books**

Also Called:

Function: Documents all activity occurring at each Fire Station for each Company including summary of incidents, visitors to the station, equipment inspections, etc.

Content:
Total Retention: 5 years
Disposition: Transfer to The Sacramento Center for History after 5 years
Statutory Reference: GC §34090(d) (2 years)
Note:
Approval Date: June 6, 2012

SFD-006**ISO Insurance Ratings**

Also Called:

Function: Insurance Service Office (ISO)
Documents statistical information on risk and provides a rating that insurance companies use to calculate rates. Information is gathered on a community's fire-suppression system including fire alarms, engine companies, and water supply

Content: May include, but is not limited to: insurance rating reports, backup documentation, and certification document.

Total Retention: Until superseded but not less than 2 years

Disposition: Destroy

Statutory Reference: GC §34090(d) (2 years)

Note:

Approval Date: June 6, 2012

SFD-007**Patient Care Records**

Also Called:

Function: PCRs
HIPAA protected documents pertaining to medical care and treatment provided by the department.

Content: May include, but is not limited to: patient information, records, EKG form, signature form, face-sheets, etc.

Total Retention: Permanent

Disposition: As of July 2007, any patient specific hardcopies are attached electronically (scanned) to the patient care report in HeathEMS database. Hardcopy is then to be securely destroyed. Prior to July 2007, records held by department.

Fire Department

Statutory Reference: GC §34090(d) (2 years)

Note:

Approval Date: June 6, 2012

SFD-008**Payment Records**

Also Called:

Function:

Payments/Invoices for billings for special event permits and operational permits within the department's jurisdiction.

Content:

May include, but is not limited to: receipts, invoices, and other supporting payment records.

Total Retention:

Permanent

Disposition:

Statutory Reference: GC §34090(d) (2 years); CFC 104.6 (5 years)

Note:

Approval Date: June 6, 2012

SFD-009**Permits**

Also Called:

Function:

Operational permits occurring within the department's jurisdiction.

Content:

May include, but is not limited to: permits, records supporting permit applications, approvals, renewals, extensions, and denials.

Total Retention:

Permanent

Disposition:

Statutory Reference: GC §34090(d) (2 years); CFC 104.6 (5 years)

Note:

Approval Date: June 6, 2012

SFD-010**Plan Check - School Site Plans**

Also Called:

Function:

Documents the records submitted to the department as part of site plans and water supply tests for publically funded schools.

Content:

Total Retention:

Permanent

Disposition:

Statutory Reference: GC §34090(d) (2 years); CFC 104.6 (5 years); CBC 1.8.4.3.1 (life of the building)

Note:

School records are not stored in Accela

Approval Date: June 6, 2012

SFD-011**Plan Check – Fire Prevention**

Also Called:

Function:

Records document requests and authorizations for property owners to erect new structures, or make structural modifications to existing ones that occurred within the department's jurisdiction. Serves as official authorization for construction including installation of plumbing, electrical, and mechanical equipment and other related work.

Fire Department

Content: May include, but is not limited to: plan check documents, flame retardancy certificates, blue prints, and other building related records.
Total Retention: Permanent
Disposition:
Statutory Reference: GC §34090(d) (2 years); CFC 104.6 (5 years); CBC 1.8.4.3.1 (life of the building)
Note:
Approval Date: June 6, 2012

SFD-012

Strike Team Reimbursements

Also Called:
Function: Documents the reimbursements received by the department for a strike team deployment.
Content: May include, but is not limited to: payments from Office of Emergency Services (OES), Federal Emergency Management Agency (FEMA), and other mutual aid reimbursements.
Total Retention: Payment +5 years
Disposition: Destroy Securely
Statutory Reference: GC §34090(d) (2 years)
Note:
Approval Date: June 6, 2012

Human Resources

HR-001*Also Called:**Function:**Content:**Total Retention:**Disposition:**Statutory Reference:**Note:**Approval Date:***Accident, Incident, & Injury Reports**

Red Border Form, Blue Border Form

Red border forms document non-vehicle accidents and injuries involving the public. Blue border forms document vehicle accidents by city employees.

May include, but is not limited to: vehicle accident reports (city vehicle involved) and incident/loss reports involving the public,

Accident, Incident, and Injury Reports: 23 years

Destroy Securely

GC §34090(d) (2 years)

March 8, 2011

HR-002*Also Called:**Function:**Content:**Total Retention:**Disposition:**Statutory Reference:**Note:**Approval Date:***CAL-OSHA Records**

Logs 200 and 300; reports of regulatory inspection reports or investigations; monitoring of employee exposures; and data from testing of building materials.

Logs 200 and 300 document work related illnesses and injuries.

Inspection and citations document regulatory inspections or investigations. Building material test data for lead and asbestos.

May include, but is not limited to: inspections, citations, logs 200 and 300, and monitoring of employee exposure.

Regulatory Inspection Reports & Citations: 5 years

Log 200 & 300: 7 years

Exposure Monitoring: 30 years

Building Material Test Data: permanent

Destroy Securely

8 CCR §3203(b)(1) (routine inspections: 1 year); 8 CCR §3204(d)(1) (employee medical and exposure records: employment +30 years); LC §6429(c) (investigations, inspections and citations: 7 years); GC §12946 (personnel records: 2 years)

March 8, 2011

HR-003*Also Called:**Function:**Content:**Total Retention:**Disposition:**Statutory Reference:**Note:**Approval Date:***Candidate Files (Unsolicited and Unsuccessful)**

Records used during the hiring process.

May include, but is not limited to: applications, psychological examination, medical examination, and correspondence.

3 years

Destroy Securely

29 CFR §1602.31 (2 years); 29 CFR §1627.3(b)(ii) (1 year); GC §12946 (2 years)

March 8, 2011

Human Resources

HR-004**Commercial Driver Program***Also Called:*

DOT or DMV program

Function:

Documents compliance with US DOT regulations for commercial drivers.

Content:

May include, but is not limited to: drivers' license pull notices printouts and summaries; medical cards; commercial driver training documents; and drug and alcohol test results.

Total Retention:

Drivers' License Pull Notices, Printouts and Summaries: 5 years

DL 170 Driver Training Forms: 60 years

DOT Drug/Alcohol Test Results: 5 years

Disposition:

Destroy Securely

Statutory Reference:

29 CFR §1627.3(b)(v) (1 year); GC §12946 (personnel files: 2 years); 49 CFR 653.71 (5 years); GC §34090(d) (2 years)

*Note:**Approval Date:*

March 8, 2011

HR-005**Department of Fair Employment and Housing Claims***Also Called:**Function:*

Documents the claim and resolution process of claims handled administratively.

Content:

May include, but is not limited to: claim forms, correspondence, investigations, and reports.

Total Retention:

Final disposition +10 years.

Disposition:

Destroy Securely

Statutory Reference:

GC §12946 (applications, personnel, membership, employment referrals: created or received +2 years; personnel files for applicants or terminated employees: employment action +2 years)

*Note:**Approval Date:*

March 8, 2011

HR-006**Employee Eligibility Verification Forms***Also Called:*

I-9 Form

Function:

Documents the eligibility of employees to work in the United States.

Content:

May include, but is not limited to: forms and records relating to employment eligibility.

Total Retention:

Employee Separation +1 year, but no less than 3 years after the date of hire.

Disposition:

Destroy Securely

Statutory Reference:

8 CFR §274a.2 (2) (separation +1 year, no less than 3 years from hire date)

*Note:**Approval Date:*

May 16, 2017

HR-007**Employee Discipline & Grievance Records***Also Called:*

Human Resources

Function: Employee disciplines are the documented process of corrective action taken when an employee has fallen below the required performance standards or behavior expectations.

Content: May include, but is not limited to: administrative law hearings and arbitration records.

Total Retention: Permanent

Disposition:

Statutory Reference: GC §34090(d) (2 years)

Note:

Approval Date: March 8, 2011

HR-008**Employee Medical Records**

Also Called: Non-Industrial or FMLA medical records

Function: This is the master employee medical record maintained for employees at the direction of the Human Resources Director.

Content: May include, but is not limited to: pre-employment physical or psychological evaluations, other non-industrial medical evaluations and other medical records.

Total Retention: Separation +30 years

Disposition: Destroy Securely

Statutory Reference: 8 CCR §3204(d)(1) (employee medical and exposure records: employment +30 years); GC §12946 (applications, personnel, membership, employment referrals: created or received +2 years; personnel files for applicants or terminated employees: employment action +2 years); GC §34090(d) (2 years)

Note:

Approval Date: March 8, 2011

HR-009**Employee Personnel and Benefit Records**

Also Called: HR File

Function: This is the master personnel record maintained for each employee at the direction of the Human Resources Director.

Content: May include, but is not limited to: job application, notices of appointment, personnel action request, payroll withholding information, leave summary records, performance documentation, employee service awards, oaths of office, leaves of absence (paid and unpaid), FMLA records, separation agreements, benefit plan selection and application forms, benefit enrollment records, benefit contribution and deduction summaries, personal data records, authorizations, beneficiary information, year-end leave balance reports, and related documentation, and other records related to an individual's employment or benefits.

Total Retention: For Separation from Service: date of separation +10 years
For Service Retirement: date of death + 2 years

Disposition: Destroy Securely

Statutory Reference: GC §12946 (2 years); GC §34090(d) (2 years)

Human Resources

Note: When there is a surviving dependent, all relevant employment records will be transferred to the file created for the surviving dependent and retained through the date of death +2 years.

Approval Date: March 8, 2011

HR-010

Examination and Testing

Also Called:

Function:

Records used during the employment examination and testing process. May include, but is not limited to: examinations, tests, and scoring tools.

Content: Superseded +3 years

Total Retention: Destroy Securely

Disposition: 29 CFR §1602.31 (2 years); 29 CFR §1627.3(b)(1)(iv) (1 year); 2 CCR §11013 (2 years); GC §12946 (2 years)

Note:

Approval Date: March 8, 2011

HR-011

Hazardous Waste

Also Called:

Function:

Hazardous waste disposal
Documents the disposal of hazardous waste.
May include, but is not limited to: waste disposal manifest and material testing data.

Content: Permanent

Total Retention:

Disposition:

Statutory Reference: 8 CCR §10102 (claim files: meeting all following conditions: (1) 5 years from date of injury, (2) 1 year from date compensation was provided, (3) all compensation due has been paid, (4) findings of any audit are final); GC §12946 (personnel files: 2 years)

Note:

Approval Date: March 8, 2011

HR-012

Human Resource Databases

Also Called:

Function:

Databases used by the Human Resources Department.
May include, but is not limited to: eCAPS HR data, AHRs, City U registrar database, vehicle accident and driver training databases.

Content: eCAPS HR data, AHRs: permanent
U Registrar and Driver Training Databases: 60 years
Vehicle Accident Database: 10 years

Total Retention: Destroy Securely

Disposition: GC §12946 (2 years); GC §34090(d) (2 years)

Statutory Reference:

Note: March 8, 2011

Approval Date:

HR-013

Insurance Policy Records and Certificates of Insurance

Also Called:

Human Resources

<i>Function:</i>	Documents the terms and conditions of insurance policies between local government and insurers. Types of insurance include: liability, property, group employee health and life, motor vehicle, workers' compensation, flood, and others. Proof of insurance includes certificates and endorsements required for city contracts, permits, leases and all other agreements.
<i>Content:</i>	May include, but is not limited to: policies, insurance certificate, endorsements, premium rate change notices, agent of record, and related documents.
<i>Total Retention:</i>	Insurance Policies: 100 years; Proof of Insurance Certificates: 11 years from the date issued
<i>Disposition:</i>	Destroy Securely
<i>Statutory Reference:</i>	GC §34090(d) (2 years)
<i>Note:</i>	
<i>Approval Date:</i>	March 8, 2011

HR-014

Labor Agreements & Contracts

Also Called:

<i>Function:</i>	Records contracts and agreements between the City and recognized employee unions and associations.
<i>Content:</i>	May include, but is not limited to: agreements, side letters, interpretations, amendments, letters of understanding, contracts, contract administration records, and labor negotiation records.
<i>Total Retention:</i>	Negotiation Records: 50 years All other Labor Agreement and Contract Records: permanent
<i>Disposition:</i>	May transfer to The Center for Sacramento History after 10 years, all other records to be destroyed securely.
<i>Statutory Reference:</i>	GC §34090(d) (2 years)
<i>Note:</i>	
<i>Approval Date:</i>	March 8, 2011

HR-015

Liability Claims

Also Called:

<i>Function:</i>	Documents various types of claims filed against the City.
<i>Content:</i>	May include, but is not limited to: claims and investigation reports.
<i>Total Retention:</i>	Claims Involving Adults: settlement +5 years Claims Involving Juveniles: 40 years from date of loss
<i>Disposition:</i>	Destroy securely
<i>Statutory Reference:</i>	CCP §337 (4 years); GC §911.2 (cause of action +1 year); GC §34090(d) (2 years); PC §832.5 (police: 5 years)
<i>Note:</i>	
<i>Approval Date:</i>	March 8, 2011

HR-016

Property Loss Recover Claims

Also Called:

<i>Function:</i>	Property Loss Subrogation
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Human Resources

Content: May include, but is not limited to: claims and records related to cost recovery against persons or entities responsible for damage to City property.

Total Retention: Settlement +5 years

Disposition: Destroy securely

Statutory Reference: GC §34090(d) (2 years)

Note:

Approval Date: March 8, 2011

HR-017 **Position Description, Classification, and Compensation Records**

Also Called:

Function: Records that document the description, classification and compensation of jobs and positions.

Content: May include, but is not limited to: the details of duties and responsibilities of each position, time percentage break downs of tasks, skills and abilities needed for each position and related records documenting the development, modification, or redefinition of each job or position. Records often include reports, position descriptions, position evaluations, compensation studies, wage determination surveys, job analyses, interview data, selection criteria authorizations, agreements, and related records.

Total Retention: 30 years

Disposition: Destroy

Statutory Reference: GC §34090(d) (2 years)

Note:

Approval Date: March 8, 2011

HR-018 **Recognized Employee Organizations – Administrative Files**

Also Called:

Function: Documents the history, interaction, and other administrative actions between the City and Recognized Employee Organizations.

Content: May include, but is not limited to: correspondence, memos, administrative files, and other records created through the normal course of business.

Total Retention: 10 years

Disposition: Destroy Securely

Statutory Reference: GC §34090(d) (2 years)

Note:

Approval Date: March 8, 2011

HR-019 **Volunteer Program**

Also Called:

Human Resources

Function: Documents the application, activities and administration of volunteer programs, and documents work performed by citizens without compensation for their services.

Content: May include, but is not limited to: successful and unsuccessful applications.

Total Retention: Successful Candidates: separation +3 years.
Unsuccessful Candidates: 2 years

Disposition: Destroy Securely

Statutory Reference: GC §34090(d) (2 years)

Note:

Approval Date: March 8, 2011

HR-020**Wage Reference Records**

Also Called:

Function: Reports and investigation of salary and wages.

Content: May include, but is not limited to: salary schedules and surveys.

Total Retention: 30 years

Disposition: Destroy

Statutory Reference: GC §34090(d) (2 years)

Note:

Approval Date: March 8, 2011

HR-021**Worker's Compensation Records**

Also Called:

Function: Documents worker's compensation claims filed against the City.

Content: May include, but is not limited to: indemnity claims, medical only claims, employee exposures, first aid and pre-designated doctors.

Total Retention: From date of injury:
Worker's Compensation Indemnity Claims: 90 years*
Pre-designated Doctors: 75 years
Work Related Exposure Records: 30 years
Medical Only Claims: 15 years
Employee First Aid Records and Worker's Compensation Incidents: 10 years

Disposition: Destroy Securely

Statutory Reference: 8 CCR §3204(d)(1) (employee medical and exposure records: employment +30 years); 8 CCR §10102 (claim files: meeting all following conditions: (1) 5 years from date of injury,(2) 1 year from date compensation was provided, (3) all compensation due has been paid, (4) findings of any audit are final); GC §12946 (personnel files 2 years)

Note: *Upon notice of death, claims files that meet the conditions of 8 CCR § 10102 may be destroyed.

Approval Date: March 8, 2011

Information Technology

IT-001*Also Called:**Function:**Content:**Total Retention:**Disposition:**Statutory Reference:**Note:**Approval Date:***Disaster Recovery Tapes**

File Recovery

File / System Restores

Copies all contents of targeted servers onto tape.

Daily Incremental: 5 days

Weekly Incremental: 4 weeks

Monthly Incremental: 3 months

Quarterly Full: 1 year

Annual Full: 2 years

Destroy Securely

GC §34090(d) (2 years)

Stored and retained by an off-site vendor

February 1, 2011

IT-003*Also Called:**Function:**Content:**Total Retention:**Disposition:**Statutory Reference:**Note:**Approval Date:***Kace Help Desk System**

Kace Software System

Technology trouble ticket/service request tracking and hardware asset surplus tracking system.

Software system

Completion +2 years

Destroy

GC §34090(d) (2 years)

Tickets are manually entered into the Kace software system and tracked electronically. Surplus information technology hardware assets are also tracked in Kace software system.

November 18, 2013

IT-004*Also Called:**Function:**Content:**Total Retention:**Disposition:**Statutory Reference:**Note:**Approval Date:***IT Change Control**

Change Control Sheet

Documents major IT systems changes

Change Control Request Form

Completion +2 Years

Destroy Securely

GC §34090(d) (2 years)

February 1, 2011

IT-006*Also Called:**Function:**Content:**Total Retention:**Disposition:**Statutory Reference:**Note:***Telecommunication Request Form**

TR

Service request form for telecommunications services including equipment (moves, adds, and changes), telecommunication cabling, etc.

Request forms are stored electronically

Completion +3 years

Destroy

GC §34090(d) (2 years)

Information Technology

Approval Date: February 1, 2011

IT-007**Virtual Private Network (VPN) Request Forms**

Also Called:

VPN

Function:

Request/authorization form that grants access to the City's network through a VPN connection from an external network connection.

Content:

Paper request forms

Total Retention:

Completion +5 years

Disposition:

Destroy Securely

Statutory Reference:

GC §34090(d) (2 years)

Note:

Approval Date:

February 1, 2011

IT-008**VM Server Snapshots**

Also Called:

IT File / System Restores

Function:

Creates full copy backup of entire server.

Content:

Daily Incremental: 5 days;

Weekly Incremental: 6 weeks;

Monthly Incremental: 12 months

Annual Full: 2 years

Total Retention:

Disposition:

Destroy Securely

Statutory Reference:

GC §34090(d) (2 years)

Note:

Approval Date:

February 1, 2011

Office of the Mayor and City Council

MCC-001**Ceremonial Documents***Also Called:**Function:*

The Mayor and/or City Council may issue ceremonial documents in recognition of significant local group, business, civic organization or individual outstanding accomplishment, regarding issues with widespread community interest, and in acknowledgement of significant events, celebrations, donations, cultural contributions or volunteer efforts.

Content:

May include, but is not limited to: ceremonial resolutions, letters of welcome or congratulations, and certificates of recognition.

Total Retention:

Permanent

Disposition:

Retain digital copy in Citywide Content Management System; transfer originals to The Center for Sacramento History after 2 years.

Statutory Reference:

GC §34090(d) (2 years)

*Note:**Approval Date:*

June 7, 2010

MCC-002**Correspondence – Elected Officials***Also Called:**Function:*

Documents of a general nature that were created or received in the course of leading and managing the Office of Mayor and City Council, which are not included in another records series.

Content:

May include but is not limited to incoming and going letters, email, memoranda, notes, acknowledgements, notices, or requests.

Total Retention:

Routine Correspondence: 2 years

All other records: end of elected service +2 years

Disposition:

Transfer to The Center for Sacramento History at or before end of elected term.

Statutory Reference:

GC §34090(d) (2 years)

Note:

Due to the historical nature of the work done in the Mayor and Council Offices, these records have a longer retention than similar records of the City and/or City Staff.

Approval Date:

June 7, 2010

MCC-003**Project & Administrative Files – Elected Officials***Also Called:**Function:*

Records created by Mayor and City Council administration to document the research, creation, application of community projects, program, or that document the leadership role and decision making process of elected officials.

Content:

May include project or program files, executive administration files.

Total Retention:

End of Elected Service +2 years

Disposition:

Transfer to The Center for Sacramento History at or before end of elected term.

Statutory Reference:

GC §34090(d) (2 years)

Office of the Mayor and City Council

Note: Due to the historical nature of the work done in the Mayor and Council Offices, these records have a longer retention than similar records of the City and/or City Staff.

Approval Date: June 7, 2010

MCC-004

Speeches – Elected Officials

Also Called:

Function:

Final copies of speeches given by elected officials. Speeches may concern policy issues, strategic planning, legislation concerning the agency, and other related topics.

Content: May include recordings of the speech in any form, any audio-visual content, and or transcript.

Total Retention: Permanent

Disposition: Transfer to The Center for Sacramento History at or before end of elected term.

Statutory Reference: GC §34090(d) (2 years)

Note: Due to the historical nature of the work done in the Mayor and Council Offices, these records have a longer retention than similar records of the City and/or City Staff.

Approval Date: June 7, 2010

*Police***SPD-001****Alarm Permits***Also Called:**Function:*

Records relating to the issuance of burglar alarm permits to businesses and homes in the City.

Content:

May include, but is not limited to: alarm permit applications and permits, false alarm notifications, correspondence related to permit administration, and fines for excessive false alarms.

Total Retention:

Alarm Permits: 3 years

All other records: 2 years

Disposition:

Destroy securely

Statutory Reference:

GC §34090(d) (2 years)

*Note:**Approval Date:*

October 29, 2012

SPD-002**Auctions***Also Called:**Function:*

Records relating to property seized by the police department and sold at public auction.

Content:

May include, but is not limited to: logs, inventories, and receipts.

Total Retention:

2 years

Disposition:

Destroy securely

Statutory Reference:

GC §34090(d) (2 years)

*Note:**Approval Date:*

October 29, 2012

SPD-003**Business License Background Checks***Also Called:**Function:*

Records relating to background checks performed on persons seeking certain business licenses including, but not limited to, bingo parlors, second hand dealers, and massage technicians.

Content:

May include, but is not limited to, background investigation reports.

Total Retention:

5 years

Disposition:

Destroy Securely

Statutory Reference:

GC §34090(d) (2 years)

*Note:**Approval Date:*

October 29, 2012

*Police***SPD-004****Card Key System (Police)***Also Called:**Function:* Records relating to the City's card key access system.*Content:* May include, but is not limited to, access database.*Total Retention:* 2 years*Disposition:* Destroy securely*Statutory Reference:* GC §34090(d) (2 years)*Note:**Approval Date:* October 29, 2012**SPD-005****Citations***Also Called:**Function:* Records relating to police investigations of infractions, solved and unsolved, that occurred in the City.*Content:* May include, but is not limited to: parking, marijuana, and/or criminal citations.**Total Retention:* 2 years*Disposition:* Destroy securely*Statutory Reference:* GC §34090(d) (2 years)*Note:* *Records of traffic citations are delivered to the Superior Court and are not retained by the police department.*Approval Date:* October 29, 2012**SPD-006****Communications Center Records***Also Called:* DARs, Sit-along Forms*Function:**Content:* May include, but are not limited to: dispatch activity requests (DAR), police radio and telephone recordings (DVD), and SPD Form #547(Sit along).*Total Retention:* 2 years*Disposition:* Destroy securely*Statutory Reference:* GC §34090(d) (2 years)*Note:**Approval Date:* October 29, 2012**SPD-007****Crime Reports***Also Called:*

Police

<i>Function:</i>	Records relating to police investigations of crimes, solved and unsolved, that occurred in the City. Also includes missing person(s) reports, towing reports, incident reports, and collision reports.
<i>Content:</i>	May include, but is not limited to: case files, finger print cards or live scan records, photographs, forensic scene records, arrest logs, arrest files, booking sheets, and audio of police radio or telephone calls.
<i>Total Retention:</i>	Specified Misdemeanor and Felony Records: permanent (may include: Homicide, Kidnapping, unsolved Child or Elder Abuse; Sexual Assault, crimes subject to the death penalty, or without statute of limitations) For Juvenile Sealings: mandatory destruction upon and pursuant to court order (generally 5 years post order). For factual innocence sealings – mandatory destruction upon and pursuant to court order (generally 3 years post order). For Marijuana Arrests: mandatory destruction within 2 years of conviction or within 2 years of arrest (when no conviction). *In the case of juvenile offenders, destruction mandatory when juvenile attains 18 years of age. All other records: 7 years
<i>Disposition:</i>	Destroy Securely
<i>Statutory Reference:</i>	GC §34090(d) (2 years); W&I §826(a)-(b) (for wards and dependent children records, 5 years after juvenile court jurisdiction over minor is terminated)
<i>Note:</i>	
<i>Approval Date:</i>	October 29, 2012

SPD-008 Department Databases & Other Electronic Repositories

<i>Also Called:</i>	AMS, CAD, Veradex, RMS, CLETS, NCIC, PRC, CORI
<i>Function:</i>	
<i>Content:</i>	May include, but is not limited to: Air Ops Activity, Automated Manual System (AMS), Versaterm, Mobile Data Terminal (MDT) Message logs, California Law Enforcement Telecommunications System, Photo/Image files, Criminal Offender Record Information (CORI), and other legacy systems.
<i>Total Retention:</i>	Computer Aided Dispatch Records: minimum of 2 years E911 Data: 3 years CLETS, NCIC, CORI: 2 years All other records: permanent
<i>Disposition:</i>	Destroy Securely
<i>Statutory Reference:</i>	GC §34090(d) (2 years)

Police

Note:

Approval Date: October 29, 2012

**SPD-009 Employment Background Investigation
(Unsuccessful Candidates)**

Also Called:

Function: Records relating to the background investigation of potential police department employees that were ultimately unsuccessful in the employment process.

Content: May include, but is not limited to, background investigation reports.

Total Retention: 3 years

Disposition: Destroy securely

Statutory Reference: GC §34090(d) (2 years)

Note:

Approval Date: October 29, 2012

SPD-010 Incident Action Plans and After Action Reports

Also Called:

Function: Records relating to police tactical action plans and reports documenting the events of executive actions, operational, and game plans.

Content: May include, but is not limited to: incident action plans and after-action reports.

Total Retention: 2 years

Disposition: Destroy securely

Statutory Reference: GC §34090(d) (2 years)

Note:

Approval Date: October 29, 2012

SPD-011 Internal Affairs Investigations

Also Called:

Function: Records relating to complaints investigated by the Internal Affairs Division of the police department.

Content: May include, but is not limited to: complaints, reports, statements, findings, and other documents associated with investigations of complaints sustained and not sustained.

Total Retention: Final Disposition of the Investigation +5 years

Disposition: Destroy Securely

Police

Statutory Reference: PC § 832.5(b) (5 years); GC §12946 (personnel records: 2 years); VC §2547 (complaints can be filed for 3 years from alleged action)

Note: See also CMO-004 Office of Public Safety Accountability Investigation Files.

Approval Date: October 29, 2012

SPD-012**Law Enforcement Animals**

Also Called:

Function: Records relating to animals used in an official capacity by the police department.

Content: May include, but is not limited to: purchase and sale records, training, veterinary, and boarding records.

Total Retention: Sale or Expiration of the Animal +4 years-

Disposition: Destroy

Statutory Reference: FA § 32003(e) (end of impoundment +3 years); PC §597.1(d) (end of impoundment +3 years)

Note:

Approval Date: October 29, 2012

SPD-013**Neighborhood Watch**

Also Called:

Function: Records relating to the neighborhood watch programs.

Content: May include, but is not limited to: program literature, applications, correspondence, and other program administration records.

Total Retention: 2 years

Disposition: Destroy

Statutory Reference: GC §34090(d) (2 years)

Note:

Approval Date: October 29, 2012

SPD-014**Offender Registration**

Also Called:

Function: Records relating to the registration and contact with registered offenders.

Content: May include, but is not limited to: registration forms for juvenile and adult offenders.

Total Retention: Arson Offenders (Adults): 100 years, retained for the life of the offender for post-1994 convictions.

Police

Arson Offenders (Juveniles): 10 years, retained until the offender turns 25 or an order sealing the record is issued – whichever occurs first.

Sex Offenders (Adults): 100 years, retained for the life of the offender.

Sex Offenders (Juveniles): 10 years, retained until the offender turns 25 or an order sealing the record is issued – whichever occurs first.

Drug Registrants: 5 years

Disposition: Destroy securely

Statutory Reference: PC §290 et seq. (related to sex offenders, for juveniles must be destroyed if records become sealed); PC §457.1 (related to arson, for juveniles must be destroyed when defender turns 25 or if records become sealed); H&S § 11594 (5 years after discharge from prison); GC §34090(d) (2 years)

Note:

Approval Date: October 29, 2012

SPD-015**Pawn Slips**

Also Called:

Function: Records relating to pawn and second hand dealer transactions reporting descriptions of the articles as well as the person selling, trading, pawning or consigning the articles or merchandise.

Content: May include, but is not limited to: pawn slips and reports.

Total Retention: 3 years

Disposition: Destroy securely

Statutory Reference: SCC §5.80.220 (3 years); GC §34090(d) (2 years)

Note:

Approval Date: October 29, 2012

SPD-016**Police Equipment Maintenance Logs**

Also Called:

Function: Records relating to the history or maintenance and service to police equipment.

Content: May include, but is not limited to, maintenance logs.

Total Retention: Equipment with Potential Contamination Risk: Permanent

All other General Police Use Equipment: 2 years

Disposition: Destroy

Statutory Reference: GC §34090(d) (2 years)

Note:

Approval Date: October 29, 2012

Police

SPD-017**Property Records***Also Called:**Function:*

Records relating to property and evidence received and or stored by the police department.

Content:

May include, but is not limited to: non-adjudicated cases, adjudicated cases (exhausted appeals), special cases (including homicide and high visibility cases), property logs (including narcotic & firearm burns, hazmat and money logs) and general administration records.

Adjudicated Records and Completed Cases: 5 years

General Administration Records, Non-adjudicated Cases: 2 years

Destroy securely

Disposition:

GC §34090(d) (2 years)

Statutory Reference:

All records held until adjudicated or completed. Once completed, the property and evidence are held for an additional 5 years as noted above.

Note:

October 29, 2012

*Approval Date:***Ride Along Applications****SPD-018***Also Called:*

Records relating to civilians who accompany police department employees during the course of their regular duties.

Function:

May include, but is not limited to: applications and quick check background inquiries.

Content:

2 years

Total Retention:

Destroy securely

Disposition:

GC §34090(d) (2 years)

*Statutory Reference:**Note:*

October 29, 2012

*Approval Date:***SPD-020****Tow Hearings***Also Called:*

Records relating to hearings held to evaluate if a vehicle may be released from impound.

Function:

May include, but is not limited to: certified mail receipts, CLETS information on the vehicle, driver, and vehicle's registered owner, towing information.

Content:

2 years

Destroy securely

Police

Disposition: GC §34090(d) (2 years)

Statutory Reference:

Note: October 29, 2012

Approval Date:

Video Recordings**SPD-021**

Closed Circuit Television (CCTV), In Car Camera (ICC), Body Worn Camera (BWC)

Also Called:

Function: May include, but is not limited to: video of public activities, protests, in vehicle camera.

Content: CCTV Recordings: 1 year

Total Retention: ICC and BWC Recordings*:

General Crimes: 6 years

Robbery and Missing Persons: 8 years

Bomb Threat/Device and Accident Investigation: 10 years

Death Investigation: 25 years

Kidnapping and Sexual Assaults: 50 years

Homicide: permanent

All other records: 21/2 years

Destroy securely

Disposition: GC §34090(d) (2 years); GC §34090.6 (1 year)

Statutory Reference: *ICC and BWC video have been retained for these retention periods since 1/1/2014.

Note:

Approval Date: April 30, 2019

Public Works

PW-001**City Infrastructure & Transportation Projects (Administration)***Also Called:**Function:*

Documents the administration of capital improvement transportation projects and private development in the City.

Content:

May include, but is not limited to: project administration records, schedules, certified payrolls, invoices, work orders, and correspondence.

Total Retention:

Projects Developed: competition +7 years or audit period, whichever is longer

Projects not Developed: 2 years

Disposition:

Destroy Securely

Statutory Reference:

GC §34090(d) (2 years); CCP §337, et. seq. (4 years)

*Note:**Approval Date:*

February 2, 2011

PW-002**City Infrastructure & Transportation Projects***Also Called:**Function:*

Documents the capital improvement transportation projects and private development in the City.

Content:

May include, but is not limited to: plans, specifications, certificate of occupancy, energy calculations; materials testing reports, design exception report, records drawings, regulatory agency approvals, soils reports, surveys, and inspection reports.

Total Retention:

Permanent

Disposition:

May be transferred to The Center for Sacramento History after 10 years

Statutory Reference:

GC §34090(d) (2 years)

*Note:**Approval Date:*

February 2, 2011

PW-003**Curb Ramp Acceptances and Inspections***Also Called:**Function:*

Documents the history of curb ramp acceptances in the City.

Content:

May include, but is not limited to: curb and ramp acceptances, curb and ramp inspections, complaints, curb and ramp construction data, and specifications.

Total Retention:

Permanent

Disposition:

May be transferred to The Center for Sacramento History after 10 years.

Statutory Reference:

GC §34090(d) (2 years)

Note:

Settlement Agreement *Barden vs. City of Sacramento* expiring in 2033 provides additional retention requirements for this series.

Approval Date:

February 2, 2011

PW-004**Databases**

*Public Works**Also Called:**Function:**Content:*

Databases used by the Department of Public Works.

May include, but is not limited to the following databases: Pavement Maintenance Assessment, EZ Reports, POF Parking Report, On-Street Parking Database, Traffic Count Database, Deggy, Encroachment Permits, Traffic Investigations, Crossroad, TreeServ, M5 data base, Hirsch Card Key System, and CIS.

Total Retention:

TreeServ – 10 years;

All other data bases: permanent

Disposition:

Destroy Securely

Statutory Reference:

GC §34090(d) (2 years)

Note:

This item pertains to the data stored in the database but does not include any associated documents. Please work with IT and the Citywide Records Manager to decommission databases and preserve their content.

Approval Date:

February 2, 2011

PW-005**Development Engineering***Also Called:**Function:**Content:*

Documents engineering services related to the design and construction of City infrastructure projects and private development.

May include, but is not limited to: surety, letters of credit, certificates of deposit, certificate of compliance, lot line adjustments, and engineering reports for entitlements.

Total Retention:

Permanent

Disposition:

May be transferred to The Center for Sacramento History after 10 years.

Statutory Reference:

GC §34090(d) (2 years)

*Note:**Approval Date:*

February 2, 2011

PW-006**Off-Street Parking Administration***Also Called:**Function:**Content:*

Documents the administration of off-street parking.

May include, but is not limited to: daily lot information, discounted parking program application, merchant validations, monthly parking applications, and summary reports.

Total Retention:

2 years

Disposition:

Destroy

Statutory Reference:

GC §34090(d) (2 years)

*Note:**Approval Date:*

February 2, 2011

PW-007**On-Street Parking Administration***Also Called:**Function:*

Documents the administration of on-street parking.

Public Works

Content: May include, but is not limited to: parking tickets and citations, log of parking permits, daily meter records, and parking meter maintenance.

Total Retention: Parking Meter Maintenance Records: life of the meter + 2 years
All other records: 2 years

Disposition: Destroy

Statutory Reference: GC §34090(d) (2 years)

Note:

Approval Date: February 2, 2011

PW-008**Parking Facility Plans***Also Called:*

Function: Records documenting requests and authorizations for property owners to erect or alter parking facilities in the City. Serves as official authorization for construction including installation of plumbing, electrical and mechanical equipment and other related work.

Content: May include, but is not limited to: blueprints, retail business facility drawings, retail and tenant space-build outs.

Total Retention: Permanent

Disposition: May be transferred to The Center for Sacramento History after 10 years.

Statutory Reference: H&S §19850 (life of the building); GC §34090(d) (2 years)

Note:

Approval Date: February 2, 2011

PW-009**Permits***Also Called:*

Function: Documents requests for permits and permit issuance by the Department of Public Works.

Content: May include, but is not limited to the following:
Temporary Permits: oversized loads, storage containers, material storage, banners, and streets;
Permanent Permits: sidewalks, driveways, approaches, curbs, gutters, revocable, excavation, oversized transportation and trenches.

Total Retention: Permit Administration and Unapproved Permits: 2 years

Trench Encroachment Permits: completion +10 years

Temporary Permits: completion of work +5 years

Urban Forestry Permits: completion +10 years

All other Permits: permanent

Disposition: Destroy

Statutory Reference: GC §34090(d) (2 years)

Note:

Approval Date: February 2, 2011

PW-010**Survey Field Books***Also Called:*

Function: Records relating to existing features within the City right-of-way.

Public Works

Content: Books may include information, but are not limited to, features such as: parks, bikeways, streets, sidewalks, pavement, utilities, and electrical.
Total Retention: Permanent
Disposition: May transfer to The Center for Sacramento History after 10 years
Statutory Reference: GC §34090(d) (2 years)
Note:
Approval Date: February 2, 2011

PW-011**Traffic Engineering**

Also Called:
Function: Records relating to traffic management, signage, and investigations.
Content: May include, traffic investigations, ordering of signs, traffic summaries, or other traffic reports.
Total Retention: Completion of Work +5 years
Disposition: Destroy
Statutory Reference: GC §34090(d) (2 years)
Note:
Approval Date: February 2, 2011

PW-012**Transportation Maintenance**

Also Called:
Function: Internal records documenting requests and authorizations for needed services, including repair of city owned property.
Content: May include, but is not limited to: pavement, street, parking meters, traffic signals and light maintenance, sidewalk repairs, and authorizations to work.
Total Retention: Completion of work +5 years
Disposition: Destroy
Statutory Reference: GC §34090(d) (2 years)
Note:
Approval Date: February 2, 2011

PW-013**Traffic Calming**

Also Called:
Function: Documents traffic calming measures implemented and investigations by the City.
Content: May include, but is not limited to: individual resident ballots and voting summary spreadsheets
Total Retention: 2 years
Disposition: Destroy Securely
Statutory Reference: GC §34090(d) (2 years)
Note:
Approval Date: February 2, 2011

PW-014**Traffic Reports, Counts, & Surveys**

Also Called:

Public Works

Function: Documents traffic related activities.
Content: May include, but is not limited to: Traffic Counts, Traffic Signal Timing Reports, and Resolution Speed Surveys.
Total Retention: Superseded +5 years
Disposition: Destroy
Statutory Reference: GC §34090(d) (2 years)
Note:
Approval Date: March 8, 2017

PW-015**Urban Forestry**

Also Called:
Function: Documents the maintenance and removal of City trees.
Content: Urban Forestry work orders
Total Retention: Completion +10 years
Disposition: Destroy
Statutory Reference: GC §34090(d) (2 years)
Note:
Approval Date: March 8, 2017

PW-016**City Facility Records (Administrative)**

Also Called:
Function: Documents the administration of facility improvements.
Content: May include, but is not limited to: certified payrolls, invoices, and correspondence.
Total Retention: Completion +5 years
Disposition: Destroy
Statutory Reference: GC §34090(d) (2 years)
Note:
Approval Date: December 14, 2010

PW-017**City Facility Records (Building/Project History)**

Also Called:
Function: Documents the history of City owned facilities including construction records not held by the Community Development Department and ongoing improvement projects.
Content: May include, but is not limited to: structure plans, structure specifications, copy of RFP/Bid package, proposal package, testing reports, copy of building permit and certificate of occupancy, testing and soil reports, energy calculations, materials testing reports, design exception reports, project study reports (PSRs), regulatory agency approvals, structural calculations, surveys, toxic remediation, underground storage tanks, and manuals for operation of equipment.
Total Retention: Permanent
Disposition: Transfer to The Center for Sacramento History at end of buildings life or ownership.
Statutory Reference: GC §34090(d) (2 years); H&S §19850 (life of the building)
Note:

Public Works

Approval Date: December 14, 2010

PW-018**Eminent Domain**

Also Called:

Function:

Records relating to the legal process initiated by the City to acquire private property for a public use.

Content:

May include, but is not limited to: relocation assistance, title reports, settlement statements, and acquisition agreements.

Total Retention:

Permanent

Disposition:

Transfer to The Center for Sacramento History after 10 years.

Statutory Reference:

GC §34090(d) (2 years)

Note:

Approval Date:

December 14, 2010

PW-021**Property Acquisition**

Also Called:

Function:

Documents the City's investigation and purchasing of real property.

Content:

May include, but is not limited to: title reports, litigation guarantees, appraisal reports, and correspondence.

Total Retention:

Acquired Properties: life or sale of the building/real property

Not acquired properties: 2 years

Disposition:

Acquired properties transfer to The Center for Sacramento History;

Not acquired properties destroy.

Statutory Reference:

GC §34090(d) (2 years)

Note:

Approval Date:

December 14, 2010

PW-022**Scheduled Maintenance & Safety Certificates**

Also Called:

Function:

Documents schedule maintenance of assets and safety certifications for equipment such as elevators, fire systems, and boilers.

Content:

May include, but is not limited to: maintenance schedules and safety certificates.

Total Retention:

5 years

Disposition:

Destroy

Statutory Reference:

GC §34090(d) (2 years)

Note:

Approval Date:

December 14, 2010

PW-023**Sacramento Marina Patron Records**

Also Called:

Function:

Documents patron history.

Content:

May include, but is not limited to: rental agreements, slip applications, invoices, and correspondence.

Total Retention:

Vacation of slip +5 years

Disposition:

Destroy Securely

Statutory Reference:

GC §34090(d) (2 years)

Public Works

Note:

Approval Date: January 31, 2012

PW-024**Sacramento Marina Administration Records**

Also Called:

Function: Records used and created during the course of conducting Marina business.

Content: May include, but is not limited to: fuel system records, correspondence, dock check inventory, and boat raising contracts.

Total Retention: Dock Check Inventory: 2 years
All other records: 3 years

Disposition: Destroy

Statutory Reference: GC §34090(d) (2 years)

Note:

Approval Date: January 31, 2012

PW-025**Solid Waste Operations**

Also Called:

Function: Records pertaining to solid waste services including landfill operations and waste disposal.

Content: May include, but not limited to: work orders, receipt books, AB939 implementation, disposal receipts and manifests (both hazardous and non-hazardous), recycling programs, landfill management reports, and related administrative files.

Total Retention: Hazardous Waste Related Records, Landfill Management Reports: permanent

AB 939 Records, Receipt Books, Administrative Files: 5 years

All other records: 2 years

Disposition: Destroy. May transfer permanent records to The Center for Sacramento History after 10 years.

Statutory Reference: GC §34090(d) (2 years)

Note:

Approval Date: February 22, 2011

*Utilities***DOU-001***Also Called:**Function:**Content:**Total Retention:**Disposition:**Statutory Reference:**Note:**Approval Date:***Capital Improvement Projects (Administration)**

CIP

Documents the administration of Utilities Capital Improvement (infrastructure and facility) projects.

May include, but is not limited to: project administration records, schedules, certified payrolls, invoices, daily inspections, environmental determinations, EIR's, plans and specs, material testing reports, energy calculations, and correspondence.

Projects Developed: completion +10 years;

Projects not Developed: 2 years

Destroy Securely

GC §34090(d) (2 years)

February 22, 2011

DOU-002*Also Called:**Function:**Content:**Total Retention:**Disposition:**Statutory Reference:* GC §34090(d) (2 years)*Note:**Approval Date:***Capital Improvement Projects and Master Plans**

CIP

Documents Utilities Capital Improvement (infrastructure and facility) Projects as well as DOU Master Plans.

May include, but is not limited to: certificate of occupancy, permits, design exception report, water books, water plans, records drawings (as-builts), regulatory agency approvals, soils reports, Topo surveys, Notice to Proceed, Notice of Completion, Completion Report, Inspectors daily reports, and structural calculations.

Permanent

February 22, 2011

DOU-003*Also Called:**Function:**Content:**Total Retention:**Disposition:**Statutory Reference:**Note:**Approval Date:***CMMS**

Computerized Maintenance Management System

Used to capture work order tasks on unscheduled repairs, maintenance activities, inventory and equipment usage and staff labor pertaining to Department of Utilities for water meters, as well as water, sewer and drainage assets.

May include, but is not limited to: inspections, maintenance, repair and replacement of; water, sewer and drainage infrastructure, as well as inventory of all related materials received and issued to work orders and/or CIPs.

Permanent

May transfer paper records (prior to database creation) to The Center for Sacramento History after 10 years.

GC §34090(d) (2 years)

February 22, 2011

*Utilities***DOU-004***Also Called:**Function:**Content:**Total Retention:**Disposition:**Statutory Reference:**Note:**Approval Date:***Inspections**

Documents inspections completed by the department for purposes of permit requirements or compliance, internal department process or procedures.

May include, but is not limited to: storm water inspections, National Pollutant Discharge Elimination System (NPDES) Storm water inspections, approvals and violations, backflow inspections, pump station, flood & railroad gate inspections, video inspection reports.

Storm Water Inspections and Video Inspection Reports: 5 years
NPDES Storm Water Inspection & Railroad Gate Inspections: 10 years
All other records: 2 years

Destroy

40 CFR 122.41(j)(2) (NPDES Permits: 3 years except for monitoring of sewage & disposal which shall be retained for a minimum of 5 years);
GC §34090(d) (2 years)

February 22, 2011

DOU-005*Also Called:**Function:**Content:**Total Retention:**Disposition:**Statutory Reference:**Note:**Approval Date:***Permits**

Documents permits and other approvals applied for and issued by the Department of Utilities.

May include, but is not limited to: water rights and permits, NPDES permits and Waste Discharge Requirements (WDRs) permits (and all supporting documents); Spill Prevention, Control, and Countermeasure (SPCC) Plans; groundwater dewatering approvals; construction water permits; limited hydrant use permits; solid waste permits; administrative documents for all permits, such as applications, approvals, etc.

Water Rights and Permits (and supporting documents), NPDES and WDRs Permits (and supporting documents): permanent

Solid Waste Permits: expiration of permit +30 years

Application and Administration Records: 2 years

All other permits: expiration of permit +2 years

Destroy

GC §34090(d) (2 years)

February 22, 2011

DOU-006*Also Called:**Function:**Content:***Plant Operations**

Documents the activities of Water Treatment Plants and operations.

May include, but is not limited to: plant administration and operation records, groundwater levels, data trends, water level data sheets, daily log books, hazardous material plans, water production reports, index

Utilities

Total Retention: maps, sampling forms, sanitary surveys (Division of Drinking Water (DDW) inspections), stream measurements, and records pertaining to system chlorination.
Well and Water Reports, Index Maps, Water Level Data, Stream Measurements, Hazardous Material Plans: permanent
Log Books: 12 years
Sanitary Surveys: 10 years
All other records: 5 years

Disposition: Destroy

Statutory Reference: GC §34090(d) (2 years)

Note:

Approval Date: February 22, 2011

DOU-007**Regulatory Requirements***Also Called:**Function:**Content:**Total Retention:**Disposition:**Statutory Reference:**Note:**Approval Date:*

Documents relating to regulatory compliance for the Department of Utilities.

May include, but not limited to: routine (such as annual reports, work plans, and manuals) records and significant (such as Sanitary Sewer Overflow (SSO) violations records), Discharge Monitoring Reports (DMR), correspondence, watershed sanitary survey update reports, source water protection program work products, technical reports, white papers, MOUs, water quality monitoring data, variances, waivers or exception from regulatory agencies, confined space entries, plans, and flood maps.

Storm Water Annual Reports, Variances, Waivers and Exceptions and Water Level Data Sheets and Plans, Correspondence with Regulatory Agencies, Technical Memos, Reports, and Data that Document Significant Regulatory Decisions and Issues: permanent
NPDES, WDRs, and Source Water Protection Documents Supporting Regulatory Compliance: 15 years
Confined Space Entries: 3 years
All other records: 5 years

Destroy

40 CFR 122.41(j)(2) (NPDES Permits: 3 years except for monitoring of sewage & disposal which shall be retained for a minimum of 5 years);
GC §34090(d) (2 years)

February 22, 2011

DOU-009**Utilities Customer Information System***Also Called:**Function:**Content:*

CIS

Documents all information pertaining to customer accounts (residential and commercial) for water, sewer, drainage and solid waste services.

May include, but is not limited to: payment and billing information, owner information, perfected and secured liens, financial adjustments,

Utilities

customer contacts, field activities and all other data contained in the electronic CIS database.

Total Retention: Liens: permanent
Financial Data, Customer Contacts, Closed Accounts with Balance Owed, Field Activities, and All Other Data: account closure +3 years

Disposition: Destroy securely

Statutory Reference: GC §34090(d) (2 years); GC §34090(a) (permanent)

Note:

Approval Date: February 22, 2011

DOU-010**Utility Billing Correspondence**

Also Called:

Function:

Documents pertaining to all Utility Billing customer correspondence for water, sewer, drain and solid waste services.

Content:

May include, but not limited to: back-bill notices, lien releases, optional lawn & garden forms, vacancy forms, bill tenant forms, auto pay forms, bill disputes, voluntary metered billing, and other customer correspondence related to utility billing.

Total Retention:

Financial Adjustments: adjustment + 3 years,
All other correspondence: account closure +3 years

Disposition:

Destroy securely

Statutory Reference:

GC §34090(d) (2 years)

Note:

Approval Date:

February 22, 2011

DOU-011**Wastewater & Drainage**

Also Called:

Function:

Records pertaining to Wastewater and Drainage operations, infrastructure and maintenance.

Content:

May include, but is not limited to: reports and studies; monitoring, samples, sludge handling logs, weight hauling, biosolids, chemical usage, SSO's, daily logs, rainfall records, samples, studies and testing.

Total Retention:

Rainfall Records & SSO's: permanent

Biosolid Reports: 10 years

Chemical Usage: 3 years

All others records: 5 years

Disposition:

Destroy

Statutory Reference:

40 CFR 122.41(j)(2) (NPDES Permits: 3 years except for monitoring of sewage & disposal which shall be retained for a minimum of 5 years);
GC §34090(d) (2 years)

Note:

Approval Date:

February 22, 2011

DOU-012**Water Meters**

Also Called:

Function:

Utilities

Content: May include, but is not limited to: meter service cards, notifications, readings, operations checklists, replacements, shop log sheets, sets and install records, and all other paper records pertaining to meters and readings not stored in CMMS.

Total Retention: Permanent

Disposition: May transfer paper records to The Center for Sacramento History after 10 years.

Statutory Reference: GC §34090(d) (2 years)

Note:

Approval Date: February 22, 2011

DOU-0013**Water Quality Laboratories**

Also Called:

Function:

Documents relating to water quality testing and equipment for Plant Services.

Content:

May include, but not limited to; Laboratory Information Management System (LIMS), water quality reports, bacteriological sampling, lab analysis, connection samples, daily work sheets, daily logs, chemical reports and chemical sampling, as well as equipment operation and maintenance manuals.

Total Retention:

LIMS: permanent
Chemical Reports, Daily Worksheets, Monthly Reports, Lab Analysis, Water Quality Reports, Water Reports Monitoring, Testing and Sampling: 12 years
Chain of Custody: 10 years
All others records: 5 years

Disposition:

Destroy

Statutory Reference:

GC §34090(d) (2 years)

Note:

Approval Date:

February 22, 2011

DOU-0014**Well Operations**

Also Called:

Function:

Documents relating to specific monitoring of wells for Plant Services.

Content:

May include, but not limited to: well logs, graphs, measurements, logs, and record books.

Total Retention:

Life of the well + 2 years.

Disposition:

Destroy

Statutory Reference:

GC §34090(d) (2 years)

Note:

Approval Date:

February 22, 2011

Youth, Parks and Community Enrichment

YPCE-001

Access Leisure

Also Called:

Function:

Records that support and record history of Access Leisure programs administered by the City; including camps, sports programs, and various social programs.

Content:

May include, but is not limited to: participant enrollment files (enrollment files generally include registration forms, emergency cards, and medical records), attendance records, schedules of activities, program administration records, and correspondence.

Total Retention:

Participant Records: end of program participation + 2 years;
Camp Program Records: 7 years
All other records: 2 years

Disposition:

Destroy Securely

Statutory Reference:

GC §34090(d) (2 years);

Note:

Approval Date:

July 9, 2012

YPCE-002

Camp Sacramento

Also Called:

Camp program

Function:

Records that support and record history of Sacramento Camp programs administered by the City.

Content:

May include, but is not limited to: participant enrollment files (enrollment files generally include registration forms, emergency cards, and medical records), attendance records, schedules of activities, program administration records, correspondence, and water quality and testing forms subject to state requirements.

Total Retention:

Participant Records: end of program participation +2 years
All other records: 2 years

Disposition:

Destroy Securely

Statutory Reference:

GC §34090(d) (2 years);

Note:

Approval Date:

July 9, 2012

YPCE-003

Children Services Youth Programs

Also Called:

Function:

Documents the administration of youth programs sponsored by the City.

Content:

May include, but is not limited to: participant enrollment files (enrollment files generally include registration forms, emergency cards, and medical records), attendance records, schedules of activities, program administration records, and correspondence.

Total Retention:

Participant Records - end of program participation +2 years
All other records: 2 years

Disposition:

Destroy Securely

Statutory Reference:

GC §34090(d) (2 years)

Note:

Approval Date:

July 9, 2012

Youth, Parks and Community Enrichment

YPCE-004

Community Centers & Pools

Also Called:

Function:

Records that support routine business operations of the City's Community Centers.

Content:

May include, but is not limited to: activity schedules, activity sign in sheets, participant registration forms, center rental agreements and rental administration records, wheelchair lifts/chair transfers, and fire extinguisher inspection logs.

Total Retention:

2 years

Disposition:

Destroy

Statutory Reference:

GC §34090(d) (2 years)

Note:

Approval Date:

July 9, 2012

YPCE-005

Cover the Kids

Also Called:

Healthy Kids

Function:

Records that support and document the City's programs assisting families with health coverage, and administration of local health coverage program.

Content:

May include, but is not limited to, families' (clients) health coverage applications files, in-take forms (copies of birth certificates, social security card numbers, paystubs, tax forms, utility bills, and medical records), survey information requests, existing and former personnel records audit files for Medi-Cal Administrative Activities.

Disposition:

Destroy Securely

Total Retention:

Grant retention requirement +5 years.

Disposition:

Destroy securely

Statutory Reference:

GC §34090(d) (2 years)

Note:

Approval Date:

July 9, 2012

YPCE-006

Department Databases

Also Called:

Function:

Documents the use of and data contained within databases used by the Department of Youth, Parks, and Community Enrichment.

Content:

May include, but is not limited to: CLASS Reservation System - RecWare, Pool Attendance, Park Safety Patrol.

Total Retention:

Permanent

Disposition:

Destroy Securely

Statutory Reference:

GC §34090(d) (2 years)

Note:

Approval Date:

July 9, 2012

YPCE-007

Department of Public Health Records

Also Called:

Youth, Parks and Community Enrichment

Function: Records required by the Department of Public Health for concession stand operations, hazardous materials, pool inspections and lifeguard certifications.

Content: May include but is not limited to: all aquatic facilities, lifeguard certifications, and concessions at Pannell Pool, Northgate Park, Bill Conlin Park, Sim Park, and Airport Park.

Total Retention: 5 years

Disposition: Destroy Securely

Statutory Reference: GC §34090(d) (2 years)

Note:

Approval Date: July 9, 2012

YPCE-008

Fourth R

Also Called:

Function:

Content: Documents the programs run through the 4th R program. May include, but is not limited to: participant enrollment files (enrollment files generally include registration forms, emergency cards, and medical records), attendance records, schedules of activities, program administration records, and correspondence.

Total Retention: Participant Records: end of childcare program participation + 3 years
End of START program participation +5 years
All other records: 2 years

Disposition: Destroy Securely

Statutory Reference: GC §34090(d) (2 years)

Note: *For invoicing and other financial records related to Fourth R, see also CW-003 Banking Records (Department Level).

Approval Date: July 9, 2012

YPCE-009

Leisure Enrichment

Also Called: Recreation Classes and Safari Tours

Function: Records that support the process to reserve a class or tour

Content: May include, but is not limited to: participant enrollment files (enrollment files generally include registration forms, emergency cards, and medical records), attendance records, schedules of activities, program administration records, correspondence, class or tour reservations and administration, and instructor records (invoices, proposals, and application package).

Total Retention: Instructor Application Package: term contract + 2 years
Participant Records: end of program enrollment +2 years
All other records: 4 years

Disposition: Destroy Securely

Statutory Reference: GC §34090(d) (2 years)

Note: *For invoicing and other financial records related to Leisure Enrichment, see also CW-003 Banking Records (Department Level).

Approval Date: July 9, 2012

YPCE-010

Park Drawings and Plans

Youth, Parks and Community Enrichment

Also Called:

Function: Records documenting construction including installation of plumbing, electrical, and mechanical equipment and other related work at City Parks.

Content: May include, but is not limited to: architectural drawings and plans of City Parks.

Total Retention: Permanent

Disposition: May be transferred to The Center for Sacramento History after 20 years.

Statutory Reference: GC §34090(d) (2 years)

Note:

Approval Date: July 9, 2012

YPCE-011

Special Events

Also Called:

Function: Records supporting the process to request a permit or reservation for field use, facility use, park use, block parties, parades, special events, street closures, or equipment.

Content: May include but is not limited to: permit applications, correspondence, and event diagrams.

Total Retention: Completion of event + 2 years

Disposition: Destroy Securely

Statutory Reference: GC §34090(d) (2 years)

Note: Some statistical special event records are also kept in the CLASS Reservation Database.

Approval Date: July 9, 2012

YPCE-012

START Program

Also Called: Students Today Achieving Results for Tomorrow; ASES After School Education; 21st Century

Function: Documents the administration of the 4th R program.

Content: May include, but is not limited to: participant enrollment files (enrollment files generally include registration forms, emergency cards, and medical records), attendance records, schedules of activities, program administration records, and correspondence.

Total Retention: Participant records: end of program participation +5 years

All other records: 5 years

Disposition: Destroy Securely

Statutory Reference: GC § 34090(d) (2 years)

Note:

Approval Date: July 9, 2012

YPCE-013

Triple R

Also Called: RRR

Function: These are records that document the programs run through Triple R.

Content: May include, but is not limited to: participant enrollment files (enrollment files generally include registration forms, emergency cards,

Youth, Parks and Community Enrichment

and medical records), attendance records, schedules of activities, program administration records, and correspondence.

Total Retention: Participant Records: end of childcare program participation + 3 years
All other records: 2 years

Disposition: Destroy Securely

Statutory Reference: GC §34090(d) (2 years)

Note: *For invoicing and other financial records related to Triple R, see also CW-003 Banking Records (Department Level).

Approval Date: July 9, 2012

YPCE-014

USDA Food Program

Also Called: Summer/Year Round Food lunch and snack

Function: To serve free lunch and snacks to youth.

Content: May include, but is not limited to: meal count forms, claim forms, spreadsheet containing meal count forms, monitoring reports, 1st and 4th week meal count forms, pre-operational review form, inventory snack sheet, delivery spreadsheet, site application folder (agreement, training sign in sheet, calendar of non-service days corrective action forms) copies of checks from the grantor, and city application.

Total Retention: 5 years

Disposition: Destroy securely

Statutory Reference: GC §34090(d) (2 years); Grant Requirement (5 years)

Note:

Approval Date: July 9, 2012

YPCE-015

Youth Employment Programs

Also Called: Workforce Investment Act/Landscape and Lighting/Primetime Teen

Function: Records that document and support the operation of Youth Programs in the city.

Content: May include, but is not limited to: application and registration forms, ready to work documents, permission slips, job applications, work permits, case management notes, timesheets, copies of receipts and billing information for grantors.

Total Retention: Per grant requirement but not less than 2 years

Disposition: Destroy securely

Statutory Reference: GC §34090(d) (2 years); Grant Requirement (minimum of 2 years)

Note:

Approval Date: July 9, 2012

YPCE-016

Golf Records

Also Called:

Function: Documents the daily transactions and activities of the Golf Division.

Content: May include, but is not limited to: facility use and reservation database, financial reporting, starter sheets, and tee times.

Total Retention: Permanent

Disposition:

Statutory Reference: GC §34090(d) (2 years)

Youth, Parks and Community Enrichment

Note: Financial transactions of the Golf Division are held in the Morton's database.

Approval Date: January 31, 2012

YPCE-017

Golf Course Drawings and Plans

Also Called:

Function:

Records documenting construction including installation of plumbing, electrical, and mechanical equipment and other related work at City Golf Courses.

Content: May include, but is not limited to: architectural drawings and plans of City golf courses.

Total Retention: Permanent

Disposition: Transfer to The Center for Sacramento History after 10 years.

Statutory Reference: GC §34090(d) (2 years); CBC 1.8.4.3.1 (life of the building)

Note:

Approval Date: January 31, 2012

City of Sacramento Record Inventory

Department

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Date

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Name:

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[illegible]

Completing the Record Inventory

All fields must be completed for each record. The fields below should include the following information.

Record Series Number: This number is found on the City's Record Retention Schedule and is associated with a record series. For example if the records being inventoried are related to Annual and Special Reports the Record Series Number is CW-0002. If the record is not included on the current retention schedule indicate "new record" in the series number field.

Description: This field should contain a description of the record being inventoried. Often this will match the record series description found on the retention schedule. If the series is too broad additional description can be added.

Date From and To: List the oldest or starting date of the records being inventoried and the end or most recent date.

Use Status: A record only has the following status - Active, Inactive, Past Retention. Active is a record that within the retention period and is accessed 2 or more times per month. Inactive is a record that is within the retention schedule that is accessed rarely less than 1 time per month, records past retention are records that should be disposed and no longer held.

Location: Indicate where the record is being held. (ie: RM1234 FC4D3; DOU Records Room, network drive, CCM, Kevin's Office, Iron Mountain) If the record is held in paper and electronic form indicate where each version is held.

Record Series Number	Description	Date From	Date To	Use Status	Location
CW-0002	DOU Annual Reports	2000	2011	Inactive	DOU File Rm and CCM
DOU-0003	Field Services Inspections	01/05/1968	12/31/1999	Past Retention	DOU File RM and CMMS
DOU-0011	Wastewater and Drainage Sludge Log	01/01/2011	Present	Active	DOU File RM

When completing a records inventory do NOT remove any records, boxes, files or cabinets from the department with out the permission of the department..

Do NOT destroy any ORIGINAL records (regardless of format) authorization has been granted through the disposition process by the City's Record Manager and the Office of the City Attorney.

Copies and drafts may be destroyed as they are inventoried, provided:

1. You are certain the record is a copy, draft, or not a City Record.
2. If the record contains any private data (e.g. citizen's names, phone numbers etc), it must be shredded or have the private information obliterated.

For assistance or question contact the City's Record Manager.

City of Sacramento Record Inventory Worksheet: Employee Records

Department:

Date of Inventory:

Record Series #	Employee Name	Employment Start Date	Employment End Date	Notes

Completing the Record Inventory Worksheet Employee Records

All fields must be completed for each record; each field is described below:

Record Series Number: The record series number is found on the City's Record retention Schedule and is associated with a record series. For example if the records being dispositioned are Department Level Employee Files the record series number is CW-010.

Employee Name: This field should contain the complete and full name of the employee. Include any known alias. Other identifying numbers such as employee numbers and/or badge numbers.

Employment Start Date: List the date employment began.

Employment End Date: List the date employment ended.

Notes: Use this field to add comments or notes that further clarify the records being dispositioned.

Record Series #	Employee Name	Employment Start Date	Employment End Date	Notes
CW-010	Barbara Smith	02/15/1978	12/15/2005	Worked at PD, HR, and CDD
CW-010	Don Brown	01/16/2001	07/15/2001	
CW-010	Chris Murphy/SPD #0616	06/19/1980	10/30/1987	

City of Sacramento Record Inventory Worksheet: Non-Employee Records

Department

Date of Inventory:

Record Series #	Record Series Name	Record Start Date	Record End Date	Number of Boxes	Notes

Completing the Record Inventory Worksheet - Non Employee Records

All fields must be completed for each record; each field is described below. This form is only for non-employee records only.

Record Series Number: The record series number is found on the City's Record retention Schedule and is associated with a record series. For example if the records being dispositioned are Correspondence the record series number is CW-009. If the record is not included on the current retention schedule contact the City's Record Manager for assistance.

Record Series Name: This field should contain the record series name corresponding with the record series number from the retention schedule. For example if the records being dispositioned are letters and/or memos the series is Correspondence, as found on the retention schedule. You may choose to add other descriptors such as "Correspondence/Director's Office" This would be for your own information, and is not required for the completion of the worksheet. You only need to complete 1 row per series number/name.

Record Start Date: List the date of the oldest record in the series that you are dispositioning.

Record End Date: List the date of the most recent records in the series that you are dispositioning.

Number of Boxes: List the total number of boxes that are being dispositioned in the record series. If the records are digital list the total volume of records being dispositioned (1KB, 23GB)

Notes: Use this field to add comments or notes that further clarify the records being dispositioned.

Retention Schedule Sample

Vehicle Ownership and Maintenance Records

Record Series Number

CW-031

Also Called:

Record Series Name

Function:

Documents the purchase, ownership, licensing and maintenance of all office owned vehicles.

Content:

May include, but is not limited to: legal titles, registration documents, purchase invoice, contracts, warranties, inspections, maintenance logs.

Total Retention: Life of the vehicle +2 years.

Disposition: Destroy

Record Series #	Record Series Name	Record Start Date	Record End Date	Number of Boxes	Notes
Record Series #	Record Series Name	Record Start Date	Record End Date	Number of Boxes	Notes
Record Series #	Record Series Name	Record Start Date	Record End Date	Number of Boxes	Notes
Record Series #	Record Series Name	Record Start Date	Record End Date	Number of Boxes	Notes
CW-009	Correspondence	01/01/1986	12/31/2008	15	General Correspondence