



**TO THE HONORABLE MAYOR AND COUNCIL:**

DATE: January 27, 2015

**SUBJECT: AMENDING POLICY AND PROCEDURE NO. 26 ESTABLISHING A COMPREHENSIVE RECORDS AND INFORMATION MANAGEMENT PROGRAM, ADOPTING A RECORDS RETENTION SCHEDULE, AND ADOPTING RESOLUTION 15-5**

**Report in Brief**

Staff is requesting to amend Policy and Procedure No. 26 (Attachment 1) establishing a comprehensive Records and Information Management Program and adopt Resolution 15-5 (Attachment 2), adopting a records retention schedule and authorizing the destruction of obsolete records. These changes will build on the existing Records Management Program and provide a sound, legally-valid, system for saving, storing and destroying information.

**Background**

In 1969, The City Council adopted Policy and Procedure No. 26 outlining records retention. The most recent revision of that policy was done in December 1999. In December 1999, in addition to an amended Policy and Procedure No. 26, The City Council adopted a City-wide and Departmental Records Retention Schedules. Those schedules have been amended many times, the most recent in 2008. Since the 2008 amendment, the City has gone through a re-organization, record types have evolved and laws and regulations have changed.

In 2013, the City hired a consultant to look at the records program and assist the City in developing a Request for Proposals (RFP) for a new Electronic Content Management System (ECMS). In order to update the Record Management Program to better handle information in all formats and media and to work cooperatively with an ECMS, the Clerk's office researched different types of retention schedules.

On December 9, 2014 the City Council approved a contract for the new ECMS, and the adoption of the new Records Retention Schedule and Policy and Procedure No. 26 will update the records and information management practices and move the City forward in implementing a comprehensive content management system that uses current technology to eliminate duplication of effort, increase efficiencies and reduce current and future need for storage of physical records.

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**Discussion**

Our current schedule is departmental, has a large number of categories and is redundant. It is a good schedule for managing physical records; however, it is not appropriate for electronic records. A more appropriate schedule for electronic records is a functional or “big bucket” retention schedule. This type of schedule is more focused on common retention periods, has as few categories as feasible, reduces redundancy and focuses on “official” records.

A “big bucket” schedule is better for computing tools and supports the City Council’s goal of using technology to find more efficiency in the City. The retention schedule will run with the ECMS, and the electronic records will be categorized based on the retention schedule categories and tied to a specific retention period.

The new ECMS will not only replace the current system and allow for better management and retrieval of scanned documents, but also allow for better management of “digitally born” documents. The system purchased meets the State’s requirement for a trusted electronic storage system that allows destruction of paper records. The proposed Retention Schedule focuses on electronic records management and refers to Information Management, not just records management. The information will be retained the same, regardless of its format or media.

The Functional Schedule is broken down by categories within 17 business functions. Each category has a common retention period. The City’s schedule has some special circumstances, and those records are left in their own category in order to preserve their current retention periods.

In addition to an updated Retention Schedule, the City Clerk’s office is proposing an updated Policy and Procedure 26 – Records and Information Management (Attachment 1). The proposed policy includes new language focused on convenience information, electronic records as the official record and administrative changes in the future. Convenience Information will be defined as information not required to be retained and having only reference value. Convenience Information would be kept only while it was active and useful. Examples of convenience information would be: catalogs and trade journals, duplicate copies, extra copies, personal documents and personal working files, reference materials, templates, and transitory correspondence. The policy emphasizes electronic records being the official record and will have a corresponding process to destroy paper after imaging. Policy and Procedure 26 and the Records Retention Schedule have been reviewed and approved by the City Attorney.

**Fiscal Impact**

The City has 2,901 boxes in off-site storage and this amount would have grown had we not switched to an ECMS. With the amendments proposed to Policy and Procedure 26 and the focus on electronic records, the City anticipates avoiding an on-going increase in the costs of off-site storage and over time a reduction in these costs.

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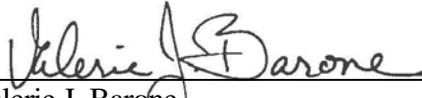
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**Public Contact**

Posting of the meeting agenda in accordance with requirements of the Ralph M. Brown Act, California Government Code Section 54950-54963.

**Recommendation for Action**

Staff recommends that the City Council Amend Policy and Procedure No. 26 and adopt Resolution 15-5 adopting a Records Retention Schedule and authorizing destruction of obsolete City records.



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City Manager

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Attachment 1 – Policy and Procedure No. 26

Attachment 2 – Resolution No. 15-5

Attachment 3 – Records Retention Schedule



## POLICY & PROCEDURE

Number: 26  
Authority: Council Motion  
Effective: 8-25-69  
Revised:  
Initiating Dept.: CM  
Distribution Code: 0

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## RECORDS AND INFORMATION MANAGEMENT

### 1. PURPOSE

To define the requirements for managing the records and information assets of the City of Concord in compliance with laws, regulations, and business operational requirements.

### 2. SCOPE

This Policy applies to employees, temporary workers and contractors of the City who act on behalf of the City and who have access to, or use of, City records and information assets to the extent they are involved in the creation, maintenance or storage of the City's records and information.

#### *Definition of Records and Information*

This Policy governs all types of City records and information created or received by the City in the course of its business. Records and Information include, but not limited to:

- a) Paper documents, forms, reports, manuals, maps, drawings, correspondence and files;
- b) Computer-received and generated records and information in structured or unstructured format, electronic communication, and metadata;
- c) Records and information in other formats such as microfilm, videos, audiotape, photographs, etc., regardless of the location or device upon which the information is stored.
- d) Records and Information, for the purposes of this policy, do not include Convenience Information, which consists of documents or data not required to be retained and generally have only reference value. Convenience Information should be kept or maintained only while it is active and useful, then disposed of. Under no circumstances should Convenience Information be kept longer than the retention period for the official record. Examples of Convenience Information include:
  - a. Catalogs and Trade Journals
  - b. Duplicate Copies
  - c. Extra Copies
  - d. Personal Documents
  - e. Personal Working Files
  - f. Reference Materials
  - g. Templates
  - h. Transitory Correspondence

### 3. AUTHORITIES

- 3.1 **State and Federal Law.** Numerous State and Federal codes and sections apply to different types of records. The principal California law applicable to City records is Government Code Section 34090 et seq., which requires original records to be retained a minimum of two years

and sets forth other requirements. Each record series listed in Concord's Records Retention Schedule has applicable laws cited in the "Comments/Reference" column.

- 3.2 **State-Wide Retention Guidelines.** California has adopted guidelines for retention periods of government records. Any deviations from these guidelines are noted in the "Comments/Reference" section of Concord's Records Retention Schedule.
- 3.3 **Professional Standards.** Selected professions, such as Human Resources and Finance, have published standards and/or articles recommending retention periods for different types of records. Any deviations from these guidelines are noted in the "Comments/Reference" section of Concord's Records Retention Schedule.
- 3.4 **Government Code Section 34090.** City records may be destroyed with approval of the legislative body by resolution and written consent of the City Attorney, except those records affecting title to real property or liens thereon; court records; records required to be kept by statute; records less than two years old; the minutes, ordinances, or resolutions of the legislative body or of a city board or commission.
- 3.5 **Government Code Section 34090.5.** City records may be destroyed without the approval of the legislative body or written consent of the City Attorney if they have been stored in a trusted system that does not permit additions, deletions, or changes to the original document (in accordance with Government Code Section 12168.7). The record shall also be kept in a safe and secure place, and on a device used to reproduce such record as accurately and legibly as the original, and as accessible to the public as the original.
  - 3.5.1 **Government Code Section 12168.7.** For the purposes of Government Code Section 34090.5 above, records stored by Information Technology in a Snap-Lock or Worm device meet the trusted system requirement.
- 3.6 **Government Code Section 6200.** Every officer having custody of any record, map, book, or paper filed in a public office who is guilty of willfully destroying, altering, or removing the whole or any part of such item is punishable by imprisonment in accordance with State law.

#### 4. POLICY

##### 4.1. Ownership

Records and information created or received in the course or conduct of the City's business is the exclusive property of the City. Therefore, records and information are subject to compliance with this Policy, the associated Retention Schedule and any other City governance requirements.

##### 4.2. Authenticity

The City is committed to creating and maintaining complete, accurate, and trustworthy records and information that documents its business activities. Deliberately creating false or misleading records or information regarding the City's activities is strictly prohibited.

Records and information are potentially discoverable in litigation, regardless of storage medium and regardless of physical location. Moreover, unless exempted, records are available to the public pursuant to the California Public Records Act, Government Code Section 6250 *et. seq.*

**4.3. Classification**

Records and information will be created, stored and managed with the appropriate classification that enables their protection as well as necessary access for future use.

**4.4. Retention**

Records and information are to be retained in accordance with the City of Concord Retention Schedule. When records or information completes its retention period, regardless of the format, they shall be deleted or disposed of in compliance with City procedures. The City's preferred method of retention is in an electronic format.

**4.5. Storage**

Records and information no longer considered active may be transferred to designated offsite storage facilities to fulfill retention requirements. Records and Information transferred to offsite storage are to be indexed for future access. Information that is owned by the City should not be stored on any personal devices.

**4.6. Availability**

Records and information must be available for future business, litigation, and investigations as necessary, regardless of storage location. Records and information that is deemed "public" is to be made available for the public in accordance with applicable laws and regulations.

**4.7. Exiting Employees and Contractors**

When an employee or a contractor leaves the City, the supervisor or manager is responsible for complying with the requirements of this Policy and any supporting procedures for retaining and managing the records and information of the exiting employee or contractor.

**4.8. Suspending Disposition of Retention Requirements**

Records and information relevant to litigation, an investigation, or an audit and subject to a Legal Hold are to be retained and preserved until further notice from the City Attorney, or designated outside counsel, regardless of the retention period set forth in the Retention Schedule. Records and information subject to a Legal Hold, Tax Hold, or an audit that are no longer required for business purposes may be transferred to offsite storage facilities for preservation in coordination with the City Attorney.

**4.9. Vital Information**

Records and information designated as "vital" are to be protected in a manner that establishes the priority of recovery of the data in a timely manner following a disaster or system disruption.

**4.10. Recovery Backup Tapes**

Disaster recovery backup tapes are exact copies of an operating system, associated application and data created for the sole purpose of recovering data in the event of a disaster and are not subject to the requirements of the Retention Schedule because they are duplicate documents. Backups serve as a level of protection for electronic systems and the data that is stored on those systems.

**5. RECORDS MANAGEMENT GUIDELINES**

- 5.1 Each department shall maintain active records using sound records management practices and a standardized records filing system as identified by the City Clerk's Office.
- 5.2 The Records Management Coordinator shall provide technical support to departments with the filing system and conduct related training.
- 5.3 Filing, retention and storage shall be performed in compliance with the Records Management Program and the City Council-adopted Records Retention Schedule to ensure easy access to public records.
- 5.4 The City's Records Management Coordinator shall provide Records Management Training as an ongoing part of the Records Management Program.

**6. RESPONSIBILITY**

- 6.1. The City Clerk's Office shall administer the Records Management Program.
- 6.2 Each Department Head shall appoint a Records Representative and an alternate to work with the Records Management Coordinator to implement the Records Management Program.
- 6.3 Both the Department Head and the City Attorney shall approve the destruction of departmental records authorized by the Council-adopted Records Retention Schedule when the department is designated as the Office of Record (OFR).
- 6.4 The Records Management Coordinator shall periodically review inactive records in storage and prepare a list of obsolete records for destruction when the retention period has expired according to the Council-adopted Records Retention Schedule.
- 6.5 Audits will be made periodically by the Records Management Coordinator to assure compliance with the Records Retention Schedule and to evaluate the program.
- 6.6 The Records Management Coordinator shall be responsible for any additions or deletions to the City of Concord Filing System.

**7. POLICY REVIEW**

The Retention Schedule may be amended or modified from time to time, as necessary, to account for changes in legal, regulatory or operational requirements for information management. The City Clerk is authorized to make these changes.

**BEFORE THE CITY COUNCIL OF THE CITY OF CONCORD  
COUNTY OF CONTRA COSTA, STATE OF CALIFORNIA**

**A Resolution Adopting a Records Retention Schedule  
and Authorizing Destruction of Obsolete City  
Records**

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**Resolution No. 15-5**

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

**WHEREAS**, the State of California has adopted guidelines for retention period for various government records; and

**WHEREAS**, the City of Concord has amended Policy & Procedure No. 26 to set forth a Records and Information Management Program that establishes a comprehensive Records Retention Schedule and guidelines for sound records and information management practices; and

**WHEREAS**, the City Clerk's office worked with a consultant to update the Records Retention Schedule (Exhibit A) to meet the changing needs of the City.

**NOW, THEREFORE, THE CITY COUNCIL OF THE CITY OF CONCORD DOES  
RESOLVE AS FOLLOWS:**

**Section 1.** Rescind Resolution 99-117, which adopted the previous version of the Citywide and Department Records Retention Schedules.

**Section 2.** The records of the City of Concord, as set forth in the City's Records Retention Schedule dated January 27, 2015, which are on file in the City Clerk's office and incorporated hereby by reference, are hereby authorized to be destroyed as provided by Section 34090 et seq. of the Government Code of the State of California and in accordance with the provisions of the said Retention Schedule and Policy & Procedure No. 26, with the approval of the City Attorney and/or the Department Head, without further action by the City Council of the City of Concord.

**Section 3.** The City Clerk and the City Attorney may update or modify the Records Retention as required to accommodate new laws or administrative changes.

**Section 4.** The term “record” as used herein is defined as “public record” and shall include any writing containing information relating to the conduct of the public’s business prepared, owned, used, or retained by any state or local agency regardless of physical form or characteristics pursuant to Government Code Section 6252.

**Section 5.** This resolution shall become effective immediately upon its passage and adoption.

**PASSED AND ADOPTED** by the City Council of the City of Concord on January 27, 2015, by the following vote:

**AYES:** Councilmembers -

**NOES:** Councilmembers -

**ABSTAIN:** Councilmembers -

**ABSENT:** Councilmembers -

**I HEREBY CERTIFY** that the foregoing Resolution No. 15-5 was duly and regularly adopted at a regular joint meeting of the City Council and of the City of Concord on January 27, 2015

By \_\_\_\_\_  
Joelle Fockler, CMC  
City Clerk

**APPROVED AS TO FORM:**

\_\_\_\_\_  
Mark Coon  
City Attorney

**Explanations and Definitions**

This template serves as the starting point for establishing the guidelines that define the length of time for which the City should retain their records and information (Retention Schedule). Records refer to information — regardless of its format or media — that documents the actions and transactions of the City, as well as information that is needed to operate the City to comply fully with legal, financial, reporting, and regulatory requirements, and to maximize business efficiencies.

**Column Heading Explanations**

**Record No.** - a unique identifying number for the category of information (to be added after all categories have been determined)

**Business Process** - the high-level grouping of business processes within the City (*this is not the departments or functions of the City, but rather high-level general business functions*)

**Record Category Name** - the actual category or grouping of "like" information upon which retention will be applied

**Record Category Description** - a description of the category or grouping of "like" information for clarification purposes

**Example Records** - records and information names that fall within the category or grouping; many actual departmental retention schedule record series are mapped to one of these high-level categories

**Retention** - how long information in this category must be retained, including any triggering events (described at the top of the schedule, with additional codes below)

**Legal Citations** - the legal or regulatory requirements or statutes that lead to the calculation of retention (not all information has a legal requirement to be kept; other considerations are mentioned above)

**Comments** - any special handling or other requirements for information of this category

**Office of Record** - the City department or functional area that is responsible for the official record.

**Other Records Retention Event Codes**

**LA** - the statutes of limitation of civil actions

**MAINT** - maintain records



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Retention Schedule

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Record No.	Business Process	Record Category Name	Record Category Description	Example Records	Retention	Legal Citations	Comments	Office of Record
001	All Departments	Audits (Internal, External)	Records and information related to preparation and follow up on auditing activities, including reviewing and documenting operational, compliance, or financial information created as a part of an audit.	Audit Files, Plans Audit Schedules Audit Workpapers Comprehensive Annual Financial Report (CAFR) Working Files Confirmation Letters General Purpose Financial Audits, Single Audits Improvement Plans Investigations, Workpapers Management Responses Observations Recommendations Remediation Plans / Results Responses Working Papers	AU*+7Y	CA - GOV 34090 - (2Y) US - 26 USC 6531 - (TAX+6Y)	* Closure of audit	Multiple
002	All Departments	Building, Property Management	Records and information regarding the structure of City physical buildings and facilities.	As-Built Blueprints Construction Records Electrical Wiring Schematics Floor Plans Property Inventory	LI*+10Y	CA - CCP 337.1 - (LA4Y) CA - CCP 337.15 - (LA10Y) CA - HSC 19850 - (LI)	* LI = Life of Building, Asset	PW
003	All Departments	Business Continuity	All documentation of City activities for dealing with disasters and/or system failures.	Assistance Applications ( <i>Federal, State</i> ) Business Continuity Plans Disaster Preparedness Disaster Recovery Plan Drill Records Emergency Contact Lists, Employee Lists, Roster of Workers Emergency Evacuation Procedures Emergency Operations Center Emergency Preparedness Emergency Response Emergency Services Hazardous Materials Response Planning School Violence Search and Rescue Telephone Trees Terrorism	S+2Y	CA - GOV 34090 - (2Y)		PW
004	All Departments	Community Outreach, Media and Public Relations	External-facing communications, advertising and press relations materials, including documentation of outreach activities/events held in cooperation or for the benefit of the local community.	Brochures FAQs Mailers Media Packets, Releases, Kits News, Newsletters, Press Releases Press Kits Promotional Materials Public / Media Inquiries Public Information / Outreach / Education Publications Produced by the City Publicity Files Social Media Documentation Special Events (includes applications and alcoholic beverage requests*)	CU+4Y	CA - CCP 337 - (LA4Y) CA - GOV 34090 - (2Y)	* Alcoholic beverage applications are reviewed and approved by the Police Department.	P&R
005	All Departments	Department Administration	General internal administrative records of City departments, including: - Documentation of department activities - Routine reports generated by the City - Information captured on a log or a list - Correspondence, memos, notes and emails that do not require acknowledgment and do not pertain to another category	City Generated Routine Studies / Reports CIP Utility Company Documents and Correspondence Committees (not formed by City Council) Correspondence Department Administrative Documents ( <i>calendars, committees, goals, objectives, meeting agendas, meeting minutes, meeting tapes/recording, plans</i> ) Employee Communication Letters ( <i>announcements, new programs, notices</i> ) Form Letters General Plan Working Documents ( <i>correspondence to council, draft EIR</i> ) General Reporting In-House Committees / Employee Committees Inactive Records Storage Information Indexes Lists ( <i>department contacts, telephone directories, mailing</i> ) Logs ( <i>case number, daily DR#, subpoenas received</i> ) Office Files, Office Manager Files Records Master Index Safety Committee Volunteer Programs Workpapers, Working Files	AC+2Y	CA - GOV 34090 - (2Y)		Multiple



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Record No.	Business Process	Record Category Name	Record Category Description	Example Records	Retention	Legal Citations	Comments	Office of Record
006	All Departments	Historical Documents, Events, Memorabilia, Collections, Artifacts	Records and information documenting the history and significant milestones of the City including dedications, ribbon-cuttings, grand openings, and groundbreaking ceremonies.	Annual Budget Documents (includes Treasurer's Report, CIP Report) Annual Reports Audit Reports, Year-end, Final Biographies of Public Officials, Agency Heads CAFR CCRP Plan CDBG HUD Reports (annual action plan, consolidated annual performance evaluation report, consolidated 5-Year plan) Census Information Certificates of Participation (ABAG) City Generated Historical Studies / Reports City Publications (brochures, newsletters) Crime Statistics (annual) Demographics Executive, City Official Communications, Speeches, Videos Historic Districts Historical Designations, Landmarks, Parks, Preservation Historical Events, Artifacts, Architecture, Designations, Projects Historical Funding Database (grants received from all funding sources) List of Elected Officials and Board/Commission Appointments List of Historic Properties Media Releases Newspaper Clippings Picture/Photo Collections Police General Orders Organization Charts Redevelopment Plans (including amendments) Registered Logos Scrapbooks Significant News Clippings, Releases Sister City Program Trees (Heritage Designations, Memorial Plantings) Website Content	PR	CA - GOV 34090 - (2Y) US - 15 USC 1125 - (LA10Y) US - 24 CFR 91 Subpart C - (MAINT)	Questys database is being replaced, but contents -- per old retention schedule - "No records will be destroyed from the DVD and all records in Questys will be destroyed according to existing retentions."  City needs to address appropriate retention somewhere other than the retention schedule.	Multiple
007	All Departments	Internal Service Administration, Issues, Complaints	Documentation regarding internal department or operational complaints and related requests for service.	Complaints Issues Log Repair Orders Telecommunication (phones, voicemail) Trouble Reports	AC+2Y	CA - GOV 34090 - (2Y)		Multiple
008	All Departments	Maintenance Inspection Reports	Reports of inspections of maintenance performed on City facilities including buildings, parks, streets, and sidewalks.	Equipment Inspections Facility Inspections Logs Playground Equipment Reports Trees	5Y	CA - CCP 337 - (4Y) CA - GOV 34090 - (2Y)		PW
009	All Departments	Maintenance, Repairs - Equipment and Infrastructure	Records and information regarding the ongoing maintenance and upkeep of City equipment, facilities and infrastructure.	Equipment Certifications (radar guns, lidar guns, personal alcohol screening devices, in-car video surveillance devices, mobile video devices) Equipment/Vehicle Accident Reports Maintenance and Repair Work Orders Maintenance Requests, Reports (buildings, streets, sidewalks) Playground Equipment Street Lights Traffic Signals (timing, signs, legends, marking, installations) Work Orders / Work Requests	10Y	CA - CCP 337 - (4Y) CA - GOV 34090 - (2Y)		Multiple
010	All Departments	Maintenance, Repairs - Grounds and Horticulture	Records and information regarding the ongoing maintenance and upkeep of City landscapes, grounds, and plantings.	Horticulture Irrigation in parks and right-of-ways Landscaping Maintenance and Repair Work Orders Maintenance Requests, Reports (parks, streets, sidewalks) Playground Equipment Street Sweeping Trees Work Orders / Work Requests	5Y	CA - CCP 337 - (4Y) CA - GOV 34090 - (2Y)		Multiple
011	All Departments	Meetings - Audio/Video Recordings	Audio recordings of City commission, council, department, districts and agency public meetings.	Recordings - Councils, Commissions, Committees (audio, video)	3M*	CA - GOV 54953.5(b) - (30D)		* 3 months after adoption of the minutes to which the recording applies
012	All Departments	Non-Financial Reporting	Official non-financial published reports and studies issued by City organizations to meet and comply with operational and regulatory requirements.	EEOC Reports (EEO-4) OSHA 300 Reports / Logs Workers Compensation Reports (monthly, annual)	10Y	CA - 8CCR 14300.33 - (5Y) CA - GOV 34090 - (2Y) US - 29 CFR 405.9 - (5Y) US - 29 CFR 1602.14 - (FR+1Y) US - 29 CFR 1602.30 - (3Y) US - 40 CFR 141.155 - (3Y)		Multiple



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Record No.	Business Process	Record Category Name	Record Category Description	Example Records	Retention	Legal Citations	Comments	Office of Record
013	All Departments	Policies, Procedures and Plans	All documentation of City, agency, council, commission, special district or department policy and procedures.	Correspondence Directives Guidelines Five-Year Plans Handbooks Master Plans Policies Procedure Manuals Procedures Program / Initiative Plans Records Retention Schedule Rules / Regulations Standards Trees Master Plan	AC+10Y	CA - GOV 34090 - (2Y) US - 26 CFR 31.6501 - (CY+3Y) US - 29 CFR 1602.14 - (FR+1Y) US - 29 CFR 1627.3 - (TE+1Y) US - 29 USC 1059 - (TE+1Y)	Retain same period as litigation.  NOTE: Police General Orders are retained permanently.	Multiple
014	All Departments	Project and Subject Working Files	Records documenting activities related to specific non-Public Works projects or subjects.	Appraisal Reports (property not purchased) Auditing, Accounting Matter Complaint Logs Consultants Economics Growth Management Joint Planning Projects City/County Positive Feedback Preliminary Notices Project Files Project/Program Plan Project Reporting Project Studies Risk Management Subject Files Surveys / Evaluations (rating sheets, programs, events) Working Files	PC+2Y	CA - GOV 34090 - (2Y)		Multiple
015	All Departments	Purchasing and Agreements, Awarded - General	Records and information created or retained in the requisitioning, purchasing, contracting or acquisition of goods and services other than for real property, infrastructure or facilities, between the City and other parties. Includes:  - Executed agreements - Terms and conditions and associated ancillary documents - Consultant agreements - Professional services - Council-approved - Employment agreements	Addendums Agreements Amendments Attachments / Exhibits Bids, Awards ( <i>Accepted</i> ) Certificates of Insurance Change Orders Contracts Correspondence Delivery/Receipt Records Disclosures Exhibits Franchise Agreements ( <i>cable TV, gas, etc.</i> ) Leases ( <i>to City, from City</i> ) Letters of Intent License Agreements, Licenses Memoranda of Agreement (MOAs) Memoranda of Understanding (MOUs) Price Lists Proof of Insurance Certificates Purchase Orders Purchasing Cards/CalCards Purchasing Package Quotes/Quotations Requests for Information (RFI) Requests for Proposal (RFP) Requests for Quote (RFQ) Reports Scorecards Specifications Statements of Work (SOW) Surety Bonds ( <i>bid bonds, payment bonds, performance bonds, ancillary bonds</i> ) Warranties	AC+10Y	CA - CCP 337 - (4Y) CA - CCP 343 - (4Y) CA - GOV 34090 - (2Y) US - 26 CFR 31.6001-1 - (CY+4Y) US - 29 CFR 516.5 - (3Y) US - 40 CFR 70.6 - (AC+5Y) US - 40 CFR 122.21(p) - (3Y) US - 40 CFR 122.41(j) - (3Y) US - 48 CFR 4.703 - (AC3Y) US - 49 CFR 107.504 - (AC+2Y)		Multiple



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Record No.	Business Process	Record Category Name	Record Category Description	Example Records	Retention	Legal Citations	Comments	Office of Record
016	All Departments	Purchasing and Agreements, Awarded - Real Property and Facilities	Records and information created or retained in the requisitioning, purchasing, or contracting for the acquisition, development, improvement or maintenance of real property, facilities, or other infrastructure assets, between the City and other parties. Includes:  - Executed agreements - Terms and conditions and associated ancillary documents - Subdivision agreements - Parcel Merge agreements - Lot Line Adjustments agreements - Lot Split Agreements ( LSA's) - Title Insurance agreements	Addendums Agreements Amendments Attachments / Exhibits Bids, Awards (Accepted) Certificates of Insurance Change Orders Contracts Correspondence Delivery/Receipt Records Disclosures Exhibits Leases Letters of Intent Maintenance Bonds Memoranda of Agreement (MOAs) Memoranda of Understanding (MOUs) Performance Bonds Proof of Insurance Certificates Purchase Orders Purchasing Package Quotes/Quotations Receiving Reports Requests for Information (RFI) Requests for Proposal (RFP) Requests for Quote (RFQ) Reports Scorecards Specifications Statements of Work (SOW) Surety Bonds (bid bonds, payment bonds, performance bonds, ancillary bonds) Warranties	PR	CA - GOV 34090 - (2Y) CA - CCP 315 - (10Y) CA - CCP 337.1 - (AC+4Y) CA - CCP 337.15 - (AC+10Y) US - 26 CFR 31.6001 (CY+3Y) US - 29 CFR 516.5 - (3Y)		Multiple
017	All Departments	Purchasing and Agreements, Not Awarded	Records and information created or retained in the requisitioning good, services, or real property between the City and other parties, but where the purchase order or contract was not awarded..	Bids, Awards (Unaccepted, Rejected) Exhibits Price Lists Quotations Requisitions Requests for Information (RFI) Requests for Proposal (RFP) Requests for Quote (RFQ) Scorecards Specifications	AC+2Y	CA - GOV 34090 - (2Y)		Multiple
018	All Departments	Records, Information Management	Documentation of the compliance with Records and Information Management policy and procedures.	Box Activity Log Certificates of Destruction Document Hold Notices, Updates Lists of Stored / Destroyed Records Master Records Inventory Records Transfers (to storage, to other depts.)	PR	CA - CCP 315 - (LA10Y) CA - CCP 337 - (4Y) CA - CCP 337.15 - (LA10Y) CA - GOV 34090 - (2Y) US - 26 CFR 31.6001-1 - (CY+4Y) US - 26 CFR 301.6501 - (CY+3Y) US - 40 CFR 70.6 - (AC+5Y) US - 40 CFR 122.21(p) - (3Y) US - 40 CFR 122.41(j) - (3Y) US - 49 CFR 107.504 - (AC+2Y)	Retain same period as litigation.	Multiple
019	All Departments	Reference Materials	Documents and materials retained for ongoing personal reference or ongoing research purposes not covered in a more specific process related series.	APCO Frequency Information Articles (newspaper, magazine, journal) Census Data Child Abuse Reports (copies) Classification Studies Data Processing Subject Files (Correspondence, Reference Publications, Reports) Design Guidelines Environmental Regulatory Data Extracted Data Summaries General Plan Reference Files Offers of Dedication: Unprocessed or Unaccepted Organization Keys Proposed Legislation (County, State, Federal) Records Inventory City-wide Plan Drafts, Reference Documents	S		Considered non-record research material	Multiple
020	City Clerk	Election Records - Administrative Files	Documentation of the administration of City elections.	Correspondence County Election Services Precinct Maps Precinct Workers	2Y	CA - GOV 34090 - (2Y)		City Clerk
021	City Clerk	Election Records - Historical	Records and information associated with elections that have lasting value for historical purposes.	Certificates of Election Certification of Election Results Election Summary Resolutions (calling the election, canvassing) Sample Ballots	PR	CA - GOV 34090 - (2Y)		City Clerk
022	City Clerk	Election Records - Successful Mayoral or City Council Candidates	Records and information related to the filing of campaign and election documentation by candidates for mayor or city council, who are elected to City offices.	Campaign Disclosures, Nomination Papers Campaign Statements Form 400 Series	PR	CA - GOV 81009(b) - (P)		City Clerk
023	City Clerk	Election Records - Unsuccessful Mayoral or City Council Candidates	Records and information related to the filing of campaign and election documentation by candidates for mayor or city council, but who are not elected.	Campaign Disclosures, Nomination Papers Campaign Statements Form 400 Series	AC+5Y	CA - GOV 81009(b) - (5Y)		City Clerk



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Record No.	Business Process	Record Category Name	Record Category Description	Example Records	Retention	Legal Citations	Comments	Office of Record
024	City Clerk	Elections Records - Performance of Election	Records and information related to the filing and performance of City elections.	Absentee Voters (applications, identification envelopes, roster of applications) Assessment Districts - Proposition 218 Proceedings Assisted Voters Lists Ballot Cards Ballot Measures Ballot Receipts Ballots (after election, after recount, voted by mail, unused/surrendered vote by mail, provisional, voted, damaged, spoiled, canceled) Challenged Voters Lists Fair Political Practices Commission Files Inspector Receipts for Ballots Petitions Precinct Officer Appointments Proposition 218 (assessment ballot proceeding, property related fees) Sealed Ballot Containers Tally Sheets Voter identification envelopes (provisional, voted by mail) Voter Index Copies (used as the Voting Record at Polling Places)	8M	CA - ELEC 17200 - (8M) CA - ELEC 17302 - (6M) CA - ELEC 17304 - (6M) CA - ELEC 17306 - (6M) CA - ELEC 17503 - (6M)		City Clerk
025	City Clerk	Lobbyists and Election Campaigns	Records and information related to the filing of campaign and election documentation by lobbyists, political action committees (PACs), other committees, and those not required to file original with City Clerk.	Campaign Disclosures, Nomination Papers Campaign Statements Expenditures Form 400 Series Registrations Reports (lobbyist activities)	AC+7Y	CA - GC 81009(b) - (5Y) CA - GOV 81009(c) - (7Y) US - 11 CFR 102.9 (3Y) US - 11 CFR 104.14 (3Y)		City Clerk
026	City Clerk	Nomination and Candidate Documents	Records and information related to the filing of nomination documents and signatures in lieu of filing fee petitions.	Candidate Statements (for sample ballot) Nominations Signatures in Lieu of Filing Fee Petitions	T+4Y	CA - GOV 17100(a) - (T+4Y)	* T = Termination of term of office	City Clerk
027	City Clerk	Public Information	Records requested by the public, required for provision to the public, and related inquiries.	Collection Lists Formal Public Records Requests Inquiries Maddy Act Lists Subpoenas	CL+2Y	CA - GOV 34090 - (2Y)		City Clerk
028	City Clerk	Purchasing and Agreements - Housing Loans	Records and information regarding programs that provide assistance to home purchasers and home owners. Programs include:  - HOME Funded First Time Homebuyers - HOME Program Rental Project - CalHOME - HELP First Time Homebuyers - CDBG Rehab - 20% Housing Set-Aside Fund	Applications Correspondence Density Bonus Monitoring Reports First Time Homebuyer Records Grant Agreements Home Improvement Loans (deeds of trust, recorded documents, modifications, insurance certificates) Monitoring Files Notices Predevelopment Loans Rental Development Project Files Reports	AC*+5Y	CA - 25 CCR 7721 - (MAINT) CA - GOV 34090 - (2Y) US - 24 CFR 85.42 - (3Y) US - 24 CFR 92.508 - (AC5Y) US - 29 CFR 97.42 - (3Y)	* Active is full payment of loan.	
029	City Clerk	Purchasing and Agreements - Mutual Aid/Joint Powers	Records of agreements between the City and other entities for the mutual benefit of both parties.	Addendums Agreements Amendments Attachments / Exhibits Change Orders Contracts Correspondence Disclosures Exhibits Joint Powers Agreements (JPAs) Letters of Intent Memoranda of Agreement (MOAs) Memoranda of Understanding (MOUs) Reports Specifications	AC+35Y	CA - GOV 34090 - (2Y)		City Clerk
030	City Clerk	Recorded Documents - Vital	Records and information pertaining to those original key documents recorded on behalf of the City.	Abandonments Address Records Annexations/Deannexations Bonds (in conjunction with recorded agreements) Certificate of Correction City Incorporation Conveyances from the City (Deeds, Easements, Abandonments/Vacations) Conveyances to the City (Deeds, Easements, Dedications) Deeds Detachments Easements Encroachments Grant Deeds Irrevocable Offers to Dedicate Recorded Agreements Rights-of-Way Street Vacations	PR	CA - GOV 34090 - (2Y)		City Clerk
031	City Clerk	Returned Mail from Public Hearing Notifications	Public Hearing Notifications sent via U.S. Postal Services, but returned as undeliverable.		6M	CA - GOV 945.6(a)(1) - (6M)		City Clerk
032	City Clerk	Roster of Voters	The roster of voters applicable to a specific City election.	Voter Index (original)	AC+5Y	CA - ELEC 17001 - (5Y) CA - ELEC 17300 - (Election + 5Y)		City Clerk



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Record No.	Business Process	Record Category Name	Record Category Description	Example Records	Retention	Legal Citations	Comments	Office of Record
033	City Clerk	Statements of Economic Interest	Forms mandated by state law related to economic interests of certain employees, elected or appointed officials, or candidates for office.	Form 700 Form 801 Form 802 Form 806	AC*+7Y	CA - GOV 34090 - (2Y) CA - GOV 81009 (4Y, 7Y)	* Remains active until individual leaves City employment	City Clerk
034	City Clerk	Tax Cancellations	Notifications to the County Assessor after an Irrevocable Offer of Dedication has been filed and accepted.		2Y	CA - GOV 34090 - (2Y)		City Clerk
035	City Manager	City Council Correspondence	Records of correspondence between the City Manager and the City Council.	Chron File Index	5Y	CA - GOV 34090 - (2Y)		City Manager
036	City Manager	Franchise Administration	Records and information associated with oversight and administration of the City's franchises for services including cable television, solid waste/recycling, and utilities.	Citizen Complaints Progress Reports Rate Increases	AC+2Y	CA - GOV 34090 - (2Y)		City Manager
037	Community Services	Camp Concord - Attendee Forms	Records of medical information, releases and permission forms for minors attending Camp Concord.	Medical Information Releases Nurses' Logs and Records Parental Permission Forms	17Y*	CA - CCP 337 - (4Y) CA - CCP 338 - (3Y) CA - GOV 34090 - (2Y)	* Retain until youngest attendee reaches age 25.	P&R
038	Community Services	Community Liaisons and Education	Records and information documenting involvement with community groups, agencies, and neighborhoods for educational and community-building purposes.	CERT (Community Emergency Response Training) Drug / Alcohol Education / Community Training Emergency Action Plans Emergency Forms Partnerships Street Smart Program Youth Violence Prevention Education / Community Training	2Y	CA - GOV 34090 - (2Y)		Police
039	Community Services	Concord Community Reuse Project	Records and information associated with the preparation and development of a reuse plan for the conversion of the Inland Area of the Concord Naval Weapons Station (CNWS) to civilian uses.	Community Outreach Correspondence Local Reuse Authority (LRA) Mailing Lists Memos Presentations Publications Reports Reuse Plans Studies Surveys Trainings	15Y	CA - GOV 34090 - (2Y)		CCRP
040	Community Services	Economic Development Programs and Services	Records and information documenting the City's economic development programs.	Appraisals Business Promotion Programs Business Recruitment Programs Community Activities Court Orders Demographics Economic Development Programs Economic Development Strategy Eminent Domain Property and Business Improvement Area (PBIA) Property and Business Improvement District (PBID) Parking Management Strategies Project Areas Property Transactions (DDA, DA, etc.) Redevelopment Agency Files Redevelopment Successor Agency (oversight, board agenda, reports) Retail Incentive Programs Tourist Improvement District Local Committee Urban Design Plans	AC+10Y	CA - CCP 337.15 - (LA10) CA - GOV 34090 - (2Y)		CED
041	Community Services	Grant Program Files	Records and information of grant-funded programs including: - CDBG and CDBG-R - Child Care Developer Fee - Concord/Pleasant Hill Health Care District (CPHHCD) - HOME - First-Time Homebuyers Program - Housing Rehabilitation	Agreements Correspondence Monitoring Environmentals Payments Promissory Notes Recorded Documents	AC*+5Y	CA - GOV 34090 - (2Y) US - 24 CFR 85.42(b) - (LA3Y) US - 24 CFR 570.502(a)(16) - (LA4Y) US - 24 CFR 982.158 - (3Y) US - 29 CFR 97.42 - (LA3Y)	* Active until close of program year	CED City Clerk
042	Community Services	Housing Program Files	Records and information regarding programs that provide housing to those in need including: - PHA Housing Choice Voucher Program - Mainstream, Moderate Rehabilitation Program - Shelter Plus Care - Supportive Housing - Section 8 Management Assessment Program (SEMAP) - Section 8 SRO Moderate Rehabilitation - Family Self Sufficiency (FSS) Program - Housing Conservation Program - Homelessness Prevention and Rapid Rehousing Program	Accounts Appeals Applications (successful) Budgets Certifications Corrective Action Plans Documentation of Basis for PHA Determination the Rent to Owner is Reasonable (initially and during term of HAP contract) Executed Lease (copy) Funding Records HAP Contract HUD 50058 (for annual and interim re-exams of family income) HUD-required Reports Lead-based Paint Records Monitoring Notifications Owner Files Policies Rebates Reconciliations Reports Statistical Records Unit Inspection Reports	AC*+5Y	CA - GOV 34090 - (2Y) US - 24 CFR 5.514 - (5Y) US - 24 CFR 85.42 - (LA+3Y) US - 24 CFR 570.502(a)(16) - (LA+4Y) US - 24 CFR 908.101 - (3Y) US - 24 CFR 982.158 - (EXP+3Y)	* Active is Program Completion Year	CED



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Record No.	Business Process	Record Category Name	Record Category Description	Example Records	Retention	Legal Citations	Comments	Office of Record
043	Community Services	Injury Reports	Records and information regarding injuries sustained by non-employee participants in community programs and events, and for which claims against the City are not filed. (For claims against the City, see Claims Management.)	Injury Reports (LS-28.1, LS-155, FIN-117) Pavilion Incident Reports Program "Ouch" Reports	5Y	CA - CCP 337 - (4Y) CA - CCP 338 - (3Y) CA - GOV 34090 - (2Y)		P&R
044	Community Services	Parks and Recreation - Facility Rentals	Records and information documenting the City's parks and recreational programs and services.	Facility Rentals (use applications, permits, reservation books, insurance certificates, users, reports) Waivers of Liability	AC+2Y	CA - CCP 337 - (4Y) CA - CCP 338 - (3Y) CA - GOV 34090 - (2Y)	* Repeat users of facilities remain active	P&R
045	Community Services	Parks and Recreation - Lifeguard Certifications	Records of certification for lifeguards serving at City recreational facilities.	Ellis & Associates Aquatic Accident Survey for Unconscious Victims Lifeguard Certifications Lifeguard Rescue Reports Lifeguards	10Y	CA - CCP 337 - (4Y) CA - CCP 338 - (3Y) CA - GOV 34090 - (2Y)		P&R
046	Community Services	Parks and Recreation - Programs and Services	Records and information documenting the City's parks and recreational programs and services.	Adopt-a-Park Program Adult Services Programs / Classes Applications Aquatics Cultural Activities Programs / Classes Emergency Cards Hold Harmless Participant Problem Reports Planning and Research Playground Inspections Program Binders Program/Event Evaluations Recreation Schedules Registrations Forms Scholarships (Applications, Awardee Information, Forms) Special Recreation Programs / Classes Sports Groups / Sports Alliance Groups Sports and Fitness Leagues / Programs / Classes Street Tree Program / Tree Requests Teen Services Programs / Classes Tree Removal Forms/Permits Youth Services Programs / Classes Waivers of Liability Withdrawal Forms	AC+2Y	CA - GOV 34090 - (2Y)		Multiple
047	Construction and Engineering	Building Codes, Permits, Appeals and Decisions	Records and information documenting the City's building services activities.	Alternate Materials Appeals - Granted Building and Fire Code Board of Appeals Building Codes Building Inspections Building Permits (issued, active, expired, history) Building Plans - Commercial & Residential* Certificates of Compliance Certificates of Occupancy Design Disability Access Board of Appeals Fire Protection Plans Methods of Constructions Notices of Noncompliance	PR	CA - CCP 337.1 - (LA4Y) CA - CCP 337.15 - (LA10Y) CA - GOV 34090 - (2Y) CA - HSC 19850 - (LI)	NOTE: *Residential building plans may be deleted after 90 days	CED
048	Construction and Engineering	County Assessor Reports	Building reports prepared and submitted to the County assessor's office.	Building Permit Reports Building Plans - Residential Appurtenances	2Y	CA - GOV 34090 - (2Y)		CED
049	Construction and Engineering	House Moves	Records and information associated with moving residential buildings within the City.	House Moves	AC+10Y	CA - CCP 337.1 - (LA4Y) CA - CCP 337.15 - (LA10Y) CA - GOV 34090 - (2Y) US - 48 CFR 4.703 - (AC+3Y)		CED



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Record No.	Business Process	Record Category Name	Record Category Description	Example Records	Retention	Legal Citations	Comments	Office of Record
050	Construction and Engineering	Project Files	Records and information related to the administration, analysis, design, development, planning, construction and maintenance of public works, capital improvement (CIP) and engineering projects for City facilities and infrastructure. Includes: - Buildings - Pavilion - Parks and Park Improvements - Sewers - Street Widening	As-Built Plans Assessments Bids Billings Capital Improvement Projects (CIP) ( <i>drawings, maps, plans</i> ) Certificates of Compliance/Notice of Non-Compliance Certifications ( <i>daily reports</i> ) Contract Schedules Contractor Documentation (Payroll, Pay Estimates, Prevailing Wages, Itemized Pay Sheets, Labor Compensation, Statement of Working Days) Construction Daily Reports Correspondence Encroachment Permits, Certificates Environmental Impact Reports / Statements / Assessments Estimates / Budgets Field Inspections Final Improvement Plans Geotechnical Reports Grading ( <i>cut sheets, permits, erosion control plans</i> ) Insurance Certificates Materials Testing Reports Meeting Minutes ( <i>progress, project pre-construction</i> ) Notice of Completion Notice to Proceed Public Notices ( <i>mailing list</i> ) Public Works Extracts ( <i>Notification of award of contract to the CA Dept. of Industrial Relations</i> ) Request for Final Inspection RFIs & Responses Rights of Way (ROW) Specifications Storm Drains/Sewers ( <i>Sewer Assessment Districts, Manufactured Treatment Devices (MTDs)</i> ) Submittals Surveys	PR	CA - CCP 337.1 - (LA4Y) CA - CCP 337.15 - (LA10Y) CA - 14 CCR 15095c - (Reasonable) CA - GOV 34090 - (2Y) CA - HSC 19850 - (LI)		Multiple
051	Finance	Accounts Payable	Records, information and reports related to the accounting of monies paid by the City including payment for financial obligation, documenting bad debt, paying of unemployment expenses, employee expense reimbursement, or services rendered.	Aging Reports Check Listing Credit Card Information Credit Card Slips, Statements, Receipts Credit Memos DE542 (Report of Independent Contractors) Employee Expense Reports, Reimbursements Form 1099 Records Form W-9 Records Housing Check Run Reports Invoices and Vouchers Operating Invoices, Paid (General) Operating Invoices, Paid (Contract Vendors) Payables Package, Receipts Payments Petty Cash Data Reconciliations Refunds Sales and Use Taxes Paid Training Request & Expenditure Reports Travel Orders Tuition Reimbursements Vendor Invoices Voided Checks Warrant Registers	AU*+10Y	CA - GOV 34090 - (2Y) US - 26 CFR 31.6001 - (CY+4Y)	* Closure of audit	Finance
052	Finance	Accounts Receivable	Records, information and reports related to the accounting of monies billed by or received by the City including cash payments received, money received for fines or fees, etc.	Aging Reports Assessments (CIP Districts, <i>Lighting &amp; Maintenance Districts</i> ) Business License Taxes Cash ( <i>cash count reports, cash flow book information, cash disbursement, cash register receipts, cash receipts</i> ) Check Listing County Assessor's Reports - City Assessments Facilities Fees FEMA/OES Reimbursements General Fund Taxes Housing Check Run Reports Invoices and Vouchers ( <i>paid, cancelled, written off</i> ) Liens Petty Cash Data Property Taxes Receivables Package, Receipts Reconciliations Refundable Deposits ( <i>made by developers at time of application and used by the City to charge processing time and materials against</i> ) Refunds Transient Occupancy Taxes Utility Billing Voided Checks	4Y	CA - CCP 338 - (3Y) CA - GOV 34090 - (2Y)		Finance



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Record No.	Business Process	Record Category Name	Record Category Description	Example Records	Retention	Legal Citations	Comments	Office of Record
053	Finance	Bank Account Information	Records and information related to banking activities, transactions and correspondence. This category includes deposits and reconciliations.	Bank Account Administration Bank Statements (All Agencies) Cash Count Records Checks and Warrants ( <i>Canceled, Cashed, Voided</i> ) Check Copies Check Registers, Journals Corrections / Returns Deposit Permits Deposits Electronic Banking Reconciliations Signature Cards Statements ( <i>Trustee, Transaction</i> ) Transactions Transfers Treasurer Receipts Treasurers Daily Bank Transaction Reports Wire Transfers	10Y	CA - GOV 34090 - (2Y)		Finance
054	Finance	Benefit Plan Payments, Reconciliations	Records and information of payments made to employee benefit carriers, including reconciliations and backup documentation.	Bar Code Reports Carrier Reporting, Performance Group Premium Statements	5Y	CA - GOV 34090 (2Y) US - 26 CFR 31.6001 (CY+3Y) US - 26 CFR 301.6501 (CY+3)		Finance
055	Finance	Benefit Plans	Plans established to provide employee benefits (other than retirement), including changes to those plans and associated administrative documents.	Actuarial Reports A.D.P. Worksheets (up to 1998) COBRA Correspondence Employee Assistance Program (EAP) Employee Benefit Plans Group Insurance Cost Data Health/Medical Insurance Plans Life Insurance Long Term Care Retiree Health Insurance Summary Plan Descriptions Workers Compensation Plans	LI*+5Y	US - 29 USC 1027 - (6Y) US - 29 USC 1059 - (TE+1Y) US - 29 USC 1113 - (LA6Y) US - 29 USC 1451 - (LA6Y) US - 29 CFR 1627.3 - (TE+1) US - 29 CFR 4007.10 - (6Y) US - 29 CFR 4041.5 - (LI*+6Y)	* LI = Life of Plan or System; plan/system is considered alive while any employee, retiree, or other eligible participant is receiving benefits.	Finance HR
056	Finance	Budget Planning and Workpapers	Records and information regarding the development of City, agency, assessment district, special district, council, commission or departmental budgets.	Budget Development Documents Budget Working Files Budget Workpapers, Worksheets Gann Limit Annual Review Revenue/Expenditure Reports Trial Balance/Balance Sheets (Finals)	4Y	CA - GOV 34090 (2Y)		Multiple
057	Finance	Credit, Collections	Records and information generated or collected in the tracking of debtor transactions and balances.	Accruals Bad Check Logs Bad Debt Reserves Credit, Collections and Aging Credit Reports Credit Reviews Customer Payments Damage to City Property by Employees Refund Claims Uncollectable Accounts Write-offs, Adjustments	4Y	CA - GOV 34090 - (2Y) US - 26 CFR 31.6001 (CY+4Y)		Finance
058	Finance	Debt, Investments	Records and information relating to analysis of City financing and investment activities.	Amortization Schedules Bonds ( <i>continuing disclosures, bond rating reports, official statements</i> ) Bonded Indebtedness Cash Bonds Certificates of Deposit (CDs) Certificates of Participation Direct Investments Due Diligence Exempted Securities Financial Investment Planning Improvement Assessments** Investment Loans to Other Agencies Investment Performance Reporting Investment Reporting Letters of Credit Loans ( <i>debt state loans, water</i> ) Local Agency Investment Fund (LAIF) Long Term Debt Money Manager Statements Payment History/Schedules Portfolio Management, Quarterly Reviews Revenue Bonds ( <i>housing, city mortgage</i> ) Returns Management Security Instruments Stock / Equity / Debt Issuance, Repurchase Records Trust Accounts	M*+10Y	CA - CCP 336 - (5Y) CA - CCP 337 - (4Y) CA - CCP 337.5 (10Y) US - 26 CFR 31.6001 (CY+3Y) US - 26 CFR 301.6501 (CY+3)	* Maturity includes cancellation and redemption  ** For improvement assessments, maturity is considered when the last bond is paid.	Finance
059	Finance	Deferred Compensation - Contracts and Plans	Records and information of the deferred compensation contracts and plans entered into by the City.	Contracts Deferred Compensation Plans	PR	US - 29 USC 1027 - (6Y) US - 29 USC 1059 - (TE+1Y) US - 29 USC 1113 - (LA6Y) US - 29 USC 1451 - (LA6Y) US - 29 CFR 1627.3 - (TE+1) US - 29 CFR 4007.10 - (6Y) US - 29 CFR 4041.5 - (LI*+6Y)	DC Changes and Loan Repayment information is stored in Employee Personnel File until Termination + 5 years for non-sworn, and permanently for sworn personnel.	Finance HR



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Record No.	Business Process	Record Category Name	Record Category Description	Example Records	Retention	Legal Citations	Comments	Office of Record
060	Finance	Employee Benefit Files	Employee election (selection), enrollment or termination forms and related correspondence, including transmissions to carriers of additions, changes, claims and deletions (includes employee medical records subject to HIPAA requirements).	Actuarial Analysis for Benefit Reserves and Accounting Appeals Benefits Files, Contract Copies, Elections, Enrollments, Appeals Beneficiary Designations City of Concord Retirement System (CCRS) Benefits COBRA Death Claims, Life Event Documents Employee Cost-Sharing Amounts Employment Authorizations, Terminations, Confirmations, Status Changes, Coverage Changes Flexible Spending Enrollment Individual Retirement Accounts (IRAs), 401k Histories Life Insurance Notification Letters/EOI Medical Billing Statements Medical Waivers and Changes Pension Plan Applications, Claims P.E.R.S. Information Premium Information Required Benefits Reporting Retirement Loans / Retirement Supplemental Forms	AC*+6Y	CA - 22 CCR 1085-2 - (4Y) CA - GOV 12946 - (2Y) US - 26 CFR 301.6501 - (CY+3Y) US - 29 CFR 516.6 - (2Y) US - 29 CFR 825.500 - (3Y) US - 29 USC 1027 - (6Y) US - 29 USC 1059 - (TE+1Y) US - 29 USC 1113 - (LA6Y) US - 29 USC 1451 - (LA6Y) US - 29 CFR 4007.10 - (6Y)	* Files are active as long as the employee is eligible for and receiving benefits.	Finance HR
061	Finance	Fee Maintenance and Collection	Records and information documenting general administration and maintenance of City fee payments, collection, and receipts.	Assessment District Fees Automatic Payment Authorizations Building Permit Fees Business License Applications, Affidavits Copying Fees Candidate Filing Fees Encroachment Fees Facility Fees Fee Schedules Fee Studies Grading Fees Impact Fees Inspection Fees Oversize/Overweight Permit Fees Parking Citations (reports, related information) Plan Review Fees Property Fees Recreation Fees Traffic Fees Water Systems (including irrigation) Fees	AC*+2Y	CA - GOV 34090 - (2Y)	* While permit or license is active	Multiple
062	Finance	Financial Reporting - Annual, Official, Periodic	General and official financial reports, whether required by regulations or generated to track financial transactions and achievements by the City.	Annual Report of Financial Transactions To State Annual State Controller Filings CAFR Workpapers EEOC Reports Equipment Rental/Usage Reports Fixed Asset Reports Labor Distribution Reports PERS Reports Payroll Reports (HRA, RMT, ICMA 457 accounts, Nationwide, deferred compensation) Quarterly Investment Report Revenue/Expenditures Reports Self Insurance Reports State Controller's Report Workers Compensation Reports	CU+7Y	CA - GOV 34090 - (2Y) US - 26 CFR 1.1461-2 - (CY+1Y)		Finance
063	Finance	Financial Statements	Official financial statements for the City, its agencies, and departments.	Financial Statements	PR	CA - GOV 34090 - (2Y)		City Clerk
064	Finance	Fixed Asset Transactions	Records and information related to the ownership, purchase, sale, lease or improvement of equipment and other fixed assets, excluding land assets, owned or used by the City.	Acquisitions Amortization Appraisal Reports Asset Retirement Records Attachments Capital Asset Records Capital Improvements Fixed Asset Ledger Fixed/Capital Asset Accounting Possessory Interest Public Art (purchased, loaned) Surplus Property Sales / Disposal Valuation Information	AU*+10Y	CA - CCP 337.15 - (LA10Y) CA - GOV 34090 - (2Y)	* Closure of audit	Multiple



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Record No.	Business Process	Record Category Name	Record Category Description	Example Records	Retention	Legal Citations	Comments	Office of Record
065	Finance	Grants and External Funding Sources	Documents the application, evaluation, awarding, administration, monitoring, reporting, and status of grants and other funding sources in which a local government entity is the recipient, grantor, allocator, or administrator.	Applications (including project proposals) Audits Awards Award Notification Budget Tracking Reports CalTrans C.D.B.G. (Community Development Block Grant) Combined Federal, State, Local Grants Enterprise Funds (water, waste, housing) Federal Grants Gas Tax Grant Administration Grant Funding Grant Evaluations Local Grants Program Rules, Regulations, Procedures Property Taxes Funding Reports to Funding Agencies Special Revenue Funds State Grants Tax Increment Funding Transportation Funding	CL+10Y	CA - GOV 34090 - (2) US - 7 CFR 3016.42 - (3Y) US - 24 CFR 85.42 (3Y) US - 28 CFR 66.42 - (3Y) US - 29 CFR 97.42 - (3Y) US - 40 CFR 31.42 - (3Y) US - 44 CFR 13.42 - (3Y) US - 45 CFR 92.42 - (3Y)	* Unsuccessful applications are retained 2Y. Grants covered by a Consolidated Action Plan are required for 5 years; Uniform Admin. Requirements for Grants to Local Governments is 3 years from expenditure report or final payment of grantee or subgrantee; OMB Circular A-133	Multiple
066	Finance	Journal Edit Listing and Allocation	Records and information related to the transfer of charges between accounts and summaries of account information, excluding year-end reports and summaries.	Account Ledgers Balance Sheets Budget Adjustments Balance Sheets Cash Journals Expenditure Reports General Ledger Income Statements Interest Spread Journal Entries and Backup Documentation Journal Vouchers Payroll Journal Purchases Journal Revenue Sub-Ledgers Trial Balance Year -End / Account Detail History Report	10Y	CA - GOV 34090 - (2Y) US - 26 CFR 31.6001 (CY+4Y)		Finance
067	Finance	Payroll	Records and information related to the accounting of City payroll, including garnishment records and information to satisfy debts. This also includes records and information reflecting all remuneration paid to each employee, including: - Name, address, SSN - Total amount and date of payments - Period of service covered for each - Withholding - Tax collected  NOTE: A.D.P. payroll records are from 1998 and earlier.	Attendance Records, Corrections Benefit Payments Correspondence Deduction Reports Deferred Compensation (applications, changes, loan repayments, uploads, confirmations, withdrawals, city/employee statements) Employee Deduction Authorizations, Check Information, Extra Help Reports Employee Master Lists, Addresses Extra Help Reports Flex Spending Garnishments, Garnishment Orders, Receipts Leave Reports Military Leave Orders, Confirmations P.E.R.S. Reporting Payroll Checks, Copies, Stub Reports Payroll Certifications, Controls Payroll Deduction Authorizations, History, Liens, Claims Payroll Tax Returns Posting Tickets Processing Reports, Reports to Government Agencies Salary Changes (Authorizations not on a Personnel Action Sheet, including COLA and Pay for Performance-Managers) Salary Schedules State Quarterly Reports Taxes (Federal, Medicare, State, Unemployment) Time Sheets - Reports Timekeeping Records (Timecards, Time Sheets, Basic Time and Earnings Cards) Unemployment Reports - Greenbar Reports (PR 290) W-2 Wage Attachments Work Schedules Year-to-Date Reports (Master Listing, Master Deduction, PR 214, PR 260)	AU+10Y	CA - 2 CCR 570.5 - (5Y) CA - 2 CCR 571(b)(1)(E) - (5Y) CA - 22 CCR 1085-2 (c) - (4Y) CA - GOV 12946 - (2Y) CA - LAB 226a (3) CA - LAB 1174(d) - (3Y) CA - LAB 1197.5 - (LA2Y) CA - UIC 1132 - (LA3Y) US - 26 USC 3301-3311 - (4Y) US - 26 CFR 31.6001 (CY+3Y) US - 26 CFR 31.6001-1 (4Y) US - 29 CFR 516.5 - (3Y) US - 29 CFR 516.6 - (2Y) US - 29 CFR 1620.32 - (2Y) US - 29 CFR 1627.3 - (3Y)	* Closure of audit  NOTE: Life Beneficiary Forms are retained for 2 years past the life of the employee (LI+2Y).  NOTE: Salary Schedules are retained for 50 years.	Finance
068	Finance	Payroll Registers	Records documenting all the payroll earnings, payments and deductions connected with a specific payroll period.	A.D.P. Check Registers (up to 1998) Deduction Register Earnings Register Master Check Register (PR 160, PR 162, Management Reports) Payroll Check Register	PR	CA - GOV 34090 - (2Y) US - 29 CFR 516.5 - (3Y) US - 29 CFR 516.6 - (2Y)		Finance



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Record No.	Business Process	Record Category Name	Record Category Description	Example Records	Retention	Legal Citations	Comments	Office of Record
069	Finance	Real Estate and Infrastructure Records	Records and information related to the ownership, purchase, sale, lease or improvement of real property, infrastructure and facilities owned by or used by the City.	Acquisitions Amortization Assessment Lien Register / Report (Year-end) Attachments Buildings Capital Asset Records Capital Improvements (CIP) CDBG Property Acquisitions Deeds Deeds of Trust Depreciation Schedules Excess Right of Way Housing Authority Owned Properties Land Mortgages Possessory Interest Sales Schedule of Infrastructure and Buildings Valuation Information	PR	CA - CCP 337.15 - (LA10Y) CA - GOV 34090 - (INDEF) US - 24 CFR 85.42(b) - (LA3Y)		City Clerk Finance
070	Finance	Retirement Plans	Plans established to provide employee retirement benefits, including changes to those plans and associated administrative documents.	City of Concord Retirement System (CCRS) Reports CalPERS Correspondence Employee Pension Reports Retirement System Summary Plan Descriptions	PR	US - 29 USC 1027 - (6Y) US - 29 USC 1059 - (TE+1Y) US - 29 USC 1113 - (LA6Y) US - 29 USC 1451 - (LA6Y) US - 29 CFR 1627.3 - (TE+1) US - 29 CFR 4007.10 - (6Y) US - 29 CFR 4041.5 - (L*+6Y)		Finance HR
071	Finance	Taxes	Records and information related to taxes collected and paid by the City.	General Fund Taxes Property Tax Sales/Use Tax Transient Occupancy Tax	CU+4Y	CA - GC 34090 - (2Y) CA - RTC 7283.51 - (4Y)		Finance
072	Finance	Unclaimed Funds	Records and information pertaining to periodic publication of outstanding checks that are 3 years or older. After the City goes through its due diligence of trying to find the rightful owner, Finance returns any unclaimed funds to the City.	Uncashed Checks Unclaimed Funds	5Y	CA - CCP 1513 - (3Y) CA - GOV 34090 - (2Y)		Finance
073	Finance	Year-End Reports Financial Reports, Summaries	Records and information related to official year-end reports, summaries, downloads, and the establishment of City funds.	Chart of Accounts Depreciation Schedules Downloads Fixed Assets Fund Files General Ledger Final Year-end Reports ( <i>Balance Sheet, Income Statement, Compensated Absences Liability</i> ) Summary Reports	PR	CA - GOV 34090 - (2Y) US - 26 CFR 31.6001 (CY+4Y)		Finance
074	Human Resources	Background Files - Hired Employees and Volunteers	All documentation related to background checks for hired City employees and accepted unpaid volunteers.*	Background Checks	AC+2Y	CA - GOV 12946 - (FR+2Y) CA - GOV 34090 - (2Y)	* Excludes Police Department employees and volunteers.	Human Resources
075	Human Resources	Drug Testing	Documents pertaining to drug screening of employees, prospective employees, and volunteers.	Controlled Substance Drug Tests ( <i>positive, negative</i> )	5Y	CA - GOV 12946 - (2Y) CA - GOV 34090 - (2Y) US - 49 CFR 40.333 - (5Y)		Human Resources
076	Human Resources	Employee Medical Records	Documents pertaining to medical records of City employees, including exposure to hazardous substances, drug screens, and workers' compensation (includes employee records subject to HIPAA requirements).	Awards Employee Injury / Accident Reports Employee Hazardous Chemical Exposure Employee Medical File Exposure Monitoring Firearms and Field Exposure Hazardous Exposure Lifetime Medical Awards* Material Safety Data Sheets (MSDS) Personnel Files - Medical Radiation Exposure Records Toxic Substance Exposure Records Workers Compensation	T+30Y	CA - 8 CCR 14300.33 - (5Y) CA - 8 CCR 3204 - (TE+30Y) CA - 19 CCR 2760.9 - (5Y) CA - CCP 338 - (LA3Y) CA - CCP 338.1 - (LA5Y) CA - GOV 12946 - (2Y) CA - GOV 34090 - (2Y) US - 29 CFR 1904.33 - (CY+5Y) US - 29 CFR 1910.95 - (TE+2Y) US - 29 CFR 1910.1020 - (TE+30Y) US - 40 CFR 68.81 - (5Y) US - 40 CFR 268.7 - (3Y)	* For Lifetime Medical Awards, Termination is when the awardee passes	Human Resources
077	Human Resources	Employee Training	All documents related to general and specialized technical education and training taken by paid employees and unpaid volunteers, including: - Base Station Forms - Fire Extinguisher - First Aid/CPR - Safety	Attendance Canine Deployment Training Certification Records Compliance Training Courses/Seminars (Taken by Employees - includes Safety Training) Ethics Training Firearm and Field Training Individual Education, Development Safety Training SWAT Training Training Bulletins	T+5Y	CA - 8 CCR 3203 (CY+1) CA - GOV 53235.2b - (5Y) US - 29 CFR 1602.14 - (FR+1Y) US - 29 CFR 1602.31 - (CY+2Y)		Multiple
078	Human Resources	Employee Training Materials, Courses, Scheduling	Documentation regarding the content of courses and schedules for training offered to employees.	Attendance Lists/Rosters Employee Development Outlines Presentation Materials PowerPoint Slide Decks Safety Training Testing	S+6Y	CA - GOV 12946 - (2Y) CA - LAB 3076.3 - (5Y) US - 29 CFR 1602.14 - (CY+1Y) US - 45 CFR 164.530 (j) - (CY+6Y)		Multiple



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Record No.	Business Process	Record Category Name	Record Category Description	Example Records	Retention	Legal Citations	Comments	Office of Record
079	Human Resources	Labor Relations	Documentation related to the negotiations between labor unions for collective bargaining purposes.	Bargaining Sessions Benefit Proposals Confidential Memos Costing Ground Rules Handouts Information Requests Miscellaneous Information Negotiations Binders Notes Proposals - City Proposals - Union	S+15Y	CA - CCP 337 - (4Y) CA - GOV 12946 - (2Y) CA - LAB 5410 - (LA5Y) US - 26 CFR 31.6001-1 - (CY+4Y)	Includes employee groups: - ATC - CAPE - F&O - POA	Human Resources
080	Human Resources	Labor Relations Grievances	Documentation related to labor grievances filed under current collective bargaining agreements.	Grievance Files/Commission Hearing Grievance/Hearing Logs Union Grievances	FR+10Y	CA - CCP 337 - (4Y) CA - GOV 12946 - (2Y) US - 26 CFR 31.6001-1 - (CY+4Y) US - 40 CFR 70.6 - (AC+5Y) US - 40 CFR 122.21(p) - (3Y) US - 40 CFR 122.41(j) - (3Y) US - 49 CFR 107.504 - (AC+2Y)	Retain same period as litigation.	Multiple
081	Human Resources	Master Classification File	Records and information documenting the history of City job specifications and descriptions by classification titles.	Job Specifications Job Titles	PR	CA - GOV 34090 - (2Y)		Human Resources
082	Human Resources	Personnel Files - Employees	All documents related to paid employees (full and part-time), except sworn police officers, including but not limited to: - hiring - promotion - demotion - transfer - layoff / recall / out-placement - termination / discharge / resignation - pay rates / other terms of compensation	Applications, Applicant Reference Verifications Awards, Rewards, Commendations, Certificates Bonding of Public Officials Complaints (against personnel) Deferred Compensation ( <i>changes, loan repayments</i> ) Disciplinary Actions ( <i>investigations, hearings, hearing notes</i> ) Drivers License Data - Class B Employee Acknowledgements, Executed Policy Receipts Ethics Certificates Individual Employee Agreements, Contracts (copies) Individual Education, Development, Training Records Investigations Job Offer Letters Leave of Absence Documentation, FMLA ( <i>compensation, complaints/disputes, requests, parental leave forms, paid/unpaid leave</i> ) Manager Audits New Hire Medical Tests Oaths of Office and Affirmations Performance Evaluations, Reviews Performance Improvement Plans (PIPs) Personnel Action Sheets (PAS) Recognition Supervisor's Files W-4 (State & Federal Forms)	T+5Y	CA - 2 CCR 11013 (FR+2) CA - 8 CCR 14300.33 (CY+5) CA - EVID 1045 - (AC+5Y) CA - GOV 12946 - (TE+2Y) CA - GOV 34090 - (2Y) CA - LAB 3076.3 - (5Y) CA - VEH 1808.1(a) - (T+2Y) CA - VEH 2547 - (AC+3Y) US - 26 CFR 301.6501 - (CY+3Y) US - 29 CFR 1602.14 - (FR+1Y) US - 29 CFR 1602.31 - (TE+2Y) US - 29 CFR 1627.3 - (TE+1Y) US - 29 USC 1059 - (TE+1Y) US - 26 USC 6531 - (LA6Y) US - 41 CFR 60-1.12 (a) - (2Y) US - 41 CFR 60-250.80 - (2Y) US - 41 CFR 60-741.80 - (2Y)	Contents are transferred to Retirement Files, if applicable.	Multiple
083	Human Resources	Personnel Files - Sworn Police Officers	All documents related to sworn police officers, including but not limited to: - hiring - promotion - demotion - transfer - layoff / recall / out-placement - termination / discharge / resignation - pay rates / other terms of compensation	Applications, Applicant Reference Verifications Awards, Rewards, Commendations, Certificates Background Files* Complaints (against personnel) Deferred Compensation ( <i>changes, loan repayments</i> ) Disciplinary Actions ( <i>investigations, hearings, hearing notes</i> ) Drivers License Data - Class B Employee Acknowledgements, Executed Policy Receipts Ethics Certificates Individual Employee Agreements, Contracts (copies) Individual Education, Development, Training Records Investigations Job Offer Letters Leave of Absence Documentation, FMLA ( <i>compensation, complaints/disputes, requests, parental leave forms, paid/unpaid leave</i> ) Manager Audits New Hire Medical Tests Oaths of Office and Affirmations Performance Evaluations, Reviews Performance Improvement Plans (PIPs) Personnel Action Sheets (PAS) Recognition Supervisor's Files W-4 (State & Federal Forms)	PR	CA - 2 CCR 11013 (FR+2) CA - 8 CCR 14300.33 (CY+5) CA - EVID 1045 - (AC+5Y) CA - GOV 12946 - (TE+2Y) CA - GOV 34090 - (2Y) CA - LAB 3076.3 - (5Y) CA - VEH 1808.1(a) - (T+2Y) US - 26 CFR 301.6501 - (CY+3Y) US - 29 CFR 1602.14 - (FR+1Y) US - 29 CFR 1602.31 - (TE+2Y) US - 29 CFR 1627.3 - (TE+1Y) US - 29 USC 1059 - (TE+1Y) US - 41 CFR 60-1.12 (a) - (2Y) US - 41 CFR 60-250.80 - (2Y) US - 41 CFR 60-741.80 - (2Y)	Contents are transferred to Retirement Files, if applicable.  * Background files for Police Department employees are purged 5 years after termination.	Multiple
084	Human Resources	Personnel Files - Volunteers, Reservists and Unpaid Interns	All documents related to unpaid volunteers and interns, including but not limited to: - selection/hiring - assignments - transfer - termination / discharge / resignation	Applications, Applicant Reference Verifications Awards, Rewards, Commendations, Certificates Background Files Cadet Volunteer Program Complaints (against personnel) Disciplinary Actions Volunteer Acknowledgements, Executed Policy Receipts Individual Education, Development, Training Records Investigations Oaths of Office and Affirmations Performance Evaluations, Reviews Performance Improvement Plans (PIPs) Personnel Action Forms (PAFs) Recognition Supervisor's Files	T+5Y	CA - 2 CCR 11013 (FR+2) CA - 8 CCR 14300.33 (CY+5) CA - EVID 1045 - (AC+5Y) CA - GOV 12946 - (TE+2Y) US - 26 CFR 301.6501 - (CY+3Y) US - 29 CFR 1602.14 - (FR+1Y) US - 29 CFR 1602.31 - (TE+2Y) US - 29 CFR 1627.3 - (TE+1Y) US - 29 USC 1059 - (TE+1Y)		Multiple



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Record No.	Business Process	Record Category Name	Record Category Description	Example Records	Retention	Legal Citations	Comments	Office of Record
085	Human Resources	Recruitment	Records and information related to recruitment of qualified persons for both paid and unpaid position with the City, including: - applications and related records of candidates interviewed but not hired or accepted - applications received but not acted upon.	All Temporary or Part-time/Extra-Help Staffing Applications, CVs, Resumes ( <i>Rejected, Unsolicited</i> ) Applicant Tracking Records ( <i>Hired, Rejected</i> ) Background Checks, Investigations - candidates not hired/accepted Civil Service Examination Results and Rankings Drug Testing, Pre-Hire Screening - candidates not hired/accepted Interview Notes Job Descriptions Job Postings, Announcements Job Requisition Requests Job Specifications Miscellaneous Hiring Process Notes Position Information Recruitment of Commission/Committee Candidates Tearoffs ( <i>age and ethnicity data</i> ) Temporary Intern Staffing Test Results ( <i>Non-hires</i> ) Test and Examination Materials Unpaid Interns ( <i>Rejected</i> ) Volunteers ( <i>Rejected</i> )	AC+3Y	CA - 8 CCR 11040(7) - (3Y) CA - GOV 12946 (FR+2) CA - GOV 34090 - (2Y) US - 29 CFR 1627.3b1 (1) US - 29 CFR 1602.31 (CY+2Y)		Multiple
086	Human Resources	Salary, Compensation	Documentation of job classification compensation.	Affirmative Action Plans Classification Specifications (working file) Classification Studies Compensation Plans, Planning, Analysis Job Descriptions Job Evaluation Documentation Salary Range History Salary Surveys Wage Rate Tables	AC+3Y	CA - GOV 34090 - (2Y) US - 26 CFR 301.6501 - (CY+3Y) US - 29 CFR 516.2 - (2Y) US - 29 CFR 1602.14 - (FR+1Y) US - 29 CFR 1627.3 - (TE+1Y) US - 29 USC 1001-1381 - (6Y) US - 29 USC 1059 - (TE+1Y) US - 48 CFR 4.703 - (AC+3Y) US - 48 CFR 52.249-2 & 3 - (AC+3Y)		Multiple
087	Human Resources	Work Authorizations and Supporting Documentation	Employment eligibility verification forms collected for active employees and supporting documentation regarding immigration status.	I-9 Documents and copies of associated documents (Kay) Immigration Supporting Documentation	T+1Y	US - 20 CFR 655 Subpart H - (TE+1Y) US - 8 CFR 274a.2 - (3Y, or TE+1Y)		Human Resources
088	Information Technology	Application, System Development and Maintenance	Technical documentation related to development of City technology processes, applications, or systems, as well as conversions, changes or modifications to existing applications or systems.	Audit Records of Run Completions Backups (Security, System) Business, Functional Requirements Change Requests Data Element Attribute Reports Data Migration Documentation Database Dictionary / Schema End User Documentation, User Manuals Hardware Configurations Joint Dispatch Center Network Circuits Inventories Network/Equipment Control Support Documentation (Service Histories, Site Visit Reports, Trouble Reports) Program Listings Source Code Support Documentation (Logical & Physical Architectural Diagrams, Specifications, Systems Support Materials) System Documentation (Codebooks, Record Layouts, Reference Guides, Specifications) System Test Files System, Application Maintenance Documentation (Hardware/Operating System Requirements, Monitoring Logs, Operating Manuals) Telecommunications System (Telephones, Phones)	LI*	CA - GOV 34090 - (2Y)	* LI = Life of Application, System	IT
089	Legal	Internal Legal Advice and Opinions	Memoranda containing legal advice prepared by CAO attorneys for City departments.	Memos Opinions - Covered by Attorney/Client Privilege Opinions - Public	PR	CA - GOV 34090 - (2Y)		City Attorney
090	Legal	Litigation	Records generated for or related to any case or action before a judicial, arbitral, or administrative officer or body, which matter is handled or supervised by the City Attorney's Office.	Amicus Briefs Complaints Confiscated Weapons Court Orders Discovery Evidence Exhibits Judgments Pitchess Motions Pleadings Related Correspondence Releases Settlement Agreements Stipulations Subpoenas	FR+10Y	CA - 2 CCR 11013 - (FR+2Y) CA - 8 CCR 10102 - (5Y; AC+1Y) CA - 8 CCR 10103.1 - (5Y) CA - 22 CCR 1085-2 - (4) CA - CCP 315 - (LA10Y) CA - CCP 337.15 - (LA10Y) CA - LAB 5410 - (LA5Y) CA - RTC 7154 - (LA5Y) CA - RTC 19384 - (LA4Y) CA - RTC 19704 - (LA6Y) CA - UIC 1132 - (LA3Y) US - 26 CFR 31.6001 (CY+3Y) US - 26 CFR 301.6501 - (3Y) US - 26 CFR 301.6532-1 - (LA2Y) US - 26 CFR 301.6532-2 - (LA5Y) US - 26 CFR 301.6532-3 (a) - (LA9M) US - 26 USC 6531 - (LA6Y) US - 26 USC 6532 - (LA2Y) US - 29 USC 255 - (LA2Y) US - 29 USC 626 (d) - (LA300D) US - 35 USC 286 - (6Y) US - 42 USC 2000e-5 (e) - (LA180D) US - 42 USC 2000e-5 (f) - (LA180D)		City Attorney



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Record No.	Business Process	Record Category Name	Record Category Description	Example Records	Retention	Legal Citations	Comments	Office of Record
091	Legal	Regulatory Claims	Records and information associated with claims made against the City regarding compliance with local, State, and Federal regulations.	Claim Complaint Department of Fair Employment and Housing (DFEH) Equal Employment Opportunity Commission (EEOC)	AC+2Y	CA - GOV 12946 - (LA2Y) CA - GOV 34090 - (2Y)	* Claim remains active until formal complaint has been satisfactorily resolved and closed/settled.	Multiple
092	Legislative	Agendas - Regular	Legislative and non-legislative agendas for Council, Commissions, Boards, Council Committees, and Council Task Force meetings. Also includes Authorities (Joint Entities formed by the City Council) when the City is the lead agency.	Agendas Correspondence Meeting Notices	2Y	CA - GOV 34090 - (2Y)	Includes: - Authorities - City Council - Boards - Commissions - Redevelopment Agency/Successor Agency	City Clerk
093	Legislative	Annotated Agendas	Annotated agendas provide brief descriptions of actions taken at meetings, whether in closed or open session, but are only a draft of the actions taken and are not considered the official legislative meeting record.	Agendas, Annotated Notices, Annotated	15Y	CA - GOV 34090 - (2Y)	NOTE: Annotated agendas for closed sessions are maintained by the City Attorney's office.	City Attorney City Clerk
094	Legislative	Appeals - Non-Land-Related	Documents associated with submitting and processing non-land-related appeals made to City councils, commissions, boards, or special districts.	Administrative Appeals, denied, granted or withdrawn ( <i>code enforcement, teen alcohol hearings</i> ) Appeals to Council Petitions to Council/Appeals Personnel Board Appeals	AC+2Y	CA - GOV 34090 - (2Y)	NOTE: Land-related appeals that are withdrawn are retained per this category.	City Clerk
095	Legislative	Appointments	Appointments made by authorized elected officials to councils, committees, boards, commissions, task forces, other advisory groups, or public offices, including those to fill vacancies for otherwise elected positions.	Applications (Appointed, Unsuccessful) Interview Notes Letters of Appointment Letters of Recommendation Oaths of Office and Affirmations Resumes Submitted Documents	T+2Y	CA - GOV 34090 - (2Y)		City Clerk
096	Legislative	Local Agency Planning Commission (LAFCO)	Records and information maintained for, prepared for, received from, and submitted to the Contra Costa County LAFCO.	LAFCO Sphere of Influence	5Y	CA - GOV 34090 - (2Y) CA - GOV 56425 - (5Y)		CED
097	Legislative	Official Meetings, Legislative Actions	Legislative actions that document City policy, including Council, Boards, Commissions, and Council Task Force meeting minutes and Ordinances. Also includes Authorities (Joint Entities formed by the City Council) when the City is the lead agency.	Agenda Packets and Facesheets Bylaws City Charter City Codes City-wide Plans/Programs Adopted Conclusions Council Packets Financial Reports and Audits Findings Formation Meeting Minutes (including annotated agendas when used as minutes), Notices, Recordings, Transcripts Minute Books & Index Municipal Code Ordinances Policy Resolutions Reports to Council Resolutions Summary of Actions, Statement of Actions (SOAs) Supplemental Communications Transcriptions of audio or video recordings of meetings	PR	CA - CCP 315 - (LA10Y) CA - CCP 321 - (5Y) CA - CCP 336 - (5Y) CA - CCP 336a - (6Y) CA - CCP 337 - (4Y) CA - CCP 337.5 - (LA10Y) CA - GOV 34090 - (2Y) CA - GOV 60201 - (PR) CA - GOV 60201 - (SU+5Y)** US - 48 CFR 4.703 - (AC+3Y) US - 48 CFR 52.249 - (AC+3Y)	* Many of these have historical value. ** Ordinances, once repealed or overridden, may be destroyed 5 years after being superseded.  *Includes: - Authorities - City Council - Boards - Commissions - Committees - Underground Utility Districts - Redevelopment Agency/Successor Agency	City Clerk
098	Legislative	Official Meetings, Non-Legislative Actions	Non-legislative actions that document policies and official actions of Council, Committees, Task Forces, and Citizens Advisory Boards and Commissions.	Commendations Correspondence Entered Into Record Memoriums Proclamations Summary of Actions, Statement of Actions (SOAs) Supplemental Communications Transcriptions of audio or video recordings of meetings Working Papers	2Y	CA - GOV 34090 - (2Y)	Includes: - Board of Appeals - Commission on Aging - Community Services Commission - Design Review Board - Human Relations Commission - Measure Q Oversight - Parks, Recreation and Open Space Commission - Personnel Board - Planning Commission - Status of Women Commission - Successor Agency Oversight Board - Youth Council	Multiple
099	Legislative	Proposed Amendments to Municipal Code - Unsuccessful	Documentation of proposed amendments to municipal code that were not approved.		15Y	CA - GOV 34090 - (2Y)		City Clerk
100	Legislative	Public Notices	Records documenting compliance with laws requiring public notice of government activities. Subjects include assessments, elections, land use changes, public meetings and hearings, sale of property, and others.	Affidavits of Posting Affidavits of Publication/Legal Notices Public Hearing Notices	4Y	CA - CCP 343 - (4Y) CA - GOV 34090 - (2Y)	Brown Act challenges must be filed within 30 or 90 days of action; Statute of Limitations on Municipal Government actions is 3 - 6 months	Multiple



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Record No.	Business Process	Record Category Name	Record Category Description	Example Records	Retention	Legal Citations	Comments	Office of Record
101	Licenses, Permits	Licenses, Permits	Documentation of licenses, non-building permits and other authorizations issued in the City.	Alarm Permits Alcoholic Beverage Permits Annual Licenses Applications Business Licenses (applications, fees, financial history, reports) Concealed Weapon Permits ( <i>guns, etc.</i> ) Encroachment Permits FCC Licenses Flood Zone Determinations Home Business Licenses Home Occupation Permits (HOP) Massage Establishments (includes background checks) Massage Technicians Mobile Vendors, Peddlers Notices Proof of Insurance Seasonal Sales Permits Taxis ( <i>cabs, drivers</i> ) Transportation Permits ( <i>oversize, overweight</i> ) Use of City Property Vendor Permits	AC+4Y	CA - CCP 337 (4Y) CA - GOV 34090 - (2Y)		Multiple
102	Office Services	Office Support	Records and information regarding general office services operations, including mail, print, and supplies/stores.	Central Stores Reports Certified Mail Reports Cost Center Reports Express Mail Tracking (FedEx, UPS, etc.) Forms (Masters) Garage Inventory Tracking Order Forms Postage Tracking Postal Records Printing Orders Production Files Reprographics Stationery Stores Tickets Supplies Management Travel and Itineraries	10Y	CA - GOV 34090 - (2Y)		Multiple
103	Planning	Amendments to Zone Ordinances	Amendments that have been submitted and approved, but not yet incorporated into published City zoning ordinances.	Amendments	S*+5Y	CA - GOV 34090 - (2Y)	* When incorporated into a comprehensive update to City zoning ordinances.	CED
104	Planning	Current Development Pad Certifications	Pad certifications for grading sites.	Pad Certifications	5Y	CA - GOV 34090 - (2Y)		CED
105	Planning	Current Development Schedules	Schedules of current developments.	Schedules	AC+10Y	CA - CCP 337.1 - (LA4Y) CA - CCP 337.15 - (LA10Y) CA - GOV 34090 - (2Y)		CED
106	Planning	Planning and Zoning Services	Records and information pertaining to the activities of the planning division, including development, redevelopment, zoning, as well as planning approved by City Council.	Appeals - Granted Central Business District Permits: Prior to 1985 ( <i>redevelopment occupancy, administrative applications, determinations</i> ) Certificates of Appropriateness (includes findings of appropriateness) Conditions of Approval for Planning Applications Design Reviews Development Regulations E.I.R., Notice of Determination, Categorical Exemptions, etc. General Plan ( <i>adopted plan, elements, amendments, final environmental impact report, growth management element, noise element, specific plans</i> ) Grading Cut Sheets Land Use Studies Landscape Lot Divisions Meeting Minutes (project pre-construction) National Register Districts Offers of Dedication ( <i>unprocessed, unaccepted</i> ) Parking Calculations Permits (animal, conditional use (CUP), encroachment and grading (Fish & Game), land use, use (UP), signs) Planned Unit Developments (PUDs) Plans (Erosion Control, Grading, Hillside Development (HDPs), Improvement, Lot, Master, Site, Specific) Preliminary Development Plans (PDPs) Public Use Reports (Geotechnical, Materials Testing, Soil) Resolutions Rights-of-Way (ROW) Street Vacations Subdivisions ( <i>major, minor</i> ) Summary of Actions Zoning (Changes, Rezoning, Ordinances, Variances) Zoning Administrator Permits (ZAPs) ( <i>minor use permits</i> ) Zoning Compliance Factsheets (ZCFs)	PR	CA - CCP 337.1 - (LA4Y) CA - CCP 337.15 - (LA10Y) CA - GOV 34090 - (2Y) CA - HSC 19850 - (LI) CA - WAT 10631 - (5Y)		Multiple



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Record No.	Business Process	Record Category Name	Record Category Description	Example Records	Retention	Legal Citations	Comments	Office of Record
107	Police	Administrative Reporting and Support	Reports received and/or generated, and documentation of support provided, in the routine course of law enforcement activities and not associated with a case number.	Activity Reports Crime Statistics (periodic) Department of Justice Validation Lists Extradition Files (out of state) False Alarm Reports Incident Logs Public Assist and Other Non-Criminal Police Contact Reports Published Reports Ride-Along Program Records Traffic Information Reports Uniform Crime Reporting	AC+2Y	CA - CCP 339 - (LA2Y) CA - GOV 34090 - (2Y)		Police
108	Police	Case Files - Dead Bodies	Records, crime reports and evidence associated with investigations of dead bodies, whether by natural causes or found.	Reports Statements	FR*+2Y	CA - GOV 34090 - (2Y) CA - PEN 799 - (PR)	* Case remains active until body has been identified and cause of death determined. If determination is made that the death was a homicide, records are recategorized as "Felony Murder/Homicide" case files (see #xxx, below).	Police
109	Police	Case Files - Detention Only	Records, crime reports and evidence associated with individuals who are taken into custody, but for whom no charges are filed.	Reports Statements	2Y*	CA - GOV 34090 - (2Y) CA - HSC 11361.5 - (2Y) CA - PEN 802 - (2Y)	* Provided there are no outstanding warrants, deaths, and it is not classified under PC §800 & 290 and H&S §11850; Statute of Limitations is 2 years; Destroy juvenile marijuana after age 18.	Police
110	Police	Case Files - Felonies, Excluding Murder	Records, crime reports and evidence associated with felony violations of laws, excluding homicide, juvenile crimes, child abuse, sexual assaults, and capital violations.	Case Files Reports	FR*+10Y	CA - CCP 339 - (LA2Y) CA - GOV 34090 - (2Y) CA - PEN 799 - (MAINT) CA - PEN 851.8 - (SEAL&DESTROY) CA - PEN 851.90 - (MAINT) CA - Law Enforcement Evidence and Property Management Guide	Provided there are not outstanding warrants, deaths, and it is not classified under PC §800 and 290 and HSC §11850; Statute of limitations is 2 years; Destroy juvenile marijuana after age 18.  * FR = Final resolution is defined as case has been adjudicated, all appeals exhausted or all time served.	Police
111	Police	Case Files - Felony Murder/Homicide, Capital Offenses, Child Abuse, Elder Abuse, and Violations of Public Trust	Records, crime reports and evidence associated with capital felony violations of laws, including homicide, child abuse, elder abuse, embezzlement of public funds, or falsification of public documents. Also includes felonies reduced to misdemeanors, unallocated missing persons, and fatal accidents.	Case Files Reports	PR	CA - CCP 339 - (LA2Y) CA - GOV 34090 - (2Y) CA - PEN 187-199 - (MAINT) CA - PEN 290 - (MAINT) CA - PEN 799 - (PR) CA - Law Enforcement Evidence and Property Management Guide CA - WIC 602 - (PR)	No limitation on commencement of action; PC §261 , 286, 288, 288a, 288.5, 289, 289.5, and 799.	Police
112	Police	Case Files - Juvenile	Records, crime reports and evidence associated with criminal cases dealing with juveniles.	Case Files Reports	Longer of: MAJ+8Y (or) SEAL+5Y	CA - WIC 300 (age 18 or as directed by court) CA - WIC 600 (age 18 or as directed by court) CA - WIC 781 (age 18 or as directed by court) CA - WIC 826 (age 18 or as directed by court)	MAJ = Age of Majority Status (18Y); SEAL = Date Records Sealed Statute of limitations runs up to age of majority + 8 years; Sealing for juveniles and Wards of the Court retained for 5 years; CP §340.1; GC §34090; WIC §781(d); WIC §826(a)&(b); WIC §781(a).	Police
113	Police	Case Files - Marijuana Citations or Reports (less than 28.5 grams)	Records of citations or reports for possession of less than 28.5 grams of marijuana.	Case Files Reports	2Y	CA - GOV 34090 - (2Y) CA - HSC 11361.5 - (2Y)		Police
114	Police	Case Files - Mental Cases (with 72 Hour Holds)	Records, crime reports and evidence associated with those mental health cases that have a 72-hour hold.	Case Files Reports	5Y	CA - GOV 34090 - (2Y)		Police
115	Police	Case Files - Misdemeanors, Infractions	Records, crime reports and evidence of misdemeanors and infractions, including: - Injury/Overdose/Attempted Suicides NOT resulting in death - Lost and Found Reports - Sale of Marijuana (less than 28.5 grams) on school grounds - Mental Cases (except multiple entry and last entry is less than 2 years) - Non-fatal traffic accidents/collisions - Parking Citations - Suspicious Circumstances, Person and Vehicle Reports - Traffic citations	Case Files Reports	AC+3Y*	CA - CCP 339 - (LA2Y) CA - GOV 34090 - (2Y) CA - HSC 11357(e) - (MAINT) CA - Law Enforcement Evidence and Property Management Guide CA - PEN 802 - (2Y) CA - VEH 2547 - (3Y)	* Provided there are no outstanding warrants, deaths, and it is not classified under PC §800 & 290 and H&S §11850; Statute of Limitations is 2 years; Destroy juvenile marijuana after age 18.	Police
116	Police	Case Files - Missing Persons and Runaways	Records, crime reports and evidence associated with missing persons and runaways.	Case Files Reports	AC*+2Y	CA - GOV 34090 - (2Y)	* Case remains active until solved	Police
117	Police	Case Files - Officer Involved Shootings	Records, crime reports and evidence associated with criminal cases dealing with officer involved shootings.	Case Files Reports	FR+25Y	CA - GOV 34090 - (2Y)		Police
118	Police	Case Files - Sealing of Adult Records	Records of court orders to seal the records of adults.	Case Files Reports	3Y*	CA - PEN 851.8 - (SEAL+3Y) CA - PEN 851.90 - (MAINT)	* From the date the records were sealed.	Police
119	Police	Case Files - Stolen Property	Records, crime reports and evidence associated with stolen property.	Case Files Reports	AC*+3Y	CA - CCP 338 - (3Y)	* Case remains active until solved	Police
120	Police	Case Files - Traffic Collisions - Fatal	Records, crime reports and evidence associated with traffic collisions involving fatalities.	Case Files Reports	PR	CA - GOV 34090 - (2Y)		Police
121	Police	Case Files - Unsolved Rapes	Records, crime reports and evidence associated with unsolved rapes.	Case Files Reports	10Y	CA - GOV 34090 - (2Y) CA - PEN 13853 - (10Y)		Police
122	Police	Code Compliance and Enforcement, Non-Structural	Records and information documenting compliance with non-structural City codes, including violations.	Abatements Citations Investigations Litter Notices of Violation Photographs Vehicle Abatement (abandoned vehicles) Violations Weed Abatement	AC*+3Y	CA - GOV 34090 - (2Y) US - 40 CFR 122.21 - (3Y) US - 40 CFR 122.41 - (3Y)	* Case remains active until all issues have been satisfactorily resolved and closed.	Police



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Record No.	Business Process	Record Category Name	Record Category Description	Example Records	Retention	Legal Citations	Comments	Office of Record
123	Police	Complaints, Internal Investigations	Documentation of complaints received, formal inquiries, and investigations, including those by Internal Affairs, involving Police department employees (excludes officer involved shootings), whether sustained or not sustained.	Citizen Complaints Departmental Actions	FR+5Y	CA - EVID 1045 - (AC+5Y) CA - GOV 12946 - (2Y) CA - GOV 34090 - (2Y) CA - PEN 801.5 - (4Y) CA - PEN 832.5(b) - (5Y) CA - VEH 2547 - (3Y)		Police
124	Police	Criminal Registrations - Drugs, Gangs	Records for those required to register as drug or gang violence offenders.		5Y	CA - GOV 34090 - (2Y) CA - HSC 11594(a) - (5Y) CA - PEN 186.32 - (5Y)		Police
125	Police	Criminal Registrations - Sex Offenders, Arsonists	Records for those required to register as sex offenders or arsonists.		LI*	CA - GOV 34090 - (2Y) CA - PEN 290(b) - (Life of Offender) CA - PEN 457.1(b)(2) - (Life of Arsonist)	* Life of the offender or arsonist	Police
126	Police	Daily Crime Report Number Log	Log that tracks daily assignment of case numbers.	Case Numbers	10Y	CA - GOV 34090 - (2Y)		Police
127	Police	Dispatch and Communications Records	Records of police emergency calls and responses, to include time and date of call, contents of call, location of call, name of unit sent to scene, and other related information.	911 Emergency Call Logs Computer Aided Dispatch (CAD) Dispatch Activity Log Radio Dispatcher Logs Tape Recordings	180D	CA - GOV 34090.6 - (Audio: 100D; Video: 1Y)	* Exception: Recordings used as evidence in a criminal prosecution or claim filed or litigation or potential claims and litigation shall be preserved for 100 days after conclusion of the court action.	Police
128	Police	Dissemination Records	List of agencies to which information from the automated criminal offender record system has been disseminated.	Criminal Offender Record Information Release of Information Teletype Roster of Criminal Offender Record Information Requests	3Y	CA - 11 CCR 707(c) - (3Y)		Police
129	Police	Field Interrogation Cards	Cards used for gathering field interrogation notes, which are later transferred into official reports.	Field Interrogation Cards	6M			Police
130	Police	Guns: Dealers Record of Sale	Notices of firearm sales by dealers licensed within the City.	Firearms Notices Sales	6Y	CA - PEN 26705 - (1Y)		Police
131	Police	Seized or Unclaimed Property Records	Records documenting tracking and management of physical property seized or impounded by the Police department, or collected by the Police department but unclaimed, and not assigned to a case number or considered as evidence in a criminal investigation.	Impounded Vehicles Seized Property Unclaimed Property	AC+2Y	CA - CCP 339 - (LA2Y) CA - GOV 34090 - (2Y) CA - VEH 10650(c) - (1Y)		Police
132	Police	Suspect Fingerprint Cards	Fingerprints collected by the department (also transmitted to the Department of Justice).	Fingerprints	PR	CA - GOV 34090 - (2Y)		Police
133	Police	SWAT Reports and Plans	Documentation of SWAT activities and planning.	After Action Reports Operational Plans	PR	CA - GOV 34090 - (2Y)		Police
134	Police	Weapons, Lost/Stolen, Serialized	Records of serialized weapons that have been reported lost or stolen if there has been no activity from the date of the report and the most recent CLETS (California Law Enforcement Telecommunication System) purge.		AC*	CA - GOV 34090 - (2Y)	* Case remains active until the weapon is found.	Police
135	Police	Work Schedules	Documentation of Police Department work schedules.	Personnel Orders Log (Reassignments)	5Y	CA - GOV 34090 - (2Y)		Police
136	Public Works	Code Compliance and Enforcement, Structural	Records and information documenting compliance with structural City codes, including violations.	Citations Compliance with Conditions of Approval Inspections / Enforcement ( <i>Business, Residential</i> ) Investigations Notices of Violation Photographs Red Tags Violations Weed Abatement Zoning Compliance Certificates	PR	CA - GOV 34090 - (2Y) CA - HSC 19850 - (LI) US - 40 CFR 122.21 - (3Y) US - 40 CFR 122.41 - (3Y)		CED
137	Public Works	Fire Sprinkler Inspections	Records and information associated with fire sprinkler inspections of commercial and residential facilities.	Backflow Inspections	2Y	CA - GOV 34090 - (2Y)		PW
138	Public Works	Fleet Management	Records related to the purchase and management of vehicles owned or used and maintained by the City.	Auction Vehicles California Bureau of Automotive Repair (BAR) Smog Records California Highway Patrol Biennial Inspection Terminal (BIT) Records Customer Orders Manuals Motor Vehicle Records and Reports Pool Tickets, Vehicle Logs, Usage Logs Registrations, Operating Permits Rental Work Orders Repair Orders, Requests Service Calls Tax Exemption Certificates Vehicle Accident Reports Vehicle Certificates of Insurance Vehicle Inspections Vehicle License Plate Records Vehicle Maintenance History Warranties	LI*+2Y	CA - GOV 34090 - (2Y) US - 26 CFR 31.6501 - (CY+3Y) US - 26 CFR 301.6501 - (CY+3Y)	* LI = Life of Vehicle	Multiple
139	Public Works	Hazardous Waste, Monitoring and Remediation	Planning, monitoring and contingency/emergency action plans for hazardous waste, emergency and spill response, natural and exposure emergencies, notifications and response; environmental action plans and supporting documentation; hazardous communications plans, including labeling, MSDS controls, training programs and procedures.	Chemical Use Reports Form Electronic Waste (E-Waste) Emergency Response Programs Employee Hazardous Chemical Exposure Hazardous Material Incident Reports Hazardous Substances Shipping Manifests Hazardous Waste Herbicide Application Permits Material Safety Data Sheets (MSDS) Proposition 65 Monitoring Radiation Exposure Records Radioactive Materials Site Mitigation Toxic Substance Inventory	AC+30Y	CA - CalOSHA CA - CCP 338.1 - (LA5Y) CA - 8 CCR 3204d - (AC+30Y) CA - 17 CCR 30293(1) - (3Y) CA - 22 CCR 66262.40 - (3Y) CA - 22 CCR 66263.22 - (3Y) US - 29 CFR 1910.1020 - (AC+30Y) US - 29 CFR 1910.1025 - (AC+20Y) US - 29 CFR 1910.1050 - (AC+30Y) US - 40 CFR 268.7 - (3Y) US - 40 CFR 270 - (3Y) US - 49 CFR 172.201 - (3Y) US - 49 CFR 177.817 - (3Y)		PW



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Record No.	Business Process	Record Category Name	Record Category Description	Example Records	Retention	Legal Citations	Comments	Office of Record
140	Public Works	Infrastructure Equipment Management	Records related to the purchase and management of infrastructure equipment for the City.	Equipment Manuals Warranties	LI*	CA - GOV 34090 - (2Y) US - 26 CFR 31.6501 - (CY+3Y) US - 26 CFR 301.6501 - (CY+3Y)	* LI = Life of Equipment	Multiple
141	Public Works	NPDES Permits	Records associated with National Pollutant Discharge Elimination System (NPDES) permits.	NPDES Permits	PR	US - 40 CFR 122.21 - (3Y) US - 40 CFR 122.41 - (3Y)		PW
142	Public Works	Project Files - Not Acquired	Records and information associated with projects that did not move forward.	Environmental Reports Preliminary Studies Project Assessments Title Reports	5Y	CA - GOV 34090 - (2Y)		PW
143	Public Works	Real Property Maps	Final maps and geographical information pertaining to City properties.	Aerial Photos/Maps Annexation/Deannexation Master Maps Assessment Districts ( <i>boundary maps, diagrams, district folders, engineer's reports</i> ) Assessor Parcel Maps Building Site Determination Drainage Final Grading Improvement Plans, Drawings Land Survey Maps Lot Line (including Adjustments) Lot Numbers Major Subdivisions (SD) Minor Subdivisions (MS) Parcel Mergers Parcels Parks Plats Record Maps Record of Survey Maps Redevelopment Sphere of Influence Street Address Files Subdivision Survey Tentative Maps Vellums	PR	CA - CCP 337.15 - (LA10Y) CA - GOV 34090d - (2Y) CA - HSC 19850 - (LI)		CED
144	Public Works	Scheduled and Periodic Safety Inspections	Records of inspections of City facilities, equipment, and working conditions to identify unsafe conditions and work practices.	Inspections	2Y	CA - 8 CCR 3203(b)(1) - (1Y) CA - GOV 34090 - (2Y)		PW
145	Public Works	Sewer Tax Assessment Calculations	Documentation of the calculations performed to determine assessments for sewer taxes.	Calculations Correspondence Related Documentation	10Y	CA - CCP 337 - (4Y) CA - CCP 337.5 (10Y) CA - GOV 34090 - (2Y)		PW
146	Public Works	Street Lighting Inventory	Inventories of street lighting installed within the City.	Inventories Street Lights	PR	CA - GOV 34090 - (2Y)		PW
147	Public Works	Traffic and Transportation Management	Records and information of traffic engineering and transportation improvement activities, including studies and surveys.	Agendas, Minutes Ballots CalTrans Grants, Funding Correspondence Petitions Presentations Reports Speed Surveys Studies/Surveys Summaries Temporary Street Closures Traffic Calming Program ( <i>manuals, brochures, prioritization list</i> ) Traffic Counts Traffic Information Files ( <i>citizen requests</i> )	10Y	CA - GOV 34090 - (2Y)		PW
148	Public Works	Traffic Control and Planning	Records and information related to the City's efforts to control and plan traffic and circulation.	Congestion Management Plan (CMP) Traffic Control Resolutions	PR	CA - GOV 34090 - (2Y)		Multiple
149	Public Works	Water and Waste Management	Records and information associated with management, planning and maintenance of water and waste programs.	Biennial Reports Clean Water Program ( <i>studies, task force, brochures, publications, workshops, plans</i> ) Diversion Goals Elevation Certificates Environmental Conservation Environmental Programs Flood Control & Disaster Files Floodplain Permits Floodproofing Certificates Floodzone Verification Certificates LOMA (Letter of Map Amendment) LOMR (Letter of Map Revision) Meter Inventory Pipe Inventory Pollution Prevention Recycling ( <i>campaigns, events, reports</i> ) Storm Drains Street Sweeper Program Treatment Plan Trash Services Underground Service Alerts (USA) Waste Water Reclamation Water Quality Control Board Checking Program Reports Water Runoff Testing Water Service Orders ( <i>on/off</i> )	AC+5Y	CA - CCP 338 - (LA3Y) CA - CCP 338.1 - (LA5Y) CA - CAL OSHA US - 40 CFR 141.155 - (3Y) US - 40 CFR 261.32 - (3Y)		Multiple



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Record No.	Business Process	Record Category Name	Record Category Description	Example Records	Retention	Legal Citations	Comments	Office of Record
150	Risk Management	Claims Management	Records detailing claims against the City and its agencies, including those made against City insurance coverage.	Accident/Incident Reports Actuarial Reports Annual Audit of Open Claims Appraisals Claims By/Against the City Damage Estimate Reports Supporting Documentation Inspections (in support of claims, e.g., OSHA) Insurance Claims, Appraisals, Reports Investigations Liability Waivers Operational Complaints (against agencies) Reports Unemployment Claims	AC+10Y	CA - CCP 337 - (4Y) CA - GOV 945.6 - (2Y) CA - GOV 34090 - (2Y)	Retain same period as litigation.	City Attorney
151	Risk Management	Insurance Coverage	Records detailing the City's general coverage against property damage and liability, including renewal submission information, insurance quotes, & broker correspondence.	Binding Information Binders Broker Correspondence Certificates of Insurance Completed Applications Disability Insurance Flood Insurance Insurance Policies Insurance Procured by Others (Vendors) Insurance Quotes Insurance Submissions Liability Insurance Renewal Strategy Unemployment Insurance	PR	CA - 22 CCR 3267-2 - (MAINT) CA - CCP 337 - (5Y) CA - GOV 34090 - (2Y)		City Attorney
152	Security	Security, Access Operations	Records and information regarding physical access controls and protection for City buildings, facilities and events.	Access Controls Access Reports Badge Lists Daily Activity Logs Facility Key Lists Privileged Area Access Requests Security Camera (CCTV) Footage ( <i>parking garages</i> ) Security for Private Events at Public Facilities Security Plans Transaction Logs Visitor Security / Access Logs	2Y	CA - GOV 34090 - (2Y)		CED