

RECORDS RETENTION POLICY AND SCHEDULE



PREPARED BY THE
OFFICE OF THE CITY CLERK
CITY OF SAN LUIS OBISPO

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CITY OF SAN LUIS OBISPO**POLICY FOR THE PRESERVATION, PROTECTION, RETENTION AND
LEGAL DISPOSITION OF THE CITY'S RECORDS****OVERVIEW OF RECORDS MANAGEMENT**

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

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

- ❖ Providing public access to and protecting the public's rights to inspect public records in accordance with the California Public Records Act;
- ❖ Preservation of records with long-term or permanent value;
- ❖ Protection of records vital to City government in the event of a disaster;
- ❖ Protection of records essential to City government, but which are referenced infrequently;
- ❖ Demonstration of compliance with legal retention requirements established by federal, state, and local authorities;
- ❖ Orderly retirement and destruction of records no longer required by statute to be retained or needed for reference;
- ❖ Elimination of duplicate records filed in several departments;
- ❖ Ensuring proper administration of records not subject to disclosure;
- ❖ Providing protection in litigation, audits, and other disputes;
- ❖ Saving space; and
- ❖ Increased efficiency in information retrieval.

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

DEFINITIONS

Public Record

Any writing containing information relating to the conduct of the City's business prepared, owned, used, or retained by the City regardless of physical form or characteristics.

Active Record

Records kept in the office and referred to on a regular basis.

Archives

A repository for housing historical records (whether in paper, microfilm, or digital) which should be protected or preserved.

Disposition

The length of time a record is kept, which may be permanent.

Electronic Mail

E-mail retention is governed by the City's Electronic Mail Policy and is hereby incorporated by reference. A hard copy of said policy is on file in the City Clerk's Office.

Historical Record

The retention of records that have enduring value because they reflect significant historical events or document the history and development of the City.

Inactive Record

Any public record transferred to a records center for storage until disposition is reached.

Non-Record

Materials that are not retained in the normal course of business, such as records that contain no information of significant or lasting value such as transmittal letters, acknowledgements, and drafts, rough notes, and calculations created and used in the preparation or analysis of other documents.

Records Management

The systematic control of the creation, processing, use, protection, storage, and final disposition of all public records pursuant to federal, state, and local laws and regulations.

Records Retention Schedule

The document identifying the length of time a record is maintained, including disposition.

Transitory Records

Records whose value is comparatively short-lived and should be discarded when they have fulfilled their purpose for which they were created. Examples: 1) copies of reproduced/printed material of general information; 2) originals/copies of documents kept solely for tickler, suspense, or follow-up; 3) preliminary work materials used for preparation of reports, studies, etc.; 4) duplicates/extra copies of records; and 6) appointment logs/calendars.

Vital Record

Records contain information essential for the resumption of operation after a disaster or the reestablishment of the legal and financial status of the organization.

Writing

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

OWNERSHIP OF PUBLIC RECORDS

All public records are the property of the City and shall be delivered by outgoing officials and employees to their successors. Public records are to be maintained in active file areas or in a designated records center.

PRIMARY RECORD KEEPING DEPARTMENTS

City Council - The ultimate policies for the keeping, producing, permitting copies, and management of all public records of the City shall rest with the City Council.

Officers and Employees - Each officer and employee of the City has the duty to protect, preserve, store, transfer, destroy or otherwise dispose of, use and manage public records in accordance with applicable federal and state regulations, or such rules as may be approved by the City Council.

City Attorney - The duty of the City Attorney shall be to review and approve requests to dispose of records in accordance with the City's adopted Records Retention Schedule; and to provide legal guidance to the City Clerk in any review of and amendment to the retention schedule, in accordance with federal, state and city regulations.

City Clerk - The City Clerk may, for the proper and efficient management of the public records:

1. Develop and circulate instructions and regulations necessary and proper to implement the Records Retention Schedule.
2. Advise and assist City departments in the preparation of records inventories, retention periods, and make recommendations to the City Attorney.
3. Maintain archives to protect records of historic nature, which should not be destroyed.
4. In consultation with the City Attorney, revise the Records Retention Schedule and/or policy as appropriate. (Resolution No. 9174)

City Department Heads - Each City Department Head shall establish and maintain an active, continuing program for the economical and efficient management of the public records of that department. Such program shall, among other things, provide for:

1. Effective controls over the creation, maintenance, and use of public records in the conduct of business.
2. The maintenance and security of records deemed appropriate for preservation.
3. Segregation and disposal of records of temporary value in accordance with the established retention schedule and this policy.

HANDLING DOCUMENTS FROM INCEPTION TO DESTRUCTION

Creating Files

Department personnel are advised to begin new files with an eye to the future disposition of the file being created. For example, by knowing that the information/materials contained within a new file will be retained for a specific number of years, it would be prudent to create the file on a calendar year or perhaps fiscal year basis. Planning ahead avoids separating files later when it comes time for storage and/or destruction. Also, reviewing the department's retention schedule beforehand can avoid the necessity and time-consuming activity of separating permanent information/documents from short-term materials prior to time of destruction.

One other suggestion is to ensure some level of consistency in labeling and identifying files within a department, particularly at the time of creating new ones.

Converting Hard Copy to Electronic Formats

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

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

If the above conditions are met, subject to system verification by the City Clerk and City Attorney, the public official having custody of the records (Department Head) may convert the hard copy to a permissible electronic format and destroy the hard copy.

The Secretary of State's Local Government Records Management Guideline, Trustworthy Electronic Document or Records Preservation Standards, and Association for Information and Image Management's Recommended Practice for Analysis, Selection, and Implementation of Electronic Document Management Systems are on file with the City Clerk's Office.

Practical Application with Current Technology

In accordance with the Secretary of State's guidelines on "trustworthy electronic document or records preservation" the City Clerk, in consultation with the City Attorney, has determined that documents scanned and electronically stored in JPEG, JBIG, JPEG 2000, TIFF, or PDF-A image format, retained in a document/library service such as Laserfiche, and the images/documents are twice duplicated onto a trusted electronic media, such as Archival Grade DVD-R – Said hard copies may be destroyed. Here is an example how this process might work:

1. Scan a document into Laserfiche.
 - a. Documents should be stored as JPEG, JBIG, JPEG 2000, TIFF, or PDF-A images.
2. Place the original hard copy (now scanned) in a banker box for pending destruction.
3. Now that several boxes of documents have been scanned and are electronically stored in Laserfiche
 - a. Back-up the current Laserfiche volume onto Archival Grade DVD-R.
 - b. Repeat the process to create a second duplicate copy.
 - c. Retain one back-up DVD on-site and one back-up DVD off-site.
 - d. Create a new volume in Laserfiche.
4. Now that the original hard copy has been scanned, stored in Laserfiche, and twice duplicated onto trusted media – The original hard copy may be destroyed.

DISPOSITION OF PUBLIC RECORDS

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

The City Council, by adopting the Records Retention Schedule, authorizes City Department Heads to destroy duplicate records less than two years old if the records are no longer required in accordance with adopted retention schedules.

All original records to be destroyed must be listed. Requests for the destruction of original records must be approved by the responsible Department Head and the City Attorney prior to destruction. A Request for Records Destruction/Certificate of Destruction (sample 1) and listing of documents to be destroyed (sample 2), and copy of the appropriate page(s) from the records retention schedule shall be filed in the Office of the City Clerk.

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

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

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

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

RECORDS RETENTION CODES

A/E	After expiration
AU	Audit
CU	Current
CL	Closed/Completed
D/R	Destroy when no longer relevant
E	After Election
P	Permanent
S	Superseded
T	Termination

AUTHORIZING CODE CITATIONS

CCP	Code of Civil Procedure
CCR	Code of California Regulations
CFR	Code of Federal Regulations
EC	Election Code
GC	California Government Code
PC	Penal Code
SLOMC	San Luis Obispo Municipal Code
USC	United States Code

SAMPLE 1 – Records Destruction

MEMORANDUM

DATE XX/XX/XX

TO: Department Head
 City Attorney

FROM: Dept. Records Coordinator

SUBJECT: REQUEST FOR RECORDS DESTRUCTION

On April 24, 2001, the City Council adopted Resolution No. 9174 establishing a Records Retention Policy and Schedule. In accordance with that policy and schedule, certain records have been identified as eligible for destruction. A listing of those records and relevant sections from the records retention schedule are attached.

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

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

Department Head

City Attorney

CERTIFICATE OF DESTRUCTION

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

Original: City Clerk’s Office
Copy: Department

Attachments:

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

SAMPLE 2 – Conversion to Electronic Records

MEMORANDUM

DATE XX/XX/XX

TO: City Clerk
City Attorney

FROM: Dept. Records Coordinator

SUBJECT: CONVERSION OF HARD COPY TO ELECTRONIC RECORDS

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

Record Titles to be eligible for electronic retention:

Example:

Payroll

- Payroll Charges
- Payroll Reports
- Time Sheets

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

Department Head

City Attorney

City Clerk

Original: City Clerk’s Office

Copy: Department

SAMPLE 3 – Addition to Retention Schedule

MEMORANDUM

DATE XX/XX/XX

TO: City Clerk
City Attorney

FROM: Dept. Records Coordinator

SUBJECT: ADDITION TO RECORDS RETENTION SCHEDULE

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

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

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

Department Head

City Attorney

City Clerk

Original: City Clerk’s Office

Copy: Department

CITY OF SAN LUIS OBISPO RECORDS RETENTION SCHEDULE

	RECORD TITLE	TOTAL RETENTION PERIOD	OFFICE RESPONSIBLE FOR RETENTION AND DISPOSITION OF RECORD	CODE SECTION REMARKS
	COPIES or DUPLICATES of documents for which a department is not the office of record	D/R		Duplicates and copies distributed to various departments for informational purposes may be destroyed by the departments when they are no longer useful for reference. No "Request for Records Destruction" form is required.
	ELECTRONIC DOCUMENTS			Electronic copies of paper records should be kept no longer than the retention period specified in this schedule. If electronic documents are also in a paper format, both must be destroyed at the same time.
100 GENERAL ADMINISTRATION				
101 OFFICE GENERAL MANAGEMENT				
	City Manager (CM) Reports	5	Various	GC34090
	City-Generated Informational Brochures, Publications, Newsletters	P	Various	GC34090 Keep one for historical purposes
	City-wide Policies and Procedures	P	Various	GC34090 Keep one for historical purposes
	Correspondence - External	2	Various	GC34090
	Correspondence - Internal (excluding CM Reports - see above)	2	Various	GC34090
	Departmental Policies/Procedures	S+5	Various	GC34090
	General Information	2	Various	GC34090
	In-House Committees	CU+5	Various	GC34090 May be kept for research/historic purposes
	Staff Meeting Notes	2	Various	GC34040
102 OFFICE REFERENCE				
	Annual Departmental Reports	5	Various	GC34090
	Certificates of Life	5	Clerk	GC34090
	Chronological Files	2	Various	GC34090
	Community Organizations	5	Various	GC34090
	Complaints	2	Various	GC34090
	General Information	2	Various	GC34090
	Positive Feedback (How are we doing? forms)	2	Various	GC34090
	Professional Associations	2	Various	GC34090
	Publications (journals, periodicals)	D/R	Various	Not a public record. No "Request for Records Destruction" form is required.
103 FORMS MANAGEMENT				
	Blank Forms	S	Various	No "Request for Records Destruction" form is required.
104 RECORDS MANAGEMENT				
	Certificates of Destruction	P	Clerk	GC34090 Legal record of final disposition of document.
	Public Records Requests	2	Various	GC34090
	Records Retention Schedule	S+5	Clerk	CCP 343
200 COMMUNITY DEVELOPMENT				
201 CITY PLANNING				
	Address Files	P	Planning	GC34090(a)
	Business Tax Certificates	P	Planning	GC34090(a)
	Code Enforcement Files	P	Building	GC34090(a) Microfilm after 5 years
	Construction Files	P	Building	GC34090(a) Microfilm immediately after final inspection
	Construction Permits (numeric)	P	Building	GC34090(a) Microfilm one year after final inspection
	Home Occupation Permits	P	Planning	GC34090(a)
	Inspection Cards	P	Building	GC34090(a) Microfilm and retain original cards
	Notices of Address Change	P	Planning	GC34090(a)
	Notices of Determination	P	Planning	GC34090(a)
	Notices of Exemption	P	Planning	GC34090(a) Microfilm

CITY OF SAN LUIS OBISPO RECORDS RETENTION SCHEDULE

	RECORD TITLE	TOTAL RETENTION PERIOD	OFFICE RESPONSIBLE FOR RETENTION AND DISPOSITION OF RECORD	CODE SECTION REMARKS
	Project Files: Administrative Use Permit; Planning Commission Use Permit; Planned Development; Certificate of Compliance; Architectural Review; Architectural Review Minor and Incidental; Environmental Review; General Plan; Specific Plan; Text Amendment; Rezone; City Initiated Rezone; Annexation; Variance; Lot Line Adjustment; Street Name Change; Other	P	Planning	GC34090(a) Microfilm after 2 years
	Recorded Agreements: Residents/Covenants, Affordability, First-Time Home-Buyer, etc.	P	Clerk	GC34090(a) (Filed under 704-06 in City Clerk's office in Housing Agreement section by property address.)
	Sign Inventory Files	2	Planning	GC34090
	Sign Permits	2	Building	GC34090
	Tentative Tracts and Minor Subdivisions	P	Planning	GC34090(a) Film after minimum of 10 years.* See Public Works for final maps.
	Unreinforced Masonry Files (structural analysis)	P	Building	GC34090(a)
300	CITY MANAGEMENT			
301	COUNCIL FILES			
	Appeals Heard by Council	P	Clerk	GC34090
	Appeals not Heard by Council	CL+2	Various	GC34090
	Audio Tapes or Liberty System	6 mos	Clerk	GC34090.7
	Cablecast Schedule for Gov. Access Channel 20	2	Clerk	GC34090
	Council Agenda Packets	P	Clerk	GC34090
	Council Brochures	P	Clerk	GC34090 Keep one for historical purposes
	Council "Notes"	2	Admin	GC34090
	Council Policies & Procedures	P	Clerk	GC34090 Keep one for historical purposes
	Council Resumes	CU+2	Admin	GC34090
	Council Subcommittee Assignments	8	Clerk	GC34090
	DVDs of Council and Planning Commission Meetings	P	Clerk	GC34090.7
	Hot Files	2	Admin	GC34090
	Minutes	P	Clerk	GC34090(e)
	Oaths of Office	P	Clerk	GC34090
	Petitions to Council	5	Clerk	GC34090 Advisory, non-election related. (If submitted to Council, retain permanently with agenda packet.)
	Proclamations	2	Clerk	GC34090
	Proposition 218 Protest letters	P	Clerk	State Constitution
	Public Comment and Speaker Slips	2	Clerk	GC34090
	Red File Items (i.e; correspondence)	P	Clerk	GC34090 Original red file is part of the agenda packet
	Resolutions and Ordinances	P	Clerk	GC34090(e)
302	COMMISSIONS, COMMITTEES, BOARDS			
	Agenda/Agenda Packets	P	Various	GC34090
	Audio Tapes	2	Various	GC34090.7
	Bylaws	P	Various	GC34090(e)
	Membership File: (Appointed AB members applications, oaths, correspondence, etc.)	T + 5	Clerk	GC34090
	Applications (not appointed)	2	Clerk	GC34090
	Minutes	P	Various	GC34090(e)
	Recruitment File: Includes correspondence, Maddy Act notices, misc. ads, and information	2	Clerk	GC34090
	Resolutions	P	Various	GC34090(e)
	Rosters	S+5	Clerk	GC34090
304	CITY ADVISORY BODIES			
	Advisory Body Handbook	P	Clerk	GC34090 Keep one for historic reasons
	Advisory Body Training	5	Clerk	GC34090

CITY OF SAN LUIS OBISPO RECORDS RETENTION SCHEDULE

	RECORD TITLE	TOTAL RETENTION PERIOD	OFFICE RESPONSIBLE FOR RETENTION AND DISPOSITION OF RECORD	CODE SECTION REMARKS
	Annual Advisory Body Recognition	5	Clerk	GC34090
	Miscellaneous/Ad Hoc Advisory Bodies	CU+5	Clerk	GC34090
	Quarterly Advisory Body Chair Meetings with Mayor	5	Clerk	GC34090
400	FINANCIAL AND FISCAL			
401	ACCOUNTS PAYABLE			
	Accounts Payable Reports	AU+5	Finance & IT	GC34090
	Accounts Payable Supporting Docs (voucher, invoice, PO)	AU+5	Finance & IT	GC34090
	Bank Statements	AU+5	Finance & IT	GC34090
	Tax Reports (1099 Tax Info>Returns)	AU+11	Finance & IT	41CFR50-201.501
402	ACCOUNTS RECEIVABLE			
	Assessment Pay-offs	AU+4	Finance & IT	GC34090(c)
	Business Tax Customer Files	AU+4	Finance & IT	GC34090(c) / SLOMC3.01.501(B)
	Cash Receipts	AU+4	Finance & IT	GC34090(c)
	Credit Bureau Adjustments	AU+4	Finance & IT	GC34090(c)
	Invoices	AU+4	Finance & IT	GC34090(c)
	Journal Entries	AU+4	Finance & IT	GC34090(c)
	Refunds	AU+4	Finance & IT	GC34090(c)
	Revenue Backup	AU+4	Finance & IT	GC34090(c) / SLOMC3.16.190 / SLOMC3.04.110
	Transient Occupancy Tax	AU+4	Finance & IT	GC34090(c)
403	MISCELLANEOUS			
	Budget Amendment Request (BAR)	AU+4	Finance & IT	GC34090
	Checks, Canceled	AU+6	Finance & IT	GC34090(c) / CCP337
	General Correspondence	AU+4	Finance & IT	GC34090
406	PAYROLL			
	Payroll Charges	AU+4	Finance & IT	GC34090(c) / CFR516.2
	Payroll Reports	AU+10	Finance & IT	GC34090(c)
	Tax Reports	AU+11	Finance & IT	GC34090(c) / CFR516.2
	Time Sheets	AU+4	Finance & IT	GC34090(c) / CFR516.2
408	GRANTS			
	Community Development Block Grants (CDBG)	T+4	Planning	24CFR570.502
	Federal Grants, including FEMA / Other Emergencies (Applicants, reports, contracts, supporting documents)	CL+5	Various	GC34090
	Grants-in-aid (Applicants, reports, contracts, supporting documents)	CL+5	Various	GC34090
	State Grants (Applicants, reports, contracts, supporting documents)	CL+5	Various	GC34090
411	UTILITY BILLING			
	Credit Bureau Assignments	AU+4	Finance & IT	GC34090(c)
	Meter Reads	AU+4	Finance & IT	GC34090(c)
	Payment Stubs & Tapes	AU+2	Finance & IT	GC34090(d)
	Purge Tapes	AU+4	Finance & IT	GC34090(c)
	Refunds	AU+4	Finance & IT	GC34090(c)
	Service Requests	AU+4	Finance & IT	GC34090(c)
	Utility Billing Register	AU+4	Finance & IT	GC34090(c)
412	FINANCIAL REPORTS			
	Audited Financial Statements	P	Finance & IT	GC34090(c)
	Bonds Payable and Other Long-Term Indebtedness	T+3	Finance & IT	GC34090(c) / CCP337.5 / GC53921
	Budget Document (Financial Plan)	P	Finance & IT	GC34090(c)

CITY OF SAN LUIS OBISPO RECORDS RETENTION SCHEDULE

RECORD TITLE	TOTAL RETENTION PERIOD	OFFICE RESPONSIBLE FOR RETENTION AND DISPOSITION OF RECORD	CODE SECTION REMARKS
Fixed Asset Subsidiary Ledger (includes inventory)	AU+5	Finance & IT	GC34090(c) / 26CFR301-65-1(f)
Monthly Financial Statements	AU+5	Finance & IT	GC34090(c)
Other Financial Reports	AU+4	Finance & IT	GC34090(c)
State Controller Reports	AU+10	Finance & IT	GC34090(c)
Surplus Property List	AU+4	Finance & IT	GC34090(c)
500 HUMAN RESOURCES			
Applications (unsuccessful applicants)	CL+5	HR	29 CFR 30.8 / GC12946
Department of Motor Vehicles Records	T+1	HR	GC12946
Discrimination Complaint	T+5	HR	29 USC 255 (a)
Employee Discipline	T+3	HR	GC34090(c)
Employee Files	T+5	HR	45CFR1068.6APPA / 29CFR1627.3 / SLOMC11.04.010(H)
Employment Eligibility Verification - Immigration/Naturalization Service (I9 Form)	T+3	HR	GC34090(c)
Equal Employment Opportunity Reports	3	HR	GC34090(c)
General Correspondence	2	HR	GC34090
Insurance/Benefits	AU+4	HR	29CFR1627.3(b)(2)
Labor Negotiations	T+3	HR	GC34090(c)
Risk Management Claims Against The City	CL+5	HR	GC34090
Risk Management Reports	CL+5	HR	GC34090
Safety	T+3	HR	GC34090(c)
Temporary Employees	T+5	HR	45CFR1068.6APPA / 29CFR1627.3 / SLOMC11.04.010(H)
Tuition Reimbursement	AU+3	HR	GC34090(c)
Workers Compensation	T+30	HR	29CFR1910.20
600 PURCHASING & CONTRACTING			
601 PURCHASING			
Bids, RFPs (unsuccessful)	CU+2	Various	GC34090 / CCP337 / SLOMC3.24.170
Bids, RFPs, RFQs (successful)	AU+5	Various	GC34090 / CCP337 / SLOMC3.24.170
City-Owned Property/Property Management	P	Clerk	GC34090(a)
General Information	2	Various	GC34090
Surplus Property Auction/Disposal	AU+4	Finance	CCP337
Surplus Property Listing	AU+2	Finance	GC34090
700 LEGISLATIVE AND LEGAL			
701 LEGISLATIVE			
Affidavits of Publication	CU+4	Various	GC34090
Certificates of Posting	CU+4	Various	GC34090
Charters-Listed Numerically with Amendments	P	Clerk	GC34090(e)/GC40806
Citizens' Charter Committee	P	Clerk	GC34090
Council Ordinances	P	Clerk	GC34090(e)
Council Resolutions	P	Clerk	GC34090(e) / GC40806
Grand Jury	2	Clerk	GC34090
League of CA Cities	2	Clerk	GC34090
Legal Notices, Legal ads, and Display Ads	CU+4	Various	GC911.2; GC34090
Legislation: County, Federal, State	2	Clerk	GC34090
Municipal Code	P	Clerk	GC34090(e) Database on City network/Keep one for historic value
Notices of Adjournment	2	Various	GC34090
702 ELECTION			
Absentee Voter applications (copies of)	E+6 mos.	Clerk	EC17505(b) Confidential
Application to view: voter registration info, AV voter lists	5	Clerk	EC2188
Ballots: all, voter ID envelopes and ballot receipts, manual tally sheets, logic/accuracy tests, other ballot-related docs	E+6 mos.	Clerk	EC17302; EC17306 (if no legal action) Confidential
Campaign Disclosure Statements:			

AE=After Expiration AU=Audit CL=Closed/Completed CU=Current D/R=Destroy when no longer relevant E=After Election P=Permanent S=Superseded T=Terminated

CITY OF SAN LUIS OBISPO RECORDS RETENTION SCHEDULE

	RECORD TITLE	TOTAL RETENTION PERIOD	OFFICE RESPONSIBLE FOR RETENTION AND DISPOSITION OF RECORD	CODE SECTION REMARKS
	Successful Candidates	P	Clerk	GC81009(b)
	Unsuccessful Candidates	E+5	Clerk	GC81009(b)
	Other	T+7	Clerk	GC81009(e)
	Election correspondence	E+2	Clerk	GC34090
	Election documents: expenses, proofs, night logs	E+2	Clerk	GC34090
	Election history	P	Clerk	GC34090
	Election notices, publications, certificates	E+2	Clerk	GC34090
	Initiative, Referendum, Charter Amendments, Recall Petitions	After Certification of results + 8 months	Clerk	EC17200/EC17400 Confidential
	Municipal Election File/Sample Ballots	P	Clerk	GC34090
	Nomination Papers:			
	Successful Candidates	P	Clerk	EC17100
	Unsuccessful Candidates	E+5	Clerk	EC17100
	Precinct Board Appointments - appointment of precinct officials	E+6 mos.	Clerk	EC17503(b)
	Precinct hand tally, copies of index, challenge list, assisted voter list	E+6 mos.	Clerk	EC17304 Confidential
	Roster of voters, original indices (precinct board)	E+5	Clerk	EC17300(a) (if no legal action)
703	CITY ATTORNEY			
	Administrative Files	CU+5	City Attorney	GC34090
	Civil Litigation	CL+10	City Attorney	GC34090(b)
	Civil Litigation regarding Property (including settlement and releases)	P	City Attorney	GC34090(a)
	Criminal Cases going to court	CL+5	City Attorney	GC34090(b)
	Criminal Citations	CL+2	City Attorney	GC34090
	Legislative Files	CU+2	City Attorney	GC34090
704	GENERAL LEGAL			
	Agreements/Contracts (consultants, purchase agreements, and others not shown elsewhere in the retention schedule)	CU+5AE	Various	CCP337
	Claims/Subpeona Logs	2	Clerk	GC34090
	Donor and Donation Agreements	P	Clerk	GC34090
	Ethics Training Certificates	CL + 5	Clerk	GC34090
	Housing Agreements (Includes recorded and other related agreements)	P	Clerk	GC34090(a)
	Joint Powers Authorities	CL + 10	Clerk	GC34090
	Lease Agreements of Real Property (long-term; i.e., more than five	CL + 5	Clerk	GC34090
	Liens	P	Clerk	GC34090(a)
	Public Art Agreements	P	Clerk	GC34090
	Recorded Documents (Abandonments, Deeds, Easements,	P	Clerk	GC34090
	Williamson Act Contracts	P	Clerk	GC34090(a)
706	CAPITAL IMPROVEMENT BOARD			
	CIB Agreements/Contracts	P	Clerk	CCP337
	CIB Establishment/Bylaws	P	Clerk	GC34090(e)
	CIB Resolutions/Ordinances	P	Clerk	GC34090(e)
	General Correspondence	2	Finance	GC34090
	Minutes	P	Clerk	GC34090(e)
707	STATEMENTS OF ECONOMIC INTEREST			
	General Correspondence	2	Clerk	GC34090
	Statements of Economic Interest (87200 Filers)	T+7	Clerk	GC81009(e) & CCAC Guidelines
	Statements of Economic Interest (City Code Filers)	7		GC81009(e)

CITY OF SAN LUIS OBISPO RECORDS RETENTION SCHEDULE

	RECORD TITLE	TOTAL RETENTION PERIOD	OFFICE RESPONSIBLE FOR RETENTION AND DISPOSITION OF RECORD	CODE SECTION REMARKS
709	PUBLIC INFORMATION/COMMUNITY RELATIONS			
	Consumer Price Index (CPI)	CU+2	Various	GC34090
	General Correspondence	2	Various	GC34090
	Press Releases	CU+2	Various	GC34090
800	PUBLIC WORKS			
801	ENGINEERING			
	Contractor Bids (not awarded)	CL+2	Public Works	GC34090 Exception: Federally funded: 3 year retention period or as required by the funding authority.
	Encroachment Permits	CL+4	Public Works	GC34090
	Engineering Standards	P	Public Works	GC34090(a)
	General Correspondence	2	Public Works	GC34090
	Job Files: Certified payroll; pay estimates; original bid documents; legal ads; preliminary notices/liens; engineer's daily logs or inspector's diaries; DAS13	CL+2	Public Works	GC34090 Federally funded or as req'd by the federal authority
	Job Files:Org. specials w/autocad drawings, photos/video tapes for historic value; agrmnts; CMR/CAR; change orders; env docs; final pay est. w/attach; notice completion; haz waste manifests/transp docs; ins certs; perform bonds; proposals; spec reports (haz mat, bio, soils), submnts (mats, draw), warranty, as-built daily logs or inspectors' diaries; bids/plans/specs	P	Public Works	GC34090
	Final Tracts and Minor Subdivisions (includes subdivision improvement agrees; development agrees; in-lieu agrees)	P	Public Works	GC34090(a) Film after minimum of 10 years*. See Community Development for Final maps
802	STREET ADDRESS FILES			
	General Information	2	Public Works	GC34090
	Street Files	10	Public Works	GC34090
803	MASS TRANSPORTATION			
	General Information	5	Public Works	GC34090
	Local-SLO Municipal Bus System	CU+10	Public Works	GC34090
	Regional Elderly/Handicapped Transit	CU+2	Public Works	GC34090
	Taxicabs	CU+5	Public Works	GC34090
	Transportation Permits	CU+2	Public Works	GC34090
	Unmet Transit Needs	CU+10	Public Works	GC34090
804	PARKING			
	Downtown Parking Study	P	Public Works	GC34090
	General Information	2	Public Works	GC34090
	Parking Appeals	CU+2	Public Works	GC34090
	Parking Citations	CU+2	Public Works	GC34090
	Parking Meters	CU+5	Public Works	GC34090
	Parking Policies	CU+5	Public Works	GC34090
	Ridesharing/Car Pool Program	CU+5	Public Works	GC34090
806	DISTRICTS			
	Assessment Districts	CL+10	Public Works/Clerk	GC34090 Note: original documentation in City Clerk's Office
	Benefit Districts	CL+10	Public Works/Clerk	GC34090 Note: original documentation in City Clerk's Office
	General Information	2	Public Works	GC34090
	Geologic Hazard Abatement Districts	CL+10	Public Works	GC34090
	Residential Parking Districts	CL+10	Public Works	GC34090
	Underground Utilities	CL+10	Public Works	GC34090

CITY OF SAN LUIS OBISPO RECORDS RETENTION SCHEDULE

	RECORD TITLE	TOTAL RETENTION PERIOD	OFFICE RESPONSIBLE FOR RETENTION AND DISPOSITION OF RECORD	CODE SECTION REMARKS
807	SURVEYING			
	General Information	2	Public Works	GC34090
808	MAPPING			
	Aerial Photos	CU+10	Public Works	GC34090
	General Information	2	Public Works	GC34090
809	FACILITIES MAINTENANCE			
	Corporation Yard	CU+10	Public Works	GC34090
	General Information	CU+10	Public Works	GC34090
	Golf Course Maintenance	CU+10	Public Works	GC34090
	Government Building Maintenance	CU+10	Public Works	GC34090
	Library Maintenance	CU+10	Public Works	GC34090
	Parking Facilities	CU+10	Public Works	GC34090
	Recreation Facilities Maintenance	CU+10	Public Works	GC34090
	Street Landscape Maintenance	CU+10	Public Works	GC34090
	Swimming Pool Maintenance	CU+10	Public Works	GC34090
810	STORM DRAINAGE/FLOOD CONTROL			
	Creek Policies	S+2	Public Works	GC34090
	Drainage Complaints	CU+2	Public Works	GC34090
	Drainage Maps	CU+5	Public Works	GC34090
	Flood Management	CU+2	Public Works	GC34090
	Flood Studies/Detention Dams	CL+10	Public Works	GC34090
	General Information	2	Public Works	GC34090
	Storm Drain & Water Way Program	CU+10	Public Works	GC34090
	Storm Water Management Plan	5	Public Works	GC34090
	Zone 9 Master Plan	S+10	Public Works	GC34090
811	PUBLIC IMPROVEMENTS			
	Cost Estimating	CU+2	Public Works	GC34090
	General Information	CU+2	Public Works	GC34090
812	TRAFFIC OPERATIONS (STREETS, HIGHWAYS, BRIDGES)			
	Abandonments	P	Public Works	GC34090(a)
	Bicycle Lanes/Paths	P	Public Works	GC34090 Microfilm for research/historic value
	Bridges and Creeks	CL+3	Public Works	GC34090
	General Information	2	Public Works	GC34090
	Pavement Management Plan	CL+5	Public Works	GC34090
	School Related	CL+5	Public Works	GC34090
	Street Signs & Pavement Markings	CL+5	Public Works	GC34090
	Street Widening	P	Public Works	GC34090(a)
	Traffic Patterns	CL+5	Public Works	GC34090
	Traffic Regulations	CL+3	Public Works	GC34090
	Traffic Safety	CL+5	Public Works	GC34090
	Traffic Signals & Street Lights	CL+5	Public Works	GC34090
	Traffic Studies	CL+10	Public Works	GC34090
900	INFORMATION SYSTEMS			
901	GENERAL COMPUTER INFORMATION			
	General Information	2	Finance & IT	GC34090
	Hardware	S+2	Finance & IT	GC34090
	Software	S+2	Finance & IT	GC34090
	Training Programs	CL+2	Finance & IT	GC34090
	Video monitoring tapes	1	Finance & IT	GC34090.6(a)

AE=After Expiration AU=Audit CL=Closed/Completed CU=Current D/R=Destroy when no longer relevant E=After Election P=Permanent S=Superseded T=Terminated

CITY OF SAN LUIS OBISPO RECORDS RETENTION SCHEDULE

	RECORD TITLE	TOTAL RETENTION PERIOD	OFFICE RESPONSIBLE FOR RETENTION AND DISPOSITION OF RECORD	CODE SECTION REMARKS
1000	REAL ESTATE			
1001	CITY OWNED PROPERTY			
	Appraisals	CL+2	Various	GC34090
	Recorded Documents pertaining to: Buildings, excess right of way, land, parks (Deeds/Easements are filed under 704)	P	Clerk	GC34090(a) Recorded documents are filed 704 and are kept by the City Clerk
1100	PARKS & RECREATION & CULTURE			
1101	PARKS AND RECREATION			
	Accident / Injury Reports -- Event Participants	CU+7	P&R	GC34090
	Banner Applications and Permits	CU+5	P&R	GC34090
	CAL-OSHA Department Tailgates	CU+7	P&R	GC34090
	Contract Instructors Contracts	CU+5	P&R	GC34090
	Contract Classes Waivers, Rosters	CU+5	P&R	GC34090
	Children Services billing/Facilities/Pool	2	P&R	GC34090
	Facility Rental Information	CU+2	P&R	GC34090
	Facility Use Permits	CU+5	P&R	GC34090
	General Information (original correspondence)	2	P&R	GC34090
	Golf cart liability release forms	CU+5	P&R	GC34090
	Homeless Camp postings	5	P&R	Penal Code 602 et al.
	How Are We Doing Forms	CU+2	P&R	GC34090
	Pesticide Certification records (use, purchase, training, MSDS)	CU+4	P&R	GC34090
	Playground Audits	P	P&R	GC34090(a)
	Press Release	CU+3	P&R	GC34090
	Public Facilities (Including pools and parks): Capital Improvements and Construction	10	Public Works	GC34090(a)
	Public Facilities (Including pools and parks): Maintenance and Operations	10	Public Works	GC34090(a)
	Scholarships	CU+2	P&R	GC34090
	Special Event Permits	CU+5	P&R	GC34090
	Sports Waivers	CU+3	P&R	GC34090
	Triathlon Waivers	CU+5	P&R	GC34090
1200	UTILITIES/PUBLIC SERVICES			
	Conservation - Administrative Citations	3	Utilities	GC34090
	Franchise - San Luis Garbage	P	Clerk	GC34090
	Franchise - Cable TV Systems	P	Clerk	GC34090
	Franchise - Pacific Gas & Electric	P	Admin	GC34090
	Franchise - The Gas Co. (aka Southern California Gas Co.)	P	Admin	GC34090
	Franchise - Tosco and Union Oil Co.	P	Attorney	GC34090
	General Correspondence	2	Utilities	GC34090
	Industrial Waste Closed Permit files	3	Utilities	40CFR
	Laboratory documentation and reports	P	Utilities	40CFR + Historical
	Laboratory documentation and reports	P	Utilities	40CFR + Historical
	Master Plans	S+10	Utilities	GC34090
	Nacimiento Water Supply	P	Utilities	Ongoing project
	NPDES Permit	P	Utilities	40CFR
	Pretreatment Annual Reports	3	Utilities	40CFR
	Recycling and Demolition Plans	3	Utilities	GC34090
	Salinas Dam & Reservoir - Original Agreements	P	City Clerk	GC34090
	Salinas Dam & Reservoir - Documents other than Original Agreements	P	Utilities	GC34090
	SWRCB Grant & Loan documentation	CL+30	Utilities	GC34090
	SWRCB Rights & Permits	P	Utilities	40CFR
	SWRCB--Water Rights/Permits	P	Utilities	40CFR
	Utilities brochures, pamphlets, public information	P	Utilities	GC34090 + Historical purpose

CITY OF SAN LUIS OBISPO RECORDS RETENTION SCHEDULE

RECORD TITLE	TOTAL RETENTION PERIOD	OFFICE RESPONSIBLE FOR RETENTION AND DISPOSITION OF RECORD	CODE SECTION REMARKS
Utilities Rebate applications	3	Utilities	GC34090
Water & Wastewater Management Plans	S+2	Utilities	40CFR
Water & Wastewater Studies	CL+10	Utilities	GC34090
Water Quality Reports	P	Utilities	GC34090
Water Reuse - SWRCB & NMFS reporting	P	Utilities	40CFR + Historical
Water Treatment Plant - Dept of Public Health reports	P	Utilities	40CFR + Historical
Water Treatment Plant - EPA reports	P	Utilities	40CFR + Historical
Wells & Groundwater information	P	Utilities	GC34090
Whale Rock Financial Plans and Statements	P	Utilities	GC34090
Whale Rock/Minutes	P	Utilities	GC34090
WRF Annual Discharge Monitoring Reports	P	Utilities	40CFR + Historical
WRF Monthly Discharge Monitoring Reports	2	Utilities	40CFR
1300 POLICE			
Administrative Accident Review	CL+5	Police	GC34090
Administrative/Internal Investigations	CL+5	Police	GC34090
	P	Police	GC34090 Electronic records only with the exception of mandated destruction pursuant to sections: PC 290(d)(4) & 851.8, H&S 11361.5(a),(b),(d),&(e), W&I 781(a), 826(a), 826(b).
All Arrest Reports			
Arrest and Citation Register	2	Police	GC34090
Arson Registrant - Adult	P	Police	PC 457.1(b)2
Arson Registrant - Juvenile	P	Police	W&I 781
Audio Recordings- Telephone and Radio	2	Police	GC34090.6 - Electronic records only
Background Investigations	T+5	Police	GC34090
Background Investigations - Not Hired	CL+2	Police	GC34090
Child Abuse, Neglect, Molest	P	Police	PC 799
Citations	2	Police	GC34090 - Electronic records only
Citizen Complaints	CL+5	Police	GC34090
Collision Reports	5	Police	GC24090 and GC34090.7 - with the exception of fatality reports
Concealed Weapon Permit Records	A/E+2	Police	GC34090
Confidential Informants	2	Police	GC34090
Court Log	2	Police	GC34090 - Electronic records only
Daily Calls for Service Log	2	Police	GC34090
Death cases	P	Police	GC34090
Embezzlement of Public Funds	P	Police	PC 803
Employee Training Records	T+5	Police	GC34090(c)
Fatal Traffic Collision	P	Police	GC34090(c)
	P	Police	PC 799 - Case by case determination as to whether stored electronically or paper
Felony capital crimes, crimes punishable by death/life in prisonment			
Felony Crime reports	10	Police	PC 804
Fire Arms - lost or stolen	CL+5 Or P	Police	CLETS P&P - Permanent until weapon is located
	2	Police	H&S 11361.5(a) - Exception: violation H&S 11357(e) by a juvenile.
Health & Safety Codes Sections-11357(b),(c),(d), or (e) or H&S 11360			
Homicides	P	Police	PC 799
	5	Police	GC34090 - Electronic records with the exception of death and missing persons cases
Incident and Non-criminal Reports			
Juvenile Detention Logs/Survey/Monthly reports	CU+2	Police	GC34090
Kidnapping - Active	P	Police	CLETS P&P
Massage, Taxi, Permits	CL+2	Police	GC34090/SLOMC 5.56.150
	5	Police	GC34090 with exceptions: related unserved warrants, identifiable items which have not been recovered, unadjudicated arrests (except H&S 11357/11360), presently involved in civil or criminal litigation
Misdemeanor and Infraction violation cases			
Missing Persons - Active	P	Police	CLETS P&P
Narcotics Registrant	P	Police	H&S 11594
News Releases (Press Releases)	5	Police	GC34090 - Electronic records only

CITY OF SAN LUIS OBISPO RECORDS RETENTION SCHEDULE

	RECORD TITLE	TOTAL RETENTION PERIOD	OFFICE RESPONSIBLE FOR RETENTION AND DISPOSITION OF RECORD	CODE SECTION REMARKS
	Officer involved shooting	CL+25	Police	GC34090
	Operations Directive Manual	P	Police	GC34090
	Public Intoxication Arrest Report	10	Police	647F PC
	Recovered Stolen Vehicle Reports	5	Police	CLETS P&P - Electronic records only
	Reports involving seized weapons retained by City Police	10	Police	CLETS P&P - Electronic records only
	Sex Cases	P	Police	Electronic for case reference
	Sex Registrant files - Adult	P	Police	PC 290(a)(2)(f) - Electronic records only
	Sex Registrant files - Juvenile	P	Police	W&I 781
	Special Orders Manuals	P	Police	GC34090 - Keep one for historical purpose
	Statistical UCR Report	P	Police	GC34090 - Keep one for historical purpose
	Subpoena Log	2	Police	GC34090
	Survey Responses	2	Police	GC34090 - Electronic records only
	Use of Force Reports	5	Police	GC34090
	Video Recordings - in-car video footage	2	Police	GC34090.7/CCP 335.1 - with the exception of information held for evidence. Electronic records only.
	Note: See Police procedures for more specific information regarding retention of electronic vs. paper records.			
1500 FIRE				
	Apparatus/Vehicle (Repair and Maintenance: Department Mechanic)	T+2	Fire	GC34090 / 8CCR3203
	Arson Investigations - Evidence (Support prosecution resulting in homicide)	P	Fire	PC799
	Arson Investigations - Evidence (Great bodily harm, inhabited structure or property)	CL+6	Fire	PC800
	B/C & Staff Logs	5	Fire	GC34090
	Captain's Log (Fire Station Journals: Activities, personnel, engine company--historical)	P	Fire	GC34090
	Disaster - Major Event Log	P	Fire	GC34090(c)
	Disaster Plans	S+2	Fire	SLOMC2.24.080
	Emergency Operations Guidelines	S+2	Fire	GC34090
	Employee Records	T	Fire	GC34090 Then transferred to Human Resources
	EMS/Liability Reports	4	Fire	GC34090
	Equipment & Supplies Inventory	3	Fire	GC34090
	Exposure - Personnel (Laboratory reports and worksheets)	T+2	Fire	GC34090
	Exposure - Personnel (Sampling results, collection, methodology, background)	T+30	Fire	29CFR1910.1020
	Fire Code Books	S+5	Fire	GC34090.7
	Fire Dept. Staff Reports (Non-Council agenda related, includes supporting documentation)	P	Fire	GC34090
	Fire Equipment/Gear Logs	3	Fire	GC34090
	Fire Station Construction and Acquisition	P	Fire	GC34090(a)
	Fumigations	CU+2	Fire	GC34090
	General Information	2	Fire	GC34090
	General Operations Guidelines	S+2	Fire	GC34090
	Hazardous Materials-Storage Permits	CL+2	Fire	GC34090 May keep longer
	Hazardous Materials-Underground Storage Tank (Location, installation, removal, remediation)	P	Fire	GC34090(a)
	Inspection Request/Complaint	CL+3	Fire	GC34090 / CCP338 / CCP340.5
	Inspections - Fire Prevention (Alarm/sprinkler systems, prevention efforts)	CL+3	Fire	GC34090
	Media Events - Department	P	Fire	GC34090
	Mutual Aid Activities	6	Fire	GC34090

CITY OF SAN LUIS OBISPO RECORDS RETENTION SCHEDULE

	RECORD TITLE	TOTAL	OFFICE RESPONSIBLE	CODE SECTION
		RETENTION	FOR RETENTION AND	REMARKS
		PERIOD	DISPOSITION OF RECORD	
	"Run" Reports (Incidents)	4	Fire	GC34090
	Tailboard Safety Sheets	4	Fire	GC34090
	Weed Abatement	CL+2	Fire	GC34090