

| ACRONYMS USED IN LEGAL CITATIONS<br>AC = While Active    CL = Closed    CU = Current Year    D = Day    FR = Final Resolution    LA = Limitation on Action    LI = Life (of program, asset)<br>M = Month    MA = Maturity    MAINT = Maintain Records    PR = Permanent    S = Superseded    T = Termination    Y = Year |                                               |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                             |           |                                                                                                                                                                                                                                                                                                                                                                                                                            |                                                                                               |
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| Record No.                                                                                                                                                                                                                                                                                                               | Business Process                              | Record Name and Description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | Example Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | Department/Office of Record | Retention | Regulatory Citations                                                                                                                                                                                                                                                                                                                                                                                                       | Notes and Comments                                                                            |
| 001                                                                                                                                                                                                                                                                                                                      | Building, Development, Planning & Engineering | <b>Building Plans, Building Permits, and Related Documents</b><br><br>Permits, plans, and related documents associated with Cupertino's building construction for non-residential and residential building and structures. Records include plans, permits, and documents related to the following:<br><br>- New Construction<br>- Additions<br>- Alterations<br>- Repairs<br>- Demolitions<br>- Swimming Pools / Spas<br>- Signs<br>- Alternative Energy Systems (Solar Panels, EV Charging, Solar Heating, etc.)<br>- On-site Retaining Walls | Accessibility Unreasonable Hardship Exemption Forms<br>Address Assignments<br>Alternate Materials & Methods/Modification Forms<br>Approved Building Plan Sets<br>Approved Specifications/Listing Information<br>Building Board of Appeals<br>Building Inspections<br>Building Permits<br>CalGreen Checklists<br>Certificate of Compliance Forms<br>Certificates of Occupancy<br>Design Flood Eleveation Certificates<br>Geotechnical/Geologic Reports<br>Owner Builder Declarations<br>Smoke Detector/ Carbon Monoxide Affidavits<br>Structural Calculations<br>Survey Letters (Setback Verification)<br>Water Conservation Affidavits | Building                    | Permanent | CA - CRC 106.5 - (180D)<br>CA - CBC 107.5 - (180D)<br>CA - CCP 337.1 - (LA4Y)<br>CA - CCP 337.15 - (LA10Y)<br>CA - GOV 945.6(a)(2) - (LA6M; LA2Y)<br>CA - GOV 34090 - (2Y)<br>CA - HSC 19850 - (LI)                                                                                                                                                                                                                        |                                                                                               |
| 002                                                                                                                                                                                                                                                                                                                      | Building, Development, Planning & Engineering | <b>Building, Facilities</b><br><br>Records and information regarding the structure of City buildings and facilities.                                                                                                                                                                                                                                                                                                                                                                                                                           | Construction Records<br>Electrical Wiring Schematics<br>Floor Plans<br>Project Specifications<br>Property Inventory                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | CIP                         | Life*+10Y | CA - CCP 337.1 - (LA4Y)<br>CA - CCP 337.15 - (LA10Y)<br>CA - GOV 945.6(a)(2) - (LA6M; LA2Y)<br>CA - GOV 34090 - (2Y)<br>CA - HSC 19850 - (LI)<br><br>* LI = Life of Building or Facility                                                                                                                                                                                                                                   |                                                                                               |
| 003                                                                                                                                                                                                                                                                                                                      | Building, Development, Planning & Engineering | <b>Code Compliance and Enforcement</b><br><br>Records and information documenting compliance with City codes, including such issues as:<br><br>- Abandoned vehicles<br>- Building violations<br>- Conditions of approval<br>- Excess garbage<br>- Excessive noise<br>- Graffiti<br>- Nuisance animals<br>- Parking enforcement<br>- Protected trees<br>- Right-of-way obstructions<br>- Sign violations<br>- Trash<br>- Unlicensed home-based businesses<br>- Weed abatement<br>- Zoning violations                                            | Alarm Cards<br>Certificates of Nuisance and Abatement<br>Citations<br>Complaint Forms<br>Compliance with Conditions of Approval<br>Inspections / Enforcement ( <i>business, residential</i> )<br>Investigations<br>Notices of Noncompliance<br>Notices of Violation<br>Photographs<br>Political Sign Registration<br>Proofs of Service                                                                                                                                                                                                                                                                                                 | Code Enforcement            | 5Y        | CA - California Highway Patrol Abandoned Vehicle Abatement (AVA) Program Handbook, HPH 87.1, Chapter 3 - (CU+4Y)<br>CA - GOV 945.6(a)(2) - (LA6M; LA2Y)<br>CA - GOV 34090 - (2Y)<br>CA - PEN 802 - (2Y)<br>CA - Law Enforcement Evidence and Property Management Guide<br>Cupertino Municipal Code 1.10.040 - (MAINT)<br><br>NOTE: Records for repeat offenders may be retained longer to document a history of violations | NOTE: Records for repeat offenders may be retained longer to document a history of violations |
| 004                                                                                                                                                                                                                                                                                                                      | Building, Development, Planning & Engineering | <b>Encroachments</b><br><br>Records documenting encroachments upon City property.                                                                                                                                                                                                                                                                                                                                                                                                                                                              | Approval Letter for Completion and Release of Bond<br>Bond Refunds<br>Private Encroachment Permits, Certificates<br>Site Plans                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | Engineering                 | Permanent | CA - CCP 337.1 - (LA4Y)<br>CA - CCP 337.15 - (LA10Y)<br>CA - GOV 34090 - (2Y)                                                                                                                                                                                                                                                                                                                                              |                                                                                               |
| 005                                                                                                                                                                                                                                                                                                                      | Building, Development, Planning & Engineering | Combined 005 & 006 official change request approved.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | Engineering Project Files Construction and Administrative Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | Public Works                | Permanent |                                                                                                                                                                                                                                                                                                                                                                                                                            |                                                                                               |

| Record No. | Business Process                              | Record Name and Description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | Example Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | Department/Office of Record          | Retention        | Regulatory Citations                                                                                                                                                                                                                                                                                                                                            | Notes and Comments |
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| 006        | Building, Development, Planning & Engineering | <b>Engineering Project Files - Final Documents, Construction and Administrative Records</b><br><br>Records and information related to completed public works, Capital Improvement (CIP) and engineering projects for City facilities and infrastructure.<br><br>Working records and information related to the administration, analysis, design, development, planning, and construction of public works, Capital Improvement (CIP) and engineering projects for City facilities and infrastructure. Includes:<br><br>- Projects funded from various sources including bonds, grants, capital improvement and general fund<br>- Review of private improvements that connect to public infrastructure<br>- Working development projects that touch public land or right-of-way | Affidavits<br>As-Built Designs, Drawings, Plans, Specifications, City Facility Blueprints<br>Calculations<br>CEQA/NEPA Compliance Records<br>Certificates and Certifications<br>Completion Reports<br>Development Impact Fees and Reconciliations<br>Environmental Documents and Reports<br>Geotechnical Reports<br>Grading Plans<br>Impact Fee Related Studies and Reports<br>Improvement Projects (bicycles, pedestrian)<br>Insurance ( <i>endorsements, waivers, limits</i> )<br>Mitigated Negative Declaration<br>Notices of Determination & Exemption<br>Quality Control Plan<br>Site Plans<br>Title Reports<br>Underground Utilities Maps<br>Certificates of Compliance/Notice of Non-Compliance<br>Field Inspections, Closures<br>Hydrology and Hydraulic Calculations<br>Inspections and Progress Meetings<br>Photos/Pictures<br>Project Budgets, Plans and Schedules<br>Real Estate Appraisals<br>Semi-annual Labor Reports                                                          | Public Works                         | Permanent        | CA - CCP 337.1 - (LA4Y)<br>CA - CCP 337.15 - (LA10Y)<br>CA - 14 CCR 15095 - (Reasonable)<br>CA - GOV 945.6(a)(2) - (LA6M; LA2Y)<br>CA - GOV 8546.7 - (CL+3Y)<br>CA - GOV 34090 - (2Y)<br>CA - HSC 19850 - (LI)<br>US - 2 CFR 200.333 - (AC+3Y)<br>US - 24 CFR 92.508(c) - (AC+5Y)<br>US - 24 CFR 570.502(a)(7)(i)(A) - (LA4Y)<br>US - 29 CFR 97.42(b) - (AC+3Y) |                    |
| 007        | Building, Development, Planning & Engineering | <b>Hazardous Waste - Monitoring and Remediation</b><br><br>Planning, monitoring and contingency/emergency action plans for hazardous waste, emergency and spill response, natural and exposure emergencies, notifications and response; environmental action plans and supporting documentation; hazardous communications plans, including labeling, and SDS controls.                                                                                                                                                                                                                                                                                                                                                                                                        | Employee Hazardous Chemical Exposure<br>Hazardous Material Incident Reports<br>Hazardous Material Inspection<br>Hazardous Substances Shipping Manifests<br>Hazardous Waste<br>Proposition 65 Monitoring<br>Response Plans, Programs<br>Safety Data Sheets (SDS)<br>Site Mitigation & Remediation<br>Toxic Substance Inventory                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | Operations<br>Environmental Programs | While Active+30Y | CA - 8 CCR 3204(d) - (CL+30Y)<br>CA - CCP 338.1 - (LA5Y)<br>CA - GOV 945.6(a)(2) - (LA6M; LA2Y)<br>CA - GOV 34090 - (2Y)<br>US - 29 CFR 1910.1020(d)(ii) - (CL+30Y)                                                                                                                                                                                             |                    |
| 008        | Building, Development, Planning & Engineering | <b>Housing &amp; Human Services Program Files</b><br><br>Records and information regarding programs that provide assistance to home purchasers and home owners, including:<br><br>- Below Market Rate (BMR) purchase and rental program<br>- Human service grant program to non-profits                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | Applications<br>Below Market Rate Housing Program Documents (purchase, refinance, rental)<br>Community Development Block Grant Project Files<br>Correspondence<br>Metrics<br>Reporting                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | Housing                              | While Active+5Y  | CA - GOV 945.6(a)(2) - (LA6M; LA2Y)<br>CA - GOV 8546.7 - (CL+3Y)<br>CA - GOV 34090 - (2Y)<br>US - 24 CFR 5.514 - (5Y)<br>US - 24 CFR 570.502 - (AC+3Y;AC+4Y)<br>US - 24 CFR 908.101 - (AC+3Y)                                                                                                                                                                   |                    |
| 009        | Building, Development, Planning & Engineering | <b>Planning and Zoning Projects and Services</b><br><br>Records and information pertaining to all planning and zoning activities, including:<br><br>- Approved and denied permanent entitlements<br>- Cultural resources designations/alterations (CRD)<br>- General plan amendments<br>- Minor exceptions<br>- Planned unit developments (PUD)<br>- Residential planned developments (RPD)<br>- Subdivisions<br>- Transfer development credits<br>- Urban service area amendments<br>- Variances<br>- Williamson Act cancellations                                                                                                                                                                                                                                           | Administrative Meeting Minutes, Decisions, and Appeals<br>ABC Notifications for Liquor Licenses<br>CEQA Noticing<br>Conditions of Approval<br>Conditional Use Permits<br>Design Review<br>Development Regulations<br>Entitlements ( <i>administrative, planning</i> )<br>Environmental Documents and Reports<br>General Plan<br>HOA Letters<br>Home Occupancy Permits<br>Impact Fee Related Studies and Reports<br>Land Use Permits, Studies<br>Live Entertainment Permits<br>Master Plans and Specific Plans ( <i>parking, sign, streets, trees</i> )<br>Mitigated Negative Declaration<br>Notices of Determination & Exemption<br>Planning Project Files ( <i>approved applications, architectural &amp; design reviews, elevations, plan reviews, project maps, tentative maps</i> ,<br>Sign/Banner Permits<br>Special Events (on City, public or private property)<br>Subdivisions (major, minor)<br>Temporary Use Permits<br>Tree Removal Permits<br>Zoning, Rezoning and Map Amendments | City Clerk<br>Planning               | Permanent        | CA - CCP 337.1 - (LA4Y)<br>CA - CCP 337.15 - (LA10Y)<br>CA - GOV 945.6(a)(2) - (LA6M; LA2Y)<br>CA - GOV 12981 - (FR+1Y)<br>CA - GOV 34090 - (2Y)<br>CA - HSC 19850 - (LI)                                                                                                                                                                                       |                    |

| Record No. | Business Process                              | Record Name and Description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | Example Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | Department/Office of Record                                    | Retention         | Regulatory Citations                                                                                                                                                                                                                                                                                                       | Notes and Comments |
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| 010        | Building, Development, Planning & Engineering | <b>Property, Infrastructure Maps, Plans and Drawings</b><br><br>Final maps, plans and drawings pertaining to City properties and infrastructure.                                                                                                                                                                                                                                                                                                                                                                                       | Aerial Photos<br>Approved Plans ( <i>Traffic Signal Plans, Interconnect Plans, ADA Transition Plan, Bike/Pedestrian Plan</i> )<br>Assessor Parcel Maps<br>Annexation Maps<br>Drainage<br>Flood Elevation Certificates<br>Functional Classification Maps<br>Improvement Plans, Drawings<br>Lot Line Adjustment Maps<br>Lot Numbers<br>Master Maps ( <i>CIP, historic, drainage</i> )<br>Mylars<br>Parcel Mergers<br>Parcel Maps<br>Record of Survey<br>Rights of Way<br>Signal Plans<br>Signing and Striping Plans<br>Sphere of Influence<br>Street Address Files<br>Streetlights<br>Tract Maps<br>Traffic Signal Plans, Interconnect Plans<br>Water and Wastewater Systems | Community Development<br>Innovation Technology<br>Public Works | Permanent         | CA - CCP 337.15 - (LA10Y)<br>CA - GOV 34090(a) - (PR)<br>CA - HSC 19850 - (LI)<br>US - 44 CFR 60.3 - (MAINT)                                                                                                                                                                                                               |                    |
| 011        | Building, Development, Planning & Engineering | <b>Traffic and Transportation Planning</b><br><br>Records and information of traffic engineering and transportation programs and planning activities, including:<br><br>- Safe route to school program<br>- Education and outreach to schools and parents<br>- Efforts to improve traffic and circulation                                                                                                                                                                                                                              | ADA Compliance ( <i>ramps, sidewalks</i> )<br>Bicycle Plans<br>Investigations<br>Recommendations<br>Signs<br>Signals<br>Street/Highway Studies/Surveys ( <i>speed studies</i> )<br>Surveys and Studies( <i>engineering, feasibility, speed, traffic</i> )<br>Temporary Street Closures<br>Traffic Counts/Surveys/Studies<br>Traffic Plans ( <i>management, master</i> )                                                                                                                                                                                                                                                                                                    | Public Works                                                   | 20Y               | CA - GOV 945.6(a)(2) - (LA6M; LA2Y)<br>CA - GOV 34090 - (2Y)                                                                                                                                                                                                                                                               |                    |
| 012        | Building, Development, Planning & Engineering | <b>Water, Solid Waste, and Storm Water</b><br><br>Records and information associated with compliance and maintenance for stormwater conveyance system and solid waste. Includes:<br><br>- Compliance with San Francisco Regional Water Quality Control Board (76 agencies)<br>- Compliance with Santa Clara Valley Urban Runoff Pollution Prevention Program (14 agencies)<br>- Inspection program records (construction sites, landscape treatment, etc.)<br>- Resource recovery program (garbage, composting, recycling, CalRecycle) | Audits and Audit Reports<br>Drinking Water Violations ( <i>per lease agreement</i> )<br>Environmental Conservation, Programs<br>Monitoring and Testing ( <i>stormwater, water quality, runoff</i> )<br>NPDES Permits<br>Pollution Control Permits<br>Recycling ( <i>campaigns, e-waste, events, reports, CalRecycle Annual Report</i> )<br>Storm Water Management Plan and Pollution Reports<br>Trash Management Plan<br>Water Quality Management Plan ( <i>WQMP</i> )<br>Cupertino's Municipal Annual Lease Report<br>IND-IDDE Proactive & Reactive Stormwater Inspections & Citations                                                                                    | Environmental Programs<br>Public Works                         | While Active+5Y   | CA - CCP 338 - (LA3Y)<br>CA - CCP 338.1 - (LA5Y)<br>CA - GOV 945.6(a)(2) - (LA6M; LA2Y)<br>CA - GOV 34090 - (2Y)<br>CA - HSC 25244.19 - (4Y)<br>CA - HSC 25244.20 - (4Y)<br>US - 40 CFR 70.6 - (CL+5Y)<br>US - 40 CFR 122.21 - (3Y)<br>US - 40 CFR 122.41 - (3Y)<br>US - 40 CFR 122.44 - (3Y)<br>US - 40 CFR 261.32 - (3Y) |                    |
| 013        | Elections                                     | <b>Election Records - Administrative Files</b><br><br>Documentation of the administration of City elections.                                                                                                                                                                                                                                                                                                                                                                                                                           | Correspondence<br>Research Notes                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | City Clerk                                                     | 4Y                | CA - GOV 34090 - (2Y)<br>CA - GOV 81009(f)(g) - (4Y; 2Y)                                                                                                                                                                                                                                                                   |                    |
| 014        | Elections                                     | <b>Election Records - Assessment Districts - For Future Use</b><br><br>Documentation of elections pertaining to assessment districts.                                                                                                                                                                                                                                                                                                                                                                                                  | Ballots<br>Tally Sheets                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | City Clerk                                                     | 8M                | CA - ELEC 17200 - (8M)<br>CA - ELEC 17302 - (6M)<br>CA - ELEC 17304 - (6M)<br>CA - ELEC 17306 - (6M)<br>CA - ELEC 17503 - (6M)                                                                                                                                                                                             |                    |
| 015        | Elections                                     | <b>Election Records - Candidates Nominated, Elected and Not Elected</b><br><br>Records and information related to the filing of nominations, candidate and election documentation for City offices.                                                                                                                                                                                                                                                                                                                                    | Candidate Statements<br>Nomination Papers<br>Registrar of Voters Required Documents<br>Supplemental Nomination Papers                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | City Clerk                                                     | Term of Office+4Y | CA - ELEC 17100(a) - (T+4Y)                                                                                                                                                                                                                                                                                                |                    |
| 016        | Elections                                     | <b>Election Records - Committees</b><br><br>Records and information related to the filing of FPPC forms for Political Action Committees and General Purpose Committees.                                                                                                                                                                                                                                                                                                                                                                | FPPC Series 400, 500, 600 Forms                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | City Clerk                                                     | Permanent         | CA - GOV 81009(c) - (7Y)                                                                                                                                                                                                                                                                                                   |                    |

| Record No. | Business Process | Record Name and Description                                                                                                                                                                                                                                        | Example Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | Department/Office of Record | Retention       | Regulatory Citations                                                                                                                                                                                                                    | Notes and Comments |
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| 017        | Elections        | <b>Election Records - Initiative, Recall, or Referendum Administration</b><br><br>Records related to the submission and processing of initiative, referendum, recall, or ballot measures, excluding petitions.                                                     | City Attorney Opinions<br>Ballot Measure (Arguments For / Against, Full Text, Rebuttals, Impartial Opinion)<br>Election Results<br>Petition Administration<br>City Council Seats                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | City Clerk                  | 4Y              | CA - GOV 81009(f)(g) - (4Y; 2Y)                                                                                                                                                                                                         |                    |
| 018        | Elections        | <b>Election Records - Initiative, Recall, or Referendum Petitions</b><br><br>Petitions for initiative, referendum, recall, or ballot measures, whether successful or not.                                                                                          | Petitions                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | City Clerk                  | 8M              | CA - ELEC 17200 - (8 Months)<br>CA - ELEC 17400 - (8 Months)                                                                                                                                                                            |                    |
| 019        | Elections        | <b>Election Records - Proposition 218 Protest Procedure</b><br><br>Records related to administration of notifications and protests associated with taxes, assessments, and fees subject to Prop 218.                                                               | Ballots<br>Notices<br>Protest Letters<br>Public Hearing Material                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | Citywide                    | Permanent       | California Constitution Art. XIII                                                                                                                                                                                                       |                    |
| 020        | Elections        | <b>FPPC Forms - Mandated Reporting</b><br><br>Forms mandated by state law related to receipt and redistribution of gifts and honoraria, ceremonial roles, and holding of multiple positions for certain employees, elected or appointed officials, or consultants. | FPPC Series 800 Forms                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | City Clerk                  | 7Y              | CA - GOV 34090 - (2Y)<br>CA - GOV 81009(e) - (7Y)                                                                                                                                                                                       |                    |
| 021        | Elections        | <b>FPPC Forms - Statements of Economic Interest</b><br><br>Statements of economic interest mandated by state law for certain employees, elected or appointed officials, or consultants.                                                                            | Form 700                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | City Clerk                  | Term*+7Y        | CA - GOV 34090 - (2Y)<br>CA - GOV 81009 - (4Y, 7Y)<br><br>*Term = Term of Office, Term of Service or Termination of Employment                                                                                                          |                    |
| 022        | Financial        | <b>Accounts Payable and Receivable</b><br><br>Records and information related to the accounting of monies paid or received by the City including payment for financial obligation and Citywide revenue receipts.                                                   | Aging Reports<br>Bankruptcy Proofs of Claim<br>Cash Records ( <i>cash disbursement, cash register receipts, cash receipts</i> )<br>Collections<br>Construction Performance Bond Reimbursements<br>Credit Memos<br>Expense Reports, Reimbursements for Employees and Officials<br>Fees and Taxes<br>FEMA Reimbursements<br>Fines, Forfeitures and Penalties<br>Form 1099 Records and Form W-9 Records<br>Invoices and Vouchers<br>Payables<br>Purchasing Card Expense Reconciliation/Allocations<br>Receivables<br>Reconciliations<br>Refunds<br>Sales and Use Taxes Paid<br>Tax Revenue ( <i>property taxes, transient occupancy taxes, utility user taxes</i> )<br>Utility Fees Billed by City ( <i>water, waste water, calculations</i> )<br>Utility Bills Paid by City | Finance                     | 6Y              | CA - CCP 337 - (LA4Y)<br>CA - CCP 338 - (LA3Y)<br>CA - GOV 945.6(a)(2) - (LA6M; LA2Y)<br>CA - GOV 8546.7 - (CL+3Y)<br>CA - GOV 34090 - (2Y)<br>US - 26 CFR 31.6001 - (CU+4Y)<br>US - 26 USC 6531 - (LA6Y)<br>US - 48 CFR 4.705-1 - (4Y) |                    |
| 023        | Financial        | <b>Bank Account Information</b><br><br>Records and information related to banking authorities, activities, transactions and correspondence. This category includes reconciliations.                                                                                | Bank Account Administration<br>Bank Statements<br>Checks, ( <i>canceled, copies</i> )<br>Check Registers, Journals<br>Corrections / Returns / Adjustments<br>Deposit Slips/Receipts<br>Electronic Banking Transactions<br>Purchasing Card Statements<br>Reconciliations<br>Signature Cards<br>Transfers/Wires<br>Treasurer Receipts                                                                                                                                                                                                                                                                                                                                                                                                                                       | Finance                     | 4Y              | CA - GOV 945.6(a)(2) - (LA6M; LA2Y)<br>CA - GOV 34090 - (2Y)<br>US - 48 CFR 4.705-1 - (4Y)                                                                                                                                              |                    |
| 024        | Financial        | <b>Budget Planning</b><br><br>Records and information regarding the development and tracking of City budgets.                                                                                                                                                      | Budget Development Documents<br>Trial Balance/Balance Sheets (Finals)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | Finance                     | 4Y              | CA - GOV 34090 - (2Y)                                                                                                                                                                                                                   |                    |
| 025        | Financial        | <b>Business Licenses</b><br><br>Records and information documenting the issuance of City business licenses.                                                                                                                                                        | Annual Licenses<br>Applications<br>Business Licenses ( <i>applications, fees, financial history, reports</i> )<br>Home Business Licenses<br>Short-term Rentals                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | Finance                     | While Active+4Y | CA - CCP 337 - (LA4Y)<br>CA - GOV 945.6(a)(2) - (LA6M; LA2Y)<br>CA - GOV 34090 - (2Y)                                                                                                                                                   |                    |

| Record No. | Business Process | Record Name and Description                                                                                                                                                                                                                      | Example Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | Department/Office of Record      | Retention     | Regulatory Citations                                                                                                                                                                                                                                                                     | Notes and Comments |
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| 026        | Financial        | <b>Debt, Investments</b><br><br>Records and information relating to City financing and debt activities.                                                                                                                                          | Annual Reports<br>Arbitrage Reports<br>Bond Insurance Transcripts<br>Bonds ( <i>CFD, continuing disclosures, bond rating reports, official statements</i> )<br>Certificates of Deposit ( <i>CDs</i> )<br>Fiduciary Debt and Investments<br>Financial Investment Planning<br>General Obligation Bonds<br>Investment Reporting and Portfolio Management<br>Local Agency Investment Fund ( <i>LAIF</i> )<br>Payment History/Schedules<br>Quarterly Investment Report<br>Recognized Obligation Payment Schedules ( <i>ROPS</i> )<br>Reporting ( <i>continuing disclosure, Mello-Roos, state reports</i> )<br>Security Instruments<br>Third Party Trustee Account Statements | Community Development<br>Finance | Maturity*+10Y | CA - CCP 336 - (LA5Y)<br>CA - CCP 337 - (LA4Y)<br>CA - CCP 337.5 - (LA10Y)<br>CA - CCP 338 - (LA3Y)<br>CA - GOV 945.6(a)(2) - (LA6M; LA2Y)<br>CA - GOV 8546.7 - (CL+3Y)<br>CA - GOV 34090 - (2Y)<br>US - 26 CFR 301.6501 - (CU+3Y)<br><br>*Maturity includes cancellation and redemption |                    |
| 027        | Financial        | <b>Financial Reporting - Annual, Periodic</b><br><br>Annual and periodic financial reports, whether required by regulations or generated to track financial transactions and achievements by the City.                                           | CAFR Workpapers<br>Payroll Reports ( <i>HRA, RMT, ICMA 457 accounts, Nationwide, deferred compensation</i> )<br>Revenue/Expenditures Reports<br>Treasurer's Report<br>Workers Compensation Reports                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | Finance                          | 6Y            | CA - GOV 945.6(a)(2) - (LA6M; LA2Y)<br>CA - GOV 34090 - (2Y)<br>US - 26 CFR 1.1461-2 - (CU+1Y)<br>US - 26 USC 6531 - (LA6Y)                                                                                                                                                              |                    |
| 028        | Financial        | <b>Financial Reporting - Official</b><br><br>Official financial reports of the City.                                                                                                                                                             | Annual Budget<br>Annual Report of Financial Transactions To State<br>Annual State Controller Filings<br>Audited Financial Statements<br>CAFR ( <i>final</i> )<br>Local Government Compensation Report<br>PERS Reports<br>State Controller's Report                                                                                                                                                                                                                                                                                                                                                                                                                      | Finance                          | Permanent     | CA - GOV 945.6(a)(2) - (LA6M; LA2Y)<br>CA - GOV 34090 - (2Y)<br>US - 26 CFR 1.1461-2 - (CU+1Y)<br>US - 26 USC 6531 - (LA6Y)                                                                                                                                                              |                    |
| 029        | Financial        | <b>Financial, Strategic Planning</b><br><br>Records and information relating to financial planning and forecasting future costs.                                                                                                                 | Business Plans<br>Financial Plans<br>Forecasts<br>Rate/Fee Schedules ( <i>development, utilities, licenses, permits</i> )<br>Strategic Plans ( <i>technology, CIP</i> )                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | Citywide                         | 2Y            | CA - GOV 34090 - (2Y)                                                                                                                                                                                                                                                                    |                    |
| 030        | Financial        | <b>Fixed Assets</b><br><br>Records and information related to the ownership, transfer, acquisition, disposition, capital leased, or improvement of fixed assets owned by or used by the City.                                                    | Acquisitions<br>Amortization<br>Asset Retirement Records<br>Dispositions<br>Capital Asset Records<br>Capital Improvements<br>Depreciation Schedules<br>Equipment Rental/Usage Reports<br>Fixed Asset Reports<br>Fixed Asset Ledger<br>Fixed/Capital Asset Accounting<br>Possessory Interest<br>Sales<br>Valuation Information                                                                                                                                                                                                                                                                                                                                           | Finance                          | Life*+10Y     | CA - CCP 337.15 - (LA10Y)<br>CA - GOV 34090 - (2Y)<br>US - 26 CFR 1.1461-2 - (CU+1Y)<br>US - 26 USC 6531 - (LA6Y)<br><br>* Life of Asset                                                                                                                                                 |                    |
| 031        | Financial        | <b>General Ledger, Journal Entries, Budget Adjustments</b><br><br>Records and information related to the transfer of charges between accounts and summaries of account information, including year end summaries of general ledger transactions. | Account Ledgers<br>Balance Sheets<br>Budget Adjustments<br>Cash Journal Entries<br>Chart of Accounts<br>Downloads / Data Exports<br>Expenditure Reports<br>General Ledger<br>Journal Entries and Backup Documentation<br>Revenue and Expense Reports<br>Sub-Ledgers<br>Summary Reports<br>Trial Balance<br>Year -End / Account Detail History Report                                                                                                                                                                                                                                                                                                                    | Finance                          | 6Y            | CA - GOV 34090 - (2Y)<br>US - 26 CFR 1.1461-2 - (CU+1Y)<br>US - 26 CFR 31.6001 - (CU+4Y)<br>US - 26 USC 6531 - (LA6Y)                                                                                                                                                                    |                    |

| Record No. | Business Process         | Record Name and Description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | Example Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | Department/Office of Record                                    | Retention | Regulatory Citations                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | Notes and Comments |
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| 032        | Financial                | <b>Grants and External Funding Sources</b><br><br>Documents the application, evaluation, awarding, administration, monitoring, reporting, and status of grants and other funding sources in which the City is the recipient or administrator. Includes:<br><br>- Community Development Block Grant (CDBG) (State Funded Program)<br>- Combined Federal, State, Local Grants<br>- Federal Grants<br>- Local Grants<br>- State Grants<br>- Transportation Agencies Grant Funding (VTA, MTC, ABAG, BAAQMD)                                                                                                                         | Applications ( <i>including project proposals</i> )<br>Audits<br>Award Notification<br>Funding Requests ( <i>State Funded</i> )<br>Grant Administration<br>Grant Funding<br>Grant Evaluations<br>Payroll ( <i>certified, Davis Bacon</i> )<br>Program Rules, Regulations, Procedures<br>Reports to Funding Agencies<br>Semi-annual Labor Reports                                                                                                                                                        | Citywide                                                       | Permanent | CA - GOV 34090 - (2Y)<br>CA - Office of Emergency Services 2019 Subrecipient Handbook §11210 - (AC+7Y)<br>US - 2 CFR 200.333 - (CL+3Y)<br>US - 24 CFR 570.502(a)(7)(i)(A) - (LA4Y)<br><br>Unsuccessful applications are retained for 2 years.<br><br>NOTE: If a grant requires longer retention, its specific requirements will take precedence.                                                                                                                                                       |                    |
| 033        | Financial                | <b>Payroll</b><br><br>Records and information related to the accounting of payroll earnings, deductions, and issuance. This also includes records and information reflecting all earnings and benefits paid to each employee, including:<br><br>- Name, address, SSN<br>- Total amount and date of payments<br>- Period of service covered for each<br>- Withholding<br>- Tax collected                                                                                                                                                                                                                                         | Deduction Authorizations, Registers, Reports<br>Deferred Compensation<br>Educational Reimbursements<br>Employee Master File<br>Federal and State Tax<br>Payroll Checks, Copies, Stub Reports<br>Payroll Certifications, Controls, Earnings<br>Payroll Taxes<br>PERS Reporting ( <i>earnings and benefits for a pay period</i> )<br>Timekeeping Records ( <i>timecards, out of class forms/reports, extra help requests</i> )<br>W-2, W-4                                                                | Finance                                                        | 7Y        | CA - 2 CCR 570.5 - (5Y)<br>CA - 2 CCR 571(b)(1)(E) - (5Y)<br>CA - 22 CCR 1085-2(c) - (CU+4Y)<br>CA - GOV 12946 - (2Y; T+2Y)<br>CA - LAB 226a - (3Y)<br>CA - LAB 1174 - (3Y)<br>CA - LAB 1197.5 - (LA2Y, LA3Y)<br>CA - UIC 1132 - (LA3Y)<br>Cupertino Municipal Code 3.37.060 - (4Y)<br>US - 26 CFR 31.6001 - (CU+4Y)<br>US - 26 USC 6531 - (LA6Y)<br>US - 29 CFR 516.5 - (3Y)<br>US - 29 CFR 516.6 - (2Y)<br>US - 29 CFR 1620.32 - (2Y)<br>US - 29 CFR 1627.3 - (3Y)<br>US - 48 CFR 4.705-2 - (4Y; 2Y) |                    |
| 034        | Financial                | <b>Real Property Transactions</b><br><br>Records and information related to the ownership, acquisition, disposition, transfer of, lease of, or improvement of real property, infrastructure and facilities including grant deeds, owned by or used by the City.                                                                                                                                                                                                                                                                                                                                                                 | Acquisitions<br>Attachments<br>Buildings<br>Community Development Block Grant ( <i>CDBG</i> ) Property Acquisitions<br>Deeds of Trust<br>Development Agreements<br>Dispositions<br>Grant Deeds<br>Housing Authority Owned Properties<br>Land<br>Loans<br>Mortgages<br>Notice of Pendency of Actions<br>Possessory Interest<br>Promissory Notes<br>Property Transaction ( <i>DDA, DA, etc.</i> )<br>Right of Way<br>Sales<br>Subdivision Improvement Agreements ( <i>SIAs</i> )<br>Valuation Information | City Clerk<br>Community Development<br>Finance<br>Public Works | Permanent | CA - CCP 315 - (LA10Y)<br>CA - CCP 337 - (LA4Y)<br>CA - CCP 337.1 - (LA4Y)<br>CA - CCP 337.15 - (LA10Y)<br>CA - GOV 945.6(a)(2) - (LA6M; LA2Y)<br>CA - GOV 8546.7 - (CL+3Y)<br>CA - GOV 34090(a) - (PR)                                                                                                                                                                                                                                                                                                |                    |
| 035        | Financial                | <b>Unclaimed Funds</b><br><br>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<br>Unclaimed Funds                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | Finance                                                        | 10Y       | CA - CCP 1513 - (3Y)<br>CA - GOV 34090 - (2Y)<br>US - Uniform Unclaimed Property Act (2016), Section 404 - (10Y)                                                                                                                                                                                                                                                                                                                                                                                       |                    |
| 036        | General & Administrative | <b>Agreements, Contracts and Leases - Construction, Development, Improvements to Infrastructure, Real Property and Facilities</b><br><br>Executed agreements and contracts for construction and/or improvements to the City's infrastructure, real property and facilities. Examples include:<br><br>- Affordable Housing Agreements<br>- Below Market Rate Housing Agreements<br>- Housing & Human Services Grant Contracts<br>- Lease Acquisitions Leasehold/Tenant Improvements<br>- Notice of Restriction<br>- Property Improvement Contracts<br>- Regulatory Agreements<br>- Water Agreements<br>- Water Supply Agreements | Addendums and Amendments<br>Agreements/Contracts<br>Attachments / Exhibits<br>Bonds (copies)<br>Certificates of Completion (COCs)<br>Insurance Documentation<br>Change Orders, Side Letters, Task Orders<br>Disclosures<br>Letters of Intent<br>Memoranda of Understanding (MOUs)<br>Notices of Completion (NOCs)<br>Plans and Specifications<br>Statements of Work (SOWs)<br>Warranties                                                                                                                | City Clerk<br>Community Development                            | Permanent | CA - CCP 315 - (LA10Y)<br>CA - CCP 337.1 - (LA4Y)<br>CA - CCP 337.15 - (LA10Y)<br>CA - CCP 343 - (LA4Y)<br>CA - GOV 945.6(a)(2) - (LA6M; LA2Y)<br>CA - GOV 8546.7 - (CL+3Y)<br>CA - GOV 34090(a) - (PR)<br>US - 29 CFR 516.5 - (3Y)<br>US - 40 CFR 122.21(p) - (3Y)<br>US - 40 CFR 122.41(j) - (3Y)                                                                                                                                                                                                    |                    |

| Record No. | Business Process         | Record Name and Description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | Example Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | Department/Office of Record             | Retention | Regulatory Citations                                                                                                                                                                                                        | Notes and Comments |
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| 037        | General & Administrative | <b>Agreements, Contracts and Leases - Goods and Services and Other Non-Infrastructure</b><br><br>Executed agreements and contracts for goods and services (which includes all types of contracts and agreements, including franchise, purchase orders, or non-real property leases) and associated ancillary documents, between the City and other parties.                                                                                                                                                                                                                                                                                                                                                                                                                                        | Addendums and Amendments<br>Attachments / Exhibits<br>Bonds<br>Certificates of Insurance<br>Contract Releases ( <i>resale, refinance, option to purchase, restriction, assignment of option</i> )<br>Disclosures<br>Letters of Intent<br>License Agreements, Licenses<br>Licensing, Licenses (general)<br>Maintenance Agreements<br>Memoranda of Agreement (MOAs)<br>Memoranda of Understanding (MOUs) - other than labor MOUs<br>Standard Consultant Agreement<br>Services Agreement<br>Services Agreement for Design Professionals<br>Rental Agreements<br>Statements of Work (SOWs)<br>Warranties | City Clerk                              | Permanent | CA - CCP 337 - (LA4Y)<br>CA - CCP 337.1 - (LA4Y)<br>CA - CCP 343 - (LA4Y)<br>CA - GOV 8546.7 - (CL+3Y)<br>CA - GOV 34090 - (2Y)<br>US - 29 CFR 516.5 - (3Y)<br>US - 40 CFR 122.21(p) - (3Y)<br>US - 40 CFR 122.41(j) - (3Y) |                    |
| 038        | General & Administrative | <b>Asset Management, Maintenance - Furniture, Fixtures, and Other Equipment</b><br><br>Records related to the installation, management, and maintenance of City fixed and movable assets, including real property and infrastructure, such as:<br><br>- Backflow devices<br>- Bridges<br>- Cameras<br>- City-owned buildings and structures, computing devices, and infrastructure over \$5,000<br>- City-owned trees<br>- Elevators<br>- Equipment and vehicles<br>- Fiber optics<br>- Landscape irrigation<br>- Parks, sports fields, paths/trails, and pools<br>- Playgrounds<br>- Sidewalks and curbs<br>- Solar panels<br>- Stormwater system<br>- Streetlights<br>- Streets (roadways, medians, street signs, street sign supports, striping, legends, calming devices)<br>- Traffic Signals | Actions Taken<br>Air Quality Permits and Inspections<br>Backflow Inspections<br>Certifications and Inspections<br>Complaints and Trouble Reports<br>Daily Work Reports<br>Custodial Services<br>Equipment Certifications and Inspections<br>Issues Log<br>Inventories<br>Maintenance, Repair, & Replace Work Orders, Inspections & Service Requests<br>Maintenance Reports<br>Tree Removals<br>Utilities Meter Records ( <i>including deposits</i> )                                                                                                                                                 | Innovation & Technology<br>Public Works | Life*+10Y | CA - CCP 337 - (LA4Y)<br>CA - CCP 337.15 - (LA10Y)<br>CA - GOV 945.6(a)(2) - (LA6M; LA2Y)<br>CA - GOV 8546.7 - (CL+3Y)<br>CA - GOV 34090 - (2Y)                                                                             | * Life of Asset    |
| 039        | General & Administrative | <b>Audits - Internal, External and Administration</b><br><br>Records and information related to internal, external and regulatory audits and administration of associated auditing activities, including reviewing and documenting operational, compliance, or financial information created as a part of an audit.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | Annual Audit Reports<br>Audit Files, Plans<br>Audit Schedules<br>Audit Workpapers<br>Auditors Reports<br>Biennial Reviews<br>Flood Insurance Rate Credit Audits<br>General Purpose Financial Audits, Single Audits<br>Grand Jury Reports<br>Management Responses<br>Petty Cash Audits<br>Responses<br>Results<br>Workpapers                                                                                                                                                                                                                                                                          | Citywide                                | 6Y        | CA - GOV 945.6(a)(2) - (LA6M; LA2Y)<br>CA - GOV 8546.7 - (CL+3Y)<br>CA - GOV 34090 - (2Y)<br>US - 26 USC 6531 - (LA6Y)                                                                                                      |                    |
| 040        | General & Administrative | <b>City Website</b><br><br>Content of the City's website and web pages.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | Website Content<br>Web Pages                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | Citywide                                | 2Y        | CA - GOV 945.6(a)(2) - (LA6M; LA2Y)<br>CA - GOV 34090 - (2Y)                                                                                                                                                                |                    |

| Record No. | Business Process         | Record Name and Description                                                                                                                                                                                                                                                                                                                                                                                                                                           | Example Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | Department/Office of Record           | Retention       | Regulatory Citations                                                                                                                                                                                       | Notes and Comments |
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| 041        | General & Administrative | <b>Communication, Outreach, Media and Public Relations</b><br><br>Records and information regarding internal and external-facing communications, advertising and press relations materials, and community programs including operation of the local Government access cable television station, the City's radio station, and documentation of outreach activities/events held in cooperation or for the benefit of City staff and for the local community.           | Block Leader Records<br>Brochures, Flyers<br>Cable Television Station Operating Records<br>Community Surveys<br>Events ( <i>sign-in sheets</i> )<br>FCC License<br>Health Fairs<br>Housing Workshop<br>Mailers<br>Neighborhood Watch Records<br>Press Releases<br>Public Information / Outreach / Education<br>Publications Produced by the City ( <i>City Manager items of interest, news/letter</i> )<br>Social Media Posts<br>Speeches<br>Videos for Public Events<br>Waivers of Liability<br>Website Documentation                                                                                                                                                                                                                     | Citywide                              | 4Y              | CA - CCP 337 - (LA4Y)<br>CA - GOV 8546.7 - (CL+3Y)<br>CA - GOV 34090 - (2Y)                                                                                                                                |                    |
| 042        | General & Administrative | <b>Economic Development Programs</b><br><br>Records and information documenting the City's economic development programs, including:<br><br>- Business improvement districts (property based - PBID, tourism based - TBID)<br>- Parklet program<br>- Façade program                                                                                                                                                                                                   | Applications<br>Brochures<br>Correspondence<br>Economic Development Strategy<br>Impact Fee Schedule<br>Market Studies<br>Pilot Programs<br>Website                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | City Manager<br>Community Development | While Active+4Y | CA - CCP 337 - (LA4)<br>CA - GOV 945.6(a)(2) - (LA6M; LA2Y)<br>CA - GOV 8546.7 - (CL+3Y)<br>CA - GOV 34090 - (2Y)<br>US - 2 CFR 200.333 - (CL+3Y)                                                          |                    |
| 043        | General & Administrative | <b>Emergency Management</b><br><br>All documentation for dealing with preparation for and responses to emergencies, disasters and/or system failures for City facilities. Includes the Emergency Response Programs, the Citizen Corps Program, and the Emergency Operations Center.                                                                                                                                                                                   | Annexes ( <i>internal operational instructions on how to respond to emergency situations</i> )<br>Business Continuity Plans<br>Disaster Council<br>Disaster Recovery Plan<br>Drill Records<br>Emergency Alerts<br>Emergency Contact Lists, Employee Lists, Roster of Workers<br>Emergency Evacuation Procedures<br>Emergency Preparedness Team<br>Evacuation Plans<br>Hazard Mitigation Plan                                                                                                                                                                                                                                                                                                                                               | City Manager                          | While Active+2Y | CA - GOV 945.6(a)(2) - (LA6M; LA2Y)<br>CA - GOV 34090 - (2Y)                                                                                                                                               |                    |
| 044        | General & Administrative | <b>Fuel Expense Management</b><br><br>Records related to the purchase, tracking and management of expenses for fuel for City vehicles.                                                                                                                                                                                                                                                                                                                                | Fuel Card Authorizations<br>Fuel Reports, Billing Reports, Journals                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | Finance                               | 2Y              | CA - GOV 945.6(a)(2) - (LA6M; LA2Y)<br>CA - GOV 34090 - (2Y)                                                                                                                                               |                    |
| 045        | General & Administrative | <b>Fuel Tank Management</b><br><br>Records related to the management of City fuel storage tanks.                                                                                                                                                                                                                                                                                                                                                                      | California Air Resources Board Certificate<br>Fuel Storage Tanks ( <i>above ground, underground</i> )                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | Public Works                          | Life*+10Y       | CA - 23 CCR 2712 - (Life of tank)<br>CA - CCP 338.1 - (LA5Y)<br>CA - GOV 945.6(a)(2) - (LA6M; LA2Y)<br>CA - GOV 34090 - (2Y)<br>CA - HSC 25285 - (5Y)<br>CA - HSC 25292 - (1Y)<br>CA - HSC 25293 - (MAINT) | * Life of Tank     |
| 046        | General & Administrative | <b>General Administration</b><br><br>General internal administrative records of City departments, including:<br>- Documentation of department activities<br>- Routine reports generated by the City<br>- Information captured on a log or a list<br>- Routine correspondence, memos, notes and emails that do not pertain to another category (including responses to public records requests)<br>- Department projects, including unsuccessful project documentation | Budget Workpapers<br>City Generated Routine Studies / Reports ( <i>e.g., rate studies, vacant land inventory studies</i> )<br>Confidential Invoice Backup ( <i>outside counsel billing</i> )<br>Department Administrative Documents ( <i>calendars, committees, goals, objectives, meeting agendas, meeting minutes, meeting tapes/recording, plans</i> )<br>Employee Communication Letters ( <i>announcements, new programs, notices</i> )<br>In-House Committees / Employee Committees<br>Logs ( <i>bid openings, booking number, case number, daily DR#, subpoenas received</i> )<br>Office Files, Office Manager Files<br>Organization Charts<br>Research on Pending Legislation<br>Supplies Management<br>Zoning Confirmation Letters | Citywide                              | While Active+2Y | CA - GOV 34090 - (2Y)                                                                                                                                                                                      |                    |

| Record No. | Business Process         | Record Name and Description                                                                                                                                                                                                                                                                                                                                                                                                                                     | Example Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | Department/Office of Record                           | Retention       | Regulatory Citations                                                                           | Notes and Comments |
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| 047        | General & Administrative | <b>Historical Documents, Events, Memorabilia, Collections, Artifacts</b><br><br>Records and information documenting the history and significant milestones of the City such as when a significant decision was made, a momentous weather event, or noteworthy event (e.g., Steve Jobs presenting to City Council), the 1st of an event such as Sister City initial formation or recognition, but not an annual recording of the event or activities thereafter. | Biographies of City Officials<br>Census Information<br>City Council Meeting Video Recordings<br>City Generated Historical Studies / Reports<br>City Incorporation<br>City Manager, City Official Communications, Speeches, Videos (historic, significant, State of the City)<br>City Publications ( <i>historic, significant, examples: Scene, Parks and Recreation Catalog</i> )<br>City Seal<br>Council District Maps<br>Demographics<br>Elections ( <i>historic, significant</i> )<br>Grand Jury Documentation<br>History Cards ( <i>historical personnel rosters</i> )<br>Historical Facilities<br>News, Press Releases ( <i>historic, significant</i> )<br>Photo Collections and Publicity Photographs<br>Planning Commission Meeting Video Recordings<br>Proclamations/Ceremonial Documents<br>Registered Logos<br>Parks and Recreation Commission Video Recordings | City Clerk<br>City Manager<br>Communications<br>Video | Permanent       | CA - GOV 34090 - (2Y)                                                                          |                    |
| 048        | General & Administrative | <b>Incident Reports</b><br><br>Records and information associated with department responses to fires and emergency incidents, including medical emergencies.<br><br>NOTE: This category does not pertain to incident reports that become part of a Police case file.                                                                                                                                                                                            | Emergency Services<br>False Alarm Reports<br>Hazardous Waste Spills<br>Incident Reports<br>Investigation Reports<br>Mandated Reporting: Child Abuse, Elder Abuse<br>Potholes<br>Sewer Overflow<br>Suspicious Activity Reports (SARs)<br>Tree Down                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | Citywide                                              | 2Y              | CA - GOV 945.6(a)(2) - (LA6M; LA2Y)<br>CA - GOV 34090 - (2Y)                                   |                    |
| 049        | General & Administrative | <b>Operational Maps</b><br><br>Informal maps and geographical information pertaining to City operations and constituent services.                                                                                                                                                                                                                                                                                                                               | Community Outreach<br>Fiber Optic<br>Road Closures<br>Street Sweeping Schedule<br>Tree Maintenance Zones<br>Trash Pick-up<br>Zoning/General Plan                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | Innovation Technology                                 | While Active+2Y | CA - GOV 34090 - (2Y)                                                                          |                    |
| 050        | General & Administrative | <b>Permits Issued</b><br><br>Documentation of permits issued by the City, other than building and planning permits.                                                                                                                                                                                                                                                                                                                                             | Applications<br>Field Use Permits<br>Fire<br>Handbill Permits<br>Hydrant Permits<br>Massage Therapist Permits ( <i>and annual health certificates</i> )<br>Parade Permits<br>Solicitor Permits<br>Street Permits<br>Taxi Permits<br>Temporary Open Air Activities Permits<br>Temporary Parking Permits<br>Tent Permits<br>Transportation Permits ( <i>oversize, overweight, wide load</i> )                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | Citywide                                              | While Active+4Y | CA - CCP 337 - (LA4Y)<br>CA - GOV 34090 - (2Y)<br>Cupertino Municipal Code 11.24.220 - (MAINT) |                    |
| 051        | General & Administrative | <b>Policies and Procedures</b><br><br>All administrative documentation of City policies and procedures.                                                                                                                                                                                                                                                                                                                                                         | Administrative Policies and Procedures<br>Brand Guidelines<br>City Council Policies and Procedures<br>Department Policies and Procedures<br>Directives<br>Facility Rental Policy and Procedures<br>General Orders<br>Guidelines<br>Handbooks<br>Policies<br>Procedure Manuals<br>Procedures<br>Program / Initiative Plans<br>SOPs<br>Standards                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | Citywide                                              | While Active+4Y | CA - CCP 337 - (LA4Y)<br>CA - GOV 945.6(a)(2) - (LA6M; LA2Y)<br>CA - GOV 34090 - (2Y)          |                    |

| Record No. | Business Process         | Record Name and Description                                                                                                                                                                                                                                            | Example Records                                                                                                                                                                                                                                                                                                                                                       | Department/Office of Record                      | Retention       | Regulatory Citations                                                                                                                                                      | Notes and Comments |
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| 052        | General & Administrative | <b>Procurement - Agreements and Contracts <u>Not</u> Awarded</b><br><br>Records and information created or retained in the preparation of purchasing or acquisition of goods and services, but where the purchase order, contract, or agreement was not awarded.       | Bids, Awards ( <i>unaccepted, rejected</i> )<br>Exhibits<br>Price Lists<br>Quotations<br>Requisitions<br>Requests for Information ( <i>RFI</i> )<br>Requests for Proposal ( <i>RFP</i> )<br>Requests for Quote ( <i>RFQ</i> )<br>Scorecards<br>Specifications                                                                                                         | Citywide                                         | 2Y              | CA - GOV 34090 - (2Y)                                                                                                                                                     |                    |
| 053        | General & Administrative | <b>Procurement - Purchasing and Requisitioning</b><br><br>Records and information created or retained in the purchasing or acquisition of goods and services. Documentation that includes the terms and conditions under which vendors will provide goods or services. | Bids, Awards<br>Bonds<br>Change Orders<br>Evaluation Sheets<br>Exhibits<br>Notices of Intent ( <i>to award, to bid</i> )<br>Price Lists<br>Proof of Insurance Certificates<br>Proposals<br>Purchase Orders<br>Quotations<br>Receiving Reports<br>Requisitions<br>Requests for Proposal ( <i>RFP</i> )<br>Requests for Qualifications ( <i>RFQ</i> )<br>Specifications | Citywide                                         | 4Y              | CA - CCP 337 - (LA4Y)<br>CA - GOV 945.6(a)(2) - (LA6M; LA2Y)<br>CA - GOV 8546.7 - (CL+3Y)<br>CA - GOV 34090 - (2Y)<br>US - 29 CFR 516.5 - (3Y)                            |                    |
| 054        | General & Administrative | <b>Public Information Requests</b><br><br>Records requested by the public, required for provision to the public, and related inquiries.                                                                                                                                | Formal Public Records Requests<br>Subpoenas for records and/or testimony (cases in which City is not a party)                                                                                                                                                                                                                                                         | City Attorney<br>City Clerk                      | 2Y              | CA - GOV 34090 - (2Y)                                                                                                                                                     |                    |
| 055        | General & Administrative | <b>Public Notices</b><br><br>Records documenting compliance with laws requiring public notice of government activities. Subjects include assessments, elections, land use changes, public meetings and hearings, sale of property, and other legal notices.            | Affidavits of Mailing<br>Affidavits of Posting<br>Affidavits of Publication/Legal Notices<br>Public Hearing Notices<br>Public Meeting Notices                                                                                                                                                                                                                         | Citywide                                         | Permanent       | CA - GOV 945.6(a)(2) - (LA6M; LA2Y)<br>CA - GOV 34090 - (2Y)                                                                                                              |                    |
| 056        | General & Administrative | <b>Records, Information Management - Active and Inactive Records</b><br><br>Documentation of the management of active and inactive records in compliance with Records and Information Management policy and procedures.                                                | Document Hold Notices, Updates<br>Inactive Records Storage Information ( <i>inventories, indexes, transmittals</i> )<br>Lists of Stored Records<br>Records Transfers ( <i>to storage, to other depts.</i> )                                                                                                                                                           | City Clerk                                       | 10Y             | CA - CCP 315 - (LA10Y)<br>CA - CCP 337 - (LA4Y)<br>CA - CCP 337.15 - (LA10Y)<br>CA - GOV 945.6(a)(2) - (LA6M; LA2Y)<br>CA - GOV 8546.7 - (CL+3Y)<br>CA - GOV 34090 - (2Y) |                    |
| 057        | General & Administrative | <b>Records, Information Management - Records of Destruction</b><br><br>Documentation of records destroyed in accordance with Records and Information Management policy and procedures.                                                                                 | Certificates of Destruction<br>Lists of Destroyed Records                                                                                                                                                                                                                                                                                                             | City Clerk                                       | Permanent       | CA - CCP 315 - (LA10Y)<br>CA - CCP 337 - (LA4Y)<br>CA - CCP 337.15 - (LA10Y)<br>CA - GOV 945.6(a)(2) - (LA6M; LA2Y)<br>CA - GOV 8546.7 - (CL+3Y)<br>CA - GOV 34090 - (2Y) |                    |
| 058        | General & Administrative | <b>Security Closed Circuit Television Recordings</b><br><br>Closed circuit TV video recordings made to monitor the security of City facilities and operations.                                                                                                         | CCTV Security Video                                                                                                                                                                                                                                                                                                                                                   | Innovation Technology<br>Public Works Operations | 1Y              | CA - GOV 34090.6 - (1Y)                                                                                                                                                   |                    |
| 059        | General & Administrative | <b>Security, Access Operations</b><br><br>Records and information regarding physical access controls and protection for City buildings and facilities.                                                                                                                 | Access Controls ( <i>active and inactive</i> )<br>Access Reports<br>Card Key System Records ( <i>active and inactive</i> )<br>Daily Activity Logs<br>Facility Key Lists ( <i>active and inactive</i> )<br>Key Cards<br>Transaction Logs                                                                                                                               | Innovation Technology<br>Public Works Operations | While Active+2Y | CA - GOV 945.6(a)(2) - (LA6M; LA2Y)<br>CA - GOV 34090 - (2Y)                                                                                                              |                    |
| 060        | General & Administrative | <b>Sustainability</b><br><br>Records and information of the City's programs and activities to provide greater environmental accountability and encourage green business practices.                                                                                     | Climate Action Plan (CAP) - linked to General Plan<br>Climate Greenhouse Gas Inventory Report<br>Utility Cost & Consumption Tracking ( <i>energy, water, sewer</i> ) - Baseline year and all intervening years leading up to goal as related to CAP                                                                                                                   | Sustainability                                   | While Active+5Y | CA - GOV 34090 - (2Y)                                                                                                                                                     |                    |

| Record No. | Business Process         | Record Name and Description                                                                                                                                                                                                                                                                                                                                                                                      | Example Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | Department/Office of Record | Retention           | Regulatory Citations                                                                                                                                                                                                                                                                              | Notes and Comments |
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| 061        | General & Administrative | <b>Vendor, Supplier Files</b><br><br>Records and information of suppliers and vendors to all City organizations created or retained in the purchasing or acquisition of goods and services.                                                                                                                                                                                                                      | Contractors - Vendor List<br>Vendor Packets<br>Vendor Applications, Profiles                                                                                                                                                                                                                                                                                                                                                                                                                                           | Citywide                    | 2Y                  | CA - GOV 34090 - (2Y)                                                                                                                                                                                                                                                                             |                    |
| 062        | Human Resources          | <b>Benefit Plans</b><br><br>Plans established to provide employee benefits and associated administrative documents, including:<br><br>- Dental<br>- Vision<br>- Life insurance<br>- Long-term care<br>- Deferred compensation<br>- Section 125 plan (flex spending)<br>- Disability (short/long time)<br>- PARS retirement for unbenefited part time employees<br>- EAP<br>- CalPERS Retirement & CalPERS Health | Broker Correspondence<br>Group Insurance Cost Data<br>CalPERS Actuarial Reports<br>CalPERS Medical Plan<br>CalPERS Retirement Plan<br>Summary Plan Descriptions<br>Wellness Program Records                                                                                                                                                                                                                                                                                                                            | Human Resources             | Life*+6Y            | CA - GOV 945.6(a)(2) - (LA6M; LA2Y)<br>CA - GOV 8546.7 - (CL+3Y)<br>CA - GOV 34090 - (2Y)<br>US - 29 CFR 1602.30 - (3Y)<br>US - 29 USC 1027 - (6Y)<br>US - 29 USC 1059 - (T+1Y)<br>US - 29 USC 1113 - (LA6Y)<br>US - 29 USC 1451 - (LA6Y)<br><br>*Life of Plan or Benefit                         |                    |
| 063        | Human Resources          | <b>Employee Benefit Files</b><br><br>Employee election (selection), enrollment or termination forms and related correspondence, including transmissions to carriers of additions, changes, claims and deletions (may include employee records subject to HIPAA requirements).                                                                                                                                    | Benefits Files, Enrollments, Appeals<br>Beneficiary Designations<br>CalPERS Service-Prior-to-Membership<br>Death Claims, Life Event Documents<br>Disability Claims<br>Employee Cost-Sharing Amounts<br>Employment Status, Changes ( <i>authorizations, terminations, confirmations, status changes, coverage changes</i> )<br>Flexible Spending Enrollment<br>Life Insurance Notification Letters/EOI<br>Pension Plan Applications, Claims<br>Premium Information<br>Required Benefits Reporting<br>Supplemental Forms | Human Resources             | While Active+6Y     | CA - 22 CCR 1085-2 - (CU+4Y)<br>CA - GOV 34090 - (2Y)<br>US - 26 CFR 301.6501 - (CU+3Y)<br>US - 29 CFR 825.500 - (3Y)<br>US - 29 USC 1027 - (6Y)<br>US - 29 USC 1059 - (T+1Y)                                                                                                                     |                    |
| 064        | Human Resources          | <b>Labor Relations</b><br><br>Documentation related to the negotiations between labor unions for collective bargaining purposes.                                                                                                                                                                                                                                                                                 | Confidential Memos<br>Costing<br>Ground Rules<br>Handouts<br>Information Requests<br>Miscellaneous Information<br>Notes<br>Proposals - City<br>Proposals - Union                                                                                                                                                                                                                                                                                                                                                       | Human Resources             | While Active+6Y     | CA - CCP 337 - (LA4Y)<br>CA - GOV 8546.7 - (CL+3Y)<br>CA - GOV 12946 - (2Y)<br>CA - GOV 34090 - (2Y)<br>US - 29 CFR 516.5 - (3Y)                                                                                                                                                                  |                    |
| 065        | Human Resources          | <b>Labor Relations Grievances</b><br><br>Documentation related to labor grievances filed under current collective bargaining agreements.                                                                                                                                                                                                                                                                         | Grievance Files/Commission Hearing<br>Grievance/Hearing Logs<br>Union Grievances                                                                                                                                                                                                                                                                                                                                                                                                                                       | Human Resources             | Final Resolution+6Y | CA - CCP 337 - (LA4Y)<br>CA - GOV 12946 - (2Y)<br>US - 26 CFR 31.6001-1 - (CU+4Y)<br>US - 29 CFR 1602.31 - (FR+2Y)                                                                                                                                                                                |                    |
| 066        | Human Resources          | <b>Occupational Health Records</b><br><br>Documents pertaining to worker health and safety, including drug screening records of City employees, and workers compensation (may include employee records subject to HIPAA requirements).                                                                                                                                                                           | Drug Screening<br>Ergonomic Evaluations<br>Noise Exposure, Audiometric Testing Records<br>Pre-Employment Physicals<br>Safety Committees<br>TB Tests<br>Workers Compensation                                                                                                                                                                                                                                                                                                                                            | Human Resources             | Closed + 6Y         | CA - 8 CCR 10102 - (Injury+5Y or Closed+1Y)<br>CA - 8 CCR 14300.33 - (5Y)<br>CA - GOV 945.6(a)(2) - (LA6M; LA2Y)<br>CA - GOV 34090 - (2Y)<br>CA - LAB 5406 - (LA1Y; LA240W)<br>CA - LAB 5410 - (LA5Y)<br>CA - LAB 6401.7 - (MAINT)<br>CA - 29 CFR 1904.33 - (CU+5Y)<br>US - 29 CFR 1910.95 - (2Y) |                    |

| Record No. | Business Process | Record Name and Description                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | Example Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | Department/Office of Record           | Retention       | Regulatory Citations                                                                                                                                                                                                                                                                                                                                     | Notes and Comments                                                          |
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| 067        | Human Resources  | <b>Personnel Files - Employees</b><br><br>All documents related to paid employees (full and part-time) including but not limited to:<br><br>- selection/hiring<br>- assignments<br>- promotion<br>- demotion<br>- transfer<br>- layoff<br>- termination / resignation<br>- pay rates / other terms of compensation<br>- work authorizations<br>- reclassifications                                                                                                                                   | Applications, Applicant Reference Verifications<br>Awards, Rewards, Commendations, Certificates<br>Department of Justice Reports and Clearances<br>Disciplinary Actions<br>Drivers License Data - Class C<br>Employee Policy Acknowledgements<br>Employment Authorizations (confirmations, status changes, terminations)<br>Exit Records<br>Individual Education, Development, Training Records<br>Job Offer Letters<br>Leave of Absence Documentation, FMLA<br>Medical Restrictions<br>Oaths of Office<br>Performance Evaluations, Reviews or PIPs<br>Personnel Transaction Forms<br>Policy Acknowledgements<br>Recognition | Human Resources                       | Termination+6Y  | CA - 2 CCR 11013 - (FR+2Y)<br>CA - GOV 945.6(a)(2) - (LA6M; LA2Y)<br>CA - GOV 12946 - (2Y; T+2Y)<br>CA - GOV 34090 - (2Y)<br>CA - VEH 1808.1(c) - (1Y)<br>US - 29 CFR 825.500 - (MAINT)<br>US - 29 CFR 1602.14 - (FR+1Y)<br>US - 29 CFR 1602.31 - (T+2Y)<br>US - 29 CFR 1627.3 - (T+1Y)<br>US - 41 CFR 60-1.12(a) - (2Y)<br>US - 41 CFR 60-741.80 - (2Y) |                                                                             |
| 068        | Human Resources  | <b>Risk Management - Insurance Coverage</b><br><br>Records detailing the City's general coverage against property damage and liability, including renewal submission information, insurance quotes, & broker correspondence. (NOTE: Third party proofs-of-insurance associated with facility rentals or City projects are retained with those rental or project files.)                                                                                                                              | Binding Information<br>Binders<br>Broker Correspondence<br>Certificates of Insurance<br>Completed Applications<br>Flood Insurance<br>Insurance Policies<br>Insurance Quotes<br>Insurance Submissions<br>Liability Insurance<br>Pooled Liability Assurance Network Joint Powers Authority (PLAN JPA)<br>Renewal Strategy                                                                                                                                                                                                                                                                                                      | City Attorney<br>Human Resources      | While Active+6Y | CA - 22 CCR 3267-2 - (MAINT)<br>CA - CCP 337 - (LA4Y)<br>CA - GOV 945.6(a)(2) - (LA6M; LA2Y)<br>CA - GOV 8546.7 - (CL+3Y)<br>CA - GOV 34090 - (2Y)                                                                                                                                                                                                       |                                                                             |
| 069        | Human Resources  | <b>Salary, Compensation</b><br><br>Documentation of job classification compensation.                                                                                                                                                                                                                                                                                                                                                                                                                 | Classification Studies<br>Compensation Program, Planning, Analysis<br>Cost of Living Adjustments<br>Job Descriptions<br>Job Evaluation Documentation<br>Salary Range History<br>Salary Schedules<br>Salary Surveys<br>Salary Table                                                                                                                                                                                                                                                                                                                                                                                           | Human Resources                       | 6Y              | CA - GOV 34090 - (2Y)<br>US - 29 CFR 1602.14 - (FR+1Y)<br>US - 29 CFR 1602.31 - (2Y)                                                                                                                                                                                                                                                                     |                                                                             |
| 070        | Human Resources  | <b>Staffing and Recruitment</b><br><br>Records and information related to recruitment of qualified persons for both paid and unpaid position with the City, whether full time or part-time temporary, including:<br><br>- Applications and related records of candidates interviewed but not hired or accepted<br>- Applications received but not acted upon                                                                                                                                         | Applications, CVs, Resumes ( <i>rejected, unsolicited</i> )<br>Applicant Tracking Records ( <i>hired, rejected</i> )<br>Background Checks, Investigations - candidates not hired/accepted<br>Examination Results and Rankings<br>Interview Notes<br>Job Descriptions<br>Job Postings, Announcements<br>Job Specifications<br>Miscellaneous Hiring Process Notes<br>Personnel Requisitions<br>Position Information<br>Pre-Hire Screening - candidates not hired/accepted<br>Test Results ( <i>non-hires</i> )<br>Test and Examination Materials                                                                               | Human Resources<br>Parks & Recreation | 3Y              | CA - 2 CCR 11013(c)(2) - (2Y)<br>CA - GOV 12946 - (2Y)<br>CA - GOV 34090 - (2Y)<br>US - 29 CFR 1602.31 (2Y)<br>US - 29 CFR 1627.3(b)(1) - (1Y)                                                                                                                                                                                                           | NOTE: Background checks for personnel hired are part of the personnel file. |
| 071        | Human Resources  | <b>Training Records - City Staff (Full and Part-time) and Officials</b><br><br>All documents related to general and specialized technical education and training taken by officials, paid employees and unpaid volunteers, including:<br><br>- Child Protective Services & Boundaries<br>- Cybersecurity<br>- Ethics<br>- Fire Extinguisher<br>- First Aid/CPR<br>- Harassment<br>- Lifeguard Certification<br>- Safe Food<br>- Specialized Equipment<br>- Supervisor<br>- Violence in the Workplace | Attendance<br>Briefing/Unit Training<br>Certification Records<br>Compliance Training<br>Individual Education, Development<br>Tailgates                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | Citywide                              | 6Y              | CA - 8 CCR 3203 - (CU+1Y)<br>CA - GOV 34090 - (2Y)<br>CA - GOV 53235.2b - (5Y)<br>CA - GOV 53237.2(b) - (5Y)                                                                                                                                                                                                                                             |                                                                             |

| Record No. | Business Process      | Record Name and Description                                                                                                                                                                                                                                                                            | Example Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | Department/Office of Record           | Retention                                      | Regulatory Citations                                                                                                                                 | Notes and Comments |
|------------|-----------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------|------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| 072        | Human Resources       | <b>Training Records - Materials, Courses, Scheduling</b><br><br>Documentation regarding the content of courses and schedules for training offered to employees, officials and volunteers.                                                                                                              | Attendance Lists<br>Employee Development<br>Presentation Materials<br>PowerPoint Slide Decks<br>Rosters<br>Sign-in Sheets<br>Testing/Qualifications<br>Training Bulletins                                                                                                                                                                                                                                                                                                                                                                                                                                                               | Citywide                              | While Active+6Y                                | CA - GOV 945.6(a)(2) - (LA6M; LA2Y)<br>CA - GOV 12946 - (2Y)<br>CA - GOV 34090 - (2Y)<br>US - 29 CFR 1602.14 - (FR+1Y)                               |                    |
| 073        | Human Resources       | <b>Volunteers and Unpaid Interns - Recruitment and Personnel Files</b><br><br>All documents related to unpaid volunteers and interns including but not limited to:<br><br>- selection<br>- assignments<br>- termination / resignation                                                                  | Applications, Applicant Reference Verifications<br>Medical Restrictions<br>Policy Acknowledgements<br>Volunteer Acknowledgements                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | Citywide                              | Termination+2Y                                 | CA - GOV 945.6(a)(2) - (LA6M; LA2Y)<br>CA - GOV 12946 - (2Y)<br>CA - GOV 34090 - (2Y)<br>US - 29 CFR 1602.31 (2Y)<br>US - 29 CFR 1627.3(b)(1) - (1Y) |                    |
| 074        | Human Resources       | <b>Work Authorizations and Supporting Documentation</b><br><br>Employment eligibility verification forms collected for active employees and supporting documentation regarding immigration status.                                                                                                     | I-9 Documents and copies of associated documents<br>Immigration Supporting Documentation                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | Human Resources                       | Termination+3Y                                 | CA - GOV 34090 - (2Y)<br>US - 8 CFR 274a(2) - (3Y or T+1Y, whichever is longer)<br>US - 20 CFR 655.760 - (T+1Y)                                      |                    |
| 075        | Innovation Technology | <b>Application, System Development and Maintenance</b><br><br>Technical documentation related to development of City technology processes, applications, GIS, Telecommunications Systems, or the City's website, as well as conversions, changes or modifications to existing applications or systems. | Business, Functional Requirements<br>Change Requests<br>Data Element Attribute Reports<br>Data Migration Documentation<br>Database Dictionary / Schema<br>End User Documentation, User Manuals<br>Hardware Configurations<br>Mobile Services<br>Network Circuits Inventories<br>Network/Equipment Control Support Documentation<br>Source Code<br>System Documentation ( <i>codebooks, record layouts, reference guides, schematics, specifications</i> )<br>System, Application Maintenance Documentation ( <i>hardware/operating system requirements, monitoring logs, operating manuals</i> )<br>IT Project Management Documentation | Innovation Technology                 | Life*+2Y                                       | CA - GOV 945.6(a)(2) - (LA6M; LA2Y)<br>CA - GOV 34090 - (2Y)<br><br>*Life of Application.                                                            |                    |
| 076        | Innovation Technology | <b>Business Continuity Records - Computing Equipment and Network Operations</b><br><br>All documentation for dealing with preparation for and responses to emergencies, disasters and/or system failures for City computing resources.                                                                 | Business Continuity Plans<br>Disaster Recovery Plan<br>Emergency Response                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | City Manager<br>Innovation Technology | Until Superseded or 2Y,<br>Whichever is Longer | CA - GOV 945.6(a)(2) - (LA6M; LA2Y)<br>CA - GOV 34090 - (2Y)                                                                                         |                    |
| 077        | Innovation Technology | <b>Technology Help Desk, Access and Security</b><br><br>Records and technical documentation of system access, internal controls and system security. Includes data / information security breaches, notifications, and supporting documentation.                                                       | Audit Trail Files<br>Automated Logs<br>Change Management Case Files<br>Computer Usage Files<br>Data Breaches ( <i>notifications, reports, responses</i> )<br>Data Sets, Extracted Data Summaries<br>Firewall<br>Special Access Approvals<br>Trouble Tickets<br>Usage Reports ( <i>summary, system</i> )<br>User Access Records ( <i>passwords, requests, accounts</i> )<br>User Incident, Response Files                                                                                                                                                                                                                                | Innovation Technology                 | 3Y                                             | CA - GOV 945.6(a)(2) - (LA6M; LA2Y)<br>CA - GOV 34090 - (2Y)<br>CA - CIV 1798.27 - (3Y)                                                              |                    |
| 078        | Innovation Technology | <b>Telecommunications Records</b><br><br>Records and information associated with the planning, management and maintenance of the City's VOIP phone system.                                                                                                                                             | Phone Services Records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | Innovation Technology                 | 2Y                                             | CA - GOV 945.6(a)(2) - (LA6M; LA2Y)<br>CA - GOV 34090 - (2Y)                                                                                         |                    |
| 079        | Legal & Compliance    | <b>Internal Legal Advice and Opinions</b><br><br>Memoranda containing legal advice prepared by the City Attorney's for City departments. (NOTE: Legal advice and opinions associated with specific projects will be retained with the project file.)                                                   | Confidential Memos<br>Opinions                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | Citywide                              | Permanent                                      | CA - GOV 945.6(a)(2) - (LA6M; LA2Y)<br>CA - GOV 34090 - (2Y)                                                                                         |                    |
| 080        | Legal & Compliance    | <b>Joint Powers Authority Agreements</b><br><br>Executed agreements between the City and one or more public agencies that share a common power and want to jointly implement programs, build facilities, or deliver services.                                                                          | Addendums and Amendments<br>Attachments / Exhibits<br>JPA                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | City Clerk                            | Permanent                                      | CA - CCP 337.1 - (LA4Y)<br>CA - CCP 343 - (LA4Y)<br>CA - GOV 945.6(a)(2) - (LA6M; LA2Y)<br>CA - GOV 8546.7 - (CL+3Y)<br>CA - GOV 34090 - (2Y)        |                    |

| Record No. | Business Process   | Record Name and Description                                                                                                                                                                   | Example Records                                                                                                                                                                                                                                                | Department/Office of Record            | Retention            | Regulatory Citations                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | Notes and Comments |
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| 081        | Legal & Compliance | <b>Litigation and Third Party Claims</b><br><br>Records generated for or related to any case or action before a judicial, arbitral, or administrative officer or body.                        | Complaints<br>Court Orders<br>Discovery<br>Exhibits<br>Judgments<br>Pleadings<br>Related Correspondence<br>Releases<br>Summons<br>Tort Claims                                                                                                                  | City Attorney                          | Final Resolution+10Y | CA - 2 CCR 11013 - (FR+2Y)<br>CA - 8 CCR 10102 - (5Y; CL+1Y)<br>CA - 22 CCR 1085-2 - (CU+4Y)<br>CA - CCP 315 - (LA10Y)<br>CA - CCP 337.15 - (LA10Y)<br>CA - GOV 945.6(a)(2) - (LA6M; LA2Y)<br>CA - GOV 8546.7 - (CL+3Y)<br>CA - GOV 34090 - (2Y)<br>CA - LAB 5410 - (LA5Y)<br>CA - RTC 19704 - (LA6Y)<br>CA - UIC 1132 - (LA3Y)<br>US - 26 CFR 31.6001 - (CU+4Y)<br>US - 26 CFR 301.6501 - (3Y)<br>US - 26 CFR 301.6532-1 - (LA2Y)<br>US - 26 CFR 301.6532-2 - (LA5Y)<br>US - 26 USC 6531 - (LA6Y)<br>US - 26 USC 6532 - (LA2Y)<br>US - 29 USC 255 - (LA2Y)<br>US - 29 USC 626(d) - (LA300D)<br>US - 42 USC 2000e-5(e) - (LA180D)<br>US - 42 USC 2000e-5(f) - (LA180D) |                    |
| 082        | Legal & Compliance | <b>Recorded Documents</b><br><br>Records and information pertaining to those original key documents recorded on behalf of the City.                                                           | Abandonments<br>Annexations<br>Condemnations<br>Conveyances<br>Covenants<br>Deeds<br>Deed Restrictions<br>Easements<br>Liens<br>Lot Line Adjustments<br>Promissory Notes<br>Quitclaims<br>Reconveyances<br>Resale Restrictions<br>Rights-of-Way<br>Vacations   | City Clerk<br>Planning<br>Public Works | Permanent            | CA - GOV 34090(a) - (PR)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                    |
| 083        | Legal & Compliance | <b>Regulatory Reporting</b><br><br>Official non-financial reports issued by City organizations to comply with regulatory requirements.                                                        | Census Reports (C-404)<br>EEOC Reports<br>Labor Reports<br>OSHA 300 Reports<br>Strong Motion Instrumentation Program (SMIP) Reports<br>Pesticide (treatments, applications)                                                                                    | Citywide                               | 6Y                   | CA - 8 CCR 14300.33(a) - (CU+5Y)<br>CA - GOV 34090 - (2Y)<br>US - 29 CFR 405.9 - (5Y)<br>US - 29 CFR 1602.14 - (FR+1Y)<br>US - 29 CFR 1602.30 - (3Y)<br>US - 29 CFR 1602.32 - (3Y)<br>US - 29 CFR 1904.33 - (5Y)                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                    |
| 084        | Legal & Compliance | <b>Risk Management - Claims By or Against the City</b><br><br>Records detailing claims lodged by or against the City, other than for Workers Compensation.                                    | Accident/Incident Reports<br>Actuarial Reports<br>Annual Audit of Open Claims<br>Appraisals<br>Claims By/Against the City<br>Closing Letters<br>Damage Estimate Reports<br>Supporting Documentation<br>Insurance Claims, Appraisals, Reports<br>Investigations | City Attorney<br>Citywide              | Final Resolution+5Y  | CA - CCP 337 - (LA4Y)<br>CA - CCP 338.1 - (LA5Y)<br>CA - GOV 945.6(a)(2) - (LA6M; LA2Y)<br>CA - GOV 34090 - (2Y)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                    |
| 085        | Legal & Compliance | <b>Settlement Agreements</b><br><br>Records of final settlement agreements.                                                                                                                   | Settlement Agreements ( <i>confidential and non-confidential</i> )                                                                                                                                                                                             | City Attorney<br>City Clerk            | Permanent            | CA - CCP 337 - (LA4Y)<br>CA - GOV 8546.7 - (CL+3Y)<br>CA - GOV 34090 - (2Y)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                    |
| 086        | Legislative        | <b>Appointments to Boards, Commissions and Committees</b><br><br>Staff records related to appointments made by authorized elected officials to councils, committees, boards, and commissions. | Applications ( <i>appointed, unsuccessful</i> )<br>Ballots<br>Interview Notes<br>Letters of Appointment<br>Letters of Recommendation<br>Maddy Act Lists<br>Oaths of Office<br>Policy Acknowledgments<br>Resumes<br>Submitted Documents                         | City Clerk                             | Term of Office+2Y    | CA - GOV 34090 - (2Y)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                    |

| Record No. | Business Process   | Record Name and Description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | Example Records                                                                                                                                                                                                                                                                                                                                                                                                                                               | Department/Office of Record                      | Retention                                              | Regulatory Citations                                                                                                                                                                                                       | Notes and Comments |
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| 087        | Legislative        | <b>Audio Recordings of Public Meetings</b><br><br>Audio recordings of meetings of City advisory and legislative bodies made solely for the purposes of transcribing meeting actions for written minutes.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | Audio Recordings                                                                                                                                                                                                                                                                                                                                                                                                                                              | Communications<br>Innovation Technology<br>Video | 30D or Until Minutes are Approved, Whichever is Longer | CA - GOV 54953.5(b) - (30D)                                                                                                                                                                                                |                    |
| 088        | Legislative        | <b>Legislative and Advisory Councils, Boards Committees &amp; Commissions - Legislative Affairs</b><br><br>Records of actions taken by City boards, commissions, committees, councils, subcommittees, and task forces, whether having legislative authority of their own (i.e., subject to the Brown Act), or for the purposes of informing or advising the City Council or other City legislative bodies. Includes:<br><br>- Administrative Hearing Committee<br>- Audit Committee<br>- Bicycle Pedestrian Commission<br>- City Council<br>- Design Review Committee<br>- Economic Development Committee<br>- Environmental Review Committee<br>- Fine Arts Commission<br>- Housing Commission<br>- Legislative Review Committee<br>- Library Commission<br>- Parks and Recreation Commission<br>- Planning Commission<br>- Public Safety Commission<br>- Sustainability Commission<br>- Technology, Information & Communication Commission<br>- Teen Commission | Agenda Packets (includes staff reports)<br>Agenda Summary Reports<br>Agendas<br>Appeals<br>Bylaws<br>City-wide Plans/Programs Adopted<br>Correspondence<br>Formation Documents ( <i>including 501 C3 and IRS documents</i> )<br>Legislative Packets<br>Meeting Minutes<br>Minute Books & Index<br>Municipal Code<br>Opinions on Pending Legislation<br>Ordinances<br>Petitions and Decisions<br>Resolutions<br>Transcriptions of audio recordings of meetings | City Clerk<br>Citywide                           | Permanent                                              | CA - CCP 315 - (LA10Y)<br>CA - CCP 321 - (LA5Y)<br>CA - CCP 336 - (LA5Y)<br>CA - CCP 336a - (LA6Y)<br>CA - CCP 337 - (LA4Y)<br>CA - CCP 337.5 - (LA10Y)<br>CA - GOV 945.6(a)(2) - (LA6M; LA2Y)<br>CA - GOV 34090(e) - (PR) |                    |
| 089        | Legislative        | <b>Oaths of Office - Elected Officials</b><br><br>Documentation of oaths of office taken by elected officials.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | Oaths of Office                                                                                                                                                                                                                                                                                                                                                                                                                                               | City Clerk                                       | While Active+2Y                                        | CA - GOV 945.6(a)(2) - (LA6M; LA2Y)<br>CA - GOV 34090 - (2Y)                                                                                                                                                               |                    |
| 090        | Legislative        | <b>Video Recordings of Public Meetings</b><br><br>Video recordings of meetings of City advisory and legislative bodies, City Council appointed Committees, and other official public meetings subject to the Brown Act, excluding City Council, Planning Commission, & Park and Recreation Commission                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | Video Recordings                                                                                                                                                                                                                                                                                                                                                                                                                                              | Communications<br>Video                          | 30D                                                    | CA - GOV 54953.5(b) - (30D)                                                                                                                                                                                                |                    |
| 091        | Parks & Recreation | <b>Kitchens at Blackberry Farms, Quinlan, and Senior Center</b><br><br>Records and information associated with operating the kitchen facilities at Blackberry Farms, Quinlan, and the Senior Center.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | Food Handler Cards<br>Health Inspections                                                                                                                                                                                                                                                                                                                                                                                                                      | Parks & Recreation                               | While Active+2Y                                        | CA - GOV 945.6(a)(2) - (LA6M; LA2Y)<br>CA - GOV 34090 - (2Y)<br>CA - HSC 113725.1 - (MAINT)<br>CA - HSC 113948(f) - (MAINT)<br>CA - HSC 114381(e) - (MAINT)                                                                |                    |
| 092        | Parks & Recreation | <b>Recreation Facility Rentals and Reservations</b><br><br>Records and information documenting rental arrangements for the City's parks and recreational facilities.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | 501 C3 Affirmation Letters<br>501 C3 Forms<br>Facility Rentals ( <i>use applications - approved and unapproved, permits, reservation books, insurance certificates, event representative, reports, sports field rosters</i> )<br>Facility Reservations<br>Inspection Reports ( <i>pre-rental, post-rental</i> )<br>Set-up Charts                                                                                                                              | Parks & Recreation                               | While Active+4Y                                        | CA - CCP 337 - (LA4Y)<br>CA - CCP 338 - (LA3Y)<br>CA - GOV 945.6(a)(2) - (LA6M; LA2Y)<br>CA - GOV 8546.7 - (CL+3Y)<br>CA - GOV 34090 - (2Y)                                                                                |                    |

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